Correctional Leadership Competencies for the 21st Century

Manager and Supervisor Levels

Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels

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Foreword

Given the increasing number and diversity of offenders in the nation's correctional institutions, the challenging responsibilities being placed on correctional agencies and organizations, and the complexity of the social, political, and legal climate in which they operate, it is now more vital than ever for correctional agencies/organizations to identify and train effective leaders at all levels of management, from the frontline supervisor to the head of a correctional system. To this end, the National Institute of Corrections (NIC) and its Academy Division asked, "What are the skills and attributes of an effective correctional leader and how can they be developed?"

In response, NIC and the Academy Division developed the Core Competencies Project. This project called on the expertise of a number of respected professionals in the leadership field to identify the qualities needed by effective leaders across a wide range of correctional agencies/organizations. After defining four levels of correctional leaders and developing managerial profiles for each level based on key areas of responsibility, the project identified core competencies for each level through focus groups and surveys of correctional leaders, consultation with experts in the correctional field, and comparison with other fields. Then, for each competency, the project developed a knowledge base to help correctional leaders at each level understand the competency better and identified a set of key skills and behaviors related to the competency.

This publication, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels,* and its companion document, *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders,* represent the culmination of that process. The core competencies presented for managers and supervisors emphasize not only the value of capabilities such as oral and written communication, strategic thinking, program planning and performance assessment, managing change, problem solving and decisionmaking, and a knowledge of the criminal justice system, but also skills such as interpersonal relationships, motivating others, developing direct reports, managing conflict, initiating collaboration, and team building and attributes of character that correctional leaders need, including a strong sense of ethics and values. These competencies provide correctional agencies/organizations with tools for identifying and training current and future leaders who can embody these capabilities and attributes. Also, they offer correctional professionals guidelines for strengthening and cultivating their own personal growth and development.

In publishing these documents, NIC hopes to provide a tool for refining its leadership training programs and for helping correctional agencies/organizations of all sizes identify the most appropriate candidates for leadership training. Correctional agencies/organizations will be able to use the competencies identified in these documents to improve their recruitment and selection processes, in the placement and retention of current employees, in succession planning for leadership positions, and in staff development. Finally, individual correctional professionals can use these competencies to aid in their own personal growth and development.

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Director
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Acknowledgments From the National Institute of Corrections

Acknowledgments From the Author

The nature of the correctional environment has changed significantly in recent years. The technological revolution, globalization, and changing workforce demographics are just a few of the factors that are influencing and changing correctional agencies/organizations. The Core Competencies Project—Phase II attempts to define the skills and abilities needed today and in the future by correctional managers and supervisors.

The core team for the project consisted of Robert Brown, Chief, National Institute of Corrections (NIC) Academy Division, Marie Mactavish, John Eggers, and me. Bob Brown sponsored and promoted the project. Dee Halley, the original project manager, got the project off the ground, introduced it in many venues, and consistently offered suggestions for refinement and improvement. John Eggers effortlessly picked up the project lead when Dee took an assignment in Washington, D.C.

This project is grounded in the competency work that Marie Mactavish began more than 10 years ago. Marie helped to ensure that the development process for this project was a learning process for all involved. I am thankful to her not just for her professional support but for her personal support as well.

The authors, all of whom are experts in their fields, have worked with correctional leaders. Marie Mactavish once again demonstrated her expertise in collaboration and team building. She also explores the interpersonal skills needed to be an effective manager or supervisor and how to manage conflict. Patrick Dobel brings a pragmatic yet challenging approach to understanding ethics. A respected author on ethics, Patrick has trained correctional professionals and has chaired a public-sector ethics board. Barbara Lucey provides useful tips on how to communicate effectively in both speech and writing, and is joined by Teddi Edington in developing a practical approach to problem solving and decision-making. Cindi Yates provides a useful way for managers and supervisors to approach the often daunting topic of program planning and performance assessment. And last but not least, William Woodward provides an overview of the criminal justice system that reminds us how interconnected the system is.

In addition to the core team, a practitioner review team consisting of Janie Jeffers, David Savage, Donna Stringer, and Eldon Vail kept me honest and on my toes. Janie, Dave, and Eldon provided a much needed correctional perspective, and Donna provided an overall organizational view. I was particularly pleased to work again with my former colleagues Dave and Eldon.

Although she was not technically on the core team, as primary editor Teddi Edington played a central role for all authors, providing sound critiques of our writing. Nancy Raynolds provided much valued technical editing for this volume.

The project has been an exciting collaboration of a diverse array of correctional practitioners, NIC staff, academics, and consultants. I have felt privileged to work with such bright people who are all committed to developing the next generation of correctional leaders.

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Nancy M. Campbell

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Contents

Exhibits

Executive Summary

This publication, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels,* is the second of two companion documents that are being published by the Academy Division of the National Institute of Corrections (NIC) as part of its Core Competencies Project. These documents identify and present core competencies and their related skills and behaviors for four levels of correctional leaders: executives, senior-level leaders, managers, and supervisors. They are the end result of an extensive process that began when Robert Brown, Chief, NIC Academy Division, sought to determine the skills and abilities that correctional leaders across a wide range of correctional agencies/organizations need to succeed. This led to the identification of four levels of correctional leadership and the development of managerial profiles for each level. Core competencies were then identified for each level of leader through focus groups and surveys, consultation with experts in the correctional field, and comparison with other fields.

The Academy Division plans to use these competencies to design training programs and to identify the most appropriate candidates for those programs. In addition, NIC hopes that correctional agencies/organizations will use the competencies in recruiting and selecting correctional leaders, placing and retaining employees, and succession planning for correctional leaders. Finally, individual correctional leaders may use these competencies in their own personal growth and professional development.

Chapter 1 of this publication presents the managerial profiles for the four levels of leaders. Chapters 2 through 14 present the individual competencies for managers and supervisors. For each competency discussed in this publication, the following elements are presented:

- Definition.

- Knowledge Base.

- Key Skills and Behaviors.

- Focus Matrix for Managers and Supervisors.

- Resources.

Chapter 1: Managerial Profiles

Chapter 1 presents the managerial profiles developed by the Core Competencies Project for each level of correctional leader: executives, senior-level leaders, managers, and supervisors. Recognizing the diversity of correctional

agencies/organizations and respecting the many ways to organize effectively, these profiles are designed to provide a frame of reference for the types of responsibilities that are typically found at different management levels in a correctional agency/organization.

Each profile includes a brief discussion of the level's authority and placement within the organizational structure; a list of responsibilities associated with each level; a table showing the tasks associated with each responsibility; positions that typically fall within each level (because of differences in size and organizational structure, the examples may not always be an accurate reflection of any one organization); and, finally, a list of the core competencies associated with each level of leadership.

Chapter 2: Ethics and Values

Ethical behavior lies at the heart of good management and supervision. In a democratic society that values excellence in performance and individual human dignity, ethics based on respect, competence, and accountability are critical. This is particularly true in the corrections field because government delegates the ultimate use of force and coercion to correctional personnel.

Chapter 2 addresses the importance of ethics and values for correctional managers and supervisors. It begins with a discussion of the factors that make ethical behavior at both the personal and institutional levels particularly important in corrections and emphasizes the role of correctional managers and supervisors as the standard bearers of the ethical culture of the correctional agency/ organization. The chapter then reviews three approaches to ethics—principle or rule based, consequential, and virtue.

The chapter then discusses integrity as the foundation of ethical behavior. This discussion names some important elements of integrity, and touches on ways in which integrity is applied in action, including the three domains of judgment in which public officials must apply integrity—personal commitments and capacities, obligations of office, and prudence and effectiveness. It details the personal attributes required for ethical action and discusses six attributes of character.

Threats to ethics in the correctional environment work to undermine the integrity of correctional managers and supervisors. These include peer culture, denial of responsibility, rigidity, dominant informal actors (individuals who exercise excessive influence in a correctional agency or institution because of their experience, knowledge of the workings of the institution, or ability to grant favors), tensions created by diversity (including differences in racial and ethnic makeup between offenders and correctional staff), and silence or secrecy regarding ethical lapses, discrimination, and abuse. The chapter enumerates the steps that

managers and supervisors can take to build an ethical organization: knowing the rules and laws that govern the institution and the reasons behind them, building trust and respect, being aware of discretion, understanding situations in context, modeling and educating staff in ethical standards, acting with courage and endurance, and seeking help and support when needed. It then describes the key leadership values that ethical managers and supervisors must embody.

Finally, the chapter addresses the types of unethical behavior that correctional managers and supervisors must avoid, including violations of trust, self-dealing, and conflict of interest, and identifies circumstances within the correctional environment that may lead to unethical behavior.

Chapter 3: Interpersonal Relationships

The inability to effectively establish and maintain healthy interpersonal relationships is perhaps the main cause of leadership failure and career derailment. Research indicates that the ability to create effective interpersonal relationships is increasingly important in the workplace and that these "soft skills" may prove more valuable to a leader than intelligence. Successful leadership occurs when a strong network of relationships is developed, existing relationships are maintained, and new relationships are continually added.

Chapter 3 addresses the role of interpersonal relationships in management. After summarizing why the ability to establish and maintain effective interpersonal relationships is important for managers and supervisors, the chapter focuses on four aspects of that ability: empathy, social responsibility, relationship networks, and the use of communications technology to build interpersonal relationships. The chapter defines each of these attributes, discusses specific steps that managers can take to develop them and apply them in the workplace day to day, and presents examples of each of these attributes in action.

Chapter 4: Oral and Written Communication

Supervisors rarely do their work alone. Interacting and communicating with others are major parts of their jobs. As a two-way process, communication is effective only when the intended audience receives the message, understands it, remembers it, and responds to it appropriately. Moreover, because of the increasing diversity of cultures among offenders and correctional staff, competence in intercultural communication becomes increasingly important for supervisors in correctional institutions. Poor communications can result in mistakes, misunderstandings, and conflict. The better a supervisor is at communicating, the more effective that supervisor will be as a leader.

Chapter 4 addresses the role of communication in the day-to-day responsibilities of correctional managers and (especially) supervisors. It discusses the fundamentals of effective oral communication, including how to identify different styles of communication, tailor communications to a particular audience, and be a good listener. It presents a matrix that shows how personal communication styles can be understood in terms of two dimensions of behavior—direct versus indirect and relationship versus task orientation—and how verbal, vocal, and visual clues reflect these dimensions. A second matrix shows how these dimensions inform four personal communication styles: relaters (indirect, relationship oriented); socializers (direct, relationship oriented); thinkers (indirect, task oriented); and directors (direct, task oriented). This section of the chapter also discusses the attributes of feminine and masculine communication styles, the characteristics that affect intercultural communications, and techniques of effective nonverbal communication. It then presents techniques for improving listening and response skills in three areas: active listening, giving and receiving feedback, and asking questions.

The chapter offers guidelines for communicating effectively with groups at meetings and in presentations. These guidelines first address steps for preparing for meetings, including identifying the purpose of the meeting, determining the supervisor's role in leading the meeting, completing the necessary administrative tasks, and providing advance notice of the meeting. They then address techniques for effectively facilitating meetings, including encouraging participation, focusing on objectives, and summarizing meeting outcomes. Finally, they address considerations in making successful presentations, including knowing the purpose and value of the presentation; understanding the four types of presentations: report, explanatory, persuasive, and instructional; understanding the structure of the presentation—introduction, body, and conclusion—and tailoring the presentation to the audience; and techniques (both body language and verbal) for delivering presentations.

Finally, this chapter presents tips for effective written communication, including special considerations for using e-mail. Tips include choosing the appropriate form of written communication based on degree of formality, level of complexity, speed of delivery, and internal or external audience; knowing the audience and putting oneself in the reader's place; and conveying the message with clarity, conciseness, and readability.

Chapter 5: Motivating Others

Motivation is the internal drive that stimulates a person to try hard to achieve his or her goals. A motivated employee tries harder than an unmotivated one to get the job done and to do it well. An effective manager understands that motivation

exists when a conscious or unconscious need or desire is met through work and finds ways to align the worker's needs or desires with his or her work.

Chapter 5 addresses the importance to correctional managers and supervisors of motivating their staff. It first discusses the need for greater motivation and more effective use of employee capacities within organizations, and describes how security factors and motivating factors affect job attitudes. Relying on Frederick Herzberg's motivation-hygiene theory, it points out that contrary to the beliefs of most managers, motivating factors—fulfilling work, achievement and its recognition, responsibility, and growth or advancement—rather than job security factors—salary, work conditions, supervision, interpersonal relationships, status, and so on—are the sources of job satisfaction.

The chapter offers guidelines for hiring motivated employees and removing unmotivated employees, noting the challenges related to civil service and labor rules. It notes that effective managers, when hiring, focus on character attributes and motivation rather than educational background or technical skills.

The section on behaviors that motivate illustrates how four behavioral consequences—positive reinforcement, negative reinforcement, punishment, and penalty—affect behavior and points out the problems created by overuse of negative reinforcement. In addition, by applying the ABC (Antecedent—Behavior—Consequences) Model of Behavior Change in a correctional setting, it shows that managers often unintentionally provide negative reinforcement for desired behaviors while failing to provide positive reinforcement for those behaviors. It advocates using positive reinforcement to bring out the best in employees and urges managers and supervisors to avoid such common mistakes as choosing the wrong form of positive reinforcement, making employees compete for positive reinforcement, and reinforcing too little, too late. One positive reinforcement technique suggested is aligning employees' personal and professional interests.

Chapter 6: Developing Direct Reports

Employees are a correctional agency/organization's most valuable resource. For the organization to operate at its full potential and attain maximum productivity, each employee must become a fully contributing member. The more managers and supervisors nurture and develop the employees who report directly to them (known as direct reports), the more likely those employees are to stay with the organization and to make successful contributions.

Chapter 6 addresses the importance to correctional managers and supervisors of developing and nurturing their direct reports. It describes the joint responsibilities

of the organization, management, and individual direct reports in ensuring that effective employee development takes place.

Organizations can show that they value direct report development by training managers and supervisors to help direct reports understand their responsibilities and perform successfully; providing employees with basic skills and knowledge, including knowledge of the organization, during their first year of employment; and recognizing and rewarding successful development. Organizations should ensure that direct reports move through three stages of development over the course of their employment: acquiring basic skills (both for new hires and for line-level employees moving into supervisory positions), enhancing perform-ance, and preparing for future roles or succession planning.

Managers have the responsibility to help design career paths, act as resource persons, and provide feedback for their direct reports. In developing direct reports, managers must be able to move between two broad interaction strate-gies: directive and collaborative. They act as coaches for their direct reports by designing the relationship, setting clear expectations, providing training oppor-tunities, giving clear feedback, and attending to immediate and future skill needs. For this, they especially need these five skills: appraisal, listening, ques-tioning, giving feedback, and planning and goal setting.

It is critical that direct reports take an active role in their own development. Not only must they take the initiative to understand their job responsibilities and keep that understanding current, they must also develop an understanding of emotional intelligence, in particular the elements of self-awareness and self-management.

Chapter 7: Managing Conflict

If managed correctly, conflict can productively leverage diversity, unify individ-uals around a common goal, promote cooperation, and encourage innovative solutions. However, if poorly managed, conflict can decrease the desire to work together and eventually break apart a group or organization. Effectively manag-ing conflict uses conflict's benefits but avoids its pitfalls.

Chapter 7 addresses the role of managers and supervisors in interpersonal con-flicts in the workplace. After summarizing why the ability to manage conflict is important, the chapter outlines six sources of conflict: relationships, data, inter-ests, structure, values, and resources. It then suggests self-assessment tools that can help managers and supervisors understand their own response to conflict, concentrating on the conflict management styles identified in the *Conflict Lens*^{TM}. The *Conflict Lens*^{TM} model illustrates 10 dichotomies of behavior and attitudes used in responding to conflict.

The chapter presents techniques to help managers and supervisors manage conflict with their boss, direct reports, and colleagues; mediate conflicts between direct reports; and facilitate conflict management in a team setting. Elements of building a relationship with a boss include understanding the boss's goals, strengths, weaknesses, and work style; assessing one's own needs and work style; and developing and maintaining an effective relationship that accommodates both. Managing conflicts with direct reports requires effectively using personal power (power based on mutual respect and trust) as well as position power (power based on authority). Managing conflicts with colleagues relies on interest-based bargaining (seeking a win-win solution that develops and preserves the relationship between the negotiators) rather than position-based bargaining (making offers and counteroffers until one party wins). In mediating conflicts among direct reports, managers and supervisors must maintain neutrality and, if possible, should facilitate an agreement without using their decisionmaking authority. However, some serious employee conflicts may require the manager or supervisor to impose a solution. Finally, facilitating conflict resolution in a team setting calls on the manager or supervisor to set and uphold ground rules for interaction among the team members and to help the team members establish and implement an agreement to resolve the conflict.

Chapter 8: Team Building

Successful teams, like individuals, require thoughtful development and support. If a team is given sufficient attention and direction, the potential is great not only for accomplishing the task, but also for individual and team learning opportunities. Managers and supervisors who understand how to develop teams benefit from career advancement opportunities and their organizations benefit by meeting their objectives.

Chapter 8 addresses the importance of team building for correctional managers and supervisors. It first discusses the types of teams that are encountered in the workplace, differentiating true teams (wherein individual talents and abilities contribute to a purpose for which all are accountable) from pseudo-teams (which lack a focus on collective performance) and working groups (which come together to share information, perspectives, and best practices, but from whom no joint performance need, accountability, work product, or service is expected). Teams also differ in their longevity: natural (ongoing) work teams (e.g., shifts in a correctional institution) that work together on multiple projects, as opposed to project (temporary) teams that are established to achieve a specific, short-term goal.

The ability to build and lead teams is a prerequisite to success not only for the correctional agency/organization, but also for individual leaders. Chapter 8 presents 12 elements of successful work teams at the manager and supervisor

levels—clarity of purpose and goals, performance measurement, team leadership, trust, team membership, defined roles and responsibilities, communication, decisionmaking process, effectively managing meetings, stages of team growth, ongoing training, and external support and recognition.

Chapter 9: Collaboration

Collaboration in correctional agencies/organizations is important from two perspectives: internal and external. When internal collaboration is encouraged, employees become more invested in the success of the organization and they develop a greater understanding of and commitment to its goals. From the external perspective, criminal justice and correctional agencies/organizations can no longer afford to be isolated from one another or from other public service delivery systems. The importance of collaboration stems not only from the rewards of working together toward the common good but also from the potential for controlling the increasing costs of expanding correctional systems.

Chapter 9 describes four opportunities for managers and supervisors to address collaboration:

- *Informal or interpersonal:* Unstructured and casual collaboration among two individuals or an informal group.

- *Work team:* Involving a specific project or an ongoing work team.

- *Organizational:* Employees and leaders working together in a single office or across multiple offices and institutions in a correctional system.

- *External:* Working outside the organization with stakeholders, community partners, other government agencies, and nongovernmental groups.

Chapter 9 discusses the three elements of interpersonal collaboration: social skills, communication, and diversity. It then presents six elements of a collaborative work team (with reference back to the discussion of these elements in chapter 8, "Team Building"): clarity of purpose and goals, performance measurement, team leadership, decisionmaking processes (with an emphasis on collaborative decisionmaking), team membership, and defined roles and responsibilities. Next, it describes organizational opportunities for collaboration and enumerates three elements of a collaborative organization: collaborative leadership, trust (including contractual, communications, and competence), and cooperation across teams. Finally, in discussing external opportunities for collaboration, it presents four elements of a successful collaborative alliance: a shared need for the alliance, alliance membership, collaborative versus positional leadership, and support from top leaders.

Chapter 10: Problem Solving and Decisionmaking

Solving problems and making decisions are a natural part of the work environment. Changes are constantly occurring in materials, methods, tools, equipment, people, and policies. Managers and supervisors' responses to problems and the effectiveness of their decisions have a crucial impact on the people who work for them and the organizations they manage. Using problem-solving and decisionmaking skills will improve both the quality of decisions and the degree to which people support them.

Chapter 10 addresses problem solving and decisionmaking in correctional agencies/organizations from the perspective of managers and supervisors. The chapter presents a seven-step approach to problem solving along with a case study series that applies each of the steps to a problem of customer/constituent dissatisfaction in a particular correctional facility. This approach is particularly effective for problems that can be clearly defined and for recurring problems that have a significant impact on staff, operations, or inmates and other customers/constituents. For each step, the chapter discusses why the step should be taken, how to do it, and tips for performing the step. Steps one and two involve defining the problem and analyzing its potential causes. Techniques presented include the use of Pareto charts to prioritize causes and to focus attention and resources on the most relevant ones. Decisionmaking requires looking at alternative solutions and selecting the best one for implementation (steps three and four). Techniques presented include the use of a criteria rating matrix to score solutions based on agreed-on and weighted criteria. Steps five, six, and seven deal with taking action: developing an action plan, implementing a solution, and evaluating the solution to determine if the problem was actually solved. Techniques include matrixes for action and contingency plans, customer/constituent surveys, and critical incident review.

The chapter then addresses creative and proactive problem solving. Creative problem solving requires managers and supervisors to first determine when a problem is too complex for one person to solve alone and who else should be involved. Techniques for encouraging participation and creativity include making sure that all sides of the problem are discussed, injecting thought-provoking questions or comments, showing appreciation for contributions to encourage openness and risk taking, and using the creative thinking tools discussed in the next chapter, "Strategic Thinking." Proactive problem solving anticipates problems that could interfere with service delivery, customer or employee satisfaction, or other significant aspects of the organization's performance by establishing measures that signal problems, monitoring implementation of pro-

grams or services, and preparing contingency/risk management plans. Finally, the chapter presents techniques for intuitive decisionmaking in situations where limited time or information prevents managers and supervisors from using a more structured decisionmaking approach.

A matrix details the roles of each level of management in problem solving and decisionmaking based on the type of problem, the scope or complexity of the problem, the problem-solving partners, and the critical competencies required.

Chapter 11: Strategic Thinking

Strategic thinking encompasses the ability to recognize the relationships, complexities, and implications of a situation, anticipate possibilities, and plan what to do. The strategic thinker sees issues in the context of systems and their relationship to other systems. The skilled strategic thinker knows how to take advantage of opportunities that others might miss, recognizes the relationships between seemingly disparate entities, and views daily tactical issues in a broader and longer term context. The strategic thinker is able to consider a broad range of alternatives when addressing a challenge.

Chapter 11 addresses the importance of strategic thinking for managers and supervisors in correctional agencies/organizations and provides techniques for expanding their capacity to think and act strategically. The chapter first discusses challenges that require strategic thinking and outlines its benefits. The chapter then explains the elements of strategic thinking, including the different types of thinking—analytical, critical, conceptual, creative, and intuitive—and modes of thinking—logic and intuition, synthesis and analysis, convergence and divergence, holistic and divided, sequential and simultaneous, and hierarchy and network.

Because most correctional managers and supervisors have worked in systems that place the greatest value on analytical and critical thinking, the chapter presents techniques for expanding one's thinking and developing new ways of thinking, particularly in the areas of conceptual, creative, and intuitive thinking. These techniques include brainstorming, imagery, analogies, and mind mapping.

Chapter 11 then presents a framework for strategic thinking: Management by Groping Along guides leaders when they need to push ahead on an issue without an implementation plan. The five steps are know the goal; do the doable first (proceed by incremental steps); fix as you go (learn from mistakes and adjust throughout the implementation process); seek feedback, fix mistakes, and stay flexible; and describe the purpose.

Chapter 12: Managing Change

Most public sector managers and supervisors are good analysts and decision-makers who can define a problem and develop a strategy to resolve it. What distinguishes the effective manager or supervisor is the ability to implement the proposed solution. Understanding how and why people adapt to change can help a manager or supervisor develop more effective change strategies.

Chapter 12 addresses managing change in correctional agencies/organizations from the perspective of managers and supervisors. After discussing the importance of managing change, the chapter addresses the change dynamic and discusses Geoffrey Bellman's model of its four elements: Is, Wants, Players, You. This discussion includes a series of questions for clarifying the change elements, and presents four requirements for effective change management: listening with intent, understanding one's values and motives, submerging one's ego, and being flexible.

Chapter 12 then discusses the change process and presents John P. Kotter's eight-step model for transforming organizations. These steps are establishing a sense of urgency (getting employees to want the change); forming a powerful guiding coalition through the effective use of position power, expertise, credibility, and leadership; creating a vision; communicating the vision; empowering others to act on the vision; planning for and creating short-term wins that can be celebrated in meaningful ways; consolidating improvements to produce still more change; and institutionalizing the new approach.

Next comes guidance on how to manage transitions from "what is" to "what is desired," which involves William Bridges' three-stage model for transition. This model moves from the ending of the old way of doing things to the neutral zone (when the organization has not fully left the old behind or embraced the new) to the beginning of the new. The transition process is analogous to the grieving process defined by Elizabeth Kübler-Ross. Techniques for responding to each stage in the process include acknowledging, respecting, and compensating for the sense of loss that employees may feel; creating temporary systems and establishing a transition management plan; and explaining the purpose of the change and giving each employee a role to play in the change process.

Chapter 13: Program Planning and Performance Assessment

Effective leadership reflects how key decisions are made, communicated, and carried out at all levels of an organization. It relies on shared values, expectations, and purposes that are communicated and reinforced among leaders,

managers, and supervisors and are made evident in the actions of the organization. Program planning and performance assessment are valuable tools for leaders to use in establishing organizational direction, performance expectations, customer focus, and a leadership system that promotes excellence. They are also useful for communicating the correctional agency/organization's intentions and direction to regulatory and funding authorities.

Chapter 13 addresses the importance of program planning and performance assessment for correctional agencies/organizations from the perspective of correctional managers. It first offers a framework for developing and implementing a program plan in a correctional setting. A program plan aligns program resources with the correctional agency/organization's priorities, mission, vision, and goals. The chapter presents the cascading process for achieving this alignment at all levels of the organization through the development of goals and strategies or objectives at the division, program, unit, and individual or work group levels. The building blocks of the program plan include the assessment of the external and internal environments; the organization's vision, mission, values, and goals; its strategies and initiatives; the financial plan; and its performance measures. The chapter defines each building block, provides examples, and offers recommendations for development.

Chapter 13 then provides a consistent set of definitions for program performance assessment, including performance measurement and evaluation of programs. The discussion of performance measurement distinguishes five types of performance measures (objective statements, outcome, input, process/workload, and efficiency) and presents recommendations for developing these measures. Frameworks, using these performance measures, monitor implementation of the strategic plan:

- *Exception reporting* measures current performance against a stated target and generates a report when the measure is outside predetermined parameters.

- *Management review* requires managers to make regular, structured presentations on performance measurement data to executives and senior-level leaders and to answer administrative, diagnostic, creative and predictive, and evaluative questions on their presentations. Generally, a group discussion follows on best practices, barriers to success, and opportunities for collaborative problem solving.

Two other performance assessment tools are presented: program evaluations and performance audits. Program evaluations are indepth examinations of program performance that assess how well a program is working when its results cannot

be readily defined or measured. Performance audits are independent assessments of quality, efficiency, and effectiveness that verify performance and quality standards that may be difficult to capture with ongoing performance measures.

Finally, chapter 13 discusses how program planning and performance assessment create a continuous feedback cycle that enables managers to refine their programs to help the correctional agency/organization carry out its mission more effectively and respond to changes in its strategic direction. This cycle has four steps: planning, implementation, monitoring, and ongoing quality improvement.

Program implementation is often accomplished at a team level, with one or more teams or task forces assigned to individual projects related to the program. Methods for ensuring successful program implementation include defining the project sponsor/process owner, utilizing employees, establishing team charters, using an action plan to monitor the progress of each project, creating a learning environment, and understanding the roles of various levels of leaders within the organization. At a minimum, the action plan should address who (process owners and team members); what (project description); when (project completion date); how (resources); and status.

Chapter 14: Criminal Justice System

All parts of the criminal justice system have an effect on one another. Each part is important and plays its own role as defined by the branch of government under which it operates. Understanding the criminal justice system improves problem solving, removes barriers to change, and improves the chances of developing effective long-term strategic plans.

Chapter 14 provides an overview of the criminal justice system for correctional managers and supervisors. It first presents statistics regarding the scope of the criminal justice system in the United States and a diagram of the workings of the system from arrest to final disposition.

The chapter then discusses the roles of each branch of government—executive, judicial, and legislative—in the system. The executive branch manages the operations of the criminal justice system, providing for basic law enforcement; confining offenders in jail (both pretrial and posttrial) or prison (posttrial); and overseeing intermediate sanctions such as probation, parole (also known as postrelease supervision), or community corrections as well as treatment programs that address specific offender needs (e.g., drug or alcohol treatment, sex offender treatment, and cognitive skills development). The judicial branch determines the guilt or innocence of defendants, sets the terms and conditions of the sentence, and, especially in specialized courts such as drug and reentry courts, oversees the management of some offenders before trial and after conviction.

Courts include general jurisdiction trial courts, appellate courts, and specialized courts such as drug courts, family courts, and tribal courts. The legislative branch writes the laws that the executive branch enforces and the judicial branch adjudicates, and ultimately sets criminal justice system policies and procedures through statute. One development involving state legislatures in recent years is the passage of victims' rights amendments to state constitutions.

Chapter 14 then provides an overview of the sanctioning philosophies under which criminal justice systems operate, and presents a systems approach to criminal justice operations that aligns the goals of individual agencies with the overall goals and philosophy of the system as a whole. Sanctioning philosophies include punishment/retribution, crime reduction, recidivism reduction, reparation, economic costs, public satisfaction, and restoration. The systems approach relies on an oversight body such as a community criminal justice coordinating council, a regional criminal justice council/board, or a state commission on criminal justice to develop the overall system goals (called Big Hearty Audacious Goals or BHAGs), align individual agency or program goals with those system goals, and create the action plan for meeting the goals. Mapping possible options, causes, and outcomes at key decision points in the criminal justice system where agencies have maximum influence (e.g., arrest, pretrial detention, release from pretrial detention, prosecution, adjudication, sentencing, and sentence modification) and identifying indicators at those points for comparison with other jurisdictions (e.g., crime rates, recidivism rates, public satisfaction levels, and rates of plea bargains for specific crimes) provide a means for measuring a system's overall effectiveness.

Introduction

Nancy M. Campbell

This publication, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels*, is the second of two companion documents that are being published by the Academy Division of the National Institute of Corrections (NIC) as part of its Core Competencies Project. This project was established in response to a question by Robert Brown, Chief, Academy Division: "How can we design curriculums if we aren't sure what skills and abilities are required for success at the various levels of correctional management?" This publication and its companion, *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders*, answer this question by identifying and presenting core competencies and their related skills and behaviors for four levels of correctional leaders: executives, senior-level leaders, managers, and supervisors.

The Core Competencies Project: Meeting the Challenge

NIC is faced with the complex and challenging task of creating leadership and management training programs for a wide array of correctional professionals. These programs serve correctional agencies/organizations that range from small rural jails that house fewer than 20 offenders to large state correctional systems that may serve 50,000 inmates, probationers, and parolees. Correctional agencies/ organizations vary tremendously in size, scope, and structure, both within and across organizations. Some combine city, county, and state functions; others serve only one level of government. Thus, although all the participants in an NIC training program are in the correctional field, their professional experience may differ dramatically. For example, a deputy warden in one system may have a significantly different role and/or level of responsibility than a deputy warden in another system.

Although designing a competency model to clarify current and future roles and responsibilities for leaders and managers in an individual correctional agency/ organization may be relatively straightforward, doing so for each correctional agency/organization served by NIC's training programs would be cost prohibitive, given their number and their variation in size and scope. The challenge was to create a series of core competency models that could apply across the range of correctional agencies/organizations.

Developing the Managerial Profiles

The Academy Division first created profiles of the roles and responsibilities most common to a targeted level of correctional leadership. These profiles, which are presented in chapter 1, are not intended to describe a specific organization but represent many organizations.

The Core Competencies Project identified four levels of correctional leaders for which competencies were to be developed: executives, senior-level leaders, managers, and supervisors. Although, as noted earlier, correctional agencies/organizations vary widely in size and structure, these represent the typical levels of leadership.

Managerial profiles were then developed for each of these levels. These profiles provide a frame of reference for the typical responsibilities found in a correctional agency/organization. Each profile has four sections:

- *Authority:* The source of the position's authority. This includes both internal and external reporting relationships and placement within the organizational structure.

- *Responsibilities:* The typical responsibilities associated with each level of leadership.

- *Tasks:* The typical tasks associated with each responsibility.

- *Positions:* Examples of positions found at each leadership level.

The responsibilities and associated tasks at each level address seven key areas: vision, goals and objectives, organizational culture, budget and financial resources, the external environment, public policy, and human resources (a competent and diverse workforce). Although each of the four levels of leadership has responsibilities in each of these key areas, those responsibilities vary. For example, although the executive is ultimately responsible for the organizational vision, senior-level leaders are responsible for building commitment to the vision and aligning the vision to the services and programs provided.

Developing the Core Competencies

Once the profiles for each level of leader were created, the project then sought to identify the characteristics that resulted in the best performance at each level. Based on focus groups and surveys of correctional leaders, input from experts in the correctional field, and comparisons to other fields in the private nonprofit and for-profit arenas, 13 areas were chosen as core competencies for correctional managers and supervisors.

Competencies	
Managers	**Supervisors**
Ethics and Values	Ethics and Values
Interpersonal Relationships	Interpersonal Relationships
Motivating Others	Oral and Written Communication
Developing Direct Reports	Motivating Others
Managing Conflict	Developing Direct Reports
Team Building	Managing Conflict
Collaboration	Team Building
Problem Solving and Decisionmaking	Collaboration
Strategic Thinking	Problem Solving and Decisionmaking
Managing Change	Criminal Justice System
Program Planning and Performance Assessment	
Criminal Justice System	

These competencies, which are presented in chapters 2 through 14, represent the key skills, knowledge, and attributes of effective managers and supervisors. Although these competencies overlap significantly with those identified for executives and senior-level leaders in the companion document, *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders,* each document is designed to emphasize the knowledge of the competency needed by each level of leader. Each competency model also links skills associated with that competency with a set of specific behaviors for managers and supervisors. The competencies are presented in the following format:

- *Definition:* Each chapter begins with a brief definition of the competency and associated concepts as appropriate.

- *Knowledge Base:* This section presents the knowledge of the competency that managers and supervisors should possess. It begins with a discussion of why correctional managers and supervisors should possess the competency and then provides a context for understanding the competency, both as a general principle and within the correctional environment. Finally, it provides a summary that emphasizes the key elements of each competency.

- *Key Skills and Behaviors:* This section presents key skills needed by managers and supervisors to be proficient in each competency and the behaviors associated with each skill.

- *Focus Matrix for Managers and Supervisors:* An appendix to each chapter presents a table that shows how elements of the competencies apply to each level of leader, emphasizing the differences between managers and supervisors in responsibilities related to the competencies.

- *Resources:* This section presents source and background materials related to each competency. Where a competency is discussed in both this document and the companion document, the resource list will include materials related to all levels of management. This gives managers and supervisors an opportunity to acquaint themselves with aspects of the competency that pertain to the responsibilities of executives and senior-level leaders so that they can further their professional development and prepare to step into those roles.

How To Use the Core Competencies

The core competencies presented in this publication can be used for administrative purposes, staff development, or both. Administratively, they may address such issues as recruitment and selection of managerial personnel, placement and retention of current employees, or succession planning for leadership positions. When used for staff development, the competencies can function as a framework to develop appropriate training curriculums or help target the external resources that are needed. Individual correctional leaders may also use the competencies in their own personal growth and professional development efforts.

NIC expects that the core competency model will be useful for correctional agencies/organizations throughout the nation and for NIC in several ways:

- Assisting NIC staff in identifying the most appropriate candidates for a particular training.

- Facilitating the design of NIC training programs.

- Helping correctional agency/organization leaders plan for staff development and succession.

Managerial Profiles

Nancy M. Campbell

Defining the global duties, tasks, and responsibilities for a level of management in the field of corrections is fraught with challenges and often raises as many questions as answers. Recognizing the diversity of correctional agencies/organizations and respecting that there are many ways to organize effectively, the authors designed the managerial profiles in this chapter to provide a frame of reference for the type of responsibilities that are typically found at different levels in a correctional agency/organization.

This is a model; it is not designed to represent any particular correctional agency/organization. Rather, it is designed to assist a range of correctional agencies/organizations and the National Institute of Corrections (NIC) in several ways. It will assist Academy Division staff in their efforts to identify the most appropriate candidate for a particular training. It also will assist both NIC and other correctional training professionals in designing training programs. Finally, it will assist correctional agency/organization leaders in planning for staff development and succession.

Exhibit 1–1 shows that management positions in correctional agencies/organizations can be loosely classified into four levels.

The sections that follow profile these levels. Each profile includes a brief discussion of the level's authority and placement within the organizational structure; lists of responsibilities, tasks associated with each responsibility, and positions that typically fall within the level (because of differences in size and organizational structure of correctional agencies/organizations, the examples may not always be an accurate reflection of any one correctional agency/organization); and, finally, a list of the core competencies associated with the level.

Exhibit 1–1. The Four Levels of Management

- Executive
- Senior-Level Leader
- Manager
- Supervisor

Chapter 1
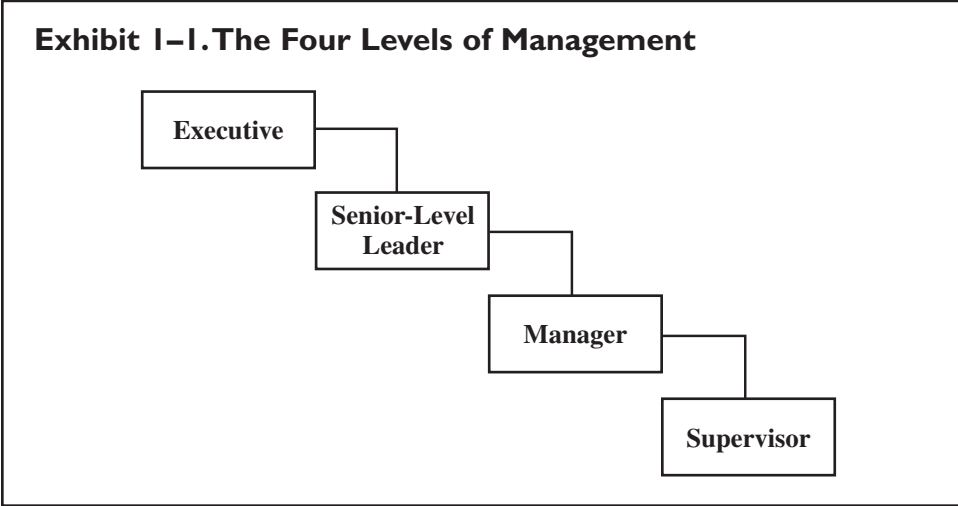
Executive Profile

Authority

The executive-level leader is the head of a correctional agency/organization and is often elected to the post or appointed by an elected official. Working within a broad and often vague mandate, this leader sets the direction and policy for the organization. This leader works extensively with stakeholders outside the organization that have influence in the political and policy arenas. In some systems, the deputy director may also be considered an executive-level post.

The executive may serve at the pleasure of an elected official such as the Governor, mayor, chief judge, or county executive, or an elected body such as a city or county council. In some cases, the executive may report to a commission appointed by an elected official or a judicial officer or body.

Responsibilities

The executive is responsible for the leadership and effective management of all correctional operations and services within a level of government. The executive is expected to:

■ Establish the correctional agency/organization's ***vision and mission.***

■ Set clear ***goals and objectives*** to ensure the alignment and/or development of the organizational and administrative systems to support the correctional agency/organization's mission. Evaluate progress toward desired outcomes.

■ Build an ***organizational culture*** that supports the attainment of desired outcomes.

■ Secure the ***resources*** needed for successful implementation of the correctional agency/organization's mission and ensure that those resources are managed effectively and efficiently.

■ Manage the ***external environment,*** including relations with other departments, agencies, and organizations; the community; and other stakeholders.

■ Influence and develop ***public policy*** that supports the correctional agency/organization's mission.

■ Develop a ***competent and diverse senior-level staff*** to ensure that the correctional agency/organization's vision, mission, and goals are achieved.

Tasks

Several tasks are associated with each executive-level responsibility. They include the following:

Responsibility	Tasks
Establish the correctional agency/organization's ***vision and mission.***	Communicate a shared, compelling, and inspiring vision and sense of organizational purpose. Ensure the development of short- and long-range plans that meet the correctional agency/organization's goals. Identify future trends in the field and/or in the external environment that might affect the correctional agency/organization.
Set clear ***goals and objectives*** to ensure the alignment and/or development of the organizational and administrative systems to support the correctional agency/organization's mission. Evaluate progress toward desired outcomes.	Provide an effective organizational structure that clearly defines lines of authority, responsibility, and communication. Ensure the development of policies, practices, and procedures that result in an organizational structure that promotes the coordination, cooperation, and integration between divisions and units needed to achieve desired outcomes. Ensure the development and maintenance of internal and external communication systems that foster clarity and develop supportive relationships. Ensure that the systems for monitoring and evaluating outcomes provide feedback regarding progress toward goal attainment and ways to improve systems. Ensure the development and maintenance of strategies for understanding best practices in the subject area(s).
Build an ***organizational culture*** that supports the attainment of desired outcomes.	Build a culture that ensures that the correctional agency/organization's mission and values drive the organization. Create a culture that facilitates the adoption of strategies and practices that continuously respond to changes in policy and legislative mandates, available resources, and environment. Create a culture that identifies and responds to the needs of those whom the correctional agency/organization serves (e.g., prisoners, victims, and their families; local community members; elected officials and legislators; and the general public). Create a culture that supports and rewards both individual and team efforts. Create a culture that values fair and equitable treatment of offenders, staff, and other stakeholders.

Responsibility	Tasks
	Ensure that staff, offenders, and community members are treated with dignity and respect in all interactions.
	Provide leadership and motivation to staff through personal behavior, knowledge, and values.
Secure the *resources* needed for successful implementation of the correctional agency/organization's mission and ensure that those resources are managed effectively and efficiently.	Ensure that resources are expended in ways that support the implementation of the correctional agency/organization's vision, mission, and goals.
	Place the correctional agency/organization's funding needs and requests within the context of the elected official/body's priorities.
	Understand the resources needed for operating and capital expenses and communicate possible options for securing funding for these needs.
	Understand the impact of resource use on other public and private systems.
	Develop the relationships needed to engender trust and confidence in both the estimate of need and the use of resources.
	Demonstrate accountability with funding sources.
Manage the *external environment,* including relations with other departments, agencies, and organizations; the community; and other stakeholders.	Look for opportunities to collaborate with other public and private stakeholders.
	Establish and maintain effective working relationships with other government and nonprofit organizations, community interest groups, and stakeholders.
	Establish organization policy regarding public and media relations.
	Communicate the vision, mission, and goals of the correctional agency/organization to a broad range of audiences.
Influence and develop *public policy* that supports the correctional agency/ organization's mission.	Develop and maintain effective legislative/political relationships.
	Encourage understanding and cooperation of policymakers and those who influence them.
	Assist senior agency staff in understanding how the correctional agency/organization's agenda fits into the context of other public policy issues.
	Use the most current and accurate research to support policy direction.

Responsibility	Tasks
Develop a *competent and diverse senior-level staff* to ensure that the correctional agency/organization's vision, mission, and goals are achieved.	Attract and retain a mix of styles, skills, and abilities among senior-level staff that results in an effective team.
	Create a culture of continuous learning and improvement that supports responsible risk-taking and growth for senior staff.
	Reward achievement and recognize the importance of all levels of contribution.
	Celebrate accomplishments.

Positions

Executive-level positions may include:

- Director of a state Department of Corrections.

- Director of a city or county Department of Corrections.

- Federal Bureau of Prisons Regional Director.

- Sheriff.

- Director of a state Juvenile Department of Corrections.

- Director of a local Juvenile Department of Corrections.

- Director of a state or local probation system.

- Director of the paroling authority where it is separate from the Department of Corrections.

- Deputy Directors of large systems.

Competencies

- Self-Awareness.

- Ethics and Values.

- Vision and Mission.

- Strategic Thinking.

- Managing the External Environment.

- Power and Influence.

- Collaboration.

- Team Building.

Senior-Level Leader Profile

Authority

The elected or appointed correctional agency/organization director appoints this individual. The position can be classified or exempt. This leader advises the director in the development of policy and interprets policy within the parameters set by the executive. He or she works extensively with internal stakeholders in aligning organizational systems with the executive's vision. This individual is usually within the upper third of the organizational structure.

The senior-level leader usually reports to the executive, who serves at the pleasure of the jurisdiction's elected official(s). In some cases, the executive may serve at the pleasure of an elected body such as a city or county council. In other situations, the executive may report to a body that is appointed by the elected official, or may report to both an oversight body and the elected official.

The senior-level leader may occupy an exempt position and serve at the pleasure of the executive or may occupy a classified position in a civil service system. In larger systems, the deputy director may hold a senior-level leader position. In this case, the deputy typically reports to the division director, who reports directly to the executive.

Responsibilities

The senior-level leader is responsible for the overall management of a division, an institution, field services, or another major organizational component of a correctional agency/organization such as administrative, program, and support services. The senior-level leader is expected to:

- Implement the correctional agency/organization's ***vision and mission.***

- Implement ***goals and objectives*** that align and/or develop the organizational and administrative systems and evaluation processes that support the correctional agency/organization's mission.

- Build an ***organizational culture*** within the division that supports the attainment of desired outcomes.

- Coordinate and manage the development and oversight of the ***budget and finances*** to ensure congruence with the correctional agency/organization's vision and mission.

- Manage the *external environment,* including relations with other depart- ments, agencies, and organizations; the community; and other stakeholders.

- Influence and develop *public policy* that supports the correctional agency/organization's mission.

- Create and maintain a *competent and diverse workforce.*

Tasks

Several tasks are associated with each senior-level leader responsibility. They include the following:

Responsibility	Tasks
Implement the correctional agency/organization's *vision and mission.*	Assist in the development and refinement of the correctional agency/organization's vision and mission.
	Interpret the vision and mission and determine the nature and impact of change needed to implement that vision and mission.
	Develop a plan to create ownership of change and monitor progress toward goal achievement.
	Report progress toward goal achievement to appropriate organizational levels.
	Develop systems to honor staff for goal achievement.
	Constantly review, monitor, and analyze the division/institution's programs to ensure they are achieving the correctional agency/ organization's mission and vision.
	Create a clear and expedient process for staff to suggest changes to organization policy, procedures, standards, and contracts.
Implement *goals and objectives* that align and/or develop the organizational and administrative systems and evaluation processes that support the correctional agency/organization's mission.	Develop the process and timing for aligning the units within the division/institution with the correctional agency/organization's vision and mission.
	Build an organization that balances the interests of the employees, clients or customers/constituents, and the community while meeting the organization's mission.
	Develop and monitor a system of decisionmaking that includes delegation of authority and responsibility to the lowest appropriate level of management.
	Implement and monitor policies and procedures necessary to meet the agency's goals and objectives, mission, and vision.
	Develop ways to communicate effectively with staff, clients or customers/constituents, and the community.

Responsibility	Tasks
	Provide an effective organizational structure that clearly defines lines of authority, responsibility, and communication.
	Develop and maintain strategies for understanding best practices in the subject area(s).
Build an *organizational culture* within the division that supports the attainment of desired outcomes.	Create a culture in the division that:
	• Supports the correctional agency/organization's vision, mission, goals, and objectives.
	• Facilitates the adoption of strategies and practices that continuously respond to changes in policy and legislative mandates, available resources, and environment.
	• Identifies and responds to the needs of those served by the correctional agency/organization (e.g., prisoners, victims, and their families; local community members; elected officials and legislators; and the general public).
	• Supports both individual and team efforts.
	• Values fair and equitable treatment of offenders, staff, and other stakeholders.
	Ensure that staff, offenders, and community members are treated with dignity and respect in all interactions.
	Provide leadership and motivation to staff through personal behavior, knowledge, and values.
Coordinate and manage the development and oversight of the *budget and finances* to ensure congruence with the correctional agency/organization's vision and mission.	Ensure that division or program resources are expended in ways that support the implementation of the correctional agency/ organization's vision, mission, and goals.
	Develop budget priorities consistent with the correctional agency/organization's vision and mission.
	Develop a process for program and unit managers to submit budget requests, modifications, and adjustments.
	Advocate for funding.
	Ensure that sound accounting and monitoring processes provide accurate feedback regarding allocations and expenditures.
	Ensure proper allocation and expenditure of funds.
	Develop a process to identify cost savings.

Responsibility	Tasks
Manage the *external environment,* including relations with other departments, agencies, and organizations; the community; and other stakeholders.	Manage public and media relations within the context of established organization policy. Share the correctional agency/organization's vision and mission with other government and nonprofit organizations, community interest groups, and stakeholders. Develop and maintain opportunities for involving volunteers. Establish avenues for community involvement in the division/institution's programs and for the correctional agency/organization's involvement in the community, within the context of established correctional agency/organization policy. Ensure that the community is actively involved whenever possible in the delivery of program services, within the context of established correctional agency/organization policy.
Influence and develop *public policy* that supports the correctional agency/organization's mission.	Develop and maintain the working relationships needed with legislative/political staff and officials to ensure implementation of the correctional agency/organization's vision and mission. Help agency staff understand how the correctional agency/organization's agenda fits into the context of other public policy issues. Create opportunities for staff to participate in understanding, developing, and implementing public policy. Create opportunities for external stakeholders to participate in developing public policy.
Create and maintain a *competent and diverse workforce.*	Provide supervision to direct reports and model best supervision practices. Ensure that staff regularly receive meaningful performance reviews. Ensure that timely and fair mediation processes are in place to resolve staff problems, complaints, grievances, and labor relations issues. Encourage the establishment and use of opportunities for employee development and be sure employees understand how to access them. Determine the division/institution's staffing needs and ensure that appropriate steps are taken to meet those needs. Ensure the establishment of fair and equitable human resources and labor/management policies.

Positions

Senior-level leader positions may include:

- Director of Probation, Parole, or Community Corrections.

- Deputy Director of Probation, Parole, or Community Corrections.

- Director of the Division of Institutions/Prisons.

- Deputy Director of the Division of Institutions/Prisons.

- Regional or District Director of Field Services (Probation and/or Parole, Community Corrections, Community Sentencing).

- Warden/Superintendent.

- Juvenile Facility Administrator.

- Juvenile Detention Director/Superintendent.

- Juvenile Probation Director (can also be executive level depending on state).

- Jail Administrators.

- Deputy Jail Administrators in large systems.

- Directors of combined field and institutional regions/programs.

- Correctional Industries Director.

- Deputy Correctional Industries Administrator.

- Medical and Program Services Director.

- Deputy Medical and Program Services Director.

- Capital Program Director.

- Deputy Capital Program Director.

- Director of Human Resources, Budget, or Information Services.

- Deputy Director of Human Resources, Budget, or Information Services.

Competencies

- Self-Awareness.

- Ethics and Values.

- Vision and Mission.

- Strategic Thinking.

- Managing the External Environment.

- Power and Influence.

- Strategic Planning and Performance Measurement.

- Collaboration.

- Team Building.

Manager Profile

Authority

This individual is usually in a classified position and reports to a senior-level leader who is the head of a division and/or institution within a correctional agency/organization. Although the senior-level leader may be an exempt employee who serves at the pleasure of an appointed official or body, the manager most often holds a classified position within the civil service system. The manager is above supervisors in the chain of command and is typically in the middle ranks of a correctional agency/organization.

The manager advises senior-level leaders about policy development but is primarily responsible for interpreting and implementing correctional agency/organization policy. The major focus is working with internal stakeholders to create the systems and services needed to fulfill correctional agency/organization policy.

Responsibilities

The manager is responsible for the implementation, oversight, and management of a unit, program, or department within a division, institution, or field setting. The manager is expected to:

- Ensure the implementation of short- and long-term goals and objectives that are congruent with the correctional agency/organization's *vision and mission.*

- Develop *procedures* to ensure the alignment of the unit or program with correctional agency/organization policy and best practices.

- Build an *organizational culture* within the unit/program that supports the attainment of desired outcomes.

- Manage the unit/program's *budget and finances* to ensure implementation of the correctional agency/organization's vision and mission.

- Manage the *external environment* related to the manager's area of responsibility.

- Ensure that unit/program staff understand and support the correctional agency/organization's ***public policy*** agenda.

- Provide leadership to and supervise ***staff.***

Tasks

Several tasks are associated with each manager-level responsibility. They include the following:

Responsibility	Tasks
Ensure the implementation of short- and long-term goals and objectives that are congruent with the correctional agency/organization's ***vision and mission.***	Enable unit and/or program staff to understand the correctional agency/organization's vision and mission. Work with staff to develop the procedures and practices needed to achieve short- and long-term goals. Monitor progress toward goal achievement. Recognize and honor staff for goal achievement. Ensure that unit and/or program customers/constituents (offenders, staff, etc.) receive appropriate and needed services. Create a clear and expedient process for staff to suggest changes to agency policy, procedures, standards, and contracts.
Develop ***procedures*** to ensure the alignment of the unit or program with correctional agency/organization policy and best practices.	Develop and maintain strategies for understanding best practices in the unit/program's subject areas. Ensure that authority and responsibility for making changes in procedures and practices are at the lowest appropriate level of staff. Develop organizational systems and a structure for communicating program changes, requirements, and needs. Ensure that staff are well trained on policies, procedures, and practices. Use feedback from a quality assurance system to ensure ongoing improvement of services. Ensure that evaluation data are used to support the continuation, modification, and/or change in services.
Build an ***organizational culture*** within the unit/program that supports the attainment of desired outcomes.	Communicate the correctional agency/organization's vision, mission, goals, and objectives to staff. Interpret the nature and impact of impending change and help staff adapt to change.

Responsibility	Tasks
	Create a culture that responds to the identified needs of offenders, staff, and other stakeholders.
	Support both individual and team efforts.
	Create a culture that values honesty and fair and equitable treatment of offenders, staff, and other stakeholders.
Manage the unit/program's **budget and finances** to ensure implementation of the correctional agency/organization's vision and mission.	Develop budget priorities and provide budget requests, modifications, and/or adjustments to appropriate senior staff.
	Advocate for funding.
	Develop a spending plan based on approved allocations.
	Ensure proper allocation and expenditure of funds.
	Monitor and control expenditures and ensure that unit/program resources are expended in ways that support the implementation of the correctional agency/organization's vision, mission, and goals.
	Ensure that fiscal policies and procedures are followed.
	Develop a process to identify cost savings.
	Create a process for staff to suggest ways to use resources more effectively or to generate new revenues and share these suggestions with senior-level leaders.
Manage the **external environment** related to the manager's area of responsibility.	Represent the unit/program within the correctional agency/organization and in the community.
	Maintain good working relationships with other government and community agencies.
	Promote volunteer opportunities.
	Ensure appropriate supervision and support for volunteers.
	Create a timely and responsive system for investigating and responding to staff grievances and complaints by those served by the agency.
	Ensure that the community is actively involved in the delivery of program services whenever possible.
Ensure that unit/program staff understand and support the correctional agency/organization's **public policy** agenda.	Educate unit/program staff about the correctional agency/organization's public policy agenda.

Responsibility	Tasks
	Ensure that services and programs assist staff in understanding how the correctional agency/organization's agenda fits into the context of other public policy issues.
	Create opportunities for staff to participate in understanding, developing, and implementing public policy.
Provide leadership to and supervise *staff.*	Recruit, hire, and retain staff who have the appropriate mix of styles, skills, and abilities.
	Provide leadership and motivation to staff through personal behavior, knowledge, and values.
	Provide supervision to direct reports and model best supervision practices.
	Ensure that human resources policies are administered in a fair and equitable manner.
	Ensure that employees regularly receive meaningful performance reviews.
	Ensure that timely mediation processes are in place to resolve staff problems, complaints, grievances, and labor relations issues.
	Ensure that opportunities for employee development exist and employees understand how to access them.
	Determine and advocate for the unit/program's staffing needs.

Positions

Manager-level positions may include:

- Corrections Unit or Program Manager.

- Institution/Prison Department Head.[1]

- Deputy Superintendent of Institution/Prison Department.

- Institution/Prison Major or Captain.

- Boot Camp Director.

- Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager.

- Interstate Compact Administrator.

- Deputy Jail Administrator.

- Jail Department Head.

- Juvenile Facility Department Head.

- Juvenile Probation Department Head.

- Accounting, Budget, Legal, Purchasing, and/or Contracts Manager.[2]

- Human resources functions such as Diversity Manager, Labor Relations, Public Information, and Training Manager.

- Information/Technology Services Manager.

- Capital Programs or Correctional Industries Administrator.

- Health Services or Substance Abuse Program Manager.

- Victim/Witness Program Manager.

- Food Service or Facilities Manager.

Competencies

- Ethics and Values.

- Interpersonal Relationships.

- Motivating Others.

- Developing Direct Reports.

- Managing Conflict.

- Team Building.

- Collaboration.

- Problem Solving and Decisionmaking.

- Strategic Thinking.

- Managing Change.

- Program Planning and Performance Assessment.

- Criminal Justice System.

Supervisor Profile

Authority

This individual generally manages the staff who work directly with the client or constituent group. The supervisor makes recommendations to improve systems and service delivery and monitors operations for compliance with correctional agency/organization policy. A supervisor position is typically one or two steps above the line or entry-level position in the organization.

A supervisor usually reports to a manager who is the head of a department. Like a manager, the supervisor usually holds a classified position within the civil service system. Supervisors may also be part of a labor union and subject to a collective bargaining agreement. In the chain of command, a supervisor usually provides direct oversight of line staff and/or performs administrative duties assigned by the manager.

Responsibilities

The supervisor is responsible for the effective delivery of services to a client (customer/constituent) and/or staff population. The supervisor is expected to:

- Ensure that correctional agency/organization policies, procedures, standards, and contracts are implemented and support the correctional agency/organization's *vision and mission.*

- Implement *procedures* to ensure the alignment of the unit or program with correctional agency/organization policy and best practices.

- Build an *organizational culture* within the unit or program that supports the attainment of desired outcomes.

- Ensure that *resources* are expended wisely and as prescribed by correctional agency/organization policy and procedures.

- Interact with the *external environment.*

- Ensure that unit/program staff understand and support the correctional agency/organization's *public policy* agenda.

- Provide *supervision* to direct reports and model best supervision practices.

Tasks

Several tasks are associated with each supervisor-level responsibility. They include the following:

Responsibility	Tasks
Ensure that correctional agency/organization policies, procedures, standards, and contracts are implemented and support the correctional agency/organization's *vision and mission.*	Ensure that proposed changes to correctional agency/organization policy, procedures, standards, and contracts are congruent with the correctional agency/organization's vision and mission.

Ensure that staff are well trained in and understand correctional agency/organization policy, procedures, standards, and contracts.

Ensure compliance with correctional agency/organization policy, procedures, standards, and contracts.

Create a clear and expedient process for staff to suggest changes to correctional agency/organization policy, procedures, standards, and contracts. |
| Implement *procedures* to ensure the alignment of the unit or program with correctional agency/organization policy and best practices. | Ensure that program services are delivered in the safest and most effective and cost-conscious way.

Ensure that the program design is guided by the best correctional practices.

Ensure that programs and practices provide for the safety and security of staff, offenders, victims, and the community.

Ensure that offenders, clients,[3] customers/constituents, and others served by the correctional agency/organization receive services that have the greatest potential for addressing their needs.

Ensure that inspections for security, emergencies, and maintenance are completed regularly.

Ensure that services are delivered in the least restrictive setting that is congruent with offender and community interests.

Ensure that evaluation data are used to support a continuation, modification, and/or change in services. |
| Build an *organizational culture* within the unit or program that supports the attainment of desired outcomes. | Create a culture that ensures fair and equitable treatment of staff, offenders, and community members.

Ensure that staff, offenders, and community members are treated with dignity and respect in all interactions.

Ensure that the community is actively involved in delivering program services whenever possible.

Support individual and team efforts.

Model the leadership behaviors you want staff to exhibit. |

Responsibility	Tasks
Ensure that *resources* are expended wisely and as prescribed by correctional agency/organization policy and procedures.	Provide feedback to managers regarding the amounts and types of resources needed to provide program services.
	Ensure that expenditures are within the approved funding allocation.
	Inform managers of any current or projected expenditure changes from the approved funding allocation.
	Assist in providing the information needed for any budget adjustments or supplemental funding requests.
	Foster a process for staff to suggest ways to use resources more effectively or to generate new revenues; share these suggestions with managers.
	Ensure that spending at the unit/line level is consistent with the budget plan and the correctional agency/organization's mission, vision, and goals.
Interact with the *external environment.*	Represent the unit/program within the correctional agency/organization and in interactions with clients or customers/constituents from the community, such as families and agency representatives who work with offenders.
	Maintain good working relationships with other government and community agencies.
	Ensure that staff are helpful and treat external customers/constituents such as offenders' and victims' families respectfully.
	Promote volunteer opportunities.
	Ensure appropriate supervision and support for volunteers.
	Create a timely and responsive system for investigating and responding to staff grievances and complaints by those served by the correctional agency/organization.
	Ensure that the community is actively involved whenever possible in the delivery of program services.
Ensure that unit/program staff understand and support the correctional agency/organization's *public policy* agenda.	Ensure that information regarding offender and/or client services, needs, and demographics is kept in a record that is accurate, up to date, and easily accessible to those who need this information to facilitate development of the policy agenda.
	Ensure that unit/program staff receive training regarding the correctional agency/organization's policy agenda.

Responsibility	Tasks
	Provide staff with information regarding the policy agenda so they can be sources of information for members of the community and better understand the reason for correctional agency/organization policy and change.
Provide *supervision* to direct reports and model best supervision practices.	Support the growth and development of staff by creating learning opportunities on the job.
	Ensure that staff are trained in the skills needed to provide direct services and/or oversight for programs for which they are responsible.
	Schedule staff and assign work in a fair and equitable fashion.
	Ensure that staff receive the appropriate and necessary training and employee development.
	Conduct meaningful performance reviews regularly or ensure that employees regularly receive such reviews.
	Ensure that timely mediation processes are in place to resolve staff problems, complaints, grievances, and labor relations issues.
	Recognize and honor staff for goal achievement.
	Communicate correctional agency/organization, staff, and community issues to managers on a regular basis.

Positions

Supervisor-level positions may include:

- Classification Supervisor.

- Adult or Juvenile Correctional Housing Unit Supervisor.

- Juvenile Treatment Coordinator.

- Correctional Industries Supervisor.

- Probation, Parole, Community Corrections/Sentencing Supervisor.

- Interstate Compact Administrator.

- Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor.

- Human resources functions such as Diversity Supervisor or Labor Relations, Public Information, or Training Supervisor.

- Information/Technology Services Supervisor.

- Capital Programs or Correctional Industries Administrator.

- Health Services or Substance Abuse Program Supervisor.

- Victim/Witness Program Supervisor.

- Food Service or Facilities Supervisor.

Competencies

- Ethics and Values.

- Interpersonal Relationships.

- Oral and Written Communication.

- Motivating Others.

- Developing Direct Reports.

- Managing Conflict.

- Team Building.

- Collaboration.

- Problem Solving and Decisionmaking.

- Criminal Justice System.

Notes

1. An institution or prison department head is responsible for the supervision and/or management of a correctional institution program, area, or department.

2. These and the following positions listed may be supervisory positions in some correctional agencies/organizations.

3. Although we traditionally think of the correctional "client" as the offender, in many instances the client of a supervisor may be a victim of crime, a staff member of the correctional agency/organization or of another criminal justice agency, or another community agency such as a nonprofit, etc. The broad array of supervisors covered by this profile (e.g., legal, financial, and human resources staff as well as line supervisors within the correctional facility itself) makes it clear that "client" is not limited to offenders.

Ethics and Values

J. Patrick Dobel

This chapter addresses the importance of ethics and values to correctional managers and supervisors. Topics include the special pressures on correctional managers, supervisors, and staff that at once make ethics and values central to their mission and make them more vulnerable to lapses in ethics; approaches to ethics; and integrity as the foundation of ethical behavior. The chapter also describes the threats to ethics in the correctional environment and details the responsibilities of managers and supervisors to build an ethical organization. It discusses the key leadership values that ethical leaders must embody and reviews the types of unethical behavior that correctional managers and supervisors must avoid and the circumstances that may lead to unethical behavior. Finally, it summarizes the key skills and behaviors related to ethics and values for correctional managers and supervisors, and presents a matrix (appendix 2–1) that shows how those skills and behaviors apply at each level.

Definitions

Ethics: Ethics encompasses the standards for evaluating right and wrong and the personal qualities that sustain the ability to make and act on these judgments. Ethical standards guide decisions and focus behavior for right or wrong action. They anchor our sense of personal and professional integrity.

Values: Values include principles, qualities, and aspects of life that individuals believe possess intrinsic goodness or worth. They also include qualities of character, such as courage, prudence, and fidelity, which provide the moral and psychological foundation to sustain judgment and act on it.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?
Personal Role (Professional) Ethics
Ethics at the managerial and supervisory levels focuses on the standards and character required of individuals in positions of authority. Managers and supervisors explicitly or implicitly promise to judge and act according to the legal and professional standards for the position and agree to be held accountable for those judgments and actions. The responsibility to act with professional and personal ethics is even more important in corrections because correctional officers possess special powers to use force in the performance of their duties.

Chapter 2

Holding a position of authority, especially in a vital public area such as corrections, enmeshes a person in a web of obligations and dependencies. Colleagues, superiors, peers, offenders, and other correctional clients (e.g., victims and the family members of victims and offenders) rely on managers and supervisors for consistent, competent, and fair judgment and actions. If they fail, frontline staff and offenders can suffer serious consequences, and the legitimacy of the correctional institution is undermined.

Organizational Ethics and Values

Although ethics and values often are identified as personal concerns, successful public organizations create and sustain their own ethical standards of performance that guide employees in their daily decisions. These ethical standards give reality to the vision and mission in the daily decisions of individuals. They reside in the norms of the culture and the professional judgment of correctional personnel. Managers and supervisors carry the norms of the organization and are the frontline of ethical performance and culture.

Ethics: A Criminal Justice Perspective for Managers and Supervisors

In corrections, ethics plays a critical role because of its centrality to discretion. Exercising discretion in responding to situations is fundamental to management and leadership. Discretion comes into play at the management and supervisory levels when rules fail to cover a situation, several rules conflict, or acting on seemingly clear rules would create significant harm.

Integrity

Individual values and the decisions that flow from them define people and institutions. They focus and guide decisions and sustain the professional norms and values of the correctional institution.

Ethics matters for people and organizations because it anchors integrity. People define themselves by their decisions and actions in important situations. To sustain their self-respect, people rely on values and virtues to guide and uphold them in work and life.

Importance of Ethics in Corrections

Correctional work involves high stakes. The basic rights of offenders are on the line. Because democratic rights are taken from those in custody, offenders are exposed to potential abuse from fellow offenders and officers. The vulnerability of offenders in custody imposes a duty on correctional managers and supervisors to ensure that the safety and rights of these offenders are respected even under difficult circumstances. At the same time, correctional officers are exposed to serious danger in their daily duties. Managers and supervisors

I believe it may be laid down as a general rule that [the people's] confidence in and obedience to a government will commonly be proportioned to the goodness or badness of its administration.

—Alexander Hamilton, *Federalist 27*

must ensure competent and fair performance by officers while protecting them from the multiple dangers of dealing with hardened offenders.

Correctional work generates many lawsuits from both aggrieved offenders and staff. Managers and supervisors can prevent or precipitate such lawsuits by their effective or ineffective performance.

Because of the constant potential for abuse of power or violence, correctional institutions and the activities inside them can be a flashpoint for media coverage and scandals that may destroy careers, undermine facility operations, and hurt the legitimacy of the government.

Legitimacy of Government

All governmental institutions struggle to earn the trust and respect of the general public. Because of the importance of protecting the public safety and the dangers associated with corrections, correctional institutions are constantly scrutinized. Many of the lawsuits and much of the negative media coverage concerning correctional institutions arise directly from incidents in the purview of managers and supervisors. The negative publicity that results does irreparable damage to trust in the criminal justice system. Managers and supervisors determine the legitimacy of governmental institutions as the frontline agents of leadership and management.

Organizational Culture

Managers and supervisors handle many complex, difficult, and recurring ethical issues that require the application of discretion, laws, rules, and values. Their actions can prevent serious problems from occurring or can generate more problems. Over time, their daily decisions create the institutional culture of a correctional facility. Their actions that reflect professional and organizational values sustain those values, but indifference or looking the other way encourages corruption among both staff and offenders. By their decisions and actions, managers and supervisors model and enforce standards that are reference points for staff and offenders alike.

Diversity and Respect

Racial, cultural, religious, and gender differences compound the power inequality and vulnerability of both offenders and correctional personnel. Too often such differences can lead to friction and real or perceived abuse in interactions between supervisors and staff or between staff and offenders. The hard and dangerous daily reality of life in corrections generates pressures that can erode the commitment and performance of the best personnel. Managers and supervisors have the power to head off potential conflicts and to integrate diverse people into cohesive teams. They model and teach personnel how to navigate the tensions that such differences create in the correctional environment.

Foundation of Ethics—Three Approaches

As described by Kathryn Denhardt in *The Ethics of Public Service: Resolving Moral Dilemmas in Public Organizations,* three approaches characterize the different foundations of ethics: principle or rule based, consequential, and virtue.

Three Approaches to Ethics

- Principle or rule based.
- Consequential.
- Virtue.

Principle- or Rule-Based Ethics

This approach focuses on the standards of right and wrong that individuals use when they judge and act. A principle defines a general standard such as "lying is wrong" or "telling the truth is good." Rules, such as "never lie" or "always tell the truth," tend to be much more specific and directional. Nature, religion, one's philosophy of life, and one's beliefs about the nature of human beings and the world can provide the foundation for the principles or rules.

Consequential Ethics

This approach focuses on the consequences of actions. It is compared favorably to principle- or rule-based ethics in that it avoids the negative consequences that can result from following a rule indiscriminately. The most common consequential approaches view consequences in terms of how much happiness or good an action brings to human beings. Individuals choose their actions or judge an action by weighing the total good or bad of all the consequences.

Virtue Ethics

This approach focuses on the qualities that human beings need to make good judgments and act on them. Traditionally, it focuses on a person's character and virtues such as prudence, courage, fidelity, honor, temperance, and fairness. Virtue ethics is an alternative approach to both principle and consequential ethics. Although a person's actual beliefs are important, the person must also possess the quality of mind and character to judge well and act well. In many cases, the theory argues, the quality of character will lead to the beliefs.

Although the three schools of ethics tend to present themselves as mutually exclusive, in practice most people use all three in their ethical lives. People take consequences into account but look to principles to evaluate those consequences. For example, does an action respect people's dignity or encourage truthfulness and accountability? An exclusive focus on consequences can permit people to use morally corrupt means to achieve good ends. However, most people weigh the quality of the means heavily in judging consequences. Similarly, people need prudent judgment to determine the right action regardless of

the principles they are acting on. Virtues such as courage and conscientiousness sustain people's beliefs in complicated situations. A focus on ethics in organizations usually means addressing all three aspects of ethics.

Managerial/Supervisory Ethics: Personal and Institutional Integrity

Managerial/Supervisory Roles

Correctional managers and supervisors hold difficult jobs. On the one hand, they ensure that staff enforce complicated regulations and laws. On the other, they must support that same staff, who often feel endangered or overwhelmed when facing offenders who can be unpredictable, dangerous, and vulnerable all at the same time. Managers and supervisors do this through hundreds of daily decisions, many made with little time for reflection.

While performing this difficult balancing act, managers and supervisors must earn the trust and compliance of staff and peers, protect and control offenders, and answer to superiors who have their own concerns and careers to worry about.

Personal Responsibility

Personal role ethics depends on the importance of a promise. An individual who takes on a managerial or supervisory role promises to abide by the requirements of the role and to be held accountable for following professional and legal standards in making judgments. Making this promise means that the manager or supervisor accepts personal responsibility for his or her actions.

Although managers and supervisors may often seem to be simply enforcing the rules, every individual uses his or her own style, gifts, and judgment in doing so. Two individuals who both claim simply to be "enforcing the rules" can do the same job in the same place in very different ways.

Self-Awareness

Recognizing and accepting personal responsibility mean that managers and supervisors need to understand their own values, responsibilities, strengths, and limitations. They need to be aware of how others rely on their judgment and perceive their actions. Managers and supervisors are always on stage. They represent the authority and power of the correctional institution, providing the bridge that links the institution's formal mission and aspirations with the gritty reality of work. Correctional officers, staff, and offenders look to them to model judgment and action. Managers and supervisors must be able to admit when they make mistakes and to model continuous learning and growth.

> Ethics responsibilities cannot be delegated, bought, or temporarily rented.
>
> —Carol W. Lewis, Professor of Public Service, University of Connecticut, Author, *The Ethics Challenge in Public Service*

Acting With Integrity

Defining Integrity

Individuals hold their values and beliefs together and make sense of their lives and actions through a sense of integrity. Integrity covers the wholeness of life, enabling individuals to assert self-control and judgment. Individuals with integrity need the sustained support of people and institutions for their integrity to flourish.

Integrity means balancing one's beliefs, deciding on the right action, and then summoning the courage and self-control to act on those decisions. Integrity is often shown in mundane daily decisions; sometimes, however, in situations of stress and temptation it requires one to deliberate carefully, decide, and act on one's beliefs even when self-interest, temptation, or passion points in a different direction.

Integrity in Action

Individuals who hold positions of public responsibility must balance three domains of judgment. Each is important and related to the others, and each should influence ethical decisions and actions of managers and supervisors. These domains are personal commitments and capacities, obligations of office, and prudence and effectiveness (see exhibit 2–1).

> Integrity flows from the capacity to integrate different parts of oneself into a whole or completeness. Individuals achieve integrity when they make sense of their multiple obligations or roles in a manner that creates coherence or wholeness across the different aspects of their lives.
>
> —J. Patrick Dobel,
> Professor of
> Public Affairs,
> Princeton University,
> Author, *Public Integrity*

Exhibit 2–1. Model of Integrity

Personal Commitments and Capacities

Obligations of Office   Prudence and Effectiveness
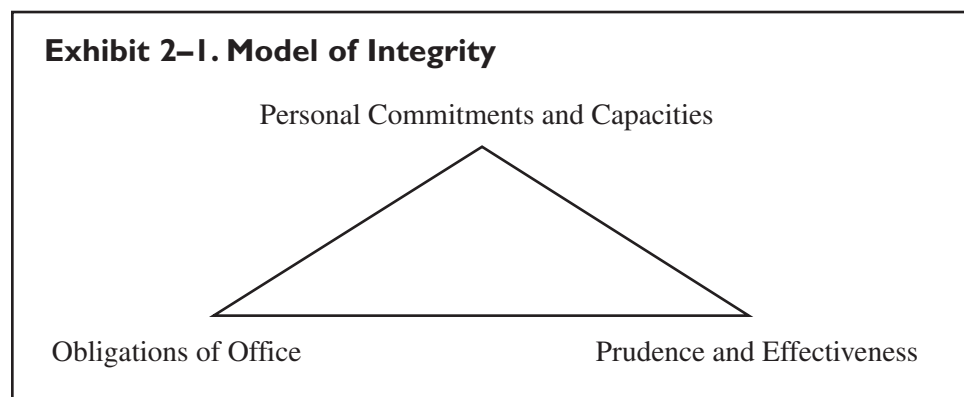
Personal Commitments and Capacities

The values, skills, and physical and character attributes that people bring to an official position make up their personal commitments and capacities. They are the basis of a manager's or supervisor's personal style. Personal commitments and capacities such as conscientiousness, prudence, energy, optimism, and trained professional judgment often have a bearing on why people are chosen for managerial or supervisory positions. Values and commitments may involve family, profession, and religion as well as the organization. At their best, values and commitments in these three realms reinforce each other, but personal commitments and values may at times conflict with job-related obligations.

Official Obligations

In accepting a position, one promises, implicitly or explicitly, to live up to its responsibilities. Superiors, colleagues, clients, and others depend on the competence and responsibility of individuals who hold positions of authority and power. In public organizations such as correctional agencies and institutions, these positions are sanctioned and bound by law, which increases their authority and power. Taking on such a position puts a heavy burden of responsibility on the individual to act competently and to meet the legal and professional expectations of the position. The welfare of others depends on a manager's or supervisor's conscientious fidelity to the legal and institutional obligations of the position.

Prudence and Effectiveness

Complications pervade organizational and political reality in correctional institutions. For example, some staff members do not perform; others are good at their jobs but limited. Some offenders pose predictable challenges to everyone; others need to be protected. Implementing ethical and legal responsibilities requires managers and supervisors to think about the proper means to achieve goals. They need to anticipate and prevent problems and know the context in which issues arise. These steps help them avoid both being negligent and unwisely applying rules in a rigid fashion at the wrong time. Above all, prudence means getting the facts and understanding all the dimensions of a problem before acting. This involves learning about staff and offenders and conditions before problems arise and being able to respond professionally, not in rote, rigid, or uninformed ways.

Managers and supervisors hold the three domains of judgment—personal commitments and capacities, obligations of office, and prudence and effectiveness—in productive tension in their decisions and actions. Each area could be viewed as a ray of light that illuminates a different aspect of a situation. As the areas overlap and reinforce each other, the ethical issues become clearer and more detailed, and leadership judgments become more complete and effective. Individuals of integrity and responsibility use all three domains to decide and act.

Acting Ethically

Personal Attributes for Ethical Action

All approaches to ethics depend on a number of personal attributes needed for ethical action. These are critical for managers and supervisors to possess themselves and to instill in those they lead. Ethical action requires individuals to accept responsibility for their actions, act with self-discipline, reflect on their actions and act on the basis of reasoned reflection, and deliberate with others to help find the right action.

> **Personal Attributes for Ethical Action**
>
> - Accept responsibility for actions.
> - Act with self-discipline.
> - Reflect on actions and act on the basis of reasoned reflection.
> - Deliberate with others to help find the right action.

Accept responsibility for actions. Managers and supervisors must know and acknowledge the legal and moral obligations that come with their positions and avoid the temptation to shirk responsibility. Accepting responsibility increases a person's commitment to act competently. Responsible managers and supervisors acknowledge their contributions to the consequences of actions and avoid the blame game.

Act with self-discipline. Because managers and supervisors are the first line of institutional responsibility, they must control their emotions, especially their likes and dislikes. Staff and offenders will try to manipulate and control a quick-tempered or impetuous manager or supervisor. Managers and supervisors who do not control their prejudices, especially if they have risen from the ranks, make themselves vulnerable to charges of favoritism and discrimination that undermine trust and credibility and leave the institution open to lawsuits. Self-discipline or self-mastery is part of the foundation of ethical and professional behavior.

Reflect on actions and act on the basis of reasoned reflection. Gut instincts, although occasionally right, often carry the weight of years of socialized and thoughtless prejudice or past habits that may be inappropriate for present conditions. Ethics requires thoughtful consideration of the obligations, laws, rules, and stakes in a situation, as well as an assessment of the consequences before acting. Managers and supervisors balance several different obligations and must be aware of them all, which puts a strong obligation on managers and supervisors to know not only the law and rules, but also the context and people in a situation. Managers and supervisors also model behavior for others. Every action sets a precedent, shapes expectations, and influences how others will behave in the future.

Deliberate with others to help find the right action. No one can do these difficult and dangerous jobs alone. Lone rangers and institutional vigilantes undercut accountability. Friends, experienced and respected colleagues, and superiors can help a manager or supervisor see the full range of ethical issues and obligations in a particular situation. They can help a manager or supervisor see the truth and contradiction of his or her own reactions, assess unanticipated consequences, and forge better decisions.

Six Pillars of Character

Among the personal attributes required for managers and supervisors to act ethically are trustworthiness, respect, responsibility, fairness, caring, and citizenship. Exhibit 2–2 describes these six "pillars of character."

Exhibit 2–2. Six Pillars of Character

- *Trustworthiness:* A person of character is trustworthy, lives with integrity, and is honest and reliable.

- *Respect:* A person of character values all persons; lives by the golden rule; respects dignity, privacy, and the freedom of others; is courteous and polite to all; and is tolerant and accepting of differences.

- *Responsibility:* A person of character meets the demands of duty, is accountable, pursues excellence, and exercises self-control.

- *Fairness:* A person of character is fair and just, is impartial, listens, and is open to differing viewpoints.

- *Caring:* A person of character is caring, compassionate, kind, loving, considerate, and charitable.

- *Citizenship:* A person of character is a good citizen, does his or her share, helps the community, plays by the rules, and respects authority and the law.

Source: Adapted from Michael Josephson, *Making Ethical Decisions,* Los Angeles: Josephson Institute of Ethics, 2002. Available at *http://www.charactercounts.org.* Reprinted with permission.

Threats to Ethics in the Correctional Environment

Several aspects of the corrections environment constantly work to undermine the integrity and ethical actions of managers and supervisors. These include peer culture, denial of responsibility, rigidity, dominant informal actors, tensions created by diversity, and silence.

Threats to Ethics in the Correctional Environment

- Peer culture.
- Denial of responsibility.
- Rigidity.
- Dominant informal actors.
- Tensions created by diversity.
- Silence.

Peer Culture

Subtle and not-so-subtle pressures from peers can push individuals to engage in dangerous or unethical behavior. Those who try to change a peer culture that supports such behavior may be endangered by peers who do not support them or may face retaliation for violating group norms or snitching. A primary

obligation of managers and supervisors is to understand and positively influence the peer culture of correctional officers, staff, and offenders.

Denial of Responsibility

An easy way to avoid making a difficult decision is to deny responsibility. Denial of responsibility permits individuals to commit any act but blame it on others. "I was only following orders" has justified horrible violations of human rights and abuses of power. Correctional managers and supervisors are tempted to deny responsibility because the jobs are hard, the decisions tough, and the consequences difficult. Moreover, managers and supervisors may receive harmful or questionable directives, yet feel an obligation to follow rules and orders.

Rigidity

One way to deny responsibility and avoid accountability is to rigidly follow orders or go by the book. Rigid, by-the-book tactics pretend that correctional personnel have no choice, the situation is well understood and without complications, the right rules are clear, and the consequences of applying the rules are certain. This approach may reassure some individuals and minimize forms of stress in the job. However, it reduces the manager or supervisor to a machine with no discretion or judgment. It also means managers or supervisors do not learn the context or nuances of situations and people.

Dominant Informal Actors

Informal cultures like correctional institutions, especially in relatively small units, are vulnerable to the excessive influence of certain individuals, whether it is an experienced "old pro" or an "expert" whom everyone needs or who provides favors. Staff and offenders may gravitate to this individual for advice and support, sometimes against the formal rules of the correctional institution or the manager. Identifying these actors and controlling them, combating their influence, or winning them over is a crucial aspect of influencing the informal culture and norms of the correctional institution.

The most dangerous case arises when an individual uses coercion and fear to control others. Bullies exist in all organizations, especially those, such as correctional institutions, that rely to some extent on the use of force. The possibility of danger, the need for mutual support, and the code of silence (see below) reinforce the potential power of violent, abusive, or uncontrolled correctional personnel or offenders. Managers and supervisors can lose control of their areas to such individuals.

Tensions Created by Diversity

Correctional populations in the United States often overwhelmingly consist of racial and ethnic minorities. Offender and staff populations may differ along ethnic, racial, religious, and sometimes gender lines. These differences can

produce a tinderbox where small sparks of perceived disrespect can flame into anger, misunderstanding, or violence. Often these incidents set off legal struggles. These tensions can erode trust not only between correctional personnel and offenders but also among correctional personnel themselves.

Silence

People who know they are protected by secrecy or silence will often perform immoral actions that they never would if they knew they would be held accountable for them. Silence, looking the other way, and not snitching make possible abuses of power that endanger the rights and safety of correctional officers, staff, and offenders. Silence hides actions, permits forbidden actions, and undercuts accountability that controls the use of coercion in corrections. It is the ally of pathological peer culture, dominant individuals, and discrimination and abuse.

Building an Ethical Organization

In the correctional environment, many forces constantly work to undermine the integrity of managers and supervisors. To counteract these forces and help to build an ethical organization, managers and supervisors need knowledge, trust and respect, and good judgment. They also need to be able to see a situation in context, to model values and ethics and educate staff in ethical standards, to have courage and endurance, and to seek help and support when needed.

> Supervisors carry the ethical culture of the organization. If they fail, the organization fails.
>
> —J. Patrick Dobel, Professor of Public Affairs Princeton University, Author, *Public Integrity*

Steps to Building an Ethical Organization

- Know the what and why of rules and laws.
- Build trust and respect.
- Be aware of discretion.
- Engage the whole context.
- Model ethical standards and educate others.
- Act with courage and endurance.
- Seek support and help.

Know the What and Why of Rules and Laws

All aspects of integrity depend on managers and supervisors knowing the laws, codes of conduct, and rules that guide their work. They also need to understand the purposes behind the laws and rules because, although critical, they are only the means to the end of promoting safety and justice in the institution. Knowing what lies behind the rules also gives managers and supervisors the ability to exercise discretion when rigid enforcement of the rules may be inappropriate or dangerous.

Professional codes of ethics often clarify issues that the law or the institution's rules may not specifically address. In addition, knowledge of the cultural and ethnic backgrounds of staff and offenders helps managers and supervisors understand that actions may result more from different cultural influences than from an attempt to violate rules or endanger people and prevent them from over-reacting. Managers and supervisors have strong legal and ethical obligations to master the applicable law and institutional rules to gain the competence needed to do their jobs. Otherwise they will be negligent and possibly ineffective or dangerous.

Build Trust and Respect

Successful leadership at the managerial and supervisory levels depends on trust and respect among supervisors, staff, and offenders or clients. Without this trust, staff and inmate compliance with institutional rules will be lower, secrecy will be greater, and enforcement costs will increase because individuals will revert to dangerous patterns of behavior in the manager's or supervisor's absence.

Respect and trust are created over time. The foundation of trust lies in sustained competence, fairness, and impartial actions. Staff will not trust or respect an incompetent leader. They will ignore directives and take matters into their own hands. Offenders will exploit incompetence.

Fairness maintains compliance and commitment from staff and offenders. Respect grows from treating others with fairness and competence and being willing to learn from and acknowledge others' concerns even if one does not agree with them. Respect helps managers and supervisors deal with the sensitive issues of race, religion, class, and gender that arise in daily interactions. If personnel do not trust managers to be fair, they will have strong motives to hide actions and avoid management.

Impartiality sustains trust and fairness. If staff members believe that managers and supervisors play favorites, they will resent supervision and informally punish the favorites. Trust and respect build up social resources with staff and offenders that ease enforcement of the rules, promote accountability, and earn managers and supervisors the benefit of the doubt and loyalty in difficult situations.

Be Aware of Discretion

Managers and supervisors sometimes forget their own discretion as they exercise their responsibilities. They see themselves as just "applying the rules" with no personal judgment involved. However, all managers and supervisors constantly exercise discretion in what they do and do not notice. Although selective perception may be an issue of competence for a manager or supervisor not

experienced enough to be aware of the relevant aspects of a situation, it may also result from biases and preconceptions.

Discretion arises when rules are brought to bear. Often situations involve multiple rules that sometimes conflict. The choice of which rule to apply may determine the severity of the incident for staff and offenders. Finally, managers and supervisors choose whether to write up an incident and, if so, how to describe it. Managers and supervisors constantly exercise judgment and discretion and must be aware of this. It is the key to both acknowledging responsibility and training their judgment to address the complexity of situations.

Engage the Whole Context

If every situation were clear and simple and managers and supervisors knew all the facts, they would not need to exercise judgment or discretion; they could just apply the rules by rote. In corrections, however, managers and supervisors seldom know everything at first glance, several sets of rules may apply, and issues of race, class, or potential danger may enter into their judgment of an incident.

Managers and supervisors are obligated to discover as much as possible about an incident and the context in which it occurred. What sounds like racial epithets could be banter. What looks like assault could be roughhousing. Knowing the people involved and the context is critical for the manager or supervisor in responding to incidents and for teaching staff how to handle incidents.

Model Ethical Standards and Educate Others

Every action of a manager or supervisor flows from a position of authority and power. Staff working under managers and supervisors and offenders who are within their range of influence watch and note how they judge, act, and respond. Their exercise of power directly affects their well-being and that of staff and offenders. It may also affect their careers and those of their colleagues and subordinates.

Over time, staff and offenders will respond to consistent performance by committed managers and supervisors. Managers and supervisors do make a difference. Their actions, including rewards and punishment and support or lack of support for staff, educate staff and offenders as to what is expected. If managers and supervisors inspire trust and respect, they model and influence the actions and values of those they lead. If they are incompetent or negligent, they destroy morale, undermine values, and permit abuse.

Act With Courage and Endurance

The stress of daily judgments and actions and the cumulative force of peer norms, rigidity, secrecy, disruptive individuals, and diversity issues can undermine the most conscientious of managers and supervisors. It requires sustained courage to go to work each day, act with character and principles, and avoid

> Managers are the ethics teachers of their organizations. This is true whether they are saints or sinners, whether they intend to teach ethics or not. It simply comes with the territory.
>
> —Joseph Badaracco, Jr., John Shad Professor of Business Ethics, Harvard Business School, Author, *Defining Moments*

being rigid and denying responsibility or surrendering control to dangerous informal actors.

Staff and offenders look at supervisors' actions over time. Sustained performance is the only way to win respect and trust and to send the message that the values the manager or supervisor enforces must be taken seriously. Uneven or flagging commitment may signal to staff and offenders that they can erode commitment and evade the values and performance standards that the manager or supervisor seeks to instill.

Seek Support and Help

Managers and supervisors will sometimes make mistakes. They also will be second-guessed or need to reflect on and learn from their actions. At these times, they should remember they are not alone in facing uncertainty or dilemmas. Multiple sources exist for gaining support or help in thinking through issues. Support can become as important for carrying on as for getting it right. Superiors, respected colleagues, peers, and mentors can provide support and help. If the problem is with the superior or with the peer culture, human relations offices, bargaining units, or outside agencies such as the state or federal Equal Employment Opportunity Commission or the Inspector General's Office can provide help or receive and follow up on anonymous reports.

Leadership Values

Values are qualities of character such as courage, prudence, and fidelity that provide the moral and psychological foundation to sustain judgment and act on it. These key leadership values should be modeled in the behavior not only of correctional executives and senior-level leaders, but also managers and supervisors. Values should start at the top and reinforce each other all the way down to the supervisory level. If they exist only at the top and do not arrive at the supervisor level they become not only meaningless, but worse, objects of scorn.

> Public office relies upon individuals to frame their judgments by authorized standards and procedures and to exercise their power in an accountable manner.
>
> —J. Patrick Dobel, Professor of Public Affairs, Princeton University, Author, *Public Integrity*

Key Leadership Values

- Integrity.
- Responsibility.
- Fidelity.
- Competence.
- Respect.
- Truthfulness and honesty.
- Accountability.
- Stewardship.
- Inclusiveness.

Integrity

Integrity creates moral coherence in one's life and the culture of one's institution. Integrity begins with a commitment to one's own dignity and to honoring that dignity by knowing and acting on one's values, promises, and commitments.

Responsibility

Responsibility starts with acknowledging one's position and one's promise to live up to the obligations, laws, and professional judgment of that position with the discipline required to do so. It requires an individual to be honestly willing to acknowledge his or her contributions to actions and not to blame others or pass the buck.

Fidelity

Fidelity means individuals have the self-discipline and moral strength to live up to the promises they make to uphold the law and the values necessary to do their job ethically and legally. Fidelity makes it possible for others to trust in their performance.

Competence

Competence defines the basics of what is expected of all individuals who hold positions of authority. Competent individuals possess the skill, training, and capacity to do their defined jobs. People are hired and trained in light of their potential competence. The fundamental demand of leadership, competence means caring about the small things that give reality to the larger mission.

Respect

Respect follows from recognizing the dignity of human beings. It is anchored in self-respect and requires people to treat each other with civility and honesty in their dealings. Respect also requires legitimate demands for competence and improvement from others.

Truthfulness and Honesty

Truthfulness and honesty begin with striving to understand the full context and facts in any given situation. Honesty means reporting clearly and accurately what individuals need to do their jobs well and gives a leader the legitimate right to hold others accountable. Only when honesty is valued can there be a true learning environment—one in which mistakes become a way of learning how to improve.

Accountability

Public officials must act according to established standards and procedures and be accountable in exercising their authority and power. Accountability grounds all legitimate delegation of power in a democracy. Only oversight and honest

and accurate reporting of what really happens in institutions enable government to claim democratic legitimacy. Accountability also permits an institution to change its mission and grow and improve in light of honest assessments of actions.

Stewardship

All government grants of resources and power require the exercise of stewardship. Officials are not given money, power, and resources to pursue their own private ends or gain. Using money as efficiently as possible and not wasting funds do justice to the unique characteristics of tax revenues that are not voluntarily contributed. Stewardship also means that public officials attend to the long-term welfare of their agency and staff rather than simply responding to short-term demands and trends.

Inclusiveness

Inclusiveness is imperative to ensure good policy. Seeking out and understanding the points of view of stakeholders make policy and personnel leadership more sustainable and less coercive. Inclusiveness flows from having the respect and stewardship to address the cultural, gender, religious, and racial divisions that can undermine an institution's legitimacy and effectiveness over the long term. At the same time, it brings different professional and skill perspectives together to balance actions and decisions. As a value, inclusiveness inoculates against the human tendency to be comfortable only with those similar to ourselves both in working and in deciding. It also curbs the tendency to judge individuals by stereotypes or appearance rather than their full human capacity. Inclusiveness facilitates stronger and more effective decisionmaking but also requires consistent leadership, sensitivity, and support if it is to work.

Unethical Behavior

Ethical behavior should not be confused with legal behavior, but the two are intimately linked. Law and accountability legitimize public institutions. Individuals promise to abide by the law and remain accountable as a condition of taking their positions. Moreover, managers and supervisors represent these values to staff and offenders. In this sense, obeying the law and rules covers a great part of managerial and supervisory ethics; however, ethical behavior demands a much deeper approach to decision and action than just obeying the law. It also involves knowing the reasons behind the law and understanding and taking into account the context. It means being aware of and combating the pressures that undermine professional ethics in corrections. The values and character displayed by managers and supervisors in the absence of law or agency or institutional rules influence the ethics of frontline staff.

Managers and supervisors need to be sensitive to the many ways ethics can be subverted and an organization corrupted. Subverting the ethics of an official

usually begins with a small favor, not an outright bribe. Sometimes managers and supervisors may be tempted to smooth daily interactions with questionable methods that seem effective, at least in the short term (e.g., avoiding the difficult job of regaining control of an area by simply looking the other way when they notice abuse or poor behavior). Rather than acting as automatons and disregarding the context of the situations they encounter, managers and supervisors should remember that the law and organizational rules are often silent or contradictory and leave room for considerable discretion. Proper exercise of discretion can address and prevent many smaller unethical behaviors that, if left unchecked, can poison an institution's culture.

What Are the Common Types of Unethical Behavior?

Unethical actions usually involve the abuse of trust and position—individuals impose their own private judgment or interests in place of legal, professional, or other objective standards of accountability. Such actions, even when legal, are still wrong. Such actions can be individual, or they can be abetted by group norms of performance or silence that protect or encourage wrongdoing. Three of the most common forms of unethical behavior involve violations of trust, self-dealing, and conflict of interest. Although they are presented as separate categories, these behaviors often overlap, and many unethical actions involve all three. They may occur in small, seemingly innocuous decisions like allocating excess resources for a project or helping a friend at the expense of the team. All three permeate daily life in correctional facilities. Managers and supervisors are obligated not to ignore them but rather to recognize and combat them.

Three Common Forms of Unethical Behavior

- Violations of trust.
- Self-dealing.
- Conflict of interest.

Violations of Trust

One form of unethical behavior is violating the standards of professional action and competence promised by accepting the position. This can occur in the actions themselves or in their impact on the procedures that support accountability and professional conduct. Violations of trust include the following:

- ■ *Incompetence:* Failing to meet the required standard of performance. Competence is the building block of organizational ethics. Managers and supervisors are presumed to be competent, and others who may be vulnerable depend on them having the capability to do the job. Failing to address incompetence infects the larger correctional agency/organization, undercuts the efforts of competent individuals, and can endanger staff and offenders.

- *Abuse of power:* Using excessive force (either physical or nonphysical) to achieve the organizational goals required by competent performance. Threats to use force or coercion against staff or offenders to achieve personal ends not sanctioned by the organization or to cover up actions also constitute abuse of power and represent an especially abhorrent type of unethical behavior. Permitting bullying behavior among offenders or staff encourages abuse of power and loss of supervisory control.

- *Lying:* Passing on deliberate untruths to superiors or subordinates or failing to disclose to them the information they are entitled to have to do their job. Lying distorts the ability of the organization and its responsible officials to understand exactly what is occurring in the organization. It cuts accountability off at its roots and makes excellent performance impossible. If mistakes are covered up or not acknowledged, individuals cannot grow and learn.

- *Favoritism:* Treating other individuals, such as staff, clients, or offenders, with special favors that violate consistent standards of treatment. Favoritism violates equity and fairness. It undermines the legitimacy not only of the manager or supervisor but also of the institution because offenders and staff learn that professional or legal behavior does not get rewarded but "buttering up" supervisors does. Favoring or protecting a friend or favorite often contributes to lying, incompetence, and abuse of power.

- *Discrimination:* Violating the dignity of other human beings by judging them on the basis of attributes such as race, religion, gender, or ethnicity. Such discrimination invites conflict, becomes a flashpoint for violence and lawsuits, and destroys the capacity of teams to function together.

- *Disrespect:* Treating individuals in ways that violate the basic tenets of civility, truthfulness, and support that others have the right to expect as employees, citizens, or offenders. Too often, managers and supervisors mistakenly think they are showing respect when in fact they are simply not telling the truth or avoiding the hard decisions that are required for institutions and staff to grow and improve.

- *Silence or looking the other way:* Colluding in or permitting unethical or illegal action by pretending not to see it, not reporting it, or going along with inappropriate peer behavior. This can also include superiors who know of this behavior and do nothing about it. Codes of silence are the main weapon of corrupt cultures and allow their actions to flourish.

Self-Dealing

Self-dealing is the use of a person's official position to profit beyond the normal benefits and compensation accorded officials in that position. Self-dealing includes the following:

- *Bribery:* Providing or accepting special treatment in exchange for some form of gain.

- *Theft:* Taking public resources that should be devoted to a public purpose and using them for personal purposes or gain. This can include theft of resources or time. Often the problem of theft starts with small items, grows into a sense of entitlement, and becomes a larger systemic problem.

- *Inefficiency:* Using excessive amounts of public resources to achieve an end that could have been accomplished with fewer resources (e.g., purchasing, for personal convenience, equipment with unnecessary features or of a quality beyond what is needed to do the job well).

- *Collusion:* Cooperating with other individuals, including outside contractors, in making decisions and allocating resources in ways that are inefficient or that provide excessive gain to the contractor or individuals.

- *Kickbacks:* Accepting payment from an individual or contractor in exchange for favorable decisions to allocate resources to that individual.

Conflict of Interest

A conflict of interest occurs when an official decides or acts in circumstances in which the official, or those related to the official, stand to benefit materially from the decision or action. Most professional, agency, and institution codes of ethics focus on these issues. Nepotism—where spouses, friends, or relations report to each other—jeopardizes the integrity of the chain of command. Nepotism and similar conflicts of interest undermine the quality of judgment and the perception of fairness.

What Contributes to Unethical Behavior?

Unethical actions can occur at an individual level, but more often reveal a culture of predictable and systemic corruption. Organizational susceptibility to unethical behavior and corruption follows from a number of identifiable problems that arise from a combination of inadequate oversight and several different but often overlapping situational variables. Problems to address include:

- Sporadic or lax oversight or limited training, which invites unethical performance.

- Variables that place constant stress on personnel, such as significant inequality of power, especially when exacerbated by differences of race, ethnicity, or religion.

- Unrealistic performance goals and failure to complete regular performance reviews, which, coupled with a lack of support, encourage inadequate performance.

- Threats to safety, which encourage staff to use questionable methods without regard to professional standards.

- Personnel facing reduced or inadequate staffing levels, increased workloads, or different or more difficult offender populations.

- Management looking to fix blame rather than fix the problem.

These situations tempt staff with normal levels of self-interest to adopt unethical behavior so they can function in excessively demanding and undermanaged environments.

Summary

Ethics in public organizations is not just about the personal integrity and behavior of one individual. Individual ethical lapses can be just that—individual lapses—but more often they are symptoms of deeper problems in the culture and structure of the organization.

Ethical leadership depends on the courage and competence of managers and supervisors who bear the brunt of frontline work and problems. Leaders carry the culture of the organization and fight daily for a just and humane work environment in an institutional setting that is under pressure to become less just and humane.

Key Skills and Behaviors

> *Skill:* The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.
>
> *Behavior:* The manner of conducting oneself; observable activity.

Articulating the Basic Values and Virtues of the Correctional Institution and Agency/Organization

Skill: Knowing the standards of professional action and the relevant legal and institutional rules.

Behaviors:

- Define the expected rules and standards in behavioral terms to achieve fuller understanding, agreement, and consistency.

- Learn and relearn the basic rules and standards.

- Know the applicable professional code of ethics and expected standards of discretion.

- Consistently communicate the rules, standards, and code of ethics to the team, other staff, and offenders.

- Model the expected values, virtues, and behaviors at all times and demand that all supervisors and team leaders do the same.

- Create rituals and public occasions to recognize and celebrate the expected values, virtues, and behaviors.

- When uncertain about how to deal with a question of ethics, consult the available resources, including codes of ethics, superiors, human resources personnel, the legal affairs department, ethics officers, and the Inspector General's Office.

Creating Strong Support and Accountability for Ethics

Skill: Understanding one's responsibility to act ethically and one's ability to use discretion in handling incidents and dealing with staff and offenders.

Behaviors:

- Define and exercise your ethical responsibilities as a manager or supervisor.

- Avoid the temptation to deny responsibility and become rigid in applying rules and responding to incidents. Address others' performance to ensure that they do the same.

- Clarify and model the behaviors that embody the values and virtues you wish to promote.

- Build expectations regarding ethics and values into performance evaluations.

- Understand when actions arise from good intent and are mistakes in discretion. Work with staff and offenders to clarify the boundaries in nonpunitive ways.

- Set clear boundaries for unacceptable behavior and address unethical or illegal behavior in a fair and equitable manner.

Skill: Building a strong culture of teamwork and commitment among staff and officers.

Behaviors:

- Model values in your professional behavior and directly incorporate values in training correctional officers and staff.

- Make values a priority for correctional officers and staff.

- Create a safe environment in which the team can discuss values and ethical issues candidly.

- Give teams opportunities for input and initiative.

- Promote cooperation and team successes by recognizing and rewarding cooperative actions.

- Quickly address interpersonal issues of respect and perceptions of discrimination when they arise. Get help if needed.

Anticipating and Addressing Predictable Points of Vulnerability and Ethical Slippage

Skill: Anticipating and addressing predictable points of vulnerability and ethical slippage.

Behaviors:

- Set clear boundaries with respect to prohibited behavior and enforce those boundaries fairly and consistently.

- Know the peer culture.

- Listen and watch carefully to understand the informal cultural patterns and norms of behavior among correctional officers and staff.

- Articulate the correctional agency/organization's values and model desired behaviors to influence the cultural norms.

- Work to win over influential informal actors to the values and expectations of the correctional agency/organization.

- Get help when needed to address ethical slippage.

Appendix 2–1. Focus Matrix for Managers and Supervisors: Ethics and Values		
	Manager	**Supervisor**
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Key Skills and Behaviors		
Articulating the Basic Values and Virtues of the Correctional Institution and Agency/Organization	• Understands, articulates, and models the desired behaviors that reflect the institution's and agency/organization's values. Sets expectations that peers and subordinates will also understand, articulate, and model those values. • Communicates the rules, standards, and code of ethics to team members, other staff, and other stakeholders. • Develops a network of knowledgeable resources, such as human resources specialists, legal affairs officers, and the Inspector General's Office, and refers to them when needed.	• Understands, articulates, and models the desired behaviors that reflect the institution's and agency/organization's values. Sets expectations that peers and subordinates will also understand, articulate, and model those values. • Knows the professional standards and applicable code of ethics governing the scope of work. • Communicates the rules, standards, and code of ethics to team members, other staff, and offenders. • Develops a network of knowledgeable resources, such as managers, human resources specialists, and legal affairs officers, and refers to them when needed.

Appendix 2–1. Focus Matrix for Managers and Supervisors: Ethics and Values (continued)

	Manager	Supervisor
Key Skills and Behaviors (continued)		
Creating Strong Support and Accountability for Ethics	• Builds a positive organizational culture by demonstrating personal integrity and sound professional judgment. • Recognizes and accepts responsibility for his or her actions. Sets expectations for the same behavior from colleagues and subordinates. • Uses managerial discretion ethically. • Is aware of and considers the context of issues that arise. • Sets clear boundaries for unacceptable behavior and addresses unethical or illegal behavior fairly and equitably. • Publicly and formally emphasizes and celebrates the correctional agency/organization's values, virtues, and ethical behavior.	• Builds a positive organizational culture by demonstrating personal integrity and sound professional judgment. • Recognizes and accepts responsibility for his or her actions. Sets expectations for the same behavior from colleagues and subordinates. • Uses supervisory discretion ethically. • Is aware of and considers the context of issues that arise. • Sets clear boundaries for unacceptable behavior and addresses unethical or illegal behavior fairly and equitably. • Supports and participates in public and formal celebrations of the correctional agency/organization's values, virtues, and ethical behavior. • Emphasizes the importance of the expected values and behaviors in the daily operations under his or her control.
Anticipating and Addressing Predictable Points of Vulnerability and Ethical Slippage	• Understands the difference between illegal and unethical behavior. • Is aware of and avoids the three common classes of unethical behavior: violations of trust, self-dealing, and conflict of interest. • Is aware of group norms that protect or condone wrongdoing. • Knows the peer culture. Works to win over influential informal actors to the values and expectations of the correctional institution and agency/organization.	• Understands the difference between illegal and unethical behavior. • Is aware of and avoids the three common classes of unethical behavior: violations of trust, self-dealing, and conflict of interest. • Is aware of group norms that protect or condone wrongdoing. • Knows the peer culture. Works to win over influential informal actors to the values and expectations of the correctional institution and agency/organization.

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Interpersonal Relationships

Marie Mactavish

This chapter addresses the role of interpersonal relationships in management. After summarizing why the ability to establish and maintain effective interpersonal relationships is important for managers and supervisors, the chapter focuses on four aspects of that ability: empathy, social responsibility, relationship networks, and communication technology. The chapter summarizes key skills and behaviors that can help managers and supervisors build effective interpersonal relationships, and it presents a matrix (appendix 3–1) that shows how those skills and behaviors apply to each of the two positions.

Chapter 3

Definition

Interpersonal Relationships: Interpersonal relationships are characterized by meaningful exchanges that reward both individuals with a sense of satisfaction from successful interaction. Also known as "people skills," effective interpersonal relationships allow individuals to feel at ease with others in both work and social situations.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

A study conducted by the Center for Creative Leadership, as noted in its 2000 publication, *Benchmarks: Development Reference Points,* indicated that the inability to establish and maintain healthy interpersonal relationships is perhaps the main cause of leadership failure and career derailment. Successful leaders invite communication, listen well, and prove themselves trustworthy by exhibiting rational, caring, and predictable behavior in their interpersonal relationships.

Those whose careers are derailed by the inability to establish and maintain healthy relationships lack awareness of how their behaviors affect others. Rather than demonstrating the characteristics of interpersonal savvy, they may be dictatorial, arrogant, or emotionally volatile or they may close themselves off to those around them.

Recent attention to the idea of emotional intelligence, sparked by Daniel Goleman, has led to research that illustrates the increasing importance of effective interpersonal relationships in the workplace and how these "soft skills" may prove more valuable to a leader than a high IQ. Indeed, successful leadership occurs when a strong web of relationships is developed, existing relationships are maintained, and new relationships are continually added to the web.

> Something we were withholding made us weak, until we found out that it was ourselves.
>
> —Robert Frost

Effective interpersonal relationships are directly correlated to an increase in productivity and commitment to the organizational mission. The ability to develop effective interpersonal relationships is a skill that managers and supervisors need to motivate employees and other stakeholders, which is a key to increasing productivity.

The traditional authoritative leadership style often used in corrections may be of value in a crisis, but it only serves to demotivate employees in noncrisis situations. Although the skill of effective interpersonal relationships may appear to have only modest immediate benefits, it pays extremely large dividends over time.

This chapter discusses four aspects of establishing and maintaining effective interpersonal relationships:

- Empathy.

- Social responsibility.

- Relationship networks.

- Effective interpersonal relationships through technology.

Empathy

Defining and Understanding Empathy

In *The EQ Edge: Emotional Intelligence and Your Success,* Steven Stein and Howard Book define empathy in interpersonal relationships as follows:

> [T]he ability to be aware of, to understand, and to appreciate the feelings of others. Empathy is "tuning in" (being sensitive) to what, how, and why people feel and think the way they do. Being empathetic means being able to "emotionally read" other people. Empathetic people care about others and show interest in and concern for them.

Empathy itself is a way of being, not just a skill. Managers and supervisors have to sincerely care about other people, their feelings, and their points of view. Developing empathy is not about changing policies or structures. Those can remain the same. Developing empathy, rather, shifts the focus of leadership toward its impact on individuals. Managers and supervisors can learn skills that facilitate empathetic behavior.

Empathetic Approach to Management

An empathetic approach to management and leadership has several important facets. These involve both a way of being and a set of skills that facilitate empathetic behavior. Empathetic managers and supervisors do the following:

By being attuned to how others feel in the moment, a leader can say and do what's appropriate, whether that means calming fears, assuaging anger, or joining in good spirits.

—Daniel Goleman, Author, *Emotional Intelligence*

- Try to see the world from others' perspectives (their subjective experience).

- Put their own emotions on hold.

- Ascertain how others feel.

- Listen fully to concerns.

- Ask probing questions.

- Take others' feelings and situations into account when making decisions.

As Michael Lombardo and Robert Eichinger note in their 1998 book, *For Your Improvement,* this interpersonal savvy helps managers and supervisors hold back and neutralize their own reactions. It also gives them approaches to developing effective relationships that can be adapted to specific individuals. This savvy enables empathetic managers and supervisors to get the results they need without damaging relationships. People who are cared for in this way will want to work with the empathetic manager or supervisor again. "Empathetic Management in Action" presents a hypothetical example of how empathetic leadership can help managers and supervisors develop and maintain healthy interpersonal relationships.

Empathetic Management in Action

The CEO of a statewide organization has the philosophy that top managers need the experience of leading different functions of the organization in different geographic locations. Under this rotating management system, managers move periodically within the state; as rotations come up, the executive team often makes new assignments and gives them to managers who will be changing locations.

An executive, looking over the list of managers, is aware that one manager to be assigned to move has a family with children in school. The executive contacts the manager to discuss the pending rotation. The manager, accepting the philosophy of job rotation, asks for consideration regarding the timing of the rotation. Listening to the manager's concerns, the executive finds out it would be best for the manager's children if the relocation took place at the end of the school year.

This decision benefits the executive, the manager, and the manager's family. By taking the other person's situation into account and asking questions and listening, the executive and the manager strengthen their interpersonal relationship. The manager's loyalty to the executive increases because the executive cares about the manager's situation. Morale improves, the CEO's philosophy gains acceptance, and a gentler, kinder way of implementing the philosophy is demonstrated.

Social Responsibility

Defining and Understanding Social Responsibility

As noted by Steven Stein and Howard Book in *The EQ Edge: Emotional Intelligence and Your Success,* social responsibility involves being a cooperative and contributing member of the organization. Being socially responsible means acting responsibly whether or not one immediately benefits, having a basic concern for others, and doing things for the good of the larger group and community.

Being a socially responsible manager or supervisor does not require helping everybody with everything or contributing time and resources to every project or cause. It is simply behaving in a way that shows that the manager or supervisor is concerned about the group and is a contributing member rather than someone who lets others do the work or cares only for the manager's or supervisor's own interests.

Socially Responsible Approach to Management

A socially responsible approach to management and leadership has several important facets. Social responsibility is not a skill itself; rather, it is a way of being that incorporates a set of skills that facilitate socially responsible behavior. Socially responsible managers and supervisors do the following:

- Cooperate when others have pressing needs.

- Contribute to others' work when necessary.

- Give time and energy to things that do not bring immediate personal benefits.

- Consider the needs of other units, divisions, and stakeholders.

By being socially responsible, managers and supervisors let others know they are trustworthy and will always do what is best for everybody—a key element for effective interpersonal relationships. If they are not socially responsible, managers and supervisors will find it difficult to develop healthy interpersonal relationships based on trust and to create strong networks of relationships to bolster them as leaders. "Socially Responsible Management in Action" presents a hypothetical example of how socially responsible leadership can help managers and supervisors develop and maintain healthy interpersonal relationships.

Socially Responsible Management in Action

An organization has just asked managers to submit their requests for funding for the upcoming fiscal year. In preparing the request, one manager realizes that there will not be enough money for all of the divisions to get the funds they want. Consequently, that manager meets with other managers to work out a solution that will help all divisions get the funding they need for their most urgent work, despite limited resources. As a result, all managers reduce their requests so they can ensure that all the divisions receive the funding they need. This spares the executive board the burden of making difficult funding choices.

Acting as a socially responsible leader, the manager who initiated this process realized that for the greater good of the organization, mission-critical tasks needed to be met with limited resources. The collaborative effort shows colleagues both within and outside the manager's own division that the manager cares about the greater good and everyone's contribution to it. This instills trust and cooperation among the divisions and develops strong relationships that can be called on later when the need arises.

Relationship Networks

Defining and Understanding Relationship Networks

Relationship networks are webs of strong interpersonal relationships, characterized by trust and cooperation, that can be accessed for support and information during times of need. Those who cannot build and maintain effective interpersonal relationships struggle when they need to lead and call on others to follow.

As mentioned earlier, empathy and social responsibility as exemplified by the behaviors described earlier are necessary for building strong networks of effective interpersonal relationships. When managers and supervisors take an empathetic and socially responsible approach to leadership, they show that their intentions are genuine. Thus, they are able to create and maintain a strong network of individuals who trust them, cooperate with them, and support them when called on.

Interpersonal Network Approach to Management

An interpersonal network approach to management and leadership has several important facets. Managers and supervisors with strong interpersonal networks do the following (and enjoy the related benefits):

- Feel comfortable around all kinds of people.

- Make and keep friends within the workplace.

- Read social environments accurately.

- Establish support networks.

- Experience fewer conflict situations.

> The powerful person is a master networker. Good networking increases your visibility and gives you a valuable circle of people from whom you can give and receive support and information.
>
> —Patricia Haddock, Communications and Training Consultant

"A Management Interpersonal Network in Action" presents a hypothetical example of how managers can use an interpersonal network effectively to resolve sensitive, challenging issues for the organization.

A Management Interpersonal Network in Action

A manager is assigned the task of revising the organization's dress code. As part of the task, the manager must create a statewide temporary committee that will require its members to take on extra work as they meet over a 6-month period. In addition, the members will be responsible for presenting the committee's work to the groups they represent and getting feedback.

Because the issue of a dress code is sensitive and somewhat controversial, the manager knows that committee members must be interested, capable, and respected. Realizing that it would be difficult to assemble this group alone, the manager calls on a strong network of colleagues across the state to recommend members. These colleagues are able to recommend individuals the manager would not have known to include, and these individuals make valuable contributions to the committee's success.

Computers are magnificent tools for the realization of our dreams, but no machine can replace the human spark of spirit, compassion, love, and understanding.

—Louis Gerstner, Former Chairman and CEO, IBM

Effective Interpersonal Relationships Through Technology

Defining and Understanding Technology and Interpersonal Relationships

Geographically dispersed offices and locations are an organizational reality, as is the effect of technology on both external and internal communications. Organizations rely increasingly on e-mail, telephone (including conference calls), and videoconferences to communicate. This environment offers managers and supervisors both an opportunity and a challenge to develop and maintain healthy interpersonal relationships with those who report directly to them (direct reports).

Reduced face-to-face contact, limited impromptu meetings, and fewer informal conversations can result in employees feeling less connected with their work groups and managers or supervisors. Communication technologies can either contribute to this problem or help individuals feel more connected. If it is allowed to reduce the quality of communication, technology can cause problems for managers and supervisors who are trying to develop and maintain strong interpersonal relationships. However, managers and supervisors who understand how to use communication technologies effectively can develop and maintain healthy interpersonal relationships.

Developing Effective Interpersonal Relationships Through Technology

Managers and supervisors face many challenges in effectively using technology to maintain strong interpersonal relationships. The skills and behaviors outlined below can help managers and supervisors enhance those relationships:

- **Establish criteria for acceptable amounts of e-mail and teleconference communication.**

  – Initiate a conference call or in-person meeting with your group if too many e-mails are circulating about an issue.

  – Find out whether or not others need or want to be copied on e-mails communicating meeting notes, reports, etc.

- **Rather than assuming that emotions are understood, clarify the situation by asking additional "feeling" questions.**

  – Take time to identify specific individuals whose response is important to resolving a situation and elicit their response.

  – Whether via e-mail, telephone, or videoconference, ask people how they feel about the topics being discussed (e.g., "Are you happy with this decision?").

  – Because e-mail has neither verbal nor nonverbal communication cues, recipients may assume tones of abruptness or dissatisfaction the sender does not intend. All e-mail should be read before it is sent to determine if such a tone could be perceived.

- **Choose the proper technology for the message, according to the sensitivity of the subject.**

  – Sometimes it may be more considerate to use e-mail to contact someone within the same office setting if that person is very busy.

  – E-mail and the telephone should not be used to avoid necessary interpersonal interaction, as doing so often escalates the problem.

- **Maintain a personal connection by making sure that contact through technology is not just "business only" communication.**

  – Technology may also be used to inquire about a colleague's well-being, offer congratulations, etc.; however, too much nonbusiness communication can be disruptive or inappropriate, so it should be used wisely.

  – Technology, particularly e-mail, allows quick, nonintrusive ways to maintain relationships in a network.

Research shows that more than half of communication is nonverbal. This poses problems when managers and supervisors cannot see or hear the persons with whom they are communicating. The skills described above will help managers and supervisors effectively maintain strong working relationships, even when geographic distance limits opportunities for in-person communication.

Summary

Interpersonal relationships are both the key to management success and the primary factor in career derailment. Building and maintaining healthy and effective interpersonal relationships and networks often pay large dividends to those who take the time to develop and nurture them.

Managers and supervisors should focus on four areas when developing interpersonal relationships: empathy, social responsibility, relationship networks, and effective interpersonal relationships through technology. These are not necessarily skills but rather ways of being and behaviors that effective managers and supervisors should develop.

Empathetic managers and supervisors seek to understand the subjective experiences of those they lead. They take the time to find out the needs and concerns of others and take them into account when making decisions. Empathetic managers do not, however, let others and their situations override the organization's needs; rather, they take others' perspectives into account to make the best decision for all involved.

Socially responsible managers and supervisors spend time and energy contributing to projects and activities that may not immediately benefit them. They realize that to be successful leaders and gain support in times of need, they must be contributing members of the work group and the community. Socially responsible managers and supervisors do not leave their own responsibilities unattended so they can contribute to others, but they make the time to help others when their help is needed.

Managers and supervisors who have strong interpersonal relationship networks build them through empathy and social responsibility. They take the time to keep in contact with those in their network and actively seek to make that network stronger and larger. Managers and supervisors with strong interpersonal networks enjoy greater comfort in social situations and experience less conflict.

Managers and supervisors who have strong, effective interpersonal relationships do not overlook the effects of technology. They set standards for amounts and types of communication through technology, ask "feeling" questions to accurately ascertain others' emotions, and use technology for personal contact as well as business. Effective managers and supervisors realize that although technology makes communication faster and easier at times, it can also hurt interpersonal relationships if used insensitively. They take the time to communicate accurately and effectively through technology.

When empathy, social responsibility, relationship networks, and effective communication through technology become part of a manager's or supervisor's

leadership style, effective interpersonal relationships result. Those relationships will often be the intangible element of successful leadership.

Key Skills and Behaviors

Skill: The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.

Behavior: The manner of conducting oneself; observable activity.

Empathy
Skill: Taking others' perspective (subjective experience) into account when making decisions.

Behaviors:

■ Put one's own emotions on hold.

■ Ask probing questions.

■ Listen fully to others' concerns.

Social Responsibility
Skill: Demonstrating willingness to be a contributing member of the work community.

Behaviors:

■ Give time and energy to things that benefit the community or the organization, even if they offer no immediate personal benefit.

■ Cooperate with others in times of need.

■ Consider the greater good of the organization, not just one's immediate area of authority.

Relationship Networks
Skill: Understanding and working effectively within the organization's social environment.

Behaviors:

■ Identify people whose skills and abilities will contribute to the network and make specific contacts to develop a relationship.

■ Actively make and keep friends within the workplace.

- Learn to feel comfortable in social settings and make others feel at ease.

- Maintain contact with those in the network.

Effective Interpersonal Relationships Through Technology

Skill: Understanding and setting common standards for the use of communication technologies such as e-mail, telephone, etc.

Behaviors:

- Ask what colleagues' and other employees' needs and desires are regarding the use of communication technology.

- Choose the appropriate technology for the task.

Skill: Maintaining effective relationships through e-mail and other communication technologies.

Behaviors:

- Ask "feeling" questions to discern emotion.

- Make personal as well as business contact.

- Proofread e-mails to make sure they are clear.

Appendix 3–1. Focus Matrix for Managers and Supervisors: Interpersonal Relationships

	Manager	Supervisor
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor • Correctional Industries Supervisor.
Focus Areas		
Empathy	• Develops the ability to understand and appreciate the feelings of others.	• Develops the ability to understand and appreciate the feelings of others. (Training in this area should receive high priority for new supervisors.)
Social Responsibility	• Acts responsibly with regard to concerns beyond immediate job responsibilities.	• Acts responsibly with regard to concerns beyond immediate job responsibilities. (Training in this area should receive high priority for new supervisors.)
Relationship Networks	• Develops and maintains strong networks characterized by trust and cooperation.	• Develops and maintains strong networks characterized by trust and cooperation. (Training in this area should receive high priority for new supervisors.)
Effective Interpersonal Relationships Through Technology	• Acquires an understanding of the effective use of communication technology.	• Acquires an understanding of the effective use of communication technology. (Training in this area should receive high priority for new supervisors.)

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Oral and Written Communication

Barbara Lucey

This chapter addresses the role of communication in management. After summarizing why the ability to communicate effectively is important for managers and (especially) supervisors, the chapter discusses the fundamentals of effective oral communication, including how to identify different styles of communication, tailor communication to a particular audience, and be a good listener. The chapter then offers guidelines for communicating effectively with groups at meetings and in presentations. It also provides tips for effective written communication, including special considerations in using e-mail. The chapter summarizes key skills and behaviors that can help managers and supervisors build effective communication skills and presents a matrix (appendix 4–1) that shows how those skills and behaviors apply to each of the two positions.

Chapter 4

Definition

Communication: A two-way process by which ideas and feelings are expressed by the sender of a message and received and understood by the receiver of the message. Effective communication, whether verbal, nonverbal, or written, creates shared meanings between the sender and receiver. Listening is a form of communication as well and may be the most important communication skill for establishing interpersonal trust and understanding.

All communication takes place within a context that includes the physical, social, and interpersonal settings within which messages are exchanged. This context creates a reference point that helps participants in a particular communication interaction determine what specific actions mean, what behaviors are expected, and how to act appropriately in that interaction.

Knowledge Base

Why Should Correctional Supervisors Develop This Competency?

As noted in chapter 1, "Managerial Profiles," this competency is one that most directly applies to supervisors. Although the ability to communicate effectively in both speech and writing is a key competency for leaders at all levels, supervisors who develop their communication skills as early as they can in their careers have laid an indispensable foundation for advancement to higher levels of leadership within the correctional agency/organization.

> As soon as you move one step up from the bottom, your effectiveness depends on your ability to reach others through the spoken or written word.
>
> —Peter F. Drucker, Father of Modern Management

Communicating is a vital aspect of any supervisor's job. Managers and supervisors rarely do their work alone—interacting and communicating with others are major activities. The better they are at communicating, the more effective they will be as leaders. In addition to communicating with their colleagues and direct subordinates in their day-to-day tasks, managers and supervisors must develop and use their communication skills as members or leaders of teams within the correctional agency/organization, whether these be ongoing teams or specific project teams or task forces. For a discussion of communication in the team environment, see chapter 8, "Team Building."

As a two-way process, communication is effective only when the intended audience receives the message, understands it, remembers it, and responds to it appropriately. If the message does not succeed in these four areas, effective communication has not taken place. Moreover, because of the growing diversity of cultures among offenders and correctional staff (see the discussion of cultural considerations in chapter 7, "Power and Influence," in *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders),* competence in intercultural communication becomes increasingly important for managers and supervisors in correctional institutions.

Poor communications can result in mistakes, misunderstandings, and conflict. A misinterpreted memo can create costly delays, a poorly written report can lead to wrong decisions, and failure to listen or understand cultural differences in body language can jeopardize important relationships.

Fundamentals of Effective Oral Communication
Formal and Informal Communication

Discussion of oral communication in organizations can easily focus only on formal communication—the information that is disseminated through official channels. It is important to realize that communication also takes place through informal channels. The "grapevine," an informal communication channel present in every organization, exists because people have a need to understand what is happening around them. In the correctional environment, where many staff work in relative isolation, the grapevine can be a primary means of organizational communication. Effective managers and supervisors recognize the importance and power of informal communication channels and are adept at ensuring that staff members receive accurate and timely information through all communication channels.

Personal Communication Styles

Studies indicate that managers and supervisors spend 60 to 80 percent of their time involved in oral communications. Every day, they engage in face-to-face dialogue with a wide variety of people both inside and outside the organization:

staff, peers (including other managers), clients/inmates, other customers/ constituents, suppliers, and key stakeholders. Oral communications often break down because people have different communication styles. In effect, they speak different languages. Understanding and adapting to a listener's personal communication style can help a supervisor or manager express ideas and feelings in a way that improves communication potential.

Understanding Communication Styles

Personal communication styles may be understood in terms of two dimensions of behavior: direct versus indirect behavior and relationship versus task orientation. Several verbal, vocal, and visual clues are associated with these dimensions (see exhibit 4–1).

Direct versus indirect behavior. This dimension describes people's observable behavior. Direct people tend to be assertive, talkative, and action oriented and to speak at a fast pace. They make swift decisions, enjoy taking risks, and tend to be impatient. Indirect people tend to be more quiet and reserved, slow paced, and cautious. They typically do not share their opinions or concerns and can appear to be indecisive, meditating on their decisions and avoiding major changes.

Exhibit 4–1. Personal Communication Style Clues

Communication Clues	Direct Behavior	Indirect Behavior	Relationship Orientation	Task Orientation
Verbal	• Tells. • Talks. • Expresses opinions readily.	• Asks. • Listens. • Reserves opinions. • Low quantity of verbal communication.	• Shares personal feelings. • Informal speech. • Expresses opinions readily.	• Fact and task oriented. • Limited sharing of personal feelings. • More formal speech.
Vocal	• More voice variety and volume. • More forceful. • Faster speech.	• Less volume. • Less forceful. • Slower speech.	• Lots of inflection. • More pitch variation. • More variety in vocal quality.	• Little inflection. • Few pitch variations. • Less variety in vocal quality.
Visual	• Steady eye contact. • Firm handshake. • Gestures to emphasize points. • Displays impatience.	• Intermittent eye contact. • Gentle handshake. • Limited gestures. • Displays patience.	• Animated facial expressions. • Much hand/body movement. • Contact oriented.	• Fewer facial expressions. • Limited hand/ body movement. • Not contact oriented.

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Relationship versus task orientation. This dimension explains the internal goals that motivate daily action. Relationship-oriented people are primarily motivated by their relationships and feelings. They are informal and emotionally open, have animated facial expressions, and make decisions based on feelings and relationships. Task-oriented people are motivated by the work at hand and want to accomplish their goals. They are emotionally reserved, like structure, prefer working alone, and are fact-oriented decisionmakers.

A matrix based on these dimensions may be used to define four unique styles of personal communication and ways of relating to the world: relater, socializer, thinker, and director (see exhibit 4–2). In the matrix, the x-axis represents direct versus indirect behavior and the y-axis represents relationship versus task orientation. The upper left quadrant of the matrix describes the relater communication style, which is indirect and relationship oriented. The upper right quadrant describes the socializer style, which is direct and relationship oriented. The lower half of the matrix describes task-oriented styles: the thinker style (lower left) uses a more indirect approach to communication, and the director style (lower right) uses a more direct approach.

Exhibit 4–2. Personal Communication Styles Matrix

<div align="center">Relationship Oriented</div>

Indirect	**Relater Style** • Slow taking action and making decisions. • Likes close personal relationships. • Dislikes interpersonal conflict. • Actively listens to others. • Weak at goal setting. • Excellent ability to gain support from others. • Seeks security and belonging.	**Socializer Style** • Spontaneous actions and decisions. • Likes involvement. • Dislikes being alone. • Jumps from one activity to another. • Works quickly. • Seeks esteem and acknowledgment. • Good persuasive skills.
	Thinker Style • Cautious actions and decisions. • Likes organization and structure. • Dislikes involvement. • Asks many questions about details. • Prefers objective, task-oriented, intellectual work. • Wants to be right. • Works slowly and precisely, alone. • Good problem-solving skills.	**Director Style** • Decisive actions and decisions. • Likes control, dislikes inaction • Prefers maximum freedom. • Cool, independent, and competitive. • Low tolerance for others' expressions of feelings and advice. • Works quickly and impressively alone. • Good administrative skills.

The left edge is labeled **Indirect** and the right edge is labeled **Direct**.

<div align="center">Task Oriented</div>

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Tailoring Communications to the Listener

Most people have a dominant communication style; however, in deciding how best to communicate with someone, it is important to understand that people may sometimes use different styles in different contexts. For example, someone may use the director style at work but demonstrate more socializer-style behaviors in a nonwork environment. The most effective way for managers and supervisors to communicate with someone in a work environment is to know that person's dominant communication style at work and then modify their own style accordingly.

Four Styles of Personal Communication

- Relater.
- Socializer.
- Thinker.
- Director.

The following suggestions can help managers and supervisors tailor their communications based on their listeners' dominant communication style.

Relaters (indirect, relationship oriented). Relaters talk, move, and make decisions more slowly. They are relationship oriented. To improve communications with them:

- Be warm and sincere.

- Support their feelings by showing personal interest.

- Use an informal, slower, more relaxed manner.

- Listen actively.

- Assume they will tend to take things personally.

Socializers (direct, relationship oriented). Socializers talk, move, and make decisions quickly. They are relationship oriented. To improve communications with them:

- Support their opinions and ideas.

- Allow the discussion to flow and occasionally go off on tangents.

- Be entertaining and fast paced.

- Avoid conflict and arguments.

- Compliment them.

- Allow them to get things off their chests.

Thinkers (indirect, task oriented). Thinkers talk, move, and make decisions more slowly. They are task oriented. To improve communications with them:

- Be thorough and well prepared.

- Support their need to be accurate and logical.

- Ask questions and let them show you how much they know.

- Allow time for deliberation and analysis.

- Provide solid, factual evidence.

Directors (direct, task oriented). Directors talk, move, and make decisions quickly. They are task oriented. To improve communications with them:

- Talk about results.

- Support their goals and objectives.

- Keep communication businesslike.

- Present arguments based on facts, not feelings.

- Be well organized.

- Provide clearly defined options with supporting analysis.

Feminine and Masculine Communication Styles

Managers and supervisors need to understand masculine and feminine communication styles to be effective communicators. In this discussion, "feminine" and "masculine" refer to styles of relating rather than the gender of the communicator. Women can show some or even many of the masculine patterns of expression, and some men may be more comfortable with the feminine style of relating. Exhibit 4–3 illustrates some differences in feminine and masculine communication styles.

Although differences in these communication styles can cause conflict, both styles reflect attitudes and energies that are needed to meet workplace challenges. It is important, therefore, to strive for a balance of masculine and feminine ways of relating.

Exhibit 4–3. Feminine and Masculine Communication Styles	
Feminine Communication Style	**Masculine Communication Style**
• Likes to engage in dialogue, more willing to show emotion. • Uses talking as a way to share information, form a bond, and offer support. • Less likely to speak up, more willing to give up a turn.	• More direct, wants to "cut to the chase." • Thinks of conversation as a contest. • Assertive and outspoken, more willing to interrupt.

Intercultural Communication

In the 21st century, competence in intercultural communication is important in both personal and professional life. The United States is a mosaic of many cultures (groups of people who share ethnic backgrounds, values, attainments, beliefs, and traditions). An organization or a department integrates employees into the workplace and eventually develops a "culture" of its own. Learning to communicate effectively with people from a different organizational or personal culture is especially critical for today's managers and supervisors.

To be competent in intercultural communication, managers and supervisors should be aware that they naturally use aspects of their own culture to judge and interpret the behaviors of those from other cultures. These aspects form a kind of "cultural lens" and include such things as:

■ Race and ethnicity.

■ Religion.

■ Nationality.

■ Family background.

■ Personal values.

■ Education.

■ Socioeconomic status.

It is equally important for managers and supervisors to recognize that these same aspects shape the cultures of people with whom they are communicating. This awareness will help managers and supervisors understand others more accurately and communicate with them more appropriately and effectively.

Nonverbal Communication

Communicating effectively involves more than language and words. Nonverbal messages are just as important. Nonverbal behaviors become part of the communication process when someone tries to convey a message or when someone attributes meaning to the nonverbal behavior of another.

Communication experts estimate that only 7 percent of communication is represented by the words we say, another 38 percent by our sounds and how we say words, and 55 percent by body language and other nonverbal behavior. Nonverbal behaviors also relate to the use of personal space, time orientation, and vocal qualities such as pitch, volume, rhythm, and rate of talking. As described earlier in exhibit 4–1, visual and vocal clues can provide information about an individual's communication style.

Nonverbal communications are often difficult to interpret because they are culturally specific. A smile, a head nod, and eye contact may all have different meanings in different cultures. For example, a smile in one society conveys friendliness, in another embarrassment, and in a third a sign of tension.

Proficiency in reading nonverbal communications is an important aspect of successful communication because it allows someone to perceive the needs and desires of others. However, it is not an exact science. Gestures are clues to the emotions and attitudes of others, but they do not provide conclusive evidence. Body language and other nonverbal communication provide a basis for assumptions that should be tested and validated rather than considered as fact.

Active Listening

Communication is a two-way process. Most people focus on their role as senders and forget their responsibilities as receivers. But listening may be a manager's or supervisor's most important skill. Surveys frequently reveal that employees do not feel their managers and supervisors listen to their needs, suggestions, or complaints—the result is lowered morale and productivity. Active listening improves working relationships because it makes people feel appreciated, understood, and accepted. Active listening has three components: concentrate on the speaker, show attention and interest, and clarify points by asking questions or paraphrasing.

Concentrate on the speaker. Eliminate or reduce environmental distractions such as telephone calls or visitors, visual distractions such as passerby traffic, and uncomfortable seating or room temperature.

> Seek first to understand, then to be understood.
>
> —Stephen Covey, Author, *The 7 Habits of Highly Effective People*

> **Three Components of Active Listening**
>
> - Concentrate on the speaker.
> - Show attention and interest.
> - Clarify points by asking questions or paraphrasing.

Show attention and interest. In choosing ways to show interest, be sensitive to the cultural background of the other person. Common ways that Americans and Europeans show interest include:

- Facing the speaker.

- Maintaining eye contact.

- Using nonverbal cues such as head nods and facial expressions.

- Using encouraging vocal prompts such as "hmmm," "go on," and "tell me more."

Clarify points by asking questions or paraphrasing. In paraphrasing, the listener says back to the speaker what the listener thinks the speaker really meant. This often involves "reading between the lines" to interpret the full meaning of the speaker's words, then checking out that interpretation.

By using active listening techniques, managers and supervisors can show that they are interested in what other people are saying and that they understand the message.

Giving and Receiving Feedback

Feedback is vital to any organization committed to improving itself because it is the only way to know what needs to be changed. Managers and supervisors need good feedback skills to improve their team's performance and to communicate more effectively with others at work. It is important to give both positive feedback (e.g., praise) and constructive feedback (e.g., criticism). Managers often make the mistake of taking good work for granted and only giving constructive feedback focused on improving performance that does not meet expectations. Good managers and supervisors regularly use both types of feedback to motivate their team to high performance.

Constructive feedback should take place within a context of listening to and caring about the person. Before giving feedback, managers and supervisors should make sure that the time, place, and circumstances are appropriate. Several guidelines can help managers and supervisors give both positive and constructive feedback.

> **Guidelines for Giving Feedback**
>
> - Be timely.
> - Be specific.
> - Focus on the behavior, not the person.
> - Do not assume.
> - Involve the person receiving the feedback.

Be timely. Provide feedback as soon as possible after the relevant action or behavior; otherwise, the feedback loses its effectiveness.

Be specific. Clearly and objectively describe the specific behavior that is the focus of the feedback. Share observations and give examples.

Focus on the behavior, not the person. Relate feedback to the behavior or action in question. Do not criticize the recipient personally.

Do not assume. Making assumptions is counterproductive. A manager or supervisor may not have all the facts of a situation. In addition, the other person may have a frame of reference that is totally different from that underlying the manager's or supervisor's reactions, perceptions, and beliefs with regard to the situation. This is particularly true in intercultural communications. Before formulating and offering feedback, managers and supervisors should think of their interpretation of the situation as a tentative hypothesis until it is tested by gathering additional information and data.

Involve the person receiving the feedback. Encourage two-way communication. Asking for reactions, thoughts, and ideas builds trust and ownership.

In addition to improving the performance of others through feedback, managers and supervisors should solicit feedback to improve their own performance as leaders. They should:

- Receive feedback with the intent to learn and grow.

- Listen carefully to the feedback without interrupting.

- Ask questions for clarification, and acknowledge valid points.

- Evaluate the message and decide whether they would benefit from modifying their behavior.

Asking Questions

Asking questions is an art. Questions are at the heart of communication. They can build rapport and trust, open up a conversation, or sell an idea. They are used to get information, check agreement, learn others' views, stimulate conversation, and verify information. Asking questions is particularly important in an

> A prudent question is one-half of wisdom.
>
> —Francis Bacon

organization where people need to understand each other clearly to achieve a common goal.

Two types of questions—open-ended and closed-ended—contribute to effective communication.

Open-ended questions. These questions are used to expand a discussion. They often ask for opinions, thoughts, or feelings and often begin with "what," "how," or "why." Open-ended questions are particularly useful in initially gathering background information and data, e.g., "How do you ensure that the needs of all your key stakeholders are met?"

Closed-ended questions. These questions are used to prompt for specifics and usually are answered with a "yes" or "no." They are most useful in gathering detailed information, e.g., "Do you have program performance measures?"

Managers can improve their effectiveness in leading others by adopting a communication style that is more asking than telling and by using provocative questions to stimulate discussion and new insights.

Group Communication: Meetings and Presentations

Group communication skills enable managers and supervisors to lead productive, motivating meetings and make effective oral presentations. Both activities require leadership, high levels of organization, and the oral communication skills discussed in the previous section.

Leading Meetings

Meetings can be opportunities for managers and supervisors to model good leadership; however, many meetings fall short of that potential. Meetings are the most expensive communication activity in an organization. Even more costly than the salaries, facilities, and materials involved in conducting any meeting is the cost of lowered morale when people have to sit through a boring, poorly planned, poorly conducted meeting. Well-managed meetings are effective and essential communication tools. Important decisions are made, ideas are generated, information is shared, and people feel a sense of purpose, pride, and belonging. To lead effective meetings, managers must take the steps needed to prepare for the meetings as well as to facilitate the meeting. (For further discussion of managing meetings from the perspective of the team building competency, see chapter 8, "Team Building.")

Preparing for Meetings

The success of meetings is directly related to the quality of preparation. Although meetings require many administrative tasks, the most important preparation activities for managers and supervisors are identifying the meeting's purpose and determining their own role.

> **Meeting Preparation Activities**
> - Identify the purpose of the meeting.
> - Determine the manager's or supervisor's role.
> - Complete administrative tasks.
> - Provide advance notice.

Identify the purpose of the meeting. Meetings are held for a variety of purposes, including:

- Planning.

- Information sharing.

- Problem solving.

- Reviewing progress.

- Training.

- Team building.

- Making decisions.

- Generating ideas.

- Introducing change.

- Gaining commitment.

- Celebration and recognition.

Determine the leader's (manager's or supervisor's) role. After determining the purpose of the meeting, the manager or supervisor should think about the role he or she wants to play—cheerleader, coach, facilitator, counselor, visionary, etc.

Complete administrative tasks. Administrative preparations for meetings include the following:

- Review progress on tasks and assignments from previous meetings.

- Establish meeting agenda, timeframes, and location.

- Select and notify participants.

- Collect any data to be shared.

- Anticipate questions and concerns.

Provide advance notice. Sending participants the meeting agenda (including objectives, desired outcomes, advance preparation, and required materials) prior to the meeting will save valuable time, increase understanding and commitment, and greatly enhance the success of the meeting.

Facilitating Meetings

The most important role of the manager or supervisor in a meeting is to function as a leader and facilitator to help the group capitalize on the combined information, wisdom, and experience of the participants. A good meeting leader defines a context for issues, orients the team in a common direction, and inspires positive performance. A good facilitator understands how groups interact, how to stimulate participation, and how to manage the meeting process.

Ways To Facilitate Meetings

- Encourage participation.
- Focus on objectives.
- Summarize outcomes.

Encourage participation. The meeting leader can encourage participation by acknowledging contributions, asking specific questions, demonstrating active listening, using brainstorming techniques, and breaking the group into subgroups. Diverting the discussion from participants who tend to monopolize the floor and encouraging reluctant or quiet participants to share their thoughts and ideas can help balance participation.

Focus on objectives. The leader needs to keep the discussion focused on achieving the meeting's objectives by minimizing interruptions, disruptions, and irrelevant comments. Setting ground rules that spell out expectations for general courtesy and responsibility will help establish behavior norms and prevent misunderstandings and disagreements. When the discussion begins to go off on a tangent, the leader needs to intercede and get the discussion back on track by referring back to the agenda and redirecting the conversation.

Summarize outcomes. The leader should end the meeting by summarizing highlights, decisions, and assignments and discussing next steps. It is also useful for participants to evaluate the effectiveness of the meeting by identifying what went well, what didn't work, and what could be improved. The leader should follow up by distributing written minutes to meeting participants and to others who may have a need to know.

Making Presentations

The ability to speak in front of groups to share information, ideas, experience, and enthusiasm is an important leadership skill—one that becomes increasingly critical as a leader progresses up the management ranks. Public speaking can take many forms: addressing a large audience in a public forum, presenting a proposal to decisionmakers, explaining a new policy, building understanding and enthusiasm for a change initiative, or reviewing the status of a project. Good presentations can provide opportunities for growth, recognition, and prestige. The effective speaker establishes a reputation as an expert to whom others can turn for advice.

Purpose and Value of Presentations

Giving a successful presentation first requires the speaker to understand and appreciate that he or she is asking the audience for its valuable time and attention. The speaker has an obligation to ensure that attending the meeting will benefit the audience. To fulfill this obligation, the speaker should consider the following questions:

- What is the purpose of the presentation?

- Is a presentation the most appropriate communication vehicle?

- Am I the best person to make the presentation?

- Who is my audience?

- What benefit will the audience gain?

- Is the benefit worth the cost associated with the presentation?

- What do I want the audience to know and do at the end of the presentation; how do I want them to feel?

- How will I gain the attention and respect of the participants?

Types of Presentations

Once the purpose and value of the presentation have been determined, it is time to decide on the appropriate format for the presentation. The four basic types of presentations—report, explanatory, persuasive, and instructional—differ primarily in the amount of detail presented and the level of persuasiveness required to meet the objective of the presentation.

Report. A report brings people up to date on something they are already familiar with (e.g., a project report). It generally focuses on facts, figures, and other details and involves little persuasion.

Explanatory. This type of presentation is used to provide an overall perspective or identify new developments. It offers the audience new information and facilitates understanding but seldom involves extensive detail or persuasion.

Persuasive. With a persuasive presentation, the purpose is to get others to accept the presenter's opinion or idea, which generally involves changing their view of something. This type of presentation requires strong persuasive skills but seldom uses extensive detail.

Instructional. An instructional presentation teaches people how to do something. It usually involves more audience participation than other types of presentations. Because the presenter is trying to convince the audience to adopt new methods or behaviors, the instructional presentation generally includes extensive detail and persuasion.

Tailoring the Presentation to the Audience

With the purpose and type of presentation in mind, the presenter should next consider how to mold the presentation to fit the specific characteristics and needs of the audience. These considerations will guide the selection of examples, language, and concepts that will best hold the audience's attention.

Any presentation—regardless of purpose, type, or audience—has three main parts: the introduction, the body, and the conclusion. It is especially important to create an engaging introduction and conclusion because research on human memory indicates that people remember best what they heard first or last in a speech.

Introduction. The introduction must capture the attention of the audience and convince them to continue to listen. Attention-getting techniques include using a rhetorical question, statistic, quotation, dramatic story, or humor. (Using humor not only in the introduction but also throughout the presentation is a good way to get the audience's attention and to relax the audience and the speaker.) In the introduction, the speaker should also review the agenda, outline his or her background and experience, and let listeners know how the information to be presented is relevant to their needs.

Body. The body is the middle section of the presentation, where the main points and themes are developed. The body can be organized topically, chronologically, or by using a problem-and-solution approach. Important points should be emphasized with good visual aids to help the audience remember the message. Language should be accurate, concrete, and clear, so the audience can understand the message. The speaker should explain acronyms and jargon and be careful to be as concise as possible.

> One cannot *not* communicate.
>
> —Osmo Wiio,
> Member, Swedish
> Parliament

Conclusion. In the conclusion, the speaker summarizes what has been said in the body of the presentation, stressing the main ideas the audience should remember. This is also the place to ask for appropriate action, if that is part of the purpose of the presentation.

Delivering the Presentation

We are always communicating something to someone, whether or not we intend to send a message. Because the success of a presentation is determined by the response of the audience, it is important for the presenter to be aware of how the audience perceives him or her. This involves examining body language as well as verbal delivery. Here are a few guidelines:

- Use a relaxed but erect posture, with weight evenly distributed, shoulders back, chin up.

- Look at various sections of the audience.

- Use facial expressions to dramatize and reinforce emotions.

- Dress appropriately.

- Coordinate gestures and movements with words.

- Use a positive, enthusiastic voice and speak loudly enough for everyone to hear.

- Vary loudness, pitch, and pace to suit the material.

- Use pauses as punctuation marks.

Written Communication

Although managers and supervisors typically spend most of their time speaking, listening, and making decisions, organizations run on the written word. Whenever important information must be conveyed, such as a policy, contract, report, or plan, it is put in writing to provide a permanent record. That piece of paper becomes a permanent reflection of its author, including the author's ability to express a message professionally and get things done.

Because written communications are critical to an organization, managers and supervisors can improve their personal effectiveness and productivity by developing their ability to communicate in writing. This involves learning how to:

- Choose the form of communication best suited to the objective of the message.

- Take readers' needs into account.

- Draft a message that is clear, concise, and readable.

- Use e-mail and other communication technology effectively.

Choosing the Appropriate Form of Written Communication

Managers and supervisors can choose among many forms of written communication, including the more traditional letters, memos, reports, and policies, as well as the newer electronic methods such as e-mails, Web sites, faxes, etc. Selecting the appropriate form involves taking into account factors such as degree of formality or informality (e.g., policy statement versus departmental news), level of complexity (e.g., report versus note), speed of delivery (e.g., e-mail versus letter), and internal or external audience (e.g., employees versus other agencies).

Knowing the Audience

In all written communications, managers and supervisors must know what they want to say, what their objective is in saying it, and why it is important for the audience to read it. Knowing the audience makes it easier to organize the material so that it has the best chance of being read and understood. Good communicators show they understand the other person's goals. They put themselves in the reader's shoes so their message will be better received.

Conveying the Message

Business writing emphasizes clarity, conciseness, and readability over eloquence. This is true even for informal communications such as e-mails. Clear writing requires preparation. Lack of planning and confidence results in indirect, lengthy, and unfocused writing. Correctional employees are busy people who receive many communications. They are unlikely to read or act on communications that are poorly written.

Three Goals of Business Writing

- Clarity.
- Conciseness.
- Readability.

Clarity. The following techniques will make written communications clearer for readers:

- *Use the active voice:* The active voice is open and upfront; it encourages action.

- *Avoid jargon:* Jargon can cause miscommunication and misunderstanding for those not familiar with the terms. If there is any possibility that the reader will

not understand a term, either define it or find another way of expressing the idea.

■ *Be direct:* Say what you mean. Words such as "seems," "could be," "appears," and "might possibly be" indicate lack of confidence and unclear thinking.

Conciseness. As noted earlier, the audience may have little time or inclination to read your communication. Respect the reader's time by stating the message in the clearest and shortest way possible:

■ Use short, crisp words that are to the point.

■ Use short sentences that are active and easily understood; avoid lengthy sentences full of dependent clauses.

■ Use short paragraphs that convey only one idea.

Readability. Several formatting techniques make a message easier to read:

■ *Highlighting:* Use bold and italic text to highlight key ideas and new topics.

■ *Bullets:* Use bullets to emphasize listed items.

■ *White space:* Use wide margins, narrow columns, and plenty of space between paragraphs to make the page look clean and professional.

■ *Limited uppercase:* Words written in all capitals are harder to read.

Using Graphics

Graphics—pictures, photographs, tables, charts, etc.—can enhance written communications. They are often effective tools for visually conveying complex ideas and information. Because most people are visual learners, using graphics can greatly aid the audience's understanding and retention of information.

Using Communication Technology

The problem before us [managers] is not to invent more tools, but to use the ones we have.

—Rosabeth Moss Kanter,
The Change Masters

Communicating with new technology is not simply a matter of adding computers to workstations. New technology leads to communicating in new ways and can bring fundamental changes to how employees work and relate. E-mail, or online communication, is a good example. E-mail is extremely fast in comparison to interoffice mail or the U.S. Postal Service. However, along with this efficiency, e-mail can also bring its own set of issues.

E-mail tends to function more like speech than writing, but without voice inflection or tonality. E-mail is prone to faulty communication as it is informal, provides a means for immediate response, and lacks visual and nonverbal clues and tangible reminders of the audience. Managers and supervisors need to keep in

mind that e-mail is as permanent a record as any written memo and should be crafted as carefully as more formal written correspondence. Other aspects of e-mail communication to be aware of are the following:

- Individuals and groups communicating through an electronic medium are more likely to be uninhibited.

- Status differences play a lesser role in an online environment.

- Online consensus decisionmaking takes significantly longer than decision-making by a group interacting face to face.

Exhibit 4–4 offers tips on the "W.R.I.T.E." way to communicate online.

Exhibit 4–4. The W.R.I.T.E. Way To Communicate Online

The key to effective online communication involves communicating in a manner that is "W"arm, "R"esponsive, "I"nquisitive, "T"entative, and "E"mpathetic.

Warmth
- Don't rely exclusively on e-mail. The telephone may be a more effective way to clarify a point or negotiate a delicate issue.
- Send sensitive information to private mailboxes. (Beware the inadvertent use of "reply all" when responding to a message.)
- Incorporate warmth into e-mail text; e.g., strive for a conversational (yet professional) tone.

Responsiveness
- Set deadlines when requesting work products, and provide occasional reminders.
- Be consistent when providing feedback.
- Reply promptly to questions.

Inquisitiveness
- Ask questions if the context or content of a message is unclear.

Tentativeness
- Use tentative language to soften a message unless the situation dictates otherwise.

Empathy
- Put yourself in the place of your audience. Ask yourself how they will perceive the message.

Source: Adapted from Ken White and Elwood Chapman, *Organizational Communication,* Needham Heights, MA: Simon and Schuster Custom Publishing, 1997. Copyright© 1997 Simon and Schuster Custom Publishing. Adapted and reprinted by permission of Pearson Custom Publishing.

Summary

Communicating effectively is essential for success in every area of life, but communication excellence is the hallmark of great leadership. Communication involves giving and receiving thoughts and feelings through speaking and listening, nonverbal clues, and in writing. The intended meaning of a communication may not be what the recipient understands because the meaning is often altered by the recipient's own perceptions. Differences in perception are created by differences in communication style, gender, age, race, cultural and organizational background, and many other factors. The process of communication is subtle and complex, mirroring the complexity of language and the human personality.

Good leaders are sensitive to the subtleties of communication and continually strive to master the challenges of oral and written communication. They demonstrate respect by tailoring their communications to the needs of others, using active listening skills, and being empathetic. More than anything else, they understand that communication is about creating understanding. Their main purpose is not to prove that they are right but to be openminded and respect the views of others to achieve mutual understanding, learning, and personal and professional growth.

Key Skills and Behaviors

Skill: The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.

Behavior: The manner of conducting oneself; observable activity.

Fundamentals of Effective Oral Communication

Skill: Having effective, respectful exchanges with people at different organizational levels.

Behaviors:

- Listen for understanding before offering opinions.

- Use appropriate questioning techniques to better understand a situation/issue or to stimulate discussion.

- Use paraphrasing to check understanding.

- Give timely, specific feedback.

Skill: Understanding how cultural differences affect interpersonal communications.

Behaviors:

■ Recognize different cultural contexts, communication styles, and nonverbal clues and modify your own communications accordingly.

■ Use communication that respects cultural differences.

■ Try to recognize and understand the perspective of the person with whom you are communicating.

Group Communication: Meetings and Presentations

Skill: Conducting productive meetings that accomplish their intended purpose.

Behaviors:

■ Create a positive meeting climate.

■ Establish and communicate meeting purpose and agenda.

■ Balance meeting participation to both accomplish meeting objectives and maintain group working relationships.

■ Summarize key decisions and assign action items.

■ Evaluate meeting effectiveness and make needed improvements.

■ Document and communicate meeting outcomes to appropriate parties.

Skill: Presenting information effectively in a variety of circumstances.

Behaviors:

■ Adapt your communication style to different audiences to maximize understanding.

■ Demonstrate indepth knowledge in your area of expertise.

■ Use a variety of methods to keep the presentation interesting and encourage participation.

■ Use devices to help listeners understand and retain information.

■ Speak with confidence and enthusiasm.

■ Present information persuasively to advocate proposed recommendations.

Written Communication

Skill: Writing clearly and concisely so that information is understood and acted on.

Behaviors:

- Use the appropriate written communication vehicle for the intended purpose.

- Tailor communications to the reader.

- Use appropriate format and style and proper grammar and punctuation.

- Write recommendations persuasively.

- Seek feedback to ensure that the intended message was understood.

- Be aware of the differences inherent in online communications.

	Manager	Supervisor
Appendix 4–1. Focus Matrix for Managers and Supervisors: Oral and Written Communication		
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Focus Areas		
Fundamentals of Oral Communication	• Places emphasis on making formal presentations to recommend new initiatives and programs, justify budget proposals, and provide project updates. • Successfully leads cross-functional team meetings. • Frames thought-provoking questions that facilitate meaningful dialogue to address complex issues.	• Places emphasis on more informal communications. • Facilitates own team's meetings and develops team's communication skills (highly important). • Listens attentively and empathetically to team members and responds appropriately to their questions and concerns (critical skills for supervisors). • Communicates in a manner that demonstrates respect for differences (a foundation management skill that fosters the trust and credibility required to lead others).

Appendix 4–1. Focus Matrix for Managers and Supervisors: Oral and Written Communication (continued)		
	Manager	**Supervisor**
Focus Areas (continued)		
Group Communication: Meetings and Presentations	• Manages group communications with participants who have diverse interests, agendas, and perspectives. • Uses a wide variety of meeting and communication tools to ensure that all voices are heard.	• Facilitates own team's meetings to achieve productive results and build team spirit. • Involves team members in planning and leading team meetings.
Written Communication	• Focuses on formal communications (e.g., reports) in which providing facts and evidence to support recommendations is important. • Uses the written word to influence stakeholders. • Focuses on following up communications to ensure understanding, especially when the audience is broad and diverse.	• Focuses on more informal written communications. • Documents personnel actions, issues, and decisions clearly, concisely, and accurately and in a timely manner.

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Motivating Others

Nancy M. Campbell

This chapter addresses the role of managers and supervisors in motivating employees. After summarizing why the ability to motivate others is important for managers and supervisors, the chapter describes how two types of factors— security and motivating—affect job attitudes. The chapter then offers guidelines for hiring motivated employees. A section on behaviors that motivate focuses on how to use positive reinforcement to bring out the best in employees and suggests approaches for aligning employees' personal and professional interests. The chapter summarizes key skills and behaviors that can help managers and supervisors motivate others and presents a matrix (appendix 5–1) that shows the applicability of those skills and behaviors to each of the two positions.

Chapter 5

Definition

Motivating Others: Motivation is an internal drive that stimulates a person to try hard to achieve goals. A motivated employee tries harder to get the job done and to do it well. Motivation to perform well exists when a conscious or unconscious need or desire is met through work. Effective managers and supervisors understand this and find ways to align workers' needs or desires with their work.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

Although the quote by Lee Iacocca may be an overstatement, anyone who supervises people understands the truth it contains. Instead of spending time pushing and pulling employees to get them to perform, the manager or supervisor who discovers what motivates each employee can step aside and watch individuals do their job well. There is no longer any need for the iron fist or the velvet glove, just appreciation and support for the employee's growth and development.

Many a boss has wondered why one employee is enthusiastic, shows initiative, and willingly takes on more work, while another seems to complain bitterly about everything, resists change, and never does anything not strictly within his or her job description. What makes the one person work so hard and the other spend energy avoiding work? The answer to this question is motivation. One person is motivated to do the work and the other is not.

Many managers believe that employees should be motivated by their paychecks. After all, employees are paid to do their jobs—isn't that enough? The answer is

> Management is nothing more than motivating other people.
>
> —Lee Iacocca,
> Former Chairman,
> Chrysler Corporation

no. Effective managers understand that each employee is an individual who may require a different form of motivation.

Some managers cannot understand why everyone does not share their own enthusiasm about the work and assume that those who do not must have a poor work ethic. This may be the case in some circumstances; more often, however, it is simply that different people are motivated by different things.

Because motivated employees are more productive than those who are not, many studies have been conducted over the years to learn what motivates people. In the American workforce, the majority of workers indicate that they are not performing up to their potential and in most cases are simply doing the minimum amount required of them. According to Daniel Yankelovich and John Immenwahr in their 1983 *Public Agenda Report on Restoring America's Competitive Vitality* (as quoted in Aubrey C. Daniels' 1999 book *Bringing Out the Best in People*), one study of private sector employees found that:

- 23 percent of employees said they were performing to their full potential and capacity.

- 43 percent said they did what was expected of them and no more.

- The majority said they could increase their effectiveness significantly.

It might seem that many workers are just lazy. Typically, that is not the problem. Most people long for fulfilling and meaningful work and feel they could make a greater contribution at work. What often holds people back is not lack of skill or desire, but the manager or supervisor who supervises them. By failing to understand what motivates employees and to offer challenging work opportunities, managers and supervisors create the conditions for discontent. Often unknowingly, managers and supervisors support unproductive behavior.

The idea that so much capacity is being wasted is startling. What a difference it would make if managers and supervisors knew how to harness the potential of their subordinates and coworkers. Learning how to motivate others is the key to capturing much of this unused capacity.

To motivate others requires self-awareness. Managers and supervisors must be aware of their own interpersonal and intrapersonal skills and abilities. The discussion in this chapter assumes that readers have that understanding and now want to learn how to motivate others. It also assumes that readers have the willingness and desire to understand the people they supervise and to help these employees contribute fully in the workplace. Finally, it assumes that readers are willing to change some of their current methods of supervising others.

What Motivates?

Before exploring strategies or techniques for motivating others, it is important to understand what motivates people. Although we respond differently to various motivational techniques, we are all alike in fundamental ways. To understand how people are alike requires a basic understanding of universal human drives and needs.

Frederick Herzberg's motivation-hygiene theory of job attitudes suggests that the factors that produce job satisfaction are distinct from those that produce job dissatisfaction. Two different sets of fundamental human needs and drives influence feeling satisfied or dissatisfied with one's job. This explains why not being dissatisfied with a job does not necessarily mean being satisfied enough to be motivated. These two sets of needs and drives—security factors and motivating factors—must be met before people are motivated.

Security Factors and Motivating Factors

In his well-known hierarchy of human needs, Abraham Maslow described two sets of fundamental needs that must be met for optimal functioning. The first set of needs stems from our animal nature and includes the drive to avoid pain and meet our biological needs. These needs can be thought of as security factors. We do not want to go hungry, so we work to pay for food. The second set of needs is unique to human beings: our drive to achieve and, through this, to experience growth. We address this set of needs by taking on a new task and mastering it. These needs can be thought of as motivating factors.

Understanding how these drives relate to motivating others at work requires recognizing that security factors are found in the work environment, whereas motivating factors are found in the work itself and in experiences related to doing the work successfully. Security needs are met through company policy and administration, supervision, interpersonal relationships (with supervisor, peers, and subordinates), work conditions, salary, personal life, status, and job security. Motivating needs—how individuals experience psychological growth—are met through achievement, recognition of achievement, the work itself, responsibility, and growth or advancement.

Exhibit 5–1 shows how these security and motivating factors affect job dissatisfaction and job satisfaction. Clearly, if only security needs are met, little job satisfaction is attained. Security factors are necessary but not sufficient for job satisfaction.

Which Factors Should Managers and Supervisors Focus On?

What is particularly striking about the research on management and motivation is that managers devote most of their time to security factors—i.e., to issues that do not motivate employees. The commonly held belief is that if these issues are

> I can charge a person's battery and then recharge it and recharge it again. But it is only when one has a generator of one's own that we can talk about motivation. One then needs no outside stimulation. One wants to do it.
>
> —Frederick Herzberg, Job Enrichment Expert

Exhibit 5–1. Factors Affecting Job Attitudes
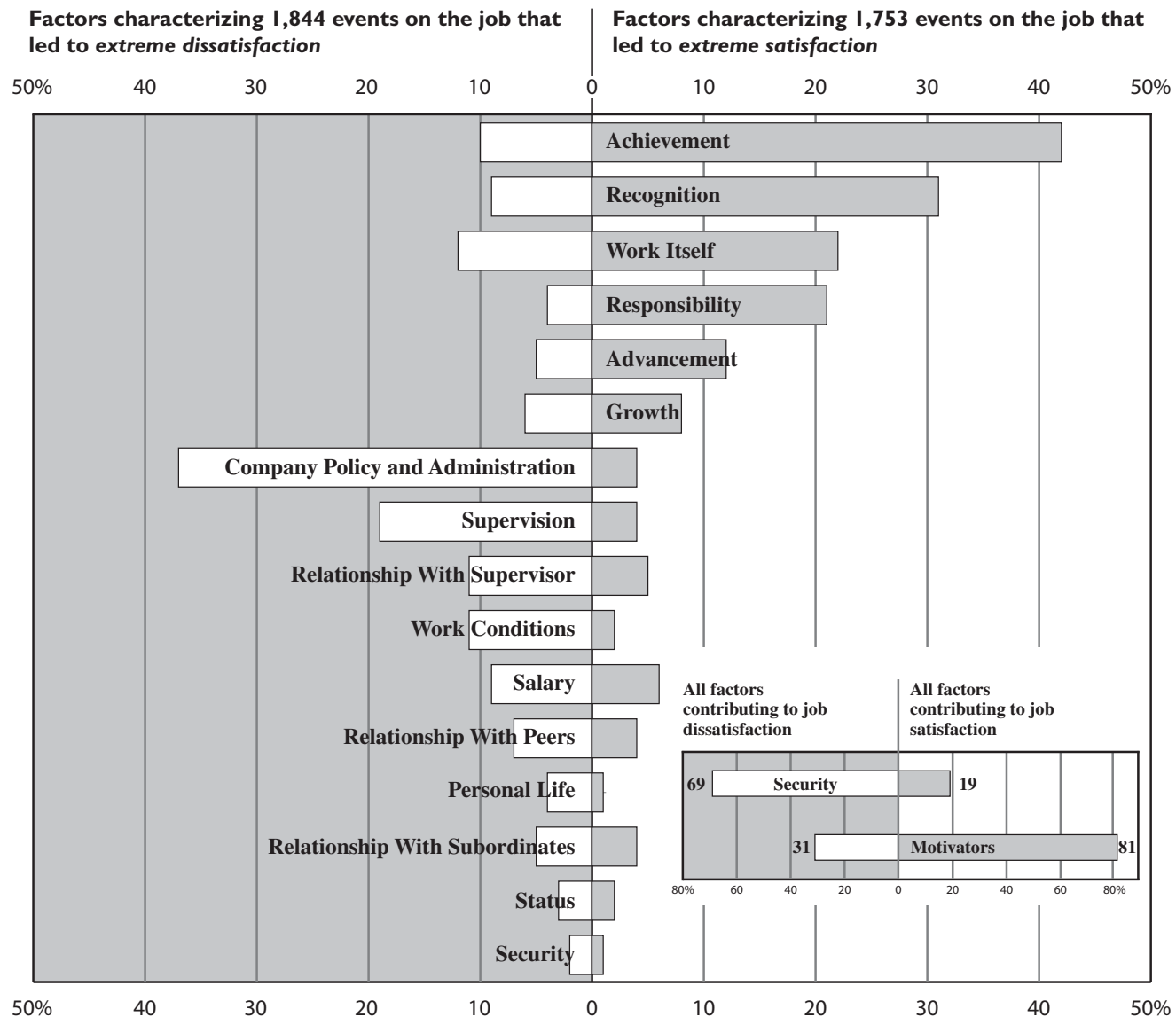
Factors characterizing 1,844 events on the job that led to *extreme dissatisfaction*

Factors characterizing 1,753 events on the job that led to *extreme satisfaction*

50% 40 30 20 10 0 10 20 30 40 50%

Achievement
Recognition
Work Itself
Responsibility
Advancement
Growth
Company Policy and Administration
Supervision
Relationship With Supervisor
Work Conditions
Salary
Relationship With Peers
Personal Life
Relationship With Subordinates
Status
Security

All factors contributing to job dissatisfaction

All factors contributing to job satisfaction

69 | Security | 19

31 | Motivators | 81

80% 60 40 20 0 20 40 60 80%

50% 40 30 20 10 0 10 20 30 40 50%

addressed, employees should be motivated to do a good job. Yet as noted above, Herzberg's research indicates that employees typically do not find job satisfaction even if all of their security needs are met. Job satisfaction occurs only when the motivating needs are met.

Having the clearest policy and procedure, excellent interpersonal relationships, great working conditions, and rock-solid job security will not guarantee highly motivated employees. Each of these factors contributes to job satisfaction in only a small way. Motivation is found in meaningful and challenging work, which

allows the employee to demonstrate responsibility, experience growth, and achieve.

The bottom line is that money and working conditions—the very things that many managers believe motivate employees—help prevent job dissatisfaction but do not motivate. What motivates employees is anything that allows them to demonstrate mastery and to grow. To have a motivated workforce, a manager must find ways of ensuring that employees have challenging and meaningful work that allows them to be responsible and to achieve.

What Is the Manager's or Supervisor's Role in Motivating Employees?

Motivating factors are not something a manager or supervisor can "do for" an employee. A manager or supervisor can create the circumstances for achievement by providing meaningful and challenging work. If the employee then experiences achievement and growth, that employee will be internally motivated. The good news is that this means a manager or supervisor does not have to learn the motivational fad of the day. Nor does the manager have to spend time coaxing and cajoling an employee with extrinsic rewards.

To motivate, managers and supervisors must know each employee well enough to understand what that person cares about and how he or she learns best. This is done by asking and observing the employee. People usually can say whether they learn best through visual, oral, or experiential methods. By asking about and watching what types of tasks an employee enjoys, a manager or supervisor can determine what matters most to that person. Once a manager or supervisor understands what employees care about and how they learn best, then the task is to create the circumstances in which each employee can demonstrate his or her ability through the work.

Is Time Spent on Motivation Worth It?

Yes. Motivating factors are also believed to have a much longer term effect on employees' attitudes than security factors. This means the time devoted to helping employees find meaning in their work is time well spent.

Hiring Motivated Employees

One of the greatest challenges for correctional managers and supervisors is that, because of civil service laws, public sector policies, and labor contracts, they often do not get to hire their staff and must supervise employees they did not choose. This can be frustrating. Still, most correctional managers and supervisors do in fact hire many staff in the course of their careers. In hiring, they should not overlook the critical issue of motivation.

In researching his book *Good to Great,* Jim Collins discovered something interesting about the most effective leaders (as measured by long-term organizational

> The old adage "People are your most important asset" is wrong. People are not your most important asset. The right people are.
>
> —Jim Collins, Author, *Good to Great*

success). They do not focus first on defining the organizational vision and direction; rather, they focus first on hiring the best people. As Collins notes in chapter 3 of the book, effective leaders put the "who" before the "what."

In their hiring practices, effective leaders focus less on technical skills and more on character attributes. Rather than placing the highest value on educational background, practical skills, specialized knowledge, or work experience, they consider character, work ethic, basic intelligence, and values. In other words, they recruit and hire people who share their own values and are already motivated.

In the public sector, managers and supervisors often settle for the candidate the civil service register or human resources department says they must hire. They believe it is more important to have somebody in the job as soon as possible than to take the time to find the best person. They could not be more wrong. Too often, this approach means that managers and supervisors must spend time and energy trying to motivate an employee to care and to do the right thing—a task that can be avoided by hiring a person who is already motivated.

Another common mistake occurs when a new hire does not perform well during the probationary period. Too often, rather than accepting that the individual is not right for the job, probation is extended or, even worse, the person is moved from probation to permanent status. Common excuses for this irrational behavior include that managers and supervisors have failed to give the individual enough support, or to provide adequate training, and/or to provide adequate opportunities to demonstrate skills. These things may or may not be true, but motivated employees typically perform well despite hardships. Those who do not are often not motivated to do a good job. If an employee is not motivated during the probationary period, when that employee can be terminated at will, it is unlikely that the employee suddenly will become motivated once he or she has civil service protections.

If a manager or supervisor is sure that an employee is not motivated to do the work, the manager or supervisor should remove that person from the work unit as quickly as possible (assuming the steps discussed below under "Behaviors That Motivate" have been followed). Although civil service and labor rules may make this challenging, it can be done. Nothing is worse than watching the morale and motivation of a team be dampened by resentment when an employee faces no consequences for failure to do his or her job.

Collins says that "good to great leaders" understand three simple truths:

■ If you begin with the "who" rather than the "what," your team and organization will be better able to adapt to a changing world.

- If you hire the right people, the problem of how to motivate and manage largely goes away.

- If you have the wrong people, it does not matter how great your vision, you still won't have a great organization.

Behaviors That Motivate
How the Work Gets Done

In any organization, people are ultimately responsible for the work that is done. In corrections, where the use of machinery and technology is limited, people do the vast majority of the work. Consequently, as Aubrey C. Daniels points out in his book *Bringing Out the Best in People,* the one thing managers and supervisors should know the most about is human behavior. In reality, most managers and supervisors receive little training in human behavior.

Consequences Motivate Behavior

When managers and supervisors wonder why someone does something, they think about what happened before the event to motivate the person to act a certain way. The more important question is what happens after the behavior. As Daniels notes, a behavior analyst would say, "A person does that because of what happens to that person when he or she does it." The cause of the behavior lies not in what occurs before the behavior, but in its consequences. If the consequences are good, the behavior is repeated. If the consequences are negative, the behavior probably will not be repeated.

Although this concept of behavior may seem obvious, the way that corrections and most other organizations function suggests it is not well understood. In most organizations, the performance of employees is managed by telling them what to do. If, after a manager or supervisor tells an employee several times what to do, the employee still does not do it, the manager or supervisor tells the employee louder and often in a harsher and/or more threatening way. Eventually, the manager or supervisor might even take disciplinary action. Managers and supervisors spend most of their day either telling people what to do or figuring out what to do when people do not do what they are told. What is wrong with this picture?

Telling someone what to do will typically get a behavior to occur once, but it does not result in repeated behavior. Unless "telling" is combined with a meaningful consequence that makes the employee want to repeat the behavior, he or she is unlikely to do it again. Telling is effective to get someone started but it will not motivate anyone to continue. Unless something positively reinforces the behavior, it may not be repeated.

> The best way to run an organization is also the best way to treat people.
>
> —Sherman Roberts, Director of Executive Seminars, John F. Kennedy School of Government, Harvard University

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The Four Behavioral Consequences

- Positive reinforcement.
- Negative reinforcement.
- Punishment.
- Penalty.

Exhibit 5–2 shows how the four behavioral consequences—positive reinforcement, negative reinforcement, punishment, and penalty—affect behavior. Inadvertently or intentionally, managers create consequences that increase or decrease performance every day. In many cases, managers are actually rewarding (and thereby strengthening) the behaviors they do not want or providing negative consequences for behaviors they want to encourage. For example, the reward for highly productive employees is often more of the same type of work without additional time or resources to accomplish that extra work (and without the opportunity to move to more responsible tasks). Not surprisingly, it does not take long for an employee to figure this out and stop producing as much. Then the manager or supervisor wonders why the employee is no longer as motivated. The behavior change occurs because the employee is, in fact, being punished for working hard and learns to avoid the negative consequence.

Exhibit 5–2. Summary of the Four Behavioral Consequences and Their Effects

CONSEQUENCES THAT
INCREASE BEHAVIOR

1. Get something you want

2. Escape or avoid something you don't want

BEHAVIOR

3. Get something you don't want

4. Lose something that you have

CONSEQUENCES THAT
DECREASE BEHAVIOR

1. Postive Reinforcement (R+)
2. Negative Reinforcement (R–)
3. Punishment (P+)
4. Penalty (P–)
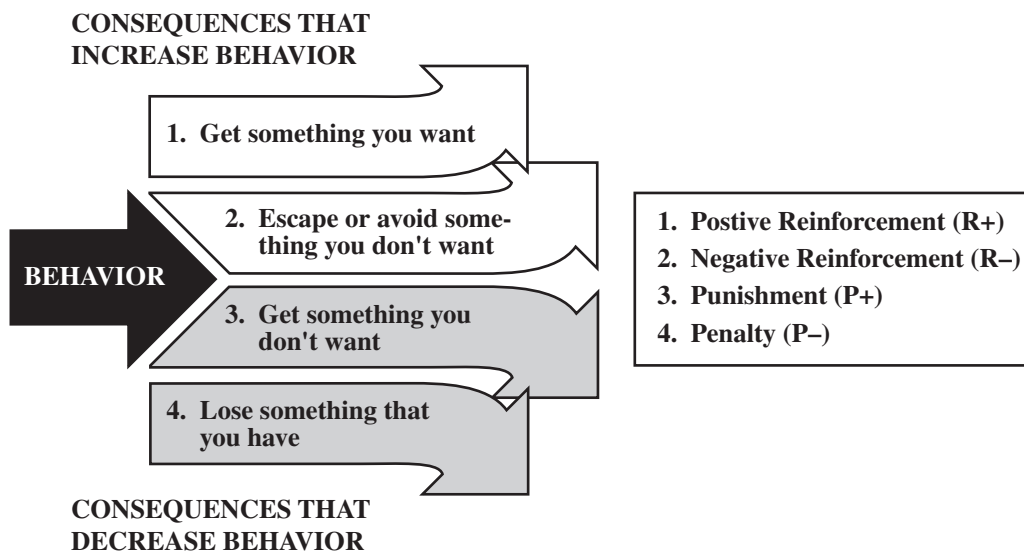
Source: Aubrey C. Daniels, *Bringing Out the Best in People,* New York: McGraw-Hill, 1999, p. 26. Copyright© 1999 The McGraw-Hill Companies, Inc.

If management does not effectively reinforce desired behaviors, employees will not repeat those behaviors. Repeated behaviors typically become part of the organizational culture. Managers must ensure that the behaviors that are repeated are aligned with the organizational mission and vision. They can do this by making certain that positive consequences follow desired behaviors and negative consequences follow undesired behaviors.

Reward What You Want Done

"Reward what you want done." Not as simple as it sounds, but some guidelines will help. Managers and supervisors can arrange tasks in a way that will positively reinforce the behaviors they want and eliminate unproductive behaviors. The following guidelines are adapted from Aubrey C. Daniels' *Bringing Out the Best in People.*

Focus on change, not blame. Most people behave in a way that is consistent with the way they were treated in the past. Those who were rewarded for being innovative will innovate. Those who were punished for doing anything without permission will likely do only what they are told. Rather than passing judgment on why people do what they do, managers should instead focus on changing the behavior.

"My behavior makes sense to me." Different people are reinforced in different ways. What reinforces one person may make no sense to another. No matter how nonsensical what a person does may seem to someone else, it makes sense (even if at an unconscious level) to the person doing it. The challenge for the manager is to understand the consequences that reinforce the behavior and change them if necessary.

The more immediate, the better. The impact of any consequence is limited. The more immediate the consequence, the greater its impact on behavioral change.

Don't focus only on the poor performers. A mistake we all make is to focus most of our energy on those who do not perform. Employees who do a good job soon lose the reinforcement they need to stay motivated.

See it through the employee's eyes. Most people reinforce others in the way they themselves would like to be rewarded. This would work if everyone was the same, but that is not the case. Find out what individual employees consider a reward and give them what they want, not what you think they want.

Doing nothing can hurt performance. If employees take the initiative to go above and beyond their job requirements, but no one ever acknowledges them and shows appreciation for their efforts, eventually they will stop. Failing to acknowledge a job well done kills motivation and a good work ethic. Expecting

people to perform only because they receive a paycheck is the number one threat to a good work ethic.

By now, readers may sense that the focus is on managers' and supervisors' behavior, not employees'. Initially, this is true. Managers and supervisors have to observe what they are or are not doing. They have to honestly assess what behaviors they are positively reinforcing and when they are relying on negative reinforcement, punishment, and penalties. And they have to be willing to learn how to analyze and change behavior.

A Method for Analyzing Behavior: The ABC Model of Behavior Change

In *Bringing Out the Best in People* (p. 34), Aubrey C. Daniels describes the ABC Model of Behavior Change, a method for analyzing why people behave the way they do. This model focuses on three things:

- *Antecedent:* What sets the stage for a behavior to occur.

- *Behavior:* What a person does.

- *Consequence:* What happens as a result of the behavior.

Antecedent ➤ Behavior ➤ Consequence

Source: Aubrey C. Daniels, *Bringing Out the Best in People,* New York: McGraw-Hill, 1999, p. 34. Copyright© 1999. The McGraw-Hill Companies, Inc.

This model addresses only motivational problems, not lack of skills. In other words, if a person could perform the task if the stakes were high enough, that individual has the skills but not the motivation. If a person could not perform the task under any circumstances, that individual does not have the skills and needs training, not motivation. It is the difference between "won't do" and "can't do."

In the ABC Model of Behavior Change, consequences are classified along the following three dimensions:

- *Positive or Negative:* Is the consequence positive or negative from the perspective of the performer?

- *Immediate or Future:* Does the consequence occur as the behavior happens or some time later?

- *Certain or Uncertain:* What is the probability that the performer will actually experience the consequence?

Exhibit 5–3 uses the ABC Model to examine a common situation in corrections agencies: implementing a new classification tool. Two behaviors are analyzed: an undesired behavior (not using the tool accurately) and a desired behavior (using the tool accurately). In this example, the implementation is not going well. Exhibit 5–3 shows why.

Because not implementing the classification tool accurately has many positive, immediate, and certain consequences in terms of employee self-interest, many staff will resist using it. Analyzing the consequences of using the classification tool accurately reveals other problems: many immediate and certain negative consequences, a few immediate and certain positive consequences, and only one possible positive consequence in the future. From the point of view of the people whose behavior must change (i.e., staff), there are not enough immediate, positive reasons to try to use the classification tool accurately.

What could be done to change this? Managers and supervisors must create more immediate, positive consequences for implementing the classification tool. For example, a manager could provide resources to help an employee learn and/or could give an employee time to get up to speed on the new instrument before facing any negative consequences. Simply stopping by to ask about an employee's progress could be an immediate, positive consequence.

In short, managers and supervisors must want to understand the perspective of those they supervise. Managers and supervisors who undertake this exercise with a genuine desire to understand the employee's perspective will usually discover many things that could be done to support a positive change in behavior.

The Downside of Negative Reinforcement

Readers may wonder whether it might be easier just to use negative reinforcement or punishment to stop undesired behaviors. In fact, most managers and supervisors rely heavily on negative reinforcement. "Do it or else" is one of the most common management tactics. Most managers do not say this overtly, but imply it. The problem with this approach goes back to motivation. Negative reinforcement will stop a behavior in the short term and will gain compliance, but it will not motivate. It leaves the manager or supervisor with the problem of having to spend enormous effort for minimal payback.

Many managers and supervisors do not even realize they are using negative reinforcement. Here are some indicators of negative reinforcement:

■ People are always rushing at the last second to meet a deadline.

■ Negative talk is common. For example, employees may frequently comment that management's expectations are too demanding, or managers and supervisors may make comments blaming employees or indicating that employees just do the job because they are getting paid to do it.

Exhibit 5–3. Analyzing Behavior Using the ABC Model of Behavior Change: A Corrections Management Example

Undesired Behavior: Not using a new classification tool accurately.				Desired Behavior: Using a new classification tool accurately.			
Antecedents				**Antecedents**			
Didn't attend training on the tool.				The training and followup learning took time.			
Don't have enough time to use it.				My manager audits my caseload to see if the assessment is being used properly.			
My gut is better than any instrument.				My monthly report shows how my assessments compare to other colleagues.			
My supervisor thinks it won't work.				My manager has stopped by several times to see how I am doing.			
I ignored the last one.				Performance appraisal has a section noting my ability to use the assessment.			
No feedback on my use of it.							

Consequences	P/N	I/F	C/U	Consequences	P/N	I/F	C/U
Takes less time.	P	I	C	Takes longer to interview than the old way.	N	I	C
I don't have to take time to learn something new.	P	I	C	I feel awkward when I make mistakes.	N	I	C
I maintain my status as "anti-management."	P	I	C	My computer-generated reports are more readable and I can produce them faster.	P	I	C
I don't have to change my routine.	P	I	C	Manager is more aware of what I am doing with my caseload.	N	I	C
I don't have to experience the insecurity of not knowing what I'm doing.	P	I	C	Requires more concentration and more work.	N	I	C
				I am receiving better information about my clients.	P	I	C
				The court is pleased with the information that I provide now.	P	I	C
				Good performance appraisal.	P	F	U

P/N = positive or negative consequence. I/F = immediate or future consequence.
C/U = certain or uncertain probability that the consequence will occur.

- After reaching a goal, performance goes flat.

- There is no plan to celebrate achievement or success.

- Performance drops after a requirement is removed. For example, a mandatory meeting is now voluntary and no one goes.

Negative reinforcement works well if compliance is all that matters. However, although it appears to save time and money, negative reinforcement ultimately costs far more than positive reinforcement. When used properly, positive reinforcement not only gets the job done better, it preserves the physical and mental health of the manager.

How To Use Positive Reinforcement

Many managers and supervisors will say they hand out positive reinforcement all day long. Yet if asked, staff will disagree. There are several kinds of positive reinforcement, and it is important to understand what they are and how they affect motivation.

Forms of Positive Reinforcement

Forms of Positive Reinforcement

- Natural.
- Created.
  — Social.
  — Tangible.

Natural reinforcement occurs when a person turns a light switch on and the light comes on. It is the immediate consequence of an action. *Created* reinforcement does not occur automatically; it occurs only when someone else proactively makes it happen (e.g., praise, a thank-you note, or public acknowledgment of some sort). The two most common forms of created reinforcement are social and tangible. *Social* reinforcement has value only to a specific individual. *Tangible* reinforcement has value to others. Social reinforcement is more powerful than tangible reinforcement, is free, and when done well, is valuable. To use social reinforcement successfully, managers need to understand what each individual employee values. One person's positive reinforcement may be another's worst nightmare.

Sources of Positive Reinforcement

Work-related reinforcement. As Paul Hersey, Kenneth Blanchard, and Dewey Johnson point out in *Management of Organizational Behavior,* most employees are intrinsically motivated by their work (see chapter 6, "Developing Direct Reports," for further discussion). If the work itself provides reinforcement,

this natural motivation is stimulated. However, many jobs in corrections are monotonous and routine. Improvements that make a job easier will provide positive reinforcement, but only for a limited time. By watching how people do their jobs, managers will discover that what someone does first is what reinforces that person most. One strategy is to structure work so that the less desirable tasks must be completed to get to the more desirable tasks. Still, relying solely on the work to create motivation in such situations has limitations.

Peer-related reinforcement. Peers are one of the most underused and effective sources of reinforcement at work. When peers recognize and support each other's positive accomplishments, improvements happen quickly. For example, a manager who is attempting to implement a new classification tool (as in exhibit 5–3 above) might use staff who like the new tool to teach those who are less enthusiastic. This is particularly effective when staff members assigned to teach are highly regarded by their coworkers.

Management-related reinforcement. The manager's job is to ensure that reinforcement for the desired behavior occurs at the appropriate frequency from the sources that will most influence the employee. Effective managers see their job as overseeing the planning and delivery of reinforcement. By using all of the organization's assets to reinforce desired behaviors, a manager can avoid being spread too thin.

Common Mistakes in Positive Reinforcement

Some of the most common mistakes in using positive reinforcement include:

- **Choosing the wrong reinforcement.** Managers often reinforce with what they would like, not with what the employee will appreciate.

- **Using reinforcers that are not directly dependent on the behavior.** For example, because all employees get fringe benefits whether they perform well or not, fringe benefits are not a reinforcer.

- **Not reinforcing soon enough.** People need to be reinforced while performing the positive behavior. Waiting until much later is not as effective. This is why peers can be so powerful: they see the behavior and comment immediately.

- **Not reinforcing frequently enough.** Annual, quarterly, and monthly reinforcement is not enough. Managers must reinforce when the behavior occurs and they must reinforce often.

- **Making employees compete for positive reinforcement.** Competition for positive reinforcement is counterproductive. No team that does not work together ever wins.

- **Hedging praise.** No "buts." Give positive reinforcement separately from pointers, instruction, and/or prompts. For example, do not say, "I like what you did, but you might consider . . . ."

- **Including negative comments.** Last but not least, managers and supervisors should forget what they probably learned in basic supervisory training about wedging negative feedback between positive comments. Most managers are taught to open with a positive statement, give the constructive (negative) reinforcement, and close with a positive statement. It is more effective not to pair positive reinforcement with punishment. When criticism is necessary, it should be short and to the point; later, the manager can remind the employee of the positive feedback.

Aligning Personal and Professional Missions

Ultimately, a manager or supervisor should attempt to determine whether an employee's personal interests could be aligned with his or her work interests in some way. Alignment between an employee's personal and professional missions brings the highest levels of motivation. Achieving this alignment requires knowing the whole person.

How people spend their time and energy in the community says a lot about their core values. Learning what motivates an employee outside work provides clues about what will motivate that person at work and helps a manager align the employee's personal and professional interests. For example, a manager who is attempting to implement a new assessment tool wants to motivate a particular probation officer to use the tool correctly. Having learned that this officer is actively helping others in the community, the manager concludes that helping others is a central value for the officer. The manager then gains the officer's acceptance of the new assessment tool by explaining how it will better serve probationers.

The most highly motivated individuals have a high level of congruence between their personal and professional missions and are able to devote their energy to things they care about both at work and away from work. Managers who know employees well enough to understand what they care about personally can help them align their personal and professional values and missions.

Summary

By determining what motivates employees, managers can help them accomplish more. Managers first must understand that motivating others is part of their job. They also must understand that salary and good working conditions alone do not motivate. By understanding what motivates an employee, a manager can find ways to get that employee more deeply involved with the work. (In their book

For Your Improvement, Michael Lombardo and Robert Eichinger suggest that managers try thinking of something they have accomplished—that they are proud of—and then asking themselves how they were motivated to do this.) When work creates an avenue for an individual to achieve and feel a sense of accomplishment, it becomes the source of motivation.

Individuals are motivated by different ideals, values, and desires. The manager's task is to learn what motivates each employee. This requires suspending judgment and viewing the work world from that individual's perspective. This in turn requires a willingness to understand the broader world of the individual. What is important to that person in his or her entire life, not just work life? How can this information help motivate the person at work?

Managers and supervisors need to understand themselves well enough to see what behaviors they are rewarding in the work setting and to know whether they are relying on positive or negative reinforcement. To motivate others, managers and supervisors must be willing to learn how to change their supervisory style and tactics if necessary. Ultimately, openness to learning is the key to being able to motivate others.

Key Skills and Behaviors

Skill: The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.

Behavior: The manner of conducting oneself; observable activity.

What Motivates?

Skill: Understanding what factors affect job satisfaction and dissatisfaction.

Behaviors:

■ Identify security factors.

■ Identify motivating factors.

Skill: Ensuring that security and motivation needs are addressed in the workplace.

Behaviors:

■ To reduce dissatisfaction, ensure that security factors for employees are met in the workplace.

- Provide opportunities for employees to increase the motivating factors in their work.

Hiring Motivated Employees

Skill: Establishing the best team first and then focusing on issues of vision and mission.

Behaviors:

- When hiring, focus not only on technical skills (e.g., job experience and readiness), but also on issues of character (e.g., work ethic and motivation).

- If you make a mistake in hiring, acknowledge it and correct it. Do not let unmotivated employees pass their probationary period.

- If reasonable efforts to motivate an unmotivated employee have failed, remove the employee as quickly as possible.

Behaviors That Motivate

Skill: Employing the consequence that reinforces the desired behavior.

Behaviors:

- Understand the four behavioral consequences and their effects.

- Reward what you want done.

- Focus on changing behavior, not placing blame.

- Make the consequence immediate.

- See the behavior through the employee's eyes.

- Reward with what the employee would want, not with what you would want.

Skill: Employing the ABC Model of Behavioral Change.

Behaviors:

- Determine what sets the stage for a behavior to occur (antecedent).

- Determine what a person does (behavior).

- Determine what happens as a result of the behavior (consequence).

Skill: Using negative reinforcement when compliance is all that is desired.

Behavior: Look for indicators that negative reinforcement is being used appropriately.

Skill: Using positive reinforcement to affect motivation.

Behaviors:

- Structure work so that it addresses employees' interests.

- Use peers to reinforce positive behaviors.

- Plan for the delivery of reinforcement.

- Celebrate success.

Skill: Supporting the alignment of the personal and professional missions of employees.

Behaviors:

- Learn what activities and interests motivate employees outside the workplace.

- Help employees see the congruence between their personal and professional values and missions.

Appendix 5–1. Focus Matrix for Managers and Supervisors: Motivating Others		
	Manager	**Supervisor**
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Focus Areas		
What Motivates?	• Managers should first see it as their job to understand the true nature of the workplace. Next, they should attempt to understand from the employee's perspective what is motivating or blocking motivation in the workplace. • Some managers do not have staff reporting to them but are in charge of programs. They coordinate the efforts of staff who report to others. Although this adds a level of complexity, the task of understanding the nature of the work setting remains the same.	• The supervisor's task is identical to the manager's. Most supervisors have people reporting directly to them. If they take on program oversight and work with employees outside their unit, they must also address the more complex environment.

	Manager	Supervisor
Appendix 5–1. Focus Matrix for Managers and Supervisors: Motivating Others (continued)		
Focus Areas (continued)		
What Motivates?	• Once the work environment is understood, managers must work to reduce factors that block motivation and increase those that enhance motivation. • When coordinating staff who report to others, managers have to work through the other managers and supervisors to reduce the dissatisfying factors and to increase the motivating factors.	
Hiring Motivated Employees	• Managers must work with the human resources representative to ensure that, in addition to technical and education issues, the hiring process also focuses on character and work ethic. This should not be construed to mean that managers should attempt to hire people who share their own strengths and weaknesses; rather, they should look for people who share their core values. • Once reasonable measures to motivate have been taken, managers need to remove employees who lack motivation before they have a negative effect on morale and productivity.	• Supervisors must work with the human resources representative to ensure that, in addition to technical and education issues, the hiring process also focuses on character and work ethic. This should not be construed to mean that supervisors attempt to hire people who share their own strengths and weaknesses; rather, they should look for people who share their core values. • First-line supervisors often do not have firing authority. They can engage managers up the chain of command to help them work with an unmotivated employee. Once reasonable measures to motivate have been taken, supervisors need to remove or initiate the process to remove employees who lack motivation before they have a negative effect on morale and productivity.
Behaviors That Motivate	• Managers need to understand the effect their behavior has on the motivation of employees, including the effects of positive and negative reinforcement. Managers should know if and when they are reinforcing desired behaviors or strengthening undesired behaviors. • Managers should use negative reinforcement when gaining compliance is all that is needed.	• Supervisors use the same strategies as managers to motivate others. • Supervisors need to understand the effect their behavior has on the motivation of employees, including the effects of positive and negative reinforcement. Supervisors should know if and when they are reinforcing desired behaviors or strengthening undesired behaviors.

Appendix 5–1. Focus Matrix for Managers and Supervisors: Motivating Others (continued)		
	Manager	**Supervisor**
Focus Areas (continued)		
Behaviors That Motivate	• Managers should use positive reinforcement to motivate employees by structuring work so that it addresses employees' interests and by using peers to reinforce positive behaviors. • To successfully motivate employees, managers should plan for the delivery of reinforcement and ways to celebrate success. • By learning which activities and interests motivate employees outside the workplace, managers can help employees see the congruence between their personal and professional values and missions. This task is more difficult when managers are working with employees who do not report to them and have limited interaction with them.	• Supervisors should use negative reinforcement when gaining compliance is all that is needed. • Supervisors should use positive reinforcement to motivate employees by structuring work so that it addresses the employees' interests and by using peers to reinforce positive behaviors. • To successfully motivate employees, supervisors should plan for the delivery of reinforcement and ways to celebrate success. • Supervisors typically are well positioned to know which activities and interests motivate employees outside the workplace. Because they spend a great deal of time with those who report to them, supervisors have more opportunities than managers to learn about their employees.

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Developing Direct Reports

Marie Mactavish

This chapter addresses the role of managers and supervisors in developing direct reports. After summarizing why direct report development is important for organizations, the chapter describes the responsibilities of the organization, management, and individual direct reports in ensuring that effective employee development takes place. It outlines three stages of direct report development (acquiring basic skills, enhancing performance, and preparing for future roles); explains how managers and supervisors serve as coaches in the development process; and discusses self-awareness and self-management as important factors in direct report development. The chapter summarizes key skills and behaviors that help managers and supervisors foster development in their direct reports and presents a matrix (appendix 6–1) that shows the applicability of those skills and behaviors to each of the two positions.

Chapter 6

Definition

Developing Direct Reports: A direct report is any individual who reports directly to a supervisor or manager. Developing direct reports is the process of helping individuals in an organization improve their knowledge and skills, so they can perform well in their immediate assignments and be prepared for lateral reassignments and opportunities for promotion.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

People are an organization's most valuable resource. In today's knowledge economy, the resources of an organization often reside in individual employees or direct reports, not the organization itself. These knowledge workers possess a wealth of valuable information. If an organization and its management do not actively develop direct reports, a great disservice is done to all involved.

For an organization or a group within an organization to attain maximum productivity, each employee must become a fully contributing member. The more managers and supervisors nurture and develop their direct reports, the more likely these employees are to stay with the organization and successfully contribute to it.

> The reservoir of unused human talent and energy is vast, and learning to tap that reservoir more effectively is one of the exciting tasks ahead for mankind.
>
> —John W. Gardner,
> *On Leadership*

Joint Responsibility for Developing Direct Reports

The organization, managers, and direct reports all have a responsibility to make direct report development successful. As noted by Michael Lombardo and Robert Eichinger in *For Your Improvement,* direct report development is grounded in a three-part harmony (see exhibit 6–1). First, the organization must agree on the value it places on employees and then establish policies and procedures to reflect that value. Second, managers need to take an active, committed role in developing their direct reports. Third, individual employees or direct reports must be willing to make the effort necessary to gain new skills and knowledge. When these parties work together, an optimal environment exists for the individual employee or direct report to grow and develop in the organization.

Who Shares Responsibility for Direct Report Development?

- The organization.
- Managers.
- Employees (direct reports).

Organizational Responsibility
Valuing Direct Report Development

Organizations that operate under the premise that employees are their most valuable resource are more likely to promote training and development as a process. As Stephen Covey explains in *Principle-Centered Leadership,* this approach "views people as the most valuable organizational asset. Each person is recognized as capable of immense achievement."

Viewing employees as its most valuable asset should lead an organization to create congruent policies and mechanisms that ensure effective training and development. These policies and mechanisms include:

- **Training managers and supervisors.** Organizations should train managers and supervisors to help direct reports understand their responsibilities and perform successfully.

- **First-year training.** The organization must train direct reports early in their careers to ensure they acquire basic skills and knowledge. This includes an understanding of the mission, values, and functions of the organization and the knowledge necessary to work successfully within it.

- **Rewards and recognition.** Mechanisms must be in place to acknowledge successful development. These mechanisms should recognize and reward direct reports' progress and encourage further development.

> Create the kind of climate in your organization where personal growth is expected, recognized, and rewarded.
>
> —Anonymous

Exhibit 6–1. Joint Responsibility for Developing Direct Reports
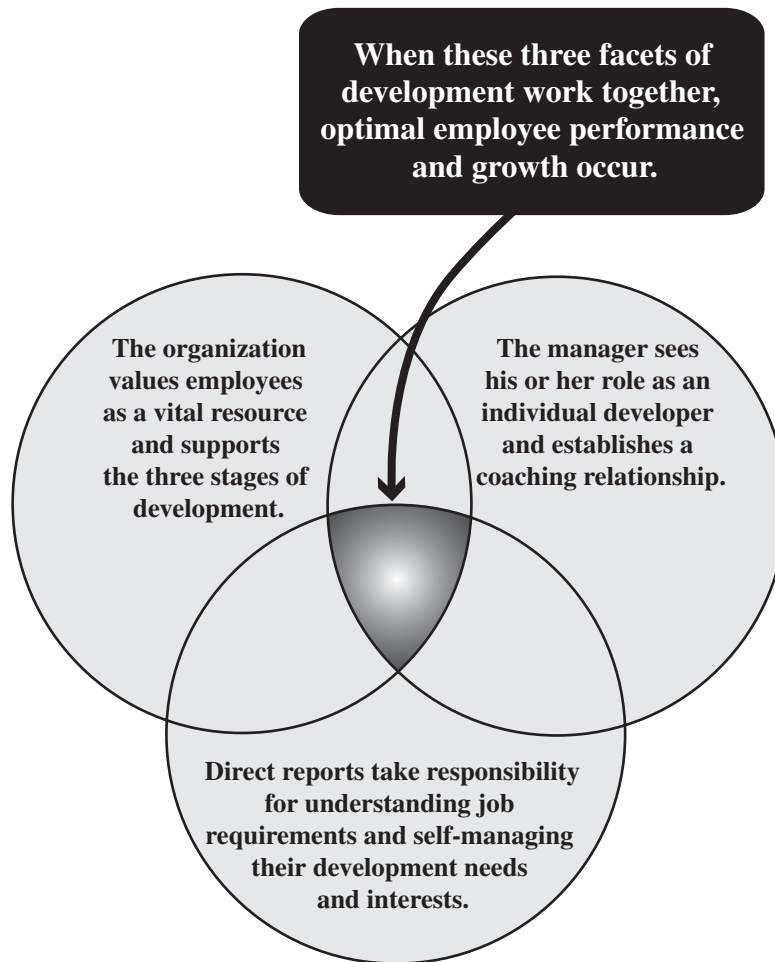
When these three facets of development work together, optimal employee performance and growth occur.

The organization values employees as a vital resource and supports the three stages of development.

The manager sees his or her role as an individual developer and establishes a coaching relationship.

Direct reports take responsibility for understanding job requirements and self-managing their development needs and interests.

Three Stages of Direct Report Development

Organizations should ensure that direct reports move through three stages of development over the course of their employment: acquiring basic skills, enhancing performance, and preparing for future roles. Each stage improves the performance and effectiveness of the direct report and benefits the organization. This three-stage model is an ideal system. Although organizations and managers often fall short of this ideal, direct report development without such a model will occur only haphazardly.

> **Stages of Direct Report Development**
>
> - Acquiring basic skills.
> - Enhancing performance.
> - Preparing for future roles.

Acquiring Basic Skills

Both new hires and employees moving into supervisory and management positions need to acquire basic skills to function in the organization or in their new position. This stage of career development should do the following:

New Hires

- **Provide orientation to the organization.** Employees should learn about the organization's vision, mission, values, policies, and procedures.

- **Teach knowledge and skills for current tasks.** Employees should learn the specifics of their job and how their job relates to the larger organization.

- **Create opportunities for practice and feedback.** As new employees learn their jobs, the organization needs to provide situations for practicing skills so the employees can get feedback on their performance.

- **Set clear, measurable performance standards.** New employees need to understand specifically what is expected of them.

- **Establish periodic performance appraisals.** The organization should require managers or supervisors to rate each new direct report periodically on the technical aspects of the job and on factors such as initiative, leadership, judgment, and ability to work as part of a team.

Line-Level Employees Moving Into Supervisory Positions

- **Help individuals make the transition to management.** Moving from being a member of the group to being the leader with authority and responsibility for the group is among the most challenging situations in a person's career. The organization should offer support to facilitate the process and minimize problems.

- **Identify new expectations.** The organization needs to help new supervisors change their focus from performing tasks to getting things done through others.

- **Create opportunities for practice and feedback.** New supervisors and their managers need to use supervisory situations as skills practice, so the supervisors can get feedback on their performance.

- **Establish new performance criteria.** Examples of new skills needed for effective performance in supervisory positions include delegation, conflict management and mediation, budgeting and planning, and seeing the big picture.

- **Ensure periodic performance appraisal.** The organization should require managers to establish a mentoring relationship with a new supervisor to give effective feedback on interpersonal and leadership skills.

Enhancing Performance

New hires and experienced employees, as well as new and existing supervisors and managers, need to further develop specific skills to reach peak performance. Correctional agencies/organizations routinely mandate some types of training, such as CPR and weapons qualification. They also need to identify other, often overlooked skills—such as conducting effective meetings, delegation, interpersonal skills, and conflict management—that are essential to meeting the many challenges in any correctional agency/organization. The process of developing new skills should include the following:

- Identify a specific skill area.

- Agree on a learning method for improvement.

- Practice and receive feedback.

- Increase awareness of the effects of performance on others.

- Measure change within a well-defined timeframe.

- Recognize and reward skill enhancement.

Preparing for Future Roles

Direct reports who are functioning well in their current positions should continue development that prepares them for future responsibilities and promotions. Also referred to as succession planning, this development stage promotes an organizational culture that includes continually looking for individuals with potential to fill managerial and leadership positions. This ongoing development may be offered to individuals in nonsupervisory or supervisory positions. The process of preparing employees for future roles should:

- Be mutually created and agreed on by the direct report and the manager.

- Offer the direct report a "big picture" view of future possibilities in the absence of immediate advancement opportunities.

- Provide 360-degree feedback or a similar mechanism for offering individuals currently in managerial positions new perspective on their performance and

on areas that need improvement (see chapter 2, "Self-Awareness," in *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders* for a discussion of 360-degree feedback).

■ Continually offer new learning opportunities both inside and outside current job responsibilities.

Comparing Stages of Direct Report Development

Exhibit 6–2 compares the three stages of direct report development, including reasons or goals, knowledge gained, results, and type of appraisal system used.

Managerial Responsibility

Managers must assume a number of roles in their jobs—team builder, conflict manager, fiscal manager, planner, and others; all are important and all require attention. Among their many roles, managers must develop their direct reports. Although widely recognized, this role is practiced less often than others.

Managers have a responsibility to develop people who report to them. In the most effective organizations, managers will even work to develop employees who report to other managers. Management experts have emphasized this role. For example, Oscar Mink and colleagues, in their book *Developing and Managing Open Organizations,* note that managers can help direct reports and other employees develop their critical thinking, analysis, problem-solving, planning, and evaluation skills. In *For Your Improvement,* Lombardo and Eichinger say that a manager has the responsibility to help design career paths, act as a

> Spectacular achievement is always preceded by spectacular preparation.
>
> —Robert H. Schuller, Clergyman

Exhibit 6–2. Comparing the Three Stages of Direct Report Development

	Acquiring Basic Skills	Enhancing Performance	Preparing for Future Roles
Reason or goal	Orient new hires to their position and the organization.	Improve performance in a specific skill area.	Prepare direct reports for promotion, advancement.
Knowledge gained	Basic knowledge and skills for new tasks. "How things are done here."	Improvement in specific areas. "Doing a better job at . . . ."	Knowledge and skills necessary for advancement. "You're now ready to take on . . . ."
Results	Satisfactory performance.	Improved performance.	Expanded knowledge, with focus on advancement.
Appraisal system	Traditional (agreed-on performance criteria).	Traditional (agreed-on performance criteria) and/or development (360-degree feedback).	Development (360-degree feedback or similar review mechanism).

resource person, and provide feedback. Managers should dedicate time throughout the year to helping each direct report develop in meaningful ways and improve his or her job knowledge and performance.

To do this, managers should understand that most individuals are intrinsically motivated by their work, rather than needing to be coaxed or coerced to work productively. (For a more detailed explanation, refer to *Management of Organizational Behavior,* by Paul Hersey, Kenneth Blanchard, and Dewey Johnson.) However, managers and supervisors in correctional agencies/organizations need to recognize that correctional officers and staff often perform monotonous and routine tasks that can dampen the motivation even of dedicated employees (see chapter 5, "Motivating Others"). Assuming the best—i.e., that people value a sense of accomplishment, personal growth, and pride in contributing to the organization—enables a manager to take on the role of helping individual direct reports develop their abilities.

Directive and Collaborative Approaches

In developing their direct reports, managers must be able to move between two broad interaction strategies: directive and collaborative. In using both strategies, managers must avoid personal ego issues that sometimes arise when employees are promoted to management positions. The two approaches are discussed below and illustrated in exhibit 6–3.

Directive Approach

Direct reports need different kinds of supervision at different stages in development. When a direct report needs to learn basic skills and knowledge, a manager may need to be more directive in giving feedback and setting goals. This approach does not have to involve negative coercion; rather, it can be positive and straightforward, addressing behaviors that need correction.

Collaborative Approach

Once a direct report is performing satisfactorily and is competent and confident in the position, a manager may need to use a more collaborative style to encourage further development.

Coaching

From a coaching perspective, a manager's development of a direct report involves a deeper relationship with the employee, one that encompasses both performance goals and career paths. The concept of "manager as coach" is still a new style of interaction in the correctional environment, requiring managers to move away from traditional paramilitary culture and be clear and emphatic about open relationships.

> Despite the commonly held belief that every leader needs to be a good coach, leaders tend to exhibit this style least often. In these high-pressure, tense times, leaders say they "don't have the time" for coaching. By ignoring this style, however, they pass up a powerful tool.
>
> —Daniel Goleman, Richard Boyatzis, and Annie McKee, *Primal Leadership: Realizing the Power of Emotional Intelligence*

Exhibit 6–3. Managerial Approaches to Developing Direct Reports

Basic Skills Development	Performance Development	Future Roles Development

Collaborative Approach

Directive Approach

Directive ←———————————————————→ Collaborative
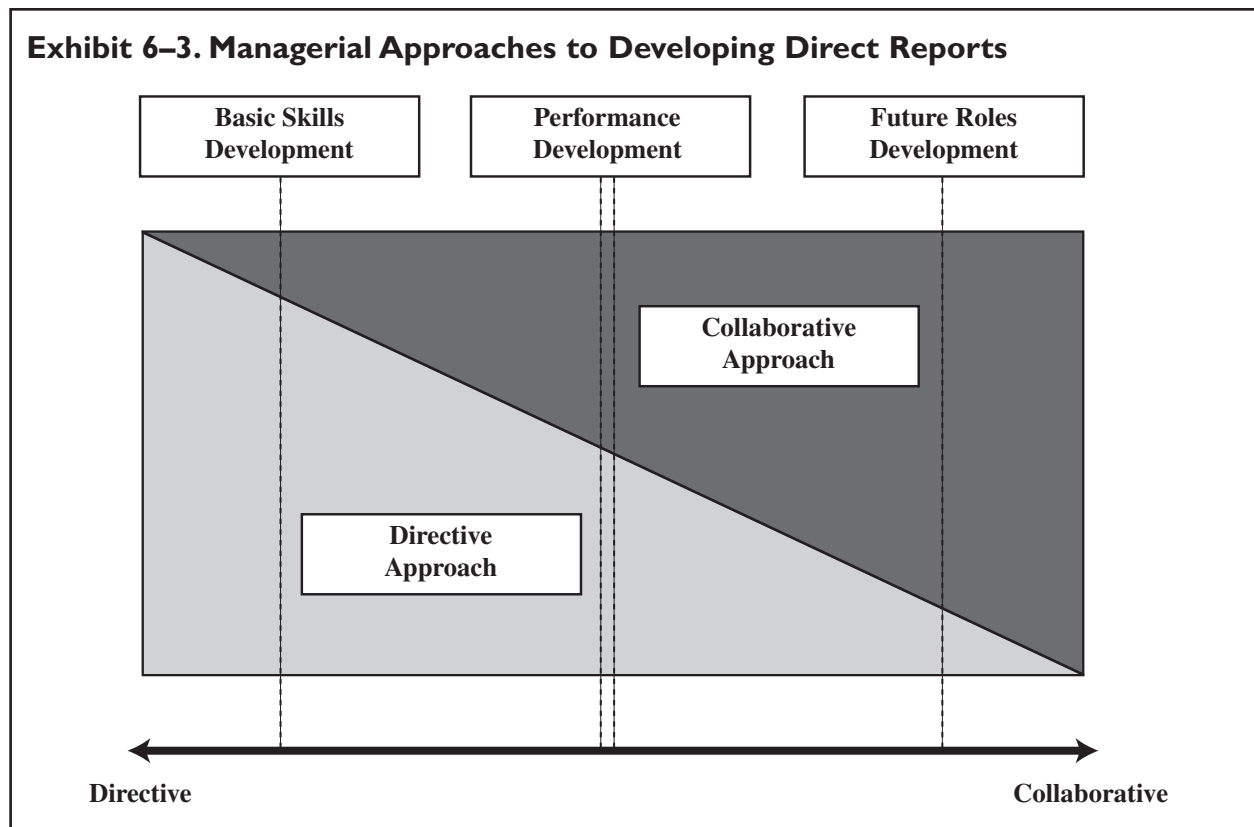
The Coaching Relationship

For managers to be successful coaches, they should understand the following aspects of the coaching relationship:

Designing a relationship. Because individual employees are the main resource of organizations, managers engaged in developing direct reports need to focus on designing and maintaining strong relationships with them. The relationship does not have to be social, but it must be based on mutual trust and respect. Such relationships motivate direct reports to continue their development.

Setting clear expectations. Managers must provide their direct reports with clear job descriptions and performance criteria. It is also critical that each employee understands the values, vision, mission, and cultural norms of the organization.

Providing training opportunities. Individuals need training and learning opportunities both on the job and in the classroom.

Giving clear feedback. Managers must provide clear, timely, honest feedback on job performance.

> **Managerial Coaching Skills**
>
> - Appraisal.
> - Listening.
> - Questioning.
> - Giving feedback.
> - Planning and goal setting.

Attending to immediate and future skill needs. Managers tend to focus primarily on developing employees' basic job skills, forgetting that employees want and need development of skills and capabilities for use in future roles. A successful manager attends to both.

The Five Managerial Coaching Skills

Although a manager needs many skills to function successfully, five specific skills are essential for effective development of direct reports:

Appraisal. As Lombardo and Eichinger note in *For Your Improvement,* managers cannot develop direct reports without being willing to give honest appraisals. Managers should be proficient in three areas of appraisal:

- **Assessing skills and knowledge.** Managers need to appraise the technical aspects of job performance.

- **Assessing interpersonal skills.** According to the Center for Creative Leadership's *Benchmarks Facilitators Manual,* ineffective interpersonal skills have been found to be a main cause for career derailment.

- **Assessing how the job fits.** Managers must also be aware that a direct report may not be suited for his or her current position. After appraisal, a manager may decide that moving the employee to a new position, assignment, or unit may be the best way to help that employee develop. As termination in government organizations only happens in extreme cases, managers must fully explore the options for reassignment to a position where the direct report may be better suited to contribute.

Listening. Managers who successfully develop their direct reports know how to listen skillfully. Characteristics of skilled listening include practicing attentive and active listening, having patience to hear people out, and accurately restating the opinions of others (even when one disagrees). Unskilled listeners prepare their own response when others are speaking, cut people off, offer a premature

solution, or appear disinterested. (For guidelines on active listening, see chapter 4, "Oral and Written Communication.")

Questioning. Managers who ask powerful questions evoke clarity, discovery, and insight. Powerful questions are open ended and do not elicit a yes or no answer. They hold the employee's interest and either forward the action or deepen the understanding of the issue.

Giving feedback. Managers who successfully develop their direct reports give feedback that is specific, frequent, and timely. They offer feedback both when developmental opportunities arise and when an employee needs to improve performance by modifying behavior. Feedback should be kept simple.

Planning and goal setting. Effective managers help their direct reports take time to reflect on their careers and then clarify the direction they need or wish to take. This process involves setting specific goals and objectives that are meaningful and achievable and then identifying realistic strategies to match each goal. Effective managers also monitor individual employees' progress toward achieving their goals.

Employee (Direct Report) Responsibility

It is critical that direct reports take an active role in their own development. Without such cooperation, direct report development cannot happen. Therefore, during the development process, managers can reasonably expect their direct reports to have, or work diligently to obtain, an understanding of job responsibilities and emotional intelligence.

Understanding Job Responsibilities

Direct reports must take the initiative to understand their job and performance responsibilities and keep that understanding current. Employees should take full advantage of training opportunities, both formal and informal, to develop competence in their jobs with the support of their manager.

Emotional Intelligence

Daniel Goleman's groundbreaking work, *Emotional Intelligence,* has generated an appreciation of the idea that those who know how to understand and manage themselves and their relationships are more successful in the workplace. His model of emotional intelligence identifies four areas of competence: self-awareness, self-management, social awareness, and relationship awareness. Two areas of particular importance to direct report development are self-awareness and self-management. To move along successfully in their careers and contribute

People who are unable to motivate themselves must be content with mediocrity, no matter how impressive their other talents.

—Andrew Carnegie

to the organization, direct reports must be self-aware and must be able to self-manage. The personal competence model in Goleman and colleagues' *Primal Leadership: Realizing the Power of Emotional Intelligence* identifies the following elements of self-awareness and self-management:

Elements of Self-Awareness

- Being aware of one's emotions and the effect they have on decisionmaking and work practices.

- Evaluating oneself honestly and accurately.

- Having confidence in one's capabilities.

Elements of Self-Management

- Maintaining self-control.

- Acting with honesty and integrity.

- Adapting to new and challenging situations.

- Showing initiative in new opportunities.

- Being optimistic.

Summary

Developing direct reports is a critical part of an organization's success. Most organizations view individual employees as a valuable resource, yet employee development is often overlooked or not fully addressed. When done well, it engenders greater loyalty to the organization and enables employees to reach their full potential and make the greatest contribution to the organization.

Successful direct report development requires that:

- Organizations value development and create mechanisms and systems to support it.

- Managers recognize their roles as coaches.

- Direct reports take an active role in their own development.

When the organization, manager, and direct report share joint responsibility, successful direct report development is likely to occur.

Key Skills and Behaviors

> *Skill:* The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.
>
> *Behavior:* The manner of conducting oneself; observable activity.

Organizational Responsibility

Skill: Demonstrating organizational support for direct report development.

Behaviors:

- Offer training opportunities that will increase managers' skills in developing their direct reports, such as delegation, conflict management, and interpersonal skills.

- Establish reward and recognition mechanisms that acknowledge the progress of direct reports and encourage further development.

Managerial Responsibility

Skill: Conducting an effective appraisal of a direct report.

Behaviors:

- Spend time observing the direct report in work situations.

- Identify strengths and weaknesses specific to job requirements.

- Compare performance to established performance measures.

Skill: Demonstrating the elements of skilled listening.

Behaviors:

- Listen for understanding before offering opinions, and be willing to consider others' points of view.

- Rephrase what was said to ensure understanding.

Skill: Understanding the value of asking powerful questions.

Behaviors:

- Use open-ended questions that generate self-reflection and understanding.

- Ask further questions on a topic to gain deeper understanding.

Skill: Giving effective feedback.

Behaviors:

- Offer feedback related to specific behavior.

- Give timely feedback related to an observed behavior.

- Offer frequent positive and constructive criticism to support performance.

- Relate feedback to immediate performance or to a developmental opportunity.

Skill: Setting goals effectively with direct reports.

Behaviors:

- Discuss goals with employees.

- Create mutual agreement on the actions to be taken.

- Solicit agreement on strategies to achieve goals.

- Establish a measure/standard to provide accountability.

Employee (Direct Report) Responsibility

Skill: Taking responsibility for learning immediate job skills as well as learning for future opportunities.

Behaviors:

- Seek to learn all facets of job responsibilities.

- Take advantage of opportunities to learn skills beyond those required for the immediate job.

- Actively engage in self-awareness opportunities and effective self-management.

Appendix 6–1. Focus Matrix for Managers and Supervisors: Developing Direct Reports

	Manager	Supervisor
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Focus Areas		
Organizational Responsibility	• Focuses on enhancing skills and performance, preparing employees to become supervisors, and developing new supervisors.	• Focuses on supporting basic skill development of line-level employees.
Managerial Responsibility	• Develops coaching relationship with direct reports. • Sets clear performance expectations. • Provides training opportunities. • Gives clear feedback. • Attends to immediate and future skill needs. • Understands job responsibilities. • Demonstrates commitment to self-awareness and self-management.	• Develops coaching relationship with direct reports. • Sets clear performance expectations. • Provides training opportunities. • Gives clear feedback. • Attends to immediate and future skill needs. • Understands job responsibilities. • Demonstrates commitment to self-awareness and self-management.

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Managing Conflict

Marie Mactavish

This chapter addresses the role of managers and supervisors in managing interpersonal conflicts in the workplace. After summarizing why the ability to manage conflict is important, the chapter outlines six sources of conflict (relationships, data, interests, structure, values, and resources) and suggests self-assessment tools that can help managers and supervisors understand their own response to conflict. The chapter then presents guidelines to help managers and supervisors manage conflict with their boss, direct reports, and colleagues; mediate conflicts between direct reports; and facilitate conflict management in a team setting. Finally, the chapter summarizes key skills and behaviors for effective conflict management and presents a matrix (appendix 7–1) that shows the applicability of those skills and behaviors to each of the two positions.

Chapter 7

Definition

Conflict: As defined by Joyce Hocker and William Wilmot in *Interpersonal Conflict,* conflict is an expressed struggle between at least two interdependent parties who perceive a situation differently or have incompatible goals, are competing for scarce resources, or perceive interference from the other party in achieving their goals.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

Conflict can be useful in achieving objectives. If managed correctly, conflict can productively leverage diversity, unify individuals around a common goal, promote cooperation, and encourage innovative solutions. However, not all conflict leads to beneficial results. If managed poorly, conflict can decrease the desire to work together and eventually break apart a group or organization. Effectively managing conflict involves using its benefits while avoiding its pitfalls.

Conflict is a fact of life in both personal and professional arenas. Acknowledging and managing conflict are especially important in the workplace, as part of efforts to create a safe mental and physical environment, avoid negative undertones, and sustain productivity. The inability of a manager or supervisor to manage conflict may cause situations to escalate to the point where they can adversely affect morale, result in disciplinary actions, and create a nonproductive work environment. In the most extreme circumstances, litigation may occur.

> In the frank expression of conflicting opinions lies the greatest promise of wisdom in governmental action.
>
> —Louis D. Brandeis, Associate Justice, U.S. Supreme Court

In the workplace, conflict may exist between employees at all levels. The focus of this chapter is on conflict management from the perspective of managers and supervisors, who should use their methods of managing conflict to model the ethic they wish to establish in the workplace.

A study featured in the *Harvard Business Review* ("Management Time: Who's Got the Monkey?" by William Oncken and Donald Wass) found that managers spent 42 percent of their time dealing with office conflict. Because so much time is spent on this issue, learning conflict management skills is recognized as a crucial element of effective management.

Causes of Conflict

Conflicts in both interpersonal and interorganizational settings have six major causes, having to do with relationships, data, interests, structure, values, and resources.

Causes of Conflict in Organizations

- Relationships.
- Data.
- Interests.
- Structure.
- Values.
- Resources.

Relationship conflicts. These conflicts are attributable to strong negative emotions, misperceptions, stereotypes, poor communication, or repetitive negative behaviors. In organizations, people sometimes must work together even if they have a history of relationship issues.

Problems with data. Conflicts can arise when people lack the information they need to make informed decisions, when they are misinformed, or when different people interpret the same data differently.

Interest conflicts. Interest-based conflicts are caused by competition over perceived or actual incompatible needs, such as:

- Substantive issues (money, physical resources, time, etc.).

- Procedural issues (the way a dispute is resolved).

- Psychological issues (perceptions of trust, fairness, respect, etc.).

Structural conflicts. This kind of conflict involves disagreement about how a situation is set up or how things are done (procedures). Limited physical resources or authority, geographic or time constraints, or organizational factors generally cause structural conflicts.

Differing values. Conflicts may arise when people have different value and belief systems. This category of conflict includes disagreement over an organization's vision, mission, goals, and objectives.

Resources (fiscal conflicts). These conflicts occur when resources are scarce and each level and/or part of the correctional agency/organization tries to obtain the resources it needs. Such conflicts are made worse during economic downturns.

By examining the causes of a conflict according to these six categories, managers and supervisors can begin to determine the root of the problem. The better they understand the causes of the problem, the more likely they are to resolve it successfully.

Understanding One's Own Response to Conflict

Using a self-assessment instrument is a good place for managers and supervisors to start in attempting to understand their own response to conflict. This chapter discusses an approaches based on a conflict "lens." Personality inventories may also be helpful in self-assessment. See chapter 2, "Self-Awareness," in *Correctional Leadership Competencies for the 21st Century, Executives and Senior-Level Leaders,* and appendix 2–2 to that chapter, for more information about self-assessment instruments.

Conflict Lens™

One key to understanding another person's point of view is recognizing that people interpret things somewhat differently based on their own previous experiences and observations. We all have different "lenses" through which we see things.

The *Conflict Lens™,* a diagnostic tool developed by Creative Metrics, offers a model to help managers and supervisors understand a variety of options for resolving conflicts. That model, illustrated in exhibit 7–1, includes 10 dichotomies of behaviors and attitudes used in responding to conflict.

Managers and supervisors must understand how they relate to conflict before they can skillfully manage conflict with others. Recognizing the behaviors people exhibit when responding to conflict helps managers and supervisors identify tendencies that may hinder successful conflict resolution, and acknowledging

> Speak when you are angry and you will make the best speech you will ever regret.
>
> —Ambrose Bierce, quoted in William Ury, *Getting Past No*

different conflict resolution strategies can broaden their options and help them identify ways to achieve constructive outcomes.

When combined with skilled facilitation and training, the *Conflict Lens*^(TM) can enhance managers' and supervisors' understanding of how they relate to conflict. Developing this self-awareness is a critical first step in successfully managing conflict with others.

Exhibit 7–1. Conflict Lenses

Affiliate ←——————————————————→ **Alienate**

Those who consistently use high affiliation are interested in maintaining relationships. They are sensitive to the needs of others in a conflict situation and try to present their views tactfully.

Those who use alienation tend to focus only on the issue at hand, ignoring the relationship aspects of the conflict. Their goal is to settle the issue and not be concerned with how the parties feel when the conflict is over.

Analyze ←——————————————————→ **Intuit**

Individuals who analyze try to collect all the facts before addressing the issue. Being prepared with relevant data is the key to this approach.

When using intuition, it is preferable to get the issues on the table, and then research facts if necessary. These individuals do not look for supporting data until they know what the conflict is all about.

Compromise ←——————————————————→ **Stand Firm**

In compromising, people are flexible and open to alternative solutions. This involves maintaining some interests but also giving up some to resolve the conflict.

Those who stand firm insist on getting their way. They believe they have the right solution and are willing to promote their ideas to the end.

Control ←——————————————————→ **Comply**

Using control means taking charge of the situation and expressing needs aggressively. Control focuses on pushing an issue to resolution while insisting on one point of view.

Compliance means letting others have their way. Behavior in this area tends to be nonassertive, unassuming, and accommodating. Compliant individuals are known to give in quickly when conflicts arise.

Empathize ←——————————————————→ **Egoize**

Empathizing means trying to see the problem from the other person's point of view. These individuals have good listening skills and look for common ground. The ability to empathize is one of the most important conflict resolution skills for constructive problem solving.

People who are egotistical only see how a conflict affects them and are primarily interested in serving their own interests. To egoize means to put oneself first without seeing, or attempting to see, the other person's point of view.

Exhibit 7–1. Conflict Lenses (continued)

| **Engage** | ← — — — — — — — — — — → | **Avoid** |

People who engage tend to be comfortable with conflict and try to involve the other person in the dispute constructively. They acknowledge a problem exists and commit to solving it.

Avoiding means ignoring and withdrawing from the conflict. People who use avoidance keep their viewpoints inside. They become anxious in the face of disagreements and will not talk about the issue.

| **Own** | ← — — — — — — — — — — → | **Blame** |

Owning one's part in a conflict means taking at least part of the responsibility for creating a situation, as well as taking responsibility for solving the problem.

People who cast blame find it difficult to see their role in creating a conflict. They may even see the conflict as essentially no one's fault ("stuff happens!"), but this is still an attempt to project responsibility away from themselves.

| **Seek Support** | ← — — — — — — — — — — → | **Go Solo** |

Seeking support includes sharing concerns with others who are not directly involved in the conflict. This includes gathering advice, asking for help in thinking about the issues, and sometimes asking others to become involved in the conflict resolution process.

Going solo means handling the problem alone. People who go solo value their independence and self-sufficiency and believe that others' opinions may not be relevant when dealing with an issue.

| **Self-Restrain** | ← — — — — — — — — — — → | **Emote** |

Self-restraint means keeping control of emotional expressions. People who practice self-restraint have the same feelings as people who emote, but they do not become visibly upset. They approach the conflict calmly and rationally.

Emoting refers to displaying emotional behavior during conflict, expressing anger, frustration, and distress—often by shouting or using physical gestures such as pounding on the table, shaking a fist, or pointing fingers.

| **Trust** | ← — — — — — — — — — — → | **Distrust** |

Trusting people have a general regard for and sense of confidence in the other person involved in the conflict. To trust is to believe in the basic good intentions of the others involved.

Distrusting is believing that the other person has only his or her own interests at heart or is actively trying to do harm. Like trust, this is not a reflection of behaviors as much as it is a set of beliefs about the other person.

Source: Creative Metrics, *Conflict Lens^TM,* Colorado Springs, CO: Creative Metrics, 1974.

The Roles of Managers and Supervisors in Conflict Situations

Managers and supervisors play several different roles in conflict resolution, depending on the people involved in the situation. The relationship and the level of authority involved influence the role the manager or supervisor will likely play in managing conflict. This section describes five situations commonly encountered:

- **Managing conflict with the boss.** Subordinate role is clear in the relationship.

- **Managing conflict with direct reports.** Authority role is clear in the relationship.

- **Managing conflict with colleagues.** Authority is equal in the relationship.

- **Mediating between direct reports.** The manager or supervisor acts as a third party, playing a neutral role while having authority.

- **Facilitating conflict resolution in a team setting.** The manager or supervisor plays the role of the team leader with authority.

Managing Conflict With the Boss

Managing conflict with the boss is an integral part of a manager's or supervisor's success. Perhaps the most effective approach is to work at preventing such conflict. Although much attention is given to building and maintaining effective relationships with direct reports (see chapter 6, "Developing Direct Reports"), building and maintaining an effective relationship with a boss is equally important.

The relationship between a manager or supervisor and his or her boss, if not consciously developed, could become strained to the point of conflict. John Gabarro and John Kotter's groundbreaking work "Managing Your Boss" created a new understanding of the importance of that upward relationship—a relationship that enhances not only a manager's or supervisor's own success but also that of the manager's and supervisor's department. Managing the boss is a simple matter of understanding each other's strengths, weaknesses, and interests and openly communicating goals and expectations to work together effectively and efficiently. Exhibit 7–2 summarizes how managers and supervisors can build and maintain effective relationships with their bosses.

Managing Conflict With Direct Reports

Based on their position, managers and supervisors have the authority and the responsibility to accomplish tasks. However, if they abuse that authority when interacting with their direct reports, they are likely to lose respect and trust. Without that respect and trust, they will find it difficult to establish relationships with integrity.

Managers and supervisors who consistently use an authoritative style will only be able to influence a direct report with their position power. On the other hand, if they take the time to listen to concerns and work through difficult issues with employees, they are more likely to have both personal and position power and to develop and maintain respectful relationships with their direct report (see chap-

Exhibit 7–2. Key Elements in Building and Maintaining an Effective Relationship Between a Manager or Supervisor and a Boss	
Understand your boss and his or her context.	Learn your boss's goals, objectives, pressures, strengths, weaknesses, and preferred work style to reduce miscommunication and ambiguous expectations.
Assess your needs as a supervisor/manager.	Assess your own strengths, weaknesses, and work style. Assess your predisposition to authority in order to better understand your reactions to your boss.
Develop and maintain an effective relationship.	Develop a relationship that fits both your boss's and your needs and work styles—one that is characterized by mutual expectations. Selectively use your boss's time, and keep your boss well informed. Base your relationship on honesty and dependability.

Source: Adapted from John J. Gabarro and John P. Kotter, "Managing Your Boss," *Harvard Business Review,* May–June 1993, pp 150–157. Boston: *Harvard Business Review* On Point Enhanced Edition, 2002. Reprinted by permission of *Harvard Business Review.* Copyright© 1968, 1989, 2002 by the Harvard Business School Publishing Corporation; all rights reserved.

ter 7, "Power and Influence," in *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders,* for a discussion of the greater effectiveness of personal power versus position power). Exhibit 7–3 is a tool that managers and supervisors can use in managing conflict with their direct reports respectfully.

In managing conflicts with direct reports, managers and supervisors should take the time to listen to concerns and maintain respectful relationships. If a solution cannot be mutually agreed on, however, the supervisor or manager clearly has the authority to make the final decision.

Managing Conflict With Colleagues

Although managers and supervisors spend a significant amount of time handling conflicts with direct reports, they must also acknowledge and manage conflicts with colleagues of equal authority. Managers and supervisors need to develop the skills to negotiate with their colleagues in a way that addresses differences while preserving the collegial relationship. Also, colleagues at the managerial level are modeling methods of problem solving that direct reports may observe and regard as a standard for their personal interactions.

> **Defining Negotiation**
>
> Negotiation is a bargaining relationship between two or more parties who have a perceived or actual conflict of interest. The participants commit to educating each other about their needs and interests, to exchange specific resources, or to resolve one or more intangible issues.
>
> *Source:* Communication Decisions Results Associates, Conflict Resolution for Managers and Leaders, Boulder, CO: CDRA, 1994.

An important concept in negotiating conflicts with colleagues is the use of **position-based** versus **interest-based bargaining.**

Exhibit 7–3. Steps for Dealing With Conflict Between a Manager or Supervisor and a Direct Report

1. Explain the situation as you see it.	Emphasize that you are presenting your perception of the problem. Use specific facts and feelings. Use "I" statements when possible.
2. Describe how it affects performance.	Keep attention on the work-related problems and away from personalities. Present the problem concretely, in a way that will be readily understood.
3. Ask for an explanation of the other person's viewpoint.	Before proposing solutions, gather as much information as possible. This confirms that you respect the other person's opinion and need his or her cooperation. Listen carefully while he or she talks and be open to learning and changing. Paraphrase the other person's concerns and ask clarifying questions.
4. Agree on the problem.	Summarize the various viewpoints and state clearly the problem that you and the other participant think needs to be solved. Ideally, it is best for the manager or supervisor and the direct report to agree on the problem so they can more easily focus on developing solutions. However, if they cannot agree, the manager or supervisor has the rank to define the problem at stake.
5. Explore and discuss possible solutions.	To ensure shared ownership of the problem's resolution, all participants in the conflict should be involved in developing solutions. Such synergy may result in better solutions than any participant would have produced alone. Ideally, participants will develop a solution mutually, but if they cannot agree, the manager or supervisor has the authority to prescribe the solution.
6. Establish levels of accountability for each stakeholder involved in resolving the problem.	Each person involved must clearly understand his or her role in the solution and accept responsibility as an individual to make it work.
7. Schedule a followup meeting. Establish clearly defined benchmarks as appropriate.	A followup meeting allows the manager or supervisor to evaluate progress and make adjustments as necessary. People are much more likely to follow through if they know they will be held accountable for their commitments at a followup meeting.

Position-based bargaining. This negotiating technique starts with a solution. Parties propose solutions and make offers and counteroffers until they hit on a solution that falls within their bargaining range. Position-based bargaining tends to produce a win/lose situation.

Interest-based bargaining. This negotiating technique starts with developing and preserving the relationship. The parties educate each other about their needs, then jointly engage in problem solving on how to meet those needs. This approach can be more efficient and productive than position-based bargaining. Exhibit 7–4 compares the attitudes involved in position-based and interest-based bargaining.

Because interest-based bargaining reaches a solution that accommodates both individuals' needs, it is a preferable approach for managing differences. When preparing for interest-based bargaining, it is important for both individuals to define the specific needs they would like to have met. After identifying their own interests, they should speculate on what the other person's needs may be. This preparation will facilitate the negotiation session.

Exhibit 7–4. Comparing Attitudes in Position-Based and Interest-Based Approaches to Negotiating Conflicts Between Colleagues

Position-Based Bargainer's Attitude	Interest-Based Bargainer's Attitude
The pie is limited; my goal is to get the bigger piece.	The pie is not limited.
A win for me is a loss for you.	The goal is win/win.
We are opponents.	The needs of all parties must be addressed to reach agreement.
There is one right solution.	We are cooperative problem solvers.
I must stay on the offensive.	The relationship is important.
A concession is a sign of weakness.	There are probably several satisfactory solutions.

Source: Roger Fisher and William Ury, *Getting to Yes,* Boston, MA: Houghton Mifflin, 1981.

Exhibit 7–5 lists recommended steps for dealing with conflict between two supervisors or managers with equal authority.

Exhibit 7–5. Steps for Negotiating Conflict Between Two Managers or Supervisors With Equal Authority

1. Establish rapport and set a positive tone.

2. State the purpose of the negotiation.

3. Begin negotiating by educating one another on each person's interests (disclose and listen).

4. Frame the problem as a joint task to meet both individuals' needs.

5. Look for ways to expand the pie (create value before value is claimed).

6. Generate multiple options for settlement. If options are not forthcoming, go back and review the interests of both individuals.

7. Evaluate the options on the basis of how well they meet the expressed needs.

8. Select or modify options based on which one meets the most needs.

9. Develop a plan to implement the agreement by answering the questions who, what, when, where, and how.

Conflict between managers or supervisors of equal authority is a particular challenge because no one person in the conflict has the organization's official authority to make the final decision. Therefore, the skill of negotiating at this level is especially important in managing differences. If these differences can be managed well, then top leadership will not need to intervene.

Mediating Between Direct Reports

Managers and supervisors ensure that delegated tasks are accomplished and are responsible for ensuring satisfactory interpersonal relationships between their direct reports. Sometimes conflicts arise between direct reports. There are times when it is appropriate for the manager or supervisor to intervene, but sometimes it is better to let employees work out conflicts themselves. Unfortunately, many employees lack experience in conflict resolution and let differences go unresolved.

Encouraging employees to work out differences and settle their own disputes is important. When employees can effectively manage their own differences, managers and supervisors spend less of their own time intervening. However, the following situations call for intervention by a manager or supervisor:

- The conflict has gone unresolved and begins affecting individual performance and possibly the team's performance.

- The disagreement is between an assertive employee and a timid, less vocal person.

- The conflict involves illegal conduct such as sexual harassment or a civil rights violation.

Defining Mediation

In its purest form, mediation is an intervention into a dispute or a negotiation between others by an acceptable and neutral third party to help conflicting individuals reach their own mutually acceptable settlement.

Source: Communication Decisions Results Associates, Conflict Resolution for Managers and Leaders, Boulder, CO: CDRA, 1994.

Mediation is, in essence, negotiation with the addition of a third person who is knowledgeable in effective negotiation procedures. The mediator helps people in conflict coordinate their activities and bargain more effectively. Once managers and supervisors learn negotiation skills, they can mediate as a third party between two employees. Two aspects of the mediator's role are critical:

- **Neutrality.** Mediators must maintain a neutral role. This includes acknowledging biases and making a conscious effort to set them aside.

- **Use of authority.** If at all possible, mediators should facilitate an agreement between employees without using authoritative power. Calling on the manager's decisionmaking authority stretches the definition of a mediator's role. However, in a bureaucratic organization such as a correctional agency/organization, some situations may escalate to a point where the manager or supervisor must use positional authority to settle the dispute.

Exhibit 7–6 lists steps managers and supervisors can use in mediating a conflict between two direct reports.

Managers and supervisors acting as mediators can improve interpersonal relationships on their team by helping direct reports resolve conflicts between themselves. This is an important function because unresolved conflicts can decrease the productivity of individuals and the team.

Facilitating Conflict Resolution in a Team Setting

Managers and supervisors are responsible for ensuring that their teams operate in a cohesive manner. Conflicts within teams can hurt team performance and employee morale. Managers and supervisors, therefore, need to know how to resolve such conflicts in the team setting.

Defining Facilitation

Facilitation is the use of a third party who can provide procedural assistance to group participants to enhance the exchange of information or promote effective decisionmaking.

Exhibit 7–6. Steps for Mediating a Conflict Between Two Direct Reports

1. Make an opening statement.

- Extend a welcome and say words of encouragement.
- State the purpose of the session and the mediator's role of neutrality.
- Explain what will happen.
- Assure the participants that confidentiality will be respected.
- Review ground rules and check for acceptance.

2. Give each participant uninterrupted time.

- Have each participant explain in objective terms what is happening and then state how he or she feels about it, taking responsibility for his or her own feelings.
- Require each participant to use active listening and allow both sides to vent.

3. Structure an exchange between the individuals.

- Encourage deeper discussion of the issues, establishing the interests of each individual.

4. Build the agreement.

- Facilitate a discussion that focuses on practical considerations in resolving the conflict.
- Include specifics about the agreement: who, what, when, and how.
- Check for acceptance from both individuals.

5. Finalize the agreement.

- Write it down.
- Provide for the future by establishing means for following up.

6. Close the meeting.

- Thank participants.
- Evaluate.

Exhibit 7–7. Steps for Facilitating Conflict Resolution in a Team Setting

1. Set a positive, optimistic tone.

2. Revisit or establish ground rules to protect the process and the relationships of team members.

3. State the purpose of the problem-solving meeting.

4. Ask the parties about their needs and concerns. Try to get team members to disclose and listen.

5. Summarize what is stated. This includes listing key issues to be resolved and acknowledging feelings, interests, and concerns.

6. Frame the problem as a joint task to meet both parties' interests.

7. Ask parties for ideas to solve the problem.

8. Ask parties to evaluate the options based on how well their interests are met.

9. Establish the agreement.

10. Help parties plan to implement the agreement by defining who, what, when, and how.

11. Express appreciation for efforts and accomplishments.

Managers and supervisors of teams often are in the position of also playing the facilitator's role in team meetings. One of the most effective things they can do in this role is to establish and uphold ground rules. Referring back to ground rules can help the team reflect on what has been agreed on and commit to following the rules during the conflict resolution meeting. Exhibit 7–7 lists steps managers and supervisors can follow as facilitators of conflict resolution in a team setting.

When faced with conflict in a team setting, managers and supervisors are expected to play the role of facilitative leader. This means they must concentrate on facilitating a process in which both sides in a dispute can express concerns and come to an agreement. The facilitator may contribute ideas but should do so in a way that does not dominate the discussion or push the group to his or her point of view.

Summary

Conflict is defined by Joyce Hocker and William Wilmot as an expressed struggle between at least two interdependent parties who perceive a situation differently or have incompatible goals, scarce resources, and interference from the other party in achieving their goals.

Conflict can have a positive side. It can promote interpersonal understanding, communication, problem solving, and positive changes for the parties involved.

Conflict in organizational settings has six major sources: relationship issues, problems with data, interest conflicts, structural conflicts, differing values, and resource needs. By examining the causes of conflict, managers and supervisors can begin to determine the root of the problem.

The *Conflict Lens^{TM}* framework can help managers and supervisors understand how they relate to conflict. Such self-awareness is a critical first step in becoming skillful at managing conflict with others.

The status of the individuals involved in the conflict situation influences the role the manager or supervisor plays:

Managing conflict with a boss involves working to develop and maintain an effective relationship that includes a mutual understanding of goals, pressures, needs, and expectations.

In **managing conflict with direct reports,** managers and supervisors should take the time to listen to concerns and maintain respectful relationships. If a solution cannot be mutually agreed on, the manager or supervisor clearly has the authority to make the final decision.

Managers and supervisors also need to acknowledge and negotiate **conflicts with colleagues of equal authority.** During the negotiation process, the parties address differences while preserving the relationship.

When **direct reports are in conflict with each other,** managers and supervisors must first decide whether to intervene. If the situation calls for their intervention, ideally they will play a mediator role. Acting as a neutral third party helps the direct reports resolve conflicts between themselves.

Managers and supervisors are also responsible for **resolving conflict in team settings,** where it may be helpful for them to act as third-party facilitators. Skills used in facilitating are similar to those used in negotiation and mediation, e.g., establishing a positive tone, ensuring that all parties' interests are expressed, ensuring that agreements are clear and acceptable to both parties.

As noted earlier, self-awareness is the first step toward increasing competency in the area of conflict resolution. Next, individuals can develop their knowledge and skills in negotiation and mediation. Managers and supervisors can apply these skills as they handle conflict within the organization. Understanding, acknowledging, and managing conflict contribute to a more cohesive and productive work environment.

Key Skills and Behaviors

> *Skill:* The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.
>
> *Behavior:* The manner of conducting oneself; observable activity.

Managing Conflict

Skill: Using conflict effectively.

Behavior: Demonstrate openness and confidence to acknowledge and resolve conflict.

Understanding One's Own Response to Conflict

Skill: Understanding your own responses to conflict.

Behaviors:

n Use conflict management self-assessment tools.

n Identify your personal history with conflict and your internal feelings and thoughts about conflict.

n Accept and learn from the results of formal and informal assessments.

n Understand the types of behaviors associated with conflict.

Managing Conflict With the Boss

Skill: Maintaining an effective relationship with your boss by understanding the boss's needs and interests.

Behaviors:

n Learn the boss's goals and needs.

n Understand the boss's pressures, strengths, and weaknesses.

n Understand your own strengths, weaknesses, and work style.

n Understand your reactions to authority.

n Develop a work style that fits the needs and style of both you and your boss.

n Use the boss's time sparingly.

n Base the relationship on honesty and trust.

Managing Conflict With Direct Reports

Skill: Acknowledging and resolving conflict with direct reports.

Behaviors:

- Explain the situation and how it is affecting performance.

- Listen actively to the other person's viewpoint.

- Confirm the mutual understanding of the situation.

- Explore and discuss possible solutions.

- Ensure that both parties understand their role in the solution; dictate the solution only when necessary.

- Follow up for accountability.

Skill: Understanding how to use the authority of your position.

Behavior: Know when to step in; demonstrate a willingness to surface, resolve, and follow up on conflicts.

Managing Conflict With Colleagues

Skill: Modeling effective negotiation techniques.

Behavior: Understand and use interest-based negotiation.

Skill: Knowing how to separate positions from issues.

Behavior: Define the problem without suggesting a solution.

Skill: Acknowledging and resolving conflict with colleagues.

Behaviors:

- Set a positive tone and state the purpose of the negotiation.

- Fully understand each party's interest.

- Frame the problem as a joint task.

- Seek multiple options for resolution.

- Evaluate options and select the one that best meets both parties' needs.

- Develop an implementation plan and follow through.

Mediating Between Direct Reports

Skill: Understanding when it is appropriate to intervene.

Behavior: Monitor the situation and allow employees to make their own decisions and resolve conflicts whenever possible.

Skill: Mediating a conflict.

Behaviors:

n Set the ground rules.

n Listen actively to both sides.

n Structure the discussion between the parties and confirm their understanding of the situation.

n Seek possible solutions and establish specifics.

n Allow the parties involved to agree on a resolution; finalize the agreement in writing.

n Establish followup.

Facilitating Conflict Management in a Team Setting

Skill: Knowing when to use third-party mediation.

Behaviors:

n Observe the team's response to conflict.

n Consider the implications of the conflict.

n Mediate the conflict.

Skill: Establishing ground rules of conflict management within the team.

Behaviors:

n Help the team establish ground rules and enforce them once established.

n Collectively agree on rules.

n When ground rules are broken, quickly clarify them and resolve the situation.

Skill: Facilitating conflict resolution.

Behaviors:

- Set the ground rules for discussion.

- Identify the conflict.

- Listen actively to all sides; encourage all parties involved to participate.

- Summarize what is said to confirm the understanding of the situation.

- Seek ideas from the team for possible solutions.

- Have the team evaluate the proposed solutions and, if possible, make the final decision (if necessary, the team leader can decide).

- Develop an implementation plan.

- Establish followup.

Appendix 7–1. Focus Matrix for Managers and Supervisors: Managing Conflict

	Manager	Supervisor
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Focus Areas		
Understanding One's Own Response to Conflict	• Managers need to understand how they generally respond to and manage conflict.	• Supervisors need to understand how they generally respond to and manage conflict.
Managing Conflict With the Boss	• Managers who learn to understand their boss's needs and work style will increase the effectiveness of their relationship and avoid conflicts due to miscommunication and ambiguous expectations. In this way, conflict with the boss can be prevented, not merely managed.	• Supervisors who learn to understand their boss's needs and work style will increase the effectiveness of their relationship and avoid conflicts due to miscommunication and ambiguous expectations. In this way, conflict with the boss can be prevented, not merely managed.

	Manager	Supervisor
Appendix 7–1. Focus Matrix for Managers and Supervisors: Managing Conflict (continued)		
Focus Areas (continued)		
Managing Conflict With Direct Reports	• Managers who effectively address conflict with direct reports establish a strong example of how their supervisors should handle conflict.	• Supervisors who effectively address conflict with their direct reports create an environment of positive and open communication.
Managing Conflict With Colleagues	• Managers need to acknowledge and manage conflict with peers. This reduces the time that a higher level manager is required to spend resolving others' disputes. • Positive conflict resolution between colleagues serves as a powerful role model for others in the organization.	• Supervisors need to acknowledge and manage conflict with peers. This reduces the time that a higher level manager is required to spend resolving others' disputes. • Positive conflict resolution between colleagues serves as a powerful role model for others in the organization.
Mediating Between Direct Reports	• Managers need to first allow employees to work out their conflicts on their own. This will encourage individuals to learn how to communicate more effectively and how to collaborate. • Only in certain more serious situations should a manager intervene between direct reports. When intervention is necessary, managers need to use a thoughtful mediation process.	• Supervisors need to first allow employees to work out their conflicts on their own. This will encourage individuals to learn how to communicate more effectively and how to collaborate. • Only in certain more serious situations should a supervisor intervene between direct reports. When intervention is necessary, supervisors need to use a thoughtful mediation process.
Facilitating Conflict Management in a Team Setting	• Managers may serve as team leaders to multiple groups and cross-functional teams. Their direct reports may also be team leaders. On both levels of interaction, managers have an opportunity to mentor appropriate conflict resolution practices.	• Supervisors are likely to have only one or two teams in which they serve as team leader. Early in their own development, they need to learn the basics of facilitating effective meetings and handling team conflict.

Resources

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Team Building

Marie Mactavish

This chapter addresses the importance of team building for correctional managers and supervisors. It first discusses the types of teams that are encountered in the workplace. It then presents the 12 elements of successful work teams at the managerial and supervisory levels of a correctional agency/organization—clarity of purpose and goals, performance measurement, team leadership, trust, team membership, defined roles and responsibilities, communication, decision-making process, managing meetings, stages of team growth, ongoing training, and external support and recognition—and outlines key skills and behaviors related to those elements. Finally, appendix 8–1 presents a matrix that applies these elements to the responsibilities of correctional managers and supervisors.

Chapter 8

Definitions

What Is (and Is Not) a Team?

Team: A basic workplace unit wherein individual talents and abilities contribute to a common purpose for which all are accountable. Teams are an important workplace structure for accomplishing organizational goals.

Pseudo-Team: A group of two or more people who have a significant mutual performance need or opportunity, but lack a focus on collective performance. Although they may refer to themselves as a "team," their lack of collective focus and commitment will derail their performance.

Working Group: A group of two or more people from whom no joint performance need, accountability, work product, or service is expected. However, the organization's mission still drives their individual roles, responsibilities, and performance needs. As noted by Jon Katzenbach and Douglas Smith in *The Wisdom of Teams,* members come together primarily to share information, perspectives, and best practices and to make decisions together to help each other perform within his/her area of responsibility.

Team Longevity

Teams may work together indefinitely as a unit within the larger organization or come together to collaborate on a specific project. The two major team distinctions are:

- *Natural Work Team:* The goals and deadlines of a natural (ongoing) work team may be set to achieve more than one desired result and may therefore have more flexibility than a project team. An ongoing work team works together over longer periods of time and on more than one project. For example, a shift in a correctional institution is a natural work team.

- *Project Team:* Unlike an ongoing work team, the project (temporary) team is established to achieve a specific, short-term goal and is generally made up of individuals from across the organization; for example, a committee formed to review and rewrite an organizationwide policy. Project team milestones and timelines are specific and have a definite ending date.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

Developing a competency in team building is critical for correctional managers and supervisors for three reasons:

- Team performance influences overall organization performance.

- A large portion of management's time is spent working in teams.

- Managers seeking to maximize their own potential need to develop skills working with teams on a smaller scale before they advance to managing multiple teams.

Most organizations consist of a collection of groups. Correctional agencies/organizations are no different. Successful organizations develop these groups into cohesive teams that perform at high levels. An organization's success depends, in large part, on its ability to use teamwork to accomplish its mission.

Not only does the organization benefit from effective teamwork, individual managers also benefit from being skillful in team management. Studies suggest that managers spend 50 to 80 percent of their time working in teams. Because many managers feel that much of this time is unproductive, improving their ability to lead teams becomes an obvious goal of managers and supervisors. Moreover, as cited by Jean Brittain Leslie and Ellen Van Velsor in their 1996 report, *A Look at Derailment Today: Europe and the United States,* studies done in the 1980s and 1990s on leadership "derailment" indicate that among the top three reasons leaders' careers stall is the inability to build and lead teams.

Successful teams, like individuals, require thoughtful development and support. If a team is given sufficient attention and direction, great potential exists not only for accomplishing its task, but also for individual and team learning opportunities.

Elements of Successful Work Teams

Research on workplace teams continues to flood the management and leadership literature. A review of that literature shows some common factors that differentiate successful from unsuccessful teams. Although the elements of a successful

work team at the managerial and supervisory levels have a great deal in common with those at the executive and senior levels, the emphases placed on these elements may differ, given the different levels of responsibility (i.e., for carrying out the day-to-day operations of correctional institutions and agencies, as opposed to forming high-level corrections policy and working with outside stakeholders). The following are the elements of a successful work team at the managerial and supervisory levels of a correctional agency/organization: clarity of purpose and goals, performance measurement, team leadership, trust, team membership, defined roles and responsibilities, communication, decisionmaking process, managing meetings, stages of team growth, ongoing training, and external support and recognition.

Elements of Successful Work Teams

- Clarity of purpose and goals.
- Performance measurement.
- Team leadership.
- Trust.
- Team membership.
- Defined roles and responsibilities.
- Communication.
- Decisionmaking process.
- Managing meetings.
- Stages of team growth.
- Ongoing training.
- External support and recognition.

Clarity of Purpose and Goals

Every moment spent in developing and clarifying a team's purpose, goals, and expected results will save time and energy in planning and implementing the team's work. Successful teams have a clear purpose statement and set of goals. The purpose provides the overall direction for the team, and goals and objectives give specific direction. Once a purpose statement has been developed and goals and objectives have been set, process and outcome measurements can be created, enabling team leaders and members to assess their own performance.

Develop a purpose statement. Developing a purpose statement is important to team collaboration because the statement enables all team members to clearly understand the team's goals. A team's purpose should be consistent with the values, beliefs, vision, and mission of the correctional agency/organization.

The team's purpose statement should convey a sense of the importance of the team's work, inspiring ownership and commitment by individual team members. It may also include the values and beliefs of the team. The purpose statement should articulate and direct the goals of the team toward accomplishing its ultimate intent by defining the "why," "what," "who," and "how" of the team's direction:

■ *Why* defines the inspiration for the team's creation or development and the need for its existence.

■ *What* outlines team functions, products, and/or services.

■ *Who* identifies the client or other entity that benefits from the work of the team.

■ *How* defines the methodologies, technologies, and activities the team uses to reach its stated goals.

Identify goals. A team should have a well-defined set of goals and agreed-on methods for achieving them. Identifying the team's goals is key to achieving its objectives. The goals statement should:

■ Elevate and challenge the members of the team as individuals and as a unit.

■ Outline a list of 9 to 12 goals that communicate what the team hopes to achieve.

■ Clarify the expectations of the team and relate back to the purpose statement with direction and specificity.

Determine objectives. An objective is a statement of the desired, measurable end results of the team's goals. An objectives statement should:

■ Be fairly narrow in scope, including only activities that the team can reasonably and realistically expect to accomplish.

■ Contain activities that are unique to the team and are measurable.

■ Contain two to four objectives that relate back to each goal.

Link performance measures to purpose, goals, and objectives. Once the purpose statement, goals, and objectives have been established, the team leader and members can use them to develop performance measures and assess the progress of the team. They can be used to monitor implementation processes and measure results when appropriate, as discussed below. (See also chapter 13, "Program Planning and Performance Assessment.")

Performance Measurement

In today's work arena, accountability is expected of leaders. Team leaders are responsible for developing performance measures and for holding team members accountable for achieving the team's purpose and goals. In most circumstances, team leaders should ask team members to help establish performance measures, which include both process and outcome measures. By developing and implementing monitoring strategies and measuring outcomes, a team provides the documentation that ensures accountability and creates credibility.

Process measures. Process measures monitor the tasks that produce a given result. Process measurement focuses on two main evaluation areas:

- Team members' perceptions of *internal* team processes such as consistent meeting agendas, team conflict resolution, and equitable participation by all members.

- Team members' perceptions of *external* services such as the number and/or types of clients being served or number of training hours provided.

Outcome measures. An outcome is the expected result of the team's goals and objectives: Did the team do what it was supposed to do?

If a team is results oriented and the members hold themselves accountable, the team is likely to achieve its purpose. As Michael Doyle and David Straus wrote in their famous book, *How To Make Meetings Work,* if the team starts with the end in mind it is more likely to achieve its goal.

Outcome success is determined by measuring results. From the beginning, it is important to focus on team goals and objectives and constantly work toward them. Teams should decide early on how they will measure success, so they can make course corrections along the way. If procedures for measuring outcomes are not developed or understood until the end of the process, the team will lose the opportunity to change direction or improve its practices during implementation.

The following are examples of outcome measures for correctional institutions:

- A human resources team has goals for reducing turnover and retaining employees; the outcome could be a 10-percent reduction in annual attrition rates.

- An intensive supervision program (ISP) team might have a goal to increase the percentage of offenders who successfully complete community supervision and placement; the outcome could be a 10-percent improvement in successful completion over the previous year.

For further explanation of performance measures, see chapter 13, "Program Planning and Performance Assessment."

Team Leadership

Team leaders have a responsibility to the correctional agency/organization (external) as well as to the teams they oversee (internal). A team leader has an overarching responsibility to be sure that the team's purpose is clearly established and understood both internally, among team members, and externally, among other critical stakeholders who operate outside the team but have a relationship to the team. Exhibit 8–1 illustrates how these internal and external responsibilities interact with each other and with the purpose of the team, and it provides the framework for the discussion to follow.
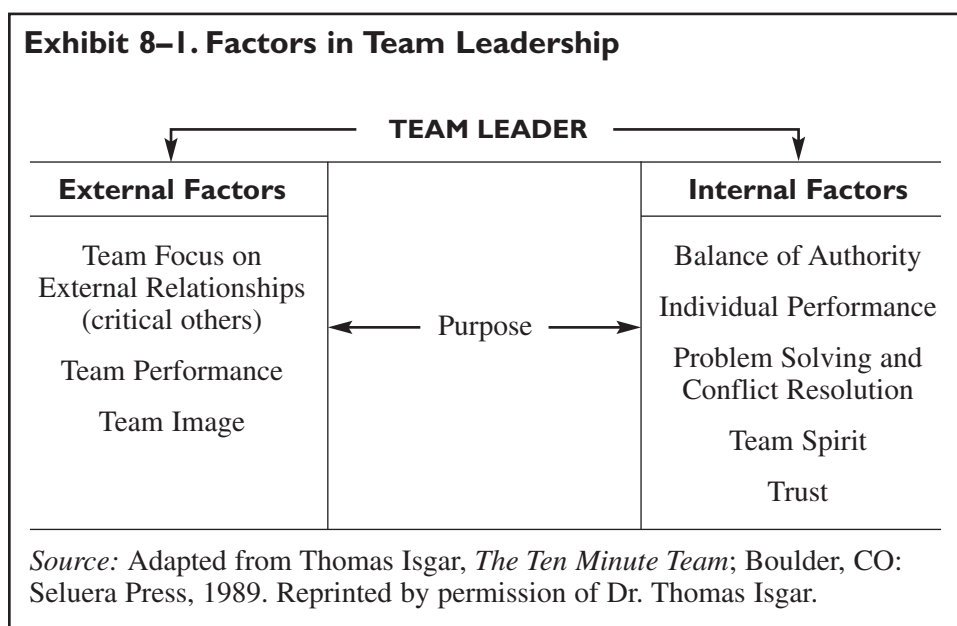
> Leadership is the process of persuasion or example by which an individual (or leadership team) induces a group to pursue objectives held by the leader or shared by the leader and his or her followers.
>
> —John W. Gardner, *On Leadership*

Exhibit 8–1. Factors in Team Leadership

TEAM LEADER

External Factors		Internal Factors
Team Focus on External Relationships (critical others)		Balance of Authority
	Purpose	Individual Performance
Team Performance		Problem Solving and Conflict Resolution
Team Image		Team Spirit
		Trust

Source: Adapted from Thomas Isgar, *The Ten Minute Team*; Boulder, CO: Seluera Press, 1989. Reprinted by permission of Dr. Thomas Isgar.

External Factors

External relationships. An effective team must interact with *critical others,* such as other teams within the parent correctional agency/organization and teams or groups from other criminal justice agencies/organizations and/or related agencies (e.g., victim advocacy groups, mental/medical healthcare providers).

Every project team should have a sponsor who charges the team with its purpose. The sponsor is often a member of the executive or senior-level team. From time to time, the sponsor may need to meet with the team or the team may call on the sponsor for more direction or clarification. The team leader should keep in close communication with the sponsor regarding the team's progress.

Every leader of a natural work team is also a member of a higher level management team. It is critical for the team leader to be a communication link between the two teams.

Exhibit 8–2. Hierarchical Organizational Structure Adapted From Likert's "Linking Pin" Function
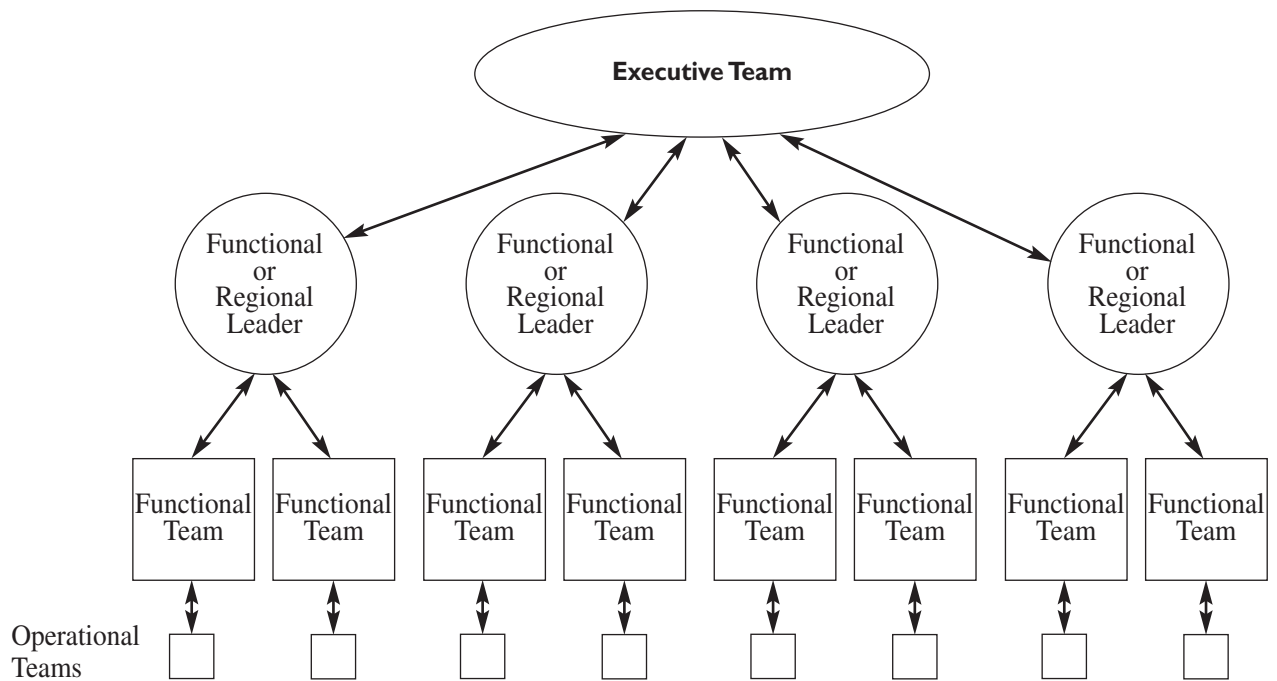
Source: Adapted from Rensis Likert, *New Patterns in Management*; New York: McGraw-Hill, 1961.

Exhibit 8–2 illustrates a hierarchical "bureaucratic" organizational structure that links top management to team leaders to functional teams to operational teams. Many correctional organizations follow this traditional management structure.

Team performance. The team leader is responsible for focusing the team on setting, meeting, and evaluating its goals and objectives.

Team image. Team leaders have to believe in the concept of team building. Leaders need to advocate for their team to critical stakeholders outside the correctional agency/organization as well as within the organization.

Internal Factors

Balance of authority. A team leader has the ultimate accountability for the team's purpose and performance. A truly skillful leader knows when to assert authority and be directive and when to more fully delegate decisionmaking authority to the team members. As illustrated by the "leadership circle" in exhibit 8–3, team leaders use a combination of four leadership styles: directive, consultative, collaborative, and delegative. The decisionmaking model (see "Decisionmaking Model" on page 163) guides leaders as to when one or another of these styles will be appropriate.

Exhibit 8–3. Team Leader Balance of Roles and Use of Authority
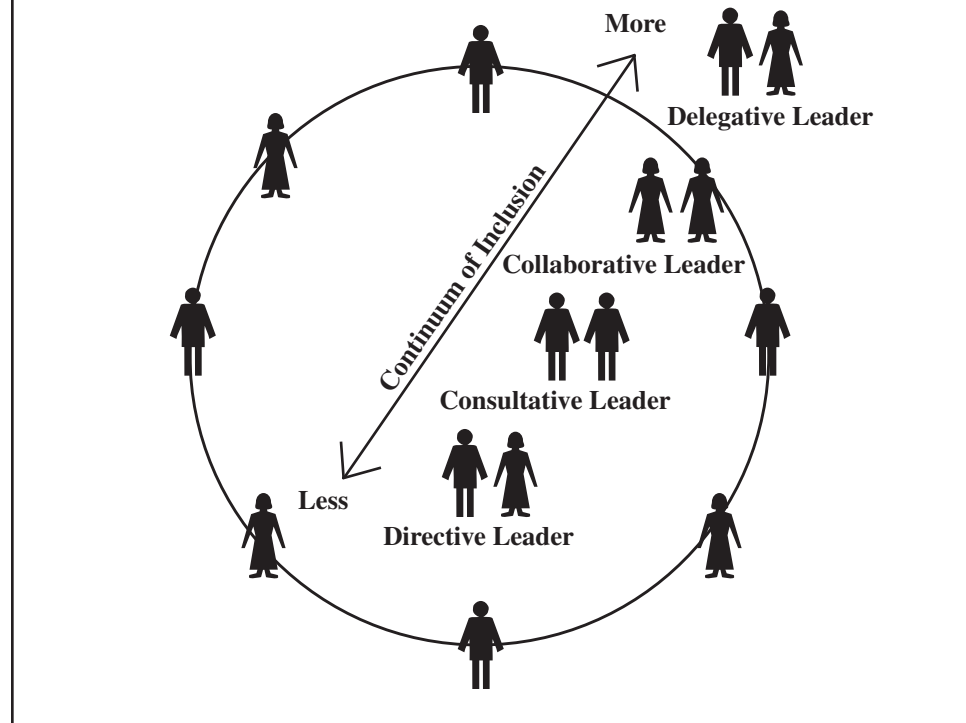
- *Directive:* Leaders placed in the center of the circle represent situations that call for a more directing and/or controlling approach. The directive approach is most appropriate when a team is newly formed.

- *Consultative:* Leaders who fall between "directive" and "collaborative" leadership styles represent situations where the leader collects suggestions and recommendations from team members or other relevant stakeholders but makes the decision alone.

- *Collaborative:* Leaders placed on the edge of the circle represent situations when all members (including the leaders themselves) should have an equal voice in discussions and decisionmaking. In these situations, a consensus model of decisionmaking would be appropriate. A collaborative approach is often most useful when setting goals for the team.

- *Delegative:* Leaders placed outside the circle represent situations that require assigning authority and decisionmaking to the team. The leader acts more as a resource than a controller to the team. The delegative approach is most appropriate when the team is successfully working toward its goals and is focused on the skills of its members.

The internal challenge for leadership is to maintain an appropriate balance of styles between the leader and the team. Because no two teams are alike, this

delicate balancing act of knowing when to set clear boundaries and expectations and when to give up command and control varies from team to team.

Generally, team leaders will embrace each of the four styles depending on the circumstances. It is vitally important for leaders to communicate which style they will be using to team members so the members know what to expect, which approach is in place, and what role they play in making decisions.

Individual performance. Team leaders should have high expectations for their own performance and a willingness to continue learning. Leaders should apply the same performance and learning standards to members of their teams, offering opportunities for team members to develop their skills.

Problem solving and conflict resolution. Every team faces problems it must solve and conflicts it must overcome. A team leader is responsible for providing models for the team to follow and guiding the team effectively through the process.

Team spirit. A team leader's role in building team spirit is to actively remind the team members of their accomplishments and to reward and recognize contributions appropriately.

Trust

Team leaders establish trust by demonstrating and communicating respect for team members and the work they are doing. Although a team leader contributes to an environment of trust, the team members are also responsible for supporting a trusting atmosphere. According to Dennis and Michelle Reina in *Trust and Betrayal in the Workplace,* at least three kinds of trust are in play in any given team: contractual trust, communications trust, and competence trust.

- *Contractual trust:* Team leaders lead by modeling trust. They expect team members to mutually manage expectations, establish boundaries, delegate appropriately, encourage mutual support, honor agreements, and be consistent.

- *Communications trust:* The team leader sets the tone initially by establishing trust through disclosure. Indicators of good communications trust include sharing information, telling the truth, admitting mistakes, giving and receiving constructive feedback, maintaining confidentiality, speaking purposefully, and relating one's comments to the task at hand.

- *Competence trust:* When team leaders respect the knowledge, skills, and abilities of team members, they demonstrate willingness and motivation to trust the capabilities of others and themselves. Building competence trust includes—in addition to respecting people's knowledge, skills, and abilities— respecting people's judgments, involving others and seeking their input, and helping people learn skills.

A team leader can establish these frameworks of trust, but it is up to the team members to work collaboratively within them in order to ensure a trusting atmosphere.

Team Membership

Each team member has a unique set of technical knowledge and interpersonal skills that add richness and contribute to the team's overall success. Five aspects of team membership are important to consider: team size, commitment, complementary skills, philosophy of working approach, and mutual accountability.

Team Size

Ideally, an effectively functioning team has 9 to 11 team members (including a team leader). When a team grows to 20 or more people, the tendency is for the group to break into smaller teams of 5 to 10 people to improve communication and get the job done.

Commitment

Team members should be chosen for their individual and collective commitment to the team's purpose and goals (the reason the team was created).

Complementary Skills

Team members should be selected for how their individual knowledge, skills, and talents complement those of other members and relate to the team's purpose and goals. In addition to skills, interpersonal competencies—conflict management and listening and verbal skills—are worth considering when a team is formed.

Philosophy of Working Approach

Effective team membership requires individuals to believe in a team approach. Although members may be committed to the goals of the team, they may not accept teamwork as a reasonable method for reaching those goals.

Mutual Accountability

Sharing accountability among team members is essential. All team members share mutual accountability for the progress and success of the team's work and for any problems that may arise.

Defined Roles and Responsibilities

Working well together is a fundamental component of a successful team. If a team is to function well, establishing a climate of member collaboration is key. For team members to feel good about and take part in collaboration, team leaders and members need to have clearly defined roles and responsibilities.

Although some of the roles and responsibilities of team leaders and team members have been previously addressed (see "Team Leadership" and "Team

> If you observe a group of people who are truly committed and accountable for joint results, you can be almost certain they have both a strong team purpose and an agreed-on approach.
>
> —Jon R. Katzenbach and Douglas K. Smith, *The Wisdom of Teams*

Membership" above), establishing a healthy and productive collaborative climate requires some team members to assume additional roles that benefit the team. Team leaders sometimes perform a dual role, leading the team and facilitating its processes. The following are the major team roles: sponsor, team leader, team member, facilitator, and recorder.

Sponsor

The sponsor is a member of the executive or senior-level team (or other executive or senior-level leader) who provides the team with its purpose and provides direction and clarification to the team as needed.

Team Leader

A team leader is a member of the team who helps the team focus on its tasks and achieve its purpose; the team leader is the link back to management.

Team Member

Team members share equal responsibility for team performance and for balancing participation among all of the team's members.

Facilitator

Facilitators take responsibility for managing team meetings. They also oversee the interpersonal team dynamics, making sure that a collaborative climate is maintained.

Ideally, a team should appoint as facilitator a member whose knowledge and skills are conducive to that role. If a team leader takes on the additional role of facilitator, he or she must pay attention to tasks and accomplishments while monitoring group process. It is difficult to perform both roles well. Delegating the task to another team member creates an opportunity for leadership talents to emerge and contributes to overall team spirit.

Recorder

Someone on the team must assume the role of recorder. A recorder is responsible for taking minutes, timekeeping, and creating, distributing, and organizing all of the team's records. The recorder must have good writing skills and be detail oriented. The job of recorder can be rotated through the team.

Communication

Good communication between all team members is essential for them to work together to achieve a common goal. Effective team development depends on team members' ability to communicate with one another clearly, openly, and honestly. The following section reviews the basics of communication and the benefits of self-monitoring interactions with team members. (For a detailed discussion of communications skills and their role in management, especially at the supervisory level, see chapter 4, "Oral and Written Communication.")

When communication occurs, someone sends a message through a channel to a receiver. At different times during the communication, each person is both sender and receiver. Both the sender and the receiver play essential roles in ensuring that the communication is effective. The sender commonly communicates to the receiver through three different channels: oral, written, and nonverbal. The receiver has three important tasks: to listen effectively, to interpret the message, and to provide feedback to the sender.

Role of the Sender

The sender is responsible for formulating a message that the receiver can interpret and understand.

Speaking. When speaking, it is important to carefully construct the message to be communicated in a way that the receiver can interpret. A good message is formulated with the target audience in mind and in a short, to-the-point manner that makes its goal apparent. It is important that the speaker allow for feedback and clarification to check the accuracy of the communication.

Writing. When writing, it is important to establish a clear objective as soon as possible. The sender should use a writing style that is easy for the receiver to interpret. It often takes more time to communicate in writing. However, for written communication to be effective, responding promptly is important.

Nonverbal. People communicate not only through words, but also through facial expressions and body movements. Listeners get at least 65 percent of a message through body language. Nonverbal communication can refute or reinforce the words that are said. Good communicators pay attention to their facial expressions, gestures, and body movements when delivering a message.

Role of the Receiver

The receiver plays an important role in ensuring the message is communicated effectively. For communication to be complete, the receiver must listen, interpret, and provide feedback.

Listening. An effective listener pays close attention to what is communicated. This means respecting the speaker and giving the speaker undivided attention. It also means keeping an open mind and assuming the responsibility for thinking, but not necessarily judging, while listening.

Interpreting. To understand the speaker's message, the listener needs to confirm that he or she has interpreted the message correctly. The listener can do this by paraphrasing the message or asking questions.

Feedback. Feedback is a process of communicating one's perceptions and feelings about the message presented. Feedback can be both verbal and nonverbal. Verbal feedback can include asking questions, restating the main points, or saying out loud that the message has been understood. Nonverbal feedback can include eye contact, facial expressions, nods, or gestures. Providing feedback to the sender illustrates that the listener has received and responded to the message.

Foundations of Team Communication

Exhibit 8–4 illustrates the consensus-building model of team communication at the manager and supervisor levels. It applies the communications concepts discussed above in the team environment. The model includes the following:

- *Openmindedness:* Being willing to consider other points of view.

- *Withholding judgment:* Trying to understand the other person's point of view without judging the merit of what that person is saying and without thinking of an instant rebuttal or forming an immediate opinion.

- *Feedback:* Asking questions and paraphrasing back the answers to understand the message.

- *Agreement:* Having a mutual understanding of the message (agreement on what is being said) without necessarily agreeing with the idea.

- *Comprehension:* Understanding the message fully enough to effectively share reactions, feelings, and opinions with the team.

Exhibit 8–4. The Consensus-Building Model of Team Communication

Comprehension

Feedback		Agreement
Openmindedness		Withholding Judgment
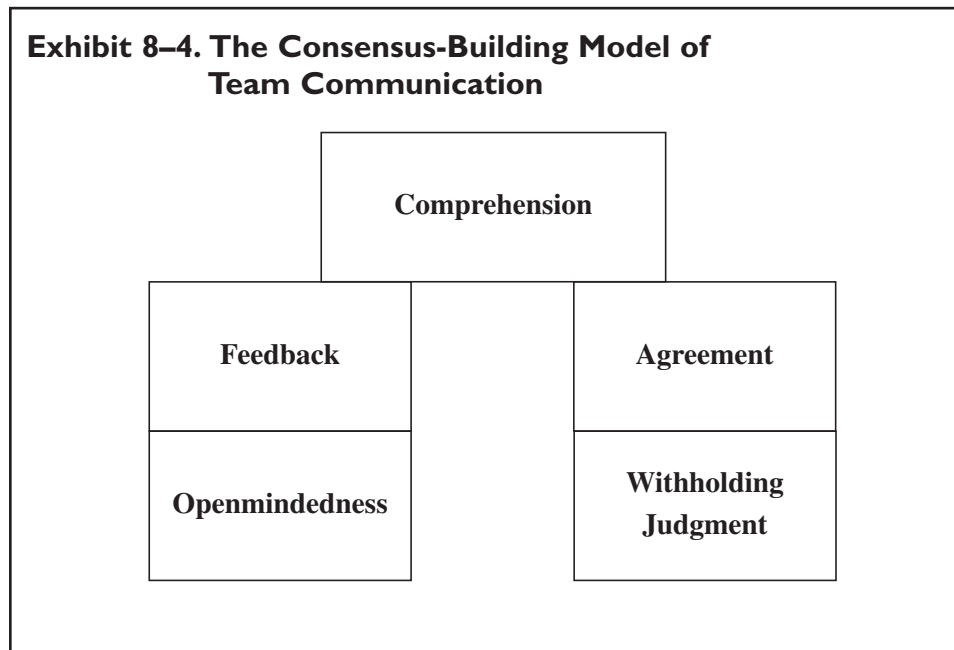
Keys to Effective Team Communication

Effective teams respect basic communication skills. For team communication to be successful, it is necessary to:

- Establish an interactive environment where open communication is encouraged.

- Understand the purpose of the message before it is communicated.

- Speak clearly, distinctly, and with enthusiasm, so the receiver is able and willing to accept the message.

- Listen actively by asking questions to clarify the message, using active body language, and providing feedback.

- Not let preconceptions, biases, or emotional states get in the way of communication.

> Before I speak, I have something important to say.
>
> —Groucho Marx

Benefits of Successful Communication

If members of a team are communicating well, they will be more likely to create positive relationships that promote teamwork. Key relationship elements that operate within teams are:

- *Honesty:* Having integrity; without lies and exaggerations.

- *Openness:* Being willing to share and being receptive to information.

- *Consistency:* Exhibiting logically coherent behavior and responses.

- *Respect:* Treating people with dignity and fairness.

Decisionmaking Process

Leadership Styles

Team leaders are responsible for selecting a balance-of-authority approach to team decisionmaking and for establishing and fostering a decisionmaking climate that is consistent with that approach and with the team's goals and objectives. Ideally, the team leader will use a variety of decisionmaking styles and will base the choice of style on the nature of the decision (see exhibit 8–3 earlier in this chapter and the decisionmaking model presented in exhibit 8–5, which is discussed below). For each leadership style chosen, a corresponding decisionmaking climate is established. For example, a team leader who uses a directive approach inherently creates an autocratic atmosphere in which he or she makes the final decision on most matters. Conversely, a collaborative approach results in a climate of collective responsibility and shared authority that is understood by all.

One of the most important questions regarding decisionmaking is "Who decides?" Even though best leadership practices encourage significant employee involvement, a group should not make every decision. A team leader needs to be aware that not all decisions require a team consensus. There are times when only one person needs to make a decision.

Decisionmaking Model

The decisionmaking model is a tool for determining how much participation is needed or desired to make a specific decision. Exhibit 8–5 presents a commonly accepted decisionmaking model that illustrates how a leader can use a rational method in deciding whether or how to use team members' input in reaching certain decisions. This model relates back to the four styles of decisionmaking illustrated in exhibit 8–3 and presents situations in which one or another of the styles may be appropriate. In using the model, a leader should do the following:

■ Identify the decision or decisions to be made.

■ Explain to the team the four distinct approaches for making decisions presented in exhibit 8–3.

■ Lead a group discussion on how to address the decisions under consideration, i.e., which decisionmaking approach to use. The team leader may inform the team that he or she will be making the decision, and/or the team may consult the team leader on which problem-solving approach would work best.

■ Either poll the participants on what they each consider to be the best choice within the model for the specific decision to be made or tell the team which approach will be adopted. The team leader must make the final decision.

■ Proceed accordingly. Create an action plan, including timeframes, especially if the entire team is not involved in making the decision.

Managing Meetings

Meetings are a time when group members get together to share information, solve problems, make decisions, plan for the future, monitor progress, and periodically evaluate performance. Because correctional managers, supervisors, and staff have many responsibilities and no time to waste, they must make the most of every minute the group has together. Team leaders or facilitators must prepare before the meeting, conduct the meeting, and follow up afterward. The discussion of meetings that follows should be read in conjunction with the discussion of leading meetings in chapter 4, "Oral and Written Communications."

Preparing for the Meeting

In preparing for a meeting, it is important to ask three questions that relate to the "who" "what," and "how" of the meeting. Answering these questions will

> When people are involved in making a decision, they are much more likely to be committed to that decision than if some other person, or a small group, makes the decision on their behalf. Therefore, going up the decision-making scale (from individual decisions to reaching team consensus) increases commitment, although it also increases the difficulty in arriving at an agreement.
>
> —J. William Pfeiffer and Carol Nolde, *The Encyclopedia of Team-Development Activities*

Exhibit 8–5. Decisionmaking Model

		Choosing the appropriate decision style is a learned skill.		
	less inclusion ←		→ more inclusion	

Team Leader Approach	Directive	Consultative	Collaborative	Delegative
Role of others?	The decisionmaker makes the decision without input from others, or may consider some information that others provide.	Team members gather problem-solving recommendations and suggestions from individuals or the team.	The team members share in decisionmaking.	The team decides.
Who decides?	The decisionmaker could be the team leader, sponsor, or board.	The decisionmaker could be the team leader, sponsor, or board.	The decision-makers are the team members.	Others instead of the team leader, sponsor, or board decide.
How is the problem solved or the decision made?	The decisionmaker solves the problem or makes the decision individually, using information he or she has collected.	The decisionmaker consults with team members or relevant stakeholders to collect their ideas and suggestions.	The decisionmaker shares the problem with the team members and together they reach a consensus or a majority of the team decides.	The leader delegates the decisionmaking to team members and they reach consensus or a majority of the team decides.

Source: Adapted from the Normative Decision Model, Victor Vroom and Philip Yetton, *Leadership and Decision-Making,* Pittsburgh, PA: University of Pittsburgh Press, 1973.

provide the team leader or facilitator with the information and resources to conduct the meeting effectively.

> **Answer these three questions to conduct an effective meeting:**
> - Who?
> - What?
> - How?

Who are the participants or members? Once members are chosen to participate in the meeting, the team leader or facilitator should summarize the needs, interests, and expectations. It is also important to recognize individual differences and similarities among group members. Once the facilitator knows the dynamics of the team, a meeting can be designed that will cater to the team's needs.

What is the purpose of the meeting? Clear direction cannot be provided if there is no destination in mind. The facilitator needs to define the goals that should be reached during the meeting and communicate them to the participants.

How will the meeting be conducted? The team leader or facilitator should decide on possible activities, materials, human resources, necessary length of the meeting, and agenda items that will facilitate achieving the goals of the meeting. Sending participants the meeting agenda (including objectives, desired outcomes, advance preparation, and required materials) prior to the meeting will save valuable time, increase understanding and commitment, and greatly enhance the success of the meeting.

Conducting the Meeting

Every meeting has the same basic structure: a beginning, a middle, and an end. At the beginning, the facilitator sets the tone, defines goals, creates roles, and outlines ground rules to guide participants' behavior. In the middle, the team works on agenda topics. At the end, the group summarizes its actions, defines followup activity, and evaluates the meeting.

Beginning. At the start of the meeting, participants reach a common understanding of what they are going to do and how they are going to do it. This phase deals with five issues:

- *Purpose:* The facilitator of the meeting should state the purpose for the meeting.

- *Desired outcomes:* The facilitator should elicit desired outcomes from the participants.

- *Agenda:* A prepared agenda should be distributed and discussed. The agenda serves as a roadmap the group uses to reach the meeting's goals.

- *Roles:* In some cases, it may be necessary for the facilitator to describe certain roles members are expected to follow. This will help members understand what is expected of them and set the tone for the meeting

- *Ground rules:* If ground rules have not been set, they need to be agreed on. Ground rules set the tone and define expectations and appropriate behavior among team members. The two basic types of ground rules are logistic and people process. Exhibit 8–6 illustrates examples of each. Creating ground rules when the team is first formed is best. However, ground rules can be established or changed at any time during the team's existence.

Exhibit 8–6. Ground Rules for Meetings	
Logistic Ground Rules	**People-Process Ground Rules**
Logistic ground rules govern the structure of the team meetings. It is important that the processes of the meeting are clear to all members, so everyone knows what to expect and can plan accordingly.	People-process ground rules involve the team members' relationships with one another. These ground rules establish acceptable behavior between group members. They are essential for smooth interactions between members.
Logistic ground rules may include: • When the team will meet. • How long the meeting will last. • How often the team will meet. • How the agenda will be organized. • What is expected in terms of attendance.	People-process ground rules may include: • Affording equal opportunities for contribution from all members. • Agreeing to settle misunderstandings and disagreements. • Providing recognition for progress. • Focusing on win-win solutions.

Middle. The main task of the meeting is conducted in the middle phase. The facilitator is responsible for managing the discussion on appropriate topics. The following four-step process helps facilitate discussion:

■ *Issue:* Follow the agenda and describe the issue that is to be discussed. Restrict discussion to one issue at a time.

■ *Goal:* Ask participants to define their expectations in discussing the issue. Is the discussion being held to gather information, delegate a task, or make a decision?

■ *Process:* The facilitator should explain the process that will be used in the discussion. Will everyone get to speak? Who will be discussing the issue?

■ *Time constraints:* The facilitator should mention how much time is available to discuss the issue at hand.

End. Leave enough time to end a meeting properly. In the final part of the meeting, the team reviews the list of actions it has agreed on to ensure that everyone knows the who, what, when, where, and why of each action item. The team also evaluates the current meeting and decides on the time and place of the next meeting. To accomplish these steps, the leader focuses the discussion in three key areas:

■ *Action items resulting from the meeting:* The team reviews the meeting and decides what followup is necessary.

- *Future meetings:* The team agrees on the next time it should meet. This is also a time to discuss when subgroups or committees will meet.

- *Evaluation of the meeting:* Evaluation is necessary to determine if meeting objectives were met, what went well in the meeting, and what improvements are needed for future meetings.

One effective way to evaluate meetings is to use the "What Went Well/ Opportunities for Improvement" technique. This technique asks participants to comment on their feelings about how the meeting went. The meeting facilitator receives feedback on what participants thought went well or was effective and what they thought did not go so well or where there are opportunities for improvement. The first time this technique is used, it is important for the facilitator to describe the purpose, process, and payoff of the exercise.

The facilitator can get feedback in one of three ways:

- Conduct a discussion with the whole group.

- Have participants get into small groups, discuss, and report back to the whole group.

- Have individuals provide written feedback.

Following Up on the Meeting

Followup after the members have adjourned is necessary to ensure the meeting has been effective. The following tasks should be completed either at the end of the meeting or between meetings:

- Assemble a written record of the meeting, distribute it to the team members, and place it in a historical logbook of meeting records.

- Clarify commitments agreed on by team members. Hold team members accountable for following through with tasks they agreed to complete.

- Send reminders regarding the next meeting to all members to encourage participation.

- When appropriate, ask team members to contribute items for the next meeting agenda.

The successful team leader must learn the skills described above to manage a meeting efficiently and effectively. A variety of methods, including e-mail, phone calls, and office memos can be used to communicate before and after a meeting. An effective leader identifies when to use which communication method to get the best results within the team.

Stages of Team Growth

Many theorists who study group dynamics recognize that groups typically evolve through predictable phases. Phases most often mentioned include orientation, conflict, and cohesion. Understanding these stages can help leaders recognize current circumstances and predict future situations within the team. Effectively managing team growth stages can help teams gain insight into their process and increase their productivity.

Psychologist Bruce Tuckman, in his 1965 *Psychological Bulletin* article "Developmental Sequence in Small Groups," presented one theory that is still widely referred to today. His model states that groups go through four distinct stages as they evolve into a cohesive team and begin to operate efficiently and effectively. These stages are:

- Forming.

- Storming.

- Norming.

- Performing.

Forming. When a team is forming, members go through an orientation phase where they familiarize themselves with how the team will function. In this stage, members discover the team's:

- Purpose and goals.

- Organizational structure.

- Restrictive boundaries.

- Leadership style.

- Culture.

- Governing rules.

During the forming stage, team members need to feel a sense of purpose and inclusion. Their desire to be accepted by the other team members drives their behavior. Therefore, this stage involves little conflict. Since so much is going on to distract team members in this stage, teams typically do not accomplish much in terms of overall goals.

Storming. Conflicts begin to emerge during the storming stage. These conflicts may stem from personal relationships or the realization that the task is different or more difficult than imagined. At this point, members need structural clarity and rules to learn how to handle and prevent conflicts. Conflicts

may be frustrating and take time, but this stage is necessary for team members to understand each other, agree on common goals, and establish norms.

Norming. In the norming stage, the team has evolved to develop a clear definition of its responsibilities, understand how members work together, and appreciate each other's skills and experience. Ideally, team members listen to each other, support each other, and learn to work cooperatively.

Performing. When a team is performing, members recognize each other's strengths and weaknesses, diagnose and solve problems, implement changes, carry out clearly defined roles, and achieve synergy while working together. In this stage, group identity, loyalty, and morale are all high. The team can now function as an effective, cohesive unit.

It is important to understand that groups are often forming and changing, and each time that happens, they can move to a different Tuckman stage. A team might be happily norming or performing, but a new member or a different task might force it back into storming. Experienced leaders will be ready for this, and will help the group get back to the performing stage as quickly as possible.

These stages of growth describe the normal pattern for maturing groups. Understanding these stages will keep members from overreacting to normal problems or setting unrealistic expectations. With patience and effort, groups of individuals eventually evolve into cohesive teams.

Ongoing Training

Efforts must be made to assess team members' knowledge and skills in team processes such as communication, decisionmaking, and conflict resolution and to offer training to meet identified needs. Likewise, providing opportunities for technical and professional development that are related to the team's purpose is important to the growth of the team. The following are examples of how a team member might benefit from ongoing training:

- A team member has extensive skill in risk assessment of offenders in community settings but needs additional training in decisionmaking as part of a team.

- A team member has a sophisticated understanding of group dynamics, but would benefit from additional technical training in offender classification computer software.

External Support and Recognition

An organization's natural work teams and project teams need external support and recognition to achieve their goals. As the primary source of this support and recognition, the top leaders in the organization play a critical role in the success of those teams.

Organizational leaders who value an environment of teamwork do the following:

- Set high expectations for their teams.

- Instill confidence.

- Provide oversight, guidance, and recognition.

- Demand excellence.

Organizational leaders and team leaders both work toward establishing strong lines of communication for identifying and managing challenges. The team leader is responsible for communicating with the team's sponsor or with the next higher level of authority within the organization to overcome barriers outside the team's span of control. By advocating for the team when such barriers arise, the team leader facilitates the flow of work and ensures progress.

In addition to providing support, top leaders should celebrate team accomplishments. Because most people thrive on having their work recognized and rewarded, positive feedback is vitally important. Leaders who provide timely and meaningful feedback and recognition for achievement develop stronger teams.

Summary

Clarity is the critical characteristic of purpose and goals. Team leaders are responsible for collaborating with team members to develop a purpose statement, establish realistic goals and objectives that clarify the team's purpose, and monitor the team's progress by using process and outcome measures.

A team leader should advocate for the team and communicate its successes to the organization. A successful team leader addresses needs inside and outside the team. Outside the team, the team leader cultivates relationships with critical others, promotes team performance, and builds team image. Within the team, the leader focuses on balancing authority, enhancing individual performance, solving problems, resolving conflicts, building team spirit, and establishing trust. Team leaders establish trust within teams by doing the following:

- Setting clear expectations (contractual trust).

- Creating an open atmosphere to share information (communications trust).

- Respecting the skills and knowledge of team members (competence trust).

Perhaps the most important attribute of a successful team leader is knowing how to balance authority and when to apply the various styles of decisionmaking.

The team leader should be well aware of the five important attributes of successful team development:

- Keeping the number of team members under 11 persons.

- Ensuring team members are committed to the purpose and goals of the team.

- Developing a team with members who have complementary skills—both technical expertise and interpersonal communication skills.

- Expecting team members to subscribe to the philosophy of "teamwork."

- Encouraging team members to personally accept accountability and hold each other mutually accountable for the team's work.

A healthy climate of collaboration within a team exists when clearly defined roles and responsibilities are in place and behavioral expectations for the team are understood and honored by all team members. Key team roles are sponsor, team leader, team member, facilitator, and recorder.

Having strong lines of communication is critical to team success. Practicing the basics of effective communication and understanding the roles that different behaviors play facilitate communication within teams. Team members need to understand and observe the cornerstones of good communication: openmindedness, withholding judgment, feedback, agreement, and comprehension. They also need to appreciate that effective communication contributes greatly to qualities that make teams successful, including openness, respect, honesty, and consistency.

The team leader sets the tone and establishes the procedures for decisionmaking within the team, determining how decisions will be made and by whom. Not all problem-solving decisions should be made by team consensus. Situations may arise that require the team leader or a subset of team members to make decisions without polling the entire team—and sometimes the leader must make a decision without any team input. Nevertheless, a positive team environment is more easily maintained when team members are a part of decisionmaking.

Team leaders or facilitators are responsible for ensuring successful team meetings. This involves preparing before a meeting, conducting an efficient meeting, and following up after a meeting.

Groups evolve through developmental stages while emerging into performing teams. Understanding these stages can put current behavior in perspective and promote an optimistic outlook as the group grows into a collaborative team.

The team leader is responsible for assessing the technical and professional skill levels of team members and providing ongoing training to improve those skills

as needed. Developing skills related to the needs of the team is important to team growth and success.

Finally, recognition and support from the organization's top management is critical. People thrive on being rewarded and acknowledged for their hard work and successes. Organizational leaders who recognize this aspect of human nature will build stronger teams and therefore a stronger organization.

Key Skills and Behaviors

> *Skill:* The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.
>
> *Behavior:* The manner of conducting oneself; observable activity.

Clarity of Purpose and Goals

Skill: Fostering and practicing collaboration.

Behavior: Use the team to develop a purpose statement and its goals and objectives.

Performance Measurement

Skill: Understanding evaluation systems.

Behavior: Develop and implement process and outcome measurements.

Team Leadership

Skill: Fostering relationships with groups external to the team.

Behaviors:

- Present information to individuals and groups outside the team to keep them informed about the team's work.

- Listen to the interests and opinions of individuals and groups outside the team as they relate to the team's purpose.

Skill: Knowing what style of authority to use under the right circumstances.

Behavior: Implement an authority model to address the scope of the team's role:

- Use a directive approach when a team is newly formed.

- Use a consultative approach when requesting suggestions and recommendations from team members.

- Use a collaborative approach when a team is setting goals.

- Use a delegative approach when a team is successfully working towards its goals and is focused on the skills of its members.

Trust

Skill: Establishing a trusting environment.

Behavior: Express clear expectations regarding tasks and group behavior, such as telling the truth and admitting mistakes.

Skill: Trusting others.

Behavior: Respect people's judgment, involve others and seek their input, and help people learn skills.

Team Membership

Skill: Understanding the value and importance of team commitment.

Behavior: Actively engage team members in the discussion of ideas.

Skill: Knowing how to work collectively with other people.

Behavior: Share accountability for team successes as well as problems.

Defined Roles and Responsibilities

Skill: Knowing how to take responsibility for managing team meetings from a neutral position.

Behavior: Pay attention to group tasks and process and ensure all necessary team roles are competently filled.

Communication

Skill: Communicating a clear message to the receiver.

Behavior: Formulate the purpose and goal of the communication before beginning to address the receiver.

Skill: Looking for common ground among team members.

Behavior: Use the consensus-building model for team communication when warranted.

Skill: Keeping an open mind.

Behavior: Listen for understanding before offering opinions and be willing to consider others' points of view.

Skill: Having integrity and a respectful exchange within a team and with others outside a team.

Behavior: Choose to be a person who is honest, open, and consistent with others.

Decisionmaking Process

Skill: Knowing the four decisionmaking approaches.

Behaviors:

- Instruct and model the four decisionmaking approaches to team members (team leader).

- Use decisionmaking approaches interchangeably as different situations arise.

Skill: Being aware of and respecting the political environment and organizational hierarchy.

Behavior: Demonstrate respect for decisions made by the team leader and others (team members).

Managing Meetings

Skill: Understanding the components of a meeting: preparing, conducting, evaluating, and followup.

Behaviors:

- When preparing for a meeting, make sure to have a purpose statement for the meeting.

- When conducting a meeting, follow an agenda to ensure that needed tasks are accomplished.

- Solicit feedback from team members about what went well and what could be improved.

- When following up, assemble and distribute minutes from the meeting to reinforce commitments that were made.

Stages of Team Growth

Skill: Being aware that groups typically evolve through predictable phases.

Behavior: Acknowledge the group's current phase and manage the tasks that occur during the phase.

Ongoing Training

Skill: Knowing which skills and behaviors are relevant to the team's purpose.

Behavior: Participate in ongoing training to acquire knowledge and skills related to the purpose of the team.

Skill: Identifying who should provide training and what is the best approach/method for instruction.

Behaviors:

- Assess one's own knowledge/skills and those of other team members.

- Choose appropriate formal and/or informal methods to acquire needed knowledge and skills.

External Support and Recognition

Skill: Having clear expectations for teams and team leaders.

Behavior: Provide a monitoring system, such as a project timeline, to track the team's progress.

Skill: Keeping strong lines of communication open between top organization leaders and team leaders.

Behavior: Communicate with the team sponsor or the next higher level of authority in the organization and advocate for the team when barriers beyond the team's control arise.

Skill: Understanding the value of acknowledging small and large accomplishments.

Behavior: Honor team success with tangible rewards and recognition such as an appreciation luncheon.

Appendix 8–1. Focus Matrix for Managers and Supervisors: Team Building

	Manager	Supervisor
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Elements of Successful Work Teams		
Clarity of Purpose and Goals	• Determines the purpose and goals of each team that the manager leads. • Ensures that each team meets its goals and ultimately realizes its purpose.	• Works with the manager to determine the purpose and goals of the team. • Ensures that the team contributes to meeting the goals of the organization by meeting team goals.
Performance Measurement	• Sets performance measures that are linked directly to the organization's mission.	• Helps set the process and outcome measures, but primary role is to ensure that team members are working toward and meeting the set purpose and goals.

Appendix 8–1. Focus Matrix for Managers and Supervisors: Team Building (continued)		
	Manager	**Supervisor**
Elements of Successful Work Teams (continued)		
Team Leadership	• Ensures that teams are operating at full capacity. • Works with groups outside the team to communicate with the organization as a whole.	• Ensures that each team member is performing at full capacity. • Uses each of the four leadership approaches (directive, consultative, collaborative, and delegative) as appropriate to the situation. • Communicates to the manager any barriers that need to be addressed so the team can continue to be successful.
Trust	• Establishes trust by demonstrating and communicating respect for supervisors and their teams.	• Establishes trust within the team by creating clear expectations, sharing information, practicing good communication, and respecting the skills, knowledge, and abilities of team members.
Team Membership	• Depending on degree of control over team selection, may designate group size and select members with complementary skills. • Clarifies expectations for the team and holds team members accountable for meeting those expectations.	• In most circumstances, does not select team members. Nevertheless, as team leader, the supervisor needs to appreciate team size in relation to functionality and recognize complementary skills among team members. • Clarifies expectations for the team and holds team members accountable for meeting those expectations. • Keeps the manager updated on team performance.
Defined Roles and Responsibilities	• Ensures that each team has a leader, a facilitator, and a recorder. In some cases, is the team leader but in others may oversee supervisors who serve as team leaders.	• Generally acts as the team leader. It is critical to recognize the importance of the roles of the facilitator and recorder to ensure more effective work sessions.
Communication	• Balances roles as sender and receiver for effective communication. • As a sender, formulates and delivers a clear message and seeks feedback to ensure the message was communicated clearly and understood. • As a receiver, listens while keeping an open mind and solicits feedback and recommendations from team members.	• Generally communicates with correctional officers and staff one to one. • As a sender, communicates a clear message with a purpose to ensure that the receiver understands his or her duties. • As a receiver, listens attentively to requests made by team members and is open to accepting feedback.

Appendix 8–1. Focus Matrix for Managers and Supervisors: Team Building (continued)

	Manager	Supervisor
Elements of Successful Work Teams (continued)		
Decisionmaking Process	• Determines for teams which of the four decisionmaking approaches (directive, consultative, collaborative, and delegative) will be used under which circumstances and for which issues. • Clarifies for teams which decisionmaking approach will be used and ensures that it aligns with the approach adopted by the team leaders.	• Establishes for the team the same decisionmaking climate that is established by the manager. • Reinforces team members when decisionmaking approaches are used appropriately and reteaches for mastery as needed.
Managing Meetings	• Team leaders, whether they are managers or supervisors, need to know how to manage meetings.	• Team leaders, whether they are managers or supervisors, need to know how to manage meetings.
Stages of Team Growth	• Respects the processes of team development and sets reasonable expectations for the team depending on the stage the team is currently in.	• Facilitates the team's progress through its stages of development. • Recognizes the stages of development and intervenes to help the group proceed to the next stage.
Ongoing Training	• Acknowledges the need for team member training. • Supports training. • Allocates the necessary resources for training.	• Assesses team training needs. • Seeks training resources and opportunities. • Provides training under some circumstances.
External Support and Recognition	• Sets the tone for a teamwork environment, including how accomplishments will be monitored and recognized.	• Reinforces individual and team performance by recognizing and acknowledging team accomplishments.

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Collaboration

Marie Mactavish

This chapter addresses collaboration in correctional agencies/organizations from the perspective of managers. After discussing the importance of collaboration, the chapter addresses the need for both internal and external collaboration, and then covers in depth the four opportunities for collaboration—informal or interpersonal, work team, organizational, and external—and the elements of each of those collaborative opportunities. The chapter then outlines key skills and behaviors related to collaboration. Finally, it presents a matrix (appendix 9–1) that relates the four opportunities to the responsibilities of correctional managers and supervisors.

Chapter 9

Definition

Collaboration: The Latin root of the word collaboration means simply "to work together."

In its broadest meaning, collaboration is a reciprocally beneficial association between two or more participants who work toward shared goals by equally distributing responsibility, authority, and accountability. It is nonhierarchical in nature and assumes that power is based on knowledge or expertise, rather than on one's role or function in a community or organization. According to Donna Wood and Barbara Gray, in their 1991 article "Toward a Comprehensive Theory of Collaboration," collaborators "can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible."

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

Collaboration is important from two perspectives in correctional agencies/ organizations: internal and external. Too often correctional agencies/ organizations have viewed collaboration as solely externally focused but this provides only a partial understanding of what collaboration offers. Being collaboratively competent means understanding how to apply collaborative principles effectively both inside and outside the correctional agency/organization.

Internal Collaboration

Managers and supervisors who take advantage of collaborative opportunities within the correctional agency/organization provide openings for employees to become more actively engaged in their work. When internal collaboration is

> In unity there is strength. Consider the fragile snow-flake that flutters slowly to earth and disintegrates; however, if enough of them stick together they can paralyze an entire city.
>
> —William Rosenberg, founder of Dunkin' Donuts

encouraged, employees become more invested in the success of their organization, and they develop a greater understanding of and commitment to its goals. This benefits both the organization and its employees. All too frequently, managers and supervisors in correctional agencies/organizations become so accustomed to "putting out fires" and operating in crisis mode that they continue to function in that mode even when the situation does not demand it. Unfortunately, this means that many useful opportunities for internal collaboration are overlooked.

External Collaboration

It has long been acknowledged that criminal justice and corrections resemble the parable of the blind men who each touched a different part of an elephant and learned only from their narrow experience what the elephant was like—the tail like a rope, the trunk like a snake, and the leg like a tree. According to former NIC Correctional Program Specialist Eduardo Barajas, Jr., "We tend to view the individual components as independent of the others and serving different, competing purposes. We need to see the overall system." Barajas contends that this kind of thinking about the comprehensive system "lets us see that we are all interconnected, interdependent parts of the whole, working for a common, greater good," and that "no one component of the system is better or worse than the others, but each serves a specific function."

Criminal justice and correctional agencies/organizations can no longer afford to be isolated from one another or from other public service delivery systems. The importance of collaboration stems not only from the rewards of working together toward the common good, as Barajas asserts, but also from its potential usefulness in controlling the increasing costs of expanding correctional systems.

Collaboration is most useful when applied both internally and externally to the correctional agency/organization. The next section focuses on how managers and supervisors can effect a collaborative atmosphere in carrying out their day-to-day responsibilities.

The Four Collaborative Opportunities

Collaboration is not a discipline or practice unto itself; it has meaning only when rooted in a specific interaction. Managers and supervisors in correctional agencies/organizations have many occasions to act collaboratively. These occasions can be categorized into four collaborative opportunities. They may exist in the internal environment (within an organization) in informal or interpersonal opportunities for one-to-one or group interaction; in structured settings such as work teams that include employees, managers, and supervisors working as a unit or between teams; or on an organizationwide, division, or office level (for example, the divisions of a state correctional agency or the branch offices of a

city probation agency). They may also exist in the external environment (outside the organization) in interactions with stakeholders, community partners, other governmental agencies, and nongovernmental groups, such as the media, local businesses, and vendors (see exhibit 9–1).

Exhibit 9–1. The Four Collaborative Opportunities

Interpersonal Opportunities

External Opportunities

COLLABORATION

Work Team Opportunities

Organizational Opportunities
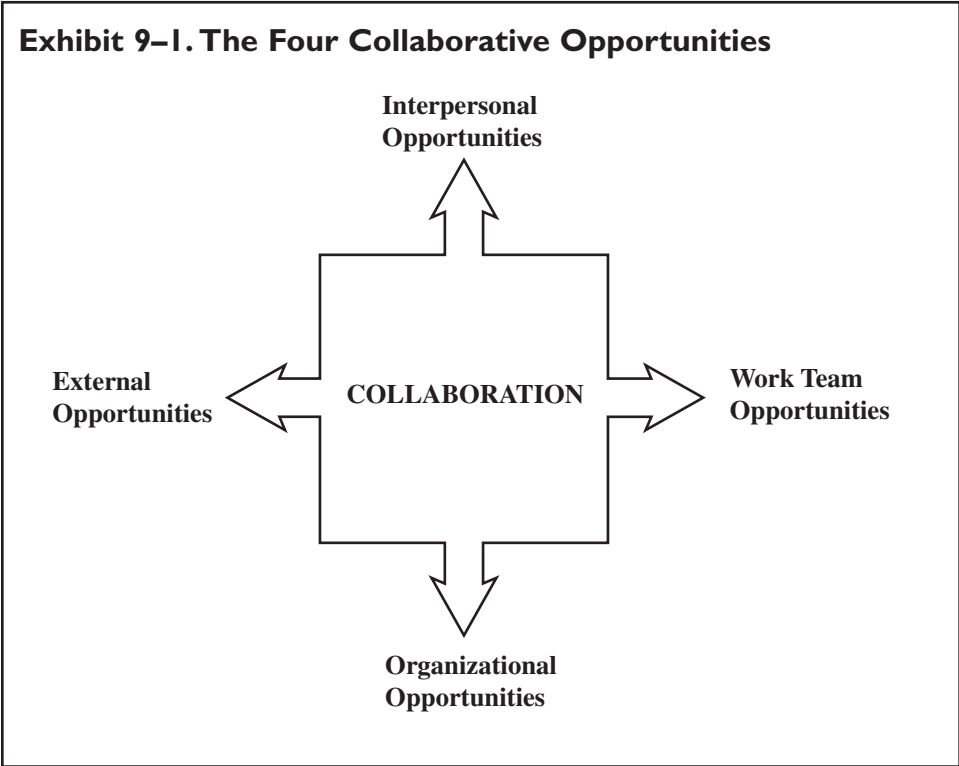
Informal or Interpersonal Opportunities

Informal and interpersonal opportunities, usually between two individuals or through informal group discussion, are the simplest and most common form of collaboration. Activities tend to be unstructured and casual. Managers and supervisors do much of the work of collaboration at the interpersonal level.

Interpersonal collaboration has three elements: social skills, communication, and diversity. Managers who appreciate the importance of these concepts can increase their understanding of how people behave in relationships and their managerial style will promote more collaboration within the organization.

Three Elements of Interpersonal Collaboration

• Social skills.
• Communication.
• Diversity.

Social Skills

In *Working With Emotional Intelligence* (1998), Daniel Goleman points out that managers with emotional intelligence—that is, the ability to monitor their own emotions and those of others, to differentiate emotions, and to use that knowledge of emotions to guide their thoughts and behavior—are vastly more effective on the job than those who ignore people's emotional states.

Effective managers and supervisors need to be able to relate well to others, build positive relationships, control their egos, and manage conflict. Empathy enables a manager to make intelligent decisions that make sense to people even when they disagree with those decisions.

Relate well to others. A key aspect of collaboration is the ability to relate to others. Are you comfortable talking with others? Are others at ease when interacting with you?

Build relationships. Managers and supervisors must be able to create and sustain relationships. Building relationships goes beyond merely relating with people; it establishes a long-term basis for trust and mutual influence. Managers with strong social skills tend to have a wide circle of acquaintances and friends and are able to differentiate between various types of relationships. They are adept at managing teams and influencing others, manifesting the qualities of self-awareness, self-control, and empathy.

Control one's ego. One of the biggest challenges to building positive relationships is controlling both one's ego and one's temper. Managers and supervisors who do not realize how their behavior affects other people, lose control of their emotional impulses or outbursts, and lack empathy have little chance of developing effective relationships.

Manage conflict. To promote successful collaboration, a manager must objectively hear all sides of an issue and separate the issue from the person who raises it. Managers and supervisors should quickly address conflict before it derails a collaborative relationship (see chapter 7, "Managing Conflict," for a discussion of techniques for addressing conflicts within organizations).

Communication

Open communication that allows the free exchange of ideas creates the foundation for effective collaboration. People feel respected and valued when they can speak and are heard. Within this atmosphere, trust can be established and maintained. Managers and supervisors improve their communication when they listen, speak purposefully, understand nonverbal cues, and appreciate silence. (For a more indepth discussion of communication, particularly at the supervisor level, see chapter 4, "Oral and Written Communication." See also the discussion of communication within teams in chapter 8, "Team Building.")

Listen. The most important concept in listening effectively is suspending judgment until one fully understands what the other person is saying. This may take special concentration and frequent clarifying questions to reach an accurate understanding.

Speak purposefully. Managers and supervisors should take time to organize their thoughts before speaking. After they have spoken, they should follow up with their listeners to ensure they were understood.

Understand nonverbal cues. Managers and supervisors should pay attention to their tone of voice and body language as they speak and as they listen. They should match their body language to the message they wish to convey. And they should look for any nonverbal messages from other people and ask for clarification if the body language appears inconsistent with the verbal message.

Use silence. Too often people are uncomfortable with silence. Managers and supervisors often think they need to be speaking or listening to be communicating. However, silence is a necessary step in effective communication. It allows for a period of reflection and thoughtful analysis.

Diversity

The third element of interpersonal collaboration is acknowledging and valuing diversity. Diversity not only involves differences in ethnicity, religion, and gender, but also includes personality traits and differences in thought, education, and socioeconomic background. Together, these factors contribute to the unique orientation or approach that each individual brings to collaboration. Managers and supervisors who understand diversity can identify, value, and use these differences among individuals in the collaborative process.

Identify differences. Managers and supervisors should acknowledge that each person is a distinct individual and recognize that insight can come from others who have had different experiences. They should elicit specific information about where they and another person may have differences that can either benefit or challenge effective collaboration.

Value differences. Appreciating the differences between individuals enables managers and supervisors to collaborate with others more effectively. Where little to no appreciation of differences exists, collaboration rarely occurs.

Use differences. Take time to consider diverse inputs. Be enthusiastic about incorporating diverse comments and perspectives.

Work Team Opportunities

Work team opportunities are activities within the organization that involve employees, managers, and supervisors working together as a unit on a specific

or an ongoing project. This kind of collaboration is usually quite structured. For example, project teams usually have a beginning and an ending date. For natural (ongoing) work teams, accomplishments relating to established goals are reviewed periodically. Managers and supervisors often collaborate with the senior-level leaders who organize and oversee their teams to accomplish particular goals, as well as collaborating with one another and with frontline staff at the work team level.

Six elements help managers and supervisors understand how team members behave collaboratively in a unit. When managers and supervisors value and appreciate the importance of these six elements, their actions become more collaborative. These concepts, which are discussed below, and other elements relating to work teams in general, are also discussed in greater detail in chapter 8, "Team Building."

Six Elements of a Collaborative Work Team

- Clarity of purpose and goals.
- Performance measurement.
- Team leadership.
- Decisionmaking processes.
- Team membership.
- Defined roles.

Clarity of Purpose and Goals

Successful teams have a clear purpose statement and set of goals. The purpose provides the overall direction for the team, and goals and objectives give specific, measurable direction. A team's purpose should be consistent with the values, beliefs, vision, and mission of the organization. Refer to chapter 8, "Team Building," for procedures for creating a purpose statement and establishing goals. Once a purpose statement has been developed and goals and objectives have been set, performance measurements (both process and outcome measurements) can be created, enabling team leaders and members to assess their own performance.

Performance Measurement

Team leaders are responsible for developing performance measures and holding team members accountable for achieving the team's purpose and goals. In most circumstances, leaders should ask team members to help establish performance measures, which include both process and outcome measures. By developing and implementing monitoring strategies and measuring outcomes, a team provides the documentation that ensures accountability and creates credibility.

Process measures. Process measures monitor the tasks that produce a given result. Process measurement focuses on two main evaluation areas:

- Team members' perceptions of *internal* team processes, such as the consistent use of meeting agendas, addressing topics in a predictable manner, and reasonable participation by all members.

- Team members' perceptions of *external* services, such as the number and/or types of clients being served or number of training hours provided.

Outcome measures. An outcome is the expected result of the team's goals and objectives: Did the team accomplish what it was supposed to accomplish?

Outcome success is determined by measuring results. From the beginning, it is important to focus on team goals and objectives and constantly work toward them. Teams should decide early on how they will measure success so they can make course corrections along the way. If measurement procedures are not developed or understood until the end of the process, the team will lose the opportunity to change direction or improve its practices during implementation. (For further explanation of performance measures, see chapter 13, "Program Planning and Performance Assessment.")

Team Leadership

Team leaders play a dual role. They have responsibilities to the correctional agency/organization (external) as well as to the teams they oversee (internal). A team leader has an overarching responsibility to be sure that the team's purpose is clearly established and understood both internally, among team members, and externally, among other critical stakeholders who operate outside the team but have a relationship to the team. The following paragraphs will address the internal role, while the discussion of organizational collaboration later in this chapter will explain the external role.

A team leader has the ultimate accountability for the team's purpose and performance. A truly skillful leader knows when to assert authority and be directive, and when to more fully delegate decisionmaking authority to the team members. Using discretion is especially important in a collaborative setting. (For more information on the different leadership styles and the application of these styles in decisionmaking, see chapter 8, "Team Building," and exhibit 8–3 and exhibit 8–5.)

Effective team leaders develop both position and personal powers. The team leader needs to understand the difference between position power, derived from a manager's or supervisor's job title, and personal power, derived from goodwill and expertise. (For more discussion of the differences between position power and personal power, see chapter 7, "Power and Influence," in *Correctional*

Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders.) Developing both kinds of power, but especially personal power, is important in creating an environment where people feel free to collaborate.

Collaboration is just one style of team leadership, but it is often the most appropriate style for accomplishing a given task. During a collaborative team effort, all members (including the team leader) should have an equal voice in discussions and decisionmaking. In these situations, the consensus model of decisionmaking is appropriate.

Decisionmaking Processes

Team leaders are ultimately responsible for choosing the decisionmaking process used by the team and making that choice clear to the other team members. The leader needs to understand the nature of the task to determine if a collaborative process is the best choice.

> **Collaborative decisionmaking is most effective when—**
> - Buy-in is important.
> - The issue is critical.
> - Sufficient time is available.

Collaborative decisionmaking is most effective when the need for buy-in is high, the issue is of great importance, and sufficient time is available to go through the collaborative process. Collaboration should occur in a climate of collective responsibility and authority.

In a collaborative process, the whole team is involved and committed to the process and solution. The ultimate decisionmaker is not the team leader, but all the team members together. The team leader shares the problem with the team members, and together they reach a consensus. This takes time but usually leads to higher levels of commitment.

Team Membership

Each team member has a unique set of technical knowledge and interpersonal skills that adds richness and contributes to the team's overall success. Five aspects of team membership are important to consider: team size, commitment, complementary skills, philosophy of working approach, and mutual accountability.

Team size. Ideally, an effectively functioning team has 9 to 11 members (including a team leader). When a team grows to 20 or more people, the

collaborative process is difficult to maintain. Divide the group into smaller teams of 5 to 10 persons to improve communication and get the job done.

Commitment. Team members should be chosen for their individual and collective commitment to the team's purpose and goals (the reason the team was created).

Complementary skills. Team members should be selected for how their individual knowledge, skills, diverse background, and talents complement those of other members and relate to the team's purpose and goals. In addition to these skills, interpersonal competencies—conflict management, and listening and verbal skills—are worth considering when a team is formed.

Philosophy of working approach. Effective team membership requires individuals to believe in a team approach. Although members may be committed to the goals of the team, they may not accept teamwork as a reasonable method for reaching those goals.

Mutual accountability. All team members share mutual accountability for the progress and success of the team's work and for any problems that may arise.

Defined Roles

Working well together is a fundamental component of a successful team. If a team is to function well, establishing a climate of member collaboration is key. For team members to feel good about and take part in collaboration, team leaders and members need to have clearly defined roles and responsibilities.

Although some of the roles and responsibilities of team leaders and team members have been previously addressed (see above, "Team Leadership" and "Team Membership"), establishing a healthy and productive collaborative climate requires some team members to assume additional roles. This includes team leaders who sometimes perform dual roles—leading the team and facilitating its processes. The major team roles—sponsor, team leader, team member, facilitator, and recorder—are described briefly below.

Sponsor. The sponsor is a member of the executive or senior-level team (or other executive or senior-level leader) who provides the team with its purpose, and direction and clarification as needed.

Team leader. A team leader is a member of the team who will help the team focus on its tasks and achieve its purpose; the team leader is the link back to management.

Team member. Team members share equal responsibility for team performance and balancing participation among all of the team's members.

Facilitator. A facilitator takes responsibility for managing team meetings. The facilitator also oversees the interpersonal team dynamics, making sure that a collaborative climate is maintained.

Ideally, a team should appoint a facilitator whose knowledge and skills are conducive to that role. If a team leader takes on the additional role of facilitator, he or she must pay attention to tasks and accomplishments while monitoring group processes. Performing both roles well is difficult. Delegating the task to another team member creates an opportunity for leadership talents to emerge and contributes to the overall team spirit.

Recorder. Someone on the team must assume the role of recorder. A recorder is responsible for taking minutes, timekeeping, and creating, distributing, and organizing all of the team's records. The recorder plays an important role on the team. The recorder must have good writing skills and be detail oriented. The job of recorder can be rotated through the team.

Organizational Opportunities

Organizational or internal opportunities are activities inside the correctional agency/organization that involve managers, supervisors, and employees working together to achieve the mission and goals of the organization. These activities could occur in a state correctional agency with multiple sites and institutions or in an individual office such as the branch office of a city probation agency.

As an organizational strategy, collaboration not only supports the organization's goals, but also creates commitment and improves performance among members of the organization. Leaders play an integral part in setting a collaborative tone for the entire organization. They must understand that a collaborative environment encourages open communication between levels and between functions within an organization.

Once they understand the collaborative environment, managers and supervisors can implement the three other necessary elements to create a collaborative organization: collaborative leadership, trust, and cooperation across teams.

> Each individual, each team, each unit has to know the results it is achieving in order to fulfill its contract with the larger institution.
>
> —Peter Block, *Stewardship*

Three Elements of a Collaborative Organization

- Collaborative leadership.
- Trust.
- Cooperation across teams.

Collaborative Leadership

Collaborative leaders set a tone that helps all teams align with a common organizational purpose. Establishing and maintaining a collaborative relationship

with other teams within the organization is critical. With this in mind, a manager or supervisor who wishes to form collaborative relationships with other teams should do the following:

- Encourage loyalty to the whole organization, not just to the individual team.

- Not become too self-involved and refuse to work with other teams.

- As required by the team's task, create interteam processes that promote interaction with other teams.

- Be aware of opportunities for sharing power and responsibility with other teams.

- Include a high degree of participative decisionmaking.

Trust

Team leaders establish trust by demonstrating and communicating respect for other team leaders and members and the work they do. When team leaders show respect, other team leaders will reciprocate that respect. This causes a ripple effect throughout the organization, creating unity and a desire to collaborate. According to Dennis and Michelle Reina in *Trust and Betrayal in the Workplace,* relationships between team leaders and members from different units can be described using three types of trust: contractual trust, communications trust, and competence trust.

- *Contractual trust:* Team leaders model trust. They expect other team leaders to mutually manage expectations, establish boundaries, delegate appropriately, encourage mutual support, honor agreements, and be consistent.

- *Communications trust:* The team leader sets the tone initially by establishing trust through disclosure. Indicators of good communications trust include sharing information, telling the truth, admitting mistakes, giving and receiving constructive feedback, maintaining confidentiality, speaking purposefully, and relating one's comments to the task at hand.

- *Competence trust:* When team leaders respect the skills, knowledge, and abilities of other team leaders, they demonstrate willingness and motivation to trust the capabilities of others and themselves. Building competence trust includes—in addition to respecting people's knowledge, skills, and abilities— respecting people's judgment, involving others and seeking their input, and helping people learn skills.

A team leader can establish these frameworks of trust, but other team leaders must reciprocate this trust. These relationships of trust can promote a collaborative atmosphere throughout the organization.

Cooperation Across Teams

Collaboration, especially for members of a temporary team or task force, often requires working with other teams. Managers and supervisors who act as team leaders must learn to balance their roles when assigned to both temporary and ongoing teams. They need to be loyal to the whole organization, not just to their own teams, especially when they are assigned to a cross-functional team or task force in addition to their ongoing team. Team leaders need to understand their role within a temporary team and how that team relates to the organization's purpose.

Task forces should not distance themselves from more permanent units. Instead, task force members should seek to cooperate and to balance their roles in all the teams with which they need to interact. Maintaining the integrity of one's team memberships encourages mutually beneficial relationships and sets a collaborative tone throughout the organization.

External Opportunities

External opportunities for collaboration include activities outside the correctional organization that involve stakeholders, community partners such as victim advocacy groups and mental/medical healthcare providers, other criminal justice and government agencies, and nongovernmental groups such as the media, local businesses, and vendors. Creating collaborative alliances is important because many problems cannot be solved by one organization acting alone. Only through an alliance that involves multiple agencies and/or units sharing resources and skills can complex problems be solved.

The four concepts described below help us understand elements needed for successful collaborative alliances: a shared need for the alliance, alliance membership, collaborative leadership, and support from top leaders.

> For people to treat each other as teammates, they have to believe it is in their best interest to cooperate; they must be more concerned with how the system as a whole operates than with optimizing their own little piece.
>
> —Brian Joiner, Author, *Fourth Generation Management*

Four Elements of a Collaborative Alliance

- Shared need for the alliance.
- Alliance membership.
- Collaborative versus position-based leadership.
- Support from top leaders.

Shared Need for the Alliance

Both at the beginning of the alliance and as the work progresses, members' understanding of the alliance's overall purpose and how each member contributes to achieving this purpose is critical. Frequently asking alliance members to reassess and clarify their part in the alliance can strengthen the collaborative initiative.

Each partner in the alliance must be committed to the goals of the alliance and to collaboration as a means of achieving these goals. A casual attitude about collaborative action can lead to mediocre results. When participating organizations have a clear vision of the alliance, are committed to its purpose, and act with decisiveness, then the alliance can achieve high-quality results.

Alliance Membership

Strong alliance members are characterized by the following:

- Decisionmaking authority.

- Knowledge of the issues.

- Concern about the problem.

- Sustainable participation.

The members of an alliance strongly affect its success. Therefore, alliance members should be chosen because of what they bring to the alliance and how they will contribute to its success. This is true whether the members are correctional agency/organization representatives, representatives of other criminal justice and related agencies, or members of citizen groups. For example, a few years ago when correctional agencies/organizations were starting to address victims' interests and concerns, community activists were included in the discussions because of their involvement in and passion for the topic. Often, the inclusion of such passionate people was challenging because time was not taken to develop their understanding of the criminal justice system. Those who are passionate about an issue need to be willing to learn how the bigger system works, and correctional agencies/organizations need to be willing to assist them.

Agency representatives should be selected based on their organizational authority or their ability to access it, knowledge of or expertise on the issue, and interest in the problem. Alliance members represent their agencies/organizations more effectively when they have the authority to make important decisions, know the background of the issue, and care about the problem at hand.

Another consideration in choosing stakeholders is their willingness to stick with the alliance. Coming to the first couple of meetings is easy, but fully participating throughout the life of the alliance is hard. Stakeholders need to be able to build and sustain ownership and commitment within the alliance and with their home agency.

Collaborative Versus Position-Based Leadership

A prominent leadership consultant, John P. Kotter, in his 1990 book *A Force for Change,* states that leadership is effective "when it moves people to a place in

Despite growing recognition of the need to collaborate to solve public policy problems, there is a substantial gap between intention and results. In most places, leaders and citizens simply do not know how to collaborate.

—David Chrislip and Carl Larson, *Collaborative Leadership*

which both they and those who depend on them are better off." This positive movement usually occurs through a collaborative leadership style instead of a position-based one. (For more discussion of the differences between position power and personal power, see chapter 7, "Power and Influence," in *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders.*)

A position-based leadership approach emphasizes setting goals, plans, and strategies without necessarily including others in the process. Collaborative leadership promotes crossing boundaries, values diverse perspectives, and shares vision and goal setting. In essence, it encourages results-driven participation that includes everyone in the alliance and earns the commitment of all. Collaborative leadership inspires action, builds broad-based involvement, and fosters joint problem solving.

Support From Top Leaders

The sponsoring agencies/organizations need to make the alliance a priority. If the head of the correctional agency/organization is not directly involved in the collaborative initiative, he or she needs to show strong support in other ways. For example, he or she can delegate to his or her representative the appropriate decisionmaking authority. The point is always to convey that the alliance is valued and important. Support from top leaders brings credibility to the alliance. If agency/organization leaders do not pay attention to or encourage the alliance, the collaborative effort will be far less likely to succeed.

Summary

Collaboration is a reciprocally beneficial association between two or more participants who work toward shared goals. As noted by Donna Wood and Barbara Gray, through collaboration the participants "can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible."

Collaboration is important from two perspectives in correctional agencies/ organizations: internal and external. Too often correctional agencies/ organizations have considered collaboration to be only externally focused. This is a partial understanding of what collaboration offers. Being collaboratively competent means understanding how to apply collaborative principles effectively both inside and outside the organization.

Collaboration works well when a leader and/or an organization understands the benefits of collaboration and is willing to use collaborative strategies when opportunities present themselves. Four common types of collaborative opportunities exist: informal or interpersonal, work team, organizational, and external.

When collaboration is encouraged within an organization, value is placed on building sound employee relationships. Managers and supervisors have the responsibility for encouraging these relationships as they build strong teams. Managers and supervisors need to promote open communication among all levels and functions in the organization. This also must be true as external alliances are created and maintained. Overall, collaboration helps employees become more invested in the success of their organization and to better understand and accept organizational goals.

Key Skills and Behaviors

Skill: The ability to do something well arising from talent, training, or practice; expertness; special competence in performance.

Behavior: The manner of conducting oneself; observable activity.

Interpersonal Collaboration

Skill: Relating to others in an open, accepting manner; showing sincere interest in others and their concerns.

Behavior: Evaluate one's behavior and how others respond to it.

Skill: Bringing conflicts into the open and attempting to resolve them collaboratively.

Behavior: Manage disagreements and build consensus.

Skill: Demonstrating attention to and conveying understanding of comments.

Behavior: Actively listen to others.

Skill: Speaking clearly and expressing one's self well in one-to-one and group situations.

Behavior: Speak clearly and purposefully, and follow up to ensure understanding.

Skill: Demonstrating respect for people of different backgrounds.

Behavior: Treat people of all backgrounds in ways that they perceive as fair.

Work Team Collaboration

Skill: Building effective teams committed to organizational goals.

Behavior: Help team members understand how their team's purpose fits into the goals of the organization.

Skill: Recognizing when to assert and share authority with one's team members.

Behaviors:

■ Develop and use both position and personal power.

■ Use the appropriate decisionmaking process for the situation.

Skill: Demonstrating an ability to develop team performance measures.

Behavior: Gather input from team members and others to develop performance measures and monitoring strategies.

Organizational Collaboration

Skill: Fostering collaboration among teams.

Behaviors:

■ Create interteam processes.

■ Build participative decisionmaking processes.

■ Collaborate with others inside the organization to achieve objectives.

Skill: Understanding the importance of establishing and maintaining mutual respect and trust between individuals.

Behavior: Demonstrate trust and belief in the integrity of others by consulting them, including them in decisionmaking, and recognizing their contributions.

External Collaboration

Skill: Collaborating with others outside the organization to achieve alliance goals.

Behavior: Use alliance members to jointly solve problems.

Skill: Challenging the status quo and championing new initiatives.

Behaviors:

■ Pursue initiatives from an alliance perspective.

■ Set performance measurements that reflect alliance goals.

Skill: Understanding the importance of top leadership support.

Behaviors:

■ Solicit top leaders for their input.

■ Keep top leaders informed.

Appendix 9–1. Focus Matrix for Managers and Supervisors: Collaboration

	Manager	Supervisor
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/ organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/ constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Four Opportunities for Collaboration		
Informal or Interpersonal Opportunities	• Continues to develop expertise in social skills, communication, and diversity and model these behaviors for his or her direct reports. • The manager's behavior sends a strong message as to what interpersonal skills the organization values. Builds and maintains strong relationships with others. Skills include learning to control one's ego and manage conflict.	• Develops expertise in social skills, communication, and diversity and models these behaviors for his or her direct reports. • Builds and maintains strong relationships with others. Skills include learning to control one's ego and manage conflict.

Appendix 9–1. Focus Matrix for Managers and Supervisors: Collaboration (continued)		
	Manager	**Supervisor**
Four Opportunities for Collaboration (continued)		
Work Team Opportunities	• Adeptly develops and manages multiple teams through frequent practice of sound team-building principles. • Understands the difference between an authoritative and collaborative approach and when to use each in leading a team.	• Adeptly develops and manages a team through the frequent practice of sound team-building principles. • Understands the difference between an authoritative and collaborative approach and when to use each in leading a team.
Organizational Opportunities	• Helps accomplish the team's purpose while striving to accomplish the overall goal(s) of the correctional agency/organization. Needs to support individual direct reports and teams to accomplish this. • Keeps the "big picture" in mind when working with individual direct reports and teams. Supports positive relationships between teams to reduce territoriality.	• Helps accomplish the team's purpose while striving to accomplish the overall goal(s) of the correctional agency/ organization. • Keeps the "big picture" in mind when working with individual direct reports, the whole team, and in interteam processes.
External Opportunities	• May be selected as a representative for the correctional agency/organization. Knows what is expected as a representative and transmits information back to the appropriate stakeholders in the organization.	• May be selected as a representative for the correctional agency/organization. Knows what is expected as a representative and transmits information back to the appropriate stakeholders in the organization.

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Problem Solving and Decisionmaking

Barbara Lucey
Teddi Edington

This chapter addresses problem solving and decisionmaking in correctional agencies/organizations from the perspective of managers and supervisors. After discussing the importance of problem solving and decisionmaking, the chapter presents a seven-step approach to problem solving along with a case study that applies each of the seven steps to a problem of customer/constituent dissatisfaction in a particular correctional facility. The chapter then addresses techniques for creative and proactive problem solving. It follows that discussion with techniques for intuitive decisionmaking in situations where limited time or information prevents managers and supervisors from using a more structured decisionmaking approach. The chapter then outlines key skills and behaviors related to problem solving and decisionmaking. Finally, appendix 10–1 presents a matrix that relates those key skills and behaviors to the responsibilities of correctional managers and supervisors.

Chapter 10

Definitions

Problem Solving: A process for eliminating or reducing the causes or potential causes of performance deficiencies that interfere with the productive functioning of an organization.

Decisionmaking: The process of selecting between alternative courses of action. Decisions are the logical outcome of problem solving.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

Solving problems and making decisions are a natural part of the work environment. Changes in materials, methods, tools, equipment, people, and policies are occurring constantly. Managers' and supervisors' responses to problems and the effectiveness of their decisions have a crucial impact on the people who work for them and the organizations they manage. Using problem-solving and decisionmaking skills improves both the quality of decisions and the degree to which others support them.

> Within each problem lies a disguised opportunity . . . but it is the art of unmasking the disguise that distinguishes between the two.
>
> —Anonymous

The Problem-Solving and Decisionmaking Process:
The Seven Steps of Problem Solving

Managers and supervisors solve problems and make decisions every day. However, they often approach those problems and decisions randomly. As a result, the same problems continually recur, wasting precious energy and resources. Using a proven approach brings together people's knowledge, analytical skills, and creative talents to develop innovative solutions to problems.

Exhibit 10–1 presents a seven-step problem-solving process that provides one effective approach to dealing with problems. It begins with developing an understanding of the cause-and-effect relationships between the root or underlying causes of the problem and the undesirable results, also known as "finding the problem." This involves defining the problem and analyzing the potential causes (steps one and two).

Decisionmaking in this approach requires looking at alternative solutions and selecting the best one for implementation (steps three and four).

The last series of steps deals with taking action to implement and evaluate the solution. Effective and lasting solutions become reality when an action plan is developed and a solution based on that action plan is implemented (steps five and six). Finally, the implemented solution is evaluated to determine if the problem was actually solved (step seven). This last step provides an opportunity to capture lessons learned so that better solutions can be created in the future.

Exhibit 10–1. The Seven Steps of Problem Solving

1. Define the problem	2. Analyze potential causes	3. Identify alternative solutions	4. Select the best solution	5. Develop an action plan	6. Implement the solution	7. Evaluate progress
Finding the problem		Decisionmaking		Taking action		

Source: Adapted from Richard Y. Chang and P. Keith Kelly, *Step-by-Step Problem Solving,* Lake Forest, CA: Richard Chang Associates, Inc. (www.richardchangassociates.com), 1993. Used by permission. All rights reserved.

This seven-step approach presents a framework that is particularly effective for problems that can be clearly defined and for recurring problems that have a significant impact on staff, operations, or inmates and other customers/constituents. Understanding the basic problem-solving process is important; however, this

and other models can be adapted to particular situations. For example, some of the steps may overlap, or each step may not need to be followed in depth or may be adapted to deal with time or resource constraints. More complex problems require looking at the problem from a larger or systemic perspective to identify cause-and-effect relationships.

Define the Problem

Why?

- Focuses energy in the same direction.

- Ensures common understanding of the problem.

How?

- Identify the symptoms of the problem and write a brief one-sentence description.

- Write a one-sentence description of the goal that solving the problem will achieve or how the situation will look different when the problem is solved.

- Answer the "so what" question. Why is the problem worth solving? What would happen if it weren't solved?

Tips:

- Limit the initial problem scope; take time and resource constraints into account.

- Don't combine problems; write separate problem statements for each problem.

- Tackle problems that are under the control of the manager, supervisor, or team.

- Avoid including an implied cause or solution in the problem statement.

"County Detention Facility Case Study: Customer/Constituent Satisfaction Survey" (sidebar on page 204) presents a series of actions for identifying a problem in a correctional environment. This and the other steps in the case study present a hypothetical that shows how the seven-step approach may be applied to a specific problem in a correctional facility.

> A problem well defined is a problem half-solved.
>
> —John Dewey, American Philosopher and Educator

County Detention Facility Case Study:
Customer/Constituent Satisfaction Survey

Each quarter the County Detention Facility (CDF) conducts a customer/constituent satisfaction survey to assess how well it serves the public. The latest customer satisfaction rating had dropped from 80 to 72 out of a possible 100 points. Senior-level management sponsored a cross-functional team to look more closely at the problem and recommend possible solutions and a course of action.

After much discussion, the team agreed that the problem was definitely worth solving because the drop in the customer satisfaction ratings indicated that the facility was not serving the public as well as it might. High-quality customer/constituent service was one of the most important values of the facility. The CDF team wrote the following problem definition.

> **Problem Definition**
>
> *Problem Statement:*
>
> The customer satisfaction survey rating dropped from 80 percent in the first quarter to 72 percent in the fourth quarter of this year.
>
> *Problem Goal:*
>
> The customer satisfaction survey rating will meet or exceed 80 percent by the third quarter of next year.

At this point, the only symptom of the problem was the decrease in the survey ratings. Although some team members had ideas about the causes of the problem, further investigation would be needed to better understand why the ratings dropped.

The problem statement should not imply a cause of or solution to the problem. The goal statement reflects what the desired end result would look like and how it would be measured.

Eighty percent of the effect/problem can be attributed to 20 percent of the cause.

—The Pareto Principle, Vilfredo Pareto, 19th Century Italian Economist

Analyze Potential Causes

Why?

■ Ensures that root causes as opposed to symptoms of the problem are dealt with.

How?

■ List potential causes of the problem.

■ Consider categories of possible causes such as materials, methods, tools, people, systems, skills, and environment.

■ Narrow the list down to the most likely causes.

- Gather information to better understand the most likely causes of the problem.

- Identify the true root cause(s) of the problem.

Tips:

- Determine whether the problem is within the manager's or supervisor's sphere of influence or if it is a systemic problem that senior leadership must resolve.

- Get input from critical decisionmakers and those people closest to the problem.

- Be open to information that may contradict original assumptions.

"County Detention Facility Case Study: Analyzing Causes of Visitor Dissatisfaction" (sidebar on page 206) presents an example of the use of the Pareto Principle and a Pareto chart (exhibit 10–2) to analyze potential causes of customer/constituent dissatisfaction in a correctional facility and to prioritize and identify the most likely underlying causes.

Identify Alternative Solutions
Why?

- Encourages creative and unexpected approaches to the problem.

- Guards against settling on a predetermined solution.

How?

- Generate a broad list of potential solutions.

- Compare the problem to similar problems solved before.

- Narrow the list to a manageable number of solutions.

Tips:

- Save all criticism until after a list of alternative solutions is generated. Discourage premature discussion that can dampen creative energy and stifle participation.

"County Detention Facility Case Study: Identifying Potential Solutions to Causes of Visitor Dissatisfaction" (sidebar on page 208) presents an example of brainstorming to identify a number of potential solutions to the problem of visitor dissatisfaction in a correctional facility and then, by voting among the team members, narrowing the possible solutions to the two or three most likely to succeed.

> There are few things as useless—if not as dangerous—as the right answer to the wrong question.
>
> —Peter F. Drucker, Father of Modern Management

County Detention Facility Case Study: Analyzing Causes of Visitor Dissatisfaction

The County Detention Facility team analyzed the customer surveys and determined that the customer/constituent group with the highest levels of dissatisfaction was visitors to the detention facility. The team then brainstormed possible causes of visitor dissatisfaction and decided on the following:

- Visits are denied.
- Visitors have long waits for visits.
- Visitors perceive staff as rude and/or unprofessional.
- Visits are too short.
- Visitors are unable to give items (food, magazines, toiletries) to detainees.
- Visiting area lacks privacy.
- Number of visits and types of visitors are restricted.
- Waiting area is crowded and uncomfortable.

The CDF team conducted a number of interviews with visitors and staff to understand the causes of the problem better. The interviews revealed that the four major causes of dissatisfaction were long waits, denials of visitation, restrictions on items for detainees, and the perception of staff as rude and unprofessional.

The team used a Pareto chart (exhibit 10–2) to prioritize the potential causes. Team members understood the Pareto Principle—that the greatest impact on solving the problem could be achieved by focusing attention and resources on the most relevant cause(s). The bars represent the causes and the height of the bars represents what percentage of the time that cause was considered critical to the problem.

Exhibit 10–2. Pareto Chart of Causes of Visitor Dissatisfaction

Causes of Visitor Dissatisfaction
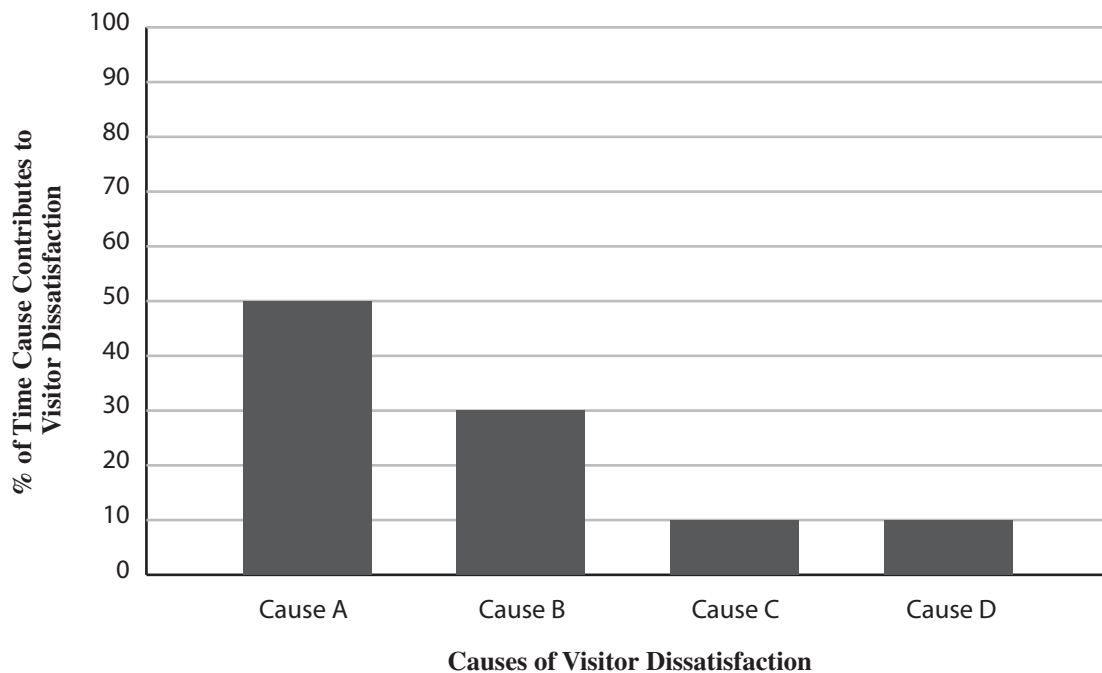
Cause A—Long waits.
Cause B—Denial of visits.
Cause C—Restrictions on items brought for detainees.
Cause D—Perception of staff as rude or unprofessional.

County Detention Facility Case Study: Analyzing Causes of Visitor Dissatisfaction (continued)

Because customer feedback revealed that long waits for visits represented 50 percent of the problem, the team's next task was to determine the underlying or root cause of the long visitor waits. The team came up with the following list of possible causes:

- No visits during shift change.

- Each visiting group for five detainees lasts 30–45 minutes.

- Bare, uncomfortable, crowded waiting room exacerbates problem.

- Visitors come too early and must wait a long time before visiting hours begin.

- Current visiting process results in a backlog of several visiting groups.

- Visitors receive inaccurate information regarding visitation rules/hours from probation staff and attorneys.

- Increase in detention population has resulted in more visitors.

After discussing the potential causes, the team felt confident that the major causes could be attributed to the current visiting process, which resulted in a backlog of people waiting for visits and inaccurate information regarding visiting hours/rules. The team was now ready to identify solutions.

Select the Best Solution
Why?

- Provides an objective way to select a solution based on agreed-on and clearly understood decision criteria. Taking this step will help explain the rationale for making a decision.

How?

- Develop criteria that the solution must meet to achieve the desired result. Define the criteria to ensure that all team members share a common understanding of those criteria. Common decision criteria include:

  - Cost.

  - Time.

  - Ease of implementation.

  - Probability of success.

  - Degree of resistance or acceptance.

  - Degree of risk.

- Use a matrix to rate each solution against the criteria.

- Select the solution most likely to achieve the goal.

Tips:

- Use common sense, judgment, and intuition when selecting among alternatives that are closely rated. Decisionmaking is often as much art as science.

County Detention Facility Case Study: Identifying Potential Solutions to Causes of Visitor Dissatisfaction

The County Detention Facility team brainstormed and generated the following list of potential solutions to reduce the wait time for visitors:

- Add additional visiting hours/days.
- Make visits shorter.
- Allow more visits in each visiting group.
- Prominently post visiting rules/hours.
- Provide probation staff and detainees' attorneys with accurate visiting information and convey to them the importance of providing detainees' families with correct information.
- Make the waiting area more comfortable so waiting is less onerous.
- Reduce the number of visits detainees are allowed.
- Split detainees' visiting days by last name (A–L and M–Z visit on alternate days).
- Give visitors an estimate of how long the wait will be when they sign in for a visit.
- Allow visitors to sign in early and return in time for a later visiting session.
- Restrict who can visit and reduce the number of visitors per visit.

Each team member was then asked to vote for the two best solutions. Voting narrowed the list to three potential solutions:

- Allow more visits in each visiting group.
- Split detainees' visiting days by last name (A–L and M–Z visit on alternate days).
- Make the waiting area more comfortable so waiting is less onerous.

Now the team would have to determine which of these three solutions would best increase visitor satisfaction.

■ Understand that no one solution may be adequate to solve a difficult problem. Many partial solutions taken together are often necessary to address complex issues.

"County Detention Facility Case Study: Using Criteria Rating To Select the Best Solution" (sidebar on page 209) presents an example of the use of a criteria rating matrix (exhibit 10–3) to select the best solution, based on a set of agreed-on and weighted criteria, to the problem of long visitor waits in a correctional facility.

County Detention Facility Case Study: Using Criteria Rating To Select the Best Solution

The County Detention Facility team decided to use a criteria rating technique to select the best solution. This approach would provide an objective way for the team to reach consensus by comparing alternative solutions using agreed-on decision criteria. The CDF team agreed that cost, time, and probability of success were the most important criteria to use to evaluate each solution. The team developed a matrix (exhibit 10–3) that showed each decision criterion and gave it a weight to signify its relative importance in making the decision. For example, the team felt that a solution's probability of success was critical and assigned it the highest relative weight—50 percent.

Each proposed solution was then assigned a score of 1 (low) to 5 (high) based on the criteria. For example, for the "Time" criterion, Solution A (assigning visiting days by last name) would require 3 to 4 weeks to implement and so was given a score of 4. Solution B (increasing the number of visits in each group) could be implemented immediately, so it received a score of 5. Solution C (improving the waiting room environment) would require several months to implement, so it was scored a 2.

The initial scores were then multiplied by the weight assigned to each criterion to generate a weighted score. The weighted scores for each solution were then added. The total weighted scores ranged from a high of 3.65 for Solution A to 1.15 for Solution C.

Exhibit 10–3. CDF Criteria Rating Matrix

Decision Criteria	Relative Weight	Solution A: Assign visiting days by last name		Solution B: Increase number of visits in each group		Solution C: Improve waiting room environment	
		Score*	Weighted Score	Score*	Weighted Score	Score*	Weighted Score
Cost	35%	3	1.05	5	1.75	1	0.35
Time	15%	4	0.60	5	0.75	2	0.30
Probability of success	50%	4	2.00	1	0.50	1	0.50
Total Score	**100%**		**3.65**		**3.00**		**1.15**

* Rating scale 1 (low) to 5 (high)

Solution A, assigning visits on alternate days based on the detainees' last name, had the highest score. The team agreed that this solution would best solve the problem given the criteria established. However, Solution B, increasing the number of visits allowed in each visiting group, could be implemented immediately and at no cost. Although it would not be an adequate long-term solution, it was agreed that Solution B would also be implemented as a partial, short-term fix. The team was now ready to develop action and contingency plans for implementing the solutions.

Develop Action and Contingency Plans
Why?

■ Provides a clear roadmap so that employees are better able to implement the solution and solve the problem.

■ Increases commitment to make the solution work.

■ Ensures that potential obstacles are identified and dealt with.

How?

■ Develop an action plan specifying tasks, responsible persons, and scheduled start and finish dates.

■ Develop measures to gauge progress toward the goal (e.g., cost, quality, time, customer satisfaction).

■ Develop a method for monitoring results.

■ Identify potential difficulties that could impact momentum; develop contingency plans to prevent them or minimize their impact.

Tips:

■ Consider those who will be affected.

■ Given the available resources, plan for required resources, training, communication, and information sharing.

"County Detention Facility Case Study: Developing the Action and Contingency Plans" (sidebar on page 211) presents an example of an action plan (exhibit 10–4) for changes in a correctional facility's visitation policies and rules to reduce the problem of long waits for visits and resulting visitor dissatisfaction. It also presents a contingency plan (exhibit 10–5) for reducing or eliminating potential obstacles to the implementation of the new policies and rules.

Implement the Solution
Why?

■ Turns solutions into reality by actually implementing the solutions and solving the problem.

How?

■ Implement the action plan. Gather information and talk to people to ensure tasks, targets, and success measures are being met.

■ Implement contingency plans as necessary to ensure continued progress toward the goal.

County Detention Facility Case Study: Developing the Action and Contingency Plans

The County Detention Facility team developed the following action plan (exhibit 10–4) by first listing and then sequencing all the tasks that had to be completed, when, by whom, and at what cost.

Exhibit 10–4. Action Plan Matrix

	Action	Lead	Begin Date	End Date	Time	Cost
Solution A	Write proposed changes to visiting policy.	Supervisor	Jan. 1	Jan. 7	1 wk	-0-
	Secure management review and approval.	Detention Manager	Jan. 8	Jan. 15	1 wk	-0-
	Hold stakeholder meetings and training.	Supervisor	Jan. 16	Jan. 30	2 wks	-0-
	Print signs and new visiting rules.	Facilities Supervisor	Jan. 16	Jan. 30	2 wks	$500
	Post rules and implement.	Supervisor/ Staff	Jan. 31	——	Ongoing	——
Solution B	Write proposed rule change.	Supervisor	Jan. 1	Jan. 1	1 day	-0-
	Amend post orders.	Supervisor	Jan. 2	Jan. 4	2 days	-0-
	Communicate to staff.	Supervisor	Jan. 2	Jan. 4	2 days	-0-
	Implement.	Supervisor/Staff	Jan. 5	——	Ongoing	——
	Check customer satisfaction ratings.	Detention Manager	Quarterly	——	Ongoing	——

Even with the best action plan, things may and often do go wrong. Along with the action plan, developing a contingency plan by thinking through what obstacles might be encountered and how to deal with them is a good idea. The CDF team developed the Contingency Plan (exhibit 10–5) below.

Exhibit 10–5. Contingency Plan Matrix

	Potential Obstacle	How To Reduce or Eliminate
Solution A	Visitors show up on the wrong day and are angry when they cannot visit.	Have a grace period as the new process is adopted. Give all new visitors a copy of the new visiting rules/times.
Solution B	Increased number of visits in each group results in a breach of security.	Increase size of visiting group incrementally and be alert for any security issues.

Even the best plan will not solve the problem if it is not properly executed. The team's next task was to turn the plans into reality.

Tips:

■ Implementation needs to be planned, managed, and monitored; otherwise the hard work done up to this point will have been in vain. The loss of credibility and the lowered morale and commitment will be devastating, not only for this project but also for future improvement projects, if no action is taken.

"County Detention Facility Case Study: Implementing the Solution" (sidebar on this page) presents an example of steps taken to follow up on the implementation of an action plan and to ensure that the contingencies identified in the contingency plan did not need to be dealt with.

Evaluate Progress
Why?

■ Determines if the problem was solved or if corrective action needs to be taken.

■ Captures lessons learned so that better solutions can be created in the future.

How?

■ Compare actual results with intended results; compare actual measures with target measures.

■ Identify what worked and what did not work; determine if changes are needed.

■ Celebrate successes.

County Detention Facility Case Study: Implementing the Solution

The County Detention Facility team leader, in this case the supervisor, held weekly meetings to ensure that tasks were completed on time and problems were dealt with promptly. Team members gave brief status reports on their action items and kept in close contact with detainee visitors to ensure issues were improving. None of the potential obstacles identified in the contingency plan became a reality, indicating that the team was being proactive in heading off potential roadblocks and was continuing to stay on track.

The CDF team's hard work was still not complete. The team needed to evaluate whether the action taken increased the customer/constituent satisfaction survey results from 72 percent to the goal of 80 percent or higher.

Tips:

- Solving problems is all about learning and often involves trial and error.

- Do not be discouraged if initial solutions do not work out as planned.

- Review critical problems encountered during the project, discuss how things could have been done more effectively, and apply the lessons learned to another solution.

"County Detention Facility Case Study: Evaluating Progress Through Customer/ Constituent Surveys and Critical Incident Review" (sidebar on this page) presents an example of the use of customer satisfaction surveys, a critical incident review, and a debriefing to measure the success of the implementation, identify techniques for preventing a recurrence of the problem, and look for improvements in the problem-solving process.

County Detention Facility Case Study: Evaluating Progress Through Customer/Constituent Surveys and Critical Incident Review

The County Detention Facility team gathered customer data on a quarterly basis to check its progress in solving the problems in prison visitation. The customer/constituent survey results indicated a steady improvement in customer satisfaction. The team met its goal—the satisfaction rating rose from 72 percent in the fourth quarter of the previous year to 85 percent by the third quarter of the following year.

The CDF team also used a critical incident review to identify what went wrong in the first place and how similar problems could be avoided in the future. The team then debriefed the problem-solving process, discussing what went well and how its approach could be improved. Most importantly, the team members took time out to recognize their accomplishments and celebrate their success.

Creative Problem Solving

Advantages of Involving Others

As leaders, managers and supervisors expect and encourage staff to solve their own problems. However, in today's work environment many problems are too complex for one person to solve alone. Managers and supervisors should determine when problems need to be solved by more than one person and who should be involved in the solution. Involving others has a number of advantages including:

- Access to broader knowledge, information, and expertise.

- Input from multiple perspectives.

- Increased creativity and more rigorous analysis.

- Increased commitment from those responsible for making the solution work.

Determining Who Should Be Involved

The appropriate people to involve are usually those closest to the problem or issue. This may mean pushing decisions down to a lower level than has been customary. To clarify who should be involved, consider:

- Who is ultimately responsible for the results of the decision/problem?

- Who is critically affected now and in the future?

- Who has the vital information?

See chapter 8, "Team Building," and exhibit 8–5, the Decisionmaking Model, for a useful tool in determining who should be involved in making a particular decision and to what extent.

Encouraging Participation and Creativity

Problem solving requires creative as well as analytical thinking. Managers and supervisors can maximize commitment and creativity by taking the lead in facilitating problem-solving sessions and using these techniques:

- Make sure that all significant sides of an issue are fully discussed. Reserve your own views until everyone has contributed his or her input.

- Show appreciation for contributions, to encourage openness and risk taking.

- Ask people directly for their opinions.

- Play the devil's advocate to examine new viewpoints.

- Inject thought-provoking questions or comments to encourage creativity and prevent "groupthink."

- Use creative problem-solving tools such as mind mapping, analogies, and brainstorming (see chapter 11, "Strategic Thinking," for an explanation of these techniques).

For additional ideas on how to encourage participation and creativity by team members, see chapter 8, "Team Building," and chapter 9, "Collaboration."

Proactive Problem Solving

Being Proactive

The most progressive organizations are proactive in identifying problems that could damage operations and taking the necessary actions to ensure those problems are avoided. Not all problems can or should be avoided. The important point is to anticipate problems that could interfere with service delivery, customer or employee satisfaction, or other significant aspects of the organization's performance. Avoiding a problem in the first place ensures that valuable resources are not wasted.

Proactive Strategies

Although not all problems can be anticipated ahead of time, effective leaders ensure that serious problems are contained in the early stages before they become major crises. A number of strategies can be used to avoid potential problems:

- Establish measures that signal problems before a service or program is provided and monitor the change during implementation.

- Regularly engage the project team in identifying factors that support the program and those that work against the solution to a problem so that negatives can be eliminated or reduced.

- Manage by being "out in the field" on a regular basis. Being accessible, understanding issues, and encouraging staff to share concerns will often uncover potential problems.

- For critical projects, develop formal contingency plans that identify potential obstacles. Include management reporting systems in monitoring and reviewing progress.

Intuitive Decisionmaking

Making Decisions Under Time Pressure

The ability to make sound, timely judgments is a critical leadership skill because management decisions can have such a significant impact on the organization's employees, customers/constituents, stakeholders, and environment. Using a decisionmaking process such as the seven-step approach presented earlier in this chapter can improve the quality of decisions. However, decisions frequently must be made when time and information are limited. In these cases, managers must place greater reliance on their intuition, values, and past experiences.

> One's philosophy is not best expressed in words; it's expressed in the choices one makes.
>
> —Eleanor Roosevelt

Improving the Quality of Decisions

Managers and supervisors can use the following techniques to improve the quality of their decisions:

- Determine if this is your decision to make alone or if others should be involved.

- Know how much data are needed to make a decision and how to get the information quickly.

- Do not get bogged down in "analysis paralysis."

- Cultivate relationships with reliable, knowledgeable colleagues who can help on short notice.

- Use systems thinking to look at the larger context within which a decision is being made.

- Ensure that decisions are in alignment with the mission, goals, and values of the correctional agency/organization.

- Consider the potential short- and long-range impact of decisions on the organization and its customers/constituents.

- Use ethical principles to ensure fairness and consistency of decisions.

Exhibit 10–6 details the different roles of each level of management in problem solving and decisionmaking.

Summary

Using a proven problem-solving process can help managers and supervisors approach problems consistently and logically, whether they are working by themselves or with a team. It may be necessary to go through the process more than once, as true root causes of problems are rarely ferreted out and permanently eliminated in one cycle.

Problem solving requires creativity as well as discipline. It relies on the collective intelligence and educated intuition of the team. Creativity is restricted when team members feel bound by rules and procedures, what they think is acceptable, or what has been done before. Leaders can unleash creativity by promoting original thinking and encouraging full participation, openness, and risk taking.

Exhibit 10–6. Matrix of Management Problem-Solving and Decisionmaking Roles

	Executive Officer	Senior-Level Leader	Manager	Supervisor
Type of problem or decision	• Issues that have broad societal and environmental impact.	• Internal system problems. • Breaking down functional silos.	• Linkage of processes and programs across functions.	• Service delivery. • Continuous service or program improvement.
Problem-solving partners	• External criminal justice agencies and system stakeholders.	• Internal and external agencies with similar missions and needs.	• Cross-functional teams within the correctional agency/organization.	• Problem solving within own team.
Scope and complexity of problem or decision	• Long-term, highly complex. Political and societal implications.	• Intermediate and long-term, complex.	• Intermediate focus.	• Short-term focus on day-to-day operations.
Critical competencies	• Greater reliance on decision judgment. • Aligning decisions with correctional agency/organization mission and values. • Considering long-range impact of decisions.	• The ability to frame questions and issues. • Systems thinking; analyzing issues within a systems framework.	• Thinking outside the box creatively to resolve longstanding systemic issues. • Systems thinking.	• Greater use of rational decision models. • Quick decision-making to resolve problems that interfere with service delivery.

Leaders can be proactive by identifying potential problems and taking action to eliminate them or reduce their impact. Recognizing individuals or teams that have smooth-running operations can encourage proactive behavior throughout the organization. Avoid inadvertently rewarding crisis management by applauding those who "save the day" when the problem could have been prevented in the first place. Manage by the quality principle: "Do it right the first time."

Good judgment and decisionmaking skills are honed through day-to-day learning on the job and gaining an understanding of the organization and the larger context within which it operates. Effective decisionmaking combines common sense and logic with a measure of intuition and a commitment to do what is right.

Key Skills and Behaviors

> *Skill:* The ability to do something well arising from talent, training, or practice; expertness; special competence in performance.
>
> *Behavior:* The manner of conducting oneself; observable activity.

The Problem-Solving and Decisionmaking Process: The Seven Steps of Problem Solving

Skill: Using a model or process framework to solve problems and make decisions.

Behaviors:

- Clearly define/frame a problem to ensure understanding before taking action.

- Identify the true root cause(s) of the problem.

- Analyze alternative solutions using cost-benefit or other appropriate criteria.

- Make objective decisions using facts and data to verify assumptions, perceptions, and intuition.

- Support and clearly explain the reasons for a decision or course of action.

- Review problems encountered and discuss how they could be addressed more effectively in the future.

Creative Problem Solving

Skill: Involving others in a creative problem-solving process.

Behaviors:

- Involve others in decisions that affect them; push decisions down to the lowest appropriate level.

- Ask for opinions and suggestions from others.

- Encourage different viewpoints and rigorous discussion.

- Encourage original thinking to solve complex problems.

- Take risks by proposing new ideas and solutions and encouraging risk taking in others.

Proactive Problem Solving

Skill: Anticipating potential problems.

Behaviors:

- Identify problems central to the mission of the correctional agency/organization.

- Develop contingency/risk management plans to prevent or minimize problems.

- Take the initiative to make decisions when data and time are limited or solutions may produce unpleasant consequences.

- Recognize and reward proactive behavior in others.

Intuitive Decisionmaking

Skill: Making sound decisions even in conditions of uncertainty.

Behaviors:

- Combine analysis, experience, and intuition when making decisions.

- Examine decisions for fairness and consistency and ensure they do not reflect personal biases.

- Consider the short- and long-range impact of decisions.

- Ensure that decisions align with the correctional agency/organization's mission, goals, and values.

Appendix 10–1. Focus Matrix for Managers and Supervisors: Problem Solving and Decisionmaking		
	Manager	**Supervisor**
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/ organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/ constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Key Skills and Behaviors		
The Problem-Solving and Decisionmaking Process: The Seven Steps of Problem Solving	• Promotes a systemwide, structured approach to problem solving and decisionmaking. • Taps the collective knowledge, analytical skills, and creative talents of the correctional agency/ organization to address complex issues. • Gets input from critical decision-makers and those closest to the problem as part of the problem-solving and decisionmaking process. • Acknowledges and publicly celebrates problem-solving and structured decisionmaking efforts.	• Uses a structured process as a framework for problem solving and decisionmaking. • Encourages staff to use their experience, skills, and creative talents to solve problems. • Determines whether a problem is within his or her sphere of influence or is a systemic problem that upper management must resolve. • Acknowledges and publicly celebrates problem-solving and structured decisionmaking efforts.

	Manager	**Supervisor**
Appendix 10–1. Focus Matrix for Managers and Supervisors: Problem Solving and Decisionmaking (continued)		

	Manager	**Supervisor**
Key Skills and Behaviors (continued)		
Creative Problem Solving	• Determines when a team, rather than an individual, should solve the problem. • Maximizes commitment and creativity by encouraging openness and risk taking.	• Involves staff in problem-solving and decisionmaking processes whenever possible. • Maximizes commitment and creativity by encouraging openness and risk taking.
Proactive Problem Solving	• Learns to anticipate problems that could interfere with service delivery or negatively affect stakeholders, inmates and other customers/ constituents, or employees. • Takes timely action to ensure that a potentially serious problem is resolved in the early stages before it becomes a major crisis. • Establishes and monitors measures that signal problems at both program and system levels.	• Learns to anticipate problems that could interfere with service delivery or employee satisfaction. • Takes timely action or alerts superiors to potentially serious problems so they can be resolved in the early stages. • Gathers data to monitor performance and service delivery.
Intuitive Decisionmaking	• Pushes decisions down to the lowest appropriate level. • Understands the limitations of structured decisionmaking processes; relies on intuition, values, and experience when time and information are limited. • Gathers the data needed to make an informed decision but does not get so bogged down in details and examining options that no action is taken. • Uses systems thinking to look at the larger context within which a decision is being made.	• Determines if the decision is the supervisor's to make alone or if others should be involved. • Understands the limitations of structured decisionmaking processes; relies on intuition, values, and experience when time and information are limited. • Gathers the data needed to make an informed decision but does not get so bogged down in details and examining options that no action is taken.

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Strategic Thinking

Nancy M. Campbell

This chapter addresses the importance of strategic thinking for managers in correctional agencies/organizations and how to expand one's capacity to think and act strategically. The chapter first discusses the challenges that correctional managers face that require strategic thinking and outlines the benefits of strategic thinking. It then explains the elements of strategic thinking, including the different types and modes of thinking; presents techniques for expanding one's thinking; and discusses the use of the framework Management by Groping Along to support strategic thinking. The chapter then presents key skills and behaviors that relate to strategic thinking. Finally, appendix 11–1 presents a matrix that shows the applicability of these elements to managers and supervisors.

Definition

Strategic Thinking: Strategic thinking is the ability to recognize the relationships, complexities, and implications of a situation, anticipate possibilities, and plan what to do. Strategic thinking is an attempt to develop a best guess about the future.

In its most basic form, strategic thinking involves three questions:

- What seems to be happening?

- What range of possibilities do we face?

- What are we going to do?

Knowledge Base

Why Should Correctional Managers Develop This Competency?

As Susan Gebelein and her colleagues note in the *Successful Manager's Handbook* (p. 27), the strategic thinker sees issues in the context of systems and their relationships to other systems. The skilled strategic thinker knows how to take advantage of opportunities that others might miss, recognize the relationships between seemingly disparate entities, and view the daily tactical issues in a broader and longer term context. The strategic thinker is able to consider a broad range of alternatives when addressing a challenge.

The need to develop and use a capacity for strategic thinking is one of the primary ways in which the responsibilities of correctional managers differ from those of supervisors. Most supervisors' actions are largely tactical, not strategic.

> The significant problems we face cannot be solved at the same level of thinking we were at when we created them.
>
> —Albert Einstein

They work primarily within their own units and focus on ensuring that policies and procedures are implemented. Supervisors are most often solving problems within one or two systems—seeing things primarily in the context of a handful of systems. They rely most heavily on analytical and critical thinking skills, although some may also rely on intuitive thinking skills.

In contrast, correctional managers work with many customers/constituents and staff outside their program or department, both inside and outside the correctional agency/organization. The scope of a manager's role is greater than that of a supervisor and requires more attention to how different systems might work together. Managers are responsible for understanding the larger organizational context and culture and interpreting them for those both inside and outside their chain of command. To do this well requires strategic thinking skills and abilities.

The complexity of correctional agencies/organizations requires managers to do their own thinking and to carve out the direction that best suits their environment. They cannot just implement the policy of others. Managers are expected to ensure that their program fulfills the correctional agency/organization's vision and mission.

As Gebelein and colleagues note (p. 27), another significant challenge for managers is to rely not solely on a thinking process that has brought success in the past. On the face of it, this idea seems to make no sense. Why not continue to use an approach that has worked well? The reason is that the nature of problems and conditions changes. Ironically, the more familiar people are with an issue, the more limited they are in identifying possible solutions. Their prior thought patterns lead to implicit assumptions that limit their ability to think differently about the problem. Mental flexibility is required to adjust to new information and to conceptualize new alternatives.

How, then, is a correctional manager to build on the wealth of accumulated organizational knowledge without missing new opportunities for needed change? Clearly, organizational learning should not be undervalued, nor should innovations be ignored. Combining the capacity to see what might be with the understanding of how to make it happen in the day-to-day reality of an organization is the art of strategic thinking.

Looking closer at this art, we can see that personality and temperament influence one's ability to conceptualize and think strategically. Some people inherently conceptualize easily and think at a strategic level; others find it challenging. However, certain skills and behaviors can, with practice, help one think more strategically. Both naturally gifted strategic thinkers and those who are struggling to master this aspect of leadership need to understand which tools and practices will help them develop and refine their capacity to think strategically.

What Is Strategic Thinking?

How Do Managers Think?

Strategic thinking is an approach, not a plan. This chapter focuses solely on how to think strategically. It is not about strategic planning; before they start planning, managers first need to understand how they think.

For the most part, managers don't think about thinking. All managers have preferences or natural proclivities regarding how they think. They unconsciously approach a problem with the form of thinking with which they are most comfortable. However, the problem may not be easily understood by applying the mode of thinking they typically use. It is useful for leaders to develop many ways to think so that when a situation arises, they have many options for analyzing and understanding the issues involved. Some of the many different types of thinking include:

- *Analytical thinking:* The ability to break issues down into their component parts.

- *Critical thinking:* The ability to judge or evaluate carefully.

- *Conceptual thinking:* The ability to generalize an abstract idea from a particular instance.

- *Creative thinking:* The ability to make, invent, or produce, rather than simply imitate.

- *Intuitive thinking:* The ability to understand or agree with an idea without using rational thought or inference.

Strategic thinking requires the ability to use the last four types of thinking in this list: critical, conceptual, creative, and intuitive. Analytical thinking usually does not raise the types of queries that lead to strategic thinking. The self-aware manager recognizes that he or she is unlikely to be skilled in all of these areas. In fact, most correctional agencies/organizations and other public-sector agencies neither teach people how to think in different ways nor provide forums in which they can demonstrate their natural thinking abilities. Most correctional managers have worked in systems that place the greatest value on analytical and critical thinking. Some would argue that many correctional agencies/organizations seriously limit thinking by promulgating policies and procedures that attempt to tell staff how to act and what to do in every situation. Such agencies seek control and compliance, not creativity. The work environment must encourage thinking before managers can think strategically.

I think, therefore I am.

—René Descartes,
Discourse on Method

The challenge for managers is to consciously find ways to develop all of these forms of thinking in themselves and in others. Several frameworks can support the development of strategic thinking; one of these, Management by Groping Along, which relates most closely to the types of implementation challenges that managers face, is discussed later in this chapter. Others are discussed in chapter 5, "Strategic Thinking," in *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders.* First, however, leaders need an understanding of how people think—the basic modes of thought.

Thought Modes

Managers who rely on a particular thought mode are often uncomfortable with other modes of thinking. Highly intuitive people are frustrated by sensory people's need for data. People who are more comfortable working in hierarchies see little value in networks. A strategic thinker works to understand his or her thinking process. Only after understanding one's own thinking process can one see its limitations and the value in a process that is different. The adept strategic thinker understands that his or her way of thinking and digesting information is only one way of approaching a problem. Skilled strategic thinkers seek out opportunities to use a different way of thinking. They know that new solutions only come by seeing a problem in a different way. To do this requires understanding the most common thought modes.

Understanding Common Thought Modes

As noted by Stuart Wells in his 1998 book *Choosing the Future: The Power of Strategic Thinking* (p. 35), thought modes are the mechanisms by which a mind processes order and patterns to build paradigms. The thought modes appear to be pairs of opposite qualities but actually are points along a continuum of patterns the mind uses to order thinking. Common thought modes include the following:

- Logic and intuition.

- Synthesis and analysis.

- Convergence and divergence.

- Holistic and divided.

- Sequential and simultaneous.

- Hierarchy and network.

Logic and intuition. Logic and intuition are two of the most dominant thought modes. Logic relies on the ability to build a rational sequence of steps that stem from what is already known. Using logic makes it easy to defend one's thoughts. Logic's weakness is that it builds on *what is already known,* and many

> We are what we think—the way we think creates what we see and hence the future for which we can conceive a strategy.
>
> —Stuart Wells, Professor of Organization and Management, San Jose State University, Author, *Choosing the Future*

times data are insufficient to begin the sequence. Often, the sequence begins with an assumption that relies on the complementary thought mode of intuition. Difficult to articulate, the intuitive thought pattern is based less on data and more on the synthesis of a person's experience.

The logic mode is best used when trying to refine ideas, whereas the intuitive mode works best when trying to explore areas for which the data are not clear or are unknown. Both modes are necessary for strategic thinking, but intuition most often leads to new ways of viewing existing issues or challenges. Once intuition has helped one understand possible new approaches, logic can be used to choose and refine a solution.

Correctional agencies/organizations, like the rest of our culture, tend to place more value on logic than intuition. Yet, intuition is most useful when exploring the unknown and confronting problems that do not have simple technical solutions.

Synthesis and analysis. Synthesis is the use of abstract thinking to understand how things fit together. One looks less at the elements of a system and more at the systems themselves. The goal is to see how the systems can be joined together to create new solutions or ideas. Analysis is the ability to break a system down into its parts to understand the relationships between elements of the system. It is used to gain a better understanding of the way a particular system functions. Together, synthesis and analysis allow for creating and testing an idea.

First-line supervisors rely most heavily on analysis as a thought mode in making decisions. Supervisors most often solve problems within one or two systems. In contrast, as the scope of a manager's role expands, decisionmaking requires more attention to how different systems might work together.

Convergence and divergence. The American culture values highly the ability to be decisive and to move quickly, often pushing for the convergence required to reach agreement. Convergence is best demonstrated in legislative bodies where pressure to reach agreement within narrow timeframes often requires ignoring some data to reach closure. In corrections, the paramilitary structure, heavy workload, and tight timeframes can create pressures for convergence. Divergent thinking is important not only to ensure full understanding of issues but also to reach true ownership of ideas. Often, divergent thinking is used to explore an array of possible solutions once a problem statement is agreed on. In strategic thinking, convergence and divergence tend to alternate throughout the process.

Holistic and divided. The holistic mode involves seeing the "big picture." An essential step in the strategic thinking process, holistic thinking is used to conceptualize and make choices about ideas and possibilities. It tells the "why" of

a given situation. The divided mode, on the other land, promotes thinking about the "how" of the same situation. More tactical than strategic, the divided mode is good for developing the tactics to implement a given idea. The same factors that push correctional managers toward convergence push them to focus on "how" more than "why" and to solve problems before really understanding their nature. This tendency often explains why a solution *does not work.*

Sequential and simultaneous. Sequence is an order in time. Implementing a new initiative often requires a sequence of events, which typically involves completing one action or thought before moving on to the next. The simultaneous mode moves from one idea or activity to the next with no specific order or reference to time.

Hierarchy and network. Hierarchy is a series in order of importance, not time. A hierarchy can tell who in an organization is important in making a particular decision or who can apply resources to an issue. It can also tell which issue takes precedence over another. The network thinking mode, on the other hand, ignores the importance of the individual or issue. Issues are typically viewed in the network mode until more information provides a context for determining their level of importance.

Using Different Thought Modes

One way for managers to understand which thought modes they most commonly use is for them to consider a problem and attempt to devise a solution. As they develop the solution, they can reflect on the initial modes they used. Most likely, these are the modes they typically rely on. *Developing the capacity to use less familiar thought modes expands strategic thinking capacity.*

One way for managers to expand their strategic thinking capacity is to observe other staff or family members as they participate in meetings or activities and attempt to identify which thought modes they are using. Another way is for managers to try to use thought modes different from the ones they usually use to address a problem. Consciously observing how they and others think is one of the best ways for managers to expand their strategic thinking capability.

Expanding Your Thinking

Many correctional managers find strategic thinking quite challenging. They are used to relying on analytical and critical thinking skills that, although essential for many tasks, do not raise the types of questions and possibilities needed for strategic thinking. Viewing the daily tactical issues in a broader and longer term context is an important part of strategic thinking. To do this requires the ability to see the possibilities and to recognize the relationships between seemingly disparate entities. Therefore, strategic thinking relies heavily on critical, conceptual, creative, and intuitive thinking. Because conceptual, creative, and intuitive

skills are rarely taught or encouraged in corrections, they are the focus of the following discussion.

Conceptual Thinking

Conceptual thinking is the ability to understand a situation or problem by identifying patterns or connections and addressing key underlying issues. Conceptual thinking includes organizing the parts of an issue or situation in a systematic way. Exhibit 11–1 describes what conceptual thinking is and what it is not.

Exhibit 11–1. Conceptual Thinking	
Conceptual Thinking	
Means . . .	**Does Not Mean . . .**
Looking for the common factors in different situations and using or modifying previously successful approaches to meet the unique needs of the situation.	"Reinventing the wheel" with every situation and overlooking common sources of difficulty or focusing on the peculiarities of each situation.
Identifying key factors in a complex problem and associating seemingly unrelated information to analyze a situation and simplify it for others.	Trying to position every complex detail for your audience without giving them the "big picture."
Integrating and applying different ideas and approaches to accomplish a goal.	Trying to force-fit standard approaches without considering alternatives.
Coming up with a new or different way of describing or explaining a situation or opportunity.	Using the same ideas or concepts to describe or explain a different situation or opportunity.
Responding to changes or constraints by formulating new concepts or approaches.	Assuming that changes or constraints are inevitable and that the department will adapt.
Source: Excerpted from Saskatchewan Public Service Commission, *Management Competency Development Resource Guide,* 1998. Available online at *http://www.gov.sk.ca/psc/hrmanagement/competencies/mancomp/ guide/resourceguide.pdf.*	

Conceptual thinkers can:

- *See basic relationships.* Link parts of a problem to a broader set of issues or relationships. See patterns or trends when looking at information.

- *See multiple relationships.* Analyze relationships among several parts of an issue or situation. Use multiple associations of events and apply concepts from other fields when analyzing events or situations.

- *Clarify complex data or situations.* Use alternative ways of looking at issues and link complex information to a solution. Analyze, plan, and integrate concepts into a structured and rational process. Make complex ideas or situations clear, simple, and understandable. Assemble ideas, issues, and observations into clear and useful explanations and solutions.

- *Apply complex concepts to an area of responsibility.* Adapt and apply concepts in new ways that improve the delivery of information and programs in support of departmental priorities. Identify several solutions and weigh the value of each to move the work of the department forward.

- *Create new concepts that advance departmental priorities.* Create and apply concepts that are new and different to advance the department's direction. Demonstrate leadership in integrating efforts with stakeholders internally and externally that clearly influence program management.

Creative Thinking

Creative thinking assumes experimentation. By its very nature, creativity is about trial, error, and taking risks. To most correctional managers, this sounds at best counterintuitive, at worst dangerous. When dealing with security issues, risk is commonly viewed as negative. Even for staff who do not work directly with custody and security matters, the issue of safety pervades most correctional agencies/organizations and their departments. To think creatively, managers must shed some of their "safety consciousness" to experiment and risk failure. Creative thinking can mean learning or relearning different skill sets.

Identify when to use creative approaches. Different situations require different problem-solving approaches. Exhibit 11–2 can help a manager determine when a creative problem-solving approach may work best or when a traditional problem-solving approach is called for.

Develop ways to enhance creative thinking. If managers believe traditional problem solving is not working, they need to develop methods to enhance their creative thinking ability and that of their team. As outlined by Gebelein and her colleagues in the *Successful Manager's Handbook* (p. 27), ways to enhance creative thinking include the following:

- *Listen, and listen some more.* Do not rebut or respond immediately when someone else is speaking. Listen to understand, not to refute. Force yourself to find the "kernel of truth" in what others are saying.

- *Explore new options.* When discussing options, reject your first reaction and push yourself to entertain another option. Argue for this option and see what it teaches you about possibilities.

Failure is our most important product.

—R.W. Johnson, Jr., Former CEO, Johnson and Johnson

Exhibit 11–2. Creative and Traditional Problem Solving	
Use Creative Problem Solving When	**Use Traditional Problem Solving When**
• The problem keeps recurring. • You want to do things differently. • Problems are ambiguous. • You are not sure how to evaluate the problem. • Facts are unknown; feelings abound. • Unpredictable and risky solutions are acceptable. • Something that has not been a problem becomes one.	• The problem seldom occurs. • You want to do things better. • Problems are well defined. All essential criteria for evaluating the problem are known. • Facts are central to the process. • Causes are definite and defined. • Corrective solutions are acceptable.
Source: Adapted from Susan H. Gebelein et al., *Successful Manager's Handbook,* 6th ed., Minneapolis: Personnel Decisions International, 2000, p. 28. Reprinted by permission of PDI.	

■ *Speculate.* Speculate—even when you think you have the answer or do not have enough information.

■ *Think out loud.* Force yourself to examine the thinking process that brought you to your initial conclusion.

■ *Get feedback.* If you are overly rigid or opinionated, ask others whom you trust to give you feedback on your responses.

■ *Change sides.* Challenge yourself to defend the viewpoint opposite from the one you hold.

■ *Play games.* Practice "brain games" that increase mental flexibility (examples of such games are in Richard Fisher's 1982 book, *Brain Games*).

■ *Seek to understand the problem better.* When generating ideas, spend more time in the initial phases of understanding the problem than in crafting the solution. Force yourself to think of the problem from the perspective of three different stakeholder groups (e.g., legislators, other justice system agencies, and crime victims and their families). Use the "W" questions:

   – Why?

   – Where?

   – What?

— Who?

— When?

— How?

■ **Form cross-functional and cross-cultural teams.** By having team members with different functions, backgrounds, and styles, you will gain different perspectives on the problem and find different solutions.

■ **Brainstorm.** Most leaders believe they understand the concept of brainstorming but in reality, because of past experience or the behavior of those involved, true brainstorming does not occur. If staff are ridiculed for "crazy ideas" or penalized for taking risks, brainstorming will be stymied. To use brainstorming to encourage more creative thinking, follow the guidelines presented in exhibit 11–3.

Exhibit 11–3. Guidelines for Brainstorming

- Set a goal of establishing as many novel ideas as possible.
- Limit the session to no more than 30 to 45 minutes.
- Have people write down some suggestions before the group begins sharing ideas.
- Make sure there are no interruptions.
- Make it fun and fast. Offer supportive comments and even prizes for the zaniest ideas and/or the most ideas offered.
- Be clear about the definition of the challenge. What is the problem?
- Convey how the ideas will be evaluated and by whom. Be sure to follow up with the group and let them know what was decided.
- Set brainstorming ground rules such as:
  - Aim for quantity, not quality.
  - Focus on concepts, not detail.
  - Set no constraints on implementation.
  - Never criticize an idea.
  - Evaluate all ideas after the session.
  - Allow participants to enhance or add to a suggestion or to combine ideas but not to change an idea.
- Use the results to think strategically.
  - Review the results for any patterns, connections, or interrelationships.
  - Share your observations with others to see if they see those relationships and/or patterns.
  - Let the observations inform your next steps.

Source: Underdog Consulting, Inc., 2000. Reprinted by permission of Underdog Consulting. Contact: *underdog@entermail.net*.

Intuitive Thinking

Managers who use intuitive thinking approach a problem as a whole, not as a sequence of steps. Intuition, like creativity, is valuable for understanding a problem and developing possible new solutions, especially when the data are inconclusive and/or the problem is not clearly defined. Once the problem is fully understood, logic can be used to choose or refine a solution.

Intuition is based on experience. One unconsciously draws on one's experiences to test them against the current situation. The brain rapidly cycles through the past and provides a base of comparison.

Correctional managers typically have training in logical thinking processes like force-field analysis, Gantt charts, and stakeholder mapping. They also need training in how to use their intuition. Activities that can help develop intuitive thinking include:

- Imagery.

- Analogies.

- Mind mapping.

Imagery. Imagery involves creating images of preferred futures or having team members imagine how something might or might not work. Those images or words are then explored for linkages. An example of this is the "premortem" exercise described by cognitive psychologist Gary Klein in a 2000 profile by Bill Breen for *Fast Company,* "What's Your Intuition?" When a team gathers to kick off a new project, have the team conclude the meeting by pretending to gaze into a crystal ball. They look 6 months into the future and the news is not good. Despite their hopes, the project has failed. Then ask team members to take 3 minutes to run a mental simulation and write down why they think their work derailed. All sorts of reasons will emerge.

Analogies. Identifying similarities or parallels between two dissimilar situations helps make an unfamiliar situation more understandable and can be useful in developing new insights.

Mind mapping. This technique, created in the 1960s by Tony Buzan, uses imagery to help understand the linkages between seemingly diverse elements. The visual and nonlinear nature of the mind map (exhibit 11–4) makes it easy to see linkages and to cross-reference different elements of the map. Exhibit 11–5 presents the steps for developing a mind map.

> Intuition is really a matter of learning how to see—of looking for cues or patterns that ultimately show you what to do.
>
> —Gary Klein,
> Cognitive Psychologist,
> in "What's Your Intuition?"
> *Fast Company,*
> August 2000

Exhibit 11–4. Project-Related Mind Map

Numbers?
Levels?
People
Desired?
Specific   Points?
Previous?
In-House T3?
Training
Outsource—BLI?
Project
Mind Map
Range?
History?
Timeframe?
Budget
Contact?
Needs?
Goals?
Timeframe?
Data   Outcomes   Expectations?
Contact?
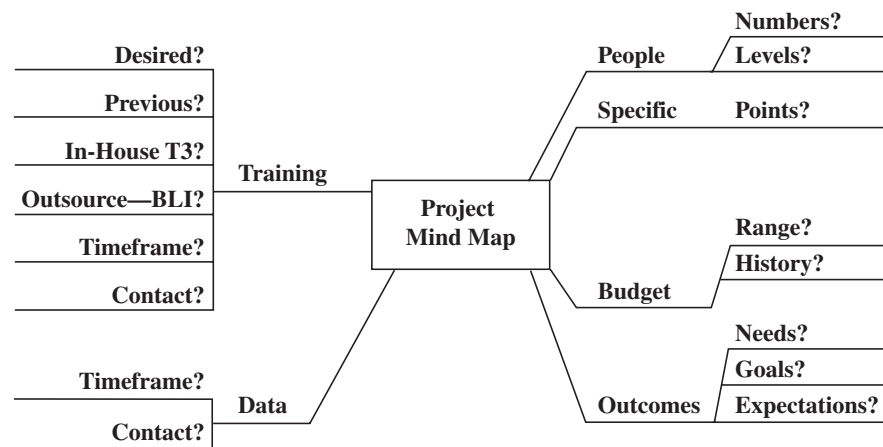
Source: Adapted from Vanda North's "Hot Tea Questions?"
Mind Map, Vanda North Ltd., 2004. Available online at
http://www.MindMappingSuccess.com. Reprinted by permission of Vanda
North. Contact: 1–866–896–1024.

Exhibit 11–5. How To Mind Map

- Use just key words or, wherever possible, images.
- Start from the center of the page and work out.
- Make the center a clear and strong visual image that depicts the general theme of the map.
- Create subcenters for subthemes.
- Put key words on lines. This reinforces the structure of notes.
- Use color to depict themes and associations and to make things stand out.
- Anything that stands out on the page will stand out in your mind.
- Think three-dimensionally.
- Use arrows, icons, or other visual aids to show links between different elements.
- Don't get stuck in one area. If you dry up in one area, go to another branch.
- Put ideas down as they occur, wherever they fit. Don't judge or hold back.
- Break boundaries. If you run out of space, don't start a new sheet; paste more paper onto the map. (Break the $8^1/_2$ x 11 mentality.)
- Be creative. Creativity aids memory.

Source: Peter Russell, "How To Mind Map," from Web site,
"The Spirit of Now," *http://www.peterussell.com.* Available online at
http://www.peterussell.com/MindMaps/HowTo.html.

A Framework for Strategic Thinking: Management by Groping Along

Frameworks can help managers ensure they are using problem-solving approaches that engage their strategic thinking skills. Which framework a leader chooses will depend on personal preferences regarding learning styles and thought modes. Although many possible frameworks can be used to encourage strategic thinking, this chapter concentrates on one that applies usefully to problems about which management must think strategically, Management by Groping Along. (For a discussion of other frameworks for strategic thinking, see chapter 5, "Strategic Thinking," in *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders.*)

Robert Behn created the concept of Management by Groping Along (MBGA) in his 1991 book, *Leadership Counts,* as a technique for helping leaders think about how to guide implementation when the goal is clear, but the steps for reaching it are not. This framework requires leaders to use intuitive, creative, and conceptual thinking as well as critical and analytical thinking.

Behn posits that skilled leaders often know where they want to go but do not necessarily know how to get there. For a manager who is focusing on strategy, not just tactics, this is often the case. Managers understand that the people who are closer to service delivery are better positioned to figure out the details of implementation but often are not well positioned to see or understand issues beyond their area of responsibility. If given full responsibility for implementing a task, they often struggle to see new ways of approaching existing problems or fail to see new problems that may arise.

In some circumstances, the senior-level leaders do not have adequate time to develop a thorough implementation plan and, as a result, managers must simply push ahead on an issue. In developing MBGA, Behn has provided a framework for how to think strategically at such times.

Behn's MBGA framework assumes that managers use their experience, intuition, and current knowledge base to develop strategy. All correctional managers are confronted by situations that are unique to their own organizations. Despite the best training and experience, no manager can ever be fully prepared for some circumstances.

MBGA is a process of *adaptation*. Knowing the goal to be achieved, the manager experiments—trying some approaches, having some successes, and adapting the more successful approaches. Behn provides several practical steps that support strategic thinking during this process:

- Know the goal.

- Do the doable first.

> Good managers have a good sense of where they are going—or at least of where they are trying to go. They are constantly looking for ideas about how to get there. They know that they have no monopoly on good ideas about how to accomplish their purposes. Thus, given their bias for action, they spend less time analyzing these ideas than experimenting with them.
>
> —Robert D. Behn, Author, *Leadership Counts*

■ Fix as you go.

■ Seek feedback, fix mistakes, and stay flexible.

■ Describe the purpose.

Know the goal. A basic assumption of MBGA is that the manager knows the goal. The correctional environment by its very nature is complex and dynamic. A strategic thinker is someone who can maintain focus on a goal in the midst of many competing interests and can tolerate the ambiguity of not having a defined plan to get to the goal.

Do the doable first. This concept is often known as the "small wins" approach. While knowing the ultimate goal, the strategic thinker moves in incremental steps. This allows the strategic thinker to learn from success and failure. The strategic thinker understands the organization's capabilities and builds on them before stepping into more unfamiliar and complex arenas. When a reasonable incremental step is achieved, others can be convinced the ultimate goal is achievable.

Fix as you go. Not having a fully fleshed-out implementation plan requires a willingness to constantly learn from mistakes and make changes throughout implementation. In fact, even with tightly crafted implementation plans, the reality in all new endeavors is that nothing works perfectly, and addressing problems throughout implementation is part of the process.

Seek feedback, fix mistakes, and stay flexible. In many ways, implementation is a stage of error correction. The idea that was *expected* to work may *not* work. Fixing as you go requires managers' having the ability to get honest and accurate feedback from those who are implementing the plan or project. Once this feedback is provided, strategic thinkers are flexible enough to seek out new solutions and try them out.

Describe the purpose. Managers who have dutifully crafted a mission statement that they believe conveys what the organization is trying to achieve can attest to how hard it is both to explain the mission and to gain understanding of and commitment to it. As with everything else in MBGA, the development of the best words to express the mission is an iterative process. Strategic thinkers try different phrases and approaches with different audiences to find what resonates with staff members. After trial and error, the best descriptors are agreed on and then shared repeatedly at every level of the organization.

MBGA is a framework that supports the use of intuitive, creative, conceptual, and critical thinking. It is an iterative process that requires a leader to use and trust forms of thinking that are essential to developing strategic thinking skills.

Summary

Strategic thinking is, at its core, an attempt to develop a best guess about the future. The challenge in strategic thinking is that our knowledge base and experience rely on data from the past. To think strategically requires an ability to grasp the full complexity of the problem and to envision a range of possible solutions. The ability to use analytical, conceptual, creative, and intuitive thinking is essential.

Most managers approach problems tactically. They focus on the here and now and what their past experience tells them. Strategic management requires the ability to move beyond tactics. A strategic manager sees the connections between seemingly disparate ideas and concepts.

Strategic thinking is an act of discovery. Assumptions are made to be explored, not to defend a position. Complexity is understood to be part of understanding a problem and not a roadblock to implementation. Different skill sets and styles are seen as essential to finding the best solutions.

Strategic thinking can be used to support planning efforts by providing a way to approach the future and the unknown. Strategic thinking is an ongoing activity that complements any planning effort. The skills needed to think strategically can be developed by anyone—including correctional managers and the people they work with.

Key Skills and Behaviors

Skill: The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.

Behavior: The manner of conducting oneself; observable activity.

What Is Strategic Thinking?

Skill: Understanding different types of thinking; understanding your thinking style.

Behaviors:

■ Determine the thought modes and ways of approaching issues that you typically use.

■ Observe which thought modes your organization values.

■ Identify and understand your dominant thinking modes.

■ Complete behavioral assessments that address thinking style.

■ Identify the thinking and beliefs that underlie your conclusions and decisions.

Expanding Your Thinking

Skill: Developing new ways of thinking.

Behaviors:

- Explore and experiment with new ways of thinking and approaching issues.

- Practice using other complementary thinking modes.

- Try to see and understand many perspectives of an issue at once.

- Cultivate flexibility in problem solving.

- Identify others who are skilled at strategic thinking and consult with them.

Frameworks for Strategic Thinking

Skill: Using frameworks that support strategic thinking.

Behaviors:

- Explore various frameworks that support strategic thinking.

- Process ideas through the frameworks to expand your thinking when making decisions.

- Recognize the relationships and connections between issues and/or people.

- Use frameworks to help identify the relationships between people and/or business processes.

Appendix 11–1. Focus Matrix for Managers and Supervisors: Strategic Thinking

	Manager	Supervisor
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Steps for Strategic Thinking		
Understanding Different Thinking Types	• Begins to observe which thought modes he or she typically uses. • Observes which thought modes his or her superiors at the organization value. • Observes which departments are most successful at problem solving and whether they use different thought modes. • Identifies the thinking and beliefs that underlie his or her conclusions and decisions. • Seeks out opportunities for training that include behavioral assessments providing insight into thought modes.	• Begins to observe which thought modes he or she typically uses. • Observes which thought modes others in the unit, particularly the successful problem solvers, use. • Observes which thought modes his or her boss and other managers both use and seem to value. • Identifies the thinking and beliefs that underlie his or her conclusions and decisions.

Appendix 11–1. Focus Matrix for Managers and Supervisors: Strategic Thinking (continued)		
	Manager	**Supervisor**
Steps for Strategic Thinking (continued)		
Developing New Ways of Thinking	• Works with correctional agency/ organization or contract trainers to incorporate different forms of thinking into staff training and development. • When working with staff, explores and experiments with techniques that support the development of new ways of thinking and approaching issues. • Practices using other complementary thinking modes at staff meetings. Models the practice for supervisors in the unit or program. • Tries to see and understand many perspectives of an issue at once. • Identifies and consults with others who are skilled in strategic thinking. • Rewards staff who expand their thinking capacity by trying new approaches and/or using other staff who are skilled strategic thinkers as mentors and coaches.	• In staff meetings, explores and experiments with techniques that support the development of new ways of thinking and approaching issues. • Practices using other complementary thinking modes. • Tries to see and understand many perspectives of an issue at once. • Cultivates flexibility in problem solving. • Identifies and consults with others who are skilled in strategic thinking. • Volunteers to serve on task forces that have complex and difficult problems to solve. These task forces will often draw on people with different strategic thinking skills. • Encourages and rewards staff in the unit who demonstrate many ways of thinking.
Using Frameworks That Support Strategic Thinking	• Explores various frameworks that support strategic thinking by participating in training on strategic planning. Planning consultants typically use a variety of frameworks. • Searches the Internet or the library for literature on the topic. • Uses the MBGA framework to assist in solving a challenging problem. • Asks executives and senior-level leaders what frameworks they find useful and when and where they use them.	• Explores various frameworks that support strategic thinking. • Searches the Internet or the library for literature on the topic. • Uses the MBGA framework to assist in solving a challenging problem. • Asks managers what frameworks they find useful and when and where they use them.

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Managing Change

Nancy M. Campbell

This chapter addresses managing change in correctional agencies/organizations from the perspective of managers and supervisors. After discussing the importance of managing change, the chapter addresses the change dynamic and presents Geoffrey Bellman's model of its four elements. The chapter then discusses the change process and presents John P. Kotter's eight-step model for transforming organizations. Next comes guidance on how to manage transitions and William Bridges' three-stage model for transition. The chapter then outlines key skills and behaviors related to managing change. Finally, the chapter presents a matrix (appendix 12–1) that relates these skills and behaviors to the responsibilities of correctional managers and supervisors.

Chapter 12

Definition

Managing Change: Managing change is the art of anticipating the need for and leading productive change. Change is moving the organization from where it is to a new, more desirable place—closing the gap between what it has and what it wants.

Knowledge Base

Why Should Correctional Managers Develop This Competency?

Most public sector managers and supervisors are good analysts and decision-makers. They are able to define a problem and develop a strategy to solve it. What distinguishes the effective manager or supervisor is the ability to implement the proposed solution.

Implementing an idea generally requires the involvement and commitment of affected stakeholders. The art of managing change lies in getting them to believe in an idea and bring it to life. Many great ideas and proposals have died because the manager could not garner the support needed for implementation. In hierarchical organizations like correctional agencies/organizations, managers and supervisors often try to order others to implement change. This approach typically results in resistance or, at best, short-term compliance.

Getting stakeholders to agree to change requires an understanding of how people respond intellectually and emotionally to change. It requires that managers and stakeholders be willing to consider and understand different perspectives. Finally, gaining support for change requires a willingness to change oneself. This last is the most challenging for many managers and supervisors to understand.

> The responsibility of a leader is to bring about change that is responsive to the true and long-term needs of all constituencies.
>
> —James O'Toole, Author, *Leading Change: The Argument for Values-Based Leadership*

No magic bullets for successful change implementation exist, but certain strategies have proven effective and some common mistakes can be identified. Understanding how and why people change can help a manager or supervisor develop more effective change strategies. Several change implementation frameworks have been designed that, if used effectively, will increase the probability of success.

Understanding the Change Dynamic

Four Elements of the Change Dynamic

To understand how to manage change, one needs to understand how change works. Geoffrey Bellman, in his 1992 book, *Getting Things Done When You Are Not in Charge,* has created a model of the key elements of what he labels the "change dynamic" (p. 24). Bellman's model, which consists of four elements arranged in a triangle with "You" in the center and "Is," "Want," and "Players" at the three corners, helps managers develop a better understanding of the circumstances and interactions that are required for change to take place.

Defining the Four Elements

The first two elements for change involve a desire for something to be different—an expectation of closing the gap between what exists and the preferred future. Bellman labels these the "is" and the "want."

The third element is the "players"—all those who are potentially affected, directly or indirectly, by the proposed change. The players may support the change, oppose the change, or be neutral. Even when their job duties are not directly affected by the proposed change, how their expertise is used or how they interact with those who are directly affected can create concerns among them.

The fourth and final element of change is "you." You are distinguished from the other players because you want to make a change. You are the catalyst for the change process.

Note that *you are in the center of the triangle.* The model assumes that you, as a manager, have taken responsibility for the gap between the current state of affairs and the desired future and are willing to serve as the change catalyst. It does not mean you have the solution, but that you understand the need for change and are willing to work with all the affected players to develop the best possible solution. Many stakeholders may be aware of the gap but you are the force that is willing to bring the elements together to close it.

Clarifying the Change Elements

By asking questions about each of the dynamic change elements, managers can deepen their understanding of the potential for change. Too often managers assume that they know what the problem is and what the best solution is. This

Our hope of influencing change is increased by our understanding of it.

—Geoffrey M. Bellman, Author, *Getting Things Done When You Are Not in Charge*

often leads them to develop solutions that do not work, which in turn deepens the fear of change throughout the organization. As a manager, questions that might deepen your understanding include:

WANT:

■ What do you want?

■ What do the other key players want?

■ How do the wants differ? Overlap?

■ What do the various wants have in common?

■ How do the wants align with the correctional agency/organization's current vision, mission, values, and goals?

IS:

■ What are the boundaries of the situation?

■ How do the various players describe what exists right now?

■ How do their descriptions of the situation differ? Overlap?

■ How would you describe the present situation?

PLAYERS:

■ Who are they?

■ What investments aid or block movement from "is" to "want"?

■ What power do the players feel they have to make change or to maintain the "is"?

■ What special talents or resources do they possess?

YOU:

■ Why are you invested in making this change happen?

■ What special talents or resources do you bring?

■ How well do you work with the various players?

■ How do your "wants" fit with the players' "wants"?

Beginning the Change Process

Correctional managers and supervisors have been exposed to a wide range of change techniques. Techniques such as total quality management, reengineering, and learning organizations are often presented as tools that will help managers

and supervisors overcome their subordinates' resistance to change. These tools and strategies can be helpful but they often overlook a critical underpinning of change management. To manage change effectively requires a willingness to change oneself.

The focus on overcoming the resistance of others fails to identify an essential truth—the greatest impediment to change is often not the other players but one-self! Many managers and supervisors opine about why their subordinates and bosses "resist change." People naturally object to someone else's imposing his or her will. Organizations, like people, normally resist change at all levels. Given this natural resistance to change, James O'Toole asks a critical question in *Leading Change: The Argument for Values-Based Leadership,* "Why do leaders fail to do the things necessary to overcome their followers' natural resistance to change?" (p. xi). Overcoming the resistance to change in others begins with understanding oneself.

Requirements for Effective Change Management

To lead and manage change effectively requires managers to do the following:

- Listen with intent.

- Understand your values and motives.

- Submerge your ego.

- Be flexible.

Listen With Intent

It is a rare manager or supervisor who knows how to listen at a deep enough level to understand the real organizational and personal challenges and opportunities inherent in change. Effective change agents do not just listen to what is being said but also read body language and listen to what is not said. (See chapter 4, "Oral and Written Communication," and the section on communication in chapter 8, "Team Building," for discussions on the unspoken elements in communication.) True active listening pushes for the deeper meaning of words and behavior. Listening with intent helps a manager or supervisor understand the "wants" and needs of his or her players. Managers and supervisors who want to see their changes implemented should learn to listen carefully.

Understand Your Values and Motives

To be an effective force for change, managers and supervisors must understand why they truly want something to be different. Is change really in the organization's best interest or is it for personal gain? Do they resist an idea because it is not a good one or because they do not like the person who suggested it? Often managers and supervisors fail to examine their own values to determine the underlying motivation behind their desired change or their resistance.

Simply put, effective change begins when leaders begin to change themselves.

—James O'Toole, Author, *Leading Change: The Argument for Values-Based Leadership*

Submerge Your Ego

Knowing when to step out of the way and let go of an idea or proposal is a valuable skill in finding solutions that meet the needs of the critical players. It requires changing one's behavior to achieve the greater good or a long-term objective. One must be able to let go of ownership. Great change can be accomplished when receiving recognition is less important than achieving implementation.

Be Flexible

A common complaint of line staff and less astute supervisors is that senior managers do not stay the course but often change their minds. It can appear (and sometimes may be true) that senior staff focus only on what is politically viable. It also may be that they have learned that problems have many potential solutions and the best solution is the one that is stable and lasting. To craft such a solution requires modifying one's behavior and remaining detached from any one solution to a problem.

In sum, although managers and supervisors may not have fully developed all these skills because they are abilities rarely viewed as necessary to manage change, they can be learned. Managing change involves articulating a vision and finding ways to get others to buy into that vision. To accomplish this and to shape and implement viable solutions that can endure, managers and supervisors need to develop self-awareness.

The Change Process in Action: Eight Steps to Transforming Organizations

A model that provides concrete steps for organizational change is John P. Kotter's "Eight Steps to Transforming Organizations," presented in exhibit 12–1. Although Kotter often speaks of large-scale organizational change, the principles of his model also apply to smaller unit or division change. As the steps of Kotter's model are being discussed below, the work of other change experts will be cited to highlight particular points or to provide examples.

Establishing a Sense of Urgency

Kotter argues that half of all change efforts fail at the start because those who need to change are not motivated to do so. Managers and supervisors spend a great deal of time analyzing the "want," what "is," and the "players." By the time a manager or supervisor has decided to be a force for change, he or she believes fully in the need for the change. It is easy for managers and supervisors to forget that others may not be so convinced of the need for change.

Creating a sense of urgency for the change is essential. The majority of the affected players must not only understand, but also want the change. William Bridges, in *Managing Transitions* (p. 53), says to sell the problems before the

> They always say time changes things, but you actually have to change them yourself.
>
> —Andy Warhol

Exhibit 12–1. Eight Steps to Transforming Organizations

Establishing a Sense of Urgency	**1**

Examine market and competitive realities.
Identify and discuss crises, potential crises, and major opportunities.

Forming a Powerful Guiding Coalition	**2**

Assemble a group with enough power to lead the change effort.
Encourage the group to work together as a team.

Creating a Vision	**3**

Create a vision that helps direct the change effort.
Develop strategies for achieving that vision.

Communicating the Vision	**4**

Use every vehicle possible to communicate the new vision and strategies.
Teach new behaviors by the example of the guiding coalition.

Empowering Others To Act on the Vision	**5**

Get rid of obstacles to change.
Change systems or structures that seriously undermine the vision.
Encourage risk taking and nontraditional ideas, activities, and actions.

Planning for and Creating Short-Term Wins	**6**

Plan for visible performance improvements.
Create those improvements.
Recognize and reward employees involved in the improvements.

Consolidating Improvements and Producing Still More Change	**7**

Use increased credibility to change systems, structures, and policies that do not fit the vision.
Hire, promote, and develop employees who can implement the vision.
Reinvigorate the process with new projects, themes, and change agents.

Institutionalizing New Approaches	**8**

Articulate the connections between the new behaviors and corporate success.
Develop the means to ensure leadership development and succession.

solutions. People most commonly resist change because they do not understand the purpose behind it or they see it as a criticism of how things are now being done.

Players will be most open to potential change that they believe is genuinely needed. They must understand the purpose behind the change, and they must see

that the manager or supervisor genuinely believes that the change is necessary and that it is consistent with the manager's or supervisor's values. This is not to imply that the manager or supervisor must have all the answers. Most players react better to hearing that certain details have not been worked out or that some issues are unclear than to being told nothing. Genuine, honest communication is best, even if it simply says that you do not know.

Forming a Powerful Guiding Coalition

Depending on the scope of the proposed change, the guiding coalition will cut across the organizational hierarchy or remain within a division or unit. In either case, a group is needed to shepherd the change process. This coalition must listen to all the players affected by the proposed changes and keep them informed and engaged in the change process.

The coalition should function as a high-performing team (see chapter 8, "Team Building," for guidelines on building a team). It must be empowered to help shape the proposed change, create a viable implementation plan, and communicate the vision to the affected players.

John P. Kotter, in his 1996 book *Leading Change,* identifies four key characteristics of effective guiding coalitions (p. 57):

- *Position power:* Enough key players are on board so that those not participating cannot easily block progress.

- *Expertise:* The skill sets needed to make the best informed decisions are present.

- *Credibility:* The group has enough people with good reputations that it will be taken seriously.

- *Leadership:* The group has proven leaders who can drive the change process.

Creating a Vision

Understanding the purpose of a change is essential, but players immediately move on to wanting to know what the change will look like. Players need tangible images of the future. They also need to hear what the strategies for making the change will be.

Communicating the Vision

A magnificent and compelling vision, poorly communicated, will fail. Communication is not just about explaining the vision; it is about developing rapport and trust.

In correctional agencies/organizations, managers and supervisors often communicate too little in terms of both quantity and quality. Workload, lack of resources, shift work, and the hierarchical nature of corrections make effective

communication difficult. The more disruption and behavioral adjustments a change entails, the greater is the need for good communication. A memo, e-mail, or verbal explanation is not adequate for complex change. Several forms of communication will be required to explain the purpose of change before implementation issues can be considered. Adults learn differently so ensuring that the meaning behind the proposed change is communicated in different formats increases the number of people who will be reached.

Guidelines for communicating the vision effectively include the following:

- **Repeat and repeat again.** A rule for implementing a simple change is to communicate it three different times in three different ways. Complex changes require even more repetition. Address different learning styles by meeting visual, auditory, and kinesthetic needs.

- **Use metaphors, analogies, and examples.** Be sure these are from a frame of reference that the audience will understand. The simpler they are, the better. Give the audience a simple way of understanding something more complex.

- **Walk the talk.** Actions impress more than words, so model the behavior you expect. For example, if you are asking for budget cuts, then cut your budget first.

- **Use different communication vehicles.** Use group meetings, newsletters, shift changes, informal one-to-one conversations, audio/video presentations, e-mail, memos, posters, etc. Apply the rule of three; make the message be seen, heard, and experienced.

- **Explicitly address seeming inconsistencies.** If the proposed vision conflicts with current behavior in any areas, explain why.

Empowering Others To Act on the Vision

The need for change in one area often signals the need for change in other areas as well. These areas will likely impede the change effort that you are making. Four steps that a manager or supervisor can take to support employees' efforts to implement change are:

- **Make structures support the change.** Do current operating policies and practices create barriers to implementing the change? How might they need to be changed?

- **Provide needed training.** Training, more than almost any other activity, will help staff get over resistance to the change. Yet training often is not provided or is so cursory as to be meaningless.

- **Align personnel and information systems with the change.** Do personnel and information systems support the proposed change? Managers and supervisors should do what they can to help players support the vision.

- **Confront those who undercut change.** Failure to confront those who knowingly and willfully block the change will stymie support from other players.

Planning for and Creating Short-Term Wins

Consciously creating milestones and events to celebrate is an effective way to keep the change momentum going. Ellen Schall, a recognized corrections expert, speaks of "chunking the work" and "celebrating small wins." By this she means setting concrete and doable goals. If change is to take hold, employees have to be a part of it and they need to see progress. John P. Kotter says a good short-term win has three characteristics:

- It is visible. People can see for themselves that it is real.

- It is unambiguous.

- It is clearly related to the change effort.

Another reason for short-term wins is to create opportunities for success and celebration. They are a way to link rewards with performance. Planning for opportunities to celebrate is part of the guiding coalition's job. All who are invested in the change must seek opportunities to reward those who are making the change happen.

Celebrations should be done in the way that is most meaningful to the individual or group being honored. This assumes that the manager and other leaders know the players well enough to determine what would be meaningful to them. Would it be an honorary plaque, being served lunch, or receiving a desirable assignment? Would it be a public or private acknowledgment? James Kouzes and Barry Posner, in *The Leadership Challenge,* provide ideas on how to celebrate and "encourage the heart."

Consolidating Improvements and Producing Still More Change

Beware of declaring victory too soon. It takes years for even a moderate change to take hold. Creating monitoring systems is essential in preventing organizations from quickly slipping back into the old way of doing things. The leadership for monitoring the ongoing implementation of the change(s) must reside with someone who has the time, power, and passion to ensure that erosion does not occur.

> Never underrate the importance of visibly appreciating others and their efforts.
>
> —Joan Nicolo, Computing Resources, Inc., quoted in James M. Kouzes and Barry Z. Posner, *The Leadership Challenge*

Institutionalizing New Approaches

Organizational culture is a powerful force that greatly influences staff behavior. It is typically composed of many unspoken values and norms that may compete with the values articulated in the correctional setting. New employees learn shared values and norms by observing how more senior employees perform their jobs. In this way, organizational values persist over time even as staff change.

The final stage of organizational change is to anchor the change in the culture. Changing a unit's or organization's culture is challenging, and the resistance to a proposed change increases in direct proportion to the degree of cultural change required. If, however, employees see a benefit to the change, over time they will find a way to make it fit with the organization's culture or will change the culture.

Kotter offers the following insights into how change becomes part of the organizational culture:

- **Comes last, not first.** Most alterations in norms will follow the change.

- **Depends on results.** If the change has a benefit, the new approach will usually be incorporated into the culture.

- **Requires a lot of talk.** People often require verbal instruction and support to admit the validity of the change.

- **May involve turnover.** Sometimes organizations have to change key people to change the culture.

- **Decisions on succession are crucial.** If promotion practices are not made compatible with the new change(s), the old culture will reassert itself.

Managing Transitions
Moving From "IS" to "WANT"

The greatest challenge in managing change is not discerning what needs to change, but managing the transition from "what is" to "what is desired." Whereas John P. Kotter provides a useful framework for organizing a change process, William Bridges focuses attention on how to manage the human side of change. Bridges helps managers understand the emotional impact of change and how to manage the transition from "is" to "want."

Bridges points out that before one can begin, one must end. As human beings, we must transition from what we are losing before we can embrace what we are beginning. Resistance is even greater when one is letting go of a way of doing things that seems to work well and has no idea if the new way will be successful once it has been implemented.

Three Stages of Transition

Three Stages of Transition

Ending   ➡️   Neutral Zone   ➡️   Beginning
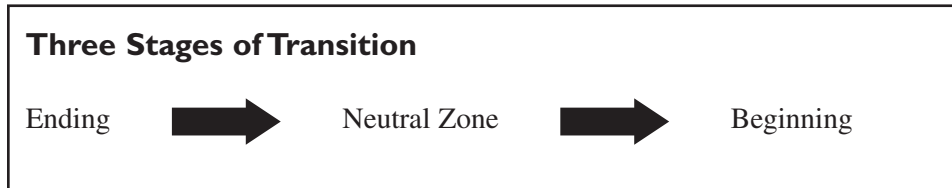
As has been noted, before people and organizations can begin, they must end. The ending is usually followed by what Bridges calls the neutral zone, a time when the organization has not fully left the old behind and has not fully embraced the new. Ultimately this passes into the beginning of the new. If managers and supervisors understand these three stages of transition, they can support the players as they move through the phases. The change process on an emotional level is like the five-stage grieving process defined by Elizabeth Kübler-Ross in her book, *On Death and Dying.* Just as one moves through the grieving stages of denial, anger, bargaining, and depression into acceptance, so one might move through these stages during the change process.

Ending

Understanding the impact of an ending, even something as simple as giving up a familiar form or a minor change in protocol, requires managers and supervisors to acknowledge both intellectually and emotionally that those affected feel a sense of loss.

For example, elimination of a form seems straightforward enough. Why would anyone experience a loss over something so seemingly insignificant? A skilled change agent watches and listens to understand why such an obviously innocuous change might engender resistance. For example, staff members who worked hard on a committee to create that form take pride and ownership in it. Others might resist the change because of what losing the form symbolizes—more change in an agency suffering from organizational fatigue.

Guidelines for responding to endings include the following:

- Describe in detail what is going to change.

- Determine if this will cause secondary changes.

- Identify who is going to have to let go of something.

- Acknowledge what is "over" for everyone.

Perhaps most challenging when attempting to understand loss is suspending judgment. A skilled change agent does not argue about the validity of the loss and accepts the reality and importance of the loss for the affected players. Often one discovers history or information that was not fully understood.

> Change has a considerable psychological impact on the human mind. To the fearful it is threatening because it means that things may get worse. To the hopeful it is encouraging because things may get better. To the confident it is inspiring because the challenge exists to make things better.
>
> —King Whitney, Jr., President, Personnel Laboratory, Inc.

Guidelines for helping affected players with an ending include the following:

- Listen. Do not argue.

- Do not be surprised by overreaction.

- Acknowledge the losses openly and sympathetically.

- Treat the past with respect.

Show how endings are necessary to move forward, ensuring the continuation of what the players value and supporting the mission.

A manager or supervisor can try to compensate for a loss in many ways. In the forms example, the manager or supervisor could enlist the affected staff to help craft the replacement form. The more that can be given to replace the loss, the easier the transition will be. Managers and supervisors can give the following as compensation:

- Turf.

- Status.

- Recognition.

- Team membership.

Neutral Zone

> It is not so much that we're afraid of change or so in love with the old ways, but it's that place in between that we fear . . . . It's like being between trapezes. It's Linus when his blanket is in the dryer. There's nothing to hold onto.
>
> —Marilyn Ferguson, American Futurist

Techniques for Coping With the Neutral Zone

- Create temporary systems.
- Clarify each part in the play.
- Establish a transition management plan.

Bridges labels the time when the old systems have not yet ended and the new have been announced but not implemented as the "neutral zone." It can be a time of confusion. The procedures to implement the policies are not yet written and the systems needed to support the change may be delayed. A change effort can be hindered in countless ways before and during change implementation. A manager or supervisor can take several steps to help employees through the transition. They include the following:

- **Create temporary systems.**

  - Try not to add other changes to the system while bringing on this change.

  - Use a transition monitoring team.

  - Review policies and procedures to see if temporary revisions are needed to see the organization through the transition period.

  - The normal hierarchy often fails at this time; determine whether acting positions are needed.

  - Have clearly identified short-term wins.

  - Don't promise great things in the beginning; plan a slow startup.

  - Provide any special training needed.

- **Clarify each part in the play.**

  - Let employees know how they fit into the outcome.

  - Determine the roles employees play in the transition.

- **Establish a transition management plan.**

  - Start where the players are, not where the manager or supervisor is.

  - Work forward step by step.

  - Address "people needs" in the transition plan as well as operational needs.

Beginning

Celebrating the ending and the launch of the beginning is helpful. For example, if a new financial system is being implemented, the day it is up and running, sponsor a small lunch or give out small awards. People need to be appreciated for surviving the transition!

A simple way of organizing what needs to be done in the beginning phase is to remember the four P's:

- *Purpose:* Explain it over and over again.

- *Paint a picture:* It helps people understand how the outcome will look and feel.

- *Plan:* Create a phased-in plan that clearly outlines the steps in the process.

- *Part in the play:* Give everyone a role to play in the process so each person has ownership and can contribute.

Summary

To manage change effectively requires knowing oneself and others. It requires an attempt to understand how those potentially affected by the change feel about the change and what can be done to transition them from an ending to a beginning. It requires tenacity to stay the course from ending to beginning to institutionalization.

Understanding that resistance to change is normal increases the chances of creating an effective change process. The change process must be designed to address the fear, angst, and turmoil that are often part of it. The guiding coalition must be able to articulate the urgency of the change and frame it so others can understand the process. Existing structures and systems must be examined to ensure they are not impediments to the change, and short-term wins must be planned and celebrated. Finally, when all seems to be going well, attention must be paid to ensuring that the change is fully integrated into the organizational culture so backsliding does not occur.

Change is not for the faint of heart. It requires tenacity and a willingness to listen and to learn. It requires respect and trust—respect for those affected by the change and trust that both the leader and the led are working for the organizational good.

Key Skills and Behaviors

> *Skill:* The ability to do something well arising from talent, training, or practice; expertness; special competence in performance.
>
> *Behavior:* The manner of conducting oneself; observable activity.

Understanding the Change Dynamic

Skill: Understanding how change works.

Behaviors:

- Identify what you want.

- Identify the other players and their characteristics.

- Describe the current situation from your perspective and that of other players.

- Clarify why you are invested in this change and how your interests fit with those of other players.

Skill: Listening with intent.

Behavior: Actively listen to others to understand their views and feelings.

Skill: Understanding your values and motives.

Behavior: Clarify your values and motives so you can articulate them to other players.

Skill: Submerging your ego.

Behavior: Develop the capacity to make the change effort a higher priority than your need for ownership or recognition.

Skill: Being flexible.

Behavior: Remain detached from any one solution to a problem.

The Change Process in Action: Eight Steps to Transforming Organizations

Skill: Establishing a sense of urgency.

Behaviors:

- Create a compelling case for why the change is needed.

- Communicate in as many ways as possible.

Skill: Forming a powerful guiding coalition.

Behaviors:

- Assemble a team that is respected enough to be able to craft and sell the change.

- Support the team with resources.

- Provide encouragement and appreciation for the team's efforts.

Skill: Creating a vision.

Behavior: Describe the endpoint and the strategies for achieving it.

Skill: Communicating the vision.

Behaviors:

- Identify multiple strategies for communicating the change.

- Communicate often.

- Find multiple avenues for input by those affected.

Skill: Empowering others to act on the vision.

Behavior: Remove obstacles to change and create opportunities for players to risk and innovate.

Skill: Planning for and creating short-term wins.

Behavior: Identify short-term milestones and the best way to celebrate them.

Skill: Consolidating improvements and producing still more change.

Behavior: Change systems and people who do not support the vision.

Skill: Institutionalizing new approaches.

Behaviors:

- Explain why the change promotes unit/division/agency success.

- Monitor the change until the change becomes part of the organizational culture to ensure staff members do not revert to old ways of doing business.

Managing Transitions

Skill: Understanding what is ending for affected players.

Behaviors:

- Listen without judgment to learn what affected players are losing and how history impacts this change effort.

- Acknowledge the losses openly and sympathetically.

- Show how endings ensure continuity of what really matters.

Skill: Compensating for losses.

Behavior: Find ways to give back turf, status, recognition, and/or team membership.

Skill: Reducing confusion and managing the transition period effectively.

Behaviors:

- Create temporary systems to provide support through the transition period.

- Help people understand their roles during the transition period and after changes are implemented.

- Help people understand how the outcome will look and feel; clarify and celebrate their role in it.

Appendix 12–1. Focus Matrix for Managers and Supervisors: Managing Change		
	Manager	**Supervisor**
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Key Skills and Behaviors		
Understanding the Change Dynamic	• Develops an understanding of his or her motives for making change. • Identifies the potential impact of the proposed change(s) within his or her span of control. • Identifies the potential impact of the proposed change(s) outside of his or her unit. • Develops active listening skills. • Is flexible with regard to possible solutions. • Puts his or her needs second to achieving the goal.	• Develops an understanding of his or her motives for making change. • Identifies the potential impact of the proposed change(s) within his or her span of control. • Gives thought to possible external impact, but focus at supervisor level is primarily within supervisor's span of control. • Develops active listening skills. • Is flexible with regard to possible solutions. • Puts his or her needs second to achieving the goal.

	Manager	Supervisor
Appendix 12–1. Focus Matrix for Managers and Supervisors: Managing Change (continued)		
Key Skills and Behaviors (continued)		
The Change Process in Action: Eight Steps to Transforming Organizations	• Creates a compelling case for why change is needed. • Forms the best team to guide the process. • Clearly describes the goal and how it will impact other players. • Creates different ways to communicate the change, • Identifies ways for others to be a part of the solution. • Identifies milestones and celebrates them when achieved. • Consolidates changes. • Monitors the changes to ensure that they become part of the culture of the division or unit.	• Creates a compelling case for why change is needed and forms the best team to guide the process. The scope of change may be narrower for a supervisor so a team may not be the best vehicle for implementing and monitoring the change. • Clearly describes the goal and how it will impact others. • Creates different ways to communicate the change. • Identifies ways for others to be a part of the solution. • Identifies milestones and celebrates them when achieved. • Monitors the changes to ensure that they become part of the culture of the unit.
Managing Transitions	• Shows others affected by the change that he or she understands what is ending for them and helps them understand that the change helps the division or unit fulfill the correctional agency/organization's mission. • Finds ways to compensate for losses experienced by those affected by the change. • Develops any temporary systems needed to get through the transition period. • Helps people affected by the change understand their role in the transition period and honors their contribution.	• Shows others affected by the change that he or she understands what is ending for them and helps them understand that the change helps the unit fulfill the correctional agency/organization's mission. • Finds ways to compensate for losses experienced by those affected by the change. • Develops any temporary systems needed to get through the transition period. • Helps people affected by the change understand their role in the transition period and honors their contribution.

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Program Planning and Performance Assessment

Cindi Yates

This chapter addresses program planning and performance assessment from the perspective of correctional managers. It discusses why program planning and performance assessment are important for correctional managers and presents a method for developing a program plan and linking it to the correctional agency/organization's strategic direction. It also describes how program planning and performance assessment create a continuous feedback cycle to help managers implement and refine programs. The chapter outlines the key skills and behaviors related to program planning and performance assessment. Finally, it presents a matrix (exhibit 13–1) that relates program planning and performance assessment to the responsibilities of correctional managers and supervisors.

Chapter 13

Definitions

Program Planning: The process of developing a comprehensive plan that provides leadership, direction, and resource prioritization to ensure that the intended results of a program undertaken by a correctional agency/organization are achieved. A program plan must link to and support the strategic direction of the correctional agency/organization.

Program Performance Assessment: Program performance assessments describe how success in achieving goals will be measured and tracked. The targets of performance measurement provide the quantifiable answer to the question, "How will we know we've been successful in achieving our goal?" Analyzing the gaps between current performance levels and performance targets helps organizations identify priority areas in need of improvement, develop strategies that will close the gap, and identify best practices that can be applied throughout the organization.

Knowledge Base

Why Should Correctional Managers Develop This Competency?

As correctional resources become more limited, planning becomes more critical to target those limited resources toward the best strategies for achieving the most important results. Managers (and to a lesser extent, supervisors) need information to evaluate and make decisions about the programs they oversee— information that tells them whether the intended results are being achieved. Performance measurement and program evaluations are two methods used to measure program success.

Effective leadership reflects how key decisions are made, communicated, and carried out at all levels of an organization. It relies on shared values, expectations, and purposes that are communicated and reinforced among leaders, managers, and supervisors and are made evident in the actions of the organization. Effective leadership must have a clear vision and set expectations for performance and for improving performance.

Program planning and performance assessment are valuable tools for leaders to use in establishing organizational direction, performance expectations, customer/constituent focus, and a leadership system that promotes excellence. They are also useful for communicating the correctional agency/organization's intentions and direction to regulatory and funding authorities. Effective program planning and performance assessment identify the program's contribution to the agency's mission.

This chapter offers a framework for developing and implementing a program plan in a correctional setting. A program plan is a comprehensive plan that aligns program resources with the correctional agency/organization's priorities, mission, and vision. In addition, this chapter provides a consistent set of definitions for performance measurement and program evaluation. Finally, this chapter discusses how program planning and performance assessment create a continuous feedback cycle that enables managers to refine their programs to help the correctional agency/organization carry out its mission more effectively and respond to changes in its strategic direction.

Linking the Program Plan to the Strategic Direction of the Correctional Agency/Organization

A program plan can be developed at the division, regional, functional, office, or work unit level. For the purpose of this chapter, "program plan" refers to a plan developed by any of these planning units. If the correctional agency/organization's overall vision and mission have been defined, the proposed program should support them. Whether the activity is called strategic planning, business planning, or something else, a successful manager needs to develop thorough answers to the following critical questions:

■ How does this program support the correctional agency/organization's strategic direction?

■ Where does the unit want its program to be in relation to the correctional agency/organization's strategic direction?

■ Where is the program today?

■ How does the unit intend to close the gap between where the program is and where it wants the program to be?

Exhibit 13-1. The Cascading Process for Goals and Strategies

The Cascading Process

Organizational Entity	Strategic Direction (Where)	Management Direction (What)	(How)	Measures (How Well)	Action Plans (Who, What, When)
Agency	Vision/ Mission	Common Goals	Strategies	Measures	Who What When
Division	Mission		Functional Objectives	Measures	Who What When
Program	Mission		Objectives	Measures	Who What When
Unit	Mission		Activities	Measures	Who What When
Individual/ Work Group	Mission		Tasks	Measures	Who What When

Source: Washington State Department of Transportation, Olympia, WA: n.d. Reprinted by permission of Washington State Department of Transportation.

Cascading the Correctional Agency/Organization's Strategic Direction

"Cascading" the correctional agency/organization's strategic direction (see exhibit 13–1) is a process for aligning the entire organization to achieve its vision, mission, and goals. Each appropriate organizational or functional unit

(e.g., division, region, program, work unit) develops goals and strategies that align with those of the organization as a whole. In turn, each manager works with direct reports to develop goals and strategies that align with the regional/division, functional, and program goals and objectives until those goals and strategies are communicated to the frontline personnel, as illustrated in exhibit 13–1. As a result, all staff know what they can do to contribute to the overall goals of the organization. The process of cascading the goals through program objectives, unit activities, and individual or work group tasks sets the direction, creates linkages, and establishes targets for achieving the mission of the correctional agency/organization.

Cascading goals and strategies is valuable because it focuses the efforts of the entire correctional agency/organization around a set of common goals, provides a common language, and drives cross-functional teamwork and prioritization of activities.

By participating in the cascading process, all employees can help determine the jobs, tasks, or areas that their work groups or units agree need attention. Group discussions with managers and supervisors about what each office does and how each unit contributes to the organization provide an opportunity for dialog among all levels of staff. Through these discussions, managers and supervisors can participate in establishing goals and strategies for their work areas, contribute to the development of goals and strategies for related areas, and help select the top priorities that need attention.

Managers and supervisors should also apply the identified goals and strategies when conducting employee performance evaluations. Reinforcing common goals through evaluation, reward, and recognition helps make employees at all levels of the organization accountable, which will be reflected in program results.

Developing the Program Planning Document

Organizations can choose among many methods of developing a program plan; each organization should tailor its method to meet its needs. The degree to which a correctional agency/organization sets a strategic direction through its planning efforts varies by organization. Program planning should be flexible so it can address the changing needs of the organization, its customers/constituents, and its stakeholders.

A program plan can be a valuable tool for communicating both inside and outside the correctional agency/organization and for initiating change within the agency. Although the components of the planning document will vary by organization, the document should always be simple, easy to read, and interesting to the target audience. Varying narrative text with bullets, graphics, and charts can help make the document user friendly.

Greatness is not where we stand, but in what direction we are moving.

—Oliver Wendell Holmes

Common building blocks for program planning include:

- Assessment of the external and internal environments.

- Vision (usually established at the agency/organization level, not the program level).

- Mission.

- Values (also usually established at the agency/organization level).

- Goals.

- Strategies/initiatives and financial plan (budget and resources).

- Performance measurement.

- Program evaluation.

Program planning can use many possible frameworks. Each organization should select the building blocks and framework that meet its needs. Using consistent definitions and involving the right people in each step to achieve organizational buy-in and ownership are critical.

The next sections provide definitions, examples, and recommended development strategies for each building block mentioned above. These recommendations set forth one method for developing a program plan. The process likely will change with each plan the correctional agency/organization develops. If the strategic direction of the organization is very specific, then a top-down approach to program planning is useful. If not, a bottom-up approach, in which line staff recommend solutions to organizational challenges, is most beneficial. The following recommendations use a top-down approach for some components and a bottom-up approach for others.

Assessment of the External and Internal Environments

The first step in program planning is to assess the external and internal environments. Ideally, the program plan is created through a data-informed process that begins with a scan of these environments.

It is important that decisionmakers understand the environment in which the correctional agency/organization's programs operate. For example: Is the offender population growing? How are the characteristics of the offender population changing (e.g., changes in the number or proportion of female offenders, youthful offenders, drug offenders, violent offenders)? What future challenges and issues does the organization need to be prepared for? It is also important to assess the correctional agency/organization's internal environment, including factors such as employee skills, turnover, culture, and technology resources.

The product of this assessment is an inventory of internal strengths and weaknesses, and external opportunities or threats (also known as a SWOT analysis). This analysis can help program planners identify critical issues, risks, challenges, and opportunities that the plan must address.

Program plans should be linked or aligned with capital and operating budgets. The internal assessment will identify emerging issues that may affect the organization's capital and technology needs. Changes in customers/constituents' expectations, program strategies, facility age, offender populations, and government initiatives may significantly change a program's facility and technology infrastructure requirements.

Vision

Vision Statement

The vision statement gives an image of the overall direction of the program; it states what the program aspires to do or become. A vision should be strategic, lofty, and inspiring. Not all programs establish a vision, especially if the correctional agency/organization has set a very clear organizational vision.

Examples of Vision Statements

- Working together for safe communities.
- We see a fair, just, and safe society where community partnerships are restoring hope by embracing a balance of prevention, intervention, and advocacy.
- Provide service, support, and solutions.

Recommendations for Developing a Vision Statement

Although the vision statement must come from the organization's executive leadership or the program head, this does not mean the top leaders can simply impose their vision. The vision must reflect what has gone before and give voice to the passion of employees. A great vision should come from the heart, it should be personal, and it should be inspiring. A vision statement should be clear, concise, and compelling.

The program head should use a process for vision development that is consistent with the correctional agency/organization's culture. Whether that process is directive, consultative, or collaborative (for an explanation of these terms, see chapter 8, "Team Building"), the program head must demonstrate commitment to the vision and should share that vision with the management team and get their input and buy-in. If the organization has a vision statement, the program's vision must be consistent with it.

Mission

Mission Statement

Like the mission statement for the correctional agency/organization, the program mission statement explains why the program exists. It clearly states what the program does, why it does it, how it does it, and for whom it does it.

Example of Program Mission Statement

The Office of Administrative Services Team, in partnership with our customers/constituents, provides quality services, integrated support, innovative solutions, and leadership to further the Department's success.

Recommendations for Developing a Mission Statement

A clear, well-communicated mission statement can be a unifying force for a program, clarifying its purpose for staff and stakeholders. It is critical that the management team develop the mission for the program. Buy-in and feedback from staff are important, but developing the mission remains the leadership's responsibility. All employees who are involved in the program should be able to relate their duties to the mission. In addition, the mission should be clearly understood by the public and authorizing bodies.

When developing a program mission statement, the following questions that relate to both the mission of the correctional agency/organization and the program itself should be answered:

- Who are we as a correctional agency/organization?

- What is the correctional agency/organization's purpose?

- Why does the correctional agency/organization do what it does?

- Who are the customers/constituents to be served?

- Is the mission consistent with the correctional agency/organization's enabling legislation?

- Is the program mission consistent with the correctional agency/organization's mission?

The best method for developing the mission statement is a focused, uninterrupted session with the management team. The statement should be brief.

Values

The correctional agency/organization's executive and senior-level leadership is responsible for defining the organization's values; however, managers and supervisors are responsible for ensuring that those values are adhered to at the program,

> Many leaders have personal visions that never get translated into shared visions that galvanize an organization. What has been lacking is a discipline for translating individual vision into shared vision.
>
> —Peter Senge, Author, *The Fifth Discipline*

unit, and work group levels (see chapter 2 of this publication, "Ethics and Values"). For a discussion of the development of values as part of the strategic planning process at the agency/organization level, see chapter 8, "Strategic Planning and Performance Measurement," in *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders*.

Goals

Goal Statements

Goal statements address the ends toward which a program's efforts are directed. A goal addresses issues by stating policy intention.

Goals chart the program's future direction. They should challenge the program, but should be achievable within 2 to 3 years. The goal development process focuses the program on clearly defined purposes. Goals should be broad and issue oriented and should reflect the realistic priorities of the organization. Goals state what the program wants to achieve; strategies state how it will achieve it.

> Long range planning does not deal with future decisions, but with the future of present decisions.
>
> —Peter F. Drucker, Father of Modern Management

Examples of Goal Statements

- Provide a safe, secure, and healthy environment at all departmental facilities and work sites.
- Provide control and interventions consistent with the offender's risk potential and conditions imposed by the court.
- Hold offenders accountable for harm done to victims and the community.
- Provide services that increase chances for offenders to succeed in the community.

Recommendations for Developing Goals

The management team should be involved in identifying the program goals. Because the goals need to reflect the priorities of the entire program, input from employees, stakeholders, and customers/constituents is important. However, the management team must make the final determination of the program's goals. A retreat or meeting of the management team to focus and prioritize is a useful method for finalizing goals.

The following questions are helpful to consider when developing program goals:

- Are the goals consistent with the program's vision and mission?

- If the goals are achieved, will the program's mission be achieved?

- Do the goals provide a clear direction for the program?

- What should the program focus on?

- Can measurable objectives be developed for each goal?

- Can everyone contribute to achieving the goals?

- Can the goals be achieved within 1 to 3 years?

Strategies/Initiatives and Financial Plan (Budget and Resources)
Defining Strategies and Initiatives

Strategies are initiatives or actions undertaken to achieve the goals and objectives of the program. The outcomes of strategies are action oriented, measurable, and address challenges or performance gaps.

Examples of Strategies

- Train correctional facility staff in tactical verbal skills to enable them to defuse situations that could escalate into violence.
- Create job placement programming in the community; develop employer incentives to hire/train offenders.
- Establish a chemical dependency screening procedure at each facility for incoming offenders.

Recommendations for Developing Strategies and Initiatives

Strategies reflect the method or means for achieving the program's goals or objectives. Managers, supervisors, and line staff should participate in developing program strategies. The management team should make the final decision on which strategies will be implemented; however, those who do the work every day often have the best ideas for improving how they do their jobs.

Identify and use "what works." An important part of developing a program's approach to achieving its goals and objectives is identifying strategies that research has shown to be effective for similar programs. The National Institute of Corrections and others have documented best practices in many areas of correctional operations. For example, MacKenzie and Hickman, in their report on the effectiveness of offender rehabilitation programs in Washington State, "What Works in Corrections?", reference several research studies indicating that community employment programs are effective in reducing recidivism. Therefore, a strategy to expand job opportunities for offenders may support the achievement of a program goal to reduce recidivism.

Planners should consider the following when developing strategies:

- Does the research support this strategy/initiative?

- Will implementing the strategy/initiative assist the program in achieving its goals?

- Will implementing this strategy/initiative require additional resources?

- Is the strategy/initiative consistent with the program's vision and mission and the correctional agency/organization's values?

- Can the program achieve this strategy/initiative?

- Is statutory change necessary to implement the strategy/initiative?

Financial Plan (Budget and Resources)

Considering the resource needs for each strategy/initiative is critical to success. The cost/benefit of each strategy/initiative should be analyzed to establish priorities and choose strategies for the final plan. Unless resources are aligned with each strategy/initiative, the program's goals cannot be achieved.

The following questions are helpful to consider when developing a financial plan:

- What staffing, equipment, training, and other resources are needed to implement the strategy/initiative?

- Can the strategy/initiative be achieved using currently available resources?

- If additional resources are needed, can they be reallocated from other areas?

- Is the project contingent on requesting funding in the correctional agency/organization's operating or capital budget?

- Is outside grant funding available?

- Does the strategy/initiative have cost impacts for other state or local agencies or organizations?

Performance Measurement and Program Evaluation

See the following section of this chapter, "Program Performance Assessment," for a discussion of performance measurement and the development of performance measures and program evaluations.

Program Performance Assessment

Managers and supervisors need information to evaluate and make decisions about the programs they oversee—information that tells them whether the intended results are being achieved. Performance measurement and program evaluation are two methods used to measure the success of a program.

Performance measurement examines the tangible results and accomplishments of an activity or program according to a specific set of criteria or specific

> Asking the right questions takes as much skill as giving the right answers.
>
> —Robert Half, Founder, Robert Half Finance and Accounting

numerical or otherwise definable goals. However, in many cases, a program's results may not be easily defined or measured in terms of a numerical goal. In those cases, or when a correctional agency/organization wants to look at a program from a broader perspective, a performance evaluation or performance audit may be appropriate.

Why Institute Performance Measures?

- Performance measures are a powerful tool in driving desired behavior.
- Performance measures give individuals direction in what they need to accomplish.
- People respond to what is inspected, not what is expected.

Performance Measurement

Defining Performance Measurement

Performance measurement is an ongoing process of measuring the results and accomplishments of an activity or program. Because performance measures tend to focus on regularly collected data, they can act as an early warning or indicator of a trend.

For some programs, outcome data or observable results are not readily available, especially in the short term. Because many outcome measures require examining a long-term result such as recidivism, intermediate outcome measures that are correlated with the long-term outcome or goal are useful. Intermediate measures provide a method for monitoring short-term and intermediate outcomes, an opportunity for results-based management, a means of improving resource allocation decisions, and an ongoing system of measuring and evaluating performance.

Exhibit 13–2 illustrates the relationship between short-term activities and programs, intermediate measures, and long-term outcome measures.

Types of Performance Measures

Types of performance measures that correctional programs may find useful include objective statements, outcome measures, input measures, process/workload measures, and efficiency measures. Because different measures may be useful to different audiences, correctional programs should develop a range of measures. For example, process measures and workload measures are useful for internal managers and staff, but the public, the legislature, and the Governor are most interested in outcome measures or the results of programs.

Exhibit 13–2. The "So That" Chain
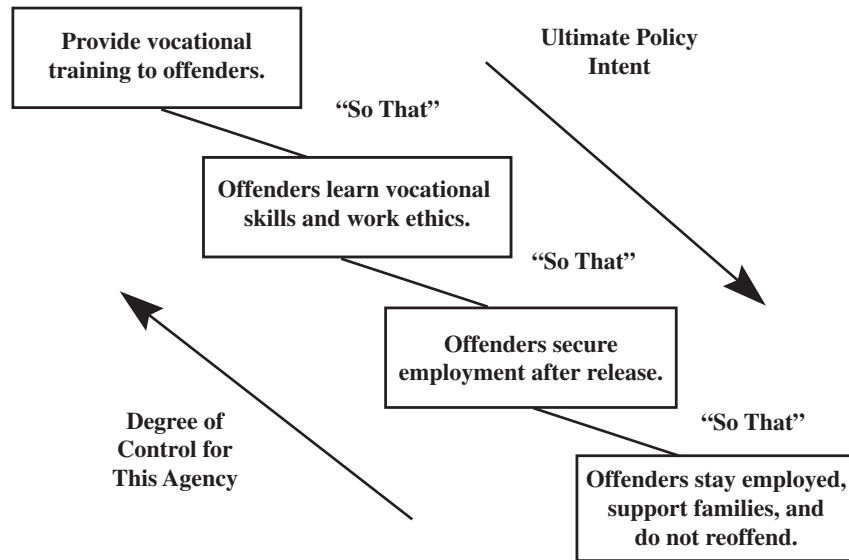
Source: Public Knowledge, Inc., "Instituting Performance and Outcome Measures," training seminar presented to Washington State Department of Personnel, Olympia, WA, n.d. Reprinted by permission of Public Knowledge, Inc.

Types of Performance Measures

- Objective statements.
- Outcome measures.
- Input measures.
- Process/workload measures.
- Efficiency measures.

Objective statements. Objective statements are clear targets for a specific action that can be measured and achieved within a specified timeframe. A goal may be divided into multiple objectives. Each objective should be expressed in terms of increasing, decreasing, or maintaining something.

Example: Increase by 5 percent the number of offenders who successfully complete education course subject levels.

Outcome measures. Outcome measures are indicators that assess the impact or results of a program. Outcome measures should capture why a program exists.

Example: Percentage of offenders who receive a high school diploma or GED.

Input measures. Input measures address the amount of resources needed to provide a program or service.

Example: Total operating expenditures for supervision of offenders on community supervision and community placement.

Process/workload measures. Process or workload measures (output) are the number of units produced or services provided by a program. They capture what a program does.

Examples:

- Total number of offenders who need educational programming who are actually enrolled.

- Percentage of available classroom slots filled.

Efficiency measures. Efficiency measures express the cost per unit of products or services provided or the productivity associated with an outcome or workload.

Example: Average cost per offender on community supervision and community placement.

Recommendations for Developing Performance Measures

As with strategies, teams of employees representing all levels of the correctional agency/organization should be used to develop the performance measures; however, the program leaders make the final decision on the objectives and measures most important to the program. Measures should link to the goals, strategies, and initiatives identified in the program plan. Planners should be certain that the measures chosen address the program's performance issues because unintended consequences may result from emphasizing the wrong measure. For example, if the goal is to improve the case planning process and the organization measures the number of case plans completed within a certain timeframe, staff may respond by increasing the number of case plans completed, but the quality of the plans may decline.

The following questions are helpful to consider when developing performance measures:

- Does each measure support achievement of a goal?

- Will the audience understand the measure?

- Can the data source be identified and is it reliable?

- Is the cost of collecting the data reasonable?

- Do program activities affect the achievement of the measure?

Monitoring and Reporting Performance Measures

This section discusses two techniques for monitoring and reporting on program performance: exception reporting and management review. These techniques are often used together.

Tips for Establishing a Reporting Process

The following considerations are useful in developing a process for reporting on performance measures:

- Designate someone to be responsible for compiling the performance measure reports and disseminating the reports throughout the correctional agency/organization.
- Tailor the reporting to the audience, compare actual to expected performance, and provide explanatory information.
- Develop easy-to-understand formats (tables, charts, and graphs) for quantitative reporting.
- Provide timely information for management purposes.
- Look at what is working well and share best practices.

Exception report. Objective program-related data are vital to good program management. One tool used to assess whether or not the program is achieving its performance goals and targets is the exception report process. Each performance measure is reported on a graph that indicates current performance, stated target, and an exception trigger. Measures that are reported to be outside the predetermined parameters—"exceptions"—trigger an exception report. The exception report is a message that the program is (1) meeting expected performance levels, (2) exceeding expected performance levels, or (3) not meeting specific performance goals. It may trigger further review.

Management review. Management review is another method used to assess performance measures and identify best practices, often in conjunction with exception reporting. On a quarterly or monthly basis, managers make structured presentations on their performance measure data to the correctional agency/organization's executives and senior-level leaders. These presentations focus on measures that have triggered an exception report. Specific questions asked at this review include:

- *Administrative:* What has been done to affect this performance measure?

- *Descriptive:* What were the results?

- *Diagnostic:* Were the desired results achieved?

- *Creative and predictive:* After review of the results, should other options be considered and why?

- *Evaluative:* What do you feel is, or could be, the best choice to affect this performance measure?

After the managers answer these questions, a group discussion can focus on three areas:

- What are the best practices?

- What are the apparent barriers to success and/or problems?

- What opportunities exist for collaborative problem solving?

Managers are encouraged to begin formulating answers to these questions as soon as an exception report is triggered.

Program Evaluations and Performance Audits
Program Evaluations

If a program's results are not readily defined or measured, a **program evaluation** may be needed—in addition to performance measurement—to determine the extent to which the program is meeting its goals and objectives. Program evaluations are systematic studies conducted to assess how well a program is working. They typically examine a broader range of information than is considered in ongoing performance measurements, such as longitudinal data and information on processes, barriers, quality, and linkages to other programs. Evaluations can also be used for one-time analysis of data that, while useful, would be too costly to collect on a regular basis.

Like performance measurement, program evaluations support resource allocations and policy decisions to improve service delivery and program effectiveness. Whereas performance measurement, because of its ongoing nature, can serve as an early warning system to management, a program evaluation is typically a more indepth examination of program performance that assesses overall outcomes and identifies ways to better achieve intended results.

Performance Audits

A **performance audit** is an independent assessment of quality, efficiency, and effectiveness. It can be an effective tool for verifying performance and quality standards that may be difficult to capture with ongoing performance measures. Frontline employees should have a principal role in establishing the performance audit process and in helping to fix processes and practices the audit reveals as needing improvement. Clear performance standards are necessary if the audit is to determine whether expected results are being achieved.
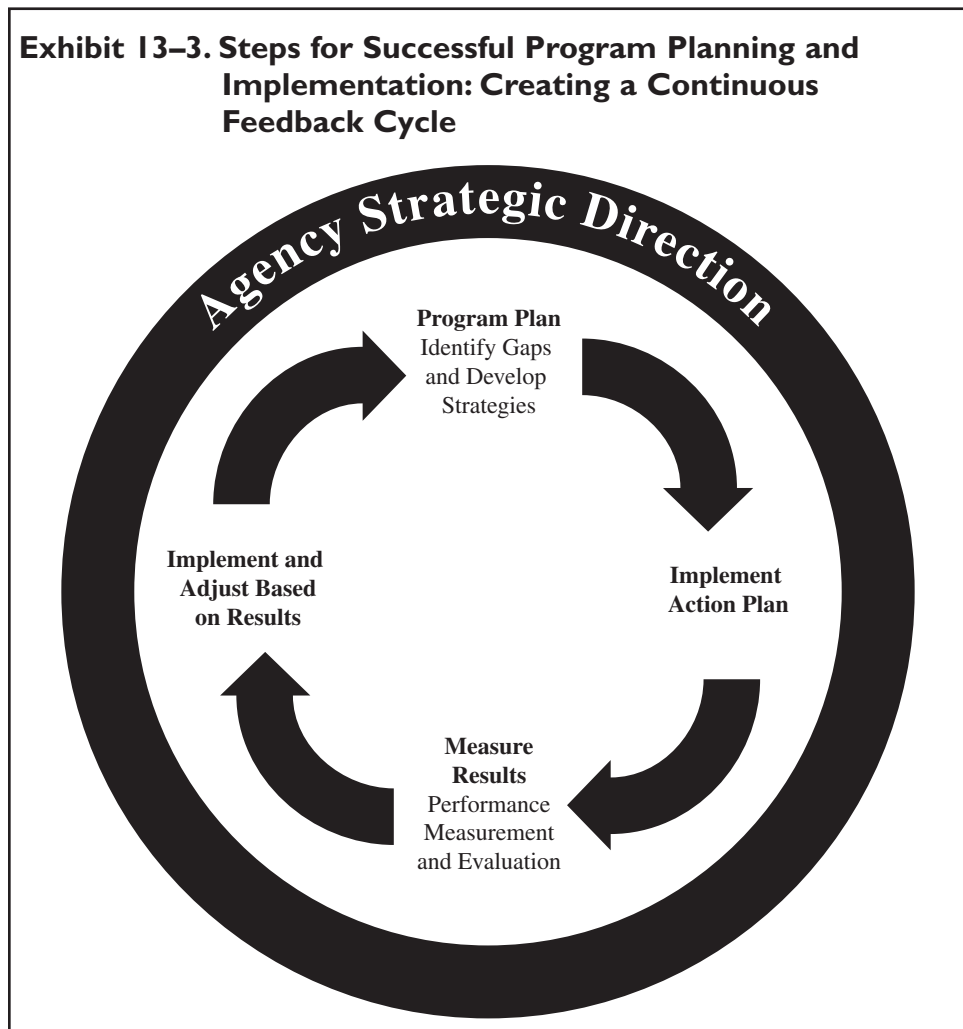
Successful Program Planning and Implementation:
Creating a Continuous Feedback Cycle
Components of the Feedback Cycle

Program planning is successful only if the program is implemented and achieves positive results that support the correctional agency/organization's strategic direction. Successful programs rely on a process that includes the following steps:

■ Planning—Identify gaps and develop strategies.

■ Implementation—Carry out action plans.

■ Monitoring—Measure results.

■ Ongoing Quality Improvement—Adjust and plan for the future.

Exhibit 13–3 shows how these steps create a continuous feedback loop that relates the program to the correctional agency/organization's strategic direction.

Exhibit 13–3. Steps for Successful Program Planning and Implementation: Creating a Continuous Feedback Cycle

Agency Strategic Direction

Program Plan
Identify Gaps
and Develop
Strategies

**Implement
Action Plan**

**Measure
Results**
Performance
Measurement
and Evaluation

**Implement and
Adjust Based
on Results**

Testing Programs Before Full Implementation

Operating a pilot program before final program implementation is one way of generating beneficial feedback. The performance measures and evaluation data from the pilot operation can be incorporated into the final program design. Particularly for programs that require large investments in equipment, training, infrastructure, or staff, a pilot can help define the best method for deploying the program fully.

Responding to Change

The continuous feedback cycle enables leaders to respond to changes in the correctional environment. The correctional agency/organization's strategic direction may change in response to new legislation; changes in economics, culture, leadership, or offender populations; or new information regarding the delivery of correctional services. The program plan should be a living document to guide program managers in setting priorities and allocating resources to deal with these changes in the program context.

Assessing program performance through performance measure data and program evaluations enables managers to adjust and plan for the future. Quarterly or other regular status reports provide a mechanism for holding managers accountable for program performance and a forum for making decisions and changing program strategies as the organization's needs change.

Ensuring Successful Implementation

Successful program implementation requires managers and supervisors to provide clear direction, track program progress, and create structures to make modifications and remove barriers as they arise. Program implementation is often accomplished at a team level, with one or more teams or task forces being assigned to individual projects to carry out one or more tasks related to the program. A project team may include employees from one division or several divisions or offices, depending on the scope of the project. Defining the project sponsor/process owner, utilizing employees, establishing team charters, using an action plan tracking tool to monitor the progress of each project, creating a learning environment, and understanding the roles of various levels of leaders and employees within the organization are methods to help ensure successful implementation.

Sponsor

The sponsor is the stakeholder who requests that the project be undertaken and has a vested interest in the results. The sponsor, who is generally an executive or a senior manager, acts as a liaison with other executives and helps eliminate barriers facing the project team. (For further discussion of the role of a team sponsor, see chapter 8, "Team Building.")

Process Owner

The process owner is identified by management and serves as the team's liaison to the management team. Process owners generally are mid-level managers within the correctional agency/organization.

Employee Involvement

In addition to the process owners, employees throughout the organization participate in program implementation. Where appropriate, the process owners should identify team members to recommend techniques for implementation.

Employee involvement gives people at all levels greater influence over their work and allows those closest to the process to provide the innovation and change required to meet program goals. Managers identify the "what" and then allow employees to define the "how" to accomplish the activities.

Charter

A team charter is a written agreement that spells out the charge given to the team and the responsibilities of all people involved. It outlines boundaries and constraints. A charter should include the following:

- Description of the problem that the team is to address.

- Expected outcomes.

- Relevant parameters, such as staff resources and training, technical support, deadlines or time constraints, other groups that must be consulted (e.g., unions, other criminal justice agencies), and options that are "off the table."

- Decisionmaking process.

- Method for communicating with management.

- Names, roles, and responsibilities of the team leader and team members; names and positions of management guidance team members (e.g., sponsor, process owner).

Action Plan

Action plans detail the steps for implementing a strategy or goal. They are important for frontline managers and supervisors because they provide individual employees, offices, divisions, institutions, and programs with the appropriate level of detail to guide their activities. Upper-level managers use action plans to ensure that a strategy is being implemented on schedule. An action plan is particularly helpful for projects that involve several different divisions or offices.

> Teams are less likely than individuals to overlook key issues and problems or take wrong actions.
>
> —Tom Peters,
> Management Expert,
> Coauthor, *In Search of Excellence*

> **Components of an Action Plan**
>
> - Who (team leader and team members).
> - What (project description).
> - When (project completion date).
> - How (resources).
> - Where (status).

An action plan should balance the benefits of simplicity and flexibility with the need for a detailed structure. Although the components of an action plan may vary, at a minimum the action plan should address: 1) who (team leader and team members), 2) what (project description), 3) when (project completion date), 4) resource, and 5) status. An action plan could include the following items:

■ *Project title:* The project title should be clear and understandable.

■ *Project completion date:* Establish a completion date for the overall project. In some cases, a project might be considered ongoing.

■ *Process owner/project manager/team leader:* Assign a project manager/team leader for each action plan. The leader is responsible for managing the project, ensuring its timely completion, and developing, coordinating, and updating the action plan.

■ *Project description:* Include a clear and concise description that sets out the need for the project and defines its scope and limiting parameters. Also include linkages to the organizational and program goals, strategies, and objectives that the project supports.

■ *Participating divisions/organizations, contacts, and telephone numbers:* Identify project team members.

■ *Stakeholder divisions/organizations, contacts, and telephone numbers:* Identify internal and external interest groups or stakeholders who may not be represented on the project team but who have an interest in the project. Stakeholders may need to be consulted on a particular issue and notified of project outcomes or progress. The plan should specify action steps for involving stakeholders.

■ *Constraints or concerns:* Identify specific constraints, concerns, or other limiting factors (e.g., statutory, fiscal, and infrastructure constraints).

- *Specific action steps, tasks, or activities:* Identify specific action steps, tasks, or activities for implementing the project. For each step, assign a contact person and project a completion date. Organize the steps sequentially and logically.

- *Fiscal impact:* Identify the fiscal resources necessary to implement the project.

- *Goals, strategies, objectives, and performance measures:* Tie the action plan to the goals, strategies, objectives, and performance measures to be achieved.

Exhibit 13–4 presents selected components for an action plan template, based on a form used by the Washington Department of Corrections. The template sections can be expanded, reduced, or eliminated, depending on the needs of an individual project.

An Environment for Learning: The After Action Review

Sharing what works is critical to becoming a learning organization. In the complex corrections environment, every action plan, strategic plan, and initiative is a working hypothesis of the best method to achieve the intended results. The data elements used in plans are attempts to describe conditions and processes; they should not be mistaken for the real world or for the actual work. These elements are "snapshots" that inform the process of program planning, implementation, and assessment.

The U.S. Army's After Action Review model—based on repeated cycles of reflect-plan-act—is an effective tool for ensuring that lessons learned are reflected in future actions. As Marilyn Darling and Charles Parry state in their 2001 article, "Emergent Learning in Action: The After Action Review," "Over a number of iterations, the implicit and explicit knowledge held by the team about effectiveness in the particular domain evolves substantially. New practices and standards of excellence emerge." The after-action plan typically asks the following questions:

- What was supposed to happen?

- What actually did happen and why?

- What will be done (the same or differently) next time?

Exhibit 13-4. Action Plan Template

STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

ACTION PLAN

PROJECT TITLE	PROJECT COMPLETION DATE

PROJECT MANAGER

DESCRIPTION

PARTICIPANTS

DIVISION/ORGANIZATION	NAME OF CONTACT	PHONE NUMBER

STAKEHOLDERS

DIVISION/ORGANIZATION	NAME OF CONTACT	PHONE NUMBER

CONSTRAINTS/CONCERNS

1	
2	
3	

SPECIFIC ACTION STEP TASK/ACTIVITY	STAFF RESPONSIBLE	PROJECTED COMPLETION DATE	ACTUAL COMPLETION DATE
1			
2			
3			
4			
5			
6			

FISCAL ASSUMPTIONS:

COST/BENEFIT ANALYSIS:

PERFORMANCE MEASURES (Outcome, workload, or efficiency measures)	FISCAL YEAR	FISCAL YEAR

Source: Washington State Department of Corrections, Olympia, WA: n.d. Reprinted by permission of Washington State Department of Corrections.

Understanding Roles Within the Correctional Agency/Organization

Executives and senior-level leaders play the following roles in program planning, implementation, and measurement:

- Define vision, values, mission, common goals, and key business processes.

- Foster communication and feedback with other levels of the correctional agency/organization in goal deployment.

- Charter and monitor system-level projects.

- Reward and recognize successful program implementation.

Managers play the following roles in program planning, implementation, and measurement:

- Build division/department mission and functional objectives that are aligned with the correctional agency/organization's common goals.

- Identify priority business processes and make and measure improvements.

- Charter and monitor process improvement teams.

- Have ownership of and accountability for an area of responsibility.

- Support employees in program implementation tasks.

Employees play the following roles in program planning, implementation, and measurement:

- Participate on teams.

- Select measures and measure work unit performance.

- Continuously improve their daily work.

- Have ownership of and accountability for an area of responsibility.

- Support their peers.

Summary

Aligning individual programs and work units with the correctional agency/organization's strategic plan is critical to successful program planning and implementation. Effective alignment requires common understanding of purposes, goals, and measures to enable planning, tracking, analysis, and improvement at the organization, program, and work unit levels. Each program and work unit should review the agency/organization's strategic plan and determine how it relates to them and what strategies and measures they must implement to support the strategic plan.

As correctional resources become more limited, planning becomes more critical to target those limited resources to the best strategies for achieving the most important results. The process of cascading goals and strategies is valuable because it focuses the efforts of the entire correctional agency/organization around a set of common goals, provides a common language, and drives cross-functional teamwork and prioritization of activities.

Program performance assessments track program performance and measure it against established criteria for success in achieving program goals. The targets of performance measurement provide the quantifiable answer to the question, "How will we know we've been successful in achieving our goal?" Analyzing the gaps between current performance levels and performance targets helps organizations identify priority areas in need of improvement, develop strategies that will close the gap, and identify best practices that can be applied throughout the organization. Performance data provide feedback to managers and supervisors so they can adjust program plans to achieve the intended results.

Key Skills and Behaviors

Skill: The ability to do something well, arising from talent, training, or practice; expertness; special competence in performance.

Behavior: The manner of conducting oneself; observable activity.

Linking the Program Plan to the Strategic Direction of the Correctional Agency/Organization

Skill: Setting program direction.

Behaviors:

- Facilitate the development of program goals and strategies.

- Align the program direction with the correctional agency/organization's strategic direction.

- Identify gaps between current performance and targeted goals and objectives.

- Work with staff to develop strategies and initiatives that will allow the program to achieve its goals.

- Prioritize strategies and initiatives.

Program Performance Assessment

Skill: Setting performance expectations.

Behaviors:

- Work with staff to determine the best method for assessing program performance.

- Use performance measures for ongoing assessment and program evaluations for one-time indepth analysis.

- Set performance targets; clearly define success and communicate performance expectations to staff.

Successful Program Planning and Implementation: Creating a Continuous Feedback Cycle

Skill: Successfully planning and implementing programs.

Behaviors:

- Ensure that processes are in place to implement program strategies and initiatives.

- Identify resources needed to implement the strategies and initiatives.

- Provide clear direction by chartering process improvement teams and identifying process owners/program managers.

- Use action plans to track the progress of program implementation.

Skill: Measuring and evaluating results.

Behaviors:

- Establish a process to monitor and collect performance measurement and program evaluation data.

- Use performance measurement and program evaluation data to make decisions.

- Analyze why the performance goals were met or not met.

- Identify best practices and learn from results.

- Reward and recognize employees; support employees' accomplishments.

Skill: Adjusting and planning for the future.

Behaviors:

- Adjust and set the program direction based on feedback from the results of performance assessment.

- Set new strategies and initiatives to address gaps between program goals and program performance and define the future direction of the program.

- Communicate the new program direction to staff and stakeholders.

	Manager	Supervisor
Appendix 13–1. Focus Matrix for Managers and Supervisors: Program Planning and Performance Assessment		
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/ organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/ constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Focus Areas		
Linking the Program Plan to the Strategic Direction of the Correctional Agency/ Organization	• Sets program direction linking to the correctional agency/organization's strategic plan, mission, and vision. • Analyzes gaps between current performance and performance goals and objectives. • Leads teams/work groups to develop a plan to identify strategies for addressing the gaps. • Prioritizes strategies/initiatives and identifies necessary resources. • Ensures that processes are in place to implement and monitor the plan.	• Articulates how program/unit plans are linked to the correctional agency/ organization's strategic plan, mission, and vision. • Gathers information and assists in analysis of gaps between current performance and performance goals and objectives. • Works with staff to identify strategies to address the gaps. • Communicates those strategies up the chain of command. • Oversees implementation of the chosen strategies and gathers information for program assessment and monitoring.

	Manager	Supervisor
Appendix 13–1. Focus Matrix for Managers and Supervisors: Program Planning and Performance Assessment (continued)		
Focus Areas (continued)		
Program Performance Assessment	• Sets performance expectations and clearly defines success. • Determines the best method for assessing program performance. • Uses performance measures for ongoing monitoring and program evaluations for more indepth analysis of outcomes.	• Articulates performance expectations and clearly defines success. • Ensures that processes are in place to gather relevant information for program assessment. • Uses performance measures for ongoing monitoring and program evaluations for more indepth analysis of outcomes.
Successful Program Planning and Implementation: Creating a Continuous Feedback Cycle	• Uses performance measures and program evaluation data to make decisions. • Analyzes why performance goals were or were not met; identifies best practices and learns from results. • Adjusts and sets the program direction based on feedback from the results of program assessment and evaluation. • Develops new strategies and initiatives to address gaps and set the future direction of the program. • Establishes an ongoing quality improvement feedback loop.	• Effectively uses allocated resources to implement action plans. • Oversees the integrity of processes and data gathered for performance monitoring and evaluation. • Adapts program practices to incorporate lessons learned from performance assessment and evaluation. • Establishes an ongoing quality improvement feedback loop.

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Criminal Justice System

William Woodward

This chapter provides an overview of the criminal justice system for correctional managers and supervisors. It first discusses why understanding the criminal justice system is important. It then presents some statistics regarding the scope of the criminal justice system and a diagram of the workings of the system from arrest to final disposition. The chapter then discusses the roles of each branch of government—executive, judicial, and legislative—in the system. Next comes an overview of the sanctioning philosophies within the criminal justice system and a systems approach to criminal justice operations that aligns the goals of the individual agencies within the system with the overall goals and philosophy of the system as a whole. The chapter then outlines key skills and behaviors related to the criminal justice system. Finally, it presents a matrix (appendix 14–1) that relates these skills and behaviors to the responsibilities of correctional managers and supervisors.

Chapter 14

Definition

Criminal Justice System: An array of interrelated agencies and functions including law enforcement, prosecution, defense, the judiciary, and corrections, which together provide public safety services. The criminal justice system enforces and carries out the mandates of the criminal law to serve the interests of the community, victim, and offender.

Knowledge Base

Why Should Correctional Managers and Supervisors Develop This Competency?

Understanding the criminal justice system improves problem solving, removes barriers to change, and improves the chances of developing effective long-term strategic plans. This curriculum is designed to provide managers and supervisors in correctional agencies/organizations with a basic understanding of the criminal justice system and its integrated parts. It assumes that all parts of the criminal justice system affect one another. To that end, understanding that the system has no "sacred" or perfect parts is critical. Each part plays its own role as defined by the branch of government under which it operates.

> If a man would move the world, he must first move himself.
>
> —Socrates

To some, the criminal justice system might appear to be "no system at all," and to many it may look like a collection of people all determined to go their own way. Although this may sometimes be true, it is not the best way for a system to function. As long as their sanctioning philosophies are compatible, it is possible for the components of the system to work together by focusing on a few common goals.

The National Institute of Corrections (NIC) has demonstrated in its Criminal Justice System Project: A Guide to Criminal Justice System Assessment and its videotape on "Alleviating Jail Crowding: A Systemic Approach" that the criminal justice system has no independent actors. Through these curriculums, NIC provides planning resources to state and county policy groups of criminal justice system stakeholders. When stakeholders across the criminal justice system focus on one goal or a few goals, their effectiveness increases.

This chapter discusses the components of the criminal justice system and its potential to provide effective public safety services.

Criminal Justice System Overview

The clearest way to put the entire criminal justice system in perspective is to review the dollars allocated to the different levels of the system.

1999 Criminal Justice Spending

- *Federal government:* $22 billion.
- *States:* $50 billion.
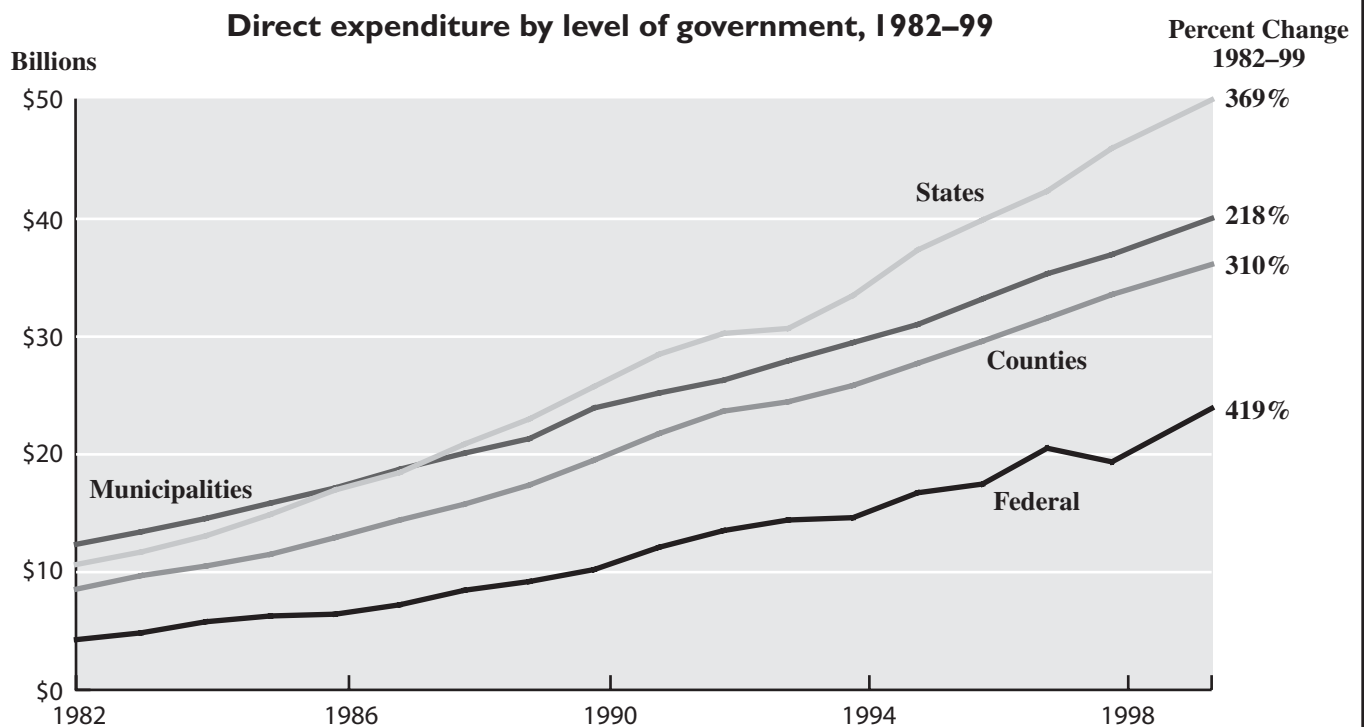- *Counties:* $35 billion.
- *Municipalities:* $39 billion.

In 1999, all levels of government expended approximately $147 billion on the criminal justice system (excluding duplicative intergovernmental transfers or transactions between levels of government).

From 1982 to 1999, the period for which the most recent numbers are available (see exhibit 14–1), all criminal justice program expenditures increased by 309 percent, whereas the consumer price index increased over the same period by 166 percent.

How the Criminal Justice System Works

Exhibit 14–2 provides an overview of each part of the system as it flows from arrest to final disposition. Although this diagram may seem daunting, it fairly describes most adult and juvenile criminal justice systems.

Exhibit 14–1. Government Direct Expenditures on the Criminal Justice System

Direct expenditure by level of government, 1982–99

Billions

Percent Change
1982–99

- States: 369%
- 218%
- 310%
- Counties
- Federal: 419%
- Municipalities

(Vertical axis: $0, $10, $20, $30, $40, $50)
(Horizontal axis: 1982, 1986, 1990, 1994, 1998)

Source: Sidra L. Gifford, *Justice Expenditure and Employment Extracts, 1999,* Washington, DC: U.S. Department of Justice, Bureau of Justice Statistics, 2002.

Note: Does not include intergovernmental expenditures such as federal grants, but these dollars are included as direct expenditures by the recipient government when they are spent for salaries, supplies, and so on.

Role of the Executive Branch

The executive branch at the state level typically manages the operations of the criminal justice system, providing for basic law enforcement, incarceration of offenders in jail or prison, and intermediate sanctions such as probation, parole, or community corrections. The single largest exception to this rule is that in many states the courts operate the probation system.

Law Enforcement

Law enforcement comprises those officials charged with enforcing the law in federal, state, and local jurisdictions.

Municipal

Municipal law enforcement is most often a police department. However, in unincorporated towns and villages, a marshal or a member of the town council may carry out the law enforcement function. In other jurisdictions, municipalities may contract with the county sheriff for law enforcement services.

> No duty the Executive had to perform was so trying as to put the right man in the right place.
>
> —Thomas Jefferson

Exhibit 14–2. Overview of the Criminal Justice System From Arrest to Final Disposition

What is the sequence of events in the criminal justice system?
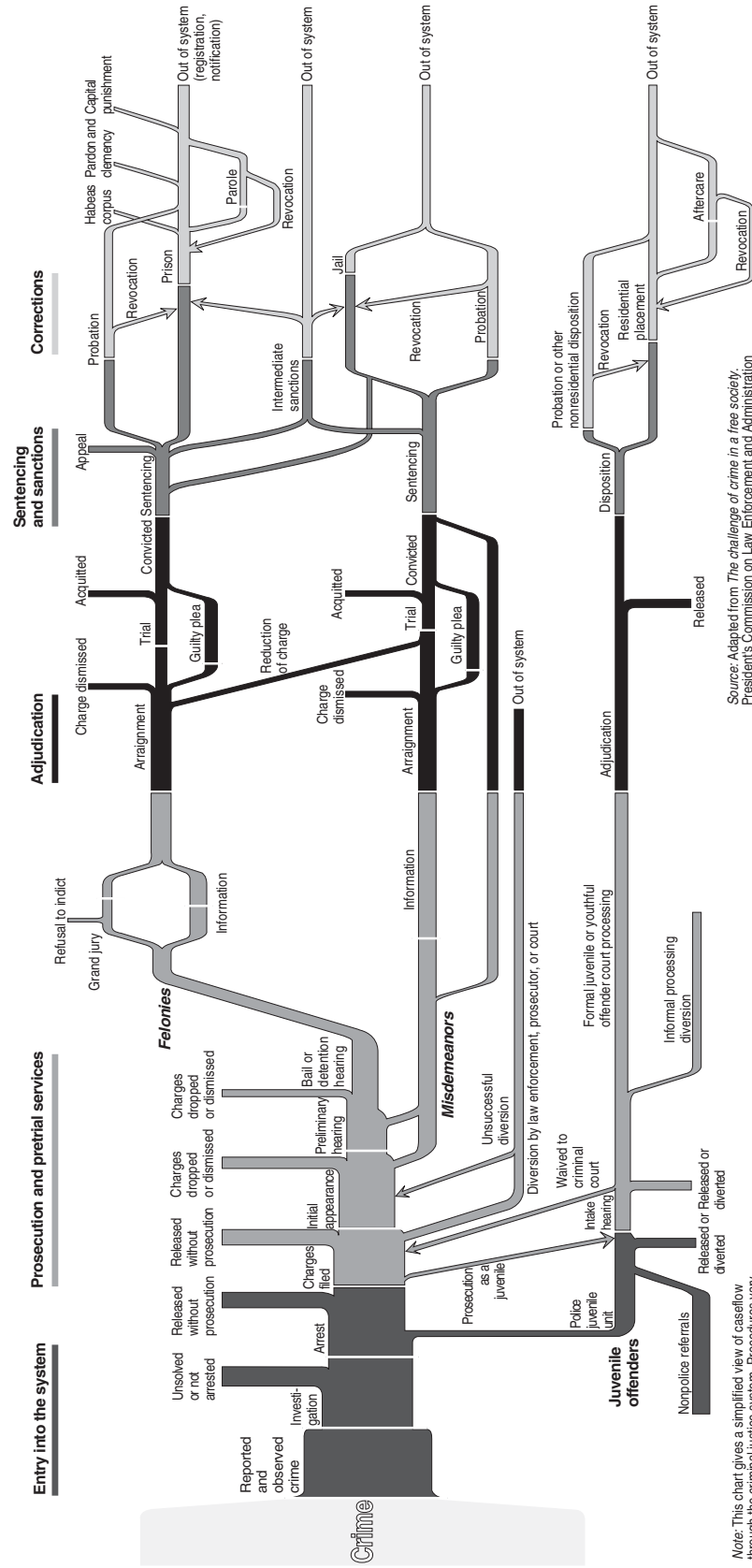
Note: This chart gives a simplified view of caseflow through the criminal justice system. Procedures vary among jurisdictions. The weights of the lines are not intended to show actual size of caseloads.

Source: Adapted from *The challenge of crime in a free society*, President's Commission on Law Enforcement and Administration of Justice, 1967. This revision, a result of the Symposium on the 30th Anniversary of the President's Commission, was prepared by the Bureau of Justice Statistics in 1997.

County

The sheriff normally has law enforcement responsibility in the county. However, some sheriffs have no law enforcement responsibilities and focus entirely on managing the jail. In other jurisdictions, the sheriff has all the law enforcement responsibility, but does not manage the jail. The county commissioners or state statutes often define the sheriff's jurisdiction.

State

The states often operate the state police. Some state police agencies have general law enforcement powers and others do not. The state often operates a crime laboratory for smaller jurisdictions, whereas larger jurisdictions within a state may operate their own crime laboratories.

Federal

Forty-four federal agencies have full or limited law enforcement powers. All powers are set by federal statute.

Offender Confinement

Pretrial Confinement

Pretrial imprisonment usually occurs in a sheriff's department or municipal jail or lockup. These detainees are not convicted of a crime; they are being held pending a hearing to decide if probable cause exists for the charges against them. This hearing must occur within some specific period of time after arrest, usually 24 to 72 hours.

A pretrial agency often recommends to the judge whether to hold or release the offender and under what release conditions. The basis for holding a pretrial detainee varies from that person's inability to make the bail amount, to fears that if released the person will do harm, to the fear that the person will not reappear for the next court hearing. Most jurisdictions use some mix of these three factors to determine whether to release a detainee. However, some jurisdictions follow a policy that since a conviction does not exist at this point, they should only consider the probability of failure to appear at the next court hearing when making the release decision.

Some jurisdictions reserve an entire jail for pretrial detainees (e.g., Rikers Island in New York City). In most jurisdictions, however, one-half to three-quarters of the lockup population at any given time are pretrial detainees; the rest are "holds" for other jurisdictions and convicted offenders serving sentences.

Posttrial Confinement

Offenders are seldom held in a municipal lockup following sentencing, unless it is also the county jail (e.g., the City and County of Denver). County jails traditionally take sentenced populations for a maximum of 1 to 2 years. County jails

often offer programs for offenders, such as work release for those who meet specific criteria or DUI weekend programs for offenders who work but must serve jail time on the weekends.

The Department of Corrections or an equivalent state-level agency normally houses and manages the sentenced population for the entire state. State law and the Governor set the policies and practices of state correctional agencies. State correctional facilities house offenders for the duration of their sentence, including those sentenced to death. Most states project future prison populations to better assess resource and service needs. In general, legislatures and Department of Corrections officials require a minimum of 2 years' lead time to build a permanent new prison.

Intermediate Sanctions

Originally, "intermediate sanctions" meant those between prison and probation. But with the introduction of "intensive" or "moderate" levels of probation, anything other than prison is now considered an intermediate sanction.

The following are often thought of as intermediate sanctions, but every community will have a different set of sanctions:

- Local jail.

- Jail with work release.

- Nontherapeutic residential community corrections facility.

- Therapeutic residential community corrections facility.

- Day reporting.

- Home detention with electronic monitoring.

- Home detention without electronic monitoring.

- Community work service.

- Nonresidential treatment (many kinds).

- Fines, restitution, and other monetary penalties.

- Supervision with frequent contacts.

- Supervision with infrequent contacts.

- New programs.

It is also important to distinguish an intermediate sanction from a tool that might be used at any level of sanctioning. Intermediate sanctions normally refer to the level of supervision imposed on an offender. Tools usually refer to adjuncts to the sanction to increase its effectiveness. For example, drug testing, electronic monitoring, or medications ordered by the court or correctional agency are considered tools that enhance the sanction.

In some states, often known as community corrections states, counties or cities may opt into a program where they receive funding from the state to provide intermediate sanctions. Some states provide incentives for counties to keep as many offenders as possible out of prison.

Treatment is distinct from intermediate sanctions. Treatment refers to programs that are designed to address specific offender needs. For example, an offender who has been assessed as "chemically dependent" may be placed in a drug or alcohol treatment program. A sex offender should be placed in a sex offender-specific program. An offender with out-of-control behavior may be placed in a cognitive skills development program. Many states and/or localities offer guidelines for treatment programs through their state alcohol and drug agencies, departments of corrections, judicial branches, or other criminal justice agencies. For example, Illinois and Colorado have statewide standards for the management and treatment of sex offenders and California has statewide standards for substance abuse treatment.

Jurisdictions need to know what treatment programs have been found effective. The Washington state legislature tasked its research arm, the Institute for Public Policy, to review programs and report on their effectiveness. The institute's review of treatment programs and the resulting levels of recidivism reduction can be found on the Web at *www.wa.gov/wsipp*. The institute's Web site includes reviews of drug and alcohol, sex offender, cognitive skills, and many juvenile treatment programs as well as a significant number of probation and diversion services. Other programs can be evaluated by the institute's standards for research.

Supervision Programs
Overview

Often the state department of corrections in the executive branch manages postrelease supervision. Sometimes postrelease supervision is called parole, but as several states have abolished parole, it may simply be referred to as postrelease supervision. In other states, state or county correctional agencies or the courts may manage probation supervision programs. The job of postrelease supervision and/or probation is to manage the risk of reoffending, maintain public safety, and enforce the conditions placed on the offender by the judge on release (often called conditions of release or probation).

Risk Assessment Tools

Many jurisdictions use a risk assessment tool to inform decisionmaking related to classification and supervision of offenders. First-generation tools were really just a gut reaction to how risky an offender appeared to be, and second-generation tools used only static risk factors to predict recidivism. Third-generation tools use both static and dynamic risk factors. A static risk factor is something that cannot change, like age at first arrest. A dynamic risk factor is something that can change, like antisocial attitudes, values and beliefs, or substance abuse. The best third-generation risk tools can predict recidivism much better than chance (e.g., the *Level of Supervision Inventory–Revised [LSI–R]* predicts the risk of recidivism 30 percent better than chance).

The advantage of these tools to probation and postrelease supervision is that they help specify which of the major risk factors associated with recidivism are relevant to a particular offender. As a result of NIC's work, judges and correctional managers in one state now receive prioritized information about the 10 major risk factors for recidivism in offenders so that they can focus resources on the highest priority causes of recidivism. Among the major risk factors for recidivism are antisocial family, antisocial peers, alcohol/drug use, instability of accommodations, unpredictable emotional status, and antisocial attitudes.

> The challenge of social justice is to evoke a sense of community, that we need to make our nation a better place, just as we make it a safer place.
>
> —Marian Wright Edelman, Founder, Children's Defense Fund

Role of the Judicial Branch

The judicial branch is tasked with determining the guilt or innocence of defendants, setting the terms and conditions of the sentence, and sometimes, as in drug courts or reentry courts, overseeing the management of accused and convicted offenders.

Court Systems and Judges

According to the Bureau of Justice Statistics Web site (*http://www.ojp.usdoj.gov/bjs/courts.htm*), in 1998 there were 208 statewide general and limited jurisdiction trial court systems in the United States, including the 50 states, the District of Columbia, and Puerto Rico. About 9,065 full-time authorized judges served in the 71 statewide trial court systems of general jurisdiction. There were 132 courts of appeal, including the U.S. Supreme Court and the U.S. Circuit Courts of Appeal.

Every state had a judicial branch that was headed by the court of last resort in 13 states, the chief justice of the court of last resort in 36 states, and by the judicial council in 1 state, Utah.

In the majority of states (33), the head of the judicial branch was designated by the state constitution. In the remaining states, judicial authority was established either by state statute or some combination of the state constitution and statute law.

State Appellate Court Systems

Appellate court systems implement various strategies to make their workload more efficient. Appellate court systems in 37 states had some expedited briefing procedures, 18 states had accelerated or special calendars in some courts for specific case types, and all but 12 states limited oral arguments in criminal and/or civil cases.

Judicial Selection and Service

Twenty-one (42 percent) of the 50 states selected their appellate judges through a gubernatorial appointment and three by legislative appointment. An additional 14 states used nonpartisan elections, 8 had partisan elections, and 4 had retention elections.

Initial/prebench education was required for general jurisdiction judges in 30 states (including Puerto Rico), for limited jurisdiction judges in 31 states, and for appellate judges in 9 states. Continuing education was required for general jurisdiction judges in 44 states, for limited jurisdiction judges in 42 states, and for appellate judges in 38 states.

Specialized Courts

Drug courts. There were 327 drug courts across 43 states, the District of Columbia, and Puerto Rico in 1998. The majority of these drug courts were established between 1992 and 1996.

Family courts. By 1998, all but 17 states had family courts that either operated statewide or served some number of counties or districts. These courts typically had jurisdiction over domestic and marital matters such as divorce, child custody and support, and domestic violence.

Tribal courts. There are currently more than 450 tribal justice forums among the 556 federally recognized tribes in the United States. As of 1998, 16 states had assumed mandatory or optional jurisdiction over tribal lands, pursuant to Public Law 280 (Public Law 83–280, Act of August 15, 1953, ch. 505, 67 Stat. 588 [codified as 18 U.S.C. 1162, 28 U.S.C. 1360, and other scattered sections in 18 and 28 U.S.C.]).

The Jury

In most states, the minimum age to serve on a jury was 18. The minimum age in Missouri and Montana was 21. All states had some residency requirements to serve on a jury, and all but eight states imposed literacy and/or language requirements.

Fourteen states required grand jury indictments for all felony prosecutions and an additional four states required grand jury indictments for capital and/or life

imprisonment cases. The size of grand juries ranged from 6 members in Indiana to 23 members in Maryland and Massachusetts.

Sentencing and Supervision

Sentencing

In noncapital felony cases, original sentences were set by the jury in 44 states, the District of Columbia, and Puerto Rico, and by the judge in 6 states. The judge could alter the jury's sentence or recommendation in four states—Arkansas, Indiana, Kentucky, and Missouri. Of the 37 states with the death penalty in 1998, original sentences were set by a jury in 23 states, by a judge in 5 states, by a judge with the jury's recommendation in 7 states, and the responsibility for setting the penalty sentence was not indicated in 2 states.

All states imposed collateral consequences for felony convictions. In most states, a felony conviction was associated with the restriction of voting rights, parental rights, public employment, jury duty service, and firearm ownership.

Supervision

In some jurisdictions offenders on probation or postrelease supervision are supervised by the court or by community corrections within the court system, depending on the type of sentence.

Whether probation or postrelease supervision is administered by an executive branch agency or an agency of the courts, the purposes of probation and the tools used to assess the risk of reoffending are the same. For more information, review the earlier discussion under "Supervision Programs" in the section of this chapter on "Role of the Executive Branch."

Role of the Legislative Branch

Overview

> Law is nothing unless close behind it stands a warm living public opinion.
>
> —Wendell Phillips, American Abolitionist and Orator

The legislative branch is tasked with writing the laws that the executive branch enforces and the judicial branch adjudicates. It is probably most important in setting criminal justice system policy—almost all criminal law is developed in the legislative arena. This law includes definitions of illegal activities, the procedures and processes to be used by all parts of the criminal justice system, and the penalties for crimes. At times the courts must interpret the laws and will find that some do not meet constitutional standards. The state courts can override laws made by state legislatures and the federal courts can override laws made by Congress or state legislatures.

Victims' Rights

In recent years, a number of states have amended their state constitutions to provide victims with rights in the criminal justice system. These provisions

normally require that victims be notified of their rights and allow victims to have input into the criminal justice process at some or all of the major decision points. When these basic rights are abrogated or ignored, some states (e.g., Colorado) allow the victim to bring a complaint to the Governor or state attorney general to force compliance with the constitutional amendment.

Improving Criminal Justice System Operations
Sanctioning Philosophies

The criminal justice system is based on many philosophies, often unstated, that are sometimes seen as competing goals for the major components of the system. For example, some see punishment as antithetical to rehabilitation. Many times an unstated philosophy keeps the criminal justice system from working effectively.

Usually correctional leaders and stakeholders speak of these philosophies in general terms: "it is important to punish the person," or "we should rehabilitate this offender," or "let's be sure to keep the costs low for the system," or "the public will not stand for this," or "reparations should be paid for that offense," or "let's keep the crime rates low." Being clear about the underlying philosophy is critical for understanding and improving the operation of the criminal justice system. Philosophies in the criminal justice system include:
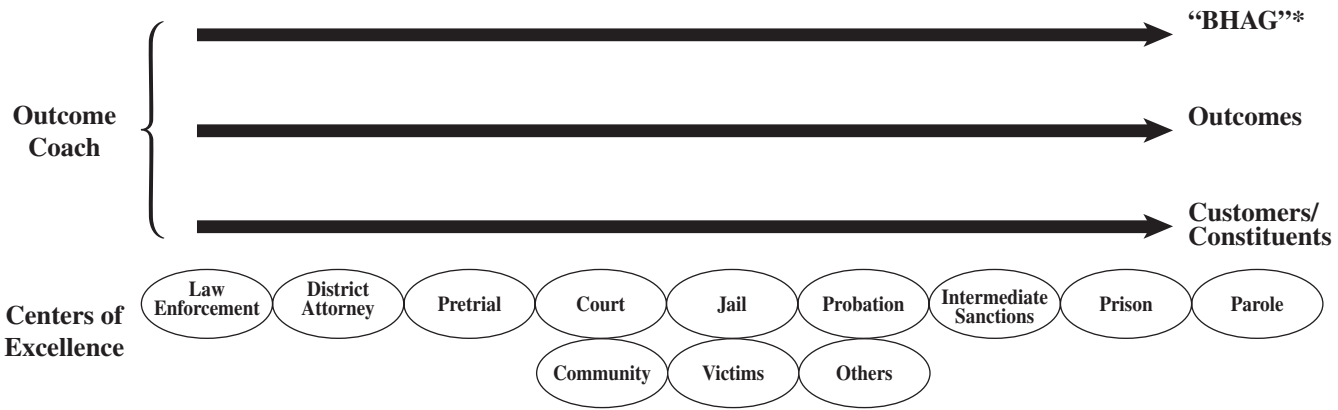
- *Punishment/retribution:* Value in terms of pain and suffering.

- *Crime reduction:* Value in terms of impact on crime.

- *Recidivism reduction:* Value in terms of impact on reoffense rate.

- *Reparation:* Value in terms of compensating aggrieved parties.

- *Economic costs:* Value in terms of cost-efficiency.

- *Public satisfaction:* Value in terms of public approval ratings.

- *Restoration:* Value in terms of restoring the victim, the offender, and the community.

Never accept the proposition that just because a solution satisfies a problem, that it must be the only solution.

—Raymond E. Feist, Science Fiction/ Fantasy Author

> *Exercise:*
>
> Categorize the laws of your state related to corrections according to one of the philosophies listed above.

Exhibit 14–3. The Systems Approach to Criminal Justice

"BHAG"*

Outcomes

Customers/ Constituents

Outcome Coach

Centers of Excellence

Law Enforcement — District Attorney — Pretrial — Court — Jail — Probation — Intermediate Sanctions — Prison — Parole

Community — Victims — Others

* Big Hearty Audacious Goals

Source: William Woodward Associates, 2004. Adapted from "The End of the Organizational Chart" from Michael Hammer, *Beyond Reengineering: How the Process-Centered Organization Is Changing Our Lives,* New York: Harper Business, 1996. Copyright© 1996 by Michael Hammer. Reprinted by permission of HarperCollins Publishers.

> Systems thinking is a discipline for seeing wholes. It is a framework for seeing interrelationships rather than things, for seeing patterns of change rather than static "snapshots."
>
> —Peter Senge, Author, *The Fifth Discipline*

Each sanctioning philosophy has merit. However, the closer that all parts of the system come to agreeing on the philosophy or intended outcomes of the system, the more likely those parts will work well together as a complete system.

The Systems Approach to Criminal Justice

The best business model found in the literature for a functioning criminal justice system is prescribed by Michael Hammer in his book, *Beyond Reengineering*. Hammer describes a systems approach to managing the disparate parts of an organization. Exhibit 14–3 shows a model based on Hammer's, with criminal justice system modifications.

Centers of Excellence

In this model (exhibit 14–3), starting with the base, are the "centers of excellence." The centers of excellence represent the community agencies and groups responsible for the criminal justice system. In each agency or center of excellence, the agency director and staff attempt to do the best job of meeting the needs of their customers/constituents (citizens), hiring the best staff, doing the best training, firing when necessary, and developing goals, policies, and procedures for that agency.

Outcome Coaches

However, if all the centers of excellence went their own way, they would not operate as a system. Therefore, many communities and jurisdictions have developed what Dr. Hammer describes as an "outcome coach" to help oversee the criminal justice system. This may be a community criminal justice coordinating council, a regional criminal justice council/board, or a state commission on

criminal justice. All stakeholders in the criminal justice system must be a part of the "coaching" structure and they all must have the same vision for the system.

Big Hearty Audacious Goals

The vision for the criminal justice system is shown in exhibit 14–3 as the Big Hearty Audacious Goals (BHAGs) (also called Big Hairy Audacious Goals by James Collins and Jerry Porris in *Built to Last*). The vision or BHAG should focus on the outcomes desired by the community. Some communities will set more than one BHAG, but getting all stakeholders to agree on these BHAGs is critical to the efficient functioning of the criminal justice system. This does not

---

Exercise:

Jot down one thing you believe to be a BHAG that everyone in your local/state criminal justice system is working on today. Now, jot down one goal that you would like to see the entire system work on.

---

mean that the goals of the individual agencies (centers of excellence) are unimportant. However, "mega goals" for the system become something that both community and criminal justice system stakeholders work together to achieve.

Deciding on these BHAGs is of critical importance. NIC has a number of publications that communities can use to help formulate criminal justice system BHAGs, including *Guide to a Criminal Justice System Assessment: A Work in Progress* by Peggy Burke, Robert Cushman, and Becki Ney; *Guidelines for Developing a Criminal Justice Coordinating Committee* by Robert Cushman; and *The Intermediate Sanctions Handbook: Experiences and Tools for Policymakers* by Peggy McGarry and Madeline Carter (see the Resources list at the end of this chapter for more information). Once the BHAGs are agreed on, action planning by the members and staff of the committee/commission is critical to meet these mega goals.

Examples of BHAGs taken on by local and state criminal justice councils, committees, and commissions include the following:

■ Development of drug courts in all jurisdictions within 3 years.

■ Reduction of recidivism by 30 percent over the next 3 to 5 years.

■ Development of a common data management system across all criminal justice agencies by a specified date.

■ Development of management/treatment resources for 10 sex offenders during the next year.

- Reduction of burglaries by 10 percent over the next 5 years.

- Improvement in public satisfaction with the criminal justice system by 20 percent over the next 3 years.

- Develop 25 probation/law enforcement partnerships for high-risk cases within the next year.

- Reduce crowding and costs of operating the local jail by 10 percent during the next year.

Confusion often exists between BHAGs (system goals) and agency goals. For example, a local sheriff's office may have a goal of reducing the crowding of the local jail, but without the buy-in of the criminal justice council/committee, it remains only the sheriff's goal.

Criminal Justice System Decision Points

Key decision points in the criminal justice system include the following:

- ***Decision to arrest:*** yes/no or referral to services.

- ***Decision to detain pretrial:*** yes/no/summons.

- ***Decision to release from pretrial detention:*** yes/no.

- ***Decision to prosecute:*** yes/no, deferred prosecution, diversion.

- ***Adjudication decision/outcome:*** guilty, not guilty, nolo contendere, adjudication as juvenile.

Exercise:

Take a minute to talk about each of the decision points. List all of the factors that might influence each one.

- ***Sentencing decision:*** noncustody, state custody, local custody, deferred.

- ***Sentence modification decision:*** return from probation, on appeal, deferred reinstatement.

Factors That May Influence Decision Points

Many factors can influence the outcome at each decision point. For example, the decision to arrest might be affected by such factors as the time of day, tiredness of the officer, relative seriousness of the offense, past history of arrestee, need for a warrant, policies of the law enforcement agency, capacity of the jail, victim response to the crime, or risk of future crimes.

The decision to detain pretrial might be affected by the dangerousness of the offense, victim statements, background of the arrestee, bonding guidelines set by the court, or checklists developed by the law enforcement agency,

The decision to release pretrial might be affected by the offender's responsiveness while in pretrial status, offender's willingness to accept direction, offender's current age, number of prior arrests, offender's age at first arrest, problems created in the past by this offender, officer's assessment of the offender, caseloads, victim statements, or guidelines set by the pretrial agency.

The decision to prosecute might be affected by the priority of the crime, prior judicial rulings, strength of the evidence, judge assigned to the case, credibility of witnesses, credibility of the police officer making the arrest, prosecutor's or defense attorney's caseload, willingness of the prosecutor and the defense attorney to negotiate a plea bargain, current jail crowding, and victim statements.

Adjudication outcomes for juveniles and sentencing outcomes for adults may be influenced by the evidence presented, quality of the prosecution and defense, makeup of jurors (in a jury trial), judge assigned, victim statements, community feeling about the case or crime, results of the presentence investigation, how the defendant presents himself or herself to the court, mitigating or aggravating factors, plea agreements, and availability of alternative sentencing options.

Sentencing modifications can be affected by the evidence presented for and against a change in the original sentence and the determination of the judge as to the correctness of the original sentence.

Using Decision Points for System Change

The decision points of the criminal justice system are places where the outcome coach, i.e., the criminal justice coordinating council or the criminal justice committee, will have maximum influence. If each decision point in a criminal justice system is mapped out with all the possible options, causes, and outcomes, the council or committee will better understand how to reach its BHAGs.

Indicators at each decision point can also be compared with other jurisdictions or states. Some possible indicators for comparison with other communities include the following:

- Crime rates.

- Recidivism rates.

- Public satisfaction levels with the criminal justice system.

- Percentage of sexual assault cases that plead to a nonviolent offense.

Measuring Criminal Justice System Effectiveness

The effectiveness of the criminal justice system is often questioned. Law enforcement will discuss arrests, prosecutors will discuss convictions, correctional officials will discuss rearrest or reconviction, and citizens will discuss crime rates. However, these center-of-excellence measures never tell the whole story. They are focused on the parochial interests of a particular agency—not the work of the entire criminal justice system.

The effectiveness of the criminal justice system can best be measured through the BHAGs identified and approved by the jurisdiction's criminal justice coordinating council/committee. Once the council/committee has agreed which

> *Exercise:*
>
> Assess a community criminal justice system by reviewing the Web sites of all stakeholders. List the BHAGs found on each Web site, then list the individual goals of each agency within the system. Pick the three most measurable BHAGs/goals and plot success based on those BHAGs/goals.

BHAGs are most important, action plans should be prepared for meeting those goals. Exhibit 14–4 presents criteria for measuring various sanctioning philosophies of the criminal justice system.

Summary

A criminal justice system is an array of interconnected government and private stakeholders, each focused on a particular job and all linked by a common philosophy. This philosophy may be mandated by statute and/or agreed on by all stakeholders in the criminal justice system. Each of the three branches of state government plays a designated role in the system. The executive branch has primary responsibility for law enforcement and for incarceration and management of offenders. The judicial branch determines the guilt or innocence of defendants, sets the terms and conditions of the sentence, and, especially in specialized courts such as drug or reentry courts, oversees the management of some offenders before trial and following conviction. The legislative branch is ultimately responsible for writing the criminal law and for setting criminal justice system policies and procedures through statute.

Criminal justice systems operate under many different and competing philosophies, both stated and unstated. The effectiveness of a criminal justice system increases when a coordinating council or committee agrees on overall goals for the system (called "Big Hearty Audacious Goals" or BHAGs) and individual agency goals are harmonized with those overall system goals. Mapping decision points within the system and identifying indicators at those points for comparison with other jurisdictions provide a means of measuring a system's overall effectiveness.

Exhibit 14–4. Measuring Criminal Justice Sanctioning Philosophies

Sanctioning Philosophy	Value	Measure	Example
Punishment/ retribution/ just deserts	Pain and suffering.	Number of units of fines, days in jail, days in prison, etc., dispensed.	County X ordered $25,000 in fines, 356 person-days in jail, and 4,500 person-days in prison last year; this is an increase in each area of at least 10%.
Crime reduction	Impact on crime rate.	Reductions in specific crime rates (or fear of crime) in targeted communities.	Burglaries in the NW precinct were down by 22% as compared with burglaries in the past 2 years.
Recidivism reduction	Impact on reoffense rate.	Changes in recidivism rates as defined by criminal justice coordinating council/ committee.	Recidivism (measured by rearrest within 3 years on the street) dropped by 20% during the past year.
Reparation	Compensating aggrieved parties.	Dollars paid to victims of crime by offenders.	During the past year, victims received an average of $105 per victim as compared to the prior year when the victim received an average of $98 per victim.
Economic costs	Cost efficiency.	Cost per unit of "corrections" provided as compared to other options.	A $1 investment in this program will save $3.24.
Public satisfaction	Public approval ratings.	Changes in ratings given criminal justice system agencies based on survey data and analysis.	The public's approval of the sheriff's office improved 16% over last year on five of seven survey questions.
Restoration	Restoring the victim, the offender, and the community.	Survey of victims, offenders, and community sample, looking at various ways restoration can occur.	In a recent survey of the community, 25% agreed with the statement "the criminal justice system is important in restoring my community when crime occurs." This is a 10% increase over last year. Offenders report 8% greater satisfaction with their crime-free lives than last year, and victims report 11% improvement in restorative services from the police and prosecutor's office.

Key Skills and Behaviors

> *Skill:* The ability to do something well arising from talent, training, or practice; expertness; special competence in performance.
>
> *Behavior:* The manner of conducting oneself; observable activity.

Role of the Executive Branch

Skill: Understanding the relationships between various stakeholders in the criminal justice system and the executive branch.

Behaviors:

- Map the criminal justice system for a given executive branch jurisdiction.

- Diagram how decisions are made at each of the executive branch decision points in the criminal justice system.

Skill: Influencing other parts of the criminal justice system.

Behaviors:

- Develop positive and collaborative relationships with representatives of other parts of the criminal justice system.

- Acknowledge and understand the problems faced by other parts of the criminal justice system.

- Promote research-based, cost-effective interventions and encourage the use of reliable assessment tools.

Role of the Judicial Branch

Skill: Understanding the relationships between various stakeholders in the criminal justice system and the judicial branch.

Behaviors:

- Map the criminal justice system for a given judicial branch jurisdiction.

- Diagram how decisions are made at each of the judicial branch decision points in the criminal justice system.

Skill: Influencing other parts of the criminal justice system.

Behaviors:

- Develop positive relationships with representatives of other parts of the criminal justice system.

- Acknowledge and understand the problems faced by other parts of the criminal justice system.

- Work to secure buy-in from judicial stakeholders for the use of research-based, cost-effective interventions and reliable assessment tools.

Role of the Legislative Branch

Skill: Understanding the relationships between various stakeholders in the criminal justice system and the legislative branch.

Behaviors:

- Map the criminal justice system for a given legislative/local jurisdiction.

- Diagram how decisions are made at each of the legislative branch decision points in the criminal justice system.

Skill: Influencing other parts of the criminal justice system.

Behaviors:

- Develop positive relationships with representatives of other parts of the criminal justice system.

- Acknowledge and understand the problems faced by other parts of the criminal justice system.

- Provide legislative stakeholders with accurate information and data to inform the development of effective legislation.

- Work with legislative branch stakeholders to secure funding for research-based, cost-effective interventions and reliable assessment tools.

Improving Criminal Justice System Operations

Skill: Categorizing specific policies and procedures based on their sanctioning philosophy.

Behavior: List the major policies and procedures of a jurisdiction and organize them to correspond to sanctioning philosophies.

Skill: Developing a systems approach to criminal justice that integrates the perspectives of all the stakeholders.

Behaviors:

- Bring together criminal justice stakeholders to develop one or more BHAG(s).

- Understand the decision points within the criminal justice system where each stakeholder can have the most influence.

Skill: Monitoring outcomes in the criminal justice system.

Behaviors:

- Establish and monitor outcome measures for BHAGs and individual centers of excellence.

- Ensure that decisionmaking within an area of responsibility is based on objective assessment and reliable data whenever possible.

- Put mechanisms in place to gather accurate data to measure outcomes and inform decisionmaking.

Appendix 14–1. Focus Matrix for Managers and Supervisors: Criminal Justice System

	Manager	Supervisor
Position Overview		
	Managers are often in classified positions that report to senior-level leaders. Although they may advise senior-level leaders about policy development, their primary focus is on working with internal stakeholders to create the systems and services needed to implement correctional agency/ organization policy. Managers are above supervisors in the chain of command. **Typical titles of managerial positions:** • Corrections Unit or Program Manager. • Deputy Jail Administrator. • Capital Programs or Correctional Industries Administrator. • Probation, Parole, Community Corrections, or Community Sentencing Department Head or Regional/District Manager. • Interstate Compact Administrator.	Supervisors manage staff who work directly with the client or customer/ constituent group. They make recommendations to improve systems and service delivery, and they monitor operations for compliance with correctional agency/organization policy. Supervisors work primarily with internal staff but may also represent the correctional agency/organization during interactions with customers/constituents and external agency staff. Supervisory positions are typically one or two steps above line or entry-level positions in the correctional agency/organization. **Typical titles of supervisory positions:** • Adult or Juvenile Correctional Housing Unit Supervisor. • Probation, Parole, Community Corrections, or Community Sentencing Supervisor. • Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor. • Victim/Witness Program Supervisor. • Correctional Industries Supervisor.
Focus Areas		
Role of the Executive Branch	• Knows the roles and areas of responsibility for executive branch criminal justice stakeholders. • Develops positive relationships with executive branch stakeholders relevant to the manager's area of responsibility. • Includes executive branch stakeholders on oversight/project teams when appropriate. • Acknowledges and understands the perspectives of executive branch stakeholders. • Promotes research-based, cost-effective interventions and encourages the use of reliable assessment tools.	• Knows the roles and areas of responsibility for executive branch criminal justice stakeholders. • Develops positive relationships with executive branch stakeholders relevant to the supervisor's area of responsibility. • Works with executive branch stakeholders on oversight/project teams. • Acknowledges and understands the perspectives of executive branch stakeholders. • Oversees the competent delivery of research-based, cost-effective interventions and assessment tools.

Appendix 14–1. Focus Matrix for Managers and Supervisors: Criminal Justice System (continued)		
	Manager	**Supervisor**
Focus Areas (continued)		
Role of the Judicial Branch	• Knows the roles and areas of responsibility for judicial branch criminal justice stakeholders. • Develops positive relationships with judicial branch stakeholders relevant to the manager's area of responsibility. • Includes judicial branch stakeholders on oversight/project teams when appropriate. • Acknowledges and understands the perspectives of judicial branch stakeholders. • Works to secure buy-in from judicial stakeholders for the use of research-based, cost-effective interventions and reliable assessment tools.	• Knows the roles and areas of responsibility for judicial branch criminal justice stakeholders. • Develops positive relationships with judicial branch stakeholders relevant to the supervisor's area of responsibility. • Works with judicial branch stakeholders on oversight/project teams when appropriate. • Acknowledges and understands the perspectives of judicial branch stakeholders.
Role of the Legislative Branch	• Knows the roles and areas of responsibility for legislative branch criminal justice stakeholders. • Develops positive relationships with legislative branch stakeholders relevant to the manager's area of responsibility. • Includes legislative branch stakeholders on oversight/project teams when appropriate. • Acknowledges and understands the perspectives of legislative branch stakeholders. • Provides legislative stakeholders with accurate information and data to inform the development of effective legislation. • Works with legislative branch stakeholders to secure funding for research-based, cost-effective interventions and reliable assessment tools.	• Knows the roles and areas of responsibility for legislative branch criminal justice stakeholders. • Develops positive relationships with legislative branch stakeholders relevant to the supervisor's area of responsibility. • Works with legislative branch stakeholders on oversight/project teams when appropriate. • Acknowledges and understands the perspectives of legislative branch stakeholders. • Gathers accurate information and data to inform the development of effective legislation.

Appendix 14–1. Focus Matrix for Managers and Supervisors: Criminal Justice System (continued)		
	Manager	**Supervisor**
Focus Areas (continued)		
Improving Criminal Justice System Operations	• Develops and promotes a systems approach to criminal justice that integrates the perspectives of all the stakeholder groups. • Brings together criminal justice stakeholders to develop a (few) BHAG(s). • Understands the decision points within the criminal justice system. • Ensures that decisionmaking within the manager's area of responsibility is based on objective assessment and reliable data whenever possible. • Establishes and monitors outcome measures for BHAGs and individual centers of excellence.	• Participates in project teams to develop and implement BHAGs. • Understands the decision points within the criminal justice system. • Ensures that decisionmaking within the supervisor's area of responsibility is based on objective assessment and reliable data whenever possible. • Ensures that mechanisms are in place to gather accurate data for outcome measures.

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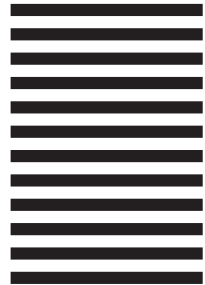Telephone:_____

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