Correctional Leadership Competencies for the 21st Century

Executives and Senior-Level Leaders

Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders

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Foreword

Given the increasing number and diversity of offenders in the nation's correctional institutions, the more 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 that correctional agencies/organizations 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?"

To answer this question, 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 then 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. For each competency, the project then 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: Executive and Senior-Level Leaders,* and its companion document, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels,* represent the culmination of that process. The core competencies presented for correctional executives and senior-level leaders emphasize not only the value of such capabilities as strategic thinking, managing the external environment, strategic planning, collaboration, and team building, but also the attributes of character that correctional leaders need, including self-awareness, a strong sense of ethics and values, a sense of personal and organizational vision and mission, and the ability to use power effectively and responsibly. These competencies provide correctional agencies/organizations with tools for identifying and training current and future leaders who possess those capabilities and attributes, and they offer correctional professionals guidelines for strengthening and cultivating the attributes and related behaviors.

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. In

addition, correctional agencies/organizations can use the competencies identified in these documents to improve their recruitment and selection processes, placement and retention of current employees, succession planning for leadership positions, and staff development. Finally, individual correctional professionals can use these competencies to aid in their own personal growth and development.

Morris L. Thigpen
Director
National Institute of Corrections

Acknowledgments From the National Institute of Corrections

This effort would not have been possible without the collaborative will, dedication, and professionalism of all who contributed to this project. During the course of this project, many hours were spent debating the merits of leadership, identifying the competencies known to be successful at various levels of an organization, and struggling with developing a leadership model that would best serve both the National Institute of Corrections (NIC) and the field of corrections.

A special thank you is extended to Nancy Campbell for her professional guidance, which helped us to realize our vision of creating a model for leadership and management development. NIC is indebted to her for the many hours she spent identifying the elements of this guide and coordinating the many contributions of its authors. We are also indebted to Pat Andrews, Patrick Dobel, Teddi Edington, George Galazza, Janie Jeffers, Paul Katsampes, Barb Lucey, Marie Mactavish, Nancy Raynolds, Chase Riveland, David Savage, Chele Shepard, Donna Stringer, Richard Swanson, Eldon Vail, William Woodward, and Cindi Yates for the many hours they spent on this project and the expertise they extended to it.

At NIC, Dee Halley initially moved the project forward before moving on to greener pastures in our Washington, D.C., office. Her tireless energy and input are much appreciated. John Eggers has since kept this project safe under his wing, and to him we are deeply grateful. John spent many hours reviewing the final version of this guide. Thanks to his determination and expertise, this document has come to fruition.

As Chief of NIC's Academy Division, I am deeply grateful to Morris Thigpen and Larry Solomon. Morris and Larry have fully supported this project since its inception and have become champions in the art of patience and allowing us to find our own way.

Finally, a heartfelt thank you is extended to Brian Higgins of Aspen Systems Corporation. Brian's editorial support, sound suggestions, and attention to detail much improved the final version of this document.

Robert M. Brown, Jr.
Chief, Academy Division
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Acknowledgments
From the Author

The nature of the correctional environment has changed significantly in recent years. The technological revolution, globalization, and evolving workforce demographics are just a few of the factors that are influencing and changing correctional agencies/organizations. The Core Competency Project attempts to define the skills and abilities needed today and in the future by correctional executives and senior-level leaders.

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 developed a useful approach to self-awareness and once again demonstrated her expertise in collaboration and team building. 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. Paul Katsampes developed several frameworks for thinking about how to manage the external environment. And Cindi Yates has provided leaders with a way to approach the often daunting topic of planning and evaluation.

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. Chele Shepard provided much valued technical editing.

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.

Nancy M. Campbell

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Executive Summary

This publication, *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders,* is the first of two companion documents that are being published by the Academy Division of the National Institute of Corrections (NIC) as part of its Core Competency 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. Once these managerial profiles were developed, 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.

NIC plans to use these competencies to design training programs and identify the most appropriate candidates for those programs. In addition, NIC hopes that correctional agencies/organizations will use them 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 10 present the individual competencies for executives and senior-level leaders. For each competency discussed in this publication, the following elements are presented:

- Definition.

- Knowledge Base.

- Key Skills and Behaviors.

- Focus Matrix for Executives and Senior-Level Leaders.

- Resources.

Chapter 1: Managerial Profiles

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

agencies/organizations and respecting that there are 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, based on seven key areas of responsibility; a table showing the tasks associated with each responsibility; positions that typically fall within each 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 organization); and, finally, a list of the core competencies associated with each level of leadership.

Chapter 2: Self-Awareness

Self-awareness is necessary for correctional executives and senior-level leaders to understand the ways in which their strengths and weaknesses affect how they deal with others and their ability to reach their goals. By understanding the underlying motivations of their actions and seeing themselves as others see them, leaders can capitalize on their strengths and not be derailed by their weaknesses.

Chapter 2 discusses how assessing one's strengths and weaknesses, when followed up with an action plan for changes in behavior, can lead to self-improvement and greater effectiveness for correctional executives and senior-level leaders. It first presents the three attributes of successful leaders: interpersonal skills, ability to build and lead teams, and adaptability. It then discusses the two most common techniques for self-awareness assessment—self-assessment and 360-degree feedback—and presents an overview of selected instruments that apply these techniques. The self-assessment instruments discussed are the Myers-Briggs Type Indicator® (MBTI®) and the Fundamental Interpersonal Relations Orientation—Behavior® (FIRO–B®). The 360-degree feedback instruments—instruments that provide full-circle measurement from assessment to feedback—are Benchmarks®, Emotional Competence Inventory®, Leadership Practices Inventory®, Multifactor Leadership Questionnaire®, and Skillscope®. Of particular importance for later competencies is the discussion of transactional, nontransactional, and transformational leadership in connection with the Multifactor Leadership Questionnaire.

Chapter 2 also presents strategies for professional development in response to the results of self-assessment, including action plans and learning contracts, and provides a sample learning contract worksheet. Finally, the chapter presents a

matrix that shows how each assessment instrument applies to correctional executives and senior-level leaders and provides information on the availability and costs of these and other widely used assessment instruments.

Chapter 3: Ethics and Values

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

Chapter 3 addresses the importance of ethics and values in correctional leadership. It begins with a discussion of the special pressures on correctional leaders and personnel that at once make ethics and values central to their mission and make them more vulnerable to lapses in ethics. The chapter then reviews several approaches to ethics—principle- or rule-based ethics, consequential ethics, virtue ethics, and role or professional ethics—and discusses how correctional executives and senior-level leaders use a combination of those approaches.

Chapter 3 also discusses integrity as the foundation of ethical behavior. This discussion 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 also details the personal attributes required for ethical action, discusses the six pillars of character, and describes the key leadership values that ethical leaders must embody.

This chapter also addresses the types of unethical behavior that correctional leaders 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 4: Vision and Mission

Perhaps the most critical task of correctional executives and senior-level leaders is to help all stakeholders understand the value of the correctional agency/organization's services. The effective leader knows how to identify simply and concretely not just the task at hand but also the reason behind the task. The effective correctional leader creates a vision that helps employees understand the importance of their calling—to serve both a public that often rejects and condemns corrections' clients (i.e., offenders) and these clients, who often reject and condemn their circumstances.

Chapter 4 addresses the importance of vision and mission to correctional leaders and the need to ensure that the vision and mission of the correctional agency/organization and its leaders are communicated to and understood and accepted by staff. The chapter first discusses the importance of arriving at a common understanding of the organization's vision and having guidelines for developing that understanding in the organization. These guidelines relate back to the importance of transformational and transactional leadership (discussed in chapter 2) and ethics and values (discussed in chapter 3) in defining the vision. Chapter 4 then outlines the visioning process, including the steps in developing the vision, the elements of the vision, and techniques for promoting organizational commitment to the vision.

Chapter 4 then discusses the role of mission in applying the vision's principles and values to day-to-day operations, including techniques for crafting the mission statement to express the vision in practical terms. It then offers suggestions for implementing the mission in day-to-day operations, including clarifying employees' roles and responsibilities, developing goals that support the mission, and making the performance and reward systems reinforce the mission. The chapter also presents the Balanced Scorecard approach to measuring the implementation of the mission from four perspectives: financial, customer, internal business processes, and learning and growth. The Balanced Scorecard is also discussed again in chapter 8, "Strategic Planning and Performance Measurement," as a technique for measuring correctional agency/organization performance.

Chapter 5: Strategic Thinking

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. 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 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 5 addresses the importance of strategic thinking for executives and senior-level leaders in correctional agencies/organizations and provides techniques for expanding one's capacity to think and act strategically. The chapter first discusses challenges that require strategic thinking and outlines the benefits of strategic thinking. It 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 leaders 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 5 then presents three frameworks for strategic thinking:

- *The Strategic Thinking Cycle* uses three phases: perceiving, understanding, and reasoning. Each phase involves two steps. Perceiving involves understanding the organization's past and current experience (acquiring insight) and then using creative, intuitive, and conceptual thinking to project that experience into the future (developing foresight). Understanding involves choosing among possibilities by identifying the strategic levers that stakeholders value and matching those levers with the organization's capabilities. Reasoning involves developing a core strategy and implementation strategies.

- *The Strategic Management Triangle* defines three functions that a strategic leader in a correctional agency/organization must keep in balance: defining the value to the public of the services provided (looking outward), building and maintaining political and legal support for those services (looking upward), and ensuring that the organization has the capability to provide those services (looking inward).

- *Management by Groping Along* guides leaders in using creative, intuitive, and conceptual thinking 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 6: Managing the External Environment

Effective correctional executives and senior-level leaders recognize that their correctional agencies/organizations are part of a larger whole and that external conditions may influence both their strategic purpose and their day-to-day operations. Collaboration, development of alliances, negotiation, and environmental analysis are techniques the executive and senior-level leader can use to manage the external environment successfully—a process that includes responding to

new laws and legislation, presenting needs and requirements to legislators, relating to community and special interest groups, implementing new technology, and recognizing changes in social conditions.

Chapter 6 addresses the importance to correctional executives and senior-level leaders of managing the external environment in which they operate and presents strategies for managing that environment. The chapter first reviews the legal, political, social, ecological, technological, and economic conditions that affect the policies and day-to-day operations of correctional agencies/organizations. Executives and senior-level leaders differ from other managers in that they not only respond to these environmental influences, but also actively shape and guide policy and budgetary directions in these areas that affect their responsibilities. Managing changes in these environmental influences is a continuous cycle that requires correctional leaders to evaluate and adapt the correctional agency/organization's policies and culture in response to outside forces and to ensure that external stakeholders and interest groups evaluate policies that are developed or changed internally.

Chapter 6 then discusses how to manage the correctional agency/organization's political relationships with criminal justice and other public agencies and outside interest groups. In particular, it mentions the importance of developing alliances with other government agencies to present a united front to funding/policy bodies instead of competing for scarce resources.

The chapter then presents techniques for building cooperative relationships with other agencies and interest groups and for identifying and overcoming barriers to such relationships:

- *Techniques for building cooperative relationships:* Mapping contacts with external entities, particularly those that involve regular cooperation and conflict; evaluating the need for cooperation with those entities; linking with those entities; supporting the links; working for visible results; and anticipating the outcomes.

- *Barriers*: Shortfalls that increase competition for scarce resources, mission conflict and ambiguity, political obstacles, and legal and constitutional barriers to cooperation such as laws that limit information sharing among agencies.

- *Strategies for overcoming barriers:* Creative collusion (agreements with other agencies not to compete for scarce resources), comparative advantage (emphasizing the organization's strengths in cooperating with other organizations), turf defense, and acknowledging the organization's dependency on other organizations.

Chapter 6 also discusses approaches for establishing a positive relationship with the media, emphasizing the importance of long-term professional relationships with media staff and of developing media policies and protocols that emphasize openness and truthfulness. Elements of a proactive media plan include the release of educational materials, press releases, press conferences, and editorial board visits.

Chapter 7: Power and Influence

To innovate or make change requires skill not only in making decisions (identifying options and selecting the most effective one for the situation), but also in getting things done (implementing ideas). Successful implementation requires understanding how to negotiate through a maze of competing interests and convincing those who represent other interests of the value of your goal so that they are willing to support it or at least not fight it. Success also requires having the skills to understand the politics of the environment and to influence enough parties to allow for implementation.

Chapter 7 addresses correctional leaders' use of power and influence to achieve the goals of their correctional agency/organization. The chapter first discusses understanding what power is, including the common elements of power: influence, overcoming resistance, and politics. It then points out cultural considerations that may affect the use of power and how power is perceived within an organization. In correctional agencies/organizations, these may include the type of facility (community corrections versus a secure institution); differences among staff and offenders, such as ethnicity, race, religion, gender, age, and nationality; and diversity among leadership.

Chapter 7 also identifies five characteristics of power, i.e., that it is uniquely expressed, implies risk, is neutral, is existential (existing only in the present), and resides in a conscious choice. Sources of power within an organization include personal power (residing within the individual, such as information, expertise, and goodwill), position power (provided by the organization, including authority, reward, and discipline), information power, and connection power (based on association with a powerful individual). Leaders have different levels of authority in different areas, including direct, limited, and no authority, which may determine the strategies and sources of power that they use.

Chapter 7 then advises leaders on how to develop the capacity to use power to influence others. These techniques include the following:

- *Understanding and assessing their own use of influence styles* through the use of self-assessment tools (see chapter 2).

- *Defining and developing the attributes of successful leaders,* including energy, focus, sensitivity to others, flexibility, ability to tolerate conflict, and getting along/submerging one's ego.

- *Selecting appropriate influence strategies,* including reason, friendliness, coalition, bargaining, assertiveness, higher authority, and sanctions.

Four traps keep people from influencing others effectively:

- *Target:* Choosing a style of influence based solely on the target rather than all the circumstances.

- *Resources:* Failing to use the full range of available power resources.

- *Adverse reaction:* Giving up, continuing to use an unsuccessful strategy, or getting angry when meeting with resistance.

- *Purpose:* Failing to be clear about the reason for influence.

Tactics for influencing others successfully include the following:

- *Following guidelines for setting an agenda* that include listening to others' concerns and suggesting ideas that they can adopt, ordering the agenda to highlight the issues for which the leader needs buy-in, setting deadlines or time limits for valuable elements, and framing the issue to shape the discussion.

- *Mapping the political terrain* by identifying formal and informal systems of power, communications, and interdependence within an organization; analyzing and mobilizing internal and external resources; and anticipating others' strategies.

- *Gaining support for and implementing the agenda* by using networking, symbolism, and bargaining and negotiating, and by changing structure.

Chapter 8: Strategic Planning and Performance Measurement

Effective leadership is based on 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 and managers and are made evident in the actions of the organization. Effective leadership must set a clear vision and the expectations for performance and for improving performance. Strategic planning and performance measurement are valuable tools for leaders to use in establishing organizational direction, performance expectations, customer focus, and a leadership system that promotes excellence.

Chapter 8 addresses the importance of strategic planning and performance measurement for correctional agencies/organizations from the perspective of correctional executives and senior-level leaders. In contrast to the other competencies discussed in this document, which apply to both senior-level leaders and executives, this competency directly applies only to senior-level leaders. However, although correctional executives do not directly take part in strategic planning and performance measurement, they take the lead in developing several of the essential building blocks for the strategic plan, help establish performance measures, and support implementation of the strategic plan by aligning the correctional agency/organization's resources with the plan and advocating for resources with outside stakeholders.

Chapter 8 first introduces the building blocks of the strategic plan, including the correctional agency/organization's assessment of the external and internal environments; its vision, mission, values, and goals; its strategies and initiatives; its financial plan; and its performance measures. The chapter defines each building block, provides examples, and offers recommendations for development. The discussion of performance measures also distinguishes five types of measures (objective statements and outcome, input, process/workload, and efficiency measures).

Chapter 8 then presents several frameworks for using performance measures to 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 measure 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.

- *The Balanced Scorecard*, also discussed in chapter 4, monitors implementation from four perspectives: financial, customer, internal business processes, and learning and growth. Chapter 8 includes examples of a Balanced Scorecard for corrections and a worksheet for deriving performance measures from the Balanced Scorecard.

- *A self-assessment instrument modeled on the criteria for the Malcolm Baldridge National Quality Award* ranks an organization along a continuum from "Not engaged yet" to "World-class excellence." For leadership, the rankings rate the organization's strategy development, plan development and deployment, and setting of performance targets.

The chapter also describes the New York City Department of Correction's TEAMS (Total Efficiency Accountability Management System) Program. This approach exemplifies the performance process in a correctional agency/organization and has led to dramatically improved outcomes for the department.

Chapter 9: Collaboration

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 its potential for controlling the increasing costs of expanding correctional systems.

Chapter 9 addresses collaboration in correctional agencies/organizations from the perspective of executives and senior-level leaders. It begins with a discussion of the importance of both external and internal collaboration for correctional agencies/organizations. Collaboration with other organizations and community groups can help control correctional system costs without sacrificing public safety. Internal collaboration can increase employee commitment to the correctional agency/organization's goals. However, historical factors both in correctional agencies/organizations and in American society as a whole, including the hierarchical nature of correctional agencies/organizations and the importance of individualism in American life, raise barriers to collaboration.

The chapter then lists the key features of a collaborative environment and collaborative leadership and describes four opportunities for collaboration:

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

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

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

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

Chapter 9 also presents five factors in successful collaboration:

- *Purpose:* The goal of and reason for using collaboration as a strategy.

- *Environment:* The political/social climate in which the correctional agency/organization operates and the organization's history of collaboration with outside stakeholders and the community it serves.

- *Membership characteristics:* Mutual trust and respect among the group members; a cross section of members with different backgrounds, skills, and behaviors; and an understanding that collaboration is in the organization's best interest and the group members' own self-interest.

- *Structure:* The ability to work within both the vertical and the horizontal flow of power.

- *Communication:* Establishing and demonstrating constructive communication to align staff members with the correctional agency/organization's purpose.

Chapter 10: Team Building

Successful teams, like individuals, require thoughtful development and support. If a team is given sufficient attention and direction, it has great potential not only for accomplishing its task, but also for providing individual and team learning opportunities.

Chapter 10 addresses the importance of team building for correctional executives and senior-level leaders. It first defines the types of teams that are encountered in the workplace, and differentiates 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. It also defines 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; studies have shown that one of the top three reasons that the careers of senior-level leaders stall is the inability to build and lead teams. Chapter 10 presents the seven elements of successful work teams at the executive and senior levels—clarity of purpose and goals, team leadership, team membership, collaborative climate (teamwork), decisionmaking climate, ongoing training, and external support and recognition.

- ***Effective team leaders collaborate with team members to develop a clear purpose statement.*** This statement defines the "why," "what," "who," and "how" of the team's direction. Effective leaders also establish realistic goals and objectives that clarify the team's purpose and monitor the team's progress using process and outcome measures.

- *Effective team leaders address needs inside and outside the team.* Outside the team, the team leader advocates for the team, cultivates relationships with the team's sponsor and with critical others inside and outside the correctional agency/organization, promotes team performance, and builds the team image by communicating its successes. Within the team, the team leader balances the four leadership styles—directive, consultative, collaborative, and delegative—as appropriate. The team leader works to enhance team members' individual performance, models problem-solving techniques, builds team spirit, and helps establish three kinds of trust: contractual, communications, and competence.

- *Effective team leaders are aware of five important aspects of team membership.* These are team size (9 to 11 members is optimal); individual and collective commitment to the team's purpose and goals; complementary skills (interpersonal competencies as well as technical expertise); commitment to a teamwork approach; and mutual accountability.

- *Effective team leaders promote a collaborative climate.* Leaders do this by clearly defining team roles and responsibilities and establishing strong lines of communication within the team. Team roles include the team sponsor, team leader, team member, facilitator, and recorder. Effective team communication is founded on openmindedness, withholding judgment, providing feedback, agreement, and comprehension. Good communication creates factors that promote teamwork, including honesty, openness, consistency, and respect.

- *Effective team leaders use an appropriate balance of decisionmaking styles.* Each style helps establish a corresponding decisionmaking climate: a directive approach creates a more autocratic climate; a collaborative approach creates a climate of shared responsibility and authority. Leaders need to be aware, however, that not all decisions require consensus. Chapter 10 presents a decision-making model for determining how much participation is appropriate in making a specific decision and provides guidelines for using the model.

- *Effective team leaders assess team members' interpersonal and technical skills and offer ongoing training to improve those skills as needed.* They also provide team members with opportunities for technical and professional development related to the team's purpose.

- *Finally, effective organizational leaders provide external support and recognition by acknowledging and rewarding team accomplishments.* To help teams achieve their goals, they set high expectations, instill confidence, provide guidance, and demand excellence. Team leaders are responsible for communicating with organizational leaders when the team meets barriers outside its span of control.

Introduction

Nancy M. Campbell

This publication, *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders,* is the first of two companion documents that are being published by the Academy Division of the National Institute of Corrections (NIC) as part of its Core Competency Project. This project was established in response to a question by Robert Brown, Chief, NIC 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: Manager and Supervisor Levels,* 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 Competency 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. These 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 experiences 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 NIC 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 to represent many organizations.

The 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 five 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.

- *Competencies:* The competencies required by each level of leader.

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 services and programs with the vision.

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, eight areas were chosen as core competencies for correctional executives and and nine areas were chosen for senior-level leaders.

Competencies

Executives	Senior-Level Leaders
Self-Awareness	Self-Awareness
Ethics and Values	Ethics and Values
Vision and Mission	Vision and Mission
Strategic Thinking	Strategic Thinking
Managing the External Environment	Managing the External Environment
Power and Influence	Power and Influence
Collaboration	Strategic Planning and Performance Measurement
Team Building	Collaboration
	Team Building

These competencies, which are presented in chapters 2 through 10, represent the key skills, knowledge, and attributes of effective executives and senior-level leaders. Although these competencies overlap significantly with those identified for managers and supervisors in the companion document, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels,* 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 executives and senior-level leaders. The competencies are presented in the following format:

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

- *Knowledge Base:* This section presents the knowledge of the competency that executives and senior-level leaders should possess. It begins with a discussion of why correctional executives and/or senior-level leaders 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 executives and senior-level leaders to be proficient in each competency and behaviors associated with each skill.

- *Focus Matrix for Executives and Senior-Level Leaders:* An appendix to each chapter presents a table that shows how elements of the competencies apply to each level of leader, emphasizing the differences in responsibilities related to the competencies between executives and senior-level leaders.

- *Resources:* This section presents source and background materials related to each competency. When a competency is discussed in both this document and the companion document, the resource list will include materials related to all levels of management, providing executives and senior-level leaders with an opportunity to reacquaint themselves with aspects of the competency that pertain to the responsibilities of the managers and supervisors under their leadership.

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 needed. Individual correctional leaders may also use the competencies in their own personal growth and professional development efforts.

NIC expects that the 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 candidate 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  │
                  └──────────────┘
```
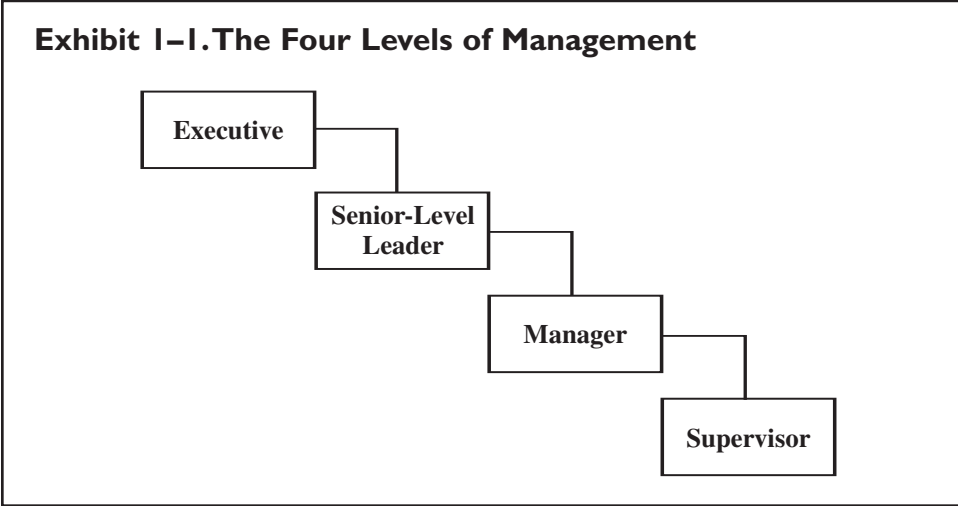
Executive Profile

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's/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 departments, 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/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, 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, 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.

Self-Awareness

Marie Mactavish

This chapter discusses why self-awareness is important to executive and senior-level leaders and how assessing one's strengths and weaknesses, when followed up with an action plan for changes in behavior, can lead to self-improvement and greater effectiveness as a leader. It first presents the three attributes of successful leaders: interpersonal relationships, ability to build and lead teams, and adaptability. It then discusses the two most common techniques for self-awareness assessment—self-assessment and 360-degree feedback—and presents an overview of selected instruments that apply these techniques. Following this, it presents strategies for professional development in response to the results of self-assessment, including action plans and learning contracts. It then summarizes key skills and behaviors related to self-assessment for executives and senior-level leaders. The chapter presents a matrix that shows the applicability of each of the assessment instruments discussed in the text to executives and senior-level leaders (appendix 2–1). Finally, it provides information on the availability and costs of these and other widely used assessment instruments (appendix 2–2).

Definition

Self-Awareness: A key aspect of self-awareness is understanding one's personal strengths and weaknesses. Self-awareness also means understanding why you are the way you are and knowing how your strengths and weaknesses affect others and your ability to reach your goals.

Knowledge Base

Why Should Correctional Executives and Senior-Level Leaders Develop This Competency?

Seeing yourself as others see you—knowing what your skills truly are—is important to your success. Conversely, overrating your skills or being unaware of your weaknesses leads to lower performance and therefore diminishes your success.

By knowing your strengths, you can capitalize on them when situations arise. Likewise, knowing your weaknesses allows you to make self-improvements and guard against repeatedly exhibiting your shortcomings.

Careers generally stagnate in an organization because of interpersonal problems rather than technical ones. Being proactive toward self-improvement can help prevent a career-derailing event.

> Self-awareness has been recognized as the most important characteristic of effective multicultural individuals.
>
> —Donna Stringer, Ph.D., President, Executive Diversity Services, Seattle, WA

If you as a leader understand your own beliefs, behaviors, and style preferences, you will be more open to varied approaches to working with different individuals. Given the growing diversity of work environments, this skill becomes increasingly important if every individual in the organization is to feel valued and motivated to perform his or her best work.

Three Attributes of Successful Leaders

Research studies conducted by the Center for Creative Leadership (CCL) from 1983 to 1995 resulted in the publication in 1996 of a comprehensive report, *A Look at Derailment Today: North America and Europe,* by Jean Brittain Leslie and Ellen Van Velsor. The studies identified the differences between successful and unsuccessful—or derailed—leaders and what skills, behaviors, and perspectives they used in their approaches to management. Information gathered from the research studies also resulted in the creation of CCL's self-assessment instrument, Benchmarks®. CCL conducted additional research after 1995, which led to new and expanded results. The following discussion refers to the cumulative findings of this research.

The research identified several primary indicators for career success or derailment. The three most relevant to this text are interpersonal relationships, the ability to build and lead a team, and adaptability.

Interpersonal Relationships

Interpersonal relationships are the primary factor in a leader's career success or setback. Successful leaders value contributions made by others, invite communication, listen well, are trustworthy, exhibit rational and predictable behavior, are team players, and share decisionmaking when appropriate.

Leaders who derail their careers tend to lack awareness of how their behaviors affect others or their own careers. Instead of demonstrating the interpersonal skills of a successful leader, they go in the opposite direction and may be dictatorial, arrogant, emotionally volatile, and closed off from their staff.

This statement from one research subject in the CCL studies sums it up: "He left dead bodies everywhere. He would have people hanging out to dry if they wouldn't do what he wanted. He would push them to do what he wanted and deny any involvement."

Ability To Build and Lead Teams

The second most common reason why a leader's career succeeds or derails is one of the core competencies addressed in this document—team building (see chapter 10). Teams and teamwork are often characterized as the keys to productivity and quality in the workplace. But putting these concepts to work can be a

Knowing one's true self is the first task of a leader.

—Nisargadatta Maharaj, Indian Spiritualist

major challenge for leaders accustomed to more traditional ways of working. As more and more programs and projects are turned over to teams, special problems relating to group and intergroup dynamics may occur. As John Schermerhorn, James Hunt, and Richard Osborn point out in their 1997 book, *Organizational Behavior,* successful leaders must be prepared not only to implement creative workgroup designs, but also to do what is needed to help group members properly develop and maintain an effective team. In addition to building and leading teams, working comfortably as part of a senior management or executive team is also a critical skill for successful leaders.

Adaptability

The third reason cited for career success or derailment of leaders is the ability to adapt to change. Successful leaders understand the value of being able to use different management styles for different situations and people. They accept that some change is inevitable and adapt their leadership approach to meet the needs of new situations. The leader who has a rigid and outdated management style or is stubborn, inflexible, or resistant to new ideas and change may be on the fast track to career derailment.

Informal Versus Formal Self-Awareness
Informal Self-Awareness: Going It Alone

Relying on your own reflections. Some individuals naturally have a strong interest in personal and professional development. They possess the unique ability to identify their areas of strength and weakness for the particular environment in which they find themselves. This enables them to make necessary changes to increase their effectiveness. Most people, however, do not have the time, skills, or ability to do this without the help of others.

Formal Self-Awareness: Gathering Feedback

If you are not inclined toward self-evaluation, other approaches can help you gain self-awareness.

Using your supervisor to learn more about yourself. Traditionally, employees get their performance and developmental feedback from their immediate supervisor. The reviews are mixed on the value of having just one person assess another. Personalities, work styles, and other factors may conflict, causing a narrow and potentially subjective perspective.

Using tools to learn more about yourself. Many organizations and leaders now use more objective, formal assessment tools to help their people succeed—and therefore make the organization more successful. The following sections discuss self-awareness assessment instruments. See appendix 2–1 for information about the applicability of various instruments to executives and senior-level leaders and appendix 2–2 for a descriptive list of instruments.

> Self-assessment can motivate change. Fear of self-knowledge can prevent it.
>
> —Walter Turnow, Center for Creative Leadership, London

Self-Awareness Assessment Instruments

The Role of the Organization in Selecting Instruments

The measurement instrument chosen by an organization sends a clear message about what it believes are important job performance factors for leadership positions. For example, if an organization values learned behaviors and skills (e.g., resourcefulness or being a fast learner) over skills based on personality types (e.g., introvert or extrovert), it would probably choose the Benchmarks® model rather than the Myers-Briggs Type Indicator® (MBTI®). The most thorough approach would include measurements that assess management skills and behaviors as well as personality traits and preferences.

> Broad self-aware-
> ness helps leaders
> understand how
> they can best carry
> out their roles and
> responsibilities,
> how they can con-
> tribute to the
> group, and what
> personal shortcom-
> ings they need to
> guard against in
> working with
> others.
>
> —Cynthia D. McCauley,
> Russ S. Moxley, and
> Ellen Van Velsor, eds.,
> *The Center for Creative
> Leadership Handbook for
> Leadership Development*

Key Terms for Self-Awareness Assessment

Instrument: An instrument is a survey, questionnaire, or inventory that, unlike a test, has no predetermined "correct" answers. Instruments generate data that can be used for professional growth, training, or research.

Feedback: Feedback is information about a person's performance or behavior intentionally delivered to that person to facilitate change or improvement.

360-Degree Feedback: Individuals receive direct, written anonymous feedback from peers, direct reports, and possibly others with whom they frequently interact. Bosses would generally provide direct, not anonymous written feedback. Skills and behavior criteria for successful performance are predetermined by the organization, which sets the standard by which an individual is measured in 360-degree feedback.

Standardized Instruments Without Direct Feedback Mechanisms: Tools for Self-Understanding

In the 1970s and 1980s, instruments used to assess self-awareness typically employed a pencil-and-paper questionnaire completed by the individual, with interpretive assistance provided by a second party having a specialty or mastery in that particular instrument. No feedback mechanism was built into these instruments. Individuals participating in standardized self-evaluation assessments were responsible for determining what to do next with the results they received from the appraisal. Two well-known examples of this type of instrument are discussed below.

Myers-Briggs Type Indicator® (MBTI®)

Personality types are a way of looking at distinctive behavioral patterns. The theoretical basis of psychological "types" is generally credited to C.G. Jung. The MBTI questionnaire, designed by a mother-and-daughter team—Isabel Briggs Myers and Katherine C. Briggs—makes it possible to test Jung's theory and put it to practical use. Myers and Briggs developed the instrument during World War II on the hypothesis that people entering the workforce for the first time might benefit from understanding their own personalities.

MBTI looks at 4 different pairs of attributes to create a matrix of 16 personality "preferences," which everyone uses at different times (see exhibit 2–1). In addition to facilitating self-awareness, MBTI can also help leaders understand and appreciate the differences in other people and facilitate constructive use of individual talents. Although MBTI preferences can provide useful insights about leaders and their direct reports, the precise meaning of psychological types in leadership development is still being explored.

Exhibit 2–1. MBTI® Personality Types Summary		
Extroversion: People are driven by the outer world, actions, objects, and people.	OR	***Introversion:*** People are driven by the world of concepts and ideas.
Sensing: People rely on their five senses to sense the immediate, real, practical facts.	OR	***Intuition:*** People use intuition to consider possibilities and follow their hunches.
Thinking: People make decisions by thinking—objectively and impersonally.	OR	***Feeling:*** People make decisions by weighing subjective values and feelings.
Judgment: People live mostly by judgment, in a decisive, planned, and orderly way.	OR	***Perception:*** People live mostly by perception, in a spontaneous and flexible way.
Source: Adapted from Isabel Briggs Myers and Katherine C. Briggs, *Myers-Briggs Type Indicator,* Consulting Psychologists Press, 1975.		

Fundamental Interpersonal Relations Orientation—Behavior® (FIRO–B®)

Developed by Dr. Will Schutz, the FIRO–B instrument assesses how one's personal needs affect behavior toward other people. Dr. Schutz observed that many of the behaviors we exhibit are motivated by how much we need the following three interpersonal dimensions:

- ***Inclusion*** (recognition, belonging, and participation).

- ***Control*** (influence and responsibility).

- ***Affection*** (closeness, warmth, and sensitivity).

As noted by Eugene R. Schnell and Allen L. Hammer in *Introduction to FIRO–B in Organizations,* Dr. Schutz has "described these three dimensions as the decisions we make in our relationships about whether we want to be 'in' or 'out' (Inclusion), to be 'up' or 'down' (Control), and to be 'close' or 'distant' (Affection). The FIRO–B estimates the unique level of our need for each of these dimensions of human interaction."

Standardized Instruments for 360-Degree Feedback

Other instruments provide direct feedback useful for professional growth, training, or research. These direct-feedback instruments are called 360-degree instruments because they provide full-circle measurement—from assessment to feedback. Individuals receive written, anonymous feedback from peers, direct reports, internal and external stakeholders, and others with whom they frequently interact—sources who in many cases were once thought to be inappropriate. Bosses generally provide direct, not anonymous, written feedback.

The most obvious goal of 360-degree feedback is to increase an individual's (usually a manager's) self-awareness so that improvements can be made in how that manager relates to bosses, peers, direct reports, and internal and external stakeholders. Skills and behavior criteria for successful performance are predetermined by the organization, which sets the standard by which an individual is measured.

The 360-degree feedback approach can:

- Provide specific job-related feedback to a leader from the people directly affected by the leader's behaviors.

- Help individual leaders understand the skills and behaviors most important for success in their jobs.

- Show how well leaders are performing relative to the skills and behaviors critical to their effectiveness.

- Provide a written feedback report, which becomes the basis for a plan of action to implement change.

The following sections describe some of the most widely used instruments with direct-feedback mechanisms appropriate for the 360-degree feedback approach. Numerous authors and developers of specific tools have written about 360-degree feedback, the focus of their particular 360-degree feedback instrument, and how it should be implemented. Although many such instruments are available for individual and team use, only a handful have been widely used by professionals over the years. The instruments described below are examples of those that can be used by trainers, human resources staff, and managers in their role as coach. Many of the following instruments require special training and preparation. Individuals interested in leadership development and the use of assessment instruments will find it well worth their time and effort to master some of these tools. The instruments discussed in this section are:

- Benchmarks®.

- Emotional Competence Inventory®.

- Leadership Practices Inventory®.

- Multifactor Leadership Questionnaire®.

- Skillscope®.

Benchmarks®

Benchmarks (see exhibit 2–2) was developed from research started in 1982 and is based on studies of 400 Fortune 500 executives. Since that time, the database has grown to include about 37,000 executives. Benchmarks is derived from a

Exhibit 2–2. Characteristics Assessed by Benchmarks®	
Essential Leadership Skills and Perspectives	**Problems That May Stall A Career**

Meeting Job Challenges
  1. Resourcefulness.
  2. Doing whatever it takes.
  3. Being a quick study.
  4. Decisiveness.
 	
Leading People
  5. Leading employees.
  6. Confronting problem employees.
  7. Participative management.
  8. Change management.
 	
Respecting Self and Others
  9. Building and mending relationships.
  10. Compassion and sensitivity.
  11. Straightforwardness and composure.
  12. Balance between personal life and work.
  13. Self-awareness.
  14. Putting people at ease.
  15. Awareness that differences matter.
  16. Career management.
	1. Problems with interpersonal relationships.
	2. Difficulty building and leading a team.
	3. Difficulty changing or adapting.
	4. Failure to meet business objectives.
	5. Too narrow functional orientation.

Source: Available from the Center for Creative Leadership (see appendix 2–2, Table of Assessment Instruments, for more information).

CCL study of how managers develop (rather than what they do). Additional studies of special populations (e.g., women or military officers) have supported the basic findings and the validity of the instrument.

Benchmarks assesses 16 skills and perspectives important to success, and 5 factors that often predict career derailment if left unchecked. It results in a report that provides a comprehensive summary of how others see an individual's management skills and any problem areas that have the potential to stall a leader's career. The report is useful as a diagnostic tool for a leader's current operation in an organization or as a planning tool for future success. This report is confidential and solely for the individual.

Emotional Competence Inventory® (ECI®)

Based on the original work of Dr. Richard Boyatzis and Dr. Daniel Goleman, the ECI builds on 35 years of competency research for the full spectrum of emotional intelligence, as developed by Dr. Goleman and the Hay Group. Exhibit 2–3 illustrates the emotional competence framework. The underlying concept of this framework—looking at star performers and using the competencies they display to predict how well people will perform on the job—was suggested by David McClelland, best known for his work in achievement and motivation behaviors, in his 1973 *American Psychologist* article, "Testing for Competence Rather Than Intelligence."

Exhibit 2–3. The Emotional Competence Framework		
	Personal Competence	**Social Competence**
Awareness	*Self-Awareness* • Emotional awareness. • Accurate self-assessment. • Self-confidence.	*Social Awareness* • Empathy. • Organizational awareness. • Service orientation.
Actions	*Self-Management* • Self-control. • Trustworthiness. • Conscientiousness. • Adaptability. • Achievement orientation. • Initiative.	*Social Skills* • Developing others. • Leadership. • Influence. • Communication. • Change catalyst. • Conflict management. • Building bonds. • Teamwork and collaboration.
Source: The Hay Group, Emotional Intelligence Web site at *http://ei.haygroup.com.*		

Leadership Practices Inventory® (LPI®)

In their 1987 book, *The Leadership Challenge,* Jim Kouzes and Barry Posner look at "personal best leadership cases." In their research, Kouzes and Posner uncovered the fundamental practices that enabled leaders to get extraordinary things done. They identified five distinct practices (sets of behaviors), each consisting of two strategies, which became the foundation of their leadership model, shown in exhibit 2–4.

Exhibit 2–4. Leadership Practices Inventory®

Five Leadership Practices

These five practices constitute a pattern of leader behavior that consistently produced extraordinary results:

1. Challenging the Process
    Searching for opportunities.
    Experimenting and taking risks.

2. Inspiring a Shared Vision
    Envisioning the future.
    Enlisting others.

3. Enabling Others To Act
    Fostering collaboration.
    Strengthening others.

4. Modeling the Way
    Setting the example.
    Achieving small wins.

5. Encouraging the Heart
    Recognizing individual contributions.
    Celebrating team accomplishments.

Source: James M. Kouzes and Barry Z. Posner, *Leadership Practices Inventory,* 3d ed., San Francisco: Jossey-Bass/Pfeiffer, 2003 (see appendix 2–2, Table of Assessment Instruments, for more information).

Multifactor Leadership Questionnaire, Form 5X® (MLQ5X®)

The MLQ5X assesses a full range of leadership qualities and leader behaviors. Developed over 15 years, the MLQ5X is based on numerous studies of leaders in all levels of public and private organizations. These studies led to the identification of three types of leaders: transactional, nontransactional (laissez-faire or nonleader), and transformational (see exhibit 2–5).

Transactional leaders focus on an exchange method in which direct reports' needs are addressed only if their performance meets the contracts established with their leaders.

Nontransactional (laissez faire) leaders avoid leading altogether. They sidestep accepting responsibility and do not follow up on requests for assistance.

Transformational leaders, in contrast to transactional leaders, motivate their direct reports and colleagues to reach higher—to go beyond what they thought they could do. The transformational leader may be a transactional leader with enhanced leadership skills. Persons having transformational leadership qualities develop highly effective relationships, build loyalty and confidence, and generate pride in their direct reports.

Exhibit 2–5. Transformational Leadership: The MLQ5X® Assessment Instrument

Transformational (Effective) Leader Behaviors	Transactional Leader Behaviors	Nontransactional Leader (Laissez Faire or Nonleader) Behaviors	Outcomes of Transformational Leadership
Idealized Influence Emphasizes trust, confidence, and commitment; builds a following.	*Contingent Reward* Clarifies objectives, arranges agreements, negotiates resources, and exchanges rewards for performance.	*Nonleadership* Avoids responsibility, absent when needed, resists offering views on crucial issues.	*Extra Effort* Gets others to do more than expected, to try harder, and to strive for success.
Inspirational Motivation Communicates appealing vision/mission for future, provides encouragement.	*Management by Exception* Enforces rules; takes corrective action, sometimes too late, if mistakes occur.		*Satisfaction* Works with others satisfactorily.
Intellectual Stimulation Challenges and questions the status quo; stimulates new ideas.			*Effectiveness* Meets job-related needs; leads effective group.
Individualized Consideration Considers individual needs, abilities, and aspirations; furthers individual development.			

Source: Bernard M. Bass and Bruce J. Avolio, *Multifactor Leadership Questionnaire,* Redwood City, CA: Mind Garden, 1990. To order, contact Mind Garden, 1690 Woodside Road, Suite 202, Redwood City, CA 94061, 650–261–3500.

Exhibit 2–5 presents characteristic qualities and behaviors of the three different types of leaders and the outcomes of effective leadership for employees who work with transformational leaders.

Skillscope®

Skillscope is based on CCL research that examined the nature of a manager's job and the realities of managerial work—what managers do and what skills they need to be effective in their job. Essentially a checklist, Skillscope is designed for simplicity. After the respondent checks items that apply, Skillscope presents feedback information in a straightforward way, both graphically and by item. Exhibit 2–6 shows Skillscope's 15 skill clusters, divided into 5 main categories.

Exhibit 2–6. Skillscope® Skill Clusters

These skill clusters identify the skills most important for success within the manager's current job:

Informational

1. Getting information and making sense of it.
2. Communicating information, ideas.

Decisionmaking

3. Taking action and making decisions.
4. Risk-taking, innovation.
5. Administrative/organizational ability.
6. Managing conflict, negotiation.

Interpersonal

7. Relationships.
8. Selecting/developing people.
9. Influence, leadership, power.
10. Openness to influence, flexibility.

Personal Resources

11. Knowledge of job and business.
12. Energy, drive, ambition.

Effective Use of Self

13. Time management.
14. Coping with pressure and adversity, integrity.
15. Self-management, self-insight, self-development.

Source: Adapted from Center for Creative Leadership, *Skillscope® Brochure,* Greensboro, NC: Center for Creative Leadership, 2004. Available online at *http://www.ccl.org* (see appendix 2–2, Table of Assessment Instruments, for more information).

> The problem in my life and other people's lives is not in the absence of knowing what to do, but in the absence of doing it.
>
> —Peter Drucker, Father of Modern Management

Action Planning

Turning Feedback Into Action

The self-evaluation and 360-degree feedback models provide many kinds of information. However, knowing what to do with that information is just as important as obtaining it.

Goal-setting can best occur when self-awareness is valued and sought by the individual. The following section discusses how to translate self-awareness into strategies for formulating and achieving goals for self-improvement. These strategies include the learning contract or action plan, which identifies goals for self-improvement in response to feedback and maps out specific steps to be taken to meet those goals. As part of the action plan process, the organization should also follow through with the individual to ensure that the individual takes the steps mapped out in the action plan and makes progress toward the goals identified.

Key Terms for Action Planning

Action Planning: Developing a plan for making personal improvements based on feedback.

Goal: An outcome that one would like to achieve and to which deliberate efforts are directed to attain the desired result. Specific goals should:

- Motivate and energize you.
- Have a specific timeframe (usually within 1–2 years or less).
- Help you be more effective in your current/future position(s).
- Link organizational goals with your personal career goals.

Learning Contract: The structure/form that an action plan will take.

Learning (Development) Strategy: Different approaches available to help one attain one's goals, such as requesting job reassignment, requesting and receiving ongoing feedback, observing role models, and seeking additional training.

The Learning Contract

Exhibit 2–7 is a sample learning contract worksheet. This format is only an example. Individuals may find other structures that work better for them or for a particular goal.

A separate learning contract should be developed for each goal. The goals chosen will depend largely on the feedback and areas for improvement identified by the assessment instrument(s). The challenge for the individual is in deciding which areas for improvement are the most significant to his or her present work environment and personal and professional development. For example, a supervisor may discover that he or she lacks both computing and

Exhibit 2–7. Sample Learning Contract Worksheet

Developmental Need

Low tolerance for style differences of some coworkers, resulting in a reduced capacity to work with these individuals.

Learning Goal

Learning about and accepting the differences in style between self and select coworkers and finding common ground for accomplishing tasks cooperatively.

Learning Goal Timeline: 9 months

Benefits

To Me:	*To the Organization:*
Reduction in intrapersonal and interpersonal tension and reduced organizational involvement in peer relationships.	Improved peer communication and cooperation resulting in less micromanagement of employee relationships.

Learning Strategies (choose and implement 2–3 different strategies)

1. Existing Job

Activity	Action	Timeline
Request placement on a project team having a member with whom there has been past difficulty.	Request the use of assessment instruments in the early stages of the project so that all team members may understand style differences. Attempt to integrate new information and adapt behavior to accommodate specific style differences.	Assuming the project team will meet regularly for 6 months, my activity goal should be met in 6 weeks' time.

Verification: Identify observable changes in behavior as a result of participating in the "action" stated above.

I have requested feedback from target individuals as to any changes in my behavior. Having a better understanding of my own style versus the styles of others has helped me to change some behaviors that I was unaware of and that were easily addressed.

2. New Job Assignments

Activity	Action	Timeline
Requesting a new job assignment is not appropriate to this goal.	N/A	N/A

Verification: Identify observable changes in behavior as a result of participating in the action stated above. N/A

Exhibit 2–7. Sample Learning Contract Worksheet (continued)

3. Ongoing Feedback

Activity	Action	Timeline
Gain agreement on specific mutual behaviors with an individual with whom there has been past difficulty.	Meet with target individual on a regular basis to hear feedback on interpersonal behaviors. Work on skill of listening to gain understanding of other person's perspective.	Meet with individual on agreed-on schedule for 6 months.

Verification: Identify observable changes in behavior as a result of participating in the "action" stated above.

Target individual has indicated that he feels like I am hearing him, whereas before he felt unheard and discounted. I am paraphrasing back what I think I am hearing from target individual for clarity of understanding.

4. Role Models and Coaches

Activity	Action	Timeline
Identify and talk to senior-level leader from another division who is known for his/her ability to accept individual style differences.	Observe skilled individual in a meeting setting and record notes on his/her interpersonal communication techniques.	Observe on four different occasions over a 6-month period.

Verification: Identify observable changes in behavior as a result of participating in the "action" stated above.

My supervisor reviews my record of these meetings. I make efforts to implement the ideas I gather from these meetings in my own communications and interactions.

5. Training and Reading

Activity	Action	Timeline
Identify training/workshop opportunities for interpersonal communications.	Attend a minimum of one training program having a focus on interpersonal communication skill building and conflict management.	Within the 9-month goal period. The sooner the better!

Verification: Identify observable changes in behavior as a result of participating in the "action" stated above.

After attending the training, I have intentionally made efforts to implement some of the things I learned, such as paraphrasing back to an individual what I think I've heard him or her tell me.

Resources Needed

Approval from immediate supervisor for project team inclusion and training enrollment.

Time to observe role model.

Time and tuition to attend training.

Anticipated Obstacles

Time constraints—away from routine tasks.

Resistance to changing innate behaviors in self.

Convincing others that change in self will occur.

Exhibit 2–7. Sample Learning Contract Worksheet (continued)
Measurement of Results
I expect that periodic feedback meetings will be held between supervisor and self over the course of the 9 months to assess and discuss progress. Ongoing feedback from individuals with whom past difficulties have existed will provide immediate opportunities for self-correction and behavior modification.
Source: Adapted from Center for Creative Leadership, *Strategies for Development, Developmental Leadership Guide,* Greensboro, NC: Center for Creative Leadership, 1999.

some interpersonal skills. That supervisor may be better off choosing to improve interpersonal skills before improving software knowledge, because interpersonal communication pertains more directly to his or her role as a supervisor.

Individual Accountability and Followthrough

The organization and senior-level leaders may want to establish formal procedures for writing learning contracts or development plans based on 360-degree feedback. Scheduled followup meetings between individuals in management and their direct reports will confirm whether individuals are acting on their learning contracts and following through with their action plans.

Summary

Being self-aware means knowing how your strengths and weaknesses affect your relationships with others and your progress toward reaching goals. Being proactive toward self-improvement can open doors and prevent career derailment.

An individual can take different approaches to becoming more self-aware. One approach is to perform a self-evaluation to identify areas of personal strength or weakness. This takes a person of unusual ability. It is not always easy to recognize our own imperfections or acknowledge our own talents.

Self-evaluation may also be done more explicitly by gathering feedback from your boss or by using a formal tool such as an assessment instrument.

Assessment instruments measure a variety of personality traits, perspectives, and management styles. Some instruments, such as the MBTI or the FIRO–B, do not offer a direct mechanism for feedback from others but nevertheless provide valuable information about an individual.

Perhaps the most notable management innovation of the 1990s has been the development of 360-degree feedback instruments, which provide full-circle measurement from assessment to written feedback. Some of the most common

of these are Benchmarks, Emotional Competence Inventory, Leadership Practices Inventory, Multifactor Leadership Questionnaire, and Skillscope.

No matter how informative the outcome of a self-assessment instrument or less formal self-evaluation may be, it will serve little purpose if the individual takes no action for self-improvement. Turning feedback into action takes setting goals through mechanisms such as action planning and learning contracts to be successful. Action planning is the crucial step of putting what you have learned about yourself into writing, with a commitment to follow through with deliberate efforts.

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.

Informal Self-Awareness
Skill: Having an interest in learning about your strengths and weaknesses independently and the willingness and ability to do so.

Behavior: Pursue additional education or training for a skill that you are lacking.

Formal Self-Awareness
Skill: Having an interest in learning about your strengths and weaknesses through supervisory input and formal assessment and the willingness and ability to do so.

Behaviors:

- Accept the credibility and value of a self-assessment instrument's feedback.

- Pursue additional education or training for a skill that you and your boss agree you need to develop.

Choosing Self-Awareness Instruments for Leadership Development
Skill: As a senior-level leader or executive, recognizing the variety of instruments available for management development and knowing what behaviors and traits you want to assess.

Behaviors:

■ Evaluate and select those instruments that apply to the organization's needs for management development.

■ Identify and use individuals trained in administering and interpreting the assessment instruments you have chosen.

Turning Feedback Into Action

Skill: Understanding the importance of following up with action in response to feedback from a supervisor or from an assessment instrument.

Behaviors:

■ Set goals for successful management development in a present or future position.

■ Develop a learning contract to match management development goals.

■ Identify specific strategies for fulfilling the learning contract (e.g., seek additional training, find a mentor or coach).

■ Establish a monitoring or check-in mechanism to make sure that the learning contract is being implemented and followed.

Appendix 2–1. Focus Matrix for Executives and Senior-Level Leaders: Self-Awareness

	Executive	**Senior-Level Leader**
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization who have influence in political arenas.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/organizational systems with the executive's vision.
	Typical titles of executive-level leaders: • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	**Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Assessment Instruments*		
Myers-Briggs Type Indicator® (MBTI®)	By the time an individual becomes an executive, he or she has likely been exposed to the Myers-Briggs Type Indicator, as it is the most widely used personality assessment instrument in the United States. However, previous exposure does not necessarily mean that the executive understands the application of the assessment. Executives should take the MBTI Step II Expanded Profile, which reinforces fundamental preferences and provides richer self-knowledge.	Senior-level leaders are also likely to have some experience with the MBTI but, like executives, may not have a solid understanding of its application. Senior-level leaders should take MBTI Profile Form M and, with the results, focus on understanding how their preference influences their approach to leadership.
Fundamental Interpersonal Relations Orientation—Behavior® (FIRO–B®)	An executive who lacks knowledge of the three aspects of what the FIRO–B measures should take the assessment before administering it to others. The information gathered from administering the FIRO–B can be used in building executive teams and in coaching/mentoring individuals. The original FIRO–B (available through Consulting Psychology Press, see	Like executives, senior-level leaders will also benefit from knowing the three aspects that the FIRO–B measures. The information gathered from administering the FIRO–B can be used in building senior-level teams and coaching/mentoring individuals. The original FIRO–B (available through Consulting Psychology Press, see

	Executive	Senior-Level Leader
Assessment Instruments* (continued)		
	appendix 2–2) does not require special certification to administer it. This version of FIRO–B is straightforward and recommended over the later and more complex version.	appendix 2–2) does not require special certification to administer it.
Benchmarks®	Benchmarks is a self-assessment instrument developed for senior-level leaders. An executive interested in continued development as a top-level executive should have 3–5 years of experience in a leadership position before using the Benchmarks instrument.	The Benchmarks instrument may be an appropriate self-assessment tool for a senior-level leader with 3–5 years of experience as a manager or leader. Benchmarks may predict success or possible "derailment" for an individual within an organization.
Emotional Competence Inventory® (ECI®)	The ECI can be used by a top-level executive who wants to learn more about his or her emotional competency.	For some managers, lack of effectiveness in interpersonal matters may derail career goals. A manager who lacks advancement opportunities may want to use the ECI to identify any "blind spots" in this area.
Leadership Practices Inventory® (LPI®)	The LPI is not recommended as a self-assessment instrument for top-level executives.	The LPI is recommended for persons in mid- to senior-level leadership positions. Although the LPI measures leadership practices differently, it is similar to Skillscope in that it gives information about leadership strengths as well as areas needing improvement.[†]
Multifactor Leadership Questionnaire, Form 5X® (MLQ5X®)	The MLQ can be used as a self-assessment instrument for top-level executives.	Senior-level leaders could take the MLQ5X, as either a self-assessment or as a 360-degree feedback instrument, depending on how long they have been in a management position. This assessment instrument focuses on Full-Range Leadership—an innovative organizational concept.[†]
Skillscope®	Skillscope is not recommended as a self-assessment instrument for top-level executives.	Skillscope is recommended for persons new to leadership positions, as it measures managerial strengths and developmental needs for current job skills.[†]

* An instrument is a survey, questionnaire, or inventory that, unlike a test, has no predetermined "correct" answers. Instruments generate data that can be used for professional development.

† Persons interested in 360-degree feedback assessments for mid- to senior-level leaders should review what skills or practices are measured by Skillscope, LPI, and MLQ to determine which instrument best suits the leadership development needs of their organization.

Appendix 2–2. Table of Assessment Instruments

Instrument	Target Audience	Cost per Manager	No. of Items (length)	Certification Required	Vendor and Contact Information
Benchmarks®	Senior-level leaders and executives	$275 (quantity discounts available)	171	Yes	Center for Creative Leadership 336–545–2810 www.ccl.org
Campbell™ Leadership Index (CLI®)	Senior-level leaders and executives	$225 (enhanced version)	100	Yes	Pearson Performance Solutions 800–922–7343 www.pearsonps.com
COMPASS® Suite: The Managerial Practices Survey	Senior-level leaders	$295	84	Yes	Right Management Consultants 800–608–3267 www.right.com/ compass/resources/ index.htm
Emotional Competence Inventory® (ECI®)	Senior-level leaders	$250 ($3,000 for accreditation)	110	Yes	The Hay Group 800–729–8074 http://ei.haygroup.com
Executive Success Profile (ESP)	Executives	$400 (additional PDI consulting fees may apply)	140	Yes (requires PDI consulting agreement)	Personnel Decisions International (PDI) 800–633–4410 www.personnel decisions.com
Fundamental Interpersonal Relations Orientation— Behavior® (FIRO–B®)	Senior-level leaders and executives	$23	54	No	Consulting Psychologists Press, Inc. 800–624–1765 www.cpp-db.com
Leader Behavior Analysis II® (LBA II®)	Senior-level leaders	$42 (Additional instruction required for trainers)	20 situations	No (for individual assessment and coaching only) Yes (BT&D requires training and contract for expanded use)	The Ken Blanchard Companies 800–728–6000 www.kenblanchard. com
Leadership Effectiveness Analysis™ (LEA™)	Senior-level leaders	$300	84	Yes	Management Research Group 207–775–2173 www.mrg.com

Appendix 2–2. Table of Assessment Instruments (continued)

Instrument	Target Audience	Cost per Manager	No. of Items (length)	Certification Required	Vendor and Contact Information
Leadership Practices Inventory® (LPI®)	Senior-level leaders and executives	$57	30	No	WILEY/Jossey-Bass 800–956–7739 877–762–2974 *www.josseybass.com*
Management Effectiveness Profile System™ (MEPS™)	Senior-level leaders	$135	98	No	Human Synergistics International 800–622–7584 *www.humansyn.com*
Multifactor Leadership Questionnaire® (MLQ®)	Senior-level leaders and executives	$120 (per duplication set); $30 for manual/ sampler set	45	No	Mind Garden 650–261–3500 *www.mindgarden.com*
Myers-Briggs Type Indicator (MBTI®) Step II®	Senior-level leaders and executives	$33.10	131	Yes	Consulting Psychologists Press 800–624–1765 *www.cpp-db.com*
The Profilor®	Senior-level leaders	$275 (additional PDI con- sulting fees may apply)	159	Yes (Requires PDI consulting agreement)	Personnel Decisions International (PDI) 800–633–4410 *www.personnel decisions.com*
Situational Leadership Simulator®	Senior-level leaders	$69.95	12 situations	No	The Center for Leadership Studies 800–330–2840 *www.situational.com*
Skillscope®	Senior-level leaders	$155	98	No	Center for Creative Leadership 336–545–2810 *www.ccl.org*
Executive Leadership 360-Degree Feedback Survey	Executives	$141	87	Yes	The Booth Company 800–332–6684 *www.boothco.com*

Source: Adapted from Jean Brittain Leslie and John W. Fleenor, *Feedback to Managers,* 3d ed., Greensboro, NC: Center for Creative Leadership, 1998.

Note: This table includes information on all instruments referenced in this publication plus several other highly respected instruments. NIC and the authors do not endorse any particular instrument. Individuals should review instruments before deciding which ones are suitable for their needs. Prices are based on 1998 information, as updated; contact the vendor for current pricing information.

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Ethics and Values

J. Patrick Dobel

This chapter addresses the importance of ethics and values in correctional leadership. Topics include the special pressures on correctional leaders and personnel that at once make ethics and values central to their mission and make them more vulnerable to lapses in ethics; approaches to ethics for correctional leaders; and integrity as the foundation of ethical behavior and its application in the correctional field. The chapter also describes the key leadership values that ethical leaders must embody. It then reviews the types of unethical behavior that correctional leaders 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 executives and senior-level leaders and presents a matrix (appendix 3–1) that shows how those skills and behaviors apply to each level of leader.

Chapter 3

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, or 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 Executives and Senior-Level Leaders Develop This Competency?

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

Ethical behavior lies at the heart of good management and leadership. Some leaders have achieved significant results through coercion and corruption. Tyrannies and rogue institutions have proved this throughout history. But in a democratic society that values excellence in performance and respects individual human dignity, ethics based on respect, competence, and accountability is

critical. This is particularly true in a field like corrections, because government delegates the ultimate use of force and coercion to correctional personnel.

Ethics: A Criminal Justice Perspective for Executives and Senior-Level Leaders

Max Weber, the great German sociologist, remarked that government possesses the legitimate monopoly on the use of force in a society. The people grant the state express and significant powers to use coercion against citizens and institutions to provide for the common security and the safety and dignity of the individuals in society. The state uses force and coercion in some of its most extreme forms, such as war or public execution, but also in the incarceration and rehabilitation of offenders. Because these powers are subject to abuse, they are bound by significant laws, due process, and oversight.

In a society that enshrines liberty as a central value, the people hold deeply ambivalent feelings toward the criminal justice system. They want it to go away and, at the same time, to lock criminals up and throw away the key. This ambivalence leads to a complicated and often conflict-laden mission that seesaws between warehousing prisoners and seeking to rehabilitate them. It leads to both underfunding and spates of overfunding of correctional agencies and institutions. Moreover, because of this ambivalence, a stigma often attaches to correctional personnel.

The correctional environment can be dangerous for offenders, who are especially vulnerable to the abuse of state power by correctional personnel as well as predatory attacks by other offenders. It is also dangerous for correctional personnel, who must maintain order and defend themselves and others against the potential of violence by inmates while remaining within the bounds of the law and codes of conduct. Abuse of power is a constant fear for both offenders and correctional staff. Media and outside watchdog scrutiny make the situation even more difficult and volatile for correctional leadership and staff.

Racial, cultural, and gender differences compound the power inequality and the vulnerability of both offenders and correctional personnel. The hard and dangerous daily reality of life in corrections generates pressures that erode the commitment and performance of the best personnel. Time constraints, understaffing, workload issues, impossible management goals, ongoing resistance and friction from offenders, peer pressure, and danger all aggravate the forces that press on the integrity and ethics of correctional personnel.

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.

—*Federalist 27*

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" and obligates us to act on it in our daily lives. 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, or 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 often 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 to both principle-based 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 individuals 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.

Ethics in Organizations: Role or Professional Ethics

Role or professional ethics focuses on the standards and character needed by individuals in positions of responsibility. Persons in positions of authority and responsibility explicitly or implicitly promise to frame their judgments and actions to match the standards of their profession or position. Other individuals work with, serve, or rely on their leader's consistent and trained judgment and character. These standards build on basic ethics but play out in ways that are specific to the obligations of a particular job. A job such as a correctional officer's job involves the potential for using coercion or physical violence in the line of duty, which places even greater obligations on the job holder's professional ethics.

The different theories of ethics find their reality in the lives of individuals making decisions and acting on them. To be ethical requires the capacity to hold beliefs, deliberate on them, and have the courage and fidelity to act on them. At its core, being ethical assumes that morally mature human beings possess enough self-discipline to accept responsibility and act on it despite distractions and temptations. Integrity is the medium through which individuals achieve ethical behavior.

Acting With Integrity

Defining Integrity

Individuals hold their values and beliefs together and make sense of their lives 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 it 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.

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*

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 the ethical decisions and actions of officials (see exhibit 3–1). These domains are personal commitments and capacities, obligations of office, and prudence and effectiveness.

Exhibit 3–1. Model of Integrity

Personal Commitments and Capacities

Obligations of Office   Prudence and Effectiveness
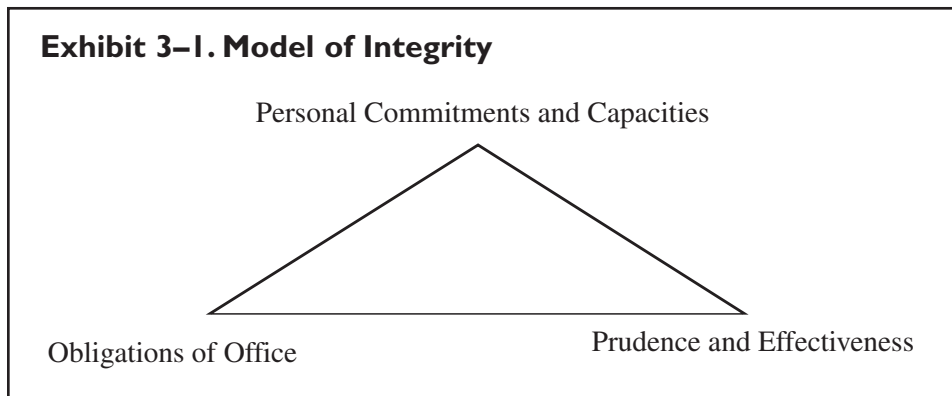
Personal Commitments and Capacities

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 an executive- or senior-level leader's personal style. Personal commitments and capacities such as conscientiousness, prudence, energy, optimism, and trained professional judgment often bear on why people are chosen for executive or senior-level leadership offices. 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.

Obligations of Office

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 one's conscientious fidelity to the legal and institutional obligations of the position. In these positions, ethics is based on the legal delegation of power and responsibility and the individual's promise to live up to the demands of the position.

Prudence and Effectiveness

Complications pervade organizational and political reality. Other individuals hold different positions and ideas, and these people must be motivated and led.

> 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*

Their problems must be solved and resolved, and their opposition must be addressed. Making ethical and legal decisions in such situations requires thinking about the proper means to achieve goals, garnering the resources necessary, and sustaining the power and capacity to achieve those goals over time. Committed leadership requires that executives and senior-level leaders gain the support of other principal stakeholders and authorizing groups. The highest and most noble ideals mean little without the support needed to apply them with skill and prudence. Public responsibility includes the expectation that individuals will actively and ethically implement goals.

Ethical executives and senior-level leaders hold the three domains of judgment 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 they 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 executives and senior-level leaders 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. Leaders must know and acknowledge the legal and moral obligations that come with a position and avoid the temptation to shirk responsibility. Accepting responsibility increases a person's commitment to act competently. Responsible leaders acknowledge their contributions to the consequences of actions and avoid the blame game.

Act with self-discipline. Leaders must restrain their own passions and prejudices and avoid favoritism and thoughtless actions that do not contribute to desired consequences or fulfill legitimate obligations. 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 taking action.

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

Six Pillars of Character

Among other personal attributes required for executives and senior-level leaders to act ethically are trustworthiness, respect, responsibility, fairness, caring, and citizenship (see exhibit 3–2).

> 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*

Exhibit 3–2. 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.josephsoninstitute.org.*

Ethics in the Correctional Environment

In the correctional environment, ethics plays several critical roles:

- Defines integrity and identity.

- Builds authority and legitimacy.

- Produces organizational culture.

- Creates community and trust.

Ethics defines integrity and identity. Individual values and the decisions that flow from them define who we are as people and express what we are as an institution. They focus and guide decisions and sustain the correctional agency/organization's professional norms and values. Acting on ethical values gives daily reality to the correctional agency/organization's vision and mission. Having and supporting values in ourselves and in those with whom we work gives us the psychological and moral support to make the hard daily decisions necessary to sustain high-quality performance.

Ethics builds authority and legitimacy. The authority of public officials, while strong, remains subject to erosion and cynicism. Society distrusts authority, and the legitimacy of many institutions is constantly being questioned in the media and popular culture. The credibility of authority depends on people's trust and their willingness to listen to and act on the decisions of leaders. Ethics provides the backbone to achieve this. Every decision bolsters or undercuts the authority or legitimacy of persons or institutions. Competence, respect, integrity, fidelity, and accountability are critical to maintaining trust in authority and loyalty to institutions.

Ethics produces organizational culture. Building a culture in an organization is one of the fundamental responsibilities of senior leadership. Ideals and mission statements mean little if the informal peer norms of the institution undercut the values that leaders seek to instill. The organizational culture uses norms, peer pressure, rituals, and an alignment of behavior and managerial support to help staff internalize the respect for rules and laws that the leadership champions. The quality of ethical behavior modeled and rewarded by senior leadership is critical. Nothing will destroy high aspirations and culture faster than hypocrisy from senior-level leaders. To become embedded in the organization, ethical standards should reinforce professionalism and be a part of both managerial and peer expectations.

Ethics creates community and trust. No organization can function at a high level of achievement without creating a strong sense of community and trust. Esprit de corps, morale, team spirit—all depend on individuals in the organization trusting in each other's capacity and competence and acknowledging a sense of solidarity in the mission. In dangerous and difficult jobs, these attributes of trust and community are even more important. If individuals do not feel a sense of solidarity or trust each other's loyalty and competence, teamwork and efficiency will decline. The organization will be reduced to free agents acting with little clear accountability to each other or the organization. Safety will

depend on hidden peer culture rather than strong accountability. Ethical behavior by leadership, especially in the areas of consistent care, respect, fairness, discipline, and high expectations for competence, underpin the development of community and trust around the authority and mission of the correctional agency/organization.

The companion document to this publication, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels,* discusses the threats to ethics in the correctional environment and techniques for building an ethical organization to counteract those threats. Although the discussion of these topics is directed to managers and supervisors, executives and senior-level leaders may wish to review these sections of the "Ethics and Values" chapter understood to refresh their understanding of the ethical issues that first-line supervisors and managers face daily and the qualities they need to develop to deal with those issues.

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. Correctional executives and senior-level leaders must possess several key leadership values to model ethical behavior, as discussed in the following sections.

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.

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 on and 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 to individuals clearly and accurately what they need to know 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 taxable funds 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 becomes an imperative to ensure that good policy is made. 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 necessary to address an institution's long-term need to attend to the cultural, gender, religious, and racial divisions that can undermine its legitimacy and effectiveness. At the same time, inclusiveness brings different professional and skill perspectives together to balance team actions and decisions. As a value, inclusiveness inoculates against the human tendency to be comfortable only with those similar to ourselves both in work and in decisionmaking. It also curbs the tendency to judge individuals by stereotypes or appearance rather than by their full human capacity. Inclusiveness facilitates stronger and more effective decisionmaking but also requires consistent leadership, sensitivity, and support 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. In this sense, obeying the law and rules covers a great part of ethics; however, ethical behavior demands a much deeper approach to decision and action than just obeying the law. It also requires 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 executives and senior-level leaders in the absence of law or agency or institutional rules influence the quality of the ethics of middle managers, supervisors, and frontline staff.

The law and rules are often silent or contradictory and leave room for considerable discretion. The development of missions as guides for action involves deep ethical consideration. The range of actions that leaders should attend to covers both illegal and unethical behaviors, which often (but not always) overlap. Institutional ethics aims to inform and guide the discretion of individuals as they exercise responsibility.

What Are the Common Types of Unethical Behavior?

Unethical actions usually involve the abuse of trust and position in situations in which individuals impose their own private judgment or interests in place of legal, professional, or other objective standards of accountability. 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.

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. Executive and senior-level leaders' competence is presumed when they are elected to or accept the position. Others depend on that competence. Failing to address incompetence infects the larger organization and undercuts the efforts of competent individuals.

- *Abuse of power:* Using excessive coercion to achieve the organizational goals required by competent performance. Threats to use coercion against staff or offenders to achieve personal ends not sanctioned by the organization or cover up actions also constitute abuse of power and represent an especially abhorrent type of unethical behavior.

- *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.

- *Discrimination:* Violating the dignity of other human beings by judging them on the basis of morally irrelevant 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, leaders mistakenly think they are showing respect when in fact they are simply not telling the truth or are avoiding the hard decisions that are required for institutions and people 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 corrupt cultures and actions use 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, stands 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 such actions 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 coupled with a lack of support, resulting in inadequate performance reports.

■ Threats to safety, which encourage staff to employ unethical methods they believe are necessary to survive.

■ Personnel facing reduced or inadequate staffing levels, larger 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 begins with the behavior of the senior management group but must be holistic in its approach. Ethics for executives and senior-level leaders involves a fundamentally systemic approach and should influence all aspects of strategic leadership and management.

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 Agency/Organization

Skill: Articulating the basic values and virtues of the correctional agency/ organization.

Behaviors:

- Define the bedrock values and virtues the institution needs for acceptable performance.

- Develop a shared commitment by senior-level leaders to those values and virtues.

- Get maximum stakeholder support for basic values and virtues.

- Work with labor unions and professional organizations to gain support for values and value-based policies.

- Build values and virtues into the mission of the correctional agency/ organization.

- Make sure that managers and supervisors know the applicable professional code of ethics and expected standards of discretion.

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

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

Creating Strong Support and Accountability for Ethics

Skill: Creating strong support and accountability for ethics.

Behaviors:

- Build a culture that embodies the desired values and virtues of the correctional agency/organization.

- Work to influence peer norms and behavior.

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

- Align the reward and discipline structure to comport with expectations regarding values.

- Integrate values into official statements and formal communications.

- Build expectations regarding ethics and values into performance evaluations.

- Publicly acknowledge and reward behavior that exemplifies the correctional agency/organization's values and virtues.

- Provide training at entry level and during an employee's career to support the correctional agency/organization's values.

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

- Hire and discipline in light of values.

- Work strategically with auditors and the Inspector General's Office to reinforce accurate accountability and support ethical behavior.

- Create a confidential whistleblower system.

Anticipating and Addressing Predictable Points of Vulnerability and Ethical Slippage

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

Behaviors:

- Make ethics an issue at senior-level discussions.

- Set a tone for the senior-level team that creates a safe and candid environment for discussing serious ethical issues and values.

- Know the organization at all levels and watch for the following vulnerability points:

  - Significant disparities of power and/or significant differences in race, religion, gender, or ethnicity exist in the organization.

  - Significant differences in the stakes exist for one side over the other, aggravating power dependencies within the organization.

- Significant resistance to official actions occurs on a daily basis.

- Managerial oversight is limited or sporadic.

- Peer norms support codes of silence that can protect unethical behavior.

- Performance outcome measurements are unrealistic, and staff have insufficient support or resources to meet the goals.

- Training is limited or not reinforced on a regular basis.

- Staff safety is compromised, forcing the use of inappropriate methods to achieve goals and safety.

■ Strengthen oversight, training, and management expectations at the vulnerablility points listed above as needed.

■ Protect the chain of command and authority structure from the perception or the reality of conflicts of interest and nepotism.

■ Work with stakeholders to create a common willingness to identify and change unethical behavior.

■ Conduct regular vulnerability assessments and create a strategic alliance with auditors and Inspectors General to work to ensure accurate accountability.

Appendix 3–1. Focus Matrix for Executives and Senior-Level Leaders: Ethics and Values

	Executive	Senior-Level Leader
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/ organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Key Skills and Behaviors		
Articulating the Basic Values and Virtues of the Correctional Agency/Organization	• Defines the bedrock values and virtues the correctional agency/ organization needs for acceptable performance. • Develops a shared commitment by senior-level leaders to those values and virtues. • Gets maximum stakeholder support for the basic values and virtues. • Works with labor unions and professional organizations to gain support for values and value-based policies. • Builds shared values and virtues into the correctional agency/ organization's mission. • Communicates the values clearly and continuously to external and internal groups. • Models the expected values, virtues, and behaviors at all times and demands that senior-level leaders do the same. • Creates symbols, rituals, and public occasions to emphasize and celebrate the expected values, virtues, and ethical behaviors.	• Commits to the shared values and behaviors of the correctional agency/ organization. • Models the values and virtues at all times. • Demands value-based behavior from staff and subordinates. • Communicates values to internal and external constituencies. • Makes ethical standards and character an issue in daily managerial language and evaluations. • Makes sure that managers and supervisors know the applicable professional code of ethics and expected standards of discretion.

Appendix 3–1. Focus Matrix for Executives and Senior-Level Leaders: Ethics and Values (continued)

	Executive	Senior-Level Leader
Key Skills and Behaviors (continued)		
Creating Strong Support and Accountability for Ethics	• Builds a culture that embodies the desired values and virtues of the correctional agency/organization. • Integrates values into official statements and formal communications. • Publicly acknowledges and rewards behavior that exemplifies the correctional agency/organization's values and virtues. • Works strategically with auditors and the Inspector General's Office to reinforce accurate accountability and support ethical behavior. • Creates a confidential whistleblower system.	• Works to influence peer norms and behavior. • Clarifies and models the behaviors that embody the values and virtues that the correctional agency/organization wants to promote. • Aligns the reward and discipline structure to comport with expected values and behaviors. • Builds ethics and values expectations into performance evaluations. • Provides training at entry level and during an employee's career to support the correctional agency/organization's values. • Sets clear boundaries for unacceptable behavior and addresses unethical or illegal actions in a fair, equitable, and decisive manner. • Hires and disciplines in light of values.
Anticipating and Addressing Points of Vulnerability and Ethical Slippage	• Makes ethics an issue at senior-level discussions. • Sets a tone for the executive team that creates a safe and candid environment for discussing serious ethics issues and values. • Sponsors regular vulnerability assessments and creates a strategic alliance with auditors and Inspectors General to ensure accurate accountability.	• Performs periodic vulnerability assessments and works with auditors and Inspectors General to ensure accurate accountability. • Strengthens oversight, training, and management expectations at weak points. • Protects the chain of command and authority structure from perceptions or the reality of conflicts of interest and nepotism. • Works with stakeholders to create a common willingness to identify and change unethical behavior.

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VISION AND MISSION

Nancy M. Campbell

This chapter addresses the importance of vision and mission to correctional leaders and the need to ensure that the vision and mission of the correctional agency/organization and its leaders are communicated to and understood and accepted by staff. The chapter first discusses the importance of arriving at a common understanding of the vision and developing that understanding in the organization. It outlines the visioning process, reviews the role of mission in applying the vision, and offers suggestions for implementing the mission in day-to-day operations. Finally, the chapter summarizes key skills and behaviors involved in the elements of vision and mission as they relate to executives and senior-level leaders and presents a matrix (appendix 4–1) that shows how those skills and behaviors apply to each level of leader.

Definitions

Vision: The vision is a broad statement of the unique current and future purpose for which the organization exists and the constituents it serves. The vision represents a deeper level of motivation than the mission. It describes how an organization finds its fulfillment. The vision describes what the organization wants to do or where it wants to go. It projects an ideal future that may not be attainable.

Mission: The mission is a statement that identifies the core purpose of the organization and motivates stakeholders. The mission describes the means to achieve the vision, i.e., how the organization will get there. It should be both attainable and measurable.

Knowledge Base

Why Should Correctional Executives and Senior-Level Leaders Develop This Competency?

Perhaps the most critical task of executives and senior-level leaders is to help all stakeholders understand the value of the correctional agency/organization's services. The effective leader knows how to identify simply and concretely not just the task at hand but also the reason behind the task. This leader creates a vision that knows how to capture both the heart and the imagination of employees, offenders, citizens, and other stakeholders. The effective correctional leader creates a vision that helps employees understand the importance of their calling—to serve both a public that often rejects and condemns corrections' clients (i.e., offenders) and these clients, who often reject and condemn their circumstances.

Chapter 4

A vision is a target that beckons.

—Warren Bennis and Burt Nanus, *Leaders: The Strategies for Taking Charge*

To create a compelling vision is to ensure that an organization's most valuable resource—its employees—are fully engaged and productive. Corporate leaders operating in a global economy realize that having a fulfilled workforce is more critical for success than ever before. The public sector faces additional challenges. A shrinking labor pool compounds the "brain drain" caused by the retirement of the baby boomer generation. The private and nonprofit sectors pose stiff competition for the public sector in attracting and retaining employees. Without the economic and social benefits that other sectors can offer, administrators in the public sector find it especially important to ensure that employees are inspired by their organization's vision and are committed to implementing it.

The literature on employee motivation documents that self-actualization—not rank, salary, or perquisites—is the only true motivator. The greatest motivator for public-sector employees is the opportunity to fulfill their "calling." As noted by Bennis and Nanus in *Leaders: The Strategies for Taking Charge* (p. 89), the challenge for every correctional leader is to create a vision and mission that "articulate a view of a realistic, credible, attractive future for the organization . . . ." It must be a future that inspires others to want to be a part of it.

> The real voyage of discovery consists not in seeking new lands but in seeing with new eyes.
>
> —Marcel Proust, Author, *Remembrance of Things Past*

Understanding Vision

This chapter does not attempt to provide the "best" definition of vision and mission. How vision and mission are defined is less important than reaching a shared understanding of those definitions throughout the organization. Only with a shared organizational understanding of vision and mission can implementation be assured.

It is important to establish a framework for achieving a common understanding of the important concepts of vision and mission. The following guidelines are provided to ensure that understanding.

Guidelines for a Common Understanding of Vision

- The executive defines the vision.
- Vision requires transformational and transactional leadership.
- The vision is dynamic, not static.
- Everyone can relate to the vision personally and professionally.
- The vision is supported by organizational values.

The executive defines the vision. Although there are many different viewpoints on how to develop and establish ownership of a vision and mission, most successful leaders agree that executives must have a clear picture of where they want the organization to go. According to Leslie Kossoff in her 1999 book, *Executive Thinking* (p. 7), "Without the executive level understanding of the purpose, the true aim of the organization, the organization will never fully achieve its goals." An organization may accomplish many things, but without a clear executive vision it will never be as successful as it could be. It is the executive's job to define the vision.

This is not to say that all levels of the organization—units and divisions— should not set their own vision and mission. Each unit should have a clear mission that is consistent with the overall vision of the correctional agency/ organization. The key to success is that all levels in the hierarchy understand the executive's vision for the organization and align their vision and mission with it.

Vision requires transformational and transactional leadership. Today more than ever, the field of corrections needs executives and senior-level staff who are skilled leaders and managers. As Bennis and Nanus observe in *Leaders: Strategies for Taking Charge* (p. 92), these leaders must "operate on the *emotional and spiritual resources* of the organization, on its values, commitment, and aspirations" as well as on "the *physical resources* of the organization, its capital, human skills, raw materials, and technology."

The *transformational* leader inspires others through emotion and spirit. By helping others connect to a vision they find worthwhile, the leader feeds the human need to make a difference and to be a part of a great enterprise. In contrast, the *transactional* leader knows how to set clear goals and define roles that ensure employees are rewarded for activities and services that are aligned with the organization's vision. Unfortunately, most people are not skilled in both forms of leadership. The good news is that everyone can develop both skill sets (see chapter 2, "Self-Awareness," and exhibit 2–5 for more information about the characteristics and behaviors of transformational and transactional leaders).

The vision is dynamic, not static. The difference between a vision and a vision *statement* is important. Leslie Kossoff in *Executive Thinking* describes this as the difference between a vision *for* the organization and a vision *of* the organization. She says, "Executive thinking is based on a vision for the organization. It is an active vision, one that does not stand idly by as an impossible dream. It is a real and tangible direction with look and feel attached to it. It is action oriented, strategically based, and task supported." Kossoff notes that this vision is inclusive and is accomplished daily in all actions. It provides a place for all employees to participate.

In contrast, the vision *of* the organization (the "plaque on the wall") is passive. It is a static picture of the future that does not include specific actions to reach the goal. Kossoff identifies three problems with most of these vision processes. First, creating the vision is viewed as a task that can be completed. In reality, a vision is never complete but continually drives the organization and its employees in accomplishing their day-to-day tasks. Second, rather than expressing the passion and commitment of the executive and senior-level leaders, it becomes a slogan or motto without the substance to guide people. Finally, in an attempt to be inclusive, it is probably created by a committee. Unless the committee members fully understand the executive's vision, they will find it difficult to express that vision in a way that can inspire others.

The typical mission statement in the field of corrections speaks to public safety and may mention helping offenders in some way. It usually does not inspire anyone, least of all employees. Is it any wonder that so many correctional executives are confused about the value of the "vision thing"? If the outcome of a vision process is just a plaque on the wall, nothing in the organization's culture will change. The goal of articulating a vision is to change the way business is conducted.

Everyone can relate to the vision personally and professionally. A major failing of most vision and mission processes is that they look only at the organizational level. Employees, however, function at two levels: organizational and personal. Organizational achievement increases when vision and mission also meet employees' personal needs and agendas. People need to see a direct link between their personal motivations and those of the organization. According to Richard Barrett in *Liberating the Corporate Soul: Building a Visionary Organization* (p. 119), "Individuals will move into alignment with an organization's vision or mission only if they are able to pursue their own mission within the framework of the organization's vision and mission." This is where many vision and mission development processes have failed. The assumption that an inclusive development process will garner buy-in is true in part, but to build support for a vision, the daily work setting must provide opportunities for employees to align their personal mission with the organizational mission. By focusing only on organizational needs, many executives fail to understand how employees' personal values can hinder alignment with the vision.

The vision is supported by organizational values. Ethics and values must drive the organization. Moral and ethical considerations are of the highest priority for executives and senior-level leaders in correctional organizations (see chapter 3, "Ethics and Values"). If this is not the case, a noticeable rift will appear

> Individuals will move into alignment with an organization's vision or mission only if they are able to pursue their own mission within the framework of the organization's vision and mission.
>
> —Richard Barrett,
> *Liberating the Corporate Soul: Building a Visionary Organization*

between the vision and day-to-day actions. Failure to articulate and demonstrate appropriate ethical standards will result in a demoralized staff who will not try to implement the executive's vision.

The Visioning Process

Where Does the Vision Come From?

Executives and senior-level leaders are often perplexed and overwhelmed by the responsibility of crafting a vision for their organization. They know "the vision thing" is part of their job, but what exactly that means is unclear. This is particularly true for leaders in established organizations. Does the executive have sole responsibility for developing the vision? Is it a shared process? Is it possible to have multiple visions? For many executives, the topic creates discomfort and confusion.

Few leaders have an innate vision for an organization. For many executives, particularly those who have progressed through the ranks of an organization, the idea of having a clear picture of where the organization needs to go can be intimidating. Most executives have ideas about what they would like to do differently in certain areas of service delivery, but articulating a vision for the entire organization is another matter. How does an executive develop a vision effectively?

Crafting the Vision

Leaders use a variety of methods to craft a vision; typically, however, the vision comes from others, often the employees of the organization. Although the leader is the catalyst who brings attention to the vision and articulates it clearly, the vision is most often the amalgamation of the thoughts and ideas of many persons. Leaders must take the following steps in crafting the vision: gather data; engage senior-level leaders; and develop a vision, a mission, and values.

> Good business leaders create a vision, articulate the vision, passionately own the vision, and relentlessly drive it to completion.
>
> —Jack Welch, Former CEO, General Electric

Steps in Crafting the Vision

- Gather data.
- Engage senior-level leaders.
- Develop a vision, a mission, and values.

Gather data. The first step in crafting an organizational vision is understanding the present and past context of the organization. This step may seem necessary only for the executive who comes from outside the organization. However, it is probably even more important for the executive who has "grown up" in an

organization to study its past and present as objectively as possible. The challenge to see with new eyes is greater for the executive who comes from within the organization.

The best way to truly understand the organization is to listen to others, both inside and outside the organization. Getting an accurate picture of how the organization works requires respecting the decisions of the past. Criticizing past actions not only alienates people and keeps them from revealing the truth; it also fails to recognize that different times often require different decisions. People need to trust the executive before they will share what they know about how the organization really operates. Establishing trust begins with acknowledging the hard work, efforts, and accomplishments of the past.

Gathering data from a review of written documents also helps to complete the picture of what is—and is not—working well in the correctional agency/ organization. Strategic plans, existing vision and mission statements, legislation, and budget information are important starting points in data gathering.

Finally, to fully understand all the organizational agendas, the executive must analyze the reward and recognition systems. What the organization rewards is the most honest indicator of its values. Often, what an organization professes to value is substantially different from what it actually rewards.

Engage senior-level leaders. Once the executive has a clear understanding of where the correctional agency/organization has been and how it functions now, he or she can begin to develop a direction for the organization. Even if that direction is not perfectly clear, it is time to engage others in testing and refining it. The first audience to approach is the most senior-level leaders of the correctional agency/organization.

The standard approach to engaging the senior-level leaders is to involve them in analyzing the correctional agency/organization's internal and external strengths and weaknesses as well as any possible future environmental changes. Although this approach touches on the elements that need to be reviewed, it often feels overwhelming, and it can result in shopping lists of tasks rather than a direction that inspires and motivates others. A successful vision must engage people on a personal level.

In *Liberating the Corporate Soul: Building a Visionary Organization,* Richard Barrett describes a process that increases the likelihood of creating a vision and mission that motivate and inspire. He asks the same three questions when developing a vision, mission, or values statement:

- What is the purpose of the statement?

- Whom should the statement address?

- What should the statement do for its audience?

Barrett argues that the vision is a compelling statement about what the organization is striving to achieve, one that should primarily address employees and society. The tasks of the vision statement are to align employees' motivations with those of the organization and to create societal goodwill.

Develop a vision, a mission, and values. The process begins with defining the professional vision, mission, and values of the individual team members (see exhibit 4–1). First, executives and senior-level leaders need to identify what motivates them to come to work each day. By telling each other why they come to work and what they value, they can relate their own professional mission to the organization's mission.

Exhibit 4–1. From Values to Vision			
	Personal Motivation	**Organizational Internal Motivation**	**Organizational External Motivation**
Values	Personal Values	Internal Values	External Values
Mission	Self-Development	Organizational Development	Customer Service
Vision	Self-Fulfillment	Organizational Fulfillment	Societal Contribution

Source: Adapted from Richard Barrett, *Liberating the Corporate Soul: Building a Visionary Organization,* Boston: Butterworth-Heinemann, 1998.

After clarifying their own vision, mission, and values, the group repeats the process for the correctional agency/organization's vision, mission, and values. In developing the correctional agency/organization's vision, mission, and values, the group must make sure that they respond to external requirements (e.g., public policy, statutory and administrative mandates, legislative oversight, and the requirements of other components of the criminal justice system) as well as internal requirements. By next developing the mission statement, or statement of

the correctional agency/organization's core purpose, the group ensures that it agrees on what that core purpose is (see "The Role of Mission" in this chapter). Departmental leaders within the correctional agency/organization often have quite different views of what constitutes this core purpose. By focusing on internal and external requirements, the process addresses key stakeholders and links personal and organizational vision, mission, and values.

To develop a common understanding of the vision and mission, the executive team needs uninterrupted meeting time. Retreats away from the work setting are effective. After ensuring that the group has reached a common understanding, the executive can ask the senior-level leaders to join in sharing the vision with the rest of the organization.

Elements of Organizational Vision

According to Collins and Porras in their 1991 article, "Organizational Vision and Visionary Organizations," organizational vision comprises two major elements: guiding philosophy and tangible image (see exhibit 4–2).

Exhibit 4–2. Developing Organizational Vision
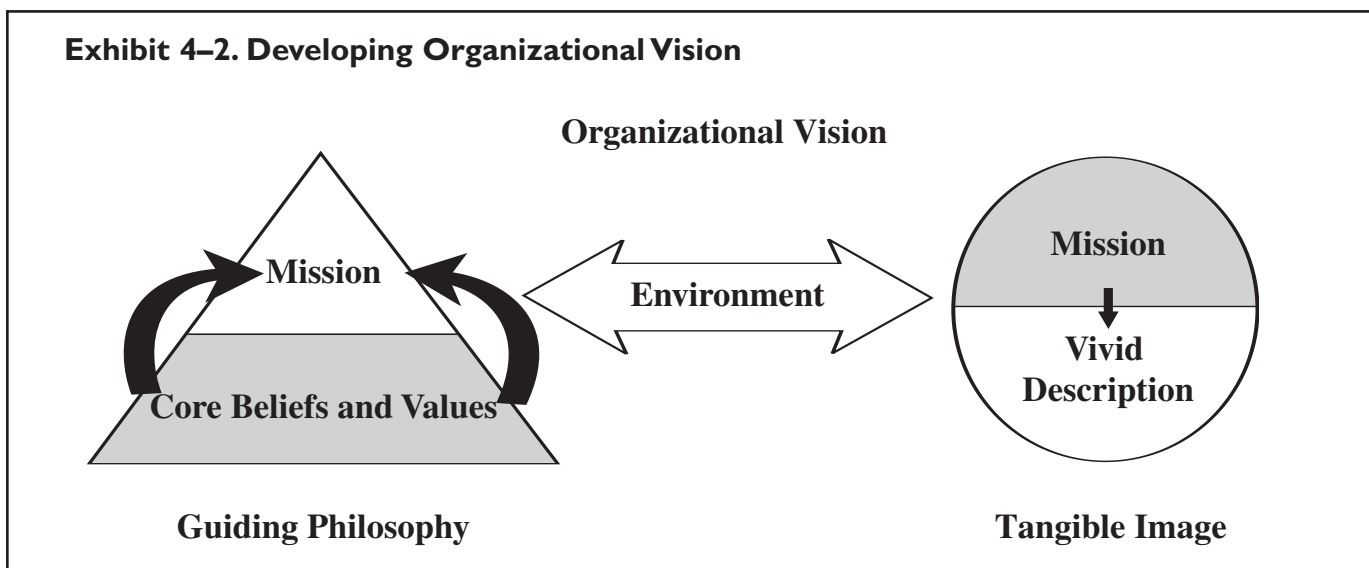
Guiding Philosophy

The guiding philosophy has two components. First is the group's system of fundamental assumptions, beliefs, and principles—not the beliefs they would like to have, but the ones they really do have. This again distinguishes the "vision on the plaque" from a true working vision.

The second component is the organization's purpose or the reason for being—what the group would like to accomplish even though it likely will never fully be able to do so. The purpose statement should resonate with the personal sense of purpose of the individual team members and is often seen as the vision statement.

Tangible Image

It is the tangible image that illuminates the excitement and passion of the mission. The tangible image—a vivid and compelling description of the mission—should illustrate a clear and measurable course that can be used to guide the way to the vision. It should depict a future that makes the organization stretch but is achievable.

Developing Organizational Commitment to the Vision

Once the executive and senior-level leaders have reached agreement on the vision and mission, they become the ambassadors of the dream. It is critical that all senior-level leaders share the same understanding of the vision. As they carry that vision to their respective divisions, departments, units, and external stakeholders, the senior-level leaders should remember the guidelines used earlier by the executive to involve them in the visioning process. These guidelines concern overcoming resistance, communicating the vision, modeling the way, and involving everyone in the process.

Steps in Developing Organizational Commitment to the Vision

- Overcome resistance.
- Communicate the vision.
- Model the way.
- Include everyone.

Overcome resistance. In most organizations, employees have been through many changes. Unfortunately, many employees have often been disappointed by former change efforts. Resistance to change is natural. Employees need to have forums to air concerns and to suggest ways to improve on the vision and mission. Employees at all levels of the organization should have opportunities to participate in the visioning process throughout the implementation and monitoring phase.

Overcoming resistance requires gaining employees' trust and using personal power, not the power of position. Trust is built through opportunities to experience the personal power of the senior-level leaders (see chapter 7, "Power and Influence"). Executives and senior-level leaders can overcome employee resistance by skillfully communicating the vision, modeling the way, and including everyone in the process.

Communicate the vision. As Gebelein and her colleagues state in the *Successful Manager's Handbook* (p. 403), "Making the vision clear is a process, not an event." A critical mistake made by many executives and senior-level leaders is to announce the vision, hang up a few framed versions, and move on to the next task. Making sure that everyone in the correctional agency/organization owns the vision requires a communication plan that includes multiple opportunities for staff to learn about the vision and to be actively involved with it.

Measures of success in achieving the vision should be indicated in staff meetings and monthly/quarterly/annual reports. These measures can include both personal examples and hard data.

The first meeting in which the executive shares the vision with staff is critical. Guidelines to consider before deciding on an approach to this meeting include the following:

- Present ideas in simple and elegant ways, so others can understand the reasoning behind the direction.

- Give credit to those who brought the organization to its current state.

- Be prepared to repeat the ideas many times.

- Give everyone a role in helping to refine and implement the direction.

- Be patient. Others have not had as much time as you have had to absorb the ideas.

- Beware of instant success. If everyone agrees immediately with your ideas, it is highly likely that they are not being honest.

- Be prepared for resistance and do not take it personally. It is natural for people to resist change.

Model the way. The most powerful method for building commitment to the vision is for the executive and senior-level leaders to model that commitment. Employees look to leaders for direction and guidance. The leaders' actions demonstrate their commitment to the vision. Employees will follow out of respect for both the positional authority and the personal power of the leadership group. Modeling includes:

- Funding programs that support the vision.

- Rewarding achievement of goals that support the vision.

- Supporting legislation that supports the vision.

> A vision cannot be established in an organization by edict, or by the exercise of power or coercion. It is more an act of persuasion, of creating an enthusiastic and dedicated commitment to a vision because it is right for the times, right for the organization, and right for the people who are working in it.
>
> —Warren Bennis and Burt Nanus,
> *Leaders: The Strategies for Taking Charge*

Include everyone. It is important to encourage all units to participate in achieving the mission and vision. Units and/or departments can create their own missions that align with the correctional agency/organization's vision and set goals and objectives to achieve their mission.

The Role of Mission

What Is the Purpose of the Mission Statement?

As noted earlier, mission is the way or the means to reach the vision. It should keep the organization focused on its core purpose and motivate stakeholders. Effective missions are vivid and provide measurable outcomes that can be achieved. Although the vision cannot always be reached, the mission can. Although the vision may never change, the mission will. Leslie Kossoff, in *Executive Thinking* (p. 85), calls the mission statement "an assessment tool at a tactical level."

Effective missions meet the following four objectives:

- State the core purpose.

- Allow room for expansion into new programs and innovations in carrying out the correctional agency/organization's public policy mandates.

- Inspire stakeholders.

- Encourage staff to work more effectively.

Whom Should the Mission Statement Address?

As more organizations come to understand that their most important asset is their workforce, the focus of mission statements is changing. Most organizations are moving toward mission statements that address employees first and external stakeholders later. Mission statements may have an internal or external focus, but by addressing both, the organization is less likely to lose sight of the vision.

What Should the Mission Statement Do for Its Audience?

The mission statement should first inspire employees and then define what the correctional agency/organization intends to do for its stakeholders. The mission is a guide to keep people focused on the core purpose.

Implementing the Mission

The challenge for executives and senior leaders is to see that a plan is created to develop and implement goals that achieve the mission. One of the most common reasons that mission statements fail is that no structure has been provided for how to use them. Organizations must have a system for measuring implementation of the mission statement. The "balanced scorecard" is one such system.

> In the twenty-first century, the most successful organizations will be those that align the personal missions of their employees with the mission of the organization.
>
> —Richard Barrett, *Liberating the Corporate Soul: Building a Visionary Organization*

(For an indepth explanation of this approach, see "The Balanced Scorecard Approach" in this chapter and chapter 8, "Strategic Planning and Performance Measurement.") However, which system is used is less important than ensuring that a system is in place and that all stakeholders understand and use it. In addition, the organization's performance and reward systems must reinforce the achievement of goals that support the mission and vision.

> A shared vision of the future also suggests measures of effectiveness for the organization and all of its parts. It helps individuals distinguish what is good and bad for the organization.
>
> —Warren Bennis and Burt Nanus, *Leaders: The Strategies for Taking Charge*

Steps in Implementing the Mission

- Clarify roles and responsibilities.
- Develop goals that support the mission.
- Make performance and reward systems reinforce the mission.

Clarify roles and responsibilities. One of the great challenges in implementing the mission is clarifying the roles and responsibilities of employees. All employees need a clear understanding of what is expected of them each day. Senior-level leaders must support other managers in linking each individual's daily tasks to the mission. Annual and periodic goal setting should complement the appraisal process. Time should be allocated to discuss employees' perceptions about their roles. Often, employees' assumptions about their roles can conflict with the mission. Team meetings should be used to discuss who is responsible for what function and/or task. Team leaders should use this time to negotiate and clarify any role issues.

Develop goals that support the mission. At the goal development stage, everyone in the correctional agency/organization has an opportunity to influence and refine the organization's mission. The goals are the steps chosen to accomplish the mission. In designing the goals, changes in the interpretation of the mission will occur. As long as mechanisms exist to communicate these changes and gain collective support, modification is healthy and indicates that people are thinking about the mission. The key is to have the mission serve as the criterion against which goals can be measured. Senior-level leaders must ensure that systems are in place for tracking goal development and progress. The process for planning and evaluating outcomes is addressed in chapter 8, "Strategic Planning and Performance Measurement."

Make performance and reward systems reinforce the mission. Even organizations that have clear role expectations, well-developed implementation plans, and outcome monitoring systems tend not to align their formal and informal performance and reward systems with the mission. Performance evaluation systems continue to reward behaviors that do not support the mission. Aligning the formal reward systems with the mission requires the development of employee workplans that complement existing appraisal processes. These plans can specify how the employee's work should support the correctional agency/organization's mission. In addition to developing individual employee workplans, leaders throughout the organization should informally celebrate milestones in reaching the mission as they are achieved.

Summary

One of the frustrations of many leaders is that employees do not appear to take responsibility and/or provide leadership in their area. Typically, this is not because employees fail to support the organization's vision and mission but rather because they have conflicting perceptions about that vision and mission.

A major benefit of articulating a clear vision and mission is that employees who understand the goals of the organization can make effective and accurate decisions without appealing to higher authorities. Decisionmaking can be spread throughout the organization, and the organization's most critical resource, its staff, can become effective decisionmakers and leaders. When everyone has the same criteria for making decisions, these decisions can be made faster and more accurately. Once aligned with the organization's vision and mission, all employees can work together to achieve their goals.

The Balanced Scorecard Approach

According to Robert S. Kaplan and David P. Norton, in their books, *The Balanced Scorecard: Translating Strategy Into Action* and *The Strategy-Focused Organization: How Balanced Scorecard Companies Thrive in the New Business Environment,* organizations need a "balanced scorecard" to function strategically and translate strategy into action. Kaplan and Norton advocate executive development of a clear vision and mission and a strategy to achieve that mission. The balanced scorecard (see exhibit 4–3) is an example of a system that can be used to measure mission implementation. Although other equally effective systems are available, the balanced scorecard system is especially positive in that it views the vision and mission from several perspectives. In the scorecard terminology, these perspectives are:

- Financial.
- Customer.
- Internal business processes.
- Learning and growth.

The balanced scorecard approach examines the plan's objectives, measures, targets, and initiatives

> The balanced scorecard is an innovative performance management tool that provides enormous help in tackling the tough job of managing state government for results.
>
> —Gary Locke, Former Governor, State of Washington

Exhibit 4–3. The Balanced Scorecard Framework
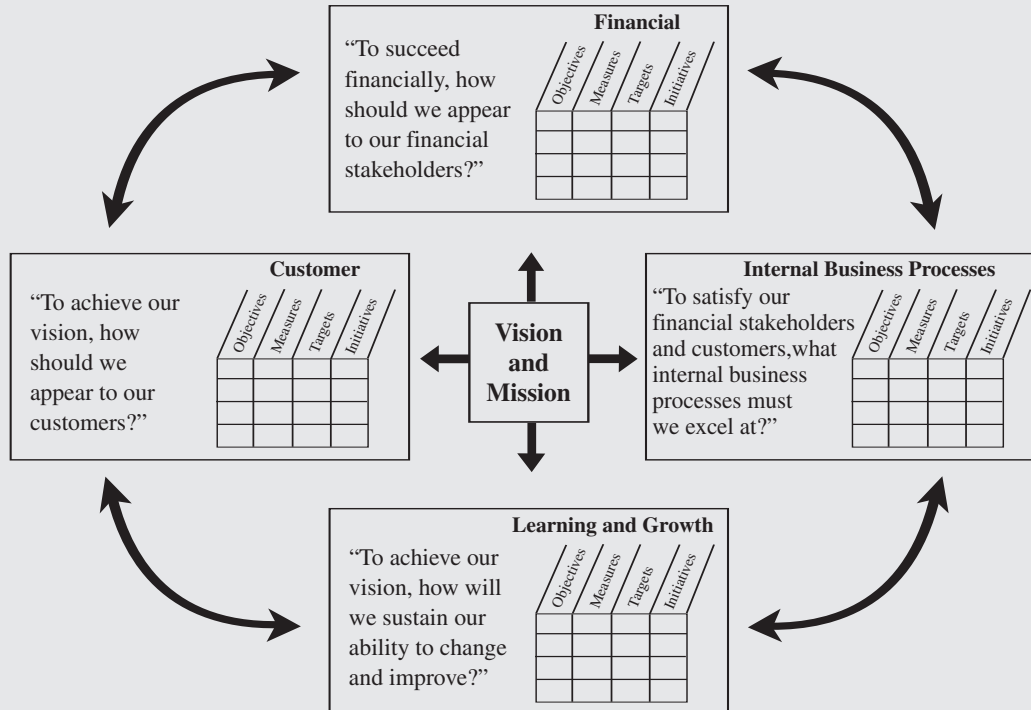
Source: Adapted from Robert S. Kaplan and David P. Norton, "Using the Balanced Scorecard as a Strategic Management System, *Harvard Business Review* (January–February 1996): 75–78.

The Balanced Scorecard Approach (continued)

and defines success from each of these four perspectives.

Financial. This portion of the scorecard addresses the question: "To succeed financially, how should we appear to our financial stakeholders?" This perspective scores the effectiveness of a correctional agency/organization (or work unit) and its ability to obtain and maintain funding by considering the objectives, measures, targets, and initiatives of the plan from the viewpoint of the financial stakeholders.

Customer. This portion of the scorecard addresses the question: "To achieve our vision, how should we appear to our customers?" Who is the customer or constituent of correctional services? Typically, the recipient of correctional services (i.e., the inmate) is defined as the correctional customer. It is the job of executives and senior-level leaders to teach staff and other stakeholders that the correctional customer ranges from employees to inmates to citizens. The customer varies depending on what aspect of a correctional agency/organization is being assessed.

Internal business processes. This portion of the scorecard addresses the question: "To satisfy our financial stakeholders and customers, what internal business processes must we excel at?" Clearly, providing quality services at minimum cost is one criterion, but a correctional agency/organization's vision, mission, and goals should also encompass correctional

security and reducing the risk of reoffense. The balanced scorecard system also considers internal business processes in terms of objectives, measures, targets, and initiatives that can improve performance.

Learning and growth. To develop an effective strategic plan to meet long-range goals, Kaplan and Norton advocate enhancing the organization's ability to change, adapt, and improve the quality of the "product" as cultural environments and information-based technologies change. The question in this fourth and equally important portion of the scorecard is "To achieve our mission, how will we sustain our ability to change and improve?" The organization that resists change and relies on past successes to plan for the future will not succeed. The scorecard also examines the organization's learning and growth potential in terms of objectives, measures, targets, and initiatives designed to maintain the workforce's skills and creativity in a changing environment.

> When the only tool you have is a hammer you tend to see every problem as a nail.
>
> —Abraham Maslow,
> Pioneer in Humanistic
> Psychology

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 Vision

Skill: Understanding and communicating the importance of vision.

Behaviors:

- Establish the vision and contribute ideas to help refine it.

- Explain to staff and to internal and external stakeholders how the vision will change the correctional agency/organization's direction.

- Articulate your own values and how they relate to the vision.

- Explain to staff the meaning of the vision and the values behind the vision.

The Visioning Process

Skill: Creating an effective vision process.

Behaviors:

- Gather data about past and present performance.

- Articulate the following:

  - What are the purposes of the vision and mission statements?

  - Whom should the statements address?

  - What should the statements do for their audience?

- Provide an opportunity for participants to develop their own professional mission statements to see how they align with the proposed vision and mission statements of the correctional agency/organization.

- Set aside ample time for ongoing discussion about the vision and mission.

The Role of Mission

Skill: Developing inspiring vision and mission statements.

Behaviors:

- Articulate the values and beliefs held by the group.

- Define the group's purpose or work that has a connection with and an impact on society.

- Translate the abstract philosophy of the purpose and values into a vivid picture that will inspire others.

- Articulate the mission in compelling, clear, and measurable terms.

Skill: Developing commitment to the vision and mission.

Behaviors:

- Overcome resistance by accepting that fear of change is inevitable and developing trust.

- Communicate the vision in as many settings as possible.

- Model behaviors that are congruent with the vision and mission.

- Include all employees in setting goals that align with the mission.

Implementing the Mission

Skill: Ensuring accurate implementation of the mission.

Behaviors:

- Ensure that a process is in place to discuss and define roles and responsibilities for all employees.

- Ensure that a system for measuring goal achievement is in place.

- Ensure that a system of formal and informal rewards for goal achievement is in place.

Appendix 4–1. Focus Matrix for Executives and Senior-Level Leaders: Vision and Mission

	Executive	Senior-Level Leader
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/ organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Focus Areas		
Understanding Vision	• Establishes the vision. • Ensures that staff understand that the vision is a real and tangible direction that will change the way business is conducted. • Understands that the vision must touch staff personally and professionally. • Articulates his or her own values and how they affect the vision.	• Contributes ideas and helps refine the vision. • Helps explain to internal and external stakeholders how the direction of the correctional agency/organization will change as a result of the vision. • Helps explain the meaning of the vision to staff. • Explains to staff the values behind the vision.
The Visioning Process	• Determines the process that will be used to craft the vision. • Determines how he or she will develop an understanding of the past and present context of the correctional agency/organization. • Determines the process for sharing and refining the vision. • Shares the vision with senior-level leaders.	• Helps implement the visioning process. • Assists the executive in gathering data. • Provides feedback regarding the vision. • Assists in sharing the vision and gathering input and ideas from the rest of the correctional agency/organization about how to refine the vision and craft the mission.

Appendix 4–1. Focus Matrix for Executives and Senior-Level Leaders: Vision and Mission (continued)		
	Executive	**Senior-Level Leader**
Focus Areas (continued)		
The Role of Mission	• Ensures that the mission meets the four objectives for effectiveness. • Ensures that senior-level leaders make a connection between their personal mission and the correctional agency/organization's mission.	• Assists the executive in developing and refining the mission. • Assists in sharing the mission and gathering feedback from the rest of the correctional agency/organization. • Helps staff make the connection between their personal mission and the correctional agency/organization's mission.
Implementing the Mission	• Ensures that there is a system for measuring implementation that includes: – Clarification of roles and responsibilities. – Development of goals. – Ensuring that performance and reward systems reinforce the mission. • Ensures that implementation measures examine the financial performance, customer satisfaction, internal business processes, and learning and growth potential of the correctional agency/organization.	• Delegates and oversees the development of measurement systems. • Brings performance feedback to the executive and senior-level leaders for analysis and decisionmaking.

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Strategic Thinking

Nancy M. Campbell

This chapter addresses the importance of strategic thinking for executives and senior-level leaders in correctional agencies/organizations and provides techniques for expanding their capacity to think and act strategically. The chapter first discusses the challenges that correctional leaders face that require strategic thinking and outlines its benefits. It then explains the elements of strategic thinking, including the different types and modes of thinking; presents techniques for expanding a person's thinking; and discusses the use of frameworks to support strategic thinking. The chapter then presents key skills and behaviors. Finally, appendix 5–1 presents a matrix that shows how these elements apply to each level of leader.

Chapter 5

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. It 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?

> The significant problems we face cannot be solved at the same level of thinking we were at when we created them.
>
> —Albert Einstein

Knowledge Base

Why Should Correctional Executives and Senior-Level Leaders Develop This Competency?

The Challenges Facing Leaders Today

Today's correctional leaders are bombarded by stories of how a leader turned a lethargic bureaucracy into a dynamic, cutting-edge organization. The implicit message is that doing what that leader did will produce the same results. These enticing messages, however, rarely consider the legal, political, financial, and organizational constraints unique to each situation. The complexity of correctional agencies/organizations requires senior-level leaders and executives to do their own thinking and to carve out the direction that best suits their environment.

Too often, correctional leaders use consultants and other colleagues to outsource thinking, not to stimulate thinking. The fad of the moment becomes the new direction. Strategic planning is an example of a valuable activity that became institutionalized as an operational planning process. What was truly a strategic thinking process for one organization, when replicated, morphed into a painful process that did little to strategically position other organizations to meet new challenges. Such fads may have valuable elements or lessons, but off-the-shelf solutions cannot fully address the complexity of the correctional environment.

As Gebelein and her colleagues note in the *Successful Manager's Handbook* (p. 27), another significant challenge for executives and senior-level leaders is not to rely solely on a thinking process that has brought success in the past. On the face of it, this seems to make no sense. Why not continue to use an approach that 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 leader 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 new 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.

As Gebelein and her colleagues note (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.

Strategic thinking is an art. Personality and temperament influence an individual'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 people 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.

The Benefits of Strategic Thinking and a Central Strategy

Leaders in correctional agencies/organizations are charged with advancing the accomplishment of the organization's purpose. The job of the leader is to create public value. The effective public-sector leader provides services that citizens value enough to willingly part with their hard-earned tax dollars. To do this requires a central strategy. Therefore, the effective correctional leader must develop and/or expand the capacity to think strategically.

The many benefits of strategic thinking and central strategies include the following:

- Strategic thinking requires exploration of the perspectives and positions of possible stakeholders. "Groupthink" is less likely if different perspectives are explored.

- Leadership decisions are more effective and people are more motivated if the organization has a coherent strategy.

- A strategy that establishes priorities and guides the allocation of resources makes it easier to add value and apply the organization's resources appropriately.

- Developing a strategy creates a focus and an opportunity to strike a balance between the often conflicting mandates of higher authorities and different stakeholders, whose formal mandates are often broad and ill defined.

Developing an effective organizational strategy requires that executives and senior-level leaders think and act strategically.

What Is Strategic Thinking?
How Do Leaders 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, leaders first need to understand how they think.

For the most part, leaders don't think about thinking. All leaders 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 modes of thinking they typically use. That is why 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 it. There are many different types of thinking. A short list includes:

> I think, therefore I am.
>
> —René Descartes,
> *Discourse on Method*

■ *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 particular instances.

■ *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 using the last four types of thinking in this list: critical, conceptual, creative, and intuitive. The self-aware leader 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 leaders 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 its staff can think strategically.

The challenge for executives and senior-level leaders is to consciously find ways to develop all of these forms of thinking in themselves and in others. Several frameworks that can support the development of strategic thinking are discussed later in this chapter. First, however, leaders need to understand how people think—the basic modes of thought.

Thought Modes

Leaders 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 organize 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 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 logical 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.

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 leaders 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. To implement 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 to understand which thought modes you most commonly use is to consider a problem and attempt to devise a solution. As you develop the solution, reflect on the initial modes you used. Most likely, these are the modes you typi-

cally rely on. *Developing the capacity to use less familiar thought modes expands your strategic thinking capacity.*

One way to expand your 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 to attempt to use thought modes different from the ones you usually use to address a problem. Consciously observing how you and others think is one of the best ways to expand your strategic thinking capability.

Expanding Your Thinking

Many correctional leaders 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 the art of strategic thinking. To do this requires the ability to see the possibilities and to recognize the relationships between seemingly disparate entities. Strategic thinking relies heavily on critical, conceptual, creative, and intuitive thinking. Conceptual, creative, and intuitive skills are rarely taught or encouraged in corrections. Therefore, the focus of this section is on developing conceptual, creative, and intuitive skills.

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 5–1 describes what conceptual thinking is and what it is not.

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.

Exhibit 5–1. 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/MgmtComp/Conceptual_Thinking.htm.*

■ *Apply complex concepts in their 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 departmental 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 leaders, 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. To think creatively as a leader, you must shed some of the "safety consciousness" to experiment and risk failure. It can take learning or relearning different skill sets.

> Failure is our most important product.
>
> —R.W. Johnson Jr., Former CEO, Johnson and Johnson

Exhibit 5–2. 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, page 28.

Identify when to use creative approaches. Different situations require different problem-solving approaches. Exhibit 5–2 can help you 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 you believe traditional problem solving is not working, you need to develop methods to enhance your creative thinking ability and that of your team. As outlined by Gebelein and her colleagues in the *Successful Manager's Handbook* (p. 27), ways to enhance your 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.

■ *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 5–3.

Intuitive Thinking

Intuitive thinking approaches 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.

Exhibit 5–3. 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.

Intuition is based in 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.

Developing Intuitive Thinking

Correctional leaders 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.

> 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

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 map (exhibit 5–4) makes it easy to see linkages and to cross-reference different elements of the map. Exhibit 5–5 presents the steps for developing a mind map.

Exhibit 5–4. Project-Related Mind Map

Source: Adapted from Buzan Centre, "Hot Tea Questions?" Mind Map. Buzan Ltd., 2004. Available online at *http://www.mind-map.com/EN/ mindmaps/gallery.html.*
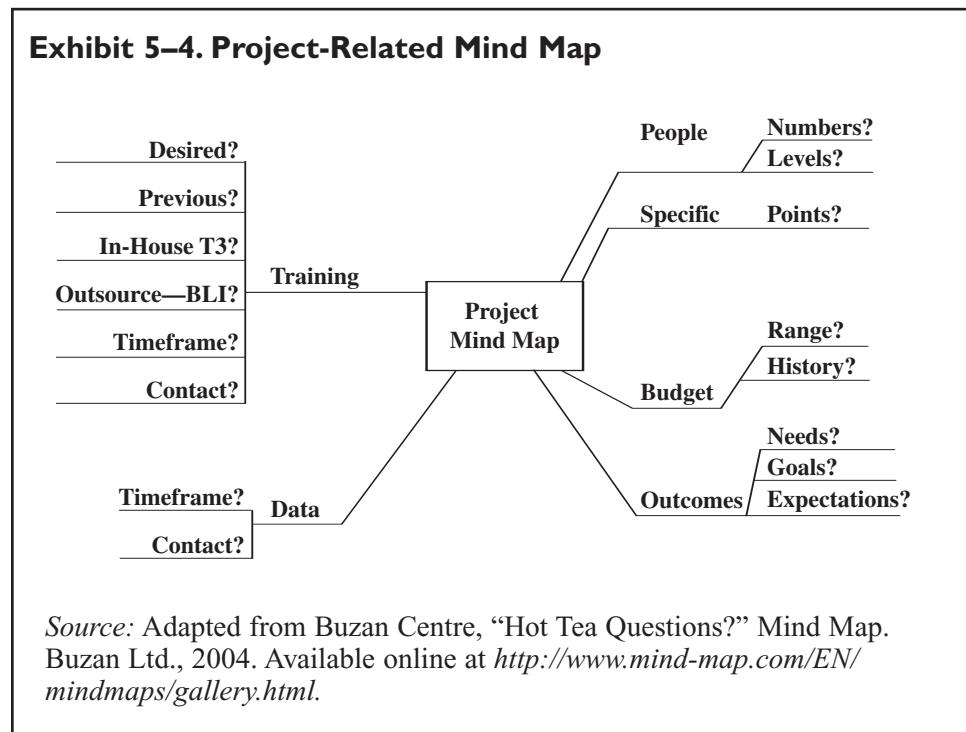
Exhibit 5–5. How To Mind Map

- 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.*

Frameworks for Strategic Thinking

Frameworks can help leaders 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 three:

■ The Strategic Thinking Cycle.

■ The Strategic Management Triangle.

■ Management by Groping Along.

The Strategic Thinking Cycle

Stuart Wells, in *Choosing the Future: The Power of Strategic Thinking,* has created a useful tool called the Strategic Thinking Cycle (exhibit 5–6). The Strategic Thinking Cycle provides an approach to developing strategy that can use the talents of staff throughout the correctional agency/organization. It ensures that the collective wisdom of the organization informs current decisions and does not become a roadblock to innovation.

Exhibit 5–6. The Strategic Thinking Cycle

Perceiving: What seems to be happening?

Acquire Insight

Make the Strategy Work

Develop Foresight

The Strategic Thinking Cycle

Choose a Core Strategy

Understanding: What possibilities do we face?

Reasoning: What are we going to do about it?

Match Levers With Capabilities

Identify Strategic Levers
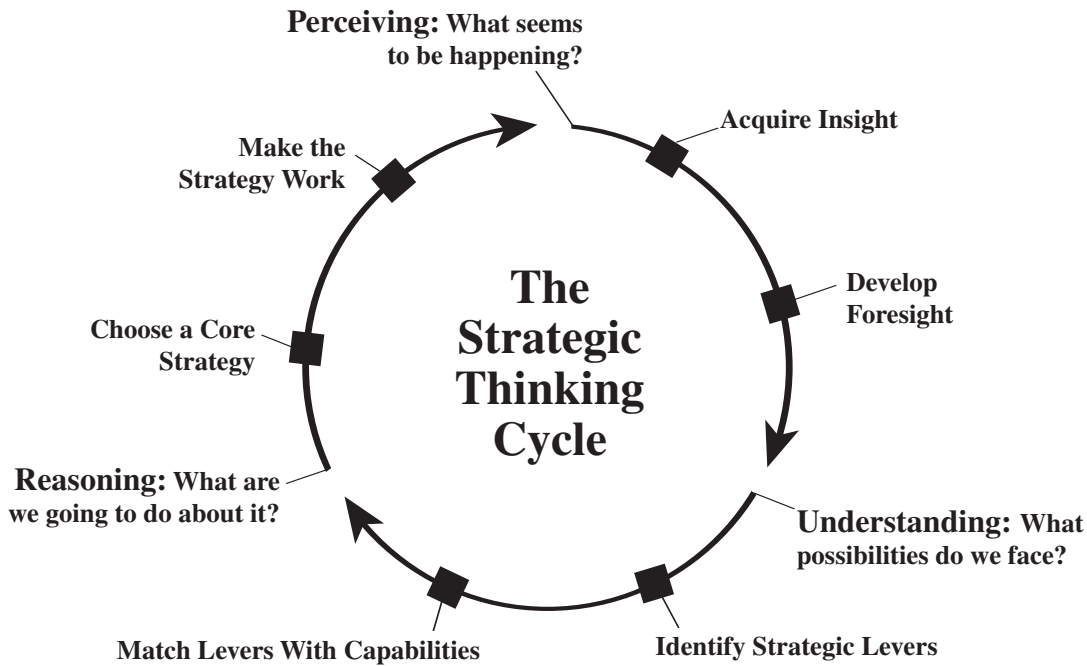
Source: Adapted from Stuart Wells, *Choosing the Future: The Power of Strategic Thinking,* Woburn, MA: Butterworth-Heinemann, 1998.

The Strategic Thinking Cycle involves the following three phases:

- Perceiving.

- Understanding.

- Reasoning.

Each phase includes two steps. Within each of these steps the same thinking processes of perceiving, understanding, and reasoning are also used.

Perceiving

The first phase of the cycle, perceiving, addresses the question, *"What seems to be happening here?"* The first step within this phase, acquiring insight, is the process of fully understanding the current and past experience of the organization on a particular issue. The second step, developing foresight, is the attempt to project what might happen in the future. This is a time not just to analyze data but also to build on the experience and judgment of the group. It is important here to use critical, intuitive, and conceptual thinking. In this stage, a knowledge base is being built.

Understanding

The second phase, understanding, addresses the question, *"What possibilities do we face?"* At this stage, decisions are made to focus on some areas and not on others. The two steps in this phase are identifying strategic levers—what stakeholders value—and then matching those levers with the organization's capabilities.

Reasoning

In the final phase, reasoning, the focus narrows further. With a thorough understanding of what is happening and what possibilities exist, the question, *"What are we going to do about it?"* can now be answered. In the first step, a core strategy is chosen, and in the second step, the best implementation strategies are developed.

The Strategic Management Triangle

In *Creating Public Value: Strategic Management in Government,* Mark Moore provides a simple, yet powerful framework for strategic management that helps leaders to be skilled strategic managers. Moore's framework, the Strategic Management Triangle (exhibit 5–7), defines three functions that a strategic leader must constantly keep in balance:

- Define public value.

- Build and maintain political support.

- Ensure organizational capacity.

Exhibit 5–7. The Strategic Management Triangle

Looking Upward
Maintain Political Support

Looking Inward
Ensure Organizational Capacity

Looking Outward
Define Public Value
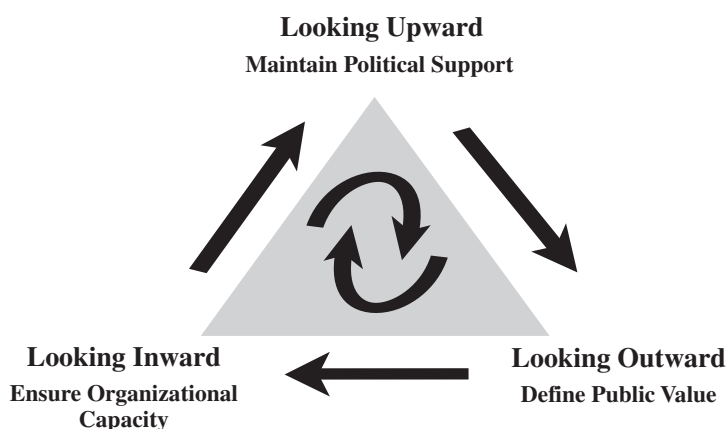
Source: Adapted from Mark H. Moore, *Creating Public Value: Strategic Management in Government, Cambridge,* MA: Harvard University Press, 1995.

Define public value. Moore argues that the first job of any public sector leader is to *define the value* of the services provided to key stakeholders. Unless "authorizing bodies" (e.g., legislative and judicial bodies, funding entities, citizens) see value in the services provided, they will not support the correctional agency/organization's efforts to acquire the resources and/or the legislative or executive mandates to support the services. Therefore, it is important to define for authorizing bodies why a service should be provided and funded.

Build and maintain political support. Second, the correctional agency/organization must provide services in a way that *builds and maintains political and legal support* for them. The services must be evaluated to ensure that they meet the interests and concerns of the citizens and their representatives. The strategic leader is adept at developing an organizational strategy that can address the often conflicting concerns of many stakeholders. The leader must build political support for the services the organization provides.

Ensure organizational capacity. Finally, the strategy must be *administratively and operationally feasible.* The correctional agency/organization must be capable of executing the strategy. For example, if a leader proposes a new service but fails to either reduce existing workload or provide new resources, staff are unlikely to deliver that service well. The organization must be capable of delivering all of its services in the most effective and efficient way.

The Strategic Management Triangle provides correctional leaders with a framework for ensuring that these three key strategic functions are being addressed. The strategic leader must balance the political, substantive, and administrative needs of the correctional agency/organization's mission-critical services.

A simple way to think about the three points on the Strategic Management Triangle is to:

- Look *outward* to the value of the services the correctional agency/organization provides.

- Look *upward* toward the "political" definition of value.

- Look *inward* to the organization's current performance.

The Strategic Management Triangle framework provides a guide for executives to step back from their day-to-day work and look at the bigger picture. The framework naturally focuses a leader's attention out and up, providing an excellent process for scanning the organizational environment.

Management by Groping Along
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. At the senior and executive levels, where strategy, not tactics, should be the focus, this is often the case. Senior-level leaders 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, senior-level leaders do not have adequate time to develop a thorough implementation plan and 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 leaders use their experience, intuition, and current knowledge base to develop strategy. All correctional leaders are confronted by situations that are unique to their own organizations. Despite the best training and experience, no leader can ever be fully prepared for some circumstances.

MBGA is a process of *adaptation*. Knowing the goal, the leader experiments—trying some approaches, achieving 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.

- Fix as you go.

- Seek feedback, fix mistakes, stay flexible.

- Describe the purpose.

Know the goal. A basic assumption of MBGA is that the leader 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.

> 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*

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 goal is achieved, others can be convinced the 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 people *expected* to work may *not* work. Fixing as you go requires the ability to get honest feedback from those who are implementing the plan or project. Senior-level leaders must develop strategies that create the rapport required for people to provide honest and accurate feedback. Once feedback is provided, strategic thinkers are flexible enough to seek out solutions and try them.

> The problem before us [managers] is not to invent more tools, but to use the ones we have.
>
> —Rosabeth Moss Kanter, *The Change Masters*

Describe the purpose. The senior-level leaders 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. This requires the ability to use analytical, conceptual, creative, and intuitive thinking.

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.

Today in the public sector, many agencies use a strategic planning process as a substitute for strategic thinking. A strategic planning process does not always help position an organization for the future. It may fail because it is often a static process that cannot quickly address new information or circumstances.

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 leaders 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 your 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 5–1. Focus Matrix for Executives and Senior-Level Leaders: Strategic Thinking

	Executive	Senior-Level Leader
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Steps for Strategic Thinking		
Understanding Different Thinking Types	• Observes and understands his or her own typical thought modes and ways of approaching issues. • Observes and understands the thought modes and types of thinking used and reinforced by senior-level leaders. • Observes and understands the thought modes and types of thinking used and reinforced by key external stakeholders.	• Observes and understands his or her own typical thought modes and ways of approaching issues. • Observes and understands the thought modes and types of thinking used and reinforced by those who report to senior-level leaders.
Developing New Ways of Thinking	• Takes advantage of increased opportunities as an executive to observe and experience people with different ways of approaching issues and thinking, and continues to seek out ways to expand strategic thinking tools. • Creates opportunities for senior-level staff to experience new or different approaches to thinking, e.g., sending senior-level staff to workshops on topics or issues that will challenge them to think differently. • Experiments with asking senior-level staff to use a variety of problem-solving approaches on an issue.	• Observes or participates in meetings or activities that require the use of new or different problem-solving approaches and strategies. • When preparing a briefing or report on a subject, challenges himself or herself and staff to present as many perspectives as possible on the topic. • Addresses the issue of "how we think" with subordinate staff and encourages them to expand their thinking capacity. • 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.

Appendix 5–1. Focus Matrix for Executives and Senior-Level Leaders: Strategic Thinking (continued)		
	Executive	**Senior-Level Leader**
Steps for Strategic Thinking (continued)		
	• Models for senior-level leaders how to consult with other staff who have different strategic thinking skills. • Rewards senior-level leaders for creative and flexible problem solving.	
Using Frameworks That Support Strategic Thinking	• Uses different frameworks with senior-level leaders in decisionmaking processes so the group develops skill in using multiple approaches to problem solving. • Establishes agreements with senior-level leaders regarding which frameworks will be used to develop organizationwide understanding and use of strategic thinking. • Uses frameworks to help senior-level leaders identify the relationships between people and internal business processes.	• When preparing for a briefing or report on a subject, attempts to articulate the strategic thinking frameworks used. • Uses strategic thinking frameworks with peers and subordinates when problem solving. • Develops strategies to educate staff about strategic thinking frameworks. • Uses frameworks to help staff understand the relationships and connections between issues and/or people.

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Managing the External Environment

Paul Katsampes

This chapter addresses the importance to correctional executives and senior-level leaders of managing the external environment in which correctional agencies/organizations operate and presents strategies for managing that environment. The chapter first reviews the legal, political, social, ecological, technological, and economic conditions that affect the policies and day-to-day operations of correctional agencies/organizations. It then discusses how to manage political relationships with criminal justice and other public agencies and outside interest groups. The chapter then presents techniques for building cooperative relationships with other agencies and interest groups and for identifying and overcoming barriers to such relationships. It also discusses approaches for establishing a positive relationship with the media. Finally, the chapter summarizes key skills and behaviors involved in managing the external environment and presents a matrix (appendix 6–1) that shows how these elements apply to each level of leader.

Chapter 6

Definition

Managing the External Environment: Managing the external environment for correctional executives and senior-level leaders involves interacting with citizens and interest groups, collaborating with other public agencies, acquiring necessary resources, maintaining a productive place in the criminal justice system, and applying effective techniques and strategies to building public and media relations.

Knowledge Base

Why Should Correctional Executives and Senior-Level Leaders Develop This Competency?

Effective correctional executives and senior-level leaders recognize that their agencies/organizations are part of a larger whole and that external conditions may influence both the strategic purpose and the day-to-day operations. Collaboration, development of alliances, negotiation, and environmental analysis are techniques the executive and senior-level leader can use to manage the external environment successfully. Managing the external environment effectively includes responding to new laws and legislation, presenting needs and requirements

to legislators, relating to community and special interest groups, implementing new technology, and recognizing changes in social conditions.

Understanding the External Environment

The Systems Perspective

What is a system? As noted by Peter Senge and his colleagues in *The Fifth Discipline Fieldbook* (p. 90), "A system consists of elements that continually affect each other over time and operate toward a common purpose. The word originates from the Greek verb *sunistanai,* meaning 'to cause to stand together.'"

As Haller and Mullaney point out in the NIC publication *Marketing Community Corrections,* effective correctional executives and senior-level leaders recognize that they work in "open systems" with environmental conditions and external forces that affect their organizations' purpose, structure, and activities. They realize that their correctional agencies/organizations are part of a system in which all parts influence and depend on each other. External factors and their influence on criminal justice agencies fluctuate continually. Executives and senior-level leaders must, therefore, be able to perform environmental assessments, identify trends, and develop strategies to respond to the changing environment. Exhibit 6–1 shows the external process that frequently affects correctional executives and senior-level leaders.

Exhibit 6–1. External Influences on Correctional Organizations
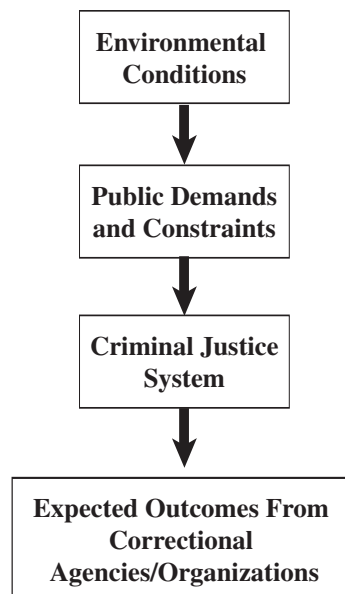
Source: Adapted from S. Stojkovic, D. Kalinich, and J. Klofas, *Criminal Justice Organizations: Administration and Management,* 2d ed., Belmont, CA: West/Wadsworth, 1998.

Responding to External Conditions

Executives and senior-level leaders differ from other managers in that they not only respond to environmental influences, but also actively shape and guide policy and budgetary directions that affect their areas of responsibility. For such leaders, responding appropriately to external legal, political, social, ecological, technological, and economic conditions is critical to success.

External Conditions Affecting Correctional Organizations

- Legal.
- Political.
- Social.
- Ecological.
- Technological.
- Economic.

Legal Conditions

State and federal statutes, case law, and administrative rules provide the authority for and impose limitations on correctional agencies/organizations. Correctional executives and senior-level leaders must be aware of new legislation, precedent-setting case law, and consent decrees. In many instances, these officials initiate changes in statutory authority that enhance the correctional agency/organization's ability to perform its mission.

Political Conditions

Public interest groups (labor organizations, criminal justice organizations, victims, and advocacy groups) directly affect correctional agencies/organizations through pressure on legislatures and executive offices for policy and budget control. Executives and senior-level leaders must stay in touch with the efforts and intentions of interest groups and be able to influence and respond to the initiatives of these groups. In addition, correctional officials must establish positive working relationships with fiscal and policymaking entities that exert influence on correctional agencies/organizations, including county commissioners, county executives, state legislatures, Governors, senior judges, budget committees, and federal agencies.

Social Conditions

The amount and types of crime committed in a community or jurisdiction affect criminal justice agencies. In addition, community demographics (e.g., population size and diversity, percentages of at-risk persons) and economic factors influence crime rates. Correctional executives and senior-level leaders must be

aware of demographic changes and their potential impact on the amount and type of crime and the directions of criminal justice policy.

Moreover, a community's laws, economics, politics, and other conditions reflect its culture. The American culture—our collective norms, values, and behaviors—is dynamic and heterogeneous, requiring correctional executives and senior-level leaders to be aware of the conflicting opinions of community members and groups. Hall, as cited by Stojkovic and colleagues in *Criminal Justice Organizations: Administration and Management* (p. 51), states that "our cultural mix can create a variety of demands depending on the issues . . . [G]overnment and organizations must work to appease or mitigate conflicting interests or must ignore one set of interests in favor of others."

Ecological Conditions

Ecological conditions include geographic location, climate, community size, and economic base. The critical question when considering ecological conditions is whether these factors encourage congruent or divergent ideas and values in the community. A homogeneous environment is less complicated to deal with than a heterogeneous one.

Technological Conditions

Correctional executives and senior-level leaders must be aware of technological changes to properly assess the impact of new technology on staff, budgets, and program proposals. Management information systems that enhance communication both inside and outside the correctional agency/organization are of particular importance. Emerging technologies that reduce resource demands and improve the quality of service should be considered.

Economic Conditions

A jurisdiction's economic climate may influence the availability of program resources. Executives and senior-level leaders must be aware of the changing economic situation and be able to respond appropriately, anticipating the likely influence the economic climate will have on budgetary decisionmakers.

Responding to Changes in the Environment

The correctional agency/organization must respond to a changing environment by learning and adapting. If the executive can implement a positive political strategy, the correctional agency/organization's internal policies and operations will be sensitive to the changing environment and the organization will be able to respond to the needs of external constituencies.

The process for managing environmental changes is a continuous cycle (see exhibit 6–2). When the correctional agency/organization develops policies internally, external entities or interest groups will evaluate them. When it develops

policies in response to outside forces, it should attempt to adapt the policies to fit its own culture and operations or it should evaluate the value of changing its own culture. The executive or senior-level leader is the critical evaluator of such processes and should attempt to be as inclusive as possible, tactically and strategically, in developing and implementing policy.

Exhibit 6–2. Political Process for Managing External Change

```
┌──────────────────┐        ┌──────────────────┐
│  External Policy │        │  Internal Policy │
└──────────────────┘        └──────────────────┘
          │                           │
          ▼                           ▼
┌──────────────────┐        ┌──────────────────┐
│     Internal     │  ◄───  │     External     │
│    Adaptation    │  ───►  │    Evaluation    │
└──────────────────┘        └──────────────────┘
```

Strategies for Managing the Environment

Correctional executives and senior-level leaders need to manage the correctional agency/organization's external political relationships with other public agencies and interest groups, build cooperative relationships with other organizations to allocate finite resources, and overcome barriers to establishing these relationships. They should also establish productive relationships with the media.

Managing Interorganizational Relationships

E.H. Schein, in *Organizational Culture and Leadership* (p. 53), states that according to research, the key to organizational long-term growth and survival is for executive and senior-level leaders to maintain a balance between the needs of their customers/constituencies and the core mission of the organization. Correctional agencies/organizations have a variety of customers/constituents, clients, and interest groups with different and often conflicting agendas. Correctional officials must address the needs of all of these groups, not just a single interest group. This requires the officials to recognize that the correctional agency/organization's core mission is complex and encompasses many functions. It must include a positive political strategy that allows the organization to survive the conflicting forces in the environment.

Relationships in the Political Environment

Relationships with other public agencies. Public agencies must focus on developing positive relationships and agreements with external partners. The resources available to meet the wide variety of public needs are always finite.

In essence, the leadership challenge is to provide the "glue" to cohere independent units in a world characterized by forces of entropy and fragmentation. Only one element has been identified as powerful enough to overcome the centrifugal forces, and that is trust.

—Jim O'Toole, Author, *Leading Change: The Argument for Values-Based Leadership*

Too often, agencies compete with one another to maximize their resource allotment. Correctional executives and senior-level leaders should attempt to minimize this competition and instead develop alliances with other agencies to provide a united front to funding/policy bodies. Generally, correctional officials must develop priorities consistent with those of the office to whom they report (Governor, county executive, etc.).

Relationships with outside interest groups. Correctional executives and senior-level leaders must develop formal and informal working relationships, alliances, and coalitions with advocacy and special interest groups. Although external groups sometimes adamantly maintain a position that conflicts with the interests of the correctional agency/organization, attempts to collaborate, negotiate, and minimize differences and conflicts usually bring more favorable outcomes for all.

Building Cooperative Relationships and Dealing With Resistance
Building Relationships

Correctional executives and senior-level leaders must develop cooperative relationships with other agencies and identify and overcome barriers to cooperation. As outlined by Mark Moore in *Creating Public Value: Strategic Management in Government,* (pp. 162–171), the following approaches can facilitate the development of cooperative interorganizational relationships.

Approaches to Building Cooperative Interorganizational Relationships

- Mapping.
- Evaluating the Need for Coordination.
- Linking.
- Supporting.
- Working for Results.
- Anticipating the Negative.

Mapping. The correctional executive or senior-level leader should identify the external entities with which the correctional agency/organization has contact and categorize them as follows: frequency of contact (regular, occasional, or infrequent); entities that require contact (because of statutes and regulations, established procedures, and/or custom); entities with which the correctional agency/organization has cooperative linkages; and entities with which the correctional agency/organization has regular conflict.

Evaluating the need for coordination. Staff should be queried regarding their need or willingness to have cooperative agreements with other organizations.

Linking. The executive or senior-level leader should search for ways to link with external organizations that share the correctional agency/organization's professional interests and goals.

Supporting. Having an agreement with an external entity does not ensure success. It is important for correctional agencies/organizations to provide enough support to keep the agreements strong.

Working for results. Producing visible results strengthens interorganizational agreements.

Anticipating the negative. The executive or senior-level leader must protect the correctional agency/organization against unrealistic expectations. Agreements may not solve the organization's problems and may even create additional problems.

Barriers to Cooperative Relationships

Overcoming resistance and barriers to cooperation is critical to successfully managing the external environment. Bozeman and Straussman, as cited by Mark Moore, *Creating Public Value: Strategic Management in Government* (pp. 167–169), have identified the following barriers to cooperative public relationships and agreements.

Barriers to Cooperative Relationships

- Resource Shortfalls.
- Mission Conflict and Ambiguity.
- Political Obstacles.
- Legal and Constitutional Barriers.

Resource shortfalls. Resource reductions in one agency will often require other agencies to provide additional services they did not include in their strategic planning. These reductions may increase competition for resources between previously cooperative agencies.

Mission conflict and ambiguity. Often, agencies' missions are in conflict; although potentially cooperative groups may be working for the common good, their goals may not be in accord.

Political obstacles. Correctional agencies/organizations may find that their goals conflict with those of new political authorities. It is not unusual for political entities to change or even eliminate an agency because of a changing political environment. In addition, political officials often have conflicts with

civil servants because the officials' agendas for change are usually relatively short term.

Legal and constitutional barriers. The separation of powers is a basic premise of the American governmental system, but often the constitutional balance of power between the legislative and executive branches of government inhibits cooperation instead of promoting agreement. In some areas, such as sharing certain protected information about individuals, laws purposely prohibit cooperation among agencies.

Strategies To Overcome Barriers

Specialized agencies and organizations become dependent on each other to maintain a high level of service delivery. Organizations need "payoffs" for being involved in these formal and informal working relationships; i.e., they need to benefit from the relationships in some way. According to Mark Moore in *Creating Public Value: Strategic Management in Government* (pp. 171–173), successful strategies for overcoming barriers to mutually beneficial cooperative arrangements include creative collusion, comparative advantage, turf defense, and acknowledgement of dependency.

Strategies To Overcome Barriers

- Creative Collusion.
- Comparative Advantage.
- Turf Defense.
- Acknowledgment of Dependency.

Creative collusion. In this scenario, agencies protect their staff and resources from "raiding" by other agencies by informally agreeing not to compete for staff and programs.

Comparative advantage. In this approach, an agency strongly emphasizes its strengths and accomplishes its mission by gaining the support of other agencies. This allows an agency to meet its goals while promoting cooperative agreements with other groups.

Turf defense. This strategy is designed to maintain agency goals and mission and to force other agencies to maintain their place in the environment. Although this does not foster cooperative agreement, it does establish clear agency responsibilities that clarify how the system should function.

Acknowledgment of dependency. Correctional executives and senior-level leaders must recognize that they are often dependent on the same agencies they

compete with for resources. Correctional agencies/organizations should develop their strengths while working within established organizational boundaries.

Developing Public and Media Relationships

Correctional executives and senior-level leaders should build long-term professional relationships with media staff. They should develop media policies and protocols to ensure that all staff know who should respond to what issues, which information may be released, and what the correctional agency/organization's philosophy is regarding openness to the media. Correctional officials and staff should be aware that media representatives value straightforward, timely, and reliable information, and officials should create and communicate an organization-wide expectation that openness and truthfulness are the norm.

Media Approaches

Correctional executives and senior-level leaders should develop media plans that include proactive approaches to the media, not simply responding to requests related to an event or incident. These approaches should include the release of educational materials, press releases, press conferences, and editorial board visits. Correctional officials should coordinate these approaches with the press office of their superior (e.g., Governor, county executive).

A media plan should include the following elements:

- Supplying educational materials that provide background and factual information not necessarily for immediate use.

- Determining when press releases are needed, when they should be issued, what subjects they should cover, and who should authorize their release.

- Scheduling regular visits to editorial boards (print and broadcast media) by the correctional agency/organization's executives and senior-level leaders.

- Ensuring that training is available for public information officers and staff who are likely to be in contact with the media.

- Monitoring the media for stories that affect the correctional agency/organization.

- Assigning correctional agency/organization staff (or a clipping service under contract to the correctional agency/organization) to read and clip stories that relate directly to the organization or affect the organization and record and share items of general correctional interest.

Summary

Environmental conditions are the external factors that influence the operation of correctional agencies/organizations and the allocation of resources to those

> Power comes from transmitting information to make it productive, not from hiding it.
>
> —Peter F. Drucker, Father of Modern Management

organizations. Correctional executives and senior-level leaders must recognize that the correctional agency/organization is part of a large environment, and influences from critical parts of that environment may cause change throughout the system.

The correctional official's interactions with that environment can promote or hinder the correctional agency/organization's operation or survival. Officials must establish strategies and protocols that encourage the development of collaborative working relationships with interest/advocacy groups, the legislative and executive branches, the media, and the general public. They must also coordinate those efforts to be consistent with the policies of the office to which they report (e.g., Governor, county executive).

Strategies for successfully dealing with the external environment require handling external forces (interest groups, stakeholders, clients and customers/constituents, and environmental conditions) positively and productively. These strategies include:

- Managing interorganizational relationships.

- Building cooperative relationships and dealing with resistance effectively.

- Developing public and media relationships.

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 Interorganizational Relationships
Skill: Creating cooperative partnerships with interest groups and other agencies in the correctional agency/organization's sphere of operations.

Behaviors:

- Map the political environment to identify forces that are motivated by competition, coercion, collusion, or cooperation. Attend meetings, conferences, and other regular events to build relationships with correctional agency/organization stakeholders.

- Assess the needs and goals of interest groups and other public agencies (including other criminal justice agencies). Discuss issues and listen to the needs of others.

- Select effective strategies that apply to the different forces that influence the environment in which the correctional agency/organization operates. Critically differentiate between ideas and perceptions.

- Provide adequate support for joint ventures. Contact and develop linkages with persons who represent positive forces for the correctional agency/organization. Work for quick, tangible results.

- Match the correctional agency/organization's allocation of resources to the patterns of issues revealed in the mapping process. Define the needs of the correctional agency/organization verbally and in writing.

- Create an internal organization that is responsive to the environment. Involve staff in making decisions to ensure that they understand the environment.

- Develop a marketing approach to establish the correctional agency/organization in a positive place in the environment. Sell the merits of the correctional agency/organization to stakeholders and customers/constituents.

Building Cooperative Relationships and Dealing With Resistance

Skill: Assessing the environment and developing strategies to address issues affecting the correctional agency/organization.

Behaviors:

- Anticipate the negative aspects and limits of coordination.

- Identify potential alliances between agencies or interest groups that resist cooperation with the correctional agency/organization and other interest groups that may influence the policies and operations of the correctional agency/organization.

- Ensure the correctional agency/organization's ability to adapt to changing conditions.

- Conduct research that includes observing and listening to customer/constituent and stakeholder reactions to services, administering surveys and analyzing survey data, and conducting experimental program research.

- Research ways to reduce the strength of the resistance or convert resistance into a positive force.

- Resolve conflicts positively with resisting forces. Discuss issues and listen to the needs of others.

Developing Public and Media Relationships

Skill: Interacting with the media positively and effectively concerning correctional agency/organization issues.

Behaviors:

- Create and maintain positive working relationships with local media. Identify local and national media resources.

- Develop trust between the media and the correctional agency/organization.

- Select information to be provided to the media. Prepare press releases, media statements, and editorials.

- Handle sensitive cases, crisis situations, tabloid media, and hostile media effectively.

- Respond to media when legal considerations (confidentiality, records disclosure) prevent release of information.

- Develop effective media techniques:

    – Use videos, visual aids, desktop publishing, and teleconferencing.

    – Prepare for and conduct interviews.

    – Prepare for appearing on camera.

    – Prepare presentations to broadcast media.

	Appendix 6–1: Focus Matrix for Executives and Senior-Level Leaders: Managing the External Environment	
	Executive	**Senior-Level Leader**
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Three Areas of Managing the External Environment		
Managing Interorganizational Relationships	• Maps the political environment to identify forces in the external environment. • Matches the correctional agency/organization's allocation of resources to the patterns of issues revealed in the mapping process. • Assesses the needs and goals of interest groups and agencies, provides adequate support for joint ventures, and selects appropriate strategies that apply to the different external forces affecting the correctional agency/organization. • Attends meetings, conferences, and other regular events to contact and build relationships with stakeholders. • Contacts and develops linkages with persons who represent positive forces for the correctional agency/organization.	• Develops an internal organization that is responsive to the environment. • Facilitates participative staff decisionmaking to ensure that the internal organization is in touch with the environment. • Attends meetings, conferences, and other regular events to contact correctional agency/organization stakeholders. • Conducts or attends meetings or workshops designed to build relations among others. • Contacts and develops linkages with persons who represent positive forces for the correctional agency/organization. • Defines the needs of the correctional agency/organization verbally and in writing.

	Executive	**Senior-Level Leader**

Appendix 6–1: Focus Matrix for Executives and Senior-Level Leaders: Managing the External Environment (continued)

	Executive	**Senior-Level Leader**
Three Areas of Managing the External Environment (continued)		
	• Sells the merits of the correctional agency/organization to stakeholders and customers/constituents. • Defines the needs of the correctional agency/organization verbally and in writing.	
Building Cooperative Relationships and Dealing With Resistance	• Creates a strategy for dealing with resistance to the correctional agency/organization's efforts to develop cooperative relationships with other organizations. • Resolves conflicts with the resisting forces and works to reduce the strength of the resistance and/or convert the resistance into a positive force.	• Assists the executive in developing a strategy for working with other organizations and factions in the external environment. • Observes and listens to customer/constituent and stakeholder reactions to organization-based services and identifies potential resisting forces. • Works with the executive to create plans to reduce the strength of the resistance or convert resistance into a positive force. • Takes the initiative or assists the executive in resolving conflicts with resisting forces.
Developing Public and Media Relationships	• Creates a strategy that maintains positive working relationships with the national and local media. • Effectively identifies and maintains connections with local and national media staff. • Is prepared to respond to the media when legal considerations (confidentiality, records disclosure) prevent release of information and when it is necessary to handle sensitive cases and crisis situations. • Works with difficult situations such as responding to the tabloid media and hostile media.	• Assists the executive in creating and maintaining positive working relationships with local media. • Takes the lead in contacting the media in situations that have been previously identified by the executive. • Assists in handling sensitive cases, crisis situations, tabloid media, and hostile media effectively. • May prepare information for interviews between the executive and the media and develop press releases, media statements, and editorials. • Handles the initial response to local and national media in crisis situations before a strategy is formed with the executive. It is critical that the senior-level leader be adept at handling media contacts in such situations to allow sufficient time to prepare a strategy.

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Power and Influence

Nancy M. Campbell

This chapter addresses correctional leaders' use of power and influence to achieve the goals of their agency/organization. The chapter discusses understanding power, suggests how leaders can develop their capacity for using power to influence others, and offers tactics for influencing others successfully. It outlines key skills and behaviors that relate to the effective use of power and influence. Finally, appendix 7–1 presents a matrix that applies steps for using power effectively to the responsibilities of correctional executives and senior-level leaders.

Chapter 7

Definitions

Power: The ability to understand organizational politics and to influence others to achieve a desired outcome. To innovate or make change requires skill not only in making decisions (identifying options and selecting the most effective one for the situation), but also in getting things done (implementing ideas). To enact change requires understanding others and being willing to influence their thoughts and deeds.

Influence: Finding and using the most effective and prudent methods for altering an organization's and/or individual's beliefs and behaviors to implement decisions and achieve desired outcomes.

Knowledge Base

Why Should Correctional Executives and Senior-Level Leaders Develop This Competency?

In the final analysis, the measure of any leader is what that leader gets done. Having a great vision that cannot be implemented does not translate into effective leadership.

To get things done requires not only having a goal, but also having the will and the ability to achieve it. Successful implementation requires understanding how to negotiate through a maze of competing interests and convince those who represent other interests that your goal is valuable enough for them to support it (or at least not fight it). Success also requires having the skills to understand the politics of the environment and influence enough parties to allow for implementation.

As Bolman and Deal note in their discussion of the "political frame" of an organization in *Reframing Organizations,* most organizations are made up of coalitions of individuals and interest groups, each with its own beliefs, values,

Lousy implementation skills, not lousy decision analysis, get corporations into pickles. Implementation skill above all else depends upon an appreciation of power.

—Tom Peters, Management Expert, Coauthor, *In Search of Excellence*

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interests, and perceptions of reality. In correctional agencies/organizations, as in most others, these coalitions compete for limited resources. Thus, conflict is inherent among groups and interests. The use of power often determines the outcome of negotiations among these interests.

Just as every organization is different, so is every situation in which a leader or manager wants to achieve a goal. There is no magic number of parties or constituents that must support a policy or goal. The key is to garner enough support to fully implement the goal.

Power often has a negative connotation that makes people uncomfortable. Whether power is used to manipulate and bully or to build consensus depends on a leader's values and ethics. Having a clearly articulated set of values and principles is the best safeguard against abusing power.

Understanding Power
Three Common Elements of Power

Most current studies on leadership agree that understanding what power is and being willing to use it are essential requirements for effective leadership. Successful leaders understand power and use it effectively. Although it can be argued that having power does not require interaction with others, using power to effect change does require dealing with others.

Power, to some extent, is in the eye of the beholder. Simply holding a position such as department director can create a perception that a person has power, even when that person does not. Although anyone who is attempting to influence others should take perceptions into consideration, the definition of power used here assumes a desire to actively use power to make change. Using power to make change involves three elements: influence, overcoming resistance, and politics.

> Power is clearly an essential requirement for effective leadership.
>
> — Kenneth W. Thomas and Gail Fann Thomas, Authors, *Power Base Inventory*

Three Common Elements of Power
• Influence.
• Overcoming Resistance.
• Politics.

Influence

Power is often defined as the ability to influence the actions or behavior of others. John Gardner stated this eloquently in *On Leadership* when he said, "Power . . . is simply the capacity to bring about certain intended consequences in the behavior of others."

Overcoming Resistance

In *Managing With Power: Politics and Influence in Organizations,* Jeffrey Pfeffer adds a key element to the definition of power. Pfeffer notes that power is " . . . the potential ability to influence behavior, to change the course of events, to overcome resistance, and to get people to do things that they would not otherwise do."

Exhibit 7–1. Overcoming Resistance

Power and influence provide managers with the leverage to overcome resistance.

Politics

Again, according to Pfeffer (p. 8), "organizations, particularly large ones, are like governments in that they are fundamentally political entities. To understand them, one needs to understand organizational politics, just as to understand governments, one needs to understand governmental politics." The greater the interdependence of functions and diversity of viewpoints in an organization, the greater the need to understand the organizational politics. Nevertheless, the adage "where there are two people there are politics" means that small organizations are not immune from organizational politics.

To use power effectively in an organization, leaders must understand the organization's internal and sometimes external politics. "Politics," like "power," has negative connotations that can prevent leaders from understanding the political landscape of a situation—a critical step in using power to effect change.

Cultural Considerations

The culture or social architecture of an organization—the "norms and values that shape behavior in any organized setting," according to Warren Bennis and Burt Nanus—greatly influences how power is perceived in the organization. Many different kinds of cultures can be found in correctional agencies/organizations. According to Afsaneh Nahavandhi in *The Art and Science of Leadership* (p. 7), "Culture consists of commonly held values within a group of people. It is a set of norms, customs, values, and assumptions that guide the

> Politics and influence are the processes, the actions, the behaviors through which this potential power is utilized and realized.
>
> —Jeffrey Pfeffer, Author, *Managing With Power*

behavior of a particular group of people." Some cultural groups value authority and will simply follow orders, whereas others expect persons or entities having authority to collaborate in achieving outcomes. This cultural difference between groups will affect how a leader uses power most effectively.

Cultural differences may come about because of differences in the nature of the work. For example, community correctional services may have a very different focus from services provided in a secure institutional setting.

Demographic differences among staff and offenders—ethnicity, race, religion, gender, age, and nationality—may also influence a correctional agency/organization's culture. Such differences may affect how people view power: for some, it has a negative connotation; others expect people in positions of authority to exercise power. Because the demographic makeup of staff and offenders is likely to be different in different parts of the United States, the geographic location of a correctional agency/organization may also influence its culture.

The leadership of the correctional agency/organization can also affect its culture. For example, if the leadership values diversity, the correctional agency/organization may have more women and people of color in management positions, which can affect the social architecture.

Often overlooked is the difference among national cultures. Correctional staff who are newly arrived from other countries or are first-generation Americans may view power and its appropriate use through a different cultural lens.

The multiple groups that make up the social architecture of an organization and the different perspectives these groups represent influence how power is viewed in the organization. To use power effectively, a leader must be aware of this.

Five Characteristics of Power
Stereotypes and misconceptions often shape the understanding of power. As cited by W.J. Pfeiffer and L.D. Goodstein in *The 1986 Annual: Developing Human Resources,* H.B. Karp has identified five characteristics that help demystify power.

Five Characteristics of Power

- Power is uniquely expressed.
- Power implies risk.
- Power is neutral.
- Power is existential.
- Power resides in a conscious choice.

Power is uniquely expressed. Each individual has a unique way of expressing power. The stereotypes of what power looks like can be misleading. Power is expressed in many ways and by people who are not in positions of authority.

Power implies risk. Whenever one attempts to gain something, a potential risk or cost is involved. Failure, loss of prestige, and loss of alternative opportunities are a few of the risks associated with using power.

Power is neutral. As noted earlier, power has a negative connotation for many people. As a result, some people think they should avoid power. However, power is neither bad nor good. It is a means to achieve an end. The objective pursued may be bad or good, but not the ability to obtain it.

Power is existential. To successfully pursue an objective, one must stay aware of and responsive to changing conditions within oneself and in the environment. Power exists only in the present. Excessive worrying about how things should be or what might happen, rather than attending to what is happening, hampers the ability to make an impact.

Power resides in a conscious choice. By its nature, change is fluid and often complex. To use power successfully requires the ability to generate alternatives and to choose among them. Locking into a fixed position, value, or attitude—regardless of changing conditions or present circumstances—precludes choice and thus limits power.

Another characteristic not mentioned by Karp is how lonely it can be to hold a position of power. Some of the loneliness of executive and senior-level positions comes from the responsibility that comes with having power.

Sources of Power

Correctional leaders fill multiple roles at work and home. At home, they are parents, spouses, friends, and neighbors. Depending on the role, power is derived from different sources. For example, one has inherent authority with one's children (at least young children). Typically, one has no authority over neighbors or friends; so goodwill, information, personal persuasion, and expertise are sources of power with them. Leaders also have different levels of authority depending on the roles they fill.

Leadership roles include:

- Exercising *authority* within the leader's organization.

- Coordinating programs over which the leader has *limited authority.*

- Exerting influence in areas where the leader has *no direct authority.*

Leaders spend most of their time trying to make changes in areas where they have limited or no authority or that involve others outside the scope of their control (see exhibit 7–2). To exert influence in these situations, they must often rely on strategies other than direct authority.

Exhibit 7–2. Multiple Roles of Management

Direct (Authority)

Influence (No Authority)

Coordination (Limited Authority)

Source: Adapted from Daniel H. Straub, Lecture Series in Correctional Management Institutes, 1975–88.
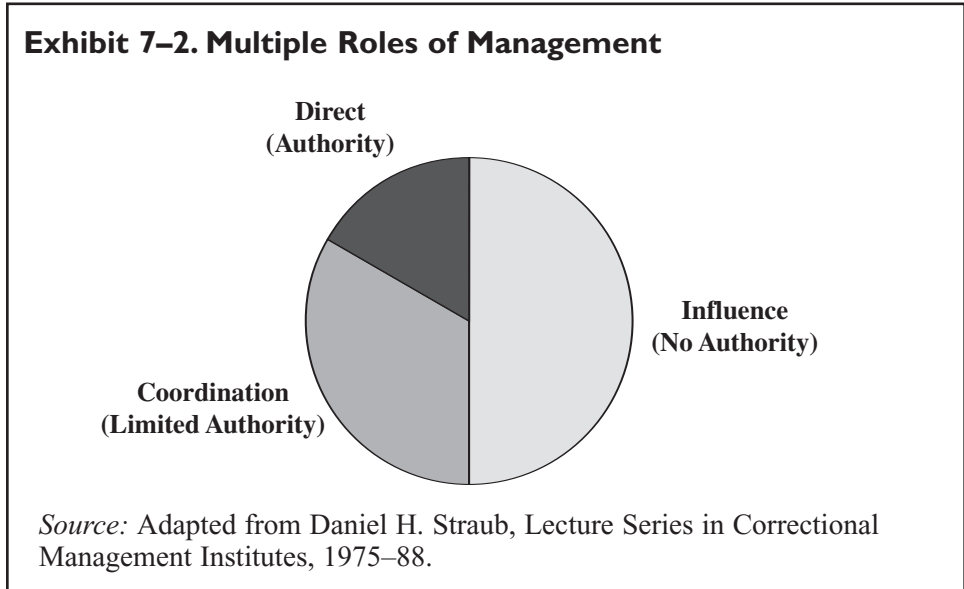
Typologies of the sources of power distinguish between two basic sources of power: One can derive power from the position one holds, or one can have personal power regardless of position (see exhibit 7–3). All people potentially have personal power. Some people have position power.

Effective correctional leaders cannot rely on position power alone. Although the paramilitary structure of corrections typically results in a culture where respect for position power comes readily, leaders still have to earn respect by demonstrating forms of personal power.

Exhibit 7–3. Position Power Versus Personal Power

Position Power	Personal Power
The organization provides the source of power.	The leader develops the source of power.
Sources of position power include: • Authority. • Reward. • Discipline.	Sources of personal power include: • Information. • Expertise. • Goodwill.

Source: Adapted from Kenneth W. Thomas and Gail Fann Thomas, *Power Base Inventory,* Palo Alto, CA: Consulting Psychologists Press, 1985.

Position Power

Position power flows from a person's position in an organization and includes authority, reward, and discipline.

Authority. This power base involves respect for the position, rank, or title held by an individual. It is at work when people feel obligated to follow a leader because of the leader's position.

Reward. Leaders have control over resources that others want. Recognition for a job well done, salary and benefit increases, interesting assignments, and training opportunities are examples of rewards that leaders often use to motivate employees.

Discipline. Leaders also have the ability to withhold resources and sanction employees. Reprimands and corrective actions are common forms of discipline. This power base uses coercion to induce compliance.

These forms of power, although sometimes effective, typically result in grudging compliance and sometimes encounter resistance. Leaders who rely heavily on position power cannot develop effective, committed teams.

Personal Power

Personal power includes information, expertise, and goodwill. These power bases are areas or qualities that leaders develop. They do not come with the position.

Information. This power base involves providing the facts or reasoning behind a decision or direction. It can also involve providing the training, education, or data people need to make their own decisions and providing access to information.

Expertise. Power can be derived from having knowledge, ability, or skill that others respect.

Goodwill. People whom others admire and respect are better able to exert influence. It is easier to identify with a person who has positive characteristics and qualities.

John R.P. French, Jr., and Bertram Raven studied and first wrote about power in the 1950s in *The Bases of Social Power.* Their work continues to be the basis of much of the current research on power and influence. They describe five bases of power: coercive, legitimate, reward, referent, and expert power. Coercive, legitimate, and reward power are based on position. Referent and expert power stem from personal skills and qualities. Referent power is similar to goodwill. Someone with referent power may be admired because of his or her personality,

Exhibit 7–4. Leadership Resources		
Source of Power	**Power Base**	**Influence Effect**
Position (provided by the organization)	Authority Reward Discipline	Compliance Compliance Resistance
Personal (developed by the leader)	Information Expertise Goodwill	Commitment Commitment Commitment

Source: Adapted from John R.P. French, Jr., and Bertram Raven, *The Bases of Social Power,* Ann Arbor: University of Michigan Institute for Social Research, 1959.

charisma, or other positive qualities. Exhibit 7–4 shows the power resources a leader can draw on and their likely effects on influence.

Additional Power Bases

Other researchers have described two additional power bases: information power and connection power.

Information power. Information power implies that a person has access to needed information either through expertise or by virtue of education or position. (This differs from the information power discussed above as a component of personal power in that it relates to the possession of information rather than providing that information to others.)

Connection power. In *Situational Leadership, Perception, and the Impact of Power,* authors Paul Hersey, Kenneth H. Blanchard, and Walter E. Natemeyer describe connection power as power that is based on association with a powerful individual. The assistant to a powerful person has connection power. A line staff member who is a personal friend of a senior-level leader can have connection power. This power base is tied to the desire to befriend, or at least not to offend, the person with connection power because of that person's influence on the powerful connection.

Developing the Capacity To Influence Others

Successful leaders are adept at assessing a situation and choosing the style of influence best suited to that situation. To do this, leaders should understand how they typically use power. Questions to be answered include:

■ What influence style or styles is the leader most comfortable with?

■ What style does the leader use most often?

■ Does the leader thoroughly understand the range of influence styles available?

- Is the leader sufficiently skilled at assessing situations?

- Does the leader consciously choose influence styles to match the situation?

- Does the leader overuse any influence styles?

- Is the leader willing to try a different influence style when confronted with failure?

Understanding Your Influence Style

Using power effectively requires that leaders truly understand their own style of influence. Most people have a preferred style—sometimes it is a conscious choice, but most often it is habit.

One of the best ways for leaders to understand their influence style is to undertake a personal assessment (see chapter 2, "Self-Assessment," for more information on self-assessment techniques and tools). Preferably, this assessment will include feedback from coworkers, subordinates, and supervisors regarding their perceptions of how the leader influences others. This type of feedback allows leaders to identify any discrepancies between how they perceive their style and how others perceive it.

Leaders can also use self-assessment tools that specifically measure the use of power. Examples of such tools include:

- *Power Base Inventory*® by Kenneth W. Thomas and Gail Fann Thomas.

- *Power Perception Profile* by Paul Hersey and Walter E. Natemeyer.

- *Profiles of Organizational Influence Strategies* (POIS) by David Kipnis and Stuart M. Schmidt.

Individual Attributes

Leaders' individual attributes vary greatly. Although no one attribute or combination of attributes constitutes a definitive formula for using power well, the personal attributes and accompanying characteristics shown in exhibit 7–5 are useful in acquiring and keeping power. Leaders who may not have many of these qualities can develop them.

With the possible exception of physical stamina, all of these attributes can be cultivated. Strengthening them enables leaders to use power more effectively.

One final attribute that is essential for the successful use of power is the will to do something. Although it seems self-evident, it is critical that a leader have the desire to make a change or implement an objective. Merely thinking or talking about doing something is not enough. A leader must be willing to use power to make change.

Exhibit 7–5. Attributes and Characteristics of Successful Leaders	
Attribute	**Characteristics**
Energy/physical stamina	The ability and willingness to work long and hard.
Focus	Single-minded focus and attention to detail.
Sensitivity to others	Social perceptiveness; an understanding of the interests and attitudes of others and the best way to communicate with others.
Flexibility	The willingness to modify one's positions and to remain detached from any one solution to a problem.
Ability to tolerate conflict	The ability to be comfortable with conflict, see the value of it, and be willing to engage in it.
Getting along/ submerging one's ego	The ability to change one's behavior to achieve the greater good or long-term objective.

Source: Adapted from Jeffrey Pfeffer, *Managing With Power: Politics and Influence in Organizations,* Boston: Harvard Business School Press, 1992.

Selecting Appropriate Influence Strategies

Profiles of Organizational Influence Strategies (POIS), mentioned previously, uses a slightly different typology of influence strategies than those discussed thus far. This instrument helps a leader understand seven strategies or styles of influence and their corresponding behaviors (see exhibit 7–6). It also shows leaders how to identify and correct problems in influencing others.

Strategic Influence Theory

A brief look at the strategic influence theory underlying POIS affords valuable insight into how to target the best influence style for any circumstance. The theory provides a process for examining a situation and identifying possible ways of influencing it. Strategic influence theory assumes that understanding one's own influence style makes it possible to develop more effective ways of

TRAPS in Using Influence

- T=Target.
- R=Resources Available To Influence.
- A=Adverse Reaction of Target Person.
- P=Purpose of Influence.

Exhibit 7–6. Profiles of Organizational Influence Strategies	
Strategy	**Behavior**
Reason	Relies on data, discussion, and logic.
Friendliness	Demonstrates interest, goodwill, and esteem to create a favorable impression.
Coalition	Mobilizes other people in the organization to support requests.
Bargaining	Relies on negotiation and the exchange of benefits or favors.
Assertiveness	Relies on direct and forceful communication.
Higher authority	Invokes the influence of higher levels in the organization to back up requests.
Sanctions	Uses rewards and punishments derived from organizational position.

Source: Excerpted from David Kipnis and Stuart M. Schmidt, *Profiles of Organizational Influence Strategies,* Philadelphia: University Associates, 1982, Trainer's Manual, p. 3.

influencing others. The theory describes four traps (listed on p. 138) that keep people from influencing others effectively.

Target. Intuitively, people use a different influence style with a boss than with a subordinate. For example, friendliness is a style commonly used with a boss. However, it is problematic to assume that friendliness should always be the style used with a boss. The trap here is choosing a style of influence based solely on the target and not considering all the circumstances.

Resources. Resources available to influence are often viewed as something provided by the organization, typically in terms of position. People often forget that some forms of personal power may be equally important resources. For example, a person's expertise or connection power may be very valuable. Failing to acknowledge the full range of available resources may limit your choice of effective influence strategies.

Adverse reaction. When people meet resistance to their suggestions, they often fall into one of three common traps. The most common trap is to give up. Another common trap is to continue using the influence strategy that failed to persuade the first time, instead of considering other approaches. Finally, some people are quick to get angry and use sanctions or make assertive demands. Too much pressure, too soon, only causes people to entrench and resist more strongly. Effective influence requires the willingness to try different strategies.

Purpose. The two reasons for trying to influence people are for the good of the organization and for the good of the individual. Both reasons are valid. The key is to be clear about the reason for the influence so the best strategy can be chosen.

Avoiding TRAPs

Effective leaders understand the array of styles of influence available to them, know which styles they are most likely to use, and assess each situation before choosing an influence strategy. To use influence well, leaders should:

- Understand the context and the culture of the situation.

- Know their own skills (which influencing strategies they use well and which ones they need to work on).

- Know whether they tend to rely too much on a certain strategy or strategies.

Tactics for Influencing Others Successfully

Organizations are, in many respects, coalitions of interest groups. Organizational goals are developed in a process of give and take among various constituents, which have differences and often compete for resources. Power is a key resource that is highly desired within the organization. To successfully influence others requires understanding who has power in the organization and how to access it.

The two most important steps for leaders who want to exercise influence are to know their own agenda and to understand the environment in which they want to implement that agenda. They can use a variety of tactics to accomplish these steps. After setting the agenda and mapping the political terrain, they need to select the implementation tactics that are most likely to achieve the influence they envision.

Agenda Setting

Effective leaders set a vision for the organization and define tactics for achieving the vision. They recognize that the vision must balance the needs of many interests and know that position authority alone will not result in acceptance of the vision. Effective leaders understand the competing interests and find the best way to maximize buy-in from those interests. They realize that, even if they have a clear sense of what must be done, they may need to use a variety of tactics to build support for their agenda, as listed on page 141.

Listening plants the seed. By listening to constituents and learning about their interests and desires, leaders not only come to understand the competing interests but also are able to suggest ideas that constituents then adopt as their own. In these conversations, leaders can begin to help constituents see other

> It struck me that I was most effective when I knew what I wanted.
>
> —Warren Bennis, Coauthor, *Leaders: Strategies for Taking Charge*

> **Tactics for Agenda Setting**
>
> - Listen.
> - Contrast stronger with weaker agenda items and use other techniques to organize the agenda.
> - Create urgency.
> - Frame the issue.
> - Use timing.

perspectives and can often learn how to refine the vision or shape it in such a way that critical stakeholders can embrace it.

Order affects perspective. Leaders who use influence effectively think carefully about how and when to set the agenda. They know that the timing of an issue can significantly affect whether it is accepted. They leave little to chance.

In *Managing With Power* (p. 192), Jeffrey Pfeffer explains that "… proposals benefit by contrast with what has come before." He points out that compromises in government often arise after a series of unworkable proposals are presented. Previous actions and events can significantly influence how others perceive the leader's agenda. For instance, a correctional agency/organization with a history of poor labor-management relations may be more open to hearing messages from a leader who appears to care about employees and is willing to work with labor.

Presenting a strong proposal after a weaker one may also help to ensure its passage because of the contrast between the two proposals. Other considerations should also be taken into account in ordering items on the agenda. For example, if the group discussing a leader's agenda is known for focusing on the details of each item and then running out of time, the leader should consider beginning with items that require buy-in and relegating those that require only cursory approval to the end.

Scarcity makes us want it more. Crafting a proposal so that valuable elements are available only for a limited time (e.g., act now and receive federal matching funds) often makes it more appealing. Matching funds are often used in this way. Deadlines can help create a sense of urgency.

Frame the issue. The person who takes the time to develop a thoughtful memorandum or issue paper can shape the discussion of an issue. American culture values the idea that with good data a rational decisionmaking process can be developed. Simply asking the question differently can also cause people to view the matter differently. As simple as it may sound, the person who takes the time to develop and distribute an agenda often controls the meeting.

Timing matters. Savvy leaders are careful to orchestrate the time and place to introduce a topic to stakeholders. They take advantage of momentum. Acting first and getting initial commitments can make it hard for someone else to stop a project. Moving out front on something quickly leaves the opposition little time to cause delays before other key stakeholders buy in. Once people commit to a project or vision, they will typically continue to support it.

Introducing an issue right before a deadline also increases the chance of getting support. With little time for requests for additional information, proposals often receive support simply because the group needs to adjourn.

Mapping the Political Terrain

The three critical steps for mapping the political terrain are as follows:

- Identifying who has the power to exert influence.

- Analyzing the possibilities for both internal and external mobilization.

- Anticipating the strategies that others are likely to employ.

The first step is in many ways the most critical. Leaders have to know who has the power to block an initiative or assure its approval. As discussed below, several tactics can be used to identify who has power in an organization. In contrast, the tactics for analyzing the possibilities for mobilization and anticipating others' strategies depend more on the individual situation. Analyzing who might become allies or how opponents may attempt to block an initiative demands honest and perhaps conservative assessments of future scenarios.

Identifying Who Has the Power To Influence

The obvious ways to determine who has power are to look at indicators such as position, reputation, what assignments a person is given, and who has access to information. Too often, people only look for formal indicators of power such as position and title. Such measures are only part of the picture. It is also critical to look at informal systems in organizations to understand fully who holds what kind of power. Looking at these less obvious indicators of power requires leaders to do the following:

Understand the formal and informal subgroups. To really understand where power resides requires knowing all the groups in the organization. It is not enough to know the formal organizational chart. Each organization or unit within an organization has informal subgroups based on interests such as hobbies, family background, race, gender, or location in the organization. Informal groups can wield enormous power.

Determine the channels of informal and formal communication. The power of rumor is well understood. The question is how to penetrate the informal communication systems that wield this power. What are the informal relationships that fuel the communication flow?

Map out patterns of dependence and interdependence. When multiple entities with different perspectives and a high degree of interdependence must all contribute to a product or outcome, the amount of conflict increases. Observing who wins such conflicts and how outcomes are reached can explain a lot about who has power.

Analyzing and Mobilizing Resources

Once a leader understands who has formal and informal power, the next step is to determine what internal and/or external resources can be employed to support the effort. This requires an understanding of how critical stakeholders may respond to a proposed course of action.

An individual with formal authority can use a variety of techniques to mobilize others, such as:

- Directing attention to the issue.

- Providing access to information about the issue.

- Controlling the flow of information about the issue.

- Framing the issue.

- Orchestrating conflict about the issue.

Using such techniques makes it possible to gauge the level of support for or resistance to an idea or issue.

Without formal authority, and in many cases even where formal authority exists, leaders must rely on informal relationships that derive primarily from trust. When others trust in the values and skills of the individual proposing change, there is usually less resistance to change.

Anticipating Strategies

Mapping the political terrain also involves anticipating the strategies that others might employ in responding to a proposed action. The initiator of change should test the proposal on interested individuals and/or groups to determine the likelihood of support or resistance. To do this effectively requires an understanding of available power bases and the strategies that can be used to influence others.

If a leader anticipates great resistance to change, the pace and sequence of the change initiative should be designed to allow more input and involvement in decisionmaking. Where less resistance exists, the change process can proceed more quickly, using a less collaborative decisionmaking model.

Implementing the Agenda

Having assessed that a proposal has a reasonable chance of success, a leader should think about implementation. A leader can influence the implementation of an initiative in several ways. Gaining support for the agenda and developing bases of influence to gain more control over the situation are essential. The results of environmental mapping can help the leader select appropriate methods of building support. Ways to expand bases of influence or support include networking, symbolism, bargaining and negotiating, and changing structure.

Steps in Implementation

- Networking.
- Symbolism.
- Bargaining and Negotiating.
- Changing Structure.

Networking and Forming Coalitions

After determining whose support is needed, the next step is developing relationships and coalitions with those individuals and groups.

Symbolism

Creating symbols so people can understand the vision or initiative can assist with implementation. Celebrating milestones and finding ways to generate enthusiasm also help maintain support for the implementation.

Bargaining and Negotiating

Often considered only in the context of labor-management relations, understanding the underlying interests of others and creating opportunities for mutual gain are effective tactics for implementing change.

Changing the Structure

Reorganization is often seen as a simple method to ensure support for an issue. Because of the enormous potential for increased anxiety and fear—elements that can debilitate an organization—this method should be carefully scrutinized and used only when necessary.

Summary

Understanding power and being willing to use it are essential requirements of effective leadership. Power, as it is most often defined, includes the elements of influence, overcoming resistance, and politics.

The context of a situation and the culture of an organization affect how a leader can use power effectively. Effective leaders assess the organizational culture and politics before they attempt to influence or exert power.

The two sources of leadership power are position and personal power. The organization provides position power, which includes authority, reward, and discipline power. Personal power is inherent or developed in the leader and includes information, expertise, and goodwill. Personal power is more likely to engender commitment; use of position power may gain compliance but can also result in resistance. Leaders often must effect change in areas where they have limited or no direct authority; in such circumstances, they must call on personal power.

Ensuring the implementation of an agenda or initiative requires an understanding of the political structure and relationships both of the organization and the particular situation. Leaders must also be willing to convince others of the importance of the agenda and be willing to reshape or change it.

Successful implementation requires:

- Being willing to set the agenda.

- Understanding the political environment.

- Choosing implementation strategies that are sensitive to the needs of internal and external stakeholders.

To influence others effectively, it is not enough to understand where power comes from. Leaders must understand what influence styles they use most often and whether they could benefit from using different styles. It is also critical to understand how potential opposition affects the choice of influence strategy.

Determining the best influence strategy assumes an understanding of the context and culture of the situation. To understand context and culture, leaders should consider the perspective of the target of influence. Being flexible and changing strategies when new or different information is provided are also essential, as is a willingness to place the objective above one's own ego.

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 Power

Skill: Using power effectively within an organization to bring about change.

Behaviors:

- Use influence to change behavior and overcome resistance.

- Assess the internal and external organizational politics to understand the political landscape of a situation.

- Identify the organizational culture and how it may affect the use of power.

Skill: Balancing the many roles of a leader and using the appropriate power strategies for each.

Behaviors:

- Exercise authority within your span of control.

- Coordinate programs over which you have limited authority.

- Exert influence (personal power) in areas where you have no direct authority.

Skill: Choosing the most effective power base—position or personal—to gain commitment to and/or compliance with goals.

Behaviors:

- Understand which power bases should work best.

- Cultivate the personal power bases—information, expertise, and goodwill— that are likely to gain commitment to the goal.

- Identify alternative power bases such as connection power.

Developing the Capacity To Influence Others

Skill: Self-assessment—being willing to learn about your own capacity to influence others.

Behaviors:

- Undergo assessments; gain insight into your own influence style and behaviors.

- Listen to feedback to understand others' perceptions of your own influence style and behaviors.

Skill: Situation assessment—understanding the context of the situation and assessing the situation before attempting to influence the outcome.

Behaviors:

- Clarify the purpose of the influence.

- Identify all available resources.

- Listen to the target to understand needs.

Skill: Persuading others.

Behaviors:

- Understand which influence style works best in which situation.

- Choose the most appropriate influence style for the situation.

- Identify and implement an alternative influence strategy, if needed to overcome resistance.

- Be sensitive to the needs and desires of others.

- Be flexible regarding solutions.

Tactics for Influencing Others Successfully

Skill: Setting an agenda.

Behaviors:

- Listen to the interests and desires of others.

- Analyze the issues thoroughly and thoughtfully.

- Choose the optimal timing and method for introducing the agenda.

- Create a window of opportunity or limited timeframe for buy-in to increase the target's desire to commit to the agenda, if necessary.

Skill: Mapping the political terrain.

Behaviors:

- Map the formal and informal subgroups in the organization.

- Understand the informal communication flow and how to take advantage of it.

- Anticipate the strategies others might employ.

Skill: Selecting appropriate implementation strategies.

Behaviors:

- Form networks and coalitions with people and groups who can support an initiative.

- Create symbols to help others understand the initiative/agenda.

- Bargain and negotiate to create opportunities for mutual gain.

- Consider changing the organization's structure to maximize support for the agenda, if necessary.

Appendix 7–1. Focus Matrix for Executives and Senior-Level Leaders: Power and Influence

	Executive	Senior-Level Leader
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Four Steps to Successful Influence		
Developing the Capacity To Influence Others	• Models for the executive team a willingness to learn and understand the executive's own style of influence. • Understands the style of influence of other senior-level leaders, external stakeholders, and other internal stakeholders as needed. • Reinforces the need for assessing the situation before attempting to influence it. (This could be done by modeling direct data gathering or having other staff gather data.) • Works with the executive team to understand the culture of the target to be influenced. • Demonstrates for the executive team sensitivity to the needs of others and flexibility in using styles of influence. • Demonstrates for the executive team flexibility in proposing a range of possible solutions to problems.	• Models for senior-level teams a willingness to learn and understand the senior-level leader's own style of influence. • Understands the influence style of the managers within one's span of control as well as other peers, the executive, and external stakeholders as needed. • Demonstrates situation-assessment skills to senior-level staff before attempting to exert influence in a given situation. • Works within the senior-level teams to understand the culture of the target to be influenced. • Demonstrates for senior-level teams sensitivity to the needs of others and flexibility in using styles of influence. • Demonstrates for senior-level teams flexibility in proposing a range of possible solutions to problems.

Appendix 7–1. Focus Matrix for Executives and Senior-Level Leaders: Power and Influence (continued)		
	Executive	**Senior-Level Leader**
Four Steps to Successful Influence (continued)		
Agenda Setting	The executive sets the agenda for the entire correctional agency/organization.	Within their areas, senior-level leaders need to set agendas that reflect the correctional agency/organization's vision and mission as established by the executive. They also need to share with the executive any perceived needs for a change in direction or agenda.
Mapping the Political Terrain	Typically, executives spend most of their time mapping situations that focus on the external environment. (When an executive is new to the position, external stakeholders such as legislators often expect to work directly with the executive. However, once an executive has established credibility and trust, these stakeholders often are comfortable working directly with senior-level staff instead.)	Senior-level leaders have a narrower focus and spend more of their time in their areas of responsibility. The nature of those responsibilities determines the extent to which they map external or internal environments. Senior-level leaders, like the executive officer, need to model the mapping process for their team members.
Implementing the Agenda	The more the executive can develop an executive team that is capable of implementing the agenda internally, the freer the executive will be to focus attention outside the correctional agency/organization. The converse can also be true, depending on the nature of the problems the correctional agency/organization is facing and where the focus of the executive needs to be.	Senior-level leaders should understand the needs of external stakeholders and ensure that the correctional agency/organization's staff are meeting these needs. The amount of time a senior-level leader spends focusing internally or externally depends on the leader's role.

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Strategic Planning and Performance Measurement

Cindi Yates

This chapter addresses the importance of strategic planning and performance measurement for correctional agencies/organizations from the perspective of correctional executives and senior-level leaders. The chapter first discusses why strategic planning is important for senior-level correctional leaders, noting that although correctional executives do not directly take part in strategic planning and performance management, they play several indirect roles in support of those tasks. The chapter then introduces the building blocks of the strategic plan. It then presents several models for performance measurement and describes the New York City Department of Correction's Total Efficiency Accountability Management System (TEAMS) Program, which exemplifies the performance measurement process in a correctional agency/organization. It then outlines the key skills and behaviors related to strategic planning. Finally, appendix 8–1 provides a matrix that relates the building blocks of strategic planning to the responsibilities of correctional executives and senior-level leaders.

For a review of planning and performance assessment from a program perspective and a discussion of how to align individual program plans with the correctional agency/organization's strategic plan, see the chapter on "Program Planning and Performance Assessment" in the companion document, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels.*

Definitions

Strategic Planning: The process of developing a comprehensive plan that provides leadership, direction, and resource prioritization to ensure that the intended vision, mission, goals, and objectives of a correctional agency/organization are met.

Performance Measurement: The process of establishing measures that describe how success in achieving the correctional agency/organization's mission will be measured and tracked. Performance measure targets provide the quantifiable answer to the question, "How will we know we've been successful in achieving our mission?" Analyzing the gaps between current performance levels and performance targets helps organizations identify priority areas in need of improvement, develop strategies that will close gaps, and identify best practices that can be applied throughout the organization.

Chapter 8

Knowledge Base

Why Should Senior-Level Correctional Leaders Develop This Competency?

Effective leadership is based on 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 and managers and are made evident in the actions of the organization. Effective leadership must set a clear vision and the expectations for performance and performance improvement. Strategic planning and performance measurement are valuable tools for leaders to set organizational direction, performance expectations, customer focus, and a leadership system that promotes excellence.

As noted in chapter 1, "Managerial Profiles," this competency directly applies only to senior-level leaders, not to correctional executives. However, although correctional executives do not directly take part in strategic planning and performance measurement, they take the lead in developing several of the essential building blocks for the strategic plan, including the correctional agency/organization's vision, mission, values, and goals. In addition, correctional executives support the strategic planning and performance measurement process by helping to establish the performance measures that are used and ensuring that those performance measures reward the behaviors that the organization wants to promote. They also support implementation of the strategic plan by aligning the correctional agency/organization's resources with the plan and advocating with outside stakeholders for the resources to implement the strategies and initiatives set forth in the plan. See appendix 8–1 for a more detailed list of the responsibilities of correctional executives in relation to strategic planning.

Strategic Planning in a Correctional Setting

As correctional resources become more limited, strategic planning becomes more critical to target those limited resources toward the most effective strategies and the most important results. Whether the process is called strategic planning, business planning, or something else, a successful correctional agency/organization needs to develop thorough answers to the following critical questions:

Where Do We Want To Be?

Vision, mission, goals, objectives, and performance targets provide the answer.

Where Are We Today?

A description of the correctional agency/organization's current state includes statutory references, measures of current performance, and assessments of the external environment, customers/constituents, stakeholders, partners, risks, and internal resources.

How Do We Intend To Close the Gap Between Where We Are and Where We Want To Be?

By analyzing performance measures, the correctional agency/organization can identify the gap between performance and expectations. Strategies, initiatives, and financial plans identify and set forth methods to close the gap.

The materials in this chapter are intended to provide a common framework for developing and implementing a strategic plan in a correctional setting.

Developing the Strategic Planning Document

A strategic plan is a comprehensive plan that aligns resources with the correctional agency/organization's priorities, mission, and vision. Organizations can choose among many methods for developing a strategic plan, and each organization should tailor its method to meet its needs. Strategic planning should be flexible so it can address the changing needs of the correctional agency/ organization, its customers/constituents, and stakeholders.

A strategic plan can be a valuable tool for communicating inside and outside the correctional agency/organization. The strategic planning document should be simple, easy to read, and interesting to the target audience. Varying narrative text with bullets, graphics, and charts can ensure that the plan is a user-friendly document.

Common building blocks for strategic planning include:

- Assessment of the External and Internal Environments.

- Vision.

- Mission.

- Values.

- Goals.

- Strategies/Initiatives and Financial Plan (Budget and Resources).

- Performance Measurement.

Strategic 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 following sections of this chapter provide definitions, examples, and recommended development strategies for each building block. These recommendations

set forth one method for developing a strategic plan. The process will likely change with each plan the correctional agency/organization develops. If the executive of the correctional agency/organization has very specific initiatives, then a top-down approach 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.

Building Blocks of a Strategic Plan
Assessment of the External and Internal Environments

An important step in strategic planning is to assess the external and internal environments. Ideally, the correctional agency/organization's strategic plan is created through a data-informed process that begins with a scan of the external and internal environments.

It is important that decisionmakers understand the external 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). From this analysis, a correctional agency/organization can identify critical issues, risks, challenges, and opportunities that the strategic plan must address.

Strategic 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 constituents' expectations, organization strategies, facility age, offender populations, and government initiatives may significantly affect a correctional agency/organization's requirements for new facilities and new technology infrastructure.

The correctional agency/organization can use external and internal assessments to identify the major challenges facing the organization over the planning period. The goals, objectives, and strategies/initiatives identified in the strategic plan will naturally arise from the major challenges identified through the external and internal assessments.

External Assessment

Listed below are possible topics for a correctional agency/organization to consider when appraising its external environment. This list is not exhaustive; correctional agencies/organizations should add or omit items as they become or cease being relevant. External assessment may include:

- *Economy*
  - National economy.
  - State economy.
  - Regional economies.
  - Expansion or contraction of resources.

- *Population trends*
  - Key trends and forecasts of the offender population.
  - Changing characteristics of the offender population:
    - Ratio of female to male offenders.
    - Violent versus nonviolent offenders.
    - Age of offenders.
    - Security threat of groups/gangs.

- *Authorizing environment*
  - State and local governments.
  - Changes in laws and regulations.
  - Executive and legislative branch actions.
  - Judicial decisions and trends.
  - Public opinion.

- *Customer/constituent and stakeholder trends*
  - Identities of key customers/constituents and stakeholders.
  - Expectations of customers/constituents and stakeholders.

Internal Assessment

Before finalizing its strategic plan, the correctional agency/organization must take stock of its strengths and weaknesses, examining internal factors that can help or hinder it in accomplishing its mission, goals, and objectives. These may include, but are not limited to, staff, technology, and capital facilities.

Listed below are possible topics for a correctional agency/organization to consider when appraising its internal environment. As with external assessments, this is not an exhaustive list; correctional agencies/organizations should add or

omit items as they become or cease being relevant. Internal assessment may include the following:

- *Human resources*
  - Staffing needs and staff characteristics.
  - Knowledge, skills, and abilities.
  - Staff morale.
  - Union issues.
  - Turnover rates.
  - Workplace safety.

- *Information technology*
  - Characteristics of technology systems and infrastructure.
  - Service delivery needs.

- *Capital facilities*
  - Facility capacity and custody levels (usage trends).
  - Maintenance trends and needs.
  - Program functionality.

- *Organizational characteristics*
  - Organizational structure.
  - Organizational lines of communication.
  - Organizational culture and morale.
  - Ability to work together.

Vision

Vision Statement

The vision statement gives an image of the overall direction of the correctional agency/organization and the kind of organization it aspires to become. A vision should be strategic, lofty, and inspiring.

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.
- A safer Kansas through effective correctional services.

Recommendations for Developing a Vision Statement

The vision should be supported at all levels of the correctional agency/ organization, but the vision statement must come from the organization's executive leadership. 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 correctional executive should share the vision for the organization with the executive team and get their input and buy-in. In addition, the executive team or division heads need to clearly state their visions for their parts of the organization and ensure they are consistent with the correctional agency/organization's overall vision.

Mission

Mission Statement

The mission statement explains the reason the correctional agency/organization or program exists. It clearly states what the correctional agency/organization or program does, why it does it, how it does it, and for whom it does it.

Examples of Mission Statements

- The Department of Corrections will enhance community safety by collaborating with its criminal justice partners, citizens, and other stakeholders; administrating criminal sanctions and effective correctional programs; and providing leadership for the future.

- The mission of the Department of Corrections is to protect the public and staff by managing offenders in a safe and secure environment or through effective community supervision, according to their needs and risks. In collaboration with the community and other agencies, we provide programs that offer offenders the opportunity to become responsible and productive law-abiding citizens.

- The Department of Corrections, as a part of the criminal justice system, contributes to the public safety by exercising reasonable, safe, secure, and humane control of offenders while actively encouraging and assisting them to become law-abiding citizens.

Recommendations for Developing a Mission Statement

A clear, well-communicated mission statement can be a unifying force for a correctional agency/organization, clarifying its purpose for personnel and stakeholders. It is critical that the executive team develop the mission for the correctional agency/organization. Buy-in and feedback from staff are important, but developing the mission remains the leadership's responsibility. All employees should be able to relate their duties to the mission. In addition, the mission should be clearly understood by the public and the authorizing bodies.

> 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*

When developing a mission statement, the following questions 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 constituents to be served?

- Is the mission consistent with the correctional agency/organization's enabling legislation?

The best method for developing the mission statement is a focused, uninterrupted session with the executive team. The statement should be brief. All employees should be able to see how the mission statement relates to their jobs.

Values
Defining Values
The correctional agency/organization's values are the underlying attitudes and beliefs that shape the organization's fundamental approach to its business. They express its guiding principles in carrying out its mission. They describe how the correctional agency/organization conducts itself, how employees treat each other, and how employees expect to be treated. The correctional agency/organization's values, in conjunction with its vision and mission, create the foundation of its organizational culture.

Examples of Organizational Values

- Staff as Our Greatest Asset: We are committed to the personal and professional development of our staff and actively seek involvement and a shared sense of commitment and service at all levels.
- We believe in promoting and maintaining a positive, safe, and healthy work environment.
- We value honesty and integrity in our relationships, and we place a high priority on quality of services and development of teamwork, trust, and open communications.

Recommendations for Developing Values
It is critical that the executive team take the lead in developing the values for the correctional agency/organization. However, feedback, suggestions, and critiques from employees are extremely valuable. The correctional agency/organization's values define its management style and rules of personal behavior. They include respect for individuals (constituents, stakeholders, and employees), ethical and

professional standards of conduct, equal opportunity policies, and an emphasis on quality services.

The following questions are helpful to consider when developing the correctional agency/organization's values:

- What principles does the correctional agency/organization stand for?

- How will the correctional agency/organization's employees work with one another?

- How will the correctional agency/organization treat its constituents?

- What is ethical behavior?

- How does the correctional agency/organization want to be seen by others?

The correctional agency/organization's values should be simple, understandable, believable, and important, and they should reflect the beliefs and behaviors of executive and senior-level leadership.

Goals

Goal Statements

Goal statements address the ends toward which a program or correctional agency/organization's efforts are directed. A goal addresses issues by stating policy intention.

Goals chart the correctional agency/organization's future direction. They should challenge the organization, but should be achievable within 2 to 3 years. The goal development process focuses the organization on clearly defined purposes. Goals should be broad and issue oriented and should reflect the realistic priorities of the organization. Goals state what the organization 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

Senior-level leaders or the extended management team should identify the correctional agency/organization's goals. Because goals need to reflect the priorities of the entire organization, input from employees, stakeholders, and customers/constituents is important. However, senior-level leaders and the management team must make the final determination of the organization'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 the goals of the correctional agency/organization:

■ Are the goals clear and understandable?

■ Are the goals consistent with the correctional agency/organization's vision, mission, and values?

■ If the goals are achieved, will the correctional agency/organization's mission be achieved?

■ Do the goals provide a clear direction for the correctional agency/organization?

■ What should the correctional agency/organization 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 (Budgets and Resources)

Defining Strategies and Initiatives

Strategies are initiatives or actions undertaken to achieve the goals and objectives of the correctional agency/organization. The outcomes of strategies are measurable.

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.

Recommendations for Developing Strategies and Initiatives

Strategies reflect the method or means for achieving goals or objectives. Teams from all levels of the correctional agency/organization, including managers

and line staff, should be used to develop the organization's strategies. The organization's leadership should make the final decision on which strategies will be implemented; however, those who do the work every day will have the best ideas for improving how they do their jobs.

Identify and use "what works." An important part of developing an organization's approach to achieving its goals and objectives is identifying strategies that research has shown to be effective in other correctional agencies/organizations. For example, MacKenzie and Hickman, in their report on the effectiveness of offender rehabilitation programs in Washington State (titled "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 correctional agency/organization's goals and objectives.

Planners should consider the following when developing strategies:

■ Does the research support this strategy/initiative?

■ Will implementing the strategy/initiative assist the correctional agency/ organization in achieving its goal?

■ Will implementing this strategy/initiative require additional resources?

■ Is the strategy/initiative consistent with the correctional agency/organization's vision, mission, and values?

■ Can the correctional agency/organization 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 correctional agency/organization'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

Performance measurement examines the tangible results and accomplishments of an activity or program according to a specific set of criteria or specific 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. For more information about these types of program evaluations, see "Program Evaluations and Performance Audits," below.

Program Evaluations and Performance Audits

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 executive and senior-level leaders, a program evaluation is typically a more indepth examination of program performance that assesses overall outcomes and identifies ways to better achieve intended results.

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 change 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.

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.

Defining Performance Measurement

Performance measurement is an ongoing process of measuring the results and accomplishments of an activity or program. 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 8–1 illustrates the relationship between short-term activities and programs, intermediate measures, and long-term outcome measures.

Exhibit 8–1. The "So That" Chain

Provide vocational training to offenders.

Ultimate Policy Intent

"So That"

Offenders learn vocational skills and work ethics.

"So That"

Offenders secure employment after release.

Degree of Control for This Agency

"So That"

Offenders stay employed, support families, and do not reoffend.

Source: Public Knowledge, Inc., "Instituting Performance and Outcome Measures," Training seminar presented to Washington State Department of Personnel, Olympia, WA, n.d.

Types of Performance Measures

Types of performance measures that correctional agencies/organizations 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 agencies/organizations 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. Each type of performance measure is further discussed below.

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 10 percent the number of offenders who successfully complete community supervision and community placement.

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 complete supervision or community placement on their originally scheduled end date.

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.

Example: Total number of offenders on community supervision and community placement.

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 organization's executive leadership makes the final decision on the objectives and measures most important to the organization. Measures should link to the goals, strategies, and initiatives identified in the strategic plan. Planners should be certain that the measures chosen address the organization'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?

- Does the organization control the actions needed to achieve the measure?

Monitoring Implementation of the Strategic Plan
Basic Considerations in Monitoring Implementation

Process owners are those staff members designated to coordinate implementation of the strategies for each objective. Requiring quarterly or other regular status reports from the process owners holds them accountable for achieving the objective. These reports also provide a forum for modifying strategies as the correctional agency/organization's needs change. The strategic plan should be a living document to guide the organization in setting priorities and allocating resources. Specific strategies may change in response to legislation, changes in the offender population, and new information regarding the development and delivery of correctional services.

> Asking the right questions takes as much skill as giving the right answers.
>
> —Robert Half, Founder, Robert Half Finance and Accounting

In addition to the process owners, employees throughout the correctional agency/organization should participate in implementing the strategic plan. Where appropriate, the process owners should identify team members to make recommendations for implementing the strategy/initiative.

Aligning the correctional agency/organization's strategic plan with actions of individual programs and work units is critical to implementing the plan. 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 work unit or program should review the correctional agency/organization's plan and determine how it relates to them and what strategies and measures they must implement for the correctional agency/organization as a whole to implement the plan. This requires translating the organization's strategies and initiatives so they have meaning at the program and work-unit levels.

Tips for Establishing a Reporting Process

The following considerations are useful in developing a process for reporting on the performance measures that the organization is using to monitor implementation of its strategic plan:

- Designate someone 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.

Frameworks for Monitoring Implementation

Thus section discusses several frameworks for monitoring implementation of the strategic plan: exception reporting, management review, the Balanced Scorecard Approach, and a self-assessment tool. It also presents a successful example of performance monitoring in the corrections field: the New York City Department of Correction's Total Efficiency Accountability Management System (TEAMS) Program.

Exception Reporting

One tool for assessing whether the correctional agency/organization is achieving its performance goals and targets is the exception report process. Each performance measure is reported on a graph that indicates current performance, the stated target, and an exception trigger. Measures that are reported to be outside the predetermined parameters—"exceptions"—trigger an exception report. This report—which is a message that the correctional agency/organization is either (1) meeting expected performance levels, (2) exceeding expected performance levels, or (3) not meeting specific performance goals—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.

The TEAMS Program implemented by the New York City Department of Correction, described on the next page, is an example of a framework for performance measurement that has achieved positive results in the field of corrections.

The New York City TEAMS Program

The New York City Department of Correction (NYCDOC) developed the Total Efficiency Accountability Management System (TEAMS) in 1995 to manage all of its programs. TEAMS was implemented following the success of the New York City Police Department's COMSTAT (Computer Statistics) program, started in 1993, in reducing crime in the city. The Department implemented TEAMS with existing staff and resources, beginning with very basic information and questions. One of the first questions was: "How many inmates are in each facility?"

TEAMS Challenges and Results

At the time TEAMS was first implemented, the city's correctional facilities were in trouble. Inmate-on-inmate violence was at historically high levels, with an average of more than 120 stabbings per month. Urban gangs were recruiting heavily in the city's correctional institutions, using fear and intimidation. The city had not authorized a new recruit class of correctional officers in 5 years. Overtime expenditures were running more than $75 million. Rising sick leave rates added to overtime costs. The city's correctional facilities were dirty and in disrepair.

TEAMS was initiated to address these and other challenges facing the department, and the results have been dramatic. Inmate-on-inmate violence has declined 90 percent since 1995, and inmate arrests have increased more than 200 percent in the last year. The number of stabbings dropped from more than 120 per month in the early 1990s to 6 per month. All of this was achieved with inmate admissions at record levels.

The TEAMS Process

TEAMS sessions are held on the third Thursday of each month and last 2 to 3 hours. Any area of city corrections may be the focus of a session. All NYCDOC executive managers, including the Commissioner, Deputy Commissioner, and Chief, attend. The purpose of the sessions is to promote interactive problem solving and accountability. In addition, each session begins with recognition and reward activities.

Four commanders/wardens are selected to present at each monthly session. The presenters, who are notified at 1 p.m. on the Wednesday before the session, bring their management staff to the session. The presenters speak from a podium in a large room, and their facilities' statistics are projected and displayed. Only the commissioner, deputy commissioner, and chief may ask questions. These questions, which are based on established data, are not distributed in advance. Minutes are kept, and commanders/wardens are expected to share decisions/information from the sessions with their staff.

TEAMS Accomplishments

In its 10 years of operation, TEAMS has accomplished the following:

- Opened lines of communication within NYCDOC.
- Provided a mechanism for reinforcing organizational goals and ensuring that all administrators work toward them.
- Offered a forum for recognizing and rewarding innovation.
- Engendered a sense of professionalism and leadership through peer review of performance and the opportunity for open-forum input.
- Achieved dramatic results, as documented above.

> Now more than ever before we need jails that perform at peak efficiency because we are getting more and more criminals off the streets . . . . Through a combination of high-tech analysis and back to basics management, the Department is a real success story in a time of fiscal constraint. Their accomplishments are really an untold story.
>
> —Rudolph Giuliani, Former Mayor, New York City

Source: New York City Department of Correction, "T.E.A.M.S.: Total Efficiency Accountability Management System." New York City Department of Correction Web site: *http://www.nyc.gov/html/doc/html/teams.html.*

The Balanced Scorecard

Another strategic planning framework that many organizations find valuable is the Balanced Scorecard, also discussed in chapter 4, "Vision and Mission," as a framework for measuring the implementation of the organization's mission and goals. Developed by Drs. Robert S. Kaplan and David P. Norton, the Balanced Scorecard is a comprehensive conceptual framework that translates an organization's vision, goals, and strategies into a coherent set of performance measures reflecting four perspectives: financial, customer, *internal business processes*, and learning and growth.

Four Perspectives of the Balanced Scorecard

- Financial.
- Customer.
- Internal Business Processes.
- Learning and Growth.

Financial. The financial perspective in the governmental arena differs from that in the private sector. Private-sector financial objectives usually represent profit targets. Governmental organizations must balance financial considerations and constraints with customer/constituent needs, wants, and expectations. The financial perspective, like the other perspectives, is dynamic and changes over time. For the public sector, possible financial goals include:

■ Achieving cost efficiency.

■ Maximizing value to the customer/constituent.

■ Staying within budget.

■ Reducing the cost per offender.

Customer. This perspective focuses on an organization's ability to provide effective, quality services to its customers/constituents or stakeholders. Governmental organizations generally give greater weight to the customer/ constituent perspective than the financial results. In general, public organizations have more of a stewardship/fiduciary responsibility and focus than private-sector entities.

To be successful, an organization must know who its customers/constituents are and what they want. Possible customer/constituent goals are:

■ Reducing the cycle time of a service.

- Complying with legal and regulatory mandates.

- Improving the quality of services provided.

Internal business processes. This perspective focuses on the internal business processes or strategies that lead to financial success and satisfied customers/constituents. Internal business processes must balance financial constraints with the wants and desires of customers/constituents. To meet the organization's objectives and customer/constituent expectations, organizations must identify the key internal business processes they must improve or excel in. Possible internal business process goals for correctional agencies/organizations include:

- Reducing the time it takes to conduct a hearing.

- Reducing the rate of probation and parole violations in the community.

- Reducing the number of assaults in correctional institutions.

Learning and growth. This perspective looks at the employee knowledge, skills, ability, and culture needed to successfully implement the internal business processes identified to achieve the customer/constituent satisfaction and financial objectives. To achieve these objectives, the organization must consider and align its tools, equipment, information systems, and other support functions. The internal business processes will succeed only if employees are adequately skilled and motivated and are supplied with the necessary tools and accurate, timely information. This perspective, which is often overlooked in other strategic planning frameworks, is especially important when employees must assume dramatically new responsibilities that require new skills, capabilities, and technologies to meet changing requirements and customer/constituent expectations. Possible learning and growth measures are:

- Staff turnover rate.

- Cultural/climate survey.

- Hours of training.

Exhibit 8–2 presents a generic balanced scorecard, and exhibit 8–3 presents an example of a possible scorecard for a correctional agency/organization.

Exhibit 8–2. Generic Balanced Scorecard
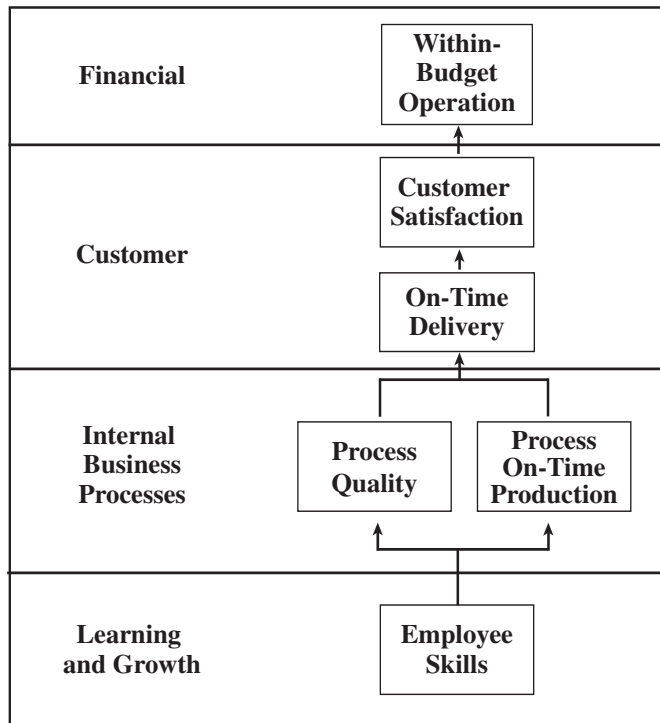
Source: Adapted from Robert S. Kaplan and David P. Norton, *The Balanced Scorecard: Translating Strategy Into Action,* Boston: Harvard Business School Press, 1996.

The Balanced Scorecard also provides a framework for translating goals into strategies/initiatives, measures, and targets. Exhibit 8–4 presents a table that correctional planners can use to develop strategies/initiatives, objective measures, and targets for each perspective.

The case studies presented by James Creelman in his 1998 study, *Building and Implementing a Balanced Scorecard,* show that the Balanced Scorecard is most effective when organizations do the following:

- Tie organizational management to the Balanced Scorecard.

- Tie objectives and measures to clear strategic requirements.

- Ensure senior-level leaders' commitment to the process.

- Translate high-level measures into actionable measures and initiatives throughout the organization.

Exhibit 8–3. Possible Balanced Scorecard for Corrections

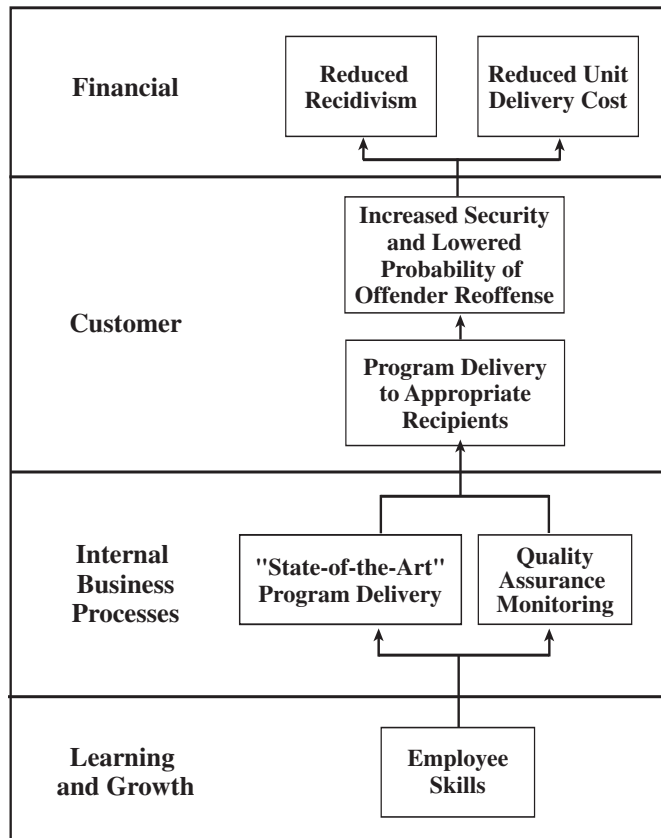|	
Financial	Reduced Recidivism Reduced Unit Delivery Cost
Customer	Increased Security and Lowered Probability of Offender Reoffense Program Delivery to Appropriate Recipients
Internal Business Processes	"State-of-the-Art" Program Delivery Quality Assurance Monitoring
Learning and Growth	Employee Skills

Source: Adapted from Robert S. Kaplan and David P. Norton, *The Balanced Scorecard: Translating Strategy Into Action,* Boston: Harvard Business School Press, 1996.

■ Clearly assign responsibility for measures and initiatives.

■ Implement good strategic feedback and learning systems.

Self-Assessment

Another tool for evaluating organizational capacity and effectiveness is a self-assessment instrument modeled on the criteria for the Malcolm Baldridge National Quality Award. The original instrument was organized around seven categories: leadership, strategic planning, customer focus, information and analysis, human resource focus, process management, and results.

Exhibit 8–4. Deriving Performance Measures From the Balanced Scorecard

The Balanced Scorecard	Objectives/Goals	Measures	Targets	Initiatives
Value/Benefit. To achieve our vision, what public benefits must we provide?				
Financial/Social Cost. While achieving our vision, how shall we minimize cost to the state and society?				
Customer. To achieve our vision, how should we appear to our customers/constituents and the public?				
Internal Business Processes. To satisfy our customers/constituents, in what business processes must we excel?				
Learning and Growth. To achieve our vision, how will we sustain our ability to change?				

Source: Adapted from Robert S. Kaplan and David P. Norton, *The Balanced Scorecard: Translating Strategy Into Action,* Boston: Harvard Business School Press, 1996.

The original categories have been tailored to make them relevant to state government. The resulting instrument can help agencies look at their management activities and determine ways to make improvements. In this instrument, each category is broken into four to five items. Organizations use a seven-point scale to score each item and then add the item scores to determine the overall score for each category.

Of particular interest in the context of this chapter is the leadership category, which examines how the correctional agency/organization develops and deploys its strategies and goals and addresses how strategic plans and business plans are deployed and how performance is tracked. Exhibit 8–5 illustrates the leadership category.

Exhibit 8–5. Example of the Self-Assessment Tool for the Leadership Category

Indicate in the bar numbered 1–7 where on the continuum you would put your correctional agency/organization.

ELEMENT	1	2	3
Strategy Development Process	This correctional agency/ organization has no strategic planning process.	The correctional agency/ organization's direction has been broadly identified, but no clear strategies are in place.	Strategies and goals are identified for the next 1–2 years.
Plan Development	This correctional agency/ organization's strategic plan is developed only to comply with budget instructions.	Limited data and information are gathered to drive the development of the strategic plan.	Data are used in developing the plan and employees are involved on a limited basis in its development.
Plan Deployment	No strategic plan is deployed.	The strategic plan is communicated to the correctional agency/organization, but only used or understood by a few designated staff.	Leaders actively communicate the plan and help employees understand their role in its deployment.
Performance Targets	No specific targets (deadlines or quantities) are set for future performance in any areas.	Some targets are set, although they are short term and the basis for their selection is unclear.	Targets are based on the correctional agency/ organization's historical performance and are related to performance 1–2 years into the future.
Overall Rating	**Not engaged yet.**	**Beginning to engage.**	**Minimum standards met.**

Exhibit 8–5. Example of the Self-Assessment Tool for the Leadership Category (continued)

Indicate in the bar numbered 1–7 where on the continuum you would put your correctional agency/organization.

4	5	6	7
Strategies for the next 1–2 years have been demonstrated to be effective and aligned to the mission and long-range goals.	Customer/constituent, stakeholder, and employee needs are routinely considered to improve the strategic planning process.	The correctional agency/organization annually evaluates the effectiveness of the strategic planning process based on best practices and data from stakeholders and others.	Others recognize the strategic planning process as a best practice.
Customer/constituent, stakeholder, and employee inputs and trend data are used in developing the strategic plan.	The correctional agency/organization's annual strategic plan bridges the biennial budget cycle and is aligned with the Governor's priorities.	The strategic plan incorporates future anticipated changes and is aligned with other agencies/organizations around the Governor's priorities.	Others recognize the strategic plan as a model.
Strategic initiatives and vision provide the drive and priorities for resource allocations, operating and capital budgets, information technology plans, and human resources plans.	A tracking system for monitoring and adjusting the plan is part of regular management meetings.	Individual units' business plans and priorities are aligned to the correctional agency/organization's strategic plan.	Throughout the correctional agency/organization, all strategic and project planning initiatives are aligned, and individual employees' performance plans are linked to the organization's strategic plan.
Targets are based on industry standards and/or identified customer/constituent requirements.	Performance targets are based on national averages.	Targets are based on benchmarks of industry leaders.	Others recognize the correctional agency/organization's efforts as a best practice for target setting and benchmarking.
Practitioners with moderate success.	**Stable processes with trend results.**	**Sustained results, role model.**	**World-class excellence.**

Summary

Strategic planning and performance measurement are core competencies for executives and senior-level leaders. Strategic planning is a systematic process used to overcome current or anticipated organizational problems. Effective planning enables a correctional agency/organization to implement programs and services that produce intended results and achieve its mission. As resources become more limited, strategic planning becomes more critical so that scarce resources can be applied to the most effective strategies for achieving the most important results. As part of the strategic planning process, the executive team and senior-level leaders are responsible for clearly and passionately articulating the correctional agency/organization's vision and the need for new or modified programs and services.

Monitoring performance and outcomes is essential to ensure the integrity of the strategic plan. A good strategic plan includes performance indicators and outcome measures that guide management decisions to ensure ongoing effectiveness in achieving the correctional agency/organization's vision and mission.

The Balanced Scorecard is an example of a conceptual framework for performance measurement that gives a comprehensive overview of interests that affect the correctional agency/organization's operations. This framework not only ensures the correctional agency/organization's integration but also facilitates logical connections that help organizations attain and measure levels of program performance that lead to the accomplishment of long-range 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.

Vision and Mission

Skill: Asking and effectively answering the question, "What kind of a correctional agency/organization do we want to be and where is the organization today?"

Behaviors:

- Think about how the correctional agency/organization's vision should change its culture.

- Identify the vision of the correctional agency/organization's executive officer.

- Facilitate the development of the correctional agency/organization's mission.

- Communicate the correctional agency/organization's vision and mission to senior-level leaders, managers, supervisors, and staff.

Values

Skill: Understanding the principles the correctional agency/organization stands for (e.g., ethical and professional conduct, upright personal behavior, and quality service).

Behaviors:

- Set core values (senior-level leaders or executive team).

- Identify core beliefs.

- Identify guiding principles.

- Facilitate feedback from employees.

- Communicate the correctional agency/organization's values throughout the organization.

Goals

Skill: Charting the future direction of the correctional agency/organization.

Behaviors:

- Brainstorm where the correctional agency/organization should be in the future (senior-level leaders or executive team).

- Gather input from employees, stakeholders, and customers/constituents.

- Prioritize agency goals.

- Make sure the goals are consistent with the correctional agency/organization's vision, mission, and values.

- Ensure that goals are clear and understandable.

- Ensure that performance measures can be collected for each goal.

- Communicate the correctional agency/organization's goals throughout the organization.

Strategies/Initiatives and Financial Plan

Skill: Identifying methods to detect challenges or gaps in services.

Behaviors:

- Facilitate the collection of employees' ideas to solve problems.

- Identify actions to achieve the goals.

- Prioritize strategies and initiatives.

- Review solutions that research indicates will work.

- Identify the resources needed to carry out each strategy/initiative.

- Align the resources identified with the correctional agency/organization's strategic plan.

- Communicate and implement the correctional agency/organization's strategies and initiatives.

Performance Measurement

Skill: Measuring the results and accomplishments of an activity or program.

Behaviors:

- Establish meaningful performance measures.

- Develop an ongoing process to measure and communicate results and accomplishments.

- Develop a process to monitor results.

- Develop a process to share best practices.

- Modify strategies/initiatives based on performance measurement results.

- Develop a process to recognize and reward achievement of results.

Appendix 8–1. Focus Matrix for Executives and Senior-Level Leaders: Strategic Planning and Performance Measurement

	Executive	Senior-Level Leader
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Building Blocks for Strategic Planning		
External and Internal Assessment	• Identifies external and internal issues that should be considered. • Ensures the collection of needed data is a priority. • Analyzes critical issues, risks, and challenges. • Identifies the most important gaps or challenges that should be addressed in the strategic plan.	• Identifies appropriate staff to assess internal and external issues. • Collects feedback from key customers/constituents and stakeholders. • Assists in the analysis of critical issues, risks, and challenges.
Vision and Mission	• Establishes the vision of the correctional agency/organization. • Ensures that staff understand how the vision will change the way the correctional agency/organization carries out its functions. • Ensures that senior-level leaders make a connection between their area's mission and the agency/organization's mission. • Articulates the vision and mission of the correctional agency/organization both internally and externally.	• Determines how he or she would like the correctional agency/organization's vision to change the correctional agency/organization's culture. • Identifies the vision of the correctional agency/organization's executive. • Facilitates the development of a mission for the correctional agency/organization. • Communicates the correctional agency/organization's vision and mission to staff.

	Executive	Senior-Level Leader
Building Blocks for Strategic Planning (continued)		
Values	• Articulates the executive's own values and how they relate to the vision, mission, and activities of the correctional agency/organization. • Translates the correctional agency/organization's core beliefs and values into guiding principles that apply to all activities of the correctional agency/organization. • Considers input from senior-level leaders and staff when developing the correctional agency/organization's vision, mission, and values. • Communicates the correctional agency/organization's values internally and externally.	• Models and communicates the core values of the correctional agency/organization. • Ensures that guiding principles are the foundation of all activities and programs of the correctional agency/organization. • Facilitates feedback from employees.
Goals	• Determines where the correctional agency/organization should be in the future. • Prioritizes the goals of the correctional agency/organization. • Makes sure the goals of the correctional agency/organization are consistent with its vision, mission, and values. • Ensures that goals are clear and understandable. • Ensures that performance measures can be collected for each goal. • Communicates the goals of the correctional agency/organization internally and externally.	• Gathers input from employees, stakeholders, and constituents to assist in developing the correctional agency/organization's goals. • Gathers information on trends, technology and resources to assist in prioritizing the correctional agency/organization's goals. • Relates each activity of the correctional agency/organization to clearly defined goals and communicates those goals to staff. • Gathers performance measures to evaluate progress toward accomplishing the goals of the correctional agency/organization.
Strategies/Initiatives and Financial Plan	• Promotes opportunities for employee involvement in problem solving. • Prioritizes strategies and initiatives. • Emphasizes research-based programs and data-driven decisionmaking. • Aligns resources with the correctional agency/organization's strategic plan.	• Facilitates the collection of employee ideas to solve problems. • Identifies actions to achieve the goal. • Reviews solutions that research says will work. • Identifies necessary resources for each strategy/initiative. • Communicates and implements the correctional agency/organization's strategies and initiatives.

	Executive	Senior-Level Leader
Appendix 8–1. Focus Matrix for Executives and Senior-Level Leaders: Strategic Planning and Performance Measurement (continued)		
Building Blocks for Strategic Planning (continued)		
	• Advocates for resources to implement the correctional agency/organization's strategies and initiatives. • Promotes the correctional agency/organization's strategies and initiatives internally and externally.	
Performance Measurement	• Establishes meaningful performance measures. • Ensures that performance measures are used to align the activities of the correctional agency/organization with its vision, mission, and goals. • Ensures that systems are in place to reward the types of behaviors the correctional agency/organization wants to promote.	• Develops a process to monitor results. • Develops an ongoing process to measure and communicate results and accomplishments. • Develops a process to share best practices. • Modifies strategies/initiatives based on performance measurement results. • Develops a process to recognize and reward achievement of results.

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Collaboration

Marie Mactavish

This chapter addresses collaboration in correctional agencies/organizations from the perspective of executives and senior-level leaders. After discussing the importance of collaboration, the chapter lists the key features of a collaborative environment and collaborative leadership, describes four opportunities for collaboration, and discusses five factors in successful collaboration: purpose, environment, membership characteristics, structure, and communication. The chapter then outlines key skills and behaviors related to collaboration. Finally, appendix 9–1 provides a matrix that relates the factors in successful collaboration to the responsibilities of correctional executives and senior-level leaders.

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 Barbara Gray, author of *Collaborating: Finding Common Ground for Multiparty Problems,* 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 Executives and Senior-Level Leaders Develop This Competency?

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 of 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."

> In unity there is strength. Consider the fragile snowflake 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

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.

Tied to the pressing issue of fiscal limitations are effective interventions. Carl Wicklund, Executive Director of the American Probation and Parole Association, states in an article for Corrections.com, "I think we have gotten smarter about what are effective interventions and what are the principles of effective intervention." Wicklund's stance is that a sanction that places some offenders in the community may be the best option for these individuals as well as a cost-effective alternative to incarceration.

Taxpayers are demanding that the correctional system budget be brought under control without sacrificing public safety. Therefore, correctional and community leaders are looking at new ways to meet public safety needs and lower correctional supervision and construction costs at the same time. The activities described below in "Case Study in Collaboration: Washington State Law and Justice Advisory Council" show how state and local correctional agencies/organizations can form collaborative partnerships with key community groups to address these problems.

Case Study in Collaboration: Washington State Law and Justice Advisory Council

The Washington State legislature required the Department of Corrections and the Association of Counties to coordinate resources in an effort to cut costs. To address this issue, the legislature created the Law and Justice Councils, headed by the Washington State Law and Justice Advisory Council.

The purpose of Law and Justice Councils is to encourage local and state government to join in partnerships to share resources to better manage offenders in the correctional system. These partnerships are intended to reduce duplication while assuring better accountability and offender management through the most efficient use of resources at both the local and state levels.

Members of the Washington State Law and Justice Advisory Council include elected officials, citizens, local Law and Justice Council chairs, jail managers, judges, prosecuting attorneys, police chiefs, and sheriffs.

The council's action plan includes recommendations to "maximize resources, maximize the use of intermediate sanctions, minimize overcrowding, avoid duplication of services, and effectively manage the jail and offender populations."

Source: Washington State Law and Justice Advisory Council Web site: *http://www.wsljac.wa.gov.*

Historically, the closed system of correctional agencies/organizations has tended not to engage in collaborative efforts. (For a more general historical view of collaboration, see "A Historical Perspective on Collaboration" below.) Although collaboration has been used more and more in corrections, the focus has been mostly on the external environment. Correctional agencies/organizations are adopting collaboration more slowly as a component of the internal organizational environment.

When internal collaboration is encouraged, employees become more invested in the success of the correctional agency/organization; they also have a better understanding of and commitment to the organizational goals. This benefits both the organization and its employees. All too frequently, correctional leaders 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 opportunities for useful collaboration are overlooked. Leaders who take advantage of collaborative opportunities provide openings for employees to become more actively engaged in the organization.

A Historical Perspective on Collaboration

In his classic work *Democracy in America,* French author Alexis de Tocqueville asserted that American individualism is an enduring characteristic for which he greatly admired the American people. Nevertheless, he warned that unless our individualism was tempered by other behaviors, it would certainly lead to the disintegration of American culture and segregation of its citizens.

Other social commentators, sociologists, and psychologists have since written that American individualism has not struck a balance with other worthy characteristics such as selflessness and collaboration, and that de Tocqueville's predictions essentially have materialized in an America where segregation and societal fragmentation have become the norm.

So how does an organization develop opportunities for group collaboration with the weight of individualism, competition, and traditional hierarchical management structures leaning heavily against it? A good start is simply being able to see the openings for those collaborative opportunities and knowing when and how to take advantage of them.

Collaboration is a little like economics: there is ideology and then there is reality—and in reality, nothing is ever static or equal. Opportunities for collaboration exist even in management hierarchies where individualism and competition are opposing factors.

Key Features of a Collaborative Environment and Collaborative Leadership

Collaborative Environment

The following are the key features of a collaborative environment:

- Is nonhierarchical in nature when involved in a collaborative effort (even though the structure of the organization itself is hierarchical).

- Operates as an open system: open communication exists between levels and functions in the organization, transcending traditional roles.

- Ensures that all parties agree on the importance and usefulness of collaboration.

- Values, develops, and uses a diversity of opinions, backgrounds, knowledge, and skills.

- Represents a commitment to the whole organization.

- Represents a deep commitment to developing and retaining employees.

Collaborative Leadership

The following are the key features of a collaborative leader:

- Focuses less on roles and more on functions.

- Recognizes the importance of process as well as accomplishing goals.

- Listens with the intent of hearing rather than judging.

- Is aware of opportunities for shared power and responsibility.

- Uses conflict resolution strategies based on problem-solving models rather than authoritarian or political models.

- Includes a high degree of participative decisionmaking.

- Recognizes and supports multigroup membership.

The Four Collaborative Opportunities

Collaboration is not a discipline or practice unto itself; it only has meaning when rooted in a specific opportunity for interaction. Such opportunities may exist in the external environment (outside the organization), in the internal environment (within an organization), in structured settings such as work teams, or as more informal opportunities for interpersonal collaboration (see exhibit 9–1).

Exhibit 9–1. The Four Collaborative Opportunities

External
Opportunities

Informal
Opportunities

COLLABORATION

Organizational
Opportunities

Work Team
Opportunities

This section provides an overview of the four opportunities for collaboration in correctional agencies/organizations. For a more indepth discussion, see the chapter on "Collaboration" in the companion document, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels.*

External Opportunities

External opportunities include activities outside the correctional agency/ organization that involve stakeholders, community partners, other governmental agencies, and nongovernmental groups such as the media, local businesses, and vendors. Correctional executives have primary responsibility for external collaboration.

Organizational or Internal Opportunities

Internal opportunities are activities inside the correctional agency/organization that involve leaders and employees working together to achieve the mission and goals of the organization. This could occur in a state correctional agency with multiple sites and institutions or an individual office such as the branch office of a city probation agency. Correctional executives are ultimately responsible for fostering internal collaboration. Senior-level leaders often are responsible for finding opportunities for internal collaboration.

Work Team Opportunities

Work team opportunities are activities within the organization that involve employees and leaders working on a specific or an ongoing project. This kind of collaboration is usually more structured. For example, project teams

generally have a beginning and an ending date. For natural (ongoing) work teams, accomplishments related to established goals are reviewed periodically. Senior-level leaders often are responsible for collaborating with managers and supervisors to accomplish particular goals and for organizing and overseeing collaborative teams. Much of the work of collaboration at the work team level is done by managers and supervisors.

Informal or Interpersonal Opportunities

Informal or interpersonal opportunities are the simplest form of collaboration. Activities tend to be unstructured and casual. This kind of collaboration usually occurs between just two individuals or through informal group discussions. Much of the work of collaboration at the interpersonal level is done by managers and supervisors.

Five Factors in Successful Collaboration

Forces that shape and influence the success of collaboration include purpose, environment, membership characteristics, structure, and communications.

Five Factors in Successful Collaboration

- Purpose.
- Environment.
- Membership Characteristics.
- Structure.
- Communication.

Purpose

Knowing the purpose for using collaboration as a leadership strategy relates back to the four collaborative opportunities (external, organizational, work team, and informal) that have particular relevance to correctional agencies/organizations.

A skilled leader knows when and how to use collaboration as a deliberate approach to accomplishing a particular task or organizational goal. Although a collaborative group has its own collective purpose (or objective) as a factor shaping the success of its collaboration, purpose as considered here focuses on the leader's decision to use collaboration as a leadership process.

Environment

The importance of a correctional agency/organization's environment to successful collaboration relates to the political/social climate in which the organization operates and to the history of collaboration within the organization and between the organization and the community it serves.

Political/Social Climate

A favorable political/social climate enhances the likelihood of successful collaboration by a correctional agency/organization. From the standpoint of the correctional agency/organization, the political/social climate for collaboration depends largely on how leaders are selected and how they perceive the role of collaboration.

History of Collaboration

The traditional hierarchical management structure of correctional agencies/organizations presents challenges with regard to many elements of collaboration. Although opportunities may exist for employee discussions, input, and problem solving, it is often impractical to share responsibilities, accountability, or authority equally. Fortunately, some correctional leaders have created a history of collaboration and have found ways to involve different functional units within a facility to work together to benefit both the correctional agency/organization and offenders. Correctional leaders have also found ways to extend their collaborative internal philosophy to their interactions with the community, demonstrating how a history of collaboration can have value both within the organization and in the community it serves. See "Case Study in Collaboration: Vermont Department of Corrections Shift to Community Corrections" below.

Case Study in Collaboration: Vermont Department of Corrections Shift to Community Corrections

In 1991, the leadership of the Vermont Department of Corrections decided to change the department's approach to corrections by involving the community more directly in new services for the community and offenders. Vermont's small size and political/social setting lend themselves to this kind of collaboration. Vermonters have a tradition of holding town meetings and looking for opportunities to work together on issues. Even with this favorable environment, the department faced the challenge of devising a sensible plan backed up by community-based market research. It is still developing and implementing the plan, but the community's openness to the idea of collaboration has made the job easier.

Membership Characteristics

Mutual trust and respect are important qualities among collaborative partners or members of a collaborative group. A collaborative group should consist of a cross section of representatives from various segments of the organization or community that will be affected by the group's decisions and activities.

Other important membership characteristics for collaborative groups are understanding that collaboration is in the best interest of the organization and having the ability to compromise. The many decisions made within a collaborative

effort are best served through input from a variety of member preferences and ideas. Collaboration works best when compromise is fundamental to the process.

The process of building an effective collaborative group requires:

- Building mutual trust and respect.

- Including a cross section of members.

- Identifying personal rewards.

- Promoting the merits of consensus and compromise.

Mutual Trust and Respect

Mutual trust and respect are key to fostering collaboration. Without them, leaders often take a self-protective, directive posture, maintaining tight controls over their employees. The leader's behavior is most instrumental in determining the degree of trust that develops in a collaborative group; however, it is important for all members to acknowledge that the foundation of trusting relationships is believing in the integrity of other group members. Leaders who build trust within their collaborative groups are typically more willing to consider alternative viewpoints and to use the expertise and abilities of others.

Cross Section of Members

An effective collaborative group consists of members with a variety of backgrounds, experiences, skills, and behaviors. Whether the collaborative group is derived from within the correctional agency/organization or from the community being served, its members should represent stakeholders who will be affected by the decisions of the collaborative effort. See "Working in Collaboration Toward Restorative Justice" below for one perspective on this aspect of collaboration.

> **Working in Collaboration Toward Restorative Justice**
>
> Thomas Quinn, National Institute of Justice visiting fellow, details one principle of restorative justice in his article "Corrections and Restorative Justice," in the NIC publication *Community Justice: Striving for Safe, Secure, and Just Communities.*
>
> > Emerging philosophies call for corrections professionals to work in collaboration with victim and community advocates. By forging new alliances that are mutually constructive and fiscally prudent, we can help to set a future path that makes more sense than the road we are now traveling. We need not cross the victims' advocates road; we can wind alongside it.
>
> Quinn's plan not only provides an inroad to community-correctional collaboration, it also considers the importance of including members of the community who might otherwise have been overlooked or intentionally excluded.

Trust is the central issue in human relationships both within and outside the organization.

—James Kouzes and Barry Posner, *The Leadership Challenge*

Personal Rewards (Self-Interest)

Collaborative partners need to see the benefits of belonging to a collaborative group—both for themselves as individuals and for the organization or the community. Collaborative opportunities can help solve difficult problems that an individual or organization cannot solve alone.

Merits of Consensus and Compromise

It is important for collaborative partners to know when to seek consensus or compromise to work through major decisions. No one opinion or position is likely to represent the entire group, nor does one person's thinking alone offer the best ideas, alternatives, or opportunities for problem solving.

Reaching full agreement or consensus with others is key to finding an optimal solution. Compromise may be less desirable than full agreement, but leaders need to know when to use it as an option if consensus cannot be achieved.

Structure

How an organization is structured has a significant impact on whether and how collaborative efforts should be approached. Two models of the flow of power— vertical and horizontal—are generally accepted. Most governmental organizations (including correctional agencies/organizations) use the vertical model.

Vertical Flow of Power

The Vertical Flow of Power model (exhibit 9–2) illustrates a hierarchy with upper management (such as the legislative body or board) at the top, senior leadership (such as a deputy director or branch administrator) in the middle, and supervisors (such as a program director or shift supervisor) at the bottom.
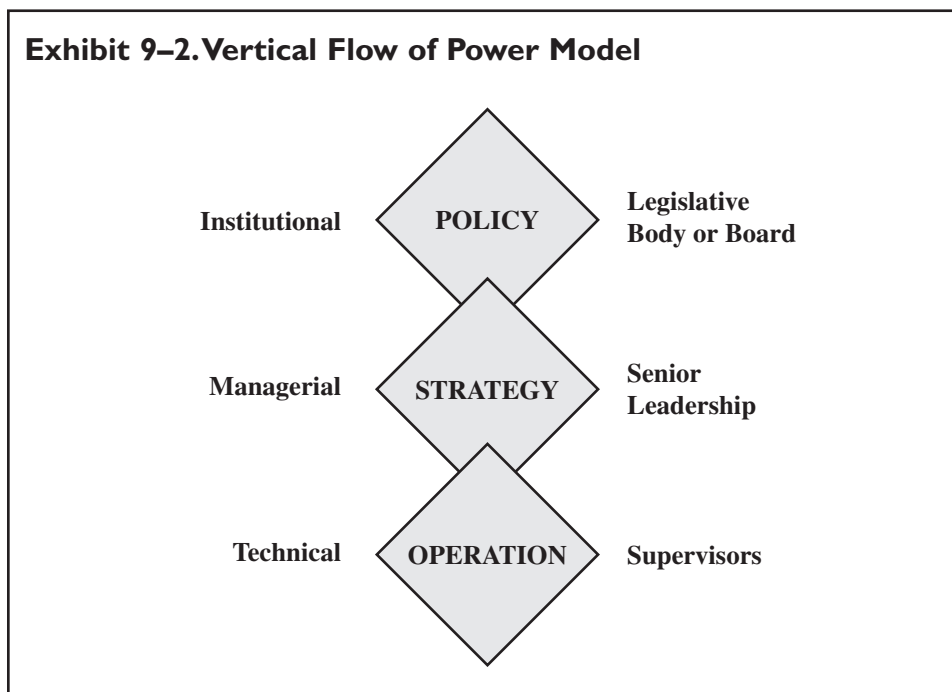
> Compromise is finding a middle ground or forgoing some of your concerns in order to have others met.
>
> —Kenneth Thomas and Ralph Kilmann, *Thomas-Kilmann Conflict Mode Instrument*

Exhibit 9–2. Vertical Flow of Power Model

Institutional	**POLICY**	Legislative Body or Board
Managerial	**STRATEGY**	Senior Leadership
Technical	**OPERATION**	Supervisors

Because of its strict lines of responsibility, accountability, and authority, this type of management structure is not conducive to collaboration. However, opportunities for collaboration exist if leaders of a correctional agency/ organization are open to them. See "Case Study in Collaboration: Arizona Department of Corrections, Mental Health Treatment for Offenders" below for an example of collaboration within a state correctional agency.

Case Study in Collaboration: Arizona Department of Corrections, Mental Health Treatment for Offenders

The Arizona Department of Corrections (DOC) found common ground between security operations staff and programs staff on the issue of mental health treatment for offenders. Addressing concerns regarding the differing security levels of offenders in custody, Arizona DOC developed a model of mental health services that mirrors services found in the community. In this model, offenders who require mental health treatment can receive proper care while security remains a top priority.

For more information about Arizona DOC's mental health services model, contact Pam McCauley at 602–255–4222.

Source: Michelle Gaseau, "Arizona DOC Mental Health Services Model Community," interview with Dr. Peter Pondofino, Clinical Director, Arizona DOC Alhambra Behavioral Health Treatment Facility, December 31, 2001. Available on Corrections.com Web site at *http://database.corrections.com/news/results2.asp?ID=1680.*

Horizontal Flow of Power

The Horizontal Flow of Power model (exhibit 9–3) is often used in bringing multiple organizations together. Although each organization possesses its own internal structure, no clear lines of power have yet been established between the organizations. It is easier to create a horizontal flow of power between various organizations when establishing a coalition connecting them.

A horizontally flowing management structure almost forces people to work together, since no single authority guides the process or makes the final decision. As noted in the previous section, although correctional agencies/ organizations tend toward the vertical flow of power, opportunities for collaboration still exist within these organizations. For example, project teams can be formed within a single department or among two or more departments having a particular goal or problem-solving focus. Although an individual may have the decisionmaking authority for a project team, and in some instances may simply have to make the final decision, an effective leader will look for and encourage collaborative efforts within the team when those opportunities arise.

Exhibit 9–3. Horizontal Flow of Power Model

Appreciation	Influence	Control
LEARNING	DIALOGUE	ACTION
Input	Transformation	Output
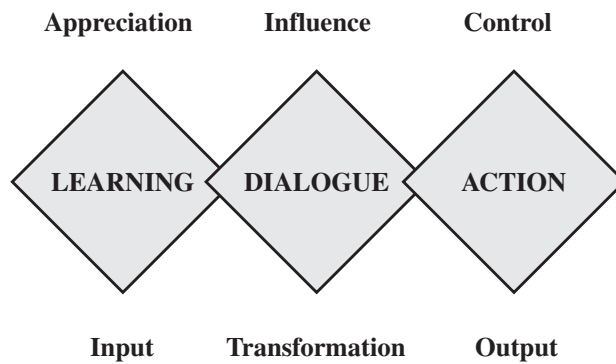
Leaders who work within the horizontal flow of power model should make themselves familiar with four leadership styles discussed in chapter 10, "Team Building": directive, consultative, collaborative, and delegative. Different styles are appropriate under different circumstances. Knowing when and how to use these styles is an important element of effective leadership and successful collaboration.

Communication

No other factor is as critical to effective collaboration as a genuine atmosphere of open communication. Good communication gets staff moving in the same direction; breakdowns in communication can interrupt the organization's progress toward attaining its goals. It is up to the leader to establish and demonstrate constructive communication to align staff members with the organization's purpose.

In a 1990 *Harvard Business Review* article, "What Leaders Really Do," John P. Kotter, retired professor of organizational behavior at Harvard Business School, addresses the importance of aligning (as opposed to organizing) employees: "To executives who are overeducated in management and undereducated in leadership, the idea of getting people moving in the same direction appears to be an organizational problem. What executives need to do, however, is not organize people but align them."

Organizing staff merely matches a person to a job, sets up structures such as delegation of authority and reporting relationships, and provides necessary training for the individual. Aligning staff poses more of a "communications challenge than a design problem," asserts Kotter; "aligning invariably involves talking to many more individuals than organizing does." Alignment can involve many individuals from all levels within the organization and from outside the organization. Alignment leads to cooperation and invites involvement—both important elements of collaboration.

Summary

Collaboration is a joint, nonhierarchical association between two or more individuals or groups who work toward a common goal by distributing responsibility, authority, and accountability in a process that benefits all. Power within a collaborative group is based on the individual's knowledge or expertise relevant to the group's task, not the individual's role or function in the larger community or organization.

The four common types of opportunities for collaboration are external, organizational or internal, work team, and informal or interpersonal. For correctional agencies/organizations, an important outcome of collaboration is the ability to share resources with other criminal justice agencies and to curtail costs associated with expanding correctional systems.

When collaboration is encouraged within an organization, employees become more invested in the organization's success and they better understand and accept its goals. Collaboration results in a mutually beneficial relationship between the organization and its employees.

Historically, individualism and competition, both tenets of American society, challenge the very idea of collaboration. However, opportunities for collaboration exist even in organizational hierarchies where individualism and competition would seem to oppose collaborative approaches. Leaders need to look for opportunities to use collaborative methods. Collaboration works best when leaders understand its benefits and are willing to use collaborative strategies when opportunities arise.

Five dynamics shape and influence the success of collaboration. These are the purpose of the collaboration, the environment in which it takes place, the characteristics of members of the collaborative group, the structure of the group, and communication.

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.

Skill: Being flexible and open to modifications and adaptations suitable to the situation.

Behavior: Know when to use a collaborative or authoritarian approach to address a particular situation.

Skill: Being open to different leadership styles that share power and authority.

Behavior: Use a collaborative leadership style when a team approach suits the objective of the issue at hand.

Skill: Being able to focus on functions versus roles of individuals.

Behavior: Determine tasks and responsibilities based on individual knowledge and skills relevant to the collaborative effort.

Skill: Being an active and attentive listener.

Behavior: Hear what is being said while suspending judgment about the message.

Skill: Knowing how environment plays a role in effective collaboration.

Behavior: Encourage and develop an environment that supports collaboration.

Skill: Understanding the importance of establishing and maintaining mutual respect and trust between individuals.

Behavior: Demonstrate trust and belief in the integrity of others.

Skill: Knowing the difference between aligning staff to the goals of the team and/or organization and simply organizing staff to fit job roles and responsibilities.

Behavior: Communicate the goals and objectives of the team and/or the organization clearly and consistently so that staff members are focused on and aligned with those goals and objectives.

Appendix 9–1. Focus Matrix for Executives and Senior-Level Leaders: Collaboration

	Executive	Senior-Level Leader
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Five Factors in Successful Collaboration		
Purpose	• Engages primarily in external collaboration (outside the correctional agency/organization). • May act as an advocate for internal collaboration or make suggestions for collaborative opportunities that are available to senior-level leaders.	• May be involved in some external collaborative opportunities, but is more likely to engage direct reports and others in internal collaboration. • Needs to know when and how to use collaboration as a leadership approach to accomplish a task or an organizational goal.
Environment	• Sets the tone for a collaborative climate within the correctional agency/organization and should be aware of the external political/social climate in which the correctional agency/organization operates. • May encourage external collaborative opportunities and represent the correctional agency/organization when those opportunities arise.	• Establishes much of the internal environment for collaboration by identifying opportunities for collaboration and encouraging direct reports to do the same. • May represent the correctional agency/organization externally and should have a thorough understanding of the factors in successful collaboration.
Member Characteristics	• The executive who has an opportunity to develop a collaborative group, either internally or externally, should choose a cross section of members who can form mutual trust and respect, value collaboration as a process, and understand the merits of consensus building and compromise.	Should seek a cross section of members with similar characteristics (ability to form mutual trust and respect, value the collaborative process, and use consensus building and compromise) when developing a collaborative group. Some members will be chosen because of their expertise, professional or

Appendix 9–1. Focus Matrix for Executives and Senior-Level Leaders: Collaboration (continued)

	Executive	Senior-Level Leader
Five Factors in Successful Collaboration (continued)		
	• More often than not, external collaborative opportunities will require the executive to work with key individuals selected for their expertise, professional or community role, and/or value to the collaborative effort. No one person is likely to select group members, and therefore the executive may have little to say about who participates. Nevertheless, the executive should demonstrate the characteristics mentioned above in working with the group and encourage other members to do the same.	community role, and/or value to the collaborative effort. Nevertheless, senior-level leaders should demonstrate these characteristics in working with the group and encourage group members to do the same.
Structure	• Encourages collaborative problem solving internally and points out opportunities for collaboration to senior-level leaders who may not otherwise see them. • In most organizations, the Vertical Flow of Power structure affects internal collaborative efforts by controlling how, when, and with whom an executive uses collaboration as a leadership approach. • In collaborative efforts with entities outside the correctional agency/organization, the Horizontal Flow of Power structure is a more common model. The executive will likely be on the same "power level" as other members of the external collaborative group.	Because of the Vertical Flow of Power structure found in most correctional organizations, the senior-level leader is in a position to establish collaborative groups. An effective senior-level leader knows when and how to use collaboration for both internal and external opportunities and understands the key features of successful collaboration and methods for developing a successful collaborative group.
Communication	• Conveys the goals of the correctional agency/organization to senior-level leaders and ensures they are aligned with those goals. • Demonstrates collaboration as one of the core styles of leadership valued by the organization.	• Establishes and models effective communication, clearly conveying the goals of the effort to the collaborative group and ensuring that group members are aligned with those goals. • Communicates back to the executive the progress and challenges of the collaborative group.

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Team Building

Marie Mactavish

This chapter addresses the importance of team building for correctional executives and senior-level leaders. It first discusses the types of teams that are encountered in the workplace. It then presents the seven elements of successful work teams at the executive and senior levels—clarity of purpose and goals, team leadership, team membership, collaborative climate (teamwork), decision-making climate, ongoing training, and external support and recognition—and outlines key skills and behaviors relating to these elements. Finally, appendix 10–1 presents a matrix that applies these elements to the responsibilities of executives and senior-level leaders.

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 their areas 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 those of a project team. An ongoing work team usually 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. The project team may also consist of people from within a larger natural work team. Project team milestones and timelines are specific and have a definite ending date.

Knowledge Base

Why Should Correctional Executives and Senior-Level Leaders Develop This Competency?

Most organizations consist of a collection of groups. Correctional agencies/ organizations are no different. Successful organizations develop these groups into cohesive teams that are able to perform at high levels. An organization's success depends, in large part, on its ability to make the most of teamwork to accomplish its mission.

Skill in team management is also a prerequisite for success for individual executives and senior-level leaders. 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 executive "derailment" indicate that among the top three reasons senior-level leaders' careers stall is inability to build and lead teams.

Team development benefits everyone in an organization when team members are operating at their fullest capacities and working in a collaborative environment. While the senior-level leader benefits from more career advancement opportunities, the organization also benefits by meeting its overall purpose.

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 their 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 shows some common factors that differentiate successful from unsuccessful teams. Although the elements of a successful work team at the executive and senior levels have a great deal in common with those at the managerial and supervisory levels, the emphases placed on these elements may

differ, given the different levels of responsibility (i.e., forming high-level correctional policy and working with outside stakeholders, as opposed to carrying out the day-to-day operations of correctional institutions and agencies). The following are the elements of successful work teams at the executive and senior levels of a correctional agency/organization: clarity of purpose and goals, team leadership, team membership, collaborative climate (teamwork), decisionmaking climate, ongoing training, and external support and recognition.

Elements of Successful Work Teams

- Clarity of Purpose and Goals.
- Team Leadership.
- Team Membership.
- Collaborative Climate (Teamwork).
- Decisionmaking Climate.
- 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.

Creating Clarity

Successful teams have a clear statement of purpose 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 organization.

A 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 team's goals 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 used by the team to reach its stated goals.

Once a clear purpose statement has been established for a team, it is critical to develop performance measures. The following description of goals and objectives provides one approach that may be used.

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 collective 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.

Monitoring and Measuring Results

In today's work arena, accountability is expected of leaders. 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 consistent meeting agendas, team conflict resolution, and equitable participation.

- 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?

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.

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.

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 10–1 illustrates how these external and internal responsibilities interact with each other and with the purpose of the team and provides the framework for the discussion to follow.
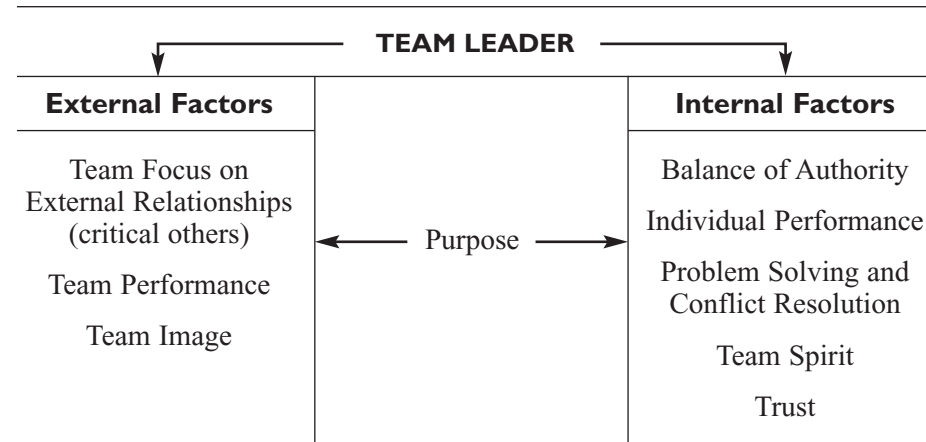
External Factors

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

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 10–1. Factors in Team Leadership

TEAM LEADER

External Factors		**Internal Factors**
Team Focus on External Relationships (critical others)		Balance of Authority
		Individual Performance
	← Purpose →	Problem Solving and Conflict Resolution
Team Performance		Team Spirit
Team Image		Trust

Source: Adapted from Thomas Isgar, *The Ten Minute Team*. Boulder, CO: Seluera Press, 1989.

related agencies/organizations (e.g., victim advocacy groups and mental/medical health care 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 10–2 illustrates a hierarchical "bureaucratic" organizational structure that links top management to team leaders to functional teams to operations teams. Many correctional organizations follow this traditional management structure.
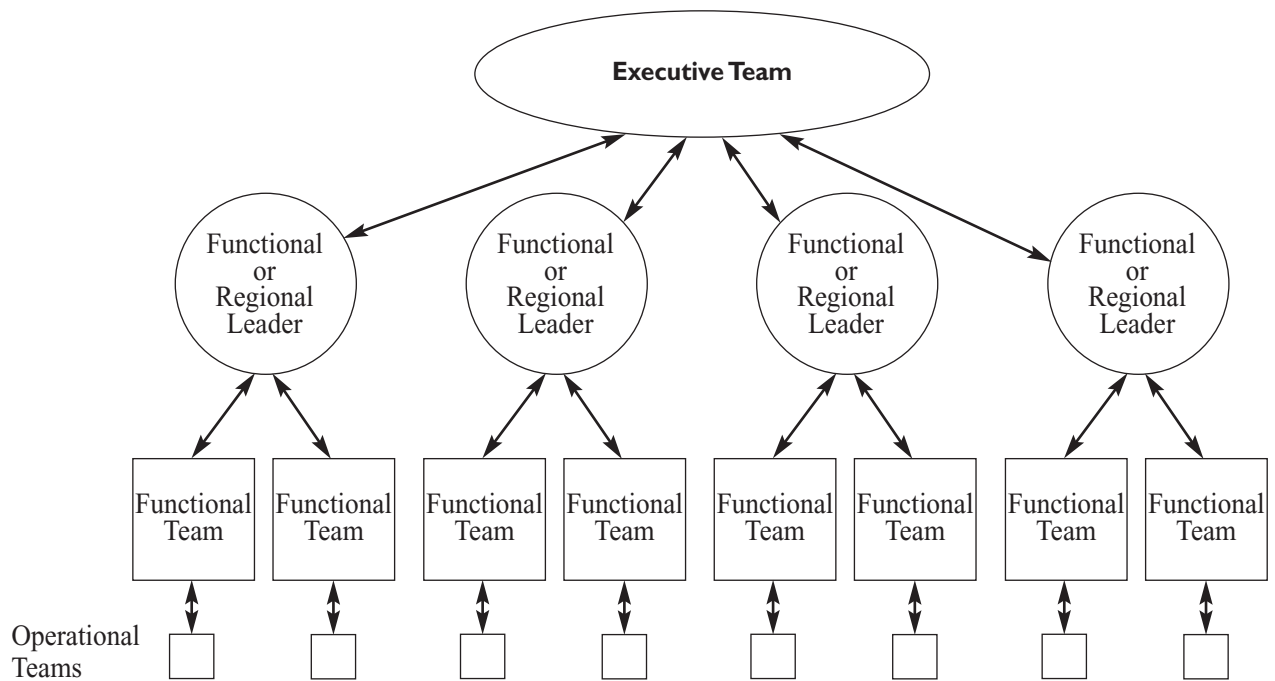
Team performance. The team leader is responsible for focusing the team on setting, meeting, and evaluating its goals and objectives.

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 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 10–2. Hierarchical Organizational Structure Adapted From Likert's "Linking Pin" Function

Executive Team

Functional or Regional Leader

Functional or Regional Leader

Functional or Regional Leader

Functional or Regional Leader

Functional Team

Functional Team

Functional Team

Functional Team

Functional Team

Functional Team

Functional Team

Functional Team

Operational Teams

Source: Adapted from Rensis Likert, *New Patterns in Management.* New York: McGraw-Hill, 1961.

exhibit 10–3, team leaders use a combination of four leadership styles: directive, consultative, collaborative, and delegative. The decisionmaking model discussed later in this chapter (see "Decisionmaking Model") guides leaders as to when one or another of these styles will be appropriate.

- *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 still 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.

Exhibit 10–3. Team Leader Balance of Roles and Use of Authority

More

Delegative Leader

Continuum of Inclusion

Collaborative Leader

Consultative Leader

Less

Directive Leader
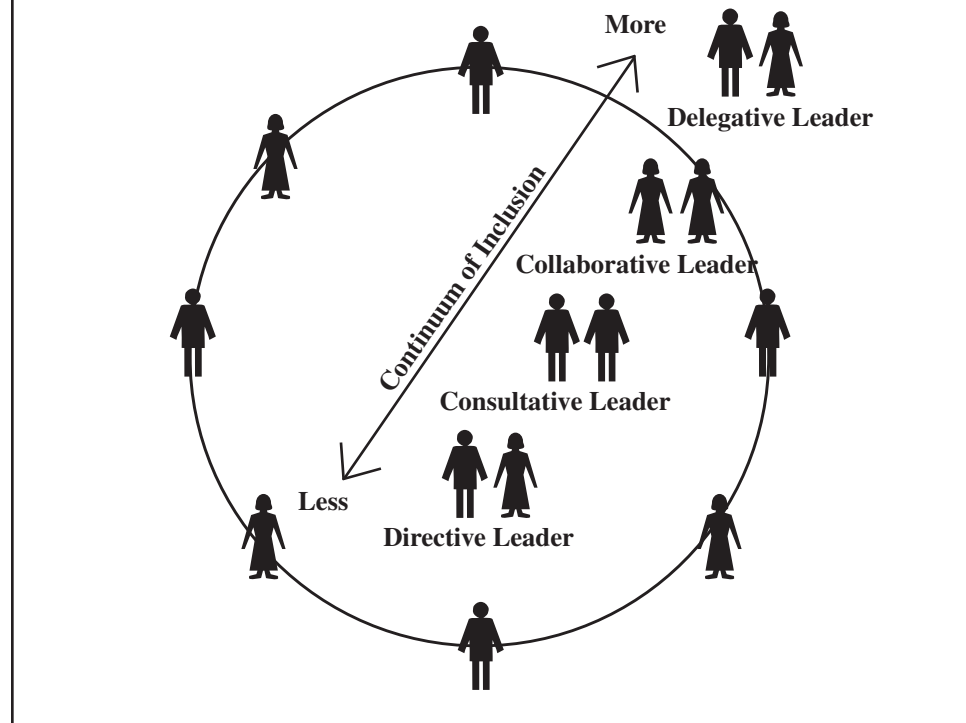
- *Delegative:* Leaders placed outside the circle represent situations that require assigning authority and decisionmaking to the team. The leader acts more as a resource than a controller to the team. The delegative approach is most appropriate when the team is successfully working toward its goals 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 they 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 his or her team to follow and being an effective guide through the process.

Team spirit. A team leader's role in building team spirit is to actively remind team its members of their accomplishments and to reward and recognize their contributions appropriately.

Trust. Team leaders establish trust by demonstrating and communicating respect for team members and the work they do. Although a team leader contributes to an environment of trust, the team members are also responsible for supporting a trusting atmosphere. According to Reina and Reina in *Trust and Betrayal in the Workplace,* at least three kinds of trust are in play in any 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 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 members (including a team leader). When a team grows to 20 or more people, the group tends to break 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).

> 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*

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.

Collaborative Climate (Teamwork)

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 clearly defined roles and responsibilities. Strong lines of communication must be established and understood by team members and the team leader. Good communication promotes teamwork, both between the team leader and team members and among the team members themselves.

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 Membership"), 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 also be rotated through the team.

Foundations of Team Communication

The following discussion of team communication assumes that executive and senior-level leaders are familiar with the basic concepts underlying team communication as presented in the section on "Communication" in chapter 8, "Team Building," of the companion publication, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels.*

Exhibit 10–4 illustrates the consensus-building model of team communication at the executive and senior levels. The model includes the following:

■ *Openmindedness:* Being willing to consider other points of view.

Exhibit 10–4. The Consensus-Building Model of Team Communication

	Comprehension	
Feedback		Agreement
Openmindedness		Withholding Judgment

- *Withholding judgment:* Trying to understand the other person's point of view without judging the merit of what the other person is saying and without thinking of an instant rebuttal or forming an immediate opinion.

- *Feedback:* Asking questions and paraphrasing back the answers in order 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.

Effective teams respect basic communication skills. The following keys to effective team communication provide practical applications of the principles set forth above. 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.

Relationship Factors

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 Climate

Team leaders are responsible for selecting a balance-of-authority approach to decisionmaking and for establishing and fostering a decisionmaking climate for the team 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

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*

and will base the choice of style on the nature of the decision (see exhibit 10–3 earlier in this chapter and the decisionmaking model presented in exhibit 10–5, 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 shared responsibility and 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 10–5 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 earlier in exhibit 10–3 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 10–3.

■ 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.

Ongoing Training

Efforts must be made to assess knowledge and skills in team processes such as communication, decisionmaking, and conflict resolution and 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

Exhibit 10–5. 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.

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 these 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 aware of the five important aspects of successful team membership:

■ Keeping the number of team members to no more than 11 persons.

■ Ensuring team members' commitment to the purpose and goals of the team.

■ Choosing team 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 accept personal accountability and hold each other accountable for the team's work.

A healthy climate of collaboration within a team exists when all team members have clearly defined roles and responsibilities and understand and honor the behaviors expected of the team. Key team roles are sponsor, team leader, team members, facilitator, and recorder.

Having strong lines of communication is also critical to team success. 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, honesty, consistency, and respect.

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.

The team leader is also responsible for assessing the technical and professional skill levels of team members and providing ongoing training to improve 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 are 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/practicing collaboration.

Behavior: Use the team to develop a purpose statement and related goals and objectives.

Skill: Understanding evaluation systems.

Behavior: Develop and implement process and outcome measurements.

Skill: Having clear expectations for teams and team leaders.

Behavior: Provide a monitoring system to track a team's progress.

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 activities.

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 toward its goal and is focused on the skills of its members.

Skill: Building camaraderie.

Behavior: Praise the team and its members as they progress and succeed.

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.

Collaborative Climate (Teamwork)

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 respectful exchanges within the team and with others outside the team.

Behavior: Choose to be a person who is honest, open, consistent, and respectful of others.

Decisionmaking Climate

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).

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: 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 10–1. Focus Matrix for Executives and Senior-Level Leaders: Team Building

	Executive	Senior-Level Leader
Position Overview		
	This individual is the head of a correctional agency and typically is 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 agency/organization. This leader works extensively with stakeholders outside the agency/organization that have influence in political arenas. **Typical titles of executive-level leaders:** • Director of a state Department of Corrections. • Director of a city or county Department of Corrections. • Sheriff. • Director of a state or local probation or parole system.	The elected or appointed agency 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. This leader works extensively with internal stakeholders in aligning agency/organizational systems with the executive's vision. **Typical titles of senior-level leaders:** • Deputy, Chief Deputy, or Assistant Secretary to Director, state Department of Corrections. • Deputy or Division Director of Probation, Parole, or Community Corrections. • Jail Administrator.
Elements of Successful Work Teams		
Clarity of Purpose and Goals	• Determines the purpose and goals of the correctional agency/organization. • Ensures that members of the executive team have their own sets of purpose and goals for their teams. • Guarantees that the correctional agency/organization meets those goals and ultimately realizes its purpose.	• Determines the purpose and goals of the senior-level teams. • Ensures that senior-level team members have their own sets of purpose and goals for their teams.
Team Leadership	Ensures that the executive team is operating at full capacity, so the executive's time can be spent in the external environment.	• Ensures that senior team members function to their fullest ability. • Notifies the executive officer of any barriers that need to be addressed so the supporting teams can move forward. • Uses each of the four leadership approaches (directive, consultative, collaborative, and delegative), as appropriate to the situation.
Team Membership	Clarifies expectations for the executive team and holds team members accountable for meeting those expectations. (Unlike project teams—whose members are selected specifically for what they can bring to that team—an executive team is usually made up of a combination of people who have been both inherited and selected by the executive.)	• Clarifies expectations for senior team members and holds them accountable for meeting those expectations. • Holds himself or herself accountable as an executive team member. • Keeps the executive updated on senior team performance.

Appendix 10–1. Focus Matrix for Executives and Senior-Level Leaders: Team Building (continued)		
	Executive	**Senior-Level Leader**
Elements of Successful Work Teams (continued)		
Collaborative Climate	Creates and functions in a collaborative climate with the executive team to free the executive to focus attention outside the organization.	Takes advantage of opportunities to collaborate with senior-level team members to solve collective problems at the senior level.
Decisionmaking Climate	• Determines which of the four decisionmaking approaches (directive, consultative, collaborative, and delegative) will be used under which circumstances and for which issues. • Clarifies for the executive team which decisionmaking approach will be used and ensures that the executive team's efforts align with that approach.	• Establishes for senior-level teams the same decisionmaking climate that the executive officer establishes for the executive teams. • Clarifies under what circumstances each of the four decisionmaking approaches will be used. • Reinforces the senior team when decisionmaking approaches are used appropriately and reteaches for mastery as needed.
Ongoing Training	Provides resources to support ongoing training for team development.	• 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.	• Demonstrates commitment to the senior-level team that models the behavior expected from senior-level team members as leaders of their own teams. • Reinforces individual and team performance by recognizing and acknowledging team accomplishments.

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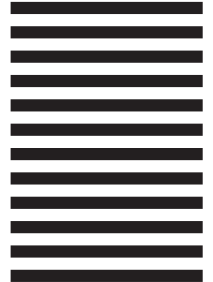UNITED STATES

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