CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

MANAGER AND SUPERVISOR LEVELS

OCTOBER, 2004

Campbell Consulting

Nancy M. Campbell
Campbell Consulting
8232 Hansen Road NE
Bainbridge Island, WA 982110
Phone: 206.855.0830
nancy@nmcampbell.com

Acknowledgements

The nature of the corrections environment has changed significantly in recent years. The technological revolution, globalization, and changing workforce demographics are just a few of the factors that are influencing and changing corrections organizations. The Core Competency Project – Phase II is an attempt to define the skills and abilities needed today and in the future by managers and supervisors in corrections.

The core team for the project consisted of Robert Brown, Marie Mactavish, John Eggers and myself. Robert Brown, Division Academy Director, sponsored and promoted the project. John Eggers, the project manager, offered suggestions for refinement and improvement. This project is grounded in the competency work that Marie Mactavish began over ten 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 for not just her professional support but for her personal support as well.

The authors who are experts in their respective fields either have direct experience in corrections or have worked with corrections managers and supervisors. Marie Mactavish developed a very useful approach to self-awareness and once again demonstrates her expertise in team building and collaboration. She also explores the interpersonal skills needed to be an effective manager or supervisor and how to manage conflict. Patrick Dobel challenges the reader to truly live one's values and brings a refreshing simplicity to the discussion of ethics. Barb Lucey provides useful tips on how to communicate effectively and is joined by Teddi Edington in developing a pragmatic approach to problem solving and decision-making. Cindi Yates provides a useful way for managers and supervisors to approach the often daunting topic of program planning and performance measures. And last but not least, William Woodward, provides an overview of the criminal justice system that reminds us how interconnected the system is.

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

While not technically on the core team, Teddi Edington played a central role for all authors. As the primary editor, she provided sound critiques of our writing and created a format that makes the product easy to read. Nancy Raynolds provided much valued technical editing.

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

Table of Contents

Table of Contents

Table of Contents

Table of Contents

Executive Summary

The idea for this project was born when Chief Robert Brown of the Academy Division of the National Institute of Corrections, did what good strategic thinkers do; he asked a question. That question was, “How can we design curricula if we aren’t sure what skills and abilities are required for success at the various levels of correctional management?” The Core Competency Project Phase II is an attempt to answer this question for mangers and supervisors in corrections.

The Challenge

The NIC Academy Division is faced with the complex and challenging task of creating leadership and management training programs for a wide array of corrections professionals. The Academy serves organizations ranging from small rural jails that house less than twenty offenders to large state correctional systems that may serve 50,000 inmates, probationers, and parolees. There is tremendous variation in the size and scope of the organizations the Academy Division serves. Some systems combine city, county and state functions while others serve only one level of government. The way in which operations and functions are structured in organizations not only varies significantly across organizations, but also is often a moving target within an organization. Thus, while the training participants are all in the same field, the nature of their professional experience can differ dramatically. A deputy warden in one system may have a significantly different role and/or level of responsibility than one in another system.

If one were to answer Chief Brown’s question for any single Academy client, the answer would be relatively straightforward. A competency model could be designed that clarifies current roles and responsibilities as well as those desired in the future. The current and desired job duties of a class of employee could be studied and the competencies (skills and behaviors) needed to perform these duties could be identified. This process typically entails creating measures of job performance and gathering the data to assess these measures. Managers then analyze the data and determine if duties as currently performed are congruent with the organizational mission and service delivery needs. Identifying the competencies needed to perform certain tasks and functions allows the agency to create training plans and staff development opportunities. However, this type of approach to competency development would be cost prohibitive given the variation in size and scope of the corrections organizations that the Academy training programs serve.

A Model for Developing Core Competencies

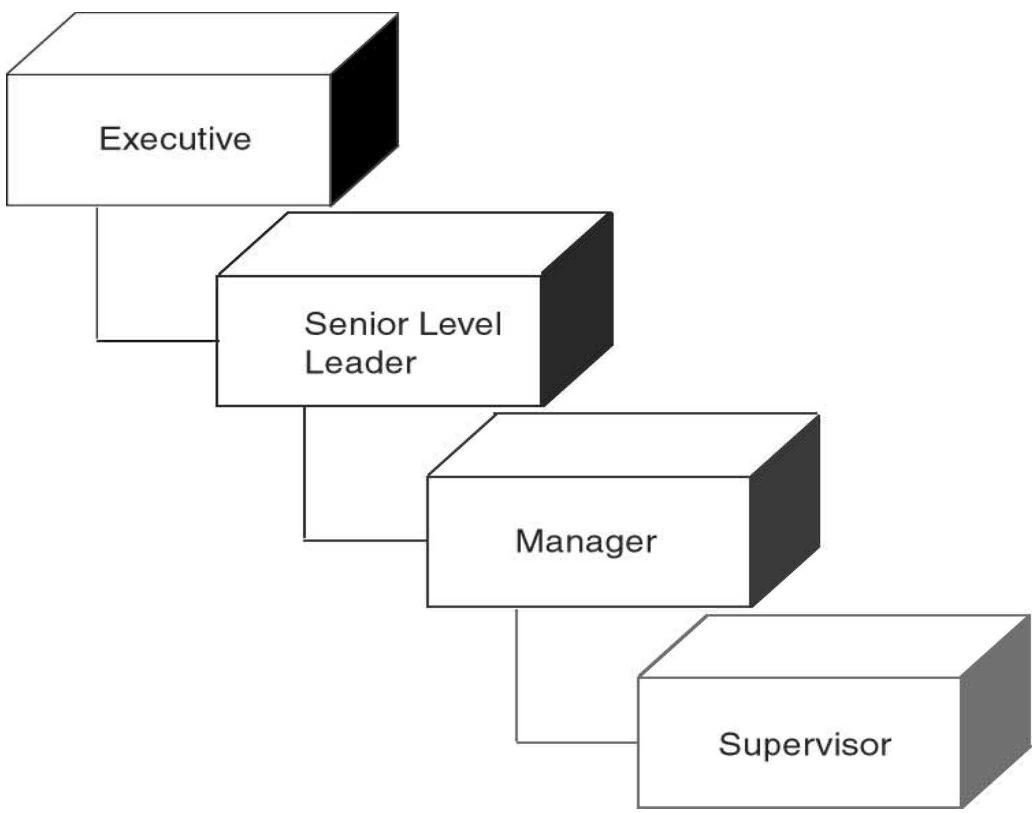
The approach taken to develop the core competencies for the Academy Division was to create *profiles* of the roles and responsibilities most common to a targeted level of management. Profiles were developed for a range of leadership and management roles. The profiles are not intended to be descriptive of a specific organization but rather are representative of many organizations. Focus groups and surveys of staff within the different levels were undertaken to identify the core competencies for each level.

The Profiles

The management profiles are designed to provide a frame of reference for the type of responsibilities that are *typically* found at different levels in a corrections organization. *It is important to remember that the profiles are a model and are not designed to represent any particular organization.*

The profiles are not static. For example, functions listed in one level of the model may actually reside in a different level of management in a particular organization. Because the profiles are a generic model, they are not designed to reflect any specific organizational structure.

Profiles were developed for four levels of management. The levels are supervisors, managers, senior level leaders and executives.



Each management profile has four sections:

- Authority – the source of the position's authority
- Responsibilities – typical responsibilities associated with this level of leadership
- Tasks - typical responsibilities associated with this level of leadership
- Positions – examples of positions found at this leadership level

The Responsibilities and Tasks for each level address seven key areas:

1. Vision
2. Goals and Objective Alignment
3. Culture
4. Resources
5. External Environment
6. Public Policy
7. Human Resources

While every level of leadership has responsibilities in each of these key areas, the nature of their responsibilities vary depending on their management level. For example, while the executive is ultimately responsible for the organizational vision, the senior level leaders are responsible for building commitment to the vision and aligning services and programs with the vision. Managers are responsible to ensure that short and long-term goals and objectives are consistent with the vision and mission. By ensuring that procedures are properly implemented supervisors also contribute to alignment with the mission. All levels of management have responsibility for ensuring that the vision is understood and the mission is implemented but their tasks related to this function differ.

The Competencies

With both the manager and supervisor competencies, an effort has been made to identify those characteristics that result in the best performance. Effective competency models identify the key skills, knowledge, and attributes of effective and successful leaders. After developing a set of broad competencies, an attempt is made to link the competencies to a set of specific behaviors.

There are many competencies that correctional leaders need to be effective. There are also many ways that one could categorize them. This model for corrections leaders was developed based upon input from experts in the field as well as a comparison to other fields in the private for-profit and non-profit arenas. The competencies that were chosen for the manager and supervisor of corrections leadership are listed below, with a brief explanation of why the competency is important for effective correctional leadership.

Manager and Supervisor Competencies

Manager	Supervisor
Ethics and Values	Ethics and Values
Interpersonal Relationships	Interpersonal Skills
Team Building	Team Building
Collaboration	Collaboration
Managing Conflict	Managing Conflict
Developing Direct Reports	Developing Direct Reports
Problem Solving and Decision-Making	Problem Solving and Decision-Making
Knowledge of CJ	Knowledge of CJ
Program Planning and Performance Assessment	Oral and Written Communication
Strategic Thinking	Motivating Others
Change Management	

Ethics and Values	Ethical behavior lies at the heart of good management and supervision. In a democratic society that values excellence in performance and respects individual human dignity, ethics – based upon respect, competence, and accountability – is critical. This is particularly true in a field like corrections where the state delegates the ultimate use of force and coercion.
Interpersonal Relationships	The inability to effectively establish and maintain healthy interpersonal relationships is perhaps the main cause of leadership failure and career derailment. Research indicates the increasing importance of effective interpersonal relationships in the workplace and how these "soft skills" may prove more valuable to a leader than IQ. Successful leadership occurs when a strong network of relationships is developed, existing relationships are maintained, and new relationships are continually added.
Team Building	Successful teams, like individuals, require thoughtful development and support. If a team is given sufficient attention and direction, there is great potential not only for accomplishing their task, but also for individual and team learning opportunities. Managers and supervisors who understand how to develop teams benefit from more career advancement opportunities and their organizations benefit by meeting their objectives.

Collaboration	Collaboration is important from two perspectives in correctional organizations: internally and externally. When collaboration is encouraged internally, employees become more invested in the success of the organization; they also have a better understanding and commitment to the organizational goals. Externally, criminal justice and correctional agencies can no longer afford to be isolated from one another or from other public service delivery systems.
Managing Conflict	Conflict can be useful in achieving objectives if it is managed correctly. It can productively leverage diversity, unify individuals around a common goal, promote cooperation, and encourage innovative solutions. However, if poorly managed, conflict can decrease the desire to work together and eventually break apart a group or organization. Effectively managing conflict utilizes conflict's benefits while avoiding its pitfalls.
Developing Direct Reports	People are an organization's most valuable resource. In order for an organization to operate at its full potential and attain maximum productivity, each direct report must become a fully contributing member of the organization. The more direct reports are nurtured and developed, the more likely they are to stay with the organization and successfully contribute to it
Problem Solving and Decision Making	Solving problems and making decisions are a natural part of the work environment. Changes are constantly occurring in materials, methods, tools, equipment, people, and policies. Managers and supervisors' response to problems and the effectiveness of their decisions have a crucial impact on the people who work for them and the organizations they manage. Using problem-solving and decision-making skills will improve both the quality of decisions and the degree to which people support them, so that problems get solved and stay solved.
Motivating Others	Motivation is an internal drive that stimulates a person to try hard to achieve his or her goals. A motivated employee tries harder than an unmotivated one to get the job done and to do it well. An effective manager understands that motivation exists when a conscious or unconscious need or desire is met through work and finds ways to align the worker's needs or desires with his or her work.

Oral and Written Communication	Managers and supervisors rarely do their work alone. Interacting and communicating with others are major parts of their jobs. Communicating is a two-way process and is effective only when the people to whom you are communicating receive your message, understand it, remember it, and respond to it appropriately. As we increasingly operate in a global business environment, competence in intercultural communication will become even more important. Poor communications can result in mistakes, misunderstandings, and conflict. The better you are at communicating, the more effective you will be as a leader.
Strategic Thinking	Strategic thinking encompasses the ability to recognize the relationships, complexities, and implications of a situation, anticipate possibilities, and plan what to do. A 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, recognizes the relationships between seemingly disparate entities, and views the daily tactical issues in a broader and longer-term context.
Managing Change	Most public sector managers and supervisors are good analysts and decision-makers. They are able to define a problem and develop a strategy to resolve it. What distinguishes the effective manager or supervisor is the ability to implement the proposed solution. Understanding how and why people change can help a manager or supervisor develop more effective change strategies.
Program Planning and Performance Assessment	Planning for future programs that further an agency's mission and documenting what works are crucial for the success of an agency. Program planning and performance assessments are valuable tools to set organizational direction, performance expectations, customer focus, and a leadership system that promotes performance excellence. They are also useful tools when trying to communicate agency intent and direction to regulatory and funding resources.
Criminal Justice System	All parts of the criminal justice system have some impact on all the other parts of the system. Each part is important and plays its own role as defined by the branch of government under which it operates. Understanding the criminal justice system improves problem solving, removes barriers to change, and improves the chances of developing effective long-term strategic plans.

THE COMPETENCY FORMAT

While the competencies for managers and supervisors may be somewhat different, an attempt has been made to address each competency in a similar manner. In each competency the following information is included:

- A Definition of the Competency

- Why the Competency is Important
- The Relevant Knowledge Base
- Summary
- Skills Needed to be Proficient
- Behaviors Associated with the Competency
- References
- Recommended Reading
- Focus for Managers and Supervisor Matrix

An overview of the relevant knowledge base that defines each competency is provided. This section, combined with the skills and behaviors, provides a context for what the competency is and how it can be used in the corrections environment. Recommended readings are provided for those interested in further exploration of the topic. Finally, wherever the same knowledge base applies to a competency for both manager and supervisor, a matrix is provided that shows how the competency might differ in application between the management levels.

How to Use the Core Competencies

There are many ways that competency models are used. The first question that must be asked is, "Will you use the competency model for administrative or development purposes or both?" Administrative purposes may address issues such as improving the quality of the recruitment and selection process or placement and retention of current employees. Another area that might be addressed at an administrative level is succession planning for leadership positions. When used for staff development, the competencies can be used as a framework to develop appropriate training curricula or help target external resources needed for staff development. The competencies are also a useful vehicle for the personal growth and professional development efforts of staff.

For issues such as recruitment, selection and succession planning, the competencies serve as a guide to planning efforts. For example, when recruiting for a manager, does your recruitment material identify the competencies that you expect the person you hire to have? The competency model can help you begin to think about what competencies are needed for a manager. Similarly, the selection process should be structured to determine if an individual has the competencies that are needed not just for the position as it structured today but for any possible future changes.

When using competencies for staff development, the model can be used to ensure that existing training efforts are targeting the competencies that a particular level of management needs. Depending upon the size and/or focus of an agency, tasks and responsibilities for a particular level of management may vary. The tasks and responsibilities influence the competencies needed. Thus, an agency's competency model most likely will be some variation of the model presented.

We hope the competency model will be useful for corrections organizations throughout the country and for the National Institute of Corrections (NIC), Academy Division in several ways. First, we hope it will assist the staff of the Academy Division in their efforts to identify the most appropriate candidate for a particular training. Second, we hope it will help in the design of training programs. Finally, we hope it will assist corrections agency leaders in planning for recruitment, selection and retention activities as well as staff development and succession.

MANAGERIAL PROFILES

By

Nancy M. Campbell

MANAGERIAL PROFILES

Introduction

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 it answers. Recognizing the diversity of corrections organizations and respecting that there are many ways to organize effectively, the management profiles in this chapter are designed to provide a frame of reference for the type of responsibilities that are typically found at different levels in a corrections organization. Despite having an excellent team of reviewers and doing our best to think as broadly as possible, there is no doubt that the model will not be a perfect fit for all organizations.

This is a model; it is not designed to represent any particular organization. We hope it will be useful for corrections organizations and the National Institute of Corrections (NIC), Academy Division in several ways. First, we hope it will assist the Academy's staff in their efforts to identify the most appropriate candidate for a particular training. Second, we hope it may help in the design of training programs for both NIC's, Academy Division and other corrections training professionals. Finally, we hope it will assist correction's agency leaders in planning for staff development and succession.

Management positions can be loosely classified into four levels:

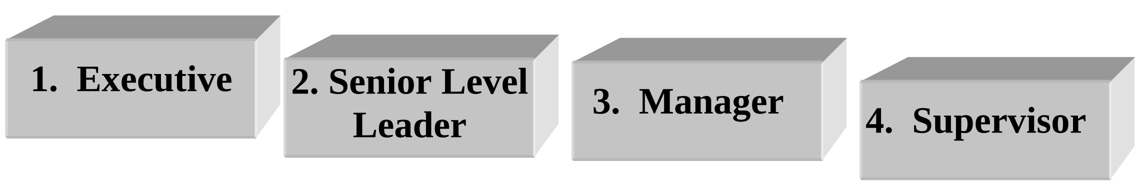


Figure 1: The four levels of management

The following profiles will begin with a brief discussion of authority and placement within the organizational structure. Next, the responsibilities of the position and the tasks associated with each responsibility are detailed. Finally, will be listed the typical positions that fall within each level of management. Due to the differences in size and organizational structure of correctional agencies, the examples will not always be an accurate reflection of any one agency.

Executive Profile

Authority

The executive level individual is the head of a corrections agency and often is appointed by an elected official or the electorate. Working within a broad and often vague mandate, he or she sets the direction and policy for the agency. He or she works extensively with stakeholders outside of the organization that have influence in the political and policy arenas.

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 corrections operations and services within a level of government. The director is expected to:

- Establish the agency **vision and mission**.
- Set clear **goals and objectives** to ensure the alignment and/or development of the organizational and administrative systems to support the agency 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 agency mission and ensure the agency's resources are managed effectively and efficiently.
- Manage the **external environment** including relations with other departments, agencies, organizations, community, and other stakeholders.
- Influence and develop **public policy** that supports the agency mission.
- Develop a **competent and diverse senior staff** that can ensure that the agency's vision, mission, and goals are achieved.

Tasks

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

Responsibility:	***Tasks:***
• *Establish the agency* ***vision and mission****.*	➢ Create and communicate a shared, compelling, and inspiring vision and sense of organizational purpose.

Responsibility:	***Tasks:***
	➢ Ensure the development of short and long-range plans that meet the agency's goals. ➢ Identify future trends in the field and/or in the external environment that might affect the agency.
• *Set clear* ***goals and objectives*** *to align and/or develop the organizational and administrative systems to support the agency 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 relations. ➢ 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 an organizational culture that ensures the organization is mission driven. ➢ Create a culture that facilitates the adoption of strategies and practices that continuously respond to changing markets and environments. ➢ Create a culture that responds to identified customer needs. ➢ 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.
• *Secure the* ***resources*** *needed for successful implementation of the agency mission and ensure the agency's resources are managed effectively and efficiently.*	➢ Assure resources are expended in ways that support the implementation of vision, mission, and goals. ➢ Place the agency's funding needs and requests within the context of the elected official/body's priorities. ➢ Understand the resources needed for operating and capital expenses and the possible options for securing funding for these needs.

Responsibility:	Tasks:
	➢ 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, organizations, community, and other stakeholders.*	➢ Establish and maintain effective working relationships with other government and non-profit organizations, community interest groups, and stakeholders. ➢ Establish agency policy regarding public and media relations. ➢ Communicate the vision, mission, and goals of the agency to a broad range of audiences.
• *Influence and develop **public policy** that supports the agency mission.*	➢ Develop and maintain effective legislative/political relationships. ➢ Encourage understanding and cooperation of policy makers and those who influence them. ➢ Assist senior agency staff in understanding how the corrections agency agenda fits into the context of other public policy issues. ➢ Use the most current and accurate research to support policy direction.
• *Develop a **competent and diverse senior staff** that can ensure that the agency's vision, mission, and goals are achieved.*	➢ Attract and retain a mix of styles, skills, and abilities among senior staff that results in a high performing 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 typically 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 Paroling Authority where it is separate from the Department of Corrections
- Deputy Directors of large systems

Executive Competencies

- Self-Awareness
- Ethics and Values
- Vision and Mission
- Strategic Thinking
- External Environment
- Power and Influence
- Collaboration
- Team Building

Senior Level Leader Profile

Authority

The elected or appointed agency director appoints this individual. The position can be classified or exempt. He or she 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 there may be dual reporting to an oversight body and the elected official.

The senior level leader may be an exempt position that serves at the pleasure of the executive or it may be a classified position in a civil service system. In larger systems, a deputy director may be a senior level leader position. When this is the 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, institution, field services, or other major organizational component including administrative, program, and support services. The senior level leader is expected to:

- Implement the agency **vision and mission**.
- Implement **goals and objectives** that align and/or develop the organizational and administrative systems and evaluation processes that support the agency mission.
- Build a **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 agency vision and mission.
- Manage the **external environment**.
- Influence and develop **public policy** that supports the agency mission.
- Create and maintain a competent and diverse **workforce**.

Tasks

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

Responsibility:	***Tasks:***
• *Implement the agency **vision and mission**.*	➢ Assist in the development and refinement of the Executive's vision and mission. ➢ Translate the executive's vision and mission and the nature and impact of change needed to implement. ➢ Develop a plan to create ownership of change and monitor progress towards 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 program(s) to ensure they are achieving the agency's mission and vision. ➢ Create a clear and expedient process for staff to suggest changes to agency policy, procedures, standards, and contracts.
• *Implement **goals and objectives** that align and/or develop the organizational and administrative systems*	➢ Develop the process and timing for aligning the units within the division/institution with the agency vision and mission. ➢ Build an organization that balances the interests of the employees, clients, and community while meeting the agency mission.

Responsibility:	***Tasks:***
and evaluation processes that support the agency mission.	➢ Develop and monitor a system of decision-making that includes delegation of authority and responsibility to the lowest, most competent level of management. ➢ Implement and monitor policies and procedures necessary to meet agency goals and objectives, mission, and vision. ➢ Develop ways to communicate effectively with staff, clients, and the community. ➢ 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 a **culture** within the division that supports the attainment of desired outcomes.*	➢ Create a culture in the division that: ➢ Supports the agency vision, mission, goals, and objectives. ➢ Facilitates the adoption of strategies and practices that continuously respond to changing markets and environments. ➢ Responds to identified customer needs. ➢ Supports both individual and team efforts. ➢ Values fair and equitable treatment of offenders, staff, and other stakeholders.
• *Coordinate and manage the development and oversight of the **budget and finances** to ensure congruence with the agency vision and mission.*	➢ Assure division or program resources are expended in ways that support the implementation of vision, mission, and goals. ➢ Develop budget priorities consistent with the agency's vision and mission. ➢ Develop 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 process to identify cost savings.
• *Manage the **external environment** including*	➢ Within the context of established agency policy, manage public and media relations.

Responsibility:	***Tasks:***
relations with other departments, agencies, organizations, community, and other stakeholders.	➢ Share the agency vision and mission with other government and non-profit organizations, community interest groups, and stakeholders. ➢ Develop and maintain opportunities for volunteer involvement. ➢ Within the context of established agency policy, establish avenues for community involvement in division/institution's programs and for the agency's involvement in the community. ➢ Within the context of established agency policy, ensure that the community is actively involved whenever possible in the delivery of program services.
• *Influence and develop* ***public policy*** *that supports the agency mission.*	➢ Develop and maintain the working relationships needed with legislative/political staff and officials to ensure implementation of the agency vision and mission. ➢ Assist agency staff in understanding how the corrections agency 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 the development of public policy.
• *Create and maintain a competent and diverse* ***workforce****.*	➢ Provide supervision to direct reports and model supervision best practices. ➢ Ensure that meaningful performance reviews are conducted regularly. ➢ Ensure that timely and fair processes for mediation of staff problems, complaints, grievances, and labor relations issues are in place. ➢ Encourage the development 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 the needs. ➢ Ensure the establishment of fair and equitable human resource policies.

Positions

Senior level leader positions typically 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 Administrator
- Correctional Industries Director
- Medical and Program Services Director
- Capital Program Director
- Director of Human Resources, Budget, or Information Services

In large systems deputy directors of probation, parole and deputy jail administrators may also be included in this profile.

Senior Level Leader Competencies

- Self-Awareness
- Ethics and Values
- Vision and Mission
- Strategic Thinking
- External Environment
- Power and Influence
- Strategic Planning
- 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. While the senior level leader may be an exempt employee who serves at the pleasure of an appointed official or body, the manager is most often 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 corrections agency.

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

Responsibilities

The manager is responsible for the implementation, oversight, and management of a program, area, 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 agency vision and mission.
- Develop **procedures** to ensure alignment of program area/unit with department policy and best practices.
- Build a **culture** within the unit or program that supports the attainment of desired outcomes.
- Manage the program/unit **budget and finances** to ensure implementation of the agency vision and mission.
- Interact with the **external environment** related to the manager's area of responsibility.
- Ensure that unit/program staff understand and support the agency's **public policy** agenda.
- Provide leadership to and supervise **human resources**.

Tasks

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

Responsibility:	***Tasks:***
• *Ensure the implementation of short and long term* ***goals and objectives*** *that are congruent with the agency vision and mission.*	➢ Enable unit and/or program staff to understand the agency 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 unit and/or program customers (offenders, staff, etc.) are receiving 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 alignment of program area/unit with department policy and best practices.*	➢ Develop and maintain strategies for understanding best practices in the subject area(s). ➢ Ensure that authority and responsibility for making changes in procedures and practices are at the lowest, most competent level of staff. ➢ Develop the organizational systems and structure to communicate about program changes, requirements, and needs. ➢ Ensure that staff is well trained on policies, procedures, and practices. ➢ Use feedback from a quality assurance system to ensure ongoing improvement of services. ➢ Ensure that evaluation data is used to support the continuation, modification, and/or change in services.
• *Build a* ***culture*** *within the unit or program that supports the attainment of desired outcomes.*	➢ Communicate the agency vision, mission, goals, and objectives to staff. ➢ Translate the nature and impact of impending change and help staff adapt to change. ➢ Create a culture that responds to identified customer and staff needs. ➢ Support 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* ***budget and finances*** *to ensure*	➢ Develop budget priorities and provide budget requests, modifications, and/or adjustments to appropriate senior staff.

Responsibility:	**Tasks:**
implementation of the agency vision and mission.	➢ Advocate for funding. ➢ Develop spending plan based on approved allocation. ➢ Ensure proper allocation and expenditure of funds. ➢ Monitor and control expenditures and assure unit/program resources are expended in ways that support the implementation of vision, mission, and goals. ➢ Ensure fiscal policies and procedures are followed. ➢ Develop 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.
• *Interact with the* ***external environment****.*	➢ Represent the unit/program within the agency 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 the investigation and response to staff grievances and complaints by customers. ➢ Ensure that the community is actively involved whenever possible in the delivery of program services.
• *Ensure that unit/program staff understand and support the agency's* ***public policy*** *agenda.*	➢ Educate unit/program staff about the agency's public policy agenda. ➢ Ensure that services and programs assist agency staff in understanding how the corrections agency 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* ***human resources****.*	➢ Recruit, hire, and retain the appropriate mix of styles, skills, and abilities among staff. ➢ Provide leadership and motivation to staff through personal behavior, knowledge, and values. ➢ Provide supervision to direct reports and model supervision best practices. ➢ Provide and ensure that meaningful performance reviews are conducted regularly.

Responsibility:	***Tasks:***
	➢ Ensure that timely processes for mediation of staff problems, complaints, grievances and labor relations issues are in operation. ➢ 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 typically include:

- Corrections Unit or Program Manager
- Institution/Prisons Department Head[*]
- Deputy Superintendent of an Institution/Prisons Department
- Institution/Prisons Majors/Captains
- Boot Camp Director
- Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager
- Interstate Compact Administrator
- Deputy Jail Administrators
- Jail Department Head
- Juvenile Facility Department Head
- Juvenile Probation Department Head
- Accounting, Budget, Legal, Purchasing and/or Contracts Supervisor
- Human Resource Functions such as Diversity Manager, Labor Relations, Public Information, and Training Supervisor
- Information/Technology Services Supervisor
- Capital Programs or Correctional Industries Administrator
- Manager of Health Services, Substance Abuse, or Victim Witness Program
- Food Service or Facilities Manager

Manager Competencies

- Ethics and Values
- Interpersonal Relationships
- Developing Direct Reports
- Managing Conflict

[*] Responsible for the supervision and/or management of correctional institution program, area, or department.

- Team Building
- Collaboration
- Problem Solving and Decision Making
- Strategic Thinking
- Managing Change
- Program Planning and Performance Measurement
- Criminal Justice System

Supervisor

Authority

This individual generally manages the staff that works directly with the client or constituent group. He or she makes recommendations to improve systems and service delivery and monitors for compliance with agency 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 is usually 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 and/or staff population. The supervisor is expected to:

- Ensure that agency policies, procedures, standards, and contracts are implemented and support the agency **vision and mission**.
- Implement **procedures** to ensure alignment of program area/unit with department policy and best practices.
- Build a **culture** within the unit or program that supports the attainment of desired outcomes.
- Ensure that **resources** are expended wisely and as prescribed by agency policy and procedure.
- Interacting with the **external environment**.
- Ensure that unit/program staff understand and support the agency’s **public policy agenda**.
- Provide **supervision** to direct reports; model best supervision practices.

Tasks

Several tasks are associated with each supervisory level responsibility. They include:

Responsibility:	***Tasks:***
• *Ensure that agency policies, procedures, standards, and contracts are implemented and support the agency* ***vision and mission****.*	➢ Ensure that proposed changes to agency policy, procedures, standards, and contracts are congruent with the agency's vision and mission. ➢ Ensure that staff is well trained in and understand agency policy, procedures, standards, and contracts. ➢ Ensure compliance with agency policy, procedures, standards, and contracts. ➢ Create a clear and expedient process for staff to suggest changes to agency policy, procedures, standards, and contracts.
• *Implement* ***procedures*** *to ensure alignment of program area/unit with department 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 and clients[†] receive services that have the greatest potential for addressing their needs. ➢ Ensure inspections for security, emergencies, and maintenance is completed regularly. ➢ Ensure that services are delivered in the least restrictive setting that is congruent with offender and community interests. ➢ Ensure that evaluation data is used to support continuation, modification, and/or change in services.
• *Build a* ***culture*** *within the unit or program that supports the attainment of desired outcomes.*	➢ Foster 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 whenever

[†] While 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 agency or of another criminal justice agency, another community agency such as a non-profit, etc. Due to the broad array of supervisors covered by this profile such as legal, financial, and/or human resource staff, it is clear that "client" is not limited to offenders.

Responsibility:	***Tasks:***
	possible in the delivery of program services. ➢ Support individual and team efforts. ➢ Model the leadership behaviors you want staff to exhibit.
• *Ensure that **resources** are expended wisely and as prescribed by agency policy and procedure.*	➢ Provide feedback to manager(s) regarding the amount and type of resources needed to provide program services. ➢ Ensure that expenditures are within the approved funding allocation. ➢ Inform manager(s) 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. ➢ Create a process for staff to suggest ways to use resources more effectively or to generate new revenues; share these suggestions with manager(s). ➢ Ensure spending at unit/line level is consistent with the budget plan, goals, and agency mission and vision.
• *Interact with the **external environment**.*	➢ Represent the unit/program within the agency and in interactions with customers from the community like families and agency representatives who work with offenders. ➢ Maintain good working relationships with other government and community agencies. ➢ Ensure that staff is helpful and treat external customers, such as clients' families, respectfully. ➢ Promote volunteer opportunities. ➢ Ensure appropriate supervision and support for volunteers. ➢ Create a timely and responsive system for the investigation of and response to grievances and complaints by customers. ➢ Ensure that the community is actively involved whenever possible in the delivery of program services.
• *Ensure that unit/program staff understand and support the agency'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 assist in the development of the policy agenda. ➢ Ensure that unit/program staff receives training regarding the agency's policy agenda.

Responsibility:	***Tasks:***
	➢ Provide staff with information regarding the policy agenda so they can be informed sources of information to members of the community and better understand the reason for agency 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 is trained and skilled 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 staff receives the appropriate and necessary training and employee development. ➢ Provide and/or ensure that meaningful performance reviews are conducted regularly. ➢ Ensure that timely processes for mediation of staff problems, complaints, grievances, and labor relations issues are in operation. ➢ Recognize and honor staff for goal achievement. ➢ Communicate agency, staff, and community issues to senior level leaders on a regular basis.

Positions

Supervisor level positions typically include:

- Classification Supervisor
- Adult or Juvenile Correctional Housing Unit Supervisor
- Lieutenant
- Sergeant
- Juvenile Treatment Coordinators
- Victim/Witness Program Supervisor
- Correctional Industries Supervisor
- Probation, Parole, Community Corrections/Sentencing Supervisor
- Interstate Compact Administrator
- Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor
- Human Resource Functions such as Diversity Manager, Labor Relations, and Training
- Information/Technology Services Supervisor
- Capital Programs or Correctional Industries Administrator
- Information/Technology Services Supervisor

- Supervisor of Health Services, Substance Abuse, or Victim Witness Program
- Food Service or Facilities Supervisor

Supervisor Competencies

- Ethics and Values
- Interpersonal Relationships
- Oral and Written Communication
- Motivating Others
- Developing Direct Reports
- Managing Conflict
- Team Building
- Collaboration
- Problem Solving and Decision Making
- Criminal Justice System

ETHICS AND VALUES

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

J. Patrick Dobel

ETHICS AND VALUES

Definition of Ethics and Values

ETHICS AND VALUES: Ethics and values cover the standards of right and wrong and the personal qualities that sustain the ability to make and act upon these standards. Ethical standards guide decisions and focus behavior for right or wrong action. They anchor our sense of personal and professional integrity.

Values are qualities of character such as courage, prudence, and fidelity, which provide the moral and psychological foundation to sustain judgment and act upon it.

Knowledge Base

Why are ethics and values important?

ROLE AND PROFESSIONAL ETHICS: Ethics at the supervisory level focus on the standards and character required of individuals who hold positions of power and responsibility. These duties arise when individuals take positions of authority within the chain of command. Taking these positions means we make an explicit or implicit promise to judge and act upon the standards imposed by law and the professional standards for our position. We also agree to be accountable for those judgments and actions.

Holding a position of authority, especially in a vital public area such as corrections, enmeshes a person in a web of obligations and dependencies. Colleagues, superiors, peers, and vulnerable clients and offenders rely upon our consistent, competent, and fair judgment and actions. If individuals in supervisory roles fail, vulnerable staff or offenders can suffer serious consequences. The legitimacy of corrections institutions can also be undermined. The responsibility to act with professional and personal ethics is even more important in an area like corrections where individuals possess special powers to use force in the performance of their duties.

ORGANIZATIONAL ETHICS AND VALUES: While ethics and values often are identified as personal concerns, successful public organizations create and sustain their own ethical standards of performance. These ethical standards give reality to the vision and mission in the daily decisions of individuals. They reside in the norms of the culture and the professional judgment of corrections personnel. Supervisory personnel carry the norms of the organization and are the front-line of ethical performance and culture.

Ethics: A Criminal Justice Perspective

> **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**

Ethics play a critical role in the use of supervisory discretion.

Ethics play a critical role in corrections because of their centrality to discretion. *Discretion* is fundamental to the act of managing and leadership and means that individuals have a choice in responding to situations. Discretion comes into play at the supervisory level when rules fail to cover a situation, or several rules conflict, or acting upon seemingly clear rules would create significant harm. Ethics matter for several reasons.

Integrity

ANCHOR INTEGRITY: Individual values and the decisions that flow from them define who we are as people. They also express who we are as an institution. They focus and guide decisions but also pervade and sustain the professional norms and values of the institution. Acting upon ethical values gives daily reality to the vision and mission.

Ethics matter for persons and organizations because they anchor integrity. People balance complicated lives and many duties, and we define ourselves by our judgments and actions. Often we only learn what kind of human beings we are by deciding and acting in important situations. To do this well and sustain our self-respect, we rely upon values and virtues to guide us and uphold us in the long haul of work and life.

High Stakes

HIGH STAKES: Corrections work involves very high stakes. The basic rights of offenders and clients are on the line. Basic democratic rights are taken from those in custody and they are exposed to potential abuse from fellow offenders and officers. Their vulnerability imposes special duties upon corrections managers and supervisors to ensure that their safety and rights are respected even under very difficult circumstances.

At the same time, corrections officers and personnel are exposed to serious danger in their daily duties, and managers and supervisors must simultaneously ensure competent and fair performance while protecting them from the multiple dangers of dealing with hardened offenders. Because of the stakes, corrections work generates many lawsuits from both aggrieved offenders and staff.

Managers and supervisors often prevent or precipitate such lawsuits by their effective or ineffective performance.

Because of the constant potential for abuse of power or violence, corrections facilities and behavior can be a flash point for media coverage and scandals. These media frenzies can destroy careers, undermine corrections performance, and hurt the legitimacy of the government.

Legitimacy of Government

GUARDIANS OF INSTITUTIONAL LEGITIMACY: All governmental institutions are struggling to earn the trust and respect of the general public. Because of the high stakes and dangers associated with corrections, correctional institutions are constantly scrutinized. Many of the lawsuits and media frenzies that afflict corrections institutions arise directly from incidents in the purview of managers and supervisors. These media attacks or lawsuits do irreparable damage to trust in the criminal justice system. Managers and supervisors hold the legitimacy of government and institutions with them as the front line agents of leadership and management.

Organizational Culture

CARRIERS OF THE ORGANIZATIONAL CULTURE: Supervisory personnel live where "the rubber hits the road" in ethical terms. They handle many complex, difficult, and recurring issues. Their decisions involve discretion, laws, rules, and ethical values. Their actions can generate more problems or prevent serious problems from occurring. The daily cumulative decisions of managers and supervisors create the institutional culture of the facility. Their commitment and actions on behalf of certain values will sustain those values, while indifference or looking the other way will permit corrupt values to flourish in both staff and offender populations. The decisions and actions of managers and supervisors reflect the norms that they support. Managers and supervisors model and enforce standards that will become the reference points for staff and offenders alike.

Diversity and Respect

DIVERSITY AND RESPECT: Racial, cultural, religious, and gender differences compound the power inequality and vulnerability of both offenders and corrections personnel. Too often such differences cause friction, abuse, or perceived abuse between supervisors and staff or between staff and offenders. The very hard and dangerous daily reality of life in corrections generates pressures that erode the commitment and performance of the best personnel. Supervisory personnel possess the clear power to integrate diverse people into cohesive teams. They can head off potential conflicts. In the crush of daily conflict, they model and teach personnel how to navigate the never-ending tensions that such differences create in the corrections environment.

I. Supervisory Ethics

> **Ethics responsibilities cannot be delegated, bought, or temporarily rented.**
>
> **Carol W. Lewis**

Personal and Institutional Integrity

Role of Professional Ethics

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

While performing this difficult balancing act, managers and supervisors must also earn the trust and compliance of their staff and peers, protect and control offenders, and answer to superiors who have their own concerns and careers to worry about. They live at the center of a complicated and unrelenting universe of duties and conflicts.

Promise

IMPORTANCE OF A PROMISE: The dominant ethical standards for individuals exercising bounded discretion derive from role ethics. Role ethics depend upon the moral importance of a promise. Individuals who take on supervisory roles promise to abide by the requirements of the role. Judgments are made within a framework of professional and legal standards that encompass accountability for those judgments. Without this promise the entire edifice of democratic accountability breaks down.

Personal Responsibility

PERSONAL RESPONSIBILITY: Making this promise means that the individual manager or supervisor accepts personal responsibility for actions. While they may often seem to be simply enforcing the rules, in fact every manager or supervisor brings their unique style, gifts, and judgment to their role. One can witness the same job in the same place being done in very different ways by two individuals both claiming simply to be "enforcing the rules." The realities of personal style and judgement pervade supervisory life and highlight the individual responsibility of supervisors.

Self Awareness

SELF AWARENESS: Recognizing and accepting personal responsibility means that an individual manager or supervisor needs to be self aware. They must understand their own values, responsibilities, strengths, and limitations. They need to be aware of how others rely upon their judgment and perceive their actions. Managers and supervisors are always on stage. They represent the authority and power of the institution and bridge the formal mission and aspirations with the gritty reality of work. Officers and staff as well as offenders watch them and look to them to model judgment and action. Managers and supervisors must be able to admit when they make mistakes and to model continuous learning and growth. Managers and supervisors may not wish to be placed in this situation, but they must be aware of their responsibility and impact.

II. Acting with Integrity

> **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**

Defining Integrity

Individuals hold their values and beliefs together and make sense of their lives and actions through a sense of integrity. Integrity covers the wholeness of our life. It enables individuals to assert self-control and judgment when acting. Integrity flows from the process through which individuals balance beliefs, decide on the right action, and then summon the courage and self-control to act upon those decisions. Integrity resides in mundane daily decisions, but sometimes in situations of stress and temptation it requires individuals to deliberate carefully, decide, and act when self-interest, temptation, or passion moves them in a different direction.

Integrity in Action

Three domains of judgment:

- Personal commitments and capacities
- Obligations of office
- Prudence and effectiveness

Managers and supervisors hold positions of public responsibility and must balance three domains of judgment as they decide and act. Each is important and related to the others, and each should influence ethical decisions and actions. These domains are:

PERSONAL COMMITMENTS AND CAPACITIES: These cover the values, skills, and physical and character attributes individuals bring to an official position. These attributes are the basis for a manager or superviors personal style and make each manager or supervisor a unique leader. They exist prior to taking office and often bear on the reasons people are chosen, e.g., conscientiousness, prudence, energy, optimism, or trained professional judgment. Values and commitments may involve family, profession, and religion as well as those of the official position. At their best, they reinforce each other but it is entirely possible for personal commitments and values to conflict with the obligations of office.

The welfare of others depends upon a manager or supervisor’s conscientious fidelity to the legal and institutional obligations of their position.

OBLIGATIONS OF OFFICE: When individuals take on a position, they make a promise, implicit or explicit, to live up to the responsibilities of that position. Superiors, colleagues, clients, and others depend upon the competence and responsibility of individuals who hold positions of power and authority. In corrections facilities, staff are sanctioned and bound by law, which gives them both great authority and power. Taking on such positions puts a heavy burden of responsibility upon the individuals to act competently and meet the legal and professional expectations of the position. The welfare of others depends upon their commitment to the legal and institutional obligations of their position.

Managers and supervisors should know the facts and the context of a situation before responding.

PRUDENCE AND EFFECTIVENESS: Complications pervade corrections reality. Nothing stays put. Problems always arise. For example, some individuals do not perform and others are good but limited, some offenders pose predictable challenges to everyone and others need to be protected. Implementing ethical and legal responsibilities requires managers and supervisors to think about the proper means to achieve goals. They need to anticipate and prevent problems and know the context within which issues arise. This helps them avoid both negligence and unwisely applying rules at the wrong time. Above all prudence means getting knowledge, getting the facts, and understanding all the different dimensions of a problem before acting. This means learning about staff and offenders and conditions before problems arise and being able to respond professionally, not in rote, rigid, or uninformed ways. If managers and supervisors do not learn and listen and attend to the context, they risk being negligent and causing far more problems.

Every manager or supervisor holds these three domains together every time they make a decision. Each area could be a viewed as a ray of light upon a subject and each illuminates a different aspect of a situation. Each might be viewed as a different lens looking at a problem that clarifies a part of the moral terrain. As they overlap and reinforce each other, the ethical issues get more clear and detailed, and leadership judgments become more complete and effective.

Acting Ethically

Ethical Action Requires Individuals to:

- Accept Responsibility
- Act with Self-Discipline
- Reflect on Actions
- Seek Others' Input

PERSONAL ATTRIBUTES FOR ETHICAL ACTION: All approaches to ethics depend upon a number of personal attributes that humans need to possess for ethical action. These are critical for managers and supervisors to hold and to instill in those they lead.

- **Individuals accept responsibility for their actions.** Know and acknowledge the legal and moral obligations that come with a position. Accepting responsibility increases a person's commitment to act competently. It minimizes the blame game and the temptation to shirk responsibility.
- **Individuals act with self-discipline.** This is fundamental to a manager or supervisor. Managers and supervisors live at the intersection of the major problems. They are the first line of institutional responsibility. A manager or supervisor must control their emotions and especially their likes and dislikes. If staff and offenders believe a manager or supervisor "loses it" easily, they will act in ways that manipulate and control a quick-tempered or impetuous manager or supervisor. If managers and supervisors cannot control their prejudices, they will precipitate problems and leave the institution open to lawsuits. Not controlling likes and dislikes, especially if the manager or supervisor has risen from the ranks, makes them vulnerable to charges of favoritism that will undermine trust and credibility. Self-discipline or self-mastery is a foundation of ethical and professional behavior.
- **Individuals reflect upon their actions.** Our gut instincts are not good enough. Instinct, while occasionally right, often carries the weight of years of socialized and thoughtless prejudice or past habits that may be inappropriate for present conditions. Ethics requires thoughtful consideration of the obligations, laws, rules, and stakes in a situation, as well as an assessment of the

consequences before acting. Managers and supervisors balance several different obligations and must be aware of them all. This puts a strong obligation upon managers and supervisors to know the law and rules, but also the context and people in a situation. Managers and supervisors also model behavior for others. Every action sets a precedent for others, shapes expectations, and influences how others will behave in the future.

- **Individuals seek others' help to find the right action.** None of us can do these difficult and dangerous jobs alone. Lone rangers and institutional vigilantes undercut accountability. Friends, experienced and respected colleagues, and superiors can help us see the full range of ethical issues and obligations in a particular situation. They can help us see the truth and contradiction of our own reactions, assess unanticipated consequences, and forge better decisions.

Six Pillars of Character

SIX PILLARS OF CHARACTER: Among the personal attributes required for managers and supervisors to act ethically are trustworthiness, respect, responsibility, fairness, caring, and citizenship (see Figure 1).

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.**

Figure 1. Six Pillars of Character adapted from the Josephson Institute of Ethics

Threats to Ethics in the Corrections Environment

Threats to Ethics:

- **Peer Culture**

Several aspects of the corrections environment constantly work to undermine the integrity and ethical actions of managers and supervisors:

PEER CULTURE: The real norms of action are carried by the values that people act upon. Subtle and not so subtle pressures from peers push individuals to act in certain ways. Dangerous or unethical behavior can become embedded in peer culture and those who try to change it can end up endangered by peers who do not support them or retaliate against them for violating group norms or snitching on them. One of the primary obligations of managers and supervisors is to work to understand and influence the peer culture of officers, staff, and offenders.

- **Denial of Responsibility**

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

- **Rigidity**

RIGIDITY: A variation on the denial of responsibility lies in rigidly following orders, or "going by the book." Going by the book protects people from second-guessing and is a great "cover your ass" tactic. Rigid, by the book tactics pretend that correction personnel have no choice, the situation is well understood, there are no complications, the right rules are clear, and the consequences of applying the rule are clear. Such situations never arise. This approach, however, reassures individuals and minimizes forms of stress in the job. It reduces the manager or supervisor to a machine with no discretion or judgment. It also means managers or supervisors do not learn the context or nuances of situations and people.

- **Dominant Informal Actors**

DOMINANT INFORMAL ACTORS: All informal cultures, especially in relatively small units, are vulnerable to the excessive influence of single individuals. Sometimes it might be an experienced "old pro." Sometimes it might be an "expert" whom everyone needs or who provides favors. Individual personnel or offenders gravitate to them for advice and support, sometimes at odds with the formal rules of the organization or the manager. Identifying these actors, controlling them, co-opting them, and winning them over becomes a crucial aspect of influencing the informal culture and norms.

The worst and most dangerous case arises when an individual uses coercion and fear to control others. Bullies exist in all organizations, and organizations that depend upon force are extremely susceptible to such individuals. The possibility of danger and the ever-present need for mutual support as well as a culture that embraces a code of silence reinforces the potential power of violent, abusive, or uncontrolled corrections personnel or offenders. Managers and supervisors can literally lose control of their areas to such individuals.

- **Diversity Tensions**

DIVERSITY TENSIONS: The reality of legal, social, and economic inequalities in the United States has created a system where corrections populations are often overwhelmingly comprised of racial and ethnic minorities. Often the offender population differs from the staff population along ethnic, racial, religious, and sometimes gender lines. This reality produces a tinderbox where small sparks of perceived disrespect can flame into anger, misunderstanding or violence. Often these incidents set off legal struggles. These tensions pervade and overlay everyday life and can erode not only trust and relations between corrections personnel and offenders but also among corrections personnel themselves.

- **Silence**

SILENCE: Modern history and psychology both reinforce a basic reality of human beings. *People who know they are protected by secrecy or silence will often perform immoral actions that they never would if they knew they would be held accountable for them.* Cultures of silence, looking the other way, or not snitching make possible levels of abuse of power that endanger justice and the rights and safety of personnel or offenders. Silence also muffles accountability and reporting that are the lifeblood that controls the use of coercion in corrections. Silence hides actions, permits forbidden actions, and undercuts real accountability. It is the ally of pathological peer culture, dominant individuals, or deep discrimination and abuse.

Building an Ethical Organization

> **Supervisors carry the ethical culture of the organization. If they fail, the organization fails.**
>
> **J. Patrick Dobel**

In the corrections environment, many aspects of life constantly work to undermine the integrity of managers and supervisors. To counteract these forces, managers and supervisors need knowledge, trust and respectandgood judgment.They also need the ability to see a situation in context, to model and educate, to have courage and endurance, and to seek help and support when needed.

Know the What and the Why of Rules and Laws

KNOWLEDGE: All aspects of integrity depend upon managers and supervisors knowing the laws, codes, and rules that guide their work. They need to understand the purposes behind them, for the laws and rules, while critically important, are means to the deeper end of safety and justice in the institution. Knowing what lies behind the laws also gives managers and supervisors the ability to understand their discretion and exercise it when rigid enforcement of rules is inappropriate or dangerous.

Often professional codes of ethics clarify the values that fill in the spaces of the rules. Knowledge helps us understand the cultural and ethnic background that may influence the actions of others. This kind of knowledge is hard won, but it is vital to not overreact and to understand when actions flow more from different cultural influences than from an attempt to violate rules or endanger people. Managers and supervisors have strong legal and ethical obligations to master the knowledge of law and rules and gain the competence needed to do their jobs. Without these they will be negligent and possibly ineffective or dangerous.

Build Trust and Respect

TRUST AND RESPECT: Successful leadership at the managerial and supervisory levels depends upon trust and respect among supervisors, staff, and offenders or clients. Without trust staff and inmate compliance will be lower, secrecy will be higher, and enforcement costs will grow because once the manager or supervisor is gone from the scene individuals will revert to dangerous patterns of behavior. Respect and trust are created over time.

The foundation of trust lies in sustained competence, fairness, and impartial actions. Without competence, staff will have no trust or respect for leadership. They will ignore directives and take matters into their own hands. Offenders will exploit incompetence.

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

Impartiality sustains trust and fairness. If staff believe that managers and supervisors play favorites, staff will resent supervision and punish the favored ones in informal ways. Trust and respect build up social resources with staff and offenders that ease enforcement, make accountability more accurate, and earn managers and supervisors the benefit of the doubt and loyalty in difficult situations.

Be Aware of Discretion

DISCRETION: Managers and supervisors sometimes forget their own discretion and responsibility even as they exercise them. They are tempted to see themselves as doing nothing but "applying the rules," with no personal judgment involved. Yet every manager or supervisor constantly exercises discretion. Managers and supervisors exercise discretion in what they see and do not see. While selective perception may be an issue of competence for a manager or supervisor not experienced enough to be aware of the relevant aspects of a situation, it may also be a decision based on biased and preconceived judgments.

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

Engage the Whole Context

CONTEXT: If every situation were clear and simple and managers and supervisors knew everything there is to know, then there would be no need for judgment or discretion. Managers and supervisors could just apply the rules by rote. Corrections, however, is never like that. Managers and supervisors seldom know everything at first glance, different rules come into play, and stakes may be overlaid by issues of race, class, or potential danger.

One of the first obligations of a manager or supervisor is to discover as much as possible about an incident. They must know the context in which it occurred. What sounds like racial epithets could be banter. What looks like assault could be roughhousing. Knowing the people involved and the context is critical for the manager or supervisor and for teaching staff how to handle incidents. This means thinking, being competent and fair, and not losing control of oneself.

Model and Educate

MODEL AND EDUCATE: Every action of a manager or supervisor flows from a position of authority and power. Staff working under the manager or supervisor, and offenders who are within range of their influence, watch and note how they judge, act, and respond. The power managers or supervisors exercise may have a direct relationship to the well-being of themselves, their staff, and offenders. It may also affect their careers and those of fellow staff members.

Over time staff and offenders will respond to consistent performance by committed managers and supervisors. Managers and supervisors do make a difference. Their cumulative actions, praise and support or nonsupport and punitive actions educate staff and offenders as to what is expected. If they inspire trust and respect, they model and influence the actions and values of those they lead. Poor managers and supervisors destroy morale, undermine values, and permit abuse by their actions and negligence.

> **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.**

Courage and Endurance

COURAGE AND ENDURANCE: The daily press of supervisory life demands a continuous and stressful stream of judgments and actions from a conscientious manager or supervisor. The cumulative force of peer norms, rigidity, secrecy, disruptive individuals and diversity overlays can undermine the best of individuals. It requires sustained courage to go to work each day, act with character and principles, and avoid being rigid and denying responsibility or surrendering control to dangerous informal actors.

Staffand offenders read supervisors' actions over time. Sustained performance is the only way to win respect and trust and send the message that the values the manager or supervisor enforces must be taken seriously. Too often uneven or flagging commitment sends signals to individuals that they can work to erode commitment and evade the values and performance standards that the manager or supervisor seeks to instill.

Support and Help

SUPPORT AND HELP: Not all actions are clear. Sometimes we make mistakes. Frequentlymanagers and supervisors will be second-guessed or need to reflect and learn from actions. At these times, managers and supervisors need to remember they are not alone in facing uncertainty or dilemmas. Multiple sources exist for gaining support or help in thinking through issues. Support can become as important for carrying on as for getting it right.

Superiors, respected colleagues, peers and mentors are sources of support and help. If the problem is with the superior or with the peer culture, human relations offices, bargaining units, or outside control agencies such as equal employment opportunity or the Inspector General's Office can provide help or anonymous reporting processes.

III. Leadership Values

> **Public office relies upon individuals to frame their judgments by authorized standards and procedures and to exercise their power in an accountable manner.**
>
> **J. Patrick Dobel**

Key Leadership Values:

Several key leadership values should infuse the actions of not only managers and supervisors but also corrections executives and senior level leaders These are the values that must start at the top and reinforce each other all the way down to the supervisory level. If they exist only at the top and do not arrive at the supervisor level they become not only meaningless, but worse, objects of scorn.

Integrity

INTEGRITY: Creates moral coherence in our life and the culture of our institution. It begins with a commitment to our dignity and honoring that dignity by committing to know and act upon our values, promises, and commitments.

Responsibility

RESPONSIBILITY: Starts with acknowledging our position and the promise to live up to the obligations, laws, and professional judgment and discipline required of it. It hinges on the honest willingness to acknowledge our contributions to actions and not retreat to the world of blame games or passing the buck.

Fidelity

FIDELITY: Means we have the self-discipline and moral strength to live up to the promises we make to uphold law, principles, and the values necessary to do our job ethically and legally. It makes it possible for others to have trust in our performance.

Competence

COMPETENCE: Defines the basic expectation 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. It is the fundamental demand on leadership. It 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 our self-respect and requires us to treat all humans with civility and appropriate honesty in our dealings with them. Respect requires legitimate demands for competence and improvement from individuals.

Truthfulness and Honesty

TRUTHFULNESS AND HONESTY: Begin with striving to understand the full context and facts in any given situation. Honesty reports clearly and accurately what individuals need to do their jobs well and has the legitimate right to hold others accountable. Only when honesty is valued, can there be a true learning environment. Mistakes become a way of learning how to improve ourselves.

Accountability

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 institutions to change mission and grow and improve in light of honest assessments of their actions.

Stewardship

STEWARDSHIP: Follows with all government grants of resources and power. We are not given money, power, and resources to pursue our own private ends or gain. Using money as efficiently as possible and not wasting funds does justice to the unique characteristics of taxable funds that are not voluntarily contributed. Stewardship means public officials attend to the long-term welfare of the agency and staff rather than simply responding to short-term demands and trends.

Inclusiveness

INCLUSIVENESS: Is imperative to ensure good policy. Seeking out and understanding the points of view of stakeholders makes policy and leadership more sustainable and less coercive. Inclusiveness flows from respect and stewardship to address the long-term needs of institutions to engage the cultural, gender, religious, and racial divisions that can undermine the legitimacy and effectiveness of the institution. At the same time different professional and skill perspectives come together to balance team actions and decisions. As a value, it inoculates against the deep human tendency to be comfortable only with those similar to us. It also guards against the tendency to judge individuals by stereotypes or appearance rather than their full human capacity. It contributes to stronger and more effective decision-making, but requires consistent leadership, sensitivity, and support to be effective.

IV. Unethical Behavior

Three Common Forms of Unethical Behavior:

- Violations of trust
- Self-Dealing
- Conflict of Interest

Although ethical behavior should not be confused with legal behavior, the two are intimately linked. Law and accountability legitimize public institutions. Managers and supervisors embody and represent these values to staff and offenders. In this sense obeying the law and rules covers a great part of supervisory ethics, but ethical supervisory behavior also involves knowing the reasons behind the law and understanding and taking into account the context. It means being aware of and combating the pressures that undermine professional ethics in corrections. The values and character displayed by managers and supervisors in the absence of law or agency rules influence the quality of the staff's ethics.

Managers and supervisors need to be sensitive to the many ways ethics can be subverted and an organization corrupted. As most of us know, subverting an official doesn't usually begin with a bribe, it begins with a small favor. Managers and supervisors assist positive culture building by personally displaying leadership values and norms that model and give others strength to act on those values.

Sometimes managers and supervisors will be tempted to make life easier by smoothing daily interactions with questionable methods that seem effective, at least in the short term. Managers and supervisors can avoid the difficult job of regaining control of an area by not "looking the other way" at abuse or poor behavior. Managers and supervisors should remember they are not simply automatons for the rules with no discretion or responsibility. The law and rules are often silent or contradictory and leave room for considerable discretion. Proper exercise of discretion can address and prevent many smaller unethical behaviors that, if left unchecked, can poison a culture and hurt the institution.

Unethical action usually involves the abuse of trust and position. Individuals impose their own views or interests when their actions should be bound by legal or professional standards. Such actions, even when legal are still wrong. They may be individual or supported by group norms that protect or encourage wrongdoing. Three of the most common classes of unethical behavior involve: 1) violations of trust, 2) self-dealing, and 3) conflict of interest. While separate categories, they often overlap and many actions involve all three. Many occur in small seemingly innocuous decisions like allocating excess resources for a project or helping a buddy at the expense of the team. All three permeate daily life in corrections facilities and managers and supervisors have an obligation to not ignore them, but to recognize and engage them.

> **Corruption equals monopoly power plus discretion minus accountability.**
>
> **Robert Klitgaard**

Violations of Trust

VIOLATIONS OF TRUST: 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.

- **Incompetence:** Competence is the building block of organizational ethics and the quality of action that vulnerable others depend upon. It is presumed that managers and supervisors have the capability to do the job. Failing to address incompetence infects the larger organization, undercuts the efforts of competent individuals, and can endanger staff and offenders.
- **Abuse of Power:** Using excessive physical or non-physical force to achieve the organizational goals is abuse of power. Threats to use force against staff or offenders in order to achieve personal ends not sanctioned by the organization or to cover up actions represent the most degrading type of unethical behavior. Permitting bullies among offenders or staff encourages abuse of power and loss of supervisory control.
- **Lying:** Passing on deliberate untruths to superiors or subordinates or not conveying information they are entitled to in order to do their job. Lying distorts the ability of the organization and responsible officials to understand exactly what is occurring in the organization. It cuts accountability off at its roots and makes high performance impossible to achieve. If mistakes are covered up or not acknowledged, individuals cannot grow and learn.
- **Favoritism:** Treating other individuals such as personnel, clients or offenders with special favors that violate consistent standards of treatment. Favoritism violates equity and fairness and hurts the legitimacy of the manager or supervisor but also the institution since offenders and staff learn that professional or legal behavior does not get rewarded, but buttering up supervisors does. Favoring or protecting a buddy or favorite often causes the lying, incompetence, and abuse of power mentioned above.
- **Discrimination:** Violating the dignity of other human beings by judging them on the basis of attributes such as race, religion,

gender, or ethnicity. Such discrimination invites conflict, becomes a flashpoint for violence and lawsuits, and destroys the capacity of teams to function together.

- **Disrespect:** Treating individuals in ways that violate the basic tenets of civility, truthfulness, and support that others have the right to expect as employees, citizens, or offenders. Too often we mistake respect for not telling the truth or avoiding the hard decisions that are required for institutions and people to grow and improve.
- **Silence or Looking 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 perceive such behavior in their area of responsibility and do not act to rectify the problem. Codes of silence are the main weapon corrupt cultures and actions use to flourish.

Self-Dealing

SELF-DEALING: The use of an official position in order to gain benefits for oneself that are beyond the normal benefits and compensation accorded officials in that position.

- **Bribery:** Providing or accepting special treatment for individuals in a person's realm of responsibility in exchange for some form of gain for the official who grants the treatment.
- **Theft:** Taking public resources that should be devoted to a public purpose and using them for personal use 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. For example, purchasing equipment with unnecessary features or of a quality beyond what is needed to do the job well for personal convenience.
- **Collusion:** Cooperating with other individuals, including outside contractors, to make funding decisions that are inefficient or allocate resources to provide excessive gain to the contractor or individuals.
- **Kickbacks:** Accepting some form of payment from an individual or contractor in exchange for favorable decisions to allocate resources to them.

Conflict of Interest

CONFLICT OF INTEREST: Deciding or acting in circumstances where the individual official or those related to the individual stand to materially benefit in some way from the decision or action. Most professional and agency Codes of Ethics focus their energy on these issues. Nepotism and similar situations, where spouses, friends, or relations report to each other, jeopardize 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 action occurs at an individual level, but often such actions reveal a culture of corruption. Organizational susceptibility to unethical behavior and corruption follows from a number of identifiable problems. The problems arise from a combination of lax or limited oversight and a number of different but often overlapping situational variables. Problems to address include:

- Limited and sporadic oversight or lax training, which invite unethical performance.
- Variables that place constant stress on personnel such as significant inequality of power, especially when exacerbated by differences of race, ethnicity, or religion.
- Unrealistic performance goals and failure to complete regular performance reviews coupled with a lack of support encourage inaccurate performance.
- Threats to safety encourage the use of questionable methods regardless of professional standards.
- Understaffed personnel facing higher work loads or different or more difficult offender populations.
- Management looking to fix blame rather than to fix the problem.

These situations tempt normal self-interested personnel to adopt unethical behavior in order to survive and function in excessively demanding and undermanaged environments.

Summary

Knowledge

Ethics in public organizations is not just about the personal integrity and behavior of one individual. Individual ethical lapses can be just that - individual lapses, but more often they are symptoms of deeper problems in the culture and structure of the organization. Ethical leadership depends upon the courage and competence of the managers and supervisors. They bear the brunt of front line work and problems. They carry the culture of the organization and fight the daily battle for a just and humane work environment in an organizational setting under pressure to become less just and humane.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

Articulate the Basic Values and Virtues of the Institution

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

Behaviors:

- ✓ Define the expected rules and standards in behavioral terms to achieve fuller understanding, agreement, and consistency.
- ✓ Learn and relearn the basic rules and standards.
- ✓ Know the applicable professional Code of Ethics and expected standards of discretion.
- ✓ Consistently communicate the rules, standards, and Code of Ethics to the team, staff, personnel, and offenders .
- ✓ Model the expected values, virtues, and behaviors at all times and demand that all supervisory staff and team leaders also model them.
- ✓ Create rituals and public occasions to recognize and celebrate the expected values, virtues, and behaviors.
- ✓ When uncertain refer to the resources available. Consult codes, superiors, human resources, legal affairs, ethics officers, or the Inspector General's Office.

Create Strong Support and Accountability for Ethics

Skill: Understanding one's responsibility and discretion.

Behaviors:

- ✓ Define the responsibilities and make them part of managing.
- ✓ Avoid the temptation to deny responsibility and become rigid and address both in oneself and others' performance.
- ✓ Clarify and model the behaviors that embody the values and virtues you wish to promote.
- ✓ Build values expectations into performance evaluation.
- ✓ Understand when actions arise from good intent and are mistakes in discretion. Work with staff and offenders to clarify the boundaries in non-punitive manners.

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

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

Behaviors:

- ✓ Model and train with direct reference to values.
- ✓ Make values a priority issue for staff and officers.
- ✓ Set a tone for the team that creates a safe and candid environment to discuss values and ethical issues.
- ✓ Work to create cooperation and team successes by recoginizing and rewarding cooperative actions.
- ✓ Give teams opportunities for input and initiative.
- ✓ Quickly address interpersonal issues of respect and perceptions of discrimination when they arise. Get help if needed.

Anticipate and Identify Points of Vulnerability and Ethical Slippage

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

Behaviors:

- ✓ Set clear and consistent boundaries with respect to prohibited behavior.
- ✓ Enforce the boundaries with fairness and consistency.
- ✓ Know the peer culture.
- ✓ Listen and watch carefully to understand the informal patterns and norms.
- ✓ Articulate the values and model desired behaviors to influence the cultural norms.
- ✓ Work to win over influential informal actors to the values and expectations of the organization.
- ✓ Get help when needed to address ethical slippage.

FOCUS FOR MANAGERS AND SUPERVISORS

ETHICS AND VALUES	MANAGERS	SUPERVISORS
	Managers are often classified positions that report to senior level leaders. He or she may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managers:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrators ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	This individual generally manages the staff that works directly with the client or constituent group. He or she also makes recommendations to improve systems and service delivery and monitors for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisors:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Articulate the Basic Values and Virtues of the Institution	▪ Understand, articulate, and model the desired behaviors that reflect the agency's values. Set expectations for the same from peers and subordinates. ▪ Know the professional standards and applicable code of ethics governing your scope of work. ▪ Communicate the rules, standards and code of ethics to your team, staff, personnel, and other stakeholders. ▪ Develop a network of knowledgeable resources, such as human resource specialists, legal affairs	▪ Understand, articulate, and model the desired behaviors that reflect the agency's values. Set expectations for the same from peers and subordinates. ▪ Know the professional standards and applicable code of ethics governing your scope of work. ▪ Communicate the rules, standards and code of ethics to your team, staff, personnel, and offenders. ▪ Develop a network of knowledgeable resources, such as managers, human resource specialists, or legal affairs officers, and refer to them when

ETHICS AND VALUES	MANAGERS	SUPERVISORS
	officers, or the Inspector General's office, and refer to them when needed.	needed.
2. Create Strong Support and Accountability for Ethics	▪ Build a positive organizational culture by demonstrating personal integrity and sound professional judgment. ▪ Recognize and accept responsibility for your actions. Set expectations for the same from peers and subordinates. ▪ Use managerial discretion ethically, be aware of and consider the context of issues when they arise. ▪ Set clear boundaries for unacceptable behavior and address unethical or illegal behavior in a fair and equitable manner. ▪ Publicly and formally emphasize and celebrate the agency's values, virtues, and ethical behavior.	▪ Build a positive organizational culture by demonstrating personal integrity and sound professional judgment. ▪ Recognize and accept responsibility for your actions. Set expectations for the same from peers and subordinates. ▪ Use supervisory discretion ethically, be aware of and consider the context of issues when they arise. ▪ Set clear boundaries for unacceptable behavior and address unethical or illegal behavior in a fair and equitable manner. ▪ Support and participate in public and formal celebrations of the agency's values, virtues, and ethical behavior. Emphasize the importance of the expected values and behaviors in the daily operations of your area of control.
3. Anticipate and Identify Points of Vulnerability and Ethical Slippage	▪ Understand the difference between illegal and unethical behavior. ▪ Be aware of and avoid the three common classes of unethical behavior: violations of trust, self-dealing, and conflict of interest. ▪ Be aware of group norms that protect or condone wrongdoing. ▪ Know the peer culture. Work to win over influential informal actors to the values and expectations of the organization.	▪ Understand the difference between illegal and unethical behavior. ▪ Be aware of and avoid the three common classes of unethical behavior: violations of trust, self-dealing, and conflict of interest. ▪ Be aware of group norms that protect or condone wrongdoing. ▪ Know the peer culture. Work to win over influential informal actors to the values and expectations of the organization.

REFERENCES

Anechiarico, Frank and James B. Jacobs. (1996). *The Pursuit of Absolute Integrity: How Corruption Control Makes Government Ineffective.* Chicago: University of Chicago Press.

Badaracco, Joseph. (1997). *Defining Moments*. Boston, MA: Harvard Business School Press

Cooper, Terry. (1998). *The Responsible Administrator: An Approach to Ethics for the Administrative Role.* San Francisco: Jossey-Bass Publishers.

Delattre, Edwin J. (1996). *Character and Cops: Ethics in Policing.* Washington, D.C.: American Enterprise Press

Dobel, J. Patrick. (1999). *Public Integrity*. Baltimore: Johns Hopkins University Press

Kornblum, Allan N. (1976). *The Moral Hazards: Police Strategies for Honesty and Ethical Behavior*. Lexington, MA: Lexington Books

Lewis, Carol. (1991). *The Ethics Challenge in Public Service.* San Francisco: Jossey-Bass Publishers

Light, Paul. (1995). *Thickening Government: Federal Hierarchy and the Diffusion of Accountability*. Washington, D.C.: Brookings Institution.

Rohr, John A. (1986). *Ethics for Bureaucrats: An Essay on Law and Values.* New York: Marel Dekker.

Rohr, John A. (1986). *To Run a Constitution: The Legitimacy of the Administrative State.* Lawrence, KS: University of Kansas Press.

RECOMMENDED READING

Anechiarico, Frank and James B. Jacobs. (1996). *The Pursuit of Absolute Integrity: How Corruption Control Makes Government Ineffective.* Chicago: University of Chicago Press.

Cooper, Terry. (1998). *The Responsible Administrator: An Approach to Ethics for the Administrative Role.* San Francisco: Jossey-Bass Publishers.

Delattre, Edwin J. (1996). *Character and Cops: Ethics in Policing.* Washington, D.C.: American Enterprise Press

Dobel, J. Patrick. (1999). *Public Integrity.* Baltimore: Johns Hopkins University Press

Lewis, Carol. (1991). *The Ethics Challenge in Public Service.* San Francisco: Jossey-Bass Publishers

Rohr, John A. (1986). *Ethics for Bureaucrats: An Essay on Law and Values.* New York: Marel Dekker.

INTERPERSONAL RELATIONSHIPS

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Marie Mactavish

INTERPERSONAL RELATIONSHIPS

Definition of Interpersonal Relationships

INTERPERSONAL RELATIONSHIPS: Interpersonal relationships are characterized by meaningful exchanges that reward both individuals with a sense of satisfaction from successful interaction. Also known as "people skills," effective interpersonal relationships allow individuals to feel at ease with others in both work and social situations.[1]

Knowledge Base

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

Why are interpersonal relationships important?

A study conducted by the Center for Creative Leadership indicated that the inability to effectively establish and maintain healthy interpersonal relationships is perhaps the main cause of leadership failure and career derailment.[2] Successful leaders invite communication, listen well, and prove themselves trustworthy by exhibiting rational, caring, and predictable behavior in their interpersonal relationships.

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

Recent attention to the idea of emotional intelligence, sparked by Daniel Goleman,[3] has led to research that illustrates the increasing importance of effective interpersonal relationships in the workplace and how these "soft skills" may prove more valuable to a leader than IQ. Indeed, successful leadership occurs when a strong web of relationships is developed, existing relationships are maintained, and new relationships are continually added to the web.

Effective interpersonal relationships are not only not "soft", they are directly correlated to an increase in productivity and commitment to the organizational mission. The ability to develop effective interpersonal relationships is a skill managers and supervisors need to motivate employees and other stakeholders. Productive employees are intrinsically motivated to perform. This motivation is based in part upon their relationship with their supervisors. Once perceived as a "soft skill," we now know that effective interpersonal relationships are a key to productivity.

The traditional authoritative leadership style often used in corrections may be of value in a crisis but only serves to de-motivate employees in non-crisis situations. Although soft skills may appear to only have small immediate benefits, they pay extremely large dividends over time. This chapter will discuss four areas of importance in establishing and maintaining effective interpersonal relationships: empathy, social responsibility, building relationship networks, and effective interpersonal relationships through technology.

I. Empathy

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

Empathy Defined

EMPATHY DEFINED: Empathy in interpersonal relationships is defined as "the ability to be aware of, to understand, and to appreciate the feelings of others. Empathy is 'tuning in' (being sensitive) to what, how, and why people feel and think the way they do. Being empathetic means being able to 'emotionally read' other people. Empathetic people care about others and show interest in and concern for them."[4]

Understanding Empathy

UNDERSTANDING EMPATHY: Empathy itself cannot be defined as a skill. Being an empathetic person is a way of being. You cannot turn it on and off; you simply have to sincerely care about other people, their feelings, and their points of view. Developing empathy is not about changing policies or structures. Those can remain the same. Developing empathy, rather, shifts the focus of leadership toward its impact on individuals. One can learn skills that facilitate empathetic behavior.

An Empathetic Approach to Management

There are several facets to an empathetic approach to management and leadership that are important. They involve both a way of being and a set of skills that facilitate empathetic behavior. The empathetic manager or supervisor will do the following:

- Try to see the world from others' perspectives (their subjective experience).
- Put his or her own emotions on hold.
- Ascertain how others feel.
- Listen fully to concerns.
- Ask probing questions.
- Take others' feelings and situations into account when making decisions.

This interpersonal savvy[5] helps a manager or supervisor hold back and neutralize his or her own reactions. It also gives the manager or supervisor several approaches to developing effective relationships that can be adapted to specific individuals. This savvy enables an empathetic manager or supervisor to get the results he or she needs without damaging relationships unnecessarily. When people are cared for in this way, they will want to work with that manager or supervisor again.

Example of an Empathetic Manager

The following example is a hypothetical situation where an executive or his or her representative takes an empathetic leadership approach in order to develop and maintain healthy interpersonal relationships.

Empathetic Management in Action

A CEO of a statewide organization has the philosophy that top managers need to have the experience of leading different functions of the organization in different geographic locations. This rotating management system moves its managers periodically within the state. As rotations come up, the executive team often makes new assignments and gives them to those managers who will be changing locations.

An executive who leads with empathy, looking over the list of managers, is aware that one manager who will be assigned to move has a family with children in school. She initiates contact with the manager and has a conversation with him regarding the pending rotation. The manager, accepting the philosophy of job rotation, asks for consideration regarding the timing of the rotation. Listening to the manager's concerns, she finds out that it would be best for his children if he were relocated at the end of the school year.

This decision not only benefits the manager and his family, but it also benefits the executive who required the move. In taking the other person's situation into account and asking questions and listening, their interpersonal relationship is strengthened. The manager's loyalty to the executive has increased because she cared about his situation. In turn, it creates increased morale and acceptance of the CEO's philosophy, and a gentler, kinder way of implementing it.

II. Social Responsibility

> **For me, a successful sustainable business is one that provides steady shareholder returns while improving the quality of life of its workers, the communities it calls home, and the environment it touches. .**
>
> **--Paul Dolan**

Social Responsibility Defined

SOCIAL RESPONSIBILITY DEFINED: Social responsibility is being a cooperative and contributing member of your group and organization. Being socially responsible means you act in a responsible manner whether there is immediate benefit for yourself or not. Social responsibility is having a basic concern for others and doing things for the good of the larger group and community.[6]

Understanding Social Responsibility

UNDERSTANDING SOCIAL RESPONSIBILITY: Being a socially responsible manager or supervisor does not mean that you need to go overboard to help everybody with everything or contribute time and resources to every project or cause. It is simply behaving is such a way that shows others you are concerned about the group as a whole and that you are a contributing member, rather than someone who lets others do the work or cares only for your own interests.

A Socially Responsible Approach to Management

There are several facets to a socially responsible approach to management and leadership that are important. Again, being socially responsible is not a skill itself, but is a way of being that also involves a set of skills that facilitate socially responsible behavior. The socially responsible manager or supervisor will do the following:

- Cooperate when others have pressing needs.
- Contribute to others' work when necessary.
- Give time and energy to things that don't bring immediate personal benefits.
- Consider the needs of other units, divisions, and stakeholders.

Being socially responsible lets others know you are trustworthy and that you will always do what is best for everybody – a key element for effective interpersonal relationships. Without being socially responsible, it is difficult for you as a manager or supervisor to develop healthy interpersonal relationships based on trust. It will also make it difficult to create a strong network of relationships to bolster you as a leader.

Example of a Socially Responsible Manager

The following example is a hypothetical situation where a manager takes a socially responsible approach to leadership in order to develop and maintain healthy interpersonal relationships.

Socially Responsible Management in Action

An organization has just asked that managers submit their requests for funding for the upcoming fiscal year. As one manager prepares a request for funding, he realizes that realistically there will not be enough money for every division to get the funds they want.

Consequently, the manager meets with other managers to work out a resolution that will help everybody get the funding they need for their most urgent work despite limited resources. As a result, all managers reduce their requests in order to ensure that everybody receives the funding they need. This spares the executive board from the need to make difficult funding choices.

This manager, acting as a socially responsible leader, realized that for the greater good of the organization, mission critical tasks needed to be met with limited resources. His collaborative effort shows those in his own division, as well as the managers in other divisions, that he cares about this greater good and everyone's contribution to it. This instills trust and cooperation among the divisions and develops strong relationships that can be called upon later when needs arise again.

III. Building Relationship Networks

The powerful person is a master networker. Good networking increases your visibility and gives you a valuable circle of people from whom you can give and receive support and information.

--Patricia Haddock

Relationship Networks Defined

RELATIONSHIP NETWORKS DEFINED: Relationship networks are a web of strong interpersonal relationships that are characterized by trust and cooperation. These relationship networks can be accessed for support and information during times of need. Those who cannot build and maintain effective interpersonal relationships will struggle when they need to lead and call upon others to follow.

Understanding Relationship Networks

As has been mentioned earlier, empathy and social responsibility are necessary components of building effective interpersonal relationships and relationship networks. Consequently, strong networks cannot exist without empathy and social responsibility.

When managers or supervisors take an empathetic and socially responsible approach to leadership, they will find that they are creating a strong network of individuals who trust them, who will cooperate with them, and who will support them when called upon because they know that the manager or supervisor's intentions are genuine. These networks are maintained by the empathetic and socially responsible behaviors mentioned above.

An Interpersonal Network Approach to Management

There are several facets to an interpersonal network approach to management and leadership that are important. Not only are the following examples of things that managers and supervisors with interpersonal savvy do, but they are also benefits they enjoy. The manager or supervisor with a strong interpersonal network will do the following:

- Feel comfortable around all kinds of people.
- Make and keep friends within the workplace.
- Read social environments accurately.
- Establish support networks.
- Experience fewer conflict situations.

Example of a Management Interpersonal Network

The following example is a hypothetical situation where a manager uses her strong interpersonal network effectively to resolve a sensitive and challenging internal issue for the organization.

A Management Interpersonal Network in Action

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

Because this issue is so sensitive and somewhat controversial, the manager knows she must assemble a committee of interested, capable, and respected individuals. Knowing it would be difficult to assemble this group alone, she calls upon her strong network across the state to recommend members for the committee. Colleagues from her network recommend individuals that she would not have known to include, but who make valuable contributions to the committee's success.

IV. Technology and Interpersonal Relationships

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

Technology and Interpersonal Relationships Defined

TECHNOLOGY AND INTERPERSONAL RELATIONSHIPS DEFINED: Geographically dispersed offices and locations are an organizational reality. In addition, technology affects communication within the same location. These situations offer both an opportunity and a challenge for managers and supervisors to develop and maintain healthy interpersonal relationships with direct reports as they rely more heavily on communication technologies such as email, telephone, and conference calls to communicate.

Understanding Technology and Interpersonal Relationships

UNDERSTANDING TECHNOLOGY AND INTERPERSONAL RELATIONSHIPS: Reduced face-to-face contact, limited impromptu meetings, and fewer informal conversations can result in individuals feeling less connected with their work groups and managers or supervisors. Communication technologies can either contribute to this problem or help individuals feel more connected. Technology can cause problems for managers and supervisors who are trying to develop and maintain strong interpersonal relationships, because the quality of communication can be reduced, but for managers and supervisors who understand how to use communication technologies effectively, healthy interpersonal relationships can be developed and maintained.

Developing Effective Interpersonal Relationships Through Technology

Managers and supervisors face many challenges when they have to maintain relationships through technology. Despite limitations, there are several skills and behaviors that managers and supervisors can learn to assist them in maintaining strong interpersonal relationships using technology. The technologically effective manager or supervisor will:

- Establish criteria for acceptable and desired amounts of email and teleconference communication.
    - Initiate a conference call or in-person meeting with your group if too many emails are circulating about an issue.
    - Find out others' desire for being copied on email for meeting notes, reports, etc.
- Not assume that emotions are understood, but rather clarify the situation by asking additional "feeling" questions.
    - Take time to identify specific individuals and elicit their response.
    - Whether on email, telephone, or video-conference, ask questions about how people feel about the topics being discussed, i.e. "Are you happy with this decision?"
    - Because email has neither verbal nor nonverbal communication cues, unintended tones of abruptness or dissatisfaction may be unnecessarily assumed. All email should be read before sending to determine if such a tone could be perceived.
- Choose the proper technology for the message according to the sensitivity of the subject.
    - Sometimes it may be more considerate to use email within the same office setting if a person is very busy.
    - Email and the telephone should not be used to avoid necessary interpersonal interaction, as doing so often escalates a problem.
- Maintain a personal connection by making sure contact through technology is not just "business only" communication.
    - Technology should be also used to inquire about an individual's well being, offer congratulations, etc.; however, too much non-business communication can be disruptive or inappropriate so it should be used wisely.
    - Technology, particularly email, allows quick, non-intrusive ways to maintain relationships in a network.

Research shows that more than half of communication is nonverbal. This poses problems when you cannot see a person, hear a person, or both. Yet the skills above will enable a manager to effectively maintain strong working relationships despite geographic distance.

Summary

Interpersonal relationships are both the key to management success and the number one cause for career derailment. Building and maintaining healthy and effective interpersonal relationships and networks often pays large dividends to those who take the time to develop and nurture them.

There are four areas that a manager or supervisor should focus on when developing interpersonal relationships. These are not necessarily skills, but ways of being and behaviors that should be developed by effective managers and supervisors. These areas are empathy, social responsibility, building relationship networks, and the effective use of technology in interpersonal relationships.

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

Socially responsible managers and supervisors spend time and energy contributing to projects and activities that may not immediately benefit them. They realize that in order to be a successful leader and gain support in times of need they must be a contributing member of their groups and communities. Socially responsible managers and supervisors do not leave their own responsibilities unattended in order to contribute to others, but they make the time to help others when they need it.

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

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

When empathy, social responsibility, relationship networks, and effective communication through technology become part of a manager or supervisor's leadership style, effective interpersonal relationships will result. And those relationships will often be the intangible element of successful leadership.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

Empathy

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

Behaviors:

- ✓ Puts his or her own emotions on hold.
- ✓ Asks probing questions.
- ✓ Listens fully to others' concerns.

Socially Responsible Management

Skill: Demonstrating that he or she is a contributing member of the work community.

Behaviors:

- ✓ Gives time and energy to things that offer no immediate benefit.
- ✓ Cooperates with others in times of need.
- ✓ Considers the greater good of the organization, not just his or her immediate area of authority.

Building Relationship Networks

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

Behaviors:

- ✓ Identifies people whose skills and abilities will contribute to his/her network and makes specific contact to develop a relationship.
- ✓ Actively makes and keeps friends within the workplace.

- ✓ Feels comfortable in social settings and makes others feel at ease.
- ✓ Maintains contact with those in his or her network.

Technology and Interpersonal Relationships

Skill: Understanding and setting common standards for the use of communication technology such as email, telephone, etc.

Behaviors:

- ✓ Asks what people's needs and desires are regarding the use of communication technology.
- ✓ Chooses the appropriate technology for the task.

Skill: Maintaining effective relationships through technology.

Behaviors:

- ✓ Asks "feeling" questions to discern emotion.
- ✓ Makes personal as well as business contact.
- ✓ Proofreads emails to make sure they are clear.

FOCUS FOR MANAGERS AND SUPERVISORS

INTERPERSONAL RELATIONSHIPS	MANAGERS	SUPERVISORS
Interpersonal relationships are characterized by meaningful exchanges that reward both individuals with a sense of satisfaction from successful interaction. Also known as people skills, effective interpersonal relationships allow individuals to feel at ease with others in both work and social situations.	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managerial positions:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrator ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	These individuals generally manage the staff that works directly with the client or constituent group. They also make recommendations to improve systems and service delivery and monitor for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisory positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Empathy	▪ Develop the ability to understand and appreciate the feelings of others.	▪ Develop the ability to understand and appreciate the feelings of others. (Training in this area should receive high priority for new supervisors.)
2. Social Responsibility	▪ Act in a responsible manner toward concerns beyond their immediate job responsibilities.	▪ Act in a responsible manner toward concerns beyond their immediate job responsibilities. (Training in this area should receive high priority for new supervisors.)

INTERPERSONAL RELATIONSHIPS	MANAGERS	SUPERVISORS
3. Building Relationship Networks	▪ Develop and maintain strong networks characterized by trust and cooperation.	▪ Develop and maintain strong networks characterized by trust and cooperation. (Training in this area should receive high priority for new supervisors.)
4. Technology and Interpersonal Relationships	▪ Acquire an understanding of the effective use of communication technology.	▪ Acquire an understanding of the effective use of communication technology. (Training in this area should receive high priority for new supervisors.)

REFERENCES

Boone, Gloria, Ph.D. and Richard P. Kroop, Ph.D. (1991*). Communicating in the Business Environment.* Amherst, MA: Human Resource Development Press.

Cooper, Robert K. and Ayman Sawaf. (1996). *Executive EQ: Emotional intelligence in leadership and organizations.* New York: Pedigree Books.

Goleman, Daniel. (1995). *Emotional intelligence: Why it can matter more than IQ.* New York: Bantam Books.

Goleman, Daniel, Richard Boyatzis, and Annie McKee. (2002). *Primal leadership: Realizing the power of emotional intelligence.* Boston: Harvard Business School Press.

Lombardo, Michael M. and Robert W. Eichinger. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited, Inc.

Stein, Steven J. and Howard E. Book. (2000). *The EQ edge: Emotional intelligence and your success.* Toronto: Stoddart Publishing.

RECOMMENDED READING

Goleman, Daniel, Richard Boyatzis, and Annie McKee. (2002). *Primal leadership: Realizing the power of emotional intelligence.* Boston: Harvard Business School Press.

Stein, Steven J. and Howard E. Book. (2000). *The EQ edge: Emotional intelligence and your success.* Toronto: Stoddart Publishing.

Endnotes

[1] Stein, Steven J. & Book, Howard E. (2000). *The EQ edge: Emotional intelligence and your success.* Toronto: Stoddart Publishing.

[2] "Benchmarks: Development reference points." Center for Creative Leadership, May 2000.

[3] See Goleman, Daniel. (1995). *Emotional intelligence: Why it can matter more than IQ.* Bantam Books: New York; Goleman, Daniel. (1998). *Working with emotional intelligence.* Bantam Books: New York; Goleman, Daniel, Boyatzis, Richard, & McKee, Annie. (2002). *Primal leadership: Realizing the power of emotional intelligence.* Harvard Business School Press: Boston.

[4] Stein, Steven J. & Book, Howard E. (2000). *The EQ edge: Emotional intelligence and your success.* Toronto: Stoddart Publishing. P. 111

[5] Lombardo, Michael M. & Eichinger, Robert W. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited Inc.

[6] Stein, Steven J. & Book, Howard E. (2000). *The EQ edge: Emotional intelligence and your success.* Toronto: Stoddart Publishing.

ORAL AND WRITTEN COMMUNICATIONS

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Barbara Lucey

ORAL AND WRITTEN COMMUNICATIONS

Definition of Communication

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

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

Knowledge Base

> **As soon as you move one step up from the bottom, your effectiveness depends on your ability to reach others through the spoken or written word.**
>
> **--Peter Drucker**

Why is communication important?

Communicating is a vital aspect of any manager's job. Managers and supervisors rarely do their work alone. Interacting and communicating with others are major activities of managers and supervisors. Communicating is a two-way process and is effective only when the people to whom you are communicating receive your message, understand it, remember it, and respond to it appropriately. If your message doesn't succeed in these four areas, you are not communicating. As we increasingly operate in a global business environment, competence in intercultural communication will become more important.

Poor communications can result in mistakes, misunderstandings, and conflict. A misinterpreted memo can create costly delays; a poorly written report can lead to wrong decisions; and failure to listen or understand cultural differences in body language can jeopardize important relationships. The better you are at communicating, the more effective you will be as a leader.

I. Verbal Communication

Formal and Informal Communication

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

Personal Communication Styles

The four styles of personal communication are based on two dimensions of behavior:

- direct versus indirect
- relationship versus task

Studies indicate that managers and supervisors spend 60 to 80 percent of their time involved in verbal communications. Every day they engage in face-to-face dialogue with a wide variety of people both inside and outside the organization – staff, peers, other managers, customers, suppliers, and key stakeholders. Verbal communications often break down because people have different communication styles. In effect, we are speaking different languages. Understanding and adapting to your listener's personal communication style to express your ideas and feelings can improve communication potential.

There are four personal communication styles based on two dimensions of behavior: direct versus indirect and relationship versus task orientations. The first dimension describes people's observable behavior. Direct people tend to be assertive, talkative, action-oriented, and speak at a fast pace. They make swift decisions, enjoy taking risks, and tend to be impatient. Indirect people tend to be more quiet and reserved, slow-paced, and cautious. They typically do not share their opinions or concerns and can appear to be indecisive, meditating on their decisions, and avoiding major changes.

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

Figure 1 shows the verbal, vocal, and visual communication clues associated with the direct, indirect, relationship and task oriented dimensions of behavior.

Personal Communication Style Clues

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

Figure 1: Adapted from **Communicating at Work**, ***by Tony Alessandra, 1993.***

Four Styles of Personal Communication are:

- Relater
- Socializer
- Thinker
- Director

In the matrix below (see Figure 2) the x-axis represents relationship vs. task orientation and the y-axis represents direct vs. indirect behavior. The two dimensions when combined form four unique communication styles and ways of relating to the world. The upper left quadrant describes the *Relater* communication style that is indirect and relationship-oriented. The upper right quadrant describes the *Socializer* communication style that is direct and relationship-oriented. The lower half of the matrix describes task-oriented styles; the lower left *Thinker* communication style uses a more indirect approach and the lower right *Director* style uses a more direct approach when communicating.

Personal Communication Styles Matrix

Relationship-Oriented

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

Task-Oriented

FIGURE 2: ADAPTED FROM COMMUNICATING AT WORK, BY TONY ALESSANDRA, 1993.

Tailoring Your Communication Style

TAILORING YOUR COMMUNICATION STYLE: Most people have a dominant communication style; however it is important to understand that people may sometimes move between the combinations as well. For example someone may use the Director style at work, but demonstrate more of the Socializer behaviors in a non-work environment. The most effective way to communicate is to know the dominant style of the person in the context in which you are communicating with them and then modify your communications to his or her specific communication preferences.

The following are suggestions for communication modifications that can be made for each style:

Socializers

SOCIALIZERS (DIRECT, RELATIONSHIP-ORIENTED): Socializers talk, move, and make decisions quickly and they are relationship oriented. These modifications will improve the effectiveness of your communications with them:

- Support their opinions and ideas.
- Allow the discussion to flow and occasionally get off on tangents.
- Be entertaining and fast paced.
- Avoid conflict and arguments.
- Compliment them.
- Allow them to get things off their chests.

Directors

DIRECTORS (DIRECT, TASK-ORIENTED): Directors talk, move, and make decisions quickly. They are task-oriented. These modifications will improve the effectiveness of your communications with them:

- Talk about results.
- Support their goals and objectives.
- Keep communication businesslike.
- Present arguments based on facts, not feelings.
- Be well-organized.
- Provide clearly defined options with supporting analysis.

Thinkers

THINKERS (INDIRECT, TASK-ORIENTED): Thinkers talk, move, and make decisions more slowly. They are task-oriented**.** These modifications will improve the effectiveness of your communications with them:

- Be thorough and well prepared.
- Support their need to be accurate and logical.
- Ask questions and let them show you how much they know.
- Allow time for deliberation and analysis.
- Provide solid, factual evidence.

Relaters

RELATERS (INDIRECT, RELATIONSHIP-ORIENTED): Relaters talk, move, and make decisions more slowly. They are relationship-oriented. These modifications will improve the effectiveness of your communications with them:

- Be warm and sincere.
- Support their feelings by showing personal interest.
- Use an informal, slower, more relaxed manner.
- Listen actively.
- Assume they will tend to take things personally.

Gender Differences in Communication

Masculine and feminine refer to styles of relating rather than the gender of the communicator.

GENDER DIFFERENCES IN COMMUNICATION: Managers and supervisors also need to understand masculine and feminine communication styles to be effective communicators. Masculine and feminine refer to styles of relating rather than gender differences. For example, women can show some or even many of the masculine patterns of expression and some men may be more comfortable with the feminine style of relating. Some examples of differences in feminine and masculine communication styles are illustrated below in Figure 3.

FEMININE COMMUNICATION STYLES	MASCULINE COMMUNICATION STYLES
▫ Like to dialogue; are more willing to show emotion. ▫ Use talking as a way to share information, form a bond and offer support. ▫ Are less likely to speak up, are more willing to give up their turn.	▫ Are more direct, want to "cut to the chase." ▫ Think of conversation as a contest. ▫ Are assertive and outspoken, more willing to interrupt.

Figure 3. Feminine and Masculine Communication Styles

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

Intercultural Communications

To be competent in intercultural communications you must realize that you naturally use the categories of your own culture to judge and interpret the behaviors of others.

INTERCULTURAL COMMUNICATIONS: In the twenty-first century, competence in intercultural communications is an imperative in both personal and professional lives. The United States is a mosaic of many cultures – cultures being groups of people who share ethnic backgrounds as well as values, attainments, beliefs, and traditions. A department or organization integrates employees into the workplace and eventually develops a "culture" of its own. Learning to communicate effectively with people from a different organizational culture or cultural heritage is especially critical for today's managers.

To be competent in intercultural communications you must realize that you naturally use the categories of your own culture to judge and interpret the behaviors of those who are culturally different from you. These categories are like a cultural lens you look through when judging others and include such things as:

- Race
- Ethnicity
- Religion
- Nationality
- Family Background
- Personal Values
- Education
- Socioeconomic Status

It is important to understand the different forces that shape the culture of people with whom you are communicating. By understanding these forces, you will have a greater degree of accuracy in understanding others and communicating appropriately and effectively.

Nonverbal Communication

Communicating effectively involves more than language and words.

NONVERBAL COMMUNICATION: Communicating effectively involves more than language and words. It is equally important to understand nonverbal messages. Nonverbal behaviors become part of the communication process when someone tries to convey a message or when someone attributes meaning to the nonverbal behavior of another. Communication experts estimate that only seven percent of our communication is represented by the words we say, another 38 percent by our sounds and how we say words, and 55 percent by our nonverbals and body language. Nonverbals also relate to the use of personal space, time orientation, and vocal qualities such as pitch, volume, rhythm, and rate of talking. As described in Figure 1 earlier, observing visual and vocal clues can provide information about an individual's communication style.

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

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

Seek first to understand, then to be understood.

--Stephen Covey

Active Listening

Listening may be a manager's most important skill.

Three Steps of Active Listening:

- Concentrate on the speaker
- Show attention and interest
- Clarify points by asking questions or paraphrasing

ACTIVE LISTENING: Communication is a two-way process. Most of us focus on our role as senders and forget our responsibilities as receivers. But listening may be a manager's most important skill. Surveys frequently reveal that employees do not feel that their managers listen to their needs, suggestions or complaints, resulting in lowered morale and productivity.

Active listening improves working relationships because it makes people feel appreciated, understood and accepted.

The first step in active listening is to concentrate on the speaker. Eliminate or reduce environmental distractions such as telephone calls or visitors, visual distractions such as passerby traffic, and uncomfortable seating or room temperature.

The second step is to show attention and interest, again ensuring that you show sensitivity to the cultural background of the person with whom you are communicating. Common signs of demonstrating interest in a Euro-American context include:

- facing the speaker
- maintaining eye contact
- using nonverbal cues such as head nods and facial expressions
- using encouraging vocal prompts such as "hmmm," "go on," and "tell me more"

The third active listening skill is to clarify points by asking questions or paraphrasing the point to ensure understanding. Paraphrasing is saying back to the other person what you think they really meant. This often involves "reading between the lines" to interpret the full meaning of the speaker's words, then checking out your interpretation.

By using active listening techniques you are letting the speaker know that you are interested in what he/she is saying and that you understand the message.

Giving and Receiving Feedback

GIVING AND RECEIVING FEEDBACK: Feedback is vital to any organization committed to improving itself, for it is the only way to know what needs to be changed. As a manager or supervisor, you

It is important that managers give both positive and constructive feedback.

need good feedback skills to improve your team's performance and help you communicate more effectively with others at work. It is important that you give both positive and constructive feedback. Managers often make the mistake of taking good work for granted and only giving constructive feedback focused on improving performance that does not meet expectations. Good managers and supervisors regularly use both types of feedback to motivate their team to high performance.

Guidelines for Giving Feedback:

Constructive feedback should take place within a context of listening to and caring about the person. Before giving feedback, make sure that the time, place, and circumstances are appropriate. Use the following guidelines for giving both positive and constructive feedback:

- Be timely
- Be specific
- Focus on the behavior, not the person
- Do not assume
- Involve the person receiving the feedback

- **Be timely –** Feedback should be given as closely as possible to the behavior you're focusing on; otherwise, it loses its effectiveness.
- **Be specific –** Clearly and objectively describe the specific behavior you want to focus on. Share your observations and give examples.
- **Focus on the behavior, not the person –** Relate feedback to the behavior or action you want to discuss. Do not criticize the person personally.
- **Do not assume –** Making assumptions is counterproductive. You may not have all the facts of a situation. In addition, the other person may have a frame of reference that is totally different from your reactions, perceptions, and beliefs. This is particularly true in intercultural communications. The most effective response is to think of your interpretation as a tentative hypothesis until it is tested by gathering additional information and data.
- **Involve the person receiving the feedback –** Encourage two-way communication. Asking for reactions, thoughts and ideas builds trust and ownership.

In addition to improving the performance of others through feedback, you should solicit feedback to improve your own performance as a leader. Receive feedback with the intent to learn and grow. Listen carefully to the feedback without interrupting. Ask questions for clarification and acknowledge valid points. Evaluate the message and decide whether you would benefit from modifying your behavior

.

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

Asking Questions

ASKING QUESTIONS: Asking questions is an art. Questions can build rapport and trust, open up a conversation, or sell an idea. Questions are at the heart of communication. Questions are used to gain information, check agreement, gain other's views, stimulate conversation, and verify information. Asking questions is particularly important in an organization where people need to understand each other clearly to work together to achieve a common goal.

Two Types of Questions:

- Open-Ended
- Closed-Ended

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

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

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

II. Group Communication

Group communication skills involve the ability to speak in public and lead productive and motivating meetings. Both forms of group communication require leadership, high levels of organization, and the verbal skills discussed in the previous section.

Leading Meetings

LEADING MEETINGS: Meetings provide supervisors and managers the opportunity to model good leadership; however, many meetings fall short. Meetings are the most expensive communications activity in business. Even more costly than

Well-managed meetings are an

effective and essential tool of communication.

salaries, facilities, and materials is the cost of lowered morale when people have to sit through boring, poorly planned and poorly conducted meetings. Well-managed meetings are an effective and essential tool of communication. Important decisions are made, ideas are generated, information is shared, and people feel a sense of purpose, pride, and belonging.

Preparing for Meetings Includes:

MEETING PREPARATION: The success of meetings is directly related to the quality of preparation beforehand. Although there are many administrative tasks associated with meetings, the most important meeting preparations are determining the meeting purpose and what your role will be. Meetings are held for a variety of purposes, including:

- Identifying the type of meeting

- Planning
- Information Sharing
- Problem-Solving
- Reviewing Progress
- Training
- Team Building
- Making Decisions
- Generating Ideas
- Introducing Change
- Gaining Commitment
- Celebration and Recognition

- Determining your role

After determining the meeting purpose(s) you need to think about the role you want to play — cheerleader, coach, facilitator, counselor, visionary, etc.

- Completing Administrative Tasks

A checklist of administrative preparations is outlined below.

- Review progress on tasks and assignments from previous meetings
- Establish meeting agenda, timeframes and location
- Select and notify participants
- Collect any data to be shared
- Anticipate questions and concerns

- Advance notice

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

Facilitating Meetings Includes:

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

- Encouraging participation

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

- Focusing on the objectives

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

- Summarizing outcomes

The leader should end the meeting by summarizing the meeting highlights, decisions, assignments, and discussing next steps. It is also a good idea to make a habit of asking participants to evaluate meeting effectiveness by identifying what went well, what didn't work, and what could be improved. The meeting should be followed up by distributing written meeting minutes to not only to participants and but also to others who may have a need to know.

Making Presentations

> **Speech is the mirror of the soul; as a man speaks, so he is.**
>
> **--Publilius Syrus**

MAKING PRESENTATIONS: The ability to speak in front of groups to share information, ideas, experience, and enthusiasm is an important leadership skill that becomes more critical as you progress up the management ranks.

Public speaking can take many forms: presenting to a large audience in a public forum, presenting a proposal to decision makers, explaining a new policy, building understanding and energy for a change initiative, or reviewing the status of a project. Good presentations can provide opportunities for growth, recognition, and prestige. The effective speaker establishes himself as an expert to whom others can turn for advice.

Purpose and Value of Presentations

Presentation Purpose and Value: Giving a successful presentation first requires an understanding and appreciation of the valuable time and attention you are asking of your audience. You have an obligation to ensure that their attendance will provide a value-added benefit to them by asking the following questions:

- What is the purpose of the presentation?
- Is a presentation the most appropriate communication vehicle?
- Am I the best person to make the presentation?
- Who is my audience?
- What benefit will the audience gain?
- Is the benefit worth the cost associated with the presentation?
- What do I want the audience to know and do at the end of the presentation; how do I want them to feel?
- How will I gain the attention and respect of the participants?

Types of Presentations Include:

- Reports
- Explanatory
- Persuasive
- Instructional

TYPES OF PRESENTATIONS: Once you've determined the purpose and value of your presentation, you will need to decide the appropriate presentation format. There are four basic presentation formats or types. They differ primarily in the amount of detail presented and the level of persuasiveness required to meet the objective of the presentation.

Reports – Bring people up-to-date on something they are already familiar with (i.e. project report). They generally focus on facts and figures and other details and involve little persuasive effort.

Explanatory – Used to provide an overall perspective or identify new developments. This type of presentation provides the audience new information and understanding and seldom involves extensive detail or persuasive efforts.

Persuasive – Has the purpose of getting others to accept your opinion or idea and generally involves others changing their view of something. This format uses a lot of persuasive skills and seldom requires extensive detail

Instructional – Used when you want to teach others how to do something. There is usually more audience participation and involvement with this presentation format. It generally involves extensive detail and is persuasive because you are trying to convince your audience to adopt a new methods or behaviors.

Tailoring Your Presentation

TAILORING YOUR PRESENTATION TO YOUR AUDIENCE: After you have a purpose statement and understand the type of presentation you will be giving, you must consider how to mold your presentation to fit the specific characteristics and needs of the audience. You can then select examples, language, and concepts that will best hold their attention.

Three Parts of a Presentation:

- Introduction
- Body
- Conclusion

There are three main parts to any presentation—the introduction, the body, and the conclusion. Research on human memory indicates that people remember best what they heard first or last in a speech, so it is important to create an engaging introduction and conclusion.

Introduction – The introduction must capture the attention of the audience and convince them to continue to listen to you. Attention getting techniques include using a rhetorical question, statistic, quotation or dramatic story. Using humor not only in the introduction, but also throughout the presentation, is a good way to gain attention and relax the audience and yourself. In the introduction you should also review the agenda, relate your background and experience, and let listeners know how your information is relevant to their needs.

Body – The body is the middle section of your presentation where you will develop the main points and themes of your talk. The body of the presentation can be organized by topic, time, or using a problem and solution approach. Important points should be emphasized with good visual aids to help the audience remember more of your message. The language you use should be accurate, concrete and clear so that the audience can understand your message. Acronyms and jargon should be explained and care should be taken to be as concise as possible.

Conclusion – The conclusion summarizes what you've been saying in the body of your presentation and stresses the main ideas you want your audience to remember. This is the point at which you can also ask for appropriate action.

> **One cannot <u>not</u> communicate.**
>
> **--Osmo Wiio**
> **Member of the Swedish House of Parliament**

Presentation Delivery

PRESENTATION DELIVERY: Whether or not your intention is to send a message to someone, you are still always communicating something to someone. Since the success of your presentation is determined by the response of the audience, it is important to be aware of the way you are perceived by others. This means that you need to examine your body language as well as the verbal delivery of your presentation. Here are a few guidelines:

- Use a relaxed but erect posture with weight evenly distributed, shoulders back, chin up.
- Rotate your eyes to various parts of the audience.
- Use facial expressions to dramatize and reinforce emotions.
- Dress appropriately for your position.
- Coordinate your gestures and movements with what you say.
- Use a positive, enthusiastic voice that is loud enough so that everyone can hear.
- Vary the loudness, pitch, and rate of your voice to suit your material.
- Use pauses as punctuation marks for your voice.

III. Written Communication

> **Grasp the subject and the words will follow.**
>
> **--Cato the Elder**
> **Roman Statesman, Orator and Writer, 1st Century BC**

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

Targeting Written Communication

Selecting the Appropriate Form of Written Communication

SELECTING THE APPROPRIATE FORM OF WRITTEN COMMUNICATION: In today's business environment there are a myriad of communication methods to convey the written word including the more traditional letters, memos, reports and policies, as well as the newer electronic methods such as e-mails, web sites, faxes, etc.

Selecting the appropriate written communication method should take into account such factors as degree of formality/informality (i.e., policy vs. e-mail); level of complexity (i.e., report vs. note); speed of delivery (i.e., e-mail vs. letter); and internal vs. external audience (i.e., employee vs. customer).

Knowing Your Audience

KNOWING YOUR AUDIENCE: In all written communications you must know what you want to say, what your objective is in saying it, and why it is important for the audience to read it. Knowing your audience will help you organize your material so that is has the best chance of being read and understood. Good communicators show they understand the other person's goals. Put yourself in the reader's shoes and your message will be better received.

Goals of Business Writing

Three Goals of Business Writing:

THREE GOALS OF BUSINESS WRITING: Business writing emphasizes clarity, conciseness, and readability over eloquence. This is true even for informal communications such as e-mails. Clear writing requires preparation. Lack of planning and confidence results in indirect, lengthy, and unfocused writing. Corrections employees are confronted with a high volume of communications. Communications that are poorly written are unlikely to be read or acted upon by busy people who already have an overcrowded schedule.

- Clarity

Clarity – Clarity can be improved by using an active voice and by avoiding jargon and indirectness.

- *Use Active Voice:* Business is about action. An active voice is open and up-front; it calls for and encourages action.
- *Avoid Jargon:* Jargon can cause miscommunication and misunderstanding for those not familiar with the terms. If there is any question that the reader will not understand a term, define the term or find another way of expressing the idea.
- *Be Direct:* Say what you mean. Words such as "seems," "could be," "appears" and "might possibly be" indicate lack of confidence and unclear thinking.

- Conciseness

Conciseness: The second goal of business writing is conciseness. You are asking people who have little time or inclination to read what you've written. Respect your reader's time by stating your business in the clearest and shortest way possible:

- Use short, crisp, to-the-point words.

- Use short sentences that are active and easily understood; avoid lengthy sentences full of dependent clauses.
- Use short paragraphs that convey only one idea.

▪ Readability

Readability – The third goal of business writing is readability. You can make your message easier to read by using several formatting techniques:

- *Highlighting:* Use bolding and italics to highlight key ideas and new topics.
- *Bullets:* Use bullets to emphasize list items.
- *White Space:* Use wide margins, narrow columns and plenty of space between paragraphs to make the page look clean and professional.
- *Limit Upper Case*: All caps are harder to read.

Graphics such as pictures, photographs, tables, charts, etc., can also be used to enhance written communication. These are often effective tools for visually conveying complex ideas and information. Since the majority of people are visual learners, the use of graphics can greatly aid your audience's understanding and retention of information.

Written communications are a critical part of the organization's communication environment. You can improve your personal effectiveness and productivity by understanding your objectives and the needs of the reader and by improving your ability to write in a clear, concise style.

Communicating with New Technology

Communicating with New Technology

COMMUNICATING WITH NEW TECHNOLOGY: Communicating with new technology is not simply a matter of adding computers to workstations. New technology leads to communicating in new ways and can bring fundamental changes to the way employees work and relate. E-mail, or on-line communication, is a good example. Computer based communication is extremely fast in comparison to interoffice mail or the U.S. Postal Service. This efficiency can also bring about its own set of issues.

Verbal communication without voice inflection or tonality is what we have with online communication. E-mail is particularly prone to faulty communication as it is an informal communication channel, provides a means for immediate response, and lacks visual and nonverbal clues and tangible reminders of the audience. To avoid problems, always keep in mind that e-mail is as permanent a record as any written memo and should be crafted as carefully as more formal written correspondence.

Other aspects of e-mail communication to be aware of are:

- Individuals and groups communicating through an electronic medium are more likely to be uninhibited.
- Status differences play a lesser role in an online environment.
- Online consensus decision making takes significantly longer than when group members interact face to face.

The W.R.I.T.E. Way to Communicate:

- Warmth
- Responsiveness
- Inquisitiveness
- Tentativeness
- Empathy

The W.R.I.T.E. Way to Communicate: The key to effective online communication involves communicating in a manner that is "W"arm, "R"esponsive, "I"nquisitive, "T"entative, an "E"mpathetic[1].

Warmth means to:

- Use the telephone when necessary; it may be more effective than text to clarify a point or negotiate a delicate issue.
- Send sensitive information to private mailboxes. (Beware the inadvertent use of "reply all" when responding to a message.)
- Incorporate warmth into your text.

Responsiveness means to:

- Set deadlines when requesting work products and provide occasional reminders.
- Be consistent when you give feedback.
- Reply promptly to questions.

Inquisitiveness means to:

- Be sure to ask questions if you are unsure of the context or content of a message.

Tentativeness means to:

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

Empathy means to:

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

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

Summary

Knowledge

Communicating effectively is essential for success in every area of life, but communication excellence is the hallmark of great leadership. Communication involves giving and receiving thoughts and feelings verbally, nonverbally, in writing, and through listening. The meaning that someone intends to express may not be what is understood by the person receiving the communication because it is often altered by his or her own perception. Differences in perception are created by differences in individuals' communication style, gender, age, race, cultural and organizational background, and a myriad of other factors. The process of communication is extremely subtle and complex, mirroring the complexity of language and the human personality.

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

Key Skills and Behaviors

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

Verbal Communication

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

Behaviors:

- ✓ Listen for understanding before offering opinions.
- ✓ Use appropriate questioning techniques to better understand a situation/issue or to stimulate discussion.
- ✓ Use paraphrasing to check understanding.
- ✓ Give timely specific feedback.

Skill: Understanding how cultural differences affect interpersonal communications.

🗝 **Behavior:** The manner of conducting oneself; observable activity.

Behaviors:

- ✓ Recognize different cultural contexts, communication styles and nonverbal clues and modify your own communications accordingly.
- ✓ Use communication that respects cultural differences.
- ✓ Try to see and understand the perspective of the person with whom you are communicating.

Group Communication

Skill: Conducting productive meetings that accomplish their intended purpose.

Behaviors:

- ✓ Create a positive meeting climate.
- ✓ Establish and communicate meeting purpose and agenda.
- ✓ Balance meeting participation to both accomplish meeting objectives and maintain group working relationships.
- ✓ Summarize key decisions and assign action items.
- ✓ Evaluate meeting effectiveness and make needed improvements.
- ✓ Document and communicate meeting outcomes to appropriate parties.

Skill: Presenting information effectively in diverse circumstances.

Behaviors:

- ✓ Adapt to different audiences to maximize understanding.
- ✓ Demonstrate in-depth knowledge in area of expertise.
- ✓ Use a variety of methods to keep the presentation interesting and encourage participation.
- ✓ Use devices to help listeners understand and retain information.
- ✓ Speak with confidence and enthusiasm.
- ✓ Present information persuasively to advocate proposed recommendations.

Written Communication

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

Behaviors:

- ✓ Use the appropriate written communication vehicle for an intended purpose.
- ✓ Tailor communication to the reader using appropriate format and style and proper grammar and punctuation.
- ✓ Write recommendations persuasively so that they are accepted.
- ✓ Seek feedback to ensure intended message was understood.
- ✓ Be aware of the differences inherent in online communications.

FOCUS FOR MANAGERS AND SUPERVISORS

COMMUNICATION	MANAGERS	SUPERVISORS
A two-way process by which ideas and feelings are expressed by the sender of a message and received and understood by the receiver of the message.	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managerial positions:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrator ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	This individual generally manages the staff that works directly with the client or constituent group. He or she also makes recommendations to improve systems and service delivery and monitors for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisory positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Verbal Communication	▪ A greater emphasis is placed on making formal presentations to recommend new initiatives and programs, justify budget proposals, and provide project updates. ▪ The ability to successfully lead cross-functional team meetings. ▪ Framing thought provoking questions that facilitate meaningful dialogue to address complex issues.	▪ Verbal communications are more informal. ▪ The ability to facilitate his or her own team meetings and develop team's communication skills is highly important. ▪ Learning to listen attentively and empathetically to team members and respond appropriately to their questions and concerns are critical skills for supervisors. ▪ Communicating in a manner that demonstrates respect for differences is a foundation management skill that fosters the trust and credibility required to lead others.

COMMUNICATION	MANAGERS	SUPERVISORS
2. Group Communication	▪ The expertise to manage group communications with participants with diverse interests, agendas and perspectives. ▪ The ability to use a wide variety of meeting and communication tools to ensure that all voices are heard.	▪ The ability to facilitate his or her own team meetings to achieve productive results and build team spirit. ▪ Involving team members in planning and leading team meetings.
3. Written Communication	▪ Greater focus on formal communications such as reports in which providing facts and evidence to support recommendations is important. ▪ Skill in using the written word to influence stakeholders. ▪ Greater importance in following up communications to ensure understanding as audience tends to be increasingly diverse.	▪ Written communications usually more informal. ▪ Ability to clearly, concisely, and accurately document personnel actions, issues, and decisions in a timely manner.

REFERENCES

Alessandra, Tony. (1993). *Communicating at Work*. New York: Simon and Schuster.

Boone, Gloria, Ph.D. and Richard P. Kroop, Ph.D. (1991*). Communicating in the Business Environment.* Amherst, MA: Human Resource Development Press.

Chang, Richard. (1995). *Meetings That Work*. Irvine, CA: Richard Chang Associates Inc.

Gorman, Tom. (1997). *The Complete Idiot's Almanac of Business Letters and Memos.* New York: Simon and Schuster.

Koester, Jolene. (1993). *Intercultural Competence*. New York: HarperCollins College.

McManus, Judith. (1998). *Effective Business Speaking.* New York: Learning Express.

Tingley, Janice C. (1994). *Genderflex: Men and Women Speaking Each Other's Language at Work.* New York: AMACON

White, Ken and Elwood Chapman. (1997). *Organizational Communication.* Needham Heights, MA: Simon & Schuster Custom Publishing

RECOMMENDED READING

Asher, Spring and Wicker Chambers. (1998). *Wooing and Winning Business: The Foolproof Formula for Making Persuasive Business Presentations.* New York: John Wiley and Sons.

Beall, Melissa. (1991). *Guide to Oral Communication*. Dubuque, IA: Kendall/Hunt Publishing.

Bennett, Milton. (1998). *Basic Concepts of Intercultural Communication: Selected Readings.* Yarmouth, Maine: Intercultural Press.

Boone, Diane. (1988). *The Business of Listening*. Los Altos, CA: Crisp Publication.

Boone, Gloria, Ph.D. and Richard P. Kroop, Ph.D. (1991). *Communicating in the Business Environment.* Amherst, MA: Human Resource Development Press.

Browne, M. Neil and Stuart M. Keeley. (1990). *Asking the Right Questions.* New York: Prentice Hall.

Carnegie, Dale. (1999). *How to Develop Self-Confidence and Influence People by Public Speaking.* New York: Pocket Books.

Chang, Richard. (1995). *Meetings That Work*. Irvine, CA: Richard Chang Associates Inc.

Gorman, Tom. (1997). *The Complete Idiot's Almanac of Business Letters and Memos.* New York: Simon and Schuster.

Griffin, Jack and Tom Power. (1998). *How to Say It At Work.* New York: Prentice Hall.

Ivy, Diana K. and Phil Backlund. (1999). *Exploring Genderspeak: Personal Effectiveness in Gender Communication.* New York: McGraw Hill.

Lutovich, Diane and Janis Fisher Chan. (1998). *How to Write Reports and Proposals*. San Anselmo, CA: Advanced Communication Designs.

Mandel, Steve. (1993). *Effective Presentation Skills*. Los Altos, CA: Crisp Publications.

McManus, Judith. (1998). *Effective Business Speaking.* New York: Learning Express.

Siegel, Gerald. (1990). *Business and Professional Writing*. Dubuque, IA: Kendall/Hunt Publishing Company.

Toogood, Granville. (1996). *The Articulate Executive.* New York: McGraw-Hill.

Endnotes

---

[1] Adapted from Organizational Communication, White, Ken and Elwood Chapman. (1997).

MOTIVATING OTHERS

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Nancy M. Campbell

MOTIVATING OTHERS

Definition of Motivating Others

MOTIVATING OTHERS: Motivation is an internal drive that stimulates a person to try hard to achieve his or her goals. A motivated employee tries harder than an unmotivated one to get the job done and to do it well. Motivation to perform well exists when a conscious or unconscious need or desire is met through work. An effective manager understands this and finds ways to align the worker's needs or desires with his or her work.

Knowledge Base

> **Management is nothing more than motivating other people.**
>
> **--Lee Iacocca**

Why is motivating others important?

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

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

Many managers believe that employees should be motivated by their paychecks. After all, employees are paid to do their jobs, isn't that enough? The answer is no. Effective managers understand that every employee is unique and that each one may require a different form of motivation.

Some managers cannot understand why everyone is not as committed or excited to do the work as they are. They assume that those who do not share their enthusiasm for the work must have a poor work ethic. This may be the case in some circumstances but

The motivated employee has a need or desire that is met through his or her work.

more often, it is simply that different people are motivated by different things.

For years, studies have been conducted to learn what motivates people because motivated employees are more productive than those who are not. In the American workforce, the majority of workers indicate that they are not performing up to their potential and in most cases are simply doing the minimum amount required of them. A study of private sector employees[1] found that:

- Twenty-three percent of employees said they were performing to their full potential and capacity.
- Forty-four percent indicated that they did what was expected of them and no more.
- The majority indicated that they could increase their effectiveness significantly.

You might wonder why so many workers are lazy. In fact, this is typically not a problem of laziness. Most people long for fulfilling and meaningful work. Most people feel they could make a greater contribution at work. What often holds people back is not lack of skill or desire, but the manager who supervises them. By failing to understand what motivates employees and creating challenging work opportunities, managers create the conditions for discontent. Often unknowingly, managers support unproductive behavior.

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

To motivate others requires self-awareness. A manager must be aware of his or her interpersonal and intrapersonal skills and abilities. This chapter assumes that the reader has that understanding and now wants to learn how to motivate others. It assumes a willingness and a desire to understand the people you supervise so that you can help them contribute fully in the workplace. It assumes a manager is willing to change some of his or her current methods of supervising others.

I. What Motivates?

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

Human beings have two sets of fundamental drives that must be met before they are motivated.

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

Frederick Herzberg's motivation-hygiene theory of job attitudes suggests that the factors that produce job satisfaction are distinct from those that produce job dissatisfaction. In fact, two different human needs influence feeling satisfied with one's job or being dissatisfied. This explains why not being dissatisfied with a job does not necessarily equate to being satisfied enough to be motivated.

Security and Motivating Factors

SECURITY AND MOTIVATING FACTORS: Human beings have different fundamental needs that must be met for optimal functioning. Abraham Maslow described these in his well known hierarchy of human needs.[2] The first set of needs stems from our animal nature and includes the drive to avoid pain and meet our biological needs. These can be thought of as security factors. We do not want to go hungry, so we work to pay for food. The second set of needs is unique to human beings and that is our drive to achieve and through this to experience growth. We achieve this by taking on a new task and mastering it well. These can be thought of as motivating factors.

To understand how these drives relate to motivating others, we need to understand that our security factors are met through the work environment while the motivating factors are found in the work itself. Security needs are met through salary, status, working conditions, interpersonal relationships, and policy and procedure. The motivating factors – how we experience psychological growth – are through achievement, recognition of achievement, the work itself, responsibility, and growth or advancement.

If all security factors are met, an employee will not necessarily be motivated.

In Figure 1, we see how the security and motivating factors impact job dissatisfaction and job satisfaction. What becomes clear is that even if the security factors are met, little job satisfaction is attained. Security factors are a necessary but not sufficient condition to obtain job satisfaction.

Factors Affecting Job Attitudes

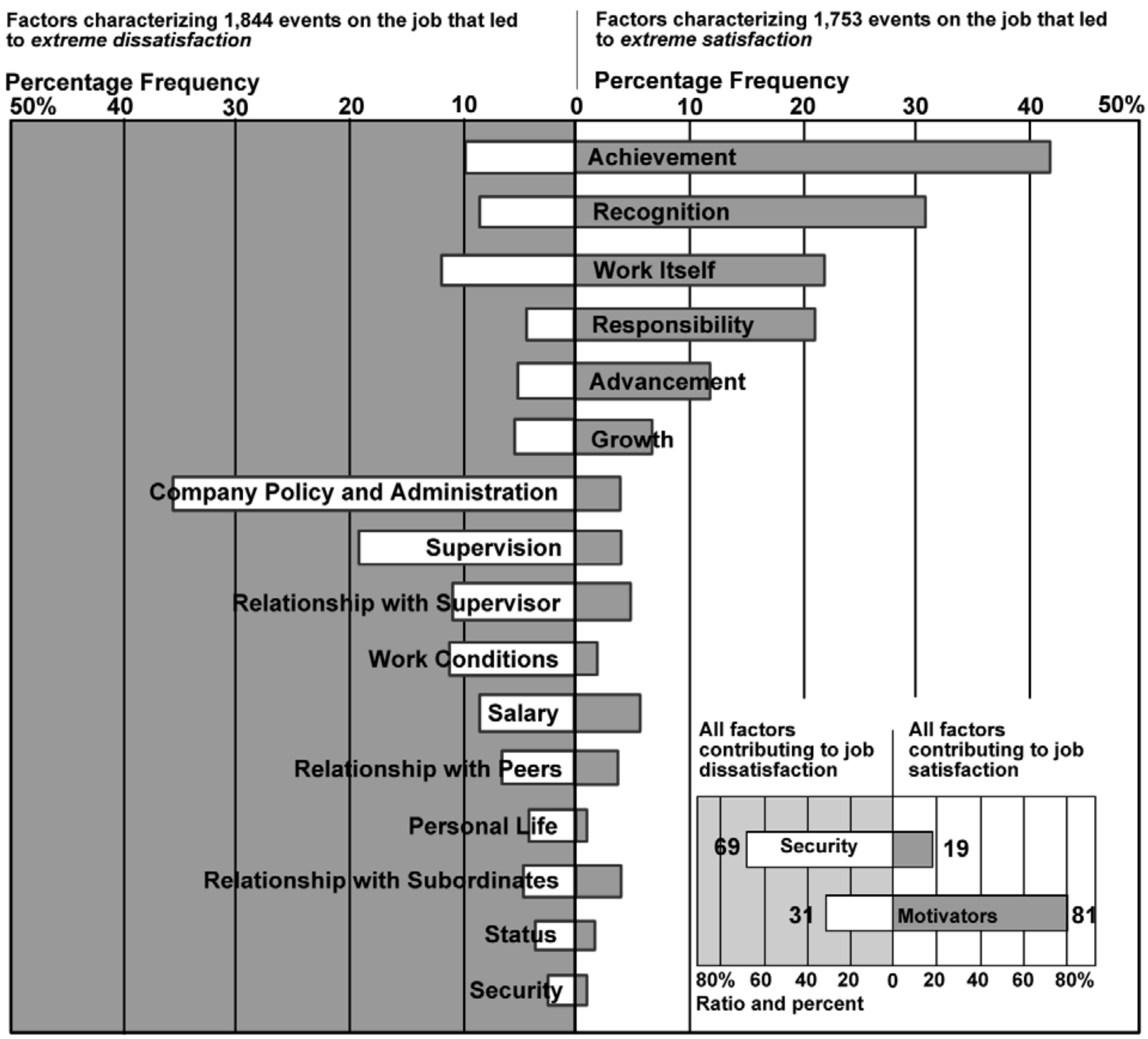


Figure 1. demonstrates the factors contributing to job satisfaction and dissatisfaction. Adapted from Frederick Herzberg's article "One More Time: How do you motivate employees?" in the *Harvard Business Review*" Special Edition: People Managing Your Most Important Asset.

Managers devote most of their time to issues that do not motivate employees.

What is particularly striking about this research is that the security factors are often the area where managers devote most of their time. The commonly held belief is that if these issues are addressed, employees should be motivated to do a good job. Herzberg's research indicates that if an employee has all of the security factors met, he or she will typically still not find job satisfaction. Job satisfaction occurs only when the motivating factors are met.

Having the clearest policy and procedure, excellent relationships with supervisor, peers, and subordinates, great working conditions and rock solid job security will still not result in highly motivated employees. Each of these factors contributes to job satisfaction in only a small way. Motivation is found in meaningful and challenging work, which allows the employee to demonstrate responsibility, experience growth, and achieve.

Motivation is found in meaningful and challenging work.

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

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

To motivate an employee, a manager must know a person well enough to know what they care about and how they learn best. To do this, ask and observe. Most often people can tell you whether they learn best through visual, oral or experiential methods. To understand what matters most to an employee, ask them and watch to see what type of tasks they enjoy or avoid. Once you understand what an employee cares about and how he or she learns best, then the task is to create the circumstances in which the employee can demonstrate their ability through their work.

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

II. Hiring Motivated Employees

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

Put the "who" before the "what."

GETTING THE RIGHT PEOPLE ON THE BUS: One of the greatest challenges for corrections managers is that they often do not get to choose their staff. Civil service laws, public sector policies, and labor contracts often result in managers supervising employees that they did not choose. While a frustrating experience, the reality is that most managers are able to hire many staff in the course of their careers. Motivation is a critical issue that should not be overlooked in the hiring process.

⇒ When doing the research for his book, Good to Great, Jim Collins discovered something very interesting about the most effective leaders. Effective leaders, as measured in long-term organizational success, do not focus on defining the organizational vision and direction first, but rather, focus first on hiring the best people. They put the "who" before the "what."[3]

Hire for character, work ethic and values, not just technical skills and experience.

Of equal interest, these highly skilled leaders focus less on technical skills when hiring and more on issues of character attributes. Rather than placing the highest value on educational background, practical skills, specialized knowledge or work experience, they looked at character, work ethic, basic intelligence, and values. In other words, they recruited and hired people who shared their values and were already motivated.

In the public sector we often settle for the candidate the register or Human Resources tells us we must hire. We believe that it is better to have somebody in the job rather than wait to find the best person. We could not be more wrong. Too often the result is time and energy spent trying to motivate an employee to care and to do the right thing, rather than having a person who is already motivated.

Don't hire the unmotivated, and fire them when you do.

Another common mistake is hiring a person and finding that during their probationary period they do not perform well. Instead of owning the mistake or accepting the lack of fit, we extend probation, or worse, move them from probation to permanent status. We find all kinds of excuses for this irrational behavior, including: we failed to give them enough support, or to provide adequate training, and/or to provide adequate opportunities to demonstrate their skills. All or none of these issues may be true, but motivated employees typically perform well despite hardships. Those who don't are often not motivated to do a good job. If someone is not motivated during their probationary period when they can be terminated at will, it is unlikely that once they have civil service protections, they will suddenly become motivated. In the public sector it is usually less expensive to pay the piper sooner rather than later.

If you are sure that an employee is not motivated to do the work (this assumes you have followed the steps identified later in section III), remove them as quickly as possible from the work unit. While civil service and labor rules may make this challenging, it can be done. There is nothing worse than watching the morale and motivation of a team be dampened by resentment when an employee faces no consequences for failure to do his or her job.

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

- If you begin with the "who" rather than the "what" your team and organization will be more able to adapt to a changing world.
- If you hire the right people, the problem of how to motivate and manage largely goes away.
- If you have the wrong people, it does not matter how great your vision, you *still* won't have a great organization.

III. Behaviors That Motivate

> **The best way to run an organization is also the best way to treat people.**
>
> **--Sherman Roberts**
> **Harvard University**

How the Work Gets Done

In any organization, people are ultimately responsible for the work that is done. In corrections, where there is limited use of machinery and technology, the vast majority of work is actually accomplished by people. Consequently, the one thing managers and supervisors should know the most about is human behavior.[4] In reality, most managers receive little training in human behavior.

Consequences Motivate Behavior

CONSEQUENCES MOTIVATE BEHAVIOR: When managers wonder why someone does something, they think about what happened before the event to motivate the person to act a certain way. The more important question is what happens after the behavior. A behavior analyst would say, "A person does that because of what happens to that person when he or she does it."[5] The cause of the behavior lies not in what occurs prior to the behavior, but in the consequences of the behavior. If there is a good consequence, the behavior is repeated. If the consequence is negative, the behavior will most likely not be repeated.

People frequently do not do what they are told to do, so why do we act like they will?

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

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

The Four Behavioral Consequences are:

- Positive Reinforcement
- Negative Reinforcement
- Punishment
- Penalty

THE FOUR BEHAVIORAL CONSEQUENCES: In Figure 2, the four behavioral consequences and their impact on behavior are identified. Inadvertently or intentionally, managers create consequences that increase or decrease performance every day. In many cases managers are actually rewarding and thereby strengthening the behaviors they don't want or providing negative consequences for behaviors they want to encourage. For example, the reward for highly productive employees is often *more work*. Amazingly it does not take long for an employee to figure this out and stop producing as much. And then the manager wonders why they are no longer as motivated. The behavior change occurs because the employee is, in fact, being punished for his or her hard work and learns to avoid the negative consequence.

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

Summary of the Four Behavioral Consequences and their Effects

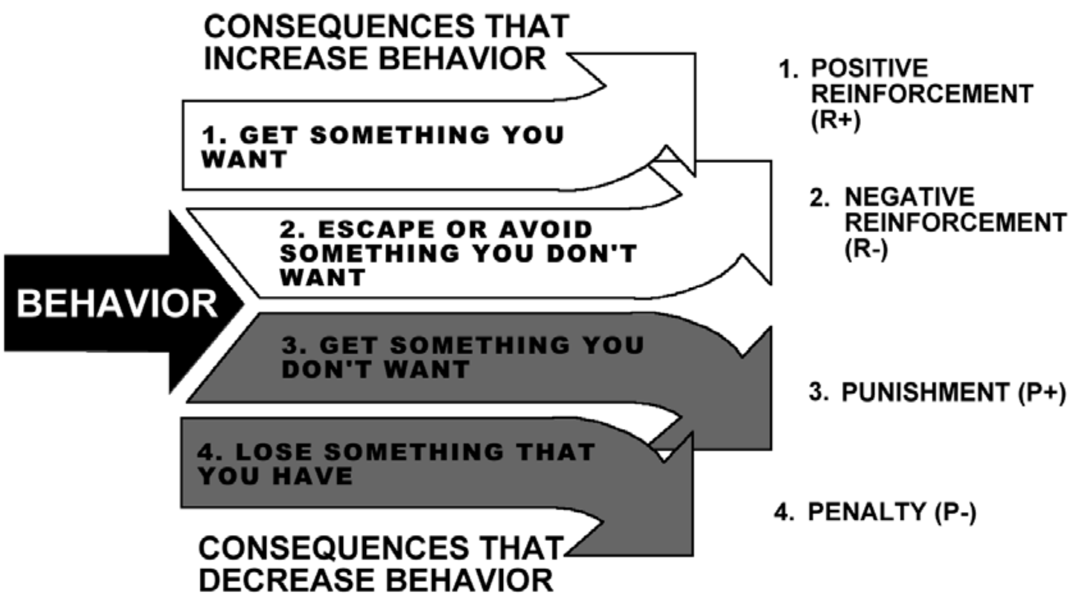


Figure 2 identifies the four behavioral consequences and their impact on behavior, from Aubrey C. Daniels' book, <u>Bringing Out the Best in People</u>, p.26.

Reward What You Want Done

> **After all is said and done, more is said than done.**
>
> **--Adage**

REWARD WHAT YOU WANT DONE: Not as simple as it sounds, but there are some steps that will help you to reward what you want done. Managers can arrange tasks so that they positively reinforce the behavior they want and eliminate unproductive behavior. The following steps are adapted from Aubrey Daniels' book, <u>Bringing Out the Best in People</u>.

Steps to Reinforce Desired Behaviors and Extinguish Unwanted Behaviors:

- **Focus on change not blame:** Most people behave in a way that is consistent with the way they were treated in the past. Those who were rewarded for being innovative will innovate. Those who were punished for doing anything without permission will likely do only what they are told. Don't pass judgment on why they do what they do because you most likely do not know. Focus on changing the behavior.
- **My behavior makes sense to me:** We are all reinforced in different ways. What reinforces one person may make no sense to another. No matter how nonsensical a behavior may seem to you, it makes sense (even if at an unconscious level) to the person doing it. The challenge for the manager is to understand the consequences that reinforce the behavior and change them.
- **The more immediate, the better:** The impact of any consequence is limited. Consequences that are immediate are more likely to change behavior. The more immediate the consequence, the greater the impact on behavior change.
- **Don't focus only on the poor performers:** A mistake we all make is to focus most of our energy on those who do not perform. The people who do a good job soon lose the reinforcement they need to stay motivated.
- **See it through the employee's eyes:** Most of us reinforce others in the way that we would like to be rewarded. This would work if everyone was just like us, but they are not. Find out what a reward is for the individual and give them what they want, not what you *think* they want.
- **Doing nothing can hurt performance:** If an employee takes the initiative to go above and beyond their job requirements and no one ever acknowledges them and shows appreciation for their efforts, eventually they will stop. Failing to acknowledge a job well done kills motivation and a good work ethic. Expecting people to perform only because they receive a paycheck is the number one threat to a good work ethic.

By this time you may be feeling that the focus is on your behavior and not the employees. Initially this is true. You have to observe what you are or are not doing. You have to honestly assess what behaviors you are positively reinforcing and when you are relying on negative reinforcement, punishment, and penalties. You have to be willing to learn how to analyze and change behavior.

A Method for Analyzing Behavior

> **Management changes behavior by its action and its inaction.**
>
> **--Aubrey C Daniels**

There is a method called the ABC Model of Behavior Change [6] for analyzing why someone behaves the way they do. The model focuses on:

- **Antecedent:** What sets the stage for a behavior to occur
- **Behavior:** What a person does
- **Consequence:** What happens as a result of the behavior

This model focuses only on motivational problems, not lack of skills. In other words, if the person could perform the task if the stakes were high enough, he or she has the skills and has a motivational problem. If they could not perform the task under any circumstances, they do not have the skills and need training, not motivation. It is the difference between “won’t do and can’t do.”

ABC Model of Behavior Change

Antecedent →→Behavior →→Consequence

The consequences are classified along the following three dimensions:

1. **Positive or Negative:** Is the consequence positive or negative from the perspective of the performer?
2. **Immediate or Future:** Does the consequence occur as the behavior happens or some time later?
3. **Certain or Uncertain:** What is the probability that the performer will actually experience the consequence?

Let’s look at a problem faced in any corrections agency, the desire on the part of management to implement a new classification tool.

Analyzing Behavior Using the ABC Model of Behavior Change

Undesired Behavior: Not using a new classification tool accurately.

Antecedents	Consequences	P/N	I/F	C/U
Didn't attend training on the tool Don't have enough time to use it My gut is better than any instrument My supervisor thinks it won't work I ignored the last one No feedback on my use of it	Takes less time	P	I	C
	I don't have to take time to learn something new	P	I	C
	I maintain my status as "anti management."	P	I	C
	I don't have to change my routine	P	I	C
	I don't have to experience the insecurity of not knowing what I am doing	P	I	C

Desired Behavior: Using a new classification tool accurately

Antecedents	Consequences	P/N	I/F	C/U
The training and follow-up learning took time My manager audits my caseload to see if the assessment is being used properly My monthly report shows how my assessments compare to other colleagues My manager has stopped by several times to see how I am doing Performance appraisal has a section noting my ability to use the assessment	Takes longer to interview than the old way	N	I	C
	I feel awkward when I make mistakes	N	I	C
	My computer generated reports are more readable and I can produce them faster	P	I	C
	Manager is more aware of what I am doing with my caseload	N	I	C
	Requires more concentration and more work	N	I	C
	I am receiving better information about my clients	P	I	C
	The court is pleased with the information that I give them now	P	I	C
	Good Performance Appraisal	P	F	U

Figure 3 analyzes two behaviors. P/N is positive/negative consequences; I/F is immediate or future consequence and C/U is certain or uncertain probability that the consequence will actually be experienced.

When analyzing the two behaviors, it becomes clear why the implementation of the new classification tool is not going well. There are a lot of positive, immediate, and certain consequences for not accurately implementing the assessment. Given this, many staff will resist using the assessment accurately. When analyzing the consequences for using the classification tool accurately there is also a problem. There are many immediate and certain negative consequences, a few immediate and certain positive consequences and one possible positive consequence in the future. Viewing this from the perspective of the persons whose behavior must change (the employees) there are not enough immediate, positive reasons to try and use the classification tool accurately.

What could be done to change this? More immediate and positive consequences for implementing the classification tool must be created. For example, resources could be provided to help the employee learn and/or the manager could provide time for the person to get up to speed on the new instrument before employing any negative consequences. The manager simply stopping by to inquire about progress could be an immediate, positive consequence.

In short, a manager must be empathetic enough to want to understand the perspective of those he or she supervises. When this exercise is undertaken with a genuine desire to understand the employee’s perspective, one usually discovers there are many things that could be done to support a positive change in behavior.

The Downside of Negative Reinforcement

By now you may be wondering if it might not be simpler to just use negative reinforcement or punishment to simply extinguish undesired behaviors. In fact, most managers rely heavily upon negative reinforcement. “Do it or else” is one of the most commonly employed management tactics. Most managers do not say this overtly, but imply it. The problem with this approach is tied back to motivation. Negative reinforcement will stop a behavior in the short term and will get you compliance, but it will not motivate. So we are right back to the manager having to spend enormous effort for minimal payback.

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

- People are always rushing at the last second to meet a deadline.
- A lot of negative talk is one sign of negative reinforcement at work. For example, employees may frequently comment about the expectations of management being too great or demanding, or management may make comments blaming employees or indicating they just do the job because they are getting paid to do it.
- After reaching a goal, performance goes flat.
- There is no plan to celebrate achievement or success.
- Performance drops after a requirement is removed. For example, a mandatory meeting is now voluntary and no one goes.

Negative reinforcement works well *if you only want compliance*. While it appears to save time and money, in the end the costs are far higher than using positive reinforcement. When used properly, positive reinforcement not only gets the job done better, it preserves the physical and mental health of the manager!

How to Use Positive Reinforcement

Many managers will say they hand out positive reinforcement all day long and yet, when you ask the staff, they disagree. There are many kinds of positive reinforcement and it is important to understand what they are and how they impact motivation.

Types of Positive Reinforcement Include:

- Natural
- Created
- Social
- Tangible

TYPES OF REINFORCEMENT: *Natural* and *created* are two kinds of reinforcement. Natural reinforcement occurs when you turn a light switch on and the light comes on. It is the immediate consequence of an action. Created positive reinforcement does not occur automatically but only when a person proactively makes it happen. Examples of the latter would include praise, a thank you note, or public acknowledgement of some sort.

The two most common forms of created reinforcement are *social* and *tangible*. Social reinforcement is something that has value only to a specific individual. Tangible reinforcement has value to others. Social reinforcement is more powerful and it is free. When done well, it is highly valued.

To make social reinforcement most valuable remember that you need to understand what the individual values. One person's positive reinforcement may be another person's worst nightmare.

Sources of Positive Reinforcement

Work-Related Reinforcement

WORK-RELATED REINFORCEMENT: If the work itself provides reinforcement, you have a motivated employee. However, many jobs in corrections are monotonous and routine. Improvements that make a job easier will provide positive reinforcement, but only for a limited time. If you watch how people do their jobs, you will discover that what they do first is what reinforces them most. One strategy is to structure work so that the less desirable tasks must be completed to get to the more desirable tasks. Still, relying solely on the work to create motivation in this situation will likely not take you far.

Peer-Related Reinforcement

PEER-RELATED REINFORCEMENT: Peers are one of the most underutilized and effective sources of reinforcement at work. When peers recognize and support the positive accomplishments of each other, improvements happen quickly. Using the classification example above, a manager may use staff who like the new system to teach those who are less enthusiastic. This is particularly effective if the staff assigned to teach is held in high regard by his or her co-worker.

Management-Related Reinforcement

MANAGEMENT-RELATED REINFORCEMENT: The job of the manager is to ensure that reinforcement occurs at the needed frequency for the desired behavior from the sources that will most influence the employee. An effective manager sees his or her job as overseeing the planning and delivery of reinforcement. By using all of the organization's assets to reinforce desired behaviors, a manager is able to avoid being spread too thin.

Common Positive Reinforcement Mistakes

COMMON POSITIVE REINFORCEMENT MISTAKES: Some of the most common mistakes in using positive reinforcement include:

- Reinforcing not with what the person will appreciate, but with what the manager would like.
- Using reinforcers that are not directly dependent upon the behavior. For example, since all employees get fringe benefits whether they perform well or not, fringe benefits are not a reinforcer.
- People need to be reinforced while performing the positive behavior; waiting until long afterwards is not as effective. This is why peers can be so powerful; they see the behavior and comment immediately.
- Annual, quarterly, and monthly reinforcement are not enough. You have to reinforce when the behavior occurs and often.

- Competition for positive reinforcement is counterproductive. No team ever wins that does not work together.
- No buts…separate positive reinforcement from pointers, instruction, and/or prompts. For example, don't say, "I like what you did, *but* you might consider…."
- Last but not least, forget what you learned in basic supervisory training about wedging negative feedback between the positive. Most managers are taught to open with a positive statement, give the constructive (negative) reinforcement and close with a positive statement. Do not pair positive reinforcement with punishment. When criticism in necessary, make it short and to the point. Later you can remind the person of his or her positive qualities.

Aligning Personal and Professional Missions

Ultimately a manager should be attempting to understand if the personal interests of an employee could be aligned with his or her work interests in some way. When there is alignment between the personal and professional mission, the highest levels of motivation are achieved.

Know the Whole Person

KNOW THE WHOLE PERSON: In this scenario a manager needs to motivate an employee to implement a new assessment tool correctly. Let's assume that the manager does not know what motivates a particular probation officer. By learning more about what the officer has passion for in his or her off work activities, the manager could gain insight into work motivation. For example, if a probation officer highly values helping others and this is one of the central values of their lives, they will display this in many ways. In their personal lives they may be very active helping others in their community and family. If the manager understands that what motivates the probation officer is helping others, he or she could use this to help gain acceptance of the new assessment tool. Once understanding that helping others is a key motivator, the manager can help the officer understand why this assessment will better serve probationers.

A manager needs to know what motivates an employee outside of work. Not only can this help a manager establish a rapport with the individual, but the manager also learns about the employee's personal mission. Where people spend their time and energy in the community says a lot about what they care about.

Align the Personal and

ALIGN THE PERSONAL AND PROFESSIONAL MISSION: The most highly motivated individuals have a high level of congruence

Professional Mission

between their personal and professional missions. They are able to devote their energy to the things they care about at work and off work. If a manager knows an employee well enough to know what he or she cares about personally, this can be used to help align that interest with his or her work. The most motivated employees find alignment between their personal and professional values and mission.

Summary

If you can determine what motivates others, you can help them to accomplish more. A manager first has to understand that it is his or her job to motivate others. A manager has to understand that salary and good working conditions alone do not motivate. To understand what motivates an individual, a manager should find ways to get the person deeply involved with their work. Think of something you have accomplished, that you are very proud of, and then ask yourself how motivated you were to do this.[7] When work creates an avenue for an individual to achieve and feel accomplished, it becomes the source of motivation.

Individuals are different in what motivates them. It is a manager's job to learn what motivates a particular person. This requires suspending judgment and viewing the work world from the perspective of that individual. This in turn requires a willingness to take a holistic approach and understand the greater world of the individual. What is important to them in their entire life, not just their work life? How can this information help to motivate the person at work?

A manager needs to understand him or herself well enough to see what behaviors are being rewarded in the work setting. Is positive or negative reinforcement being relied upon? Finally, the manager who motivates others must be willing to learn how to change his or her supervisory style and tactics. Ultimately, openness to learning is the key to learning how to motivate others.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

What Motivates

Skill: Understanding what factors affect job satisfaction and dissatisfaction.

Behaviors:

- ✓ Identify security factors.
- ✓ Identify motivating factors.

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

Behaviors:

- ✓ Ensure that security factors for employees are met in the workplace to reduce dissatisfaction.
- ✓ Provide opportunities for employees to increase the motivating factors in their work.

Hiring Motivated Employees

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

Behaviors:

- ✓ When hiring, focus not only on technical skills like job experience and readiness, but also on issues of character like work ethic and motivation.
- ✓ If you make a mistake in hiring, acknowledge it and correct it. Do not let unmotivated employees pass their probationary period.
- ✓ Remove unmotivated employees from the team as quickly as possible.

Behaviors that Motivate

Skill: Employing the consequence that reinforces the desired behavior.

Behaviors:

- ✓ Understand the four behavioral consequences and their effects.
- ✓ Reward what you want done.
- ✓ Focus on changing behavior, not placing blame.

- ✓ Make the consequence immediate.
- ✓ See the behavior through the employee's eyes.
- ✓ Reward with what the employee would want, not with what you would want.

Skill: Employing the ABC Model of Behavioral Change.

Behaviors:

- ✓ Determine what sets the stage for a behavior to occur (antecedent).
- ✓ Determine what a person does (behavior).
- ✓ Determine what happens as a result of the behavior (consequence).

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

Behavior: Observe for indicators that negative reinforcement is being used.

Skill: Using positive reinforcement to impact motivation.

Behaviors:

- ✓ Structure work so that it best addresses the interests of employees.
- ✓ Use peers to reinforce positive behaviors.
- ✓ Plan for the delivery of reinforcement.
- ✓ Celebrate success.

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

Behaviors:

- ✓ Learn about what activities and interests bring joy and motivation to employees outside of the workplace.
- ✓ Help employees see the congruence between their personal and professional values and mission.

FOCUS FOR MANAGERS AND SUPERVISORS

Motivating Others	MANAGERS	SUPERVISORS
Motivation is an internal drive that stimulates a person to try hard to achieve his or her goals. A motivated employee tries harder than an unmotivated one to get the job done and to do it well. Motivation to perform well exists when a conscious or unconscious need or desire is met through work. An effective manager understands this and finds ways to align the worker's needs or desires with his or her work.	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managerial positions:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrator ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	These individuals generally manage the staff that works directly with the client or constituent group. They also make recommendations to improve systems and service delivery and monitor for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisory positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. What Motivates	▪ A manager must first see it as his or her job to understand the true nature of the workplace. Next a manager must attempt to understand from the employee's perspective what is motivating or blocking motivation in the workplace. ▪ Some managers do not have staff reporting to them but are in charge of programs. They coordinate the efforts of staff who report to others. While more complex, the task of understanding the nature of the work setting remains the same.	▪ The supervisor's task is identical to the manager's. Most supervisors have people reporting directly to them. If they take on program oversight and work with employees outside of their unit, they must also address the more complex environment.

Motivating Others	MANAGERS	SUPERVISORS
	▪ Once the work environment is understood, a manager must work to reduce those issues which block motivation and increase those that enhance motivation. ▪ In the situation where a manager is coordinating staff who report to others, he or she may have to work through the other managers and supervisors to reduce the dissatisfying factors and to increase the motivating factors.	
2. Hiring Motivated Employees	▪ Managers must work with their Human Resources representative to ensure that in addition to technical and education issues, there is also a focus on character and work ethic in the hiring process. This should not be construed to mean that managers attempt to hire people who have their same strengths and weaknesses, but rather those that share their core values. ▪ Once reasonable measures are taken to help motivate an employee, managers need to have the courage to remove employees lacking motivation before they have a negative affect on morale and productivity.	▪ Supervisors must work with their Human Resources representative to ensure that in addition to technical and education issues, there is also a focus on character and work ethic in the hiring process. This should not be construed to mean that supervisors attempt to hire people who have their same strengths and weaknesses, but rather those that share their core values. ▪ It is not uncommon for first line supervisors to not have firing authority. First line supervisors can engage managers up the chain of command to assist them in working with an unmotivated employee. Once reasonable measures are taken to help motivate an employee, supervisors need to have the courage to remove or initiate the process to remove employees who lack motivation.

Motivating Others	MANAGERS	SUPERVISORS
3. Behaviors that Motivate	▪ A manager's job is to understand the impact his or her behavior has on the motivation of employees. This is accomplished by understanding the impact of positive and negative reinforcement. A manager must understand if and when he or she is reinforcing added value behaviors and/or is strengthening undesired behaviors. ▪ Use negative reinforcement to gain compliance. ▪ Use positive reinforcement to motivate others by structuring work so that it addresses the interests of employees, and use peers to reinforce positive behaviors. ▪ To successfully motivate others managers must plan for the delivery of reinforcement and ways to celebrate success. ▪ By learning which activities and interests bring joy and motivation to employees outside of the workplace, managers are able to help employees see the congruence between their personal and professional values and mission. If a manager is working with employees who do not report to him or her and has limited interaction with the employees, this task is more difficult.	▪ Supervisors employ the same strategies as managers to motivate others. ▪ A supervisor's job is to understand the impact his or her behavior has on the motivation of employees. This is accomplished by understanding the impact of positive and negative reinforcement. A manager must understand if and when he or she is reinforcing added value behaviors and/or is strengthening undesired behaviors. ▪ Use negative reinforcement to gain compliance. ▪ Use positive reinforcement to motivate others by structuring work so that it addresses the interests of employees, and use peers to reinforce positive behaviors. ▪ To successfully motivate others supervisors must plan for the delivery of reinforcement and ways to celebrate success. ▪ Supervisors typically are well positioned to know which activities and interests bring joy and motivation to employees outside of the workplace. Because supervisors spend a great deal of time with those that report to them, there is a greater chance for them to learn more about their employees.

REFERENCES

Collins, Jim. (2001). *Good to Great*. New York: Harper Collins.

Daniels, Aubrey C. (1999). *Bringing Out the Best in People*. New York: McGraw Hill.

Herzberg, Frederick. (1989). "One More Time: How do you motivate employees?" *Harvard Business Review*" Special Edition: People - Managing Your Most Important Asset: 26-35.

Lombardo, Michael M. and Robert W. Eichinger. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited, Inc.

Maslow, A.H. (1971). *The Farther Reaches of Human Nature.* New York: Viking Press.

RECOMMENDED READING

Daniels, Aubrey, C. (1999). *Bringing Out the Best in People*. New York: McGraw Hill.

Herzberg, Frederick. (1989). "One More Time: How do you motivate employees?" *Harvard Business Review*" Special Edition: People - Managing Your Most Important Asset. 26-35.

Kouzes, James M. and Barry Z. Posner. (2002). *The Leadership Challenge, 3rd Edition.* San Francisco, CA: Jossey-Bass

Peters, Tom. (1987). *Thriving on Chaos.* New York: Alfred A. Knopf.

Endnotes

[1] Yankelovich and Immerwhar (1983) " Public Agenda Report on Restoring America's Competitive Vitality." quoted in Daniels, Aubrey C. (1999). *Bringing Out the Best in People*. New York: McGraw Hill, p. 53.

[2] Maslow, A.H. (1971). *The Farther Reaches of Human Nature*. New York: Viking Press.

[3] Collins, Jim. *Good to Great*. (2001). New York: Harper Collins. See Chapter three.

[4] Daniels, Aubrey, C. (1999). *Bringing Out the Best in People*. New York: McGraw Hill, p. 8.

[5] Daniels, Aubrey, C. (1999). *Bringing Out the Best in People*. New York: McGraw Hill, p. 9.

[6] Daniels, Aubrey, C. (1999). *Bringing Out the Best in People*. New York: McGraw Hill, p. 34.

[7] Lombardo, Michael M. and Robert W. Eichinger. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited, Inc., p. 204.

DEVELOPING DIRECT REPORTS

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Marie Mactavish

DEVELOPING DIRECT REPORTS

Definition of Developing Direct Reports

DEVELOPING DIRECT REPORTS: A direct report is any individual who reports directly to a supervisor or manager. Developing direct reports is the process of helping individuals in an organization improve their knowledge and skills. This development is designed to enable direct reports to perform well in their immediate assignments and to prepare them for lateral and promotional opportunities.

Knowledge Base

> **The reservoir of unused human talent and energy is vast, and learning to tap that reservoir more effectively is one of the exciting tasks ahead for mankind.**
>
> **–John W. Gardner[1]**

Why is developing direct reports important?

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

In order for an organization or a group within an organization to operate at full potential and attain maximum productivity, each direct report must become a fully contributing member of the organization. The more direct reports are nurtured and developed, the more likely they are to stay with the organization and successfully contribute to it.

JOINT RESPONSIBILITY: The organization, managers, and direct reports all have a responsibility to make direct report development successful. Developing direct reports is grounded in a three-part harmony[2] (see figure 1). First, the organization must agree on the value it places on employees and put in place the necessary policies and procedures to reflect that value. Second, the manager needs to take an active, committed role in developing his or her direct reports. Third, the direct report must be willing to put in the necessary effort to gain new skills and knowledge. When these parties work together, an optimal environment exists for the individual employee to grow and develop in the organization. The figure below illustrates the interaction of the organization, its managers, and the direct reports.

Joint Responsibility for Developing Direct Reports

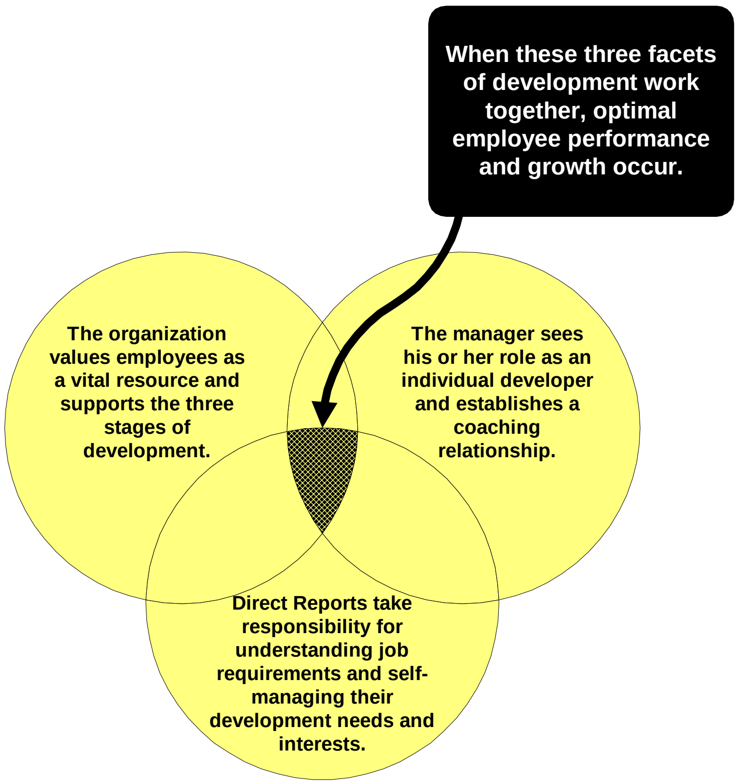


Figure 1. shows the three-part harmony of organization, manager, and direct report in developing the direct report.

I. Organizational Responsibility

> **Create the kind of climate in your organization where personal growth is expected, recognized and rewarded.**
> **--Author Unknown**

VALUING DEVELOPMENT: Organizations that operate under the premise that employees, or direct reports, are the most valuable resource of the organization are more likely to promote training and development as a process. This organizational value "views people as the most valuable organizational asset. Each person is recognized as capable of immense achievement."[3].

Viewing employees as the most valuable organizational asset should lead to the creation of congruent policies and mechanisms that ensure effective training and development.

- ***Training Supervisors:*** Managers should be trained to properly supervise and help direct reports understand their responsibilities and achieve successful performance.
- ***First Year Training:*** Early in the direct reports' careers, training must be provided to ensure basic skills and knowledge are acquired. This includes an understanding of the mission, values, and functions of the organization and the necessary knowledge to work and be successful within it.
- ***Rewards and Recognition:*** Mechanisms must be in place to acknowledge successful development. Reward mechanisms should acknowledge the progress of direct reports and encourage further development.

Three Stages of Direct Report Development

Direct report development takes place over time in three stages:

Organizations should ensure that direct report development takes place throughout their employment: acquiring basic skills, enhancing performance, and development for future roles. Each level increases the performance and effectiveness of the direct report and benefits the organization. Although this is an ideal, it is understood that organizations and managers often fall short; however, without a system model for direct report development, individuals' development will occur haphazardly.

- **Acquiring Basic Skills**

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

New Hires

- ***Provide orientation to the organization:*** Employees should be exposed to the vision, mission, values, policies and procedures, etc. of the organization in order to function well.
- ***Teach knowledge and skills for current tasks:*** Employees should learn the specifics of their job and how it relates to the larger organization.

- ***Create opportunities for practice and feedback:*** As an employee is learning the job, situations need to be provided for skills practice so they can get feedback on their performance.
- ***Set clear, measurable performance standards:*** As employees are learning the job, they need to have an understanding of what is specifically expected of them.
- ***Establish periodic performance appraisal:*** A manager or supervisor should periodically rate an employee on the technical aspects of the job as well as factors such as initiative, leadership, judgment, and ability to work as part of a team.

Line-Level Employees Moving into Supervisory Positions

- ***Help individuals make the transition to management:*** Moving from being one of the group to being the one with authority and responsibility for the group is among the most challenging situations in a person's career. Support should be offered to facilitate the process and minimize mistakes.
- ***Identify new expectations:*** New supervisors must go from performing tasks to getting things done through others.
- ***Create opportunities for practice and feedback:*** Supervisory situations need to be used by supervisors and their managers as skills practice so they can get feedback on their performance.
- ***Establish new performance criteria:*** Skills such as delegation, conflict management and mediation, budgeting and planning, and seeing the big picture are examples of new skills needed for adequate performance in management positions.
- ***Ensure periodic performance appraisal:*** A manager should establish a mentoring relationship with a new supervisor to give effective feedback on interpersonal and leadership skills.

- **Enhancing Performance**

ENHANCING PERFORMANCE: New hires and experienced employees, as well as new and existing supervisors and managers, need to further develop specific skills to reach peak performance. Some training such as CPR and weapons qualification is routinely mandated in corrections organizations. Other skills that are key to high performing organizations, such as conducting effective meetings, delegation, interpersonal skills, and conflict management, should be identified. These often-overlooked skills are essential to meeting the many challenges in any corrections organization. The process for developing new skills should include the following:

- Identify a specific skill area;
- Agree on a learning method for improvement;

- Practice and receive feedback;
- Increase awareness of the effects of performance on others;
- Measure change within a well-defined time frame; and
- Recognize and reward skill enhancement.

- **Preparing for Future Roles**

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

- Be mutually created and agreed upon between the direct report and the manager;
- Offer the direct report a "big picture" view of future possibilities in the absence of immediate advancement opportunities;
- Provide 360 degree feedback or a similar mechanism for offering individuals in existing managerial positions new perspective on their performance and improvement needs; and
- Continually offer new learning opportunities both inside and outside current job responsibilities.

The Three Stages of Direct Report Development

	Acquiring Basic Skills	Enhancing Performance	Preparing for Future Roles
Reason or Goal	▪ Orient new hires to their position and the organization	▪ Increase performance in a specific skill area.	▪ Prepare direct reports for promotion, advancement
Knowledge Gained	▪ Basic knowledge and skills for new tasks ▪ "How things are done here."	▪ Improvement in specific areas ▪ "Doing a better job at…"	▪ Knowledge and skills necessary for advancement ▪ "You're now ready to take on…"
Results	▪ Satisfactory performance	▪ Increased performance	▪ Expanded knowledge with focus on advancement
Appraisal System	▪ Traditional: agreed upon performance criteria	▪ Traditional: agreed upon performance criteria **AND/OR** ▪ Development: 360 degree feedback	▪ Development: 360 degree feedback or similar review mechanism

Figure 2 shows a comparison of the Three Stages of Direct Report Development

II. Managerial Responsibility

> **Spectacular achievement is always preceded by spectacular preparation.**
> **--Robert H. Schuller**

Managers should dedicate time to help each direct report develop in meaningful ways and improve their knowledge and performance.

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

Managers have a responsibility to develop people who report to them. In the most effective organizations, managers will even work to develop employees who may report to other managers. Managers can help individuals further develop critical thinking, analysis, problem solving, planning, and evaluation skills.[4] A manager has the responsibility to help design career paths, act as a resource person, and provide feedback.[5] Time should be dedicated to each direct report throughout the year to help them develop in meaningful ways and improve their knowledge and performance.

In order to do this a manager should understand that most individuals are intrinsically motivated by their work, rather than needing to be coaxed or coerced to work productively.[6] Assuming the best, that people value a sense of accomplishment, personal growth, and pride in contributing to the organization, enables a manager to take on the role of individual developer.

Directive & Collaborative Approaches

When developing direct reports, a manager must be able to use both directive and collaborative approaches.

Throughout the development process, a manager who actively develops direct reports must be able to move between two broad interaction strategies: directive and collaborative. In both, a manager must avoid personal ego issues that sometimes arise as a result of promotion to management.

DIRECTIVE: At different stages in development, direct reports need different kinds of supervision. When a direct report needs to learn basic skills and knowledge, a manager may need to be more directive when giving feedback and setting goals. Directive management does not have to imply negative coercion, but rather it can be positive and straightforward, addressing what behaviors need correction.

COLLABORATIVE: When a direct report has reached satisfactory performance and has become competent and confident in their position, a manager may need to be more collaborative in his or her leadership style. Figure 2 below illustrates this process.

Managerial Approaches for Direct Report Development

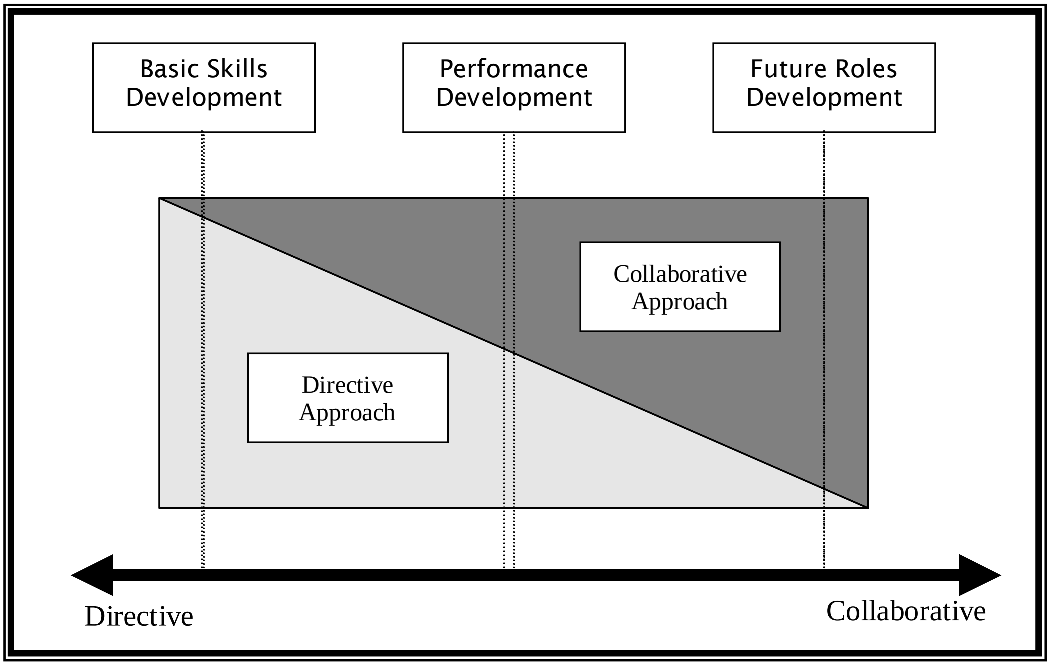


Figure 2. shows the use of directive and collaborative approaches throughout direct report development.

Coaching

> **Despite the commonly held belief that every leader needs to be a good coach, leaders tend to exhibit this style least often. In these high-pressure, tense times, leaders say they "don't have the time" for coaching. By ignoring this style, however, they pass up a powerful tool.[7]**
>
> **--Daniel Goleman**

Manager as Coach

Direct report development from a coaching perspective includes a deeper relationship with an employee that encompasses both performance goals and career paths. The concept of "manager as a coach" in a correctional environment is still a very new style of interaction that requires a manager to move away from traditional paramilitary culture and be clear and emphatic about open relationships. In order for a manager to be a successful coach for his or her direct reports, he or she should understand the following aspects of the coaching relationship:

- ***Designing a Relationship:*** Because individuals are the main resource of organizations, developing direct reports must be about designing and maintaining a strong relationship. The relationship between a manager and a direct report does not have to be social. However, the relationship must be based upon mutual trust and respect. This relationship motivates direct reports toward continued development.
- ***Setting Clear Expectations:*** A manager must provide the direct report with a clear job description and performance criteria. In addition, it is critical that the individual understands the values, vision, mission, and cultural norms of the organization.
- ***Providing Training Opportunities:*** Individuals need training and learning opportunities both on the job and in the classroom.
- ***Giving Clear Feedback:*** A manager must provide clear, timely, honest feedback related to job performance.
- ***Attending to Immediate and Future Skills:*** Managers tend to focus primarily on developing basic skills, but forget that individuals want and need development for future roles. A successful manager attends to both.

The Five Managerial Coaching Skills:

- **Appraisal**

MANAGERIAL COACHING SKILLS: Although there are many skills that a manager needs to function successfully, there are five specific skills that are essential for direct report development.

- ***Appraisal:*** A manager cannot develop direct reports unless he or she is willing to give an honest appraisal to their direct reports.[8] Managers should be proficient in the three main areas of appraisal to effectively develop direct reports. These areas are:
  - Assessing skills and knowledge relating to the technical aspects of job performance.
  - Assessing interpersonal skills. Ineffective interpersonal skills have been found to be a main cause for career derailment.[9]
  - Assessing how the job fits. A manager must also be aware that an individual may not be suited for his or her current position. After appraisal, a manager may decide that moving the individual to a new position, assignment, or unit may be the best way to help that person develop. As termination in government organizations only happens in extreme cases, managers must be able to fully explore the options for reassignment where the direct report may be better suited to contribute.[10]

- **Listening**
- **Questioning**
- **Giving Feedback**
- **Planning and Goal Setting**

➢ ***Listening:*** A manager who successfully develops his or her direct reports knows how to listen skillfully. Characteristics of skilled listening include practicing attentive and active listening, having patience to hear people out, and accurately restating the opinions of others even when he or she disagrees. Unskilled listeners prepare their own response when others are speaking, cut people off, offer a premature solution, or appear disinterested.

➢ ***Questioning:*** A manager who asks powerful questions evokes clarity, discovery, and insight. Powerful questions are open-ended and do not elicit a yes or no answer. They hold the direct report's interest and either forward the action or deepen the understanding of the issue.

➢ ***Giving Feedback:*** A manager who successfully develops direct reports gives specific feedback that is frequent and timely. Feedback is offered when developmental opportunities arise as well as when it is necessary for an individual to modify behavior to improve performance. Feedback should be kept simple.

➢ ***Planning and Goal Setting:*** The manager helps direct reports take time to reflect and then clarify the direction they need or wish to go. This process includes being able to set specific goals and objectives that are meaningful and achievable. Time is also spent on identifying realistic strategies to match each goal. The manager also monitors the individual's progress.

III. Direct Report's Responsibility

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

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

Understanding Job Responsibilities

UNDERSTANDING JOB RESPONSIBILITIES: Direct reports must take the initiative to understand their job and performance responsibilities, and keep that understanding current. Individuals should take full advantage of training opportunities, both formal and informal, in order to develop competence in their jobs.

Emotional Intelligence

EMOTIONAL INTELLIGENCE: Daniel Goleman's groundbreaking work on emotional intelligence[11] has generated an understanding that those who know how to understand and manage themselves and their relationships are more successful in the workplace. In his model of emotional intelligence there are four areas of competence: self-awareness, self-management, social awareness, and relationship awareness. Two areas of particular importance to direct report development are self-awareness and self-management.

- ***Self-Awareness:*** Direct reports who want to successfully move along in their career and contribute to the organization must be self-aware in order to achieve those goals. Self-awareness includes the following:[12]
  - Being aware of your emotions and the effect they have on decision making and work practices;
  - Accurately and honestly evaluating yourself; and
  - Having confidence in your capabilities.
- ***Self-Management:*** Direct reports who want to successfully move along in their career and contribute to the organization must be able to self-manage. Self-management includes the following:[13]
  - Maintaining self-control;
  - Acting with honesty and integrity;
  - Adapting to new and challenging situations;
  - Showing initiative in new opportunities; and
  - Being optimistic.

Summary

Knowledge

Developing direct reports is a critical part of an organization's success. Most organizations view individual employees as a valuable resource, yet direct report development is often overlooked or underachieved. When done well, developing individuals engenders greater loyalty to the organization and enables employees to reach their full potential and make the greatest contribution to the organization.

Successful direct report development requires that:

- ✓ Organizations value development and create mechanisms and systems to support it.
- ✓ Managers recognize their roles as coaches.
- ✓ Direct reports take an active role in their own development.

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

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

Organizational Responsibility

Skill: Demonstrating organizational support for direct report development.

Behaviors:

- ✓ Offer training opportunities that will increase skills in developing direct reports, such as delegation, conflict management, and interpersonal skills.
- ✓ Establish reward and recognition mechanisms that acknowledge the progress of direct reports and encourage further development.

Managerial Responsibility

Skill: Conducting an effective appraisal of a direct report.

Behaviors:

- ✓ Spend time observing the direct report in work situations.
- ✓ Identify strengths and weaknesses specific to job requirements.
- ✓ Compare performance to established performance measures.

Skill: Demonstrating the elements of skilled listening.

Behaviors:

- ✓ Listen for understanding before offering opinions and be willing to consider others' points of view.
- ✓ Rephrase what was said to ensure understanding.

Skill: Understanding the value of asking powerful questions.

Behaviors:

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

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

Skill: Giving effective feedback.

Behaviors:

- ✓ Offer feedback related to specific behavior.
- ✓ Give timely feedback related to an observed behavior.
- ✓ Offer frequent positive and constructive criticism to support performance.
- ✓ Relate feedback to immediate performance or a developmental opportunity.

Skill: Setting goals effectively with direct reports.

- ✓ Discuss goals with employees.
- ✓ Create mutual agreement on the actions to be taken.
- ✓ Solicit agreement on the strategies to achieve the goal.
- ✓ Establish a measure/standard to provide accountability.

Direct Report's Responsibility

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

Behaviors:

- ✓ Seeks to learn all facets of job responsibilities.
- ✓ Takes advantage of opportunities to learn skills beyond those required for immediate job.
- ✓ Actively engages in self-awareness opportunities and effective self-management.

FOCUS FOR MANAGERS AND SUPERVISORS

DEVELOPING DIRECT REPORTS	MANAGERS	SUPERVISORS
A direct report is any individual who directly reports to a supervisor or manager. Developing direct reports is the process of helping individuals in an organization improve their knowledge and skills. This development is designed to enable direct reports to perform well in their immediate assignments and to prepare them for lateral and promotional opportunities.	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but their primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managers:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrators ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	These individuals generally manage the staff that works directly with the client or constituent group. They also make recommendations to improve systems and service delivery and monitor for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisors:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Organizational Responsibility	▪ Spends more time at skill and performance enhancement levels. ▪ Focuses on development of supervisors for future roles. ▪ Spends time focused on development of new supervisors.	▪ Spends more time supporting basic skill development of line-level employees.

DEVELOPING DIRECT REPORTS	MANAGERS	SUPERVISORS
2. Managerial Responsibility	▪ Develop coaching relationship with direct reports. ▪ Set clear performance expectations. ▪ Provide training opportunities. ▪ Give clear feedback. ▪ Attend to immediate and future skills development.	▪ Develop coaching relationship with direct reports. ▪ Set clear performance expectations. ▪ Provide training opportunities. ▪ Give clear feedback. ▪ Attend to immediate and future skills development.
3. Direct Report's Responsibility	▪ Understand job responsibilities. ▪ Demonstrate commitment to self-awareness and self-management.	▪ Understand job responsibilities. ▪ Demonstrate commitment to self-awareness and self-management.

REFERENCES

Center for Creative Leadership. (2000). *Benchmarks Facilitators Manual.* Greensboro, NC: Center for Creative Leadership.

Collins, Jim. (2001). *Good to Great.* HarperBusiness: New York.

Covey, Stephen R. (1990). *Principle-Centered Leadership.* New York: Simon & Schuster.

Gardner, John W. (1990). *On Leadership.* New York: Free Press.

Goleman, Daniel. (1995). *Emotional Intelligence.* New York: Bantam Books.

Goleman, Daniel, Richard Boyatzis, and Annie McKee. (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence.* Boston: Harvard Business School Press.

Hersey, Paul, Kenneth H. Blanchard, and Dewey E. Johnson, (1996). *Management of Organizational Behavior.* Prentice Hall: New Jersey.

Hughes, Richard L., Robert C. Ginnett, Gordon J.Curphy. (1996). *Leadership, Enhancing the Lessons of Experience*. Chicago: Irwin.

Lombardo, Michael M. and Robert W. Eichinger. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited, Inc.

Mink, Oscar G., James M. Shultz, and Barbara P. Mink. (1979). *Developing and Managing Open Organizations.* Austin, TX: OHRD Associates, Inc.

RECOMMENDED READING

Collins, Jim. (2001). *Good to Great.* HarperBusiness: New York.

Goleman, Daniel, Richard Boyatzis, and Annie McKee. (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence.* Boston: Harvard Business School Press.

Lombardo, Michael M. and Robert W. Eichinger. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited, Inc.

Stein, Steven J. and Howard E. Book. (2000). *The EQ Edge: Emotional Intelligence and Your Success.* Toronto: Stoddart.

Whitworth, Laura, Henry Kimsey-House, and Phil Sandahl. (1998). *Co-Active Coaching.* Palo Alto, CA: Davies-Black Publishing.

Endnotes:

[1] Gardner, John W. (1990) *On Leadership*. New York: Free Press.

[2] Lombardo, Michael M. & Eichinger, Robert W. (1998). *For Your Improvement*. Minneapolis, NN: Lominger Limited, Inc.

[3] Covey, Stephen R. (1990). *Principle-Centered Leadership.* New York: Simon & Schuster.

[4] Mink, Oscar G., Shultz, James M., & Mink, Barbara P. (1979). *Developing and Managing Open Organizations.* Austin, TX: OHRD Associates, Inc.

[5] Lombardo, Michael M. & Eichinger, Robert W. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited Inc.

[6] For a more detailed explanation see Hersey, Paul, Blanchard, Kenneth H., & Johnson, Dewey E. (1996). *Management of Organizational Behavior.* Prentice Hall: New Jersey

[7] Goleman, Daniel, Boyatzis, Richard, & McKee, Annie. (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence.* Boston: Harvard Business School Press, p. 60. This quote by Goleman et al. refers to the leadership style of David Ogilvy, legendary advertising executive.

[8] Lombardo, Michael M. & Eichinger, Robert W. (1998). *For Your Improvement.* Minneapolis, MN: Lominger Limited Inc.

[9] Center for Creative Leadership. (2000). *Benchmarks Facilitators Manual.* Greensboro, NC: Center for Creative Leadership.

[10] For discussion of trends in employee termination in the business sector that do not apply to government organizations, see Collins, Jim. (2001). *Good to Great.* New York: HarperBusiness.

[11] Goleman, Daniel. (1995). *Emotional Intelligence.* New York: Bantam Books.

[12] These elements of self-awareness come from the personal competence model on page 39 of Goleman, Daniel, Boyatzis, Richard, & McKee, Annie. (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence.* Boston: Harvard Business School Press.

[13] These elements of self-management come from the personal competence model on page 39 of Goleman, Daniel, Boyatzis, Richard, & McKee, Annie. (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence.* Boston: Harvard Business School Press.

MANAGING CONFLICT

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Marie Mactavish

MANAGING CONFLICT

Definition of Conflict

CONFLICT: Conflict is an expressed struggle between at least two interdependent parties who perceive a situation differently or have incompatible goals, are competing for scarce resources, or perceive interference from the other party in achieving their goals[1]

Knowledge Base

> **In the frank expression of conflicting opinions lies the greatest promise of wisdom in governmental action.**
>
> **--Louis D. Brandeis**

Why is managing conflict important?

Conflict, when it occurs, can be useful in achieving objectives if it is managed correctly. It can productively leverage diversity, unify individuals around a common goal, promote cooperation, and encourage innovative solutions. However, not all conflict leads to beneficial results.

If poorly managed, conflict can decrease the desire to work together and eventually break apart a group or organization. Effectively managing conflict utilizes conflict's benefits while avoiding its pitfalls.

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

In the workplace, conflict may exist between employees at all levels. The focus of this chapter is on conflict management from the perspective of a manager or supervisor. Managers and supervisors should use the ways they manage conflict to model the ethic they wish to establish in the workplace.

A study featured in a Harvard Business Review article found that managers were spending 42% of their time dealing with office conflict.[2] Since excessive time is being spent on this issue, learning skills to manage conflict is recognized as a crucial element of effective management.

I. Causes of Conflict

The Causes of Conflict in Organizations Include:

- **Relationships**
- **Data**
- **Interests**
- **Structure**
- **Values**
- **Resources**

WHAT CAUSES CONFLICT IN ORGANIZATIONS? The six major sources of conflict, in both interpersonal and inter-organizational settings, are:

- **Relationship conflicts –** occur because of the presence of strong negative emotions, misperceptions, stereotypes, poor communication, or repetitive negative behaviors. In organizations people sometimes are forced to work together when they may have a history of relationship issues.
- **Problems with data –** occur when people lack the information necessary to make wise decisions, are misinformed, or interpret the given data differently.
- **Interest conflicts –** are caused by competition over perceived or actual incompatible needs. Interest-based conflicts occur over:
  - *Substantive issues* – money, physical resources, time, etc.
  - *Procedural issues* – the way the dispute is resolved
  - *Psychological issues* – perceptions of trust, fairness, respect, etc.
- **Structural conflicts –** refers to how the situation is set up or a disagreement on how things are done procedurally. Limited physical resources or authority, geographic constraints, time, or organizational structure generally cause structural conflicts.
- **Differing values –** may cause conflict if the parties involved differ in their belief systems. This category also includes disagreement over vision, mission, goals, and objectives.
- **Fiscal conflicts** – occur when scarce resources are an issue, and each level and/or part of the organization or agency tries to obtain the resources they need. This type of conflict is amplified in times of economic downturn.

By examining the causes of conflict according to the six categories – relationship, data, interest, structure, value, and resources – we can begin to determine the root of the problem. The better the causes of the problem are understood, the more likely the resolution strategy will be successful.

II. Understanding Self – Your Own Response to Conflict

> **Speak when you are angry and you will make the best speech you will ever regret.**
>
> **--Ambrose Bierce, *Getting Past No***

UNDERSTANDING YOUR OWN RESPONSE TO CONFLICT: Gaining an understanding of self through the use of assessment instruments is a good place to start. In this chapter two ways of looking at conflict styles will be discussed. Other personality inventories may also be helpful, such as the Myers-Briggs Type Indicator (MBTI)[3] and the Fundamental Interpersonal Relationship Orientation - Behavior (FIRO-B).[4]

Conflict Management Styles

CONFLICT MANAGEMENT STYLES: In the *Thomas-Kilmann Conflict Mode Instrument*, Kenneth Thomas and Ralph Kilmann identified five different styles of response that individuals use when confronted with conflict situations. A person's behavior can be measured along two different dimensions: (1) assertiveness – the extent to which a person attempts to satisfy his/her own concerns, and (2) cooperativeness – the extent to which the individual attempts to satisfy the other person's concerns. These two basic dimensions of behavior can be used to define five specific methods of dealing with conflicts as shown in Figure 1.

THOMAS-KILMANN CONFLICT STYLES

ASSERTIVENESS	COOPERATIVENESS: LOW		HIGH
HIGH	COMPETING		COLLABORATING
		COMPROMISING	
LOW	AVOIDING		ACCOMMODATING

LOW HIGH

COOPERATIVENESS

Figure 1. The five Thomas-Kilmann conflict styles are defined by assessing the amount of assertive or cooperative behavior used when dealing with conflict.

Five Styles of Conflict Management:

- Avoiding
- Competing
- Accommodating
- Compromising
- Collaborating

- **Avoiding –** means being unassertive and uncooperative. The individual in the conflict does not pursue his or her own concerns or the concerns of the other person. He or she does not address the conflict. Avoiding might take the form of discreetly sidestepping an issue, postponing an issue indefinitely, or simply withdrawing from a threatening situation.
- **Competing –** my way or the highway. Competing is assertive, but also uncooperative. In this situation an individual pursues his or her own concerns at the expense of the other person's interests. This could be considered a power-oriented mode, in which one uses whatever power seems appropriate to win the argument. Competing might mean standing up for what is perceived to be right, defending a position, or simply trying to win at any cost.
- **Accommodating** – giving in for the sake of peace. Accommodating is unassertive and cooperative. When accommodating, an individual neglects his or her own concerns to satisfy the concerns of the other person. Accommodating might take the form of selfless generosity or charity, obeying another person's order when one would rather not, or yielding to another's point of view.
- **Compromising** - splitting the difference. Compromise is intermediate in both assertiveness and cooperativeness. The objective is to find some quick, mutually acceptable solution that partially satisfies both parties. It falls on a middle ground between competing and accommodating. Compromising might mean splitting the difference, exchanging concessions, or seeking a quick middle ground position.
- **Collaborating** –working together and meeting as many needs as possible. Collaboration is both assertive and cooperative. Collaborating involves an attempt to work with the other person to find some solution that fully satisfies the concerns of both persons. It means digging into an issue to identify the underlying concerns of the two individuals and finding an alternative that meets both sets of concerns. Collaborating between two persons might take the form of exploring a disagreement to learn from each other's insights, concluding to resolve some condition which would otherwise have them competing for resources, or trying to find a creative solution to a problem that satisfies both parties.[5]

Understanding the five different styles of conflict response may expand one's choices to use when handling conflict. Different conflict styles may be appropriate for different situations. One style is not necessarily better than another. It depends on the situation and the individuals involved.

Conflict Lens

One key to understanding where others are coming from is recognizing that we all interpret things somewhat differently based on previous experiences and observations. We all have different "lenses" through which we see things.

The conflict lens, another diagnostic tool, offers a mental model to help an individual understand a variety of options that may be used in resolving conflicts. The following model (see Figure 2) includes ten dichotomies of behaviors and attitudes that are used when responding to conflict.

CONFLICT LENSES

Affiliate ⟷	**Alienate**
Those who consistently use high affiliation are interested in maintaining relationships. They are sensitive to the needs of others in a conflict situation and expend energy trying to be tactful in how they present their views.	Those who use alienation tend to focus only on the issue at hand, ignoring the relationship aspects of the conflict. Their goal is to settle the issue and not be concerned with how the parties feel when the conflict is over.
Analyze ⟷	**Intuit**
Individuals who analyze try to collect all the facts before addressing the issue. Being prepared with relevant data is the key to this approach.	When using intuition, it is preferable to get the issues on the table, and then research facts if necessary. These individuals do not look for supporting data until they know what the conflict is all about.
Compromise ⟷	**Stand Firm**
In compromising, people are flexible and open to alternative solutions. This involves maintaining some interests but also giving up some to solve the conflict.	Those who stand firm insist on getting their way. They believe they have the right solution and are willing to promote their ideas to the end.
Control ⟷	**Comply**
Using control means taking charge of the situation and expressing needs in an aggressive manner. The focus here is on pushing an issue to resolution while insisting on one point of view.	Compliance means letting other people have their way. Behavior in this area tends to be nonassertive, unassuming and accommodating. These individuals are known to give in quickly when conflicts arise.

Empathize ⟷	**Egoize**
Empathizing means trying to see the problem through the other person's point of view. These individuals have good listening skills and look for common ground. The ability to empathize is one of the most important conflict resolution skills for constructive problem solving.	People who are egotistical only see how a conflict affects them and are primarily interested in serving their own interests. To egoize means to put yourself first without seeing, or attempting to see, the other person's point of view.
Engage ⟷	**Avoid**
People who engage tend to be comfortable with conflict and try to get the other person involved in the dispute in a constructive way. They openly acknowledge a problem exists and commit to solving it.	Avoiding means ignoring and withdrawing from the conflict. People who use avoidance keep their viewpoints inside. They tend to become anxious in the face of disagreements and won't talk about the issue.
Own ⟷	**Blame**
Owning your part in a conflict means taking at least part of the responsibility for creating a situation, as well as taking responsibility for solving the problem.	People who use blaming find it difficult to see their role in creating a conflict. They may even see the conflict as essentially no one's fault ("stuff happens!"), but this is still an attempt to project responsibility away from themselves.
Seek Support ⟷	**Go Solo**
Seeking support includes sharing concerns with others who are not directly involved in the conflict. This includes gathering advice, asking for help in thinking about the issues, and sometimes asking others to become involved in the conflict resolution process.	Going solo means handling the problem alone. People who go solo value their independence and self-sufficiency and believe that others' opinions may not be relevant when dealing with a particular issue.
Self-Restrain ⟷	**Emote**
Self-Restraining means keeping control of emotional expressions. People who practice self-restraint have the same feelings as people who emote, but they do not become visibly upset. They approach the conflict in a calm rational manner.	Emoting refers to displaying emotional behavior during conflict, expressing anger, frustration, and distress - often by shouting or even physical gestures such as pounding on the table, shaking a fist, or pointing fingers.
Trust ⟷	**Distrust**
Trusting people will have a general regard and sense of confidence in the other person involved in the conflict. To trust is to believe in the basic goodness and good intentions of the people involved.	Distrusting is to believe that the other person has only his/ her own interests at heart or is actively trying to harm you in some way. Like the trust scale, this is not a reflection of behaviors as much as it is a set of beliefs about the other person.

Figure 2. The Conflict Lens is a diagnostic tool developed by Creative Metrics that can be used to assess tendencies in individuals' behaviors when responding to conflict.[6]

Supervisors and managers must understand how they relate to conflict before they can skillfully manage conflict with others.

Recognizing the behaviors people exhibit when responding to conflict helps identify tendencies that may be hindering successful conflict resolution. Acknowledging different conflict resolution strategies can broaden the options available and help identify ways to produce constructive outcomes.

When combined with skilled facilitation and training, the *Thomas-Kilmann Conflict Mode Assessment* or the *Conflict Lens* can enhance a manager's or supervisor's understanding of how they relate to conflict. It is critical for a supervisor or manager to first develop this self-awareness before they can be skillful in managing conflict with others.

III. The Roles of Managers in Conflict Situations

> **Minds are like parachutes-they only function when open.**
>
> **--Thomas Dewar**

Managers play several different roles in conflict resolution based on relationship and level of authority.

Managers and supervisors play several different roles in conflict resolution, based on the people involved in the situation. The relationship and the level of authority involved influence the role that the manager will likely play in the management of conflict. In the following section, five situations that supervisors and managers commonly encounter are described. These five situations are:

- **Managing conflict with the boss –** subordinate role is clear in the relationship
- **Managing conflict with direct reports –** authority role is clear in the relationship.
- **Managing conflict with colleagues -** equal authority in the relationship.
- **Mediating between direct reports –** as a third party that plays a neutral role while simultaneously having authority.
- **Facilitating conflict management within a team setting –** supervisor/manager plays the role of the team leader with authority.

Managing Conflict with the Boss

MANAGING CONFLICT WITH THE BOSS: Managing your boss is an integral part of a manager or supervisor's success. Perhaps the most effective way to manage conflict with the boss is to work at preventing it. Although much attention is given to building and maintaining effective relationships with direct reports, building and maintaining an effective relationship with a boss is of equal importance.

The relationship between a manager/supervisor and his or her boss, if not consciously developed, could become strained to the point of conflict. Gabarro and Kotter's (1989) groundbreaking work on "managing your boss" has created a new understanding of the importance of that upward relationship, a relationship that not only increases your success as a manager/supervisor, but also increases your departmental success as well.

Managing your boss is a simple matter of understanding each other's strengths, weaknesses, and interests, and openly communicating goals and expectations in order to work together effectively and efficiently. The following table adapted from Gabarro and Kotter's article, *Managing Your Boss,* outlines how to build and maintain an effective relationship with your boss.

KEY ELEMENTS TO BUILDING AND MAINTAINING AN EFFECTIVE RELATIONSHIP BETWEEN A MANAGER/SUPERVISOR AND A BOSS

1. Understand your boss and his or her context.	Learn your boss's goals, objectives, pressures, strengths, weaknesses, and preferred work style in order to reduce miscommunication and ambiguous expectations.
2. Assess your needs as a supervisor/manager.	Assess your own strengths, weaknesses and work style. Assess your predisposition to authority in order to better understand your reactions to your boss.
3. Develop and maintain an effective relationship.	Develop a relationship that fits both of your needs and work styles, and one that is characterized by mutual expectations. Selectively use your boss's time, and keep your boss well informed. Base your relationship on honesty and dependability.

Figure 3. This table illustrates the key elements to building and maintaining an effective relationship between a manager or supervisor and a boss, adapted from *Managing Your Boss,* Gabarro and Kotter (1989).

Managing Conflict with Direct Reports

A supervisor or manager who takes the time to listen to concerns and work through difficult issues with employees is more likely to have personal as well as positional power.

MANAGING CONFLICT WITH DIRECT REPORTS: Based on their position, a supervisor or manager has the authority and the responsibility to accomplish tasks.[7] However, if a supervisor or manager abuses that authority when interacting with their direct reports, they are likely to lose respect and trust. Without the respect and trust of their direct reports, it is very difficult to establish relationships with integrity.

A supervisor or manager who consistently uses an authoritative style will only be able to influence a direct report with their positional power. On the other hand, if a supervisor or manager takes the time to listen to concerns and work through difficult issues with employees, they are more likely to utilize personal power to develop and maintain respectful relationships. The following chart (see Figure 3) can be used as a tool to manage conflict in a respectful manner.

STEPS FOR DEALING WITH CONFLICT BETWEEN A SUPERVISOR / MANAGER AND A DIRECT REPORT

1. Explain the situation the way you see it.	Emphasize that you are presenting your perception of the problem. Specific facts and feelings should be used. Use "I" statements when possible.
2. Describe how it is affecting performance.	Keep attention on the work-related problems and away from personalities. Present the problem in a way that will be readily understood and concrete.
3. Ask for the other person's viewpoint to be explained.	Before proposing solutions, gather as much information as possible. This step confirms that you respect the other person's opinion and need his or her cooperation. Listen carefully while he or she talks and be open to learning and changing. Take the time to paraphrase the other's concerns and ask clarifying questions.
4. Agree on the problem.	Summarize the various viewpoints and state clearly the problem that you and the other participant think needs to be solved. Ideally, it is best for the manager and the direct report to agree on the problem so they can more easily focus on developing solutions. However, if there is a discrepancy, the manager/ supervisor has the rank to indicate the problem at stake.
5. Explore and discuss possible solutions.	In order to ensure shared ownership of the problem's resolution, all participants in the conflict should be involved in developing solutions. The synergy developed may result in better solutions than any participant would have produced alone. Ideally a solution will be mutually developed, but if an agreement can't be made, the manager/ supervisor has the authority to prescribe the solution.
6. Establish levels of accountability for each stakeholder involved in problem resolution.	Each person involved must clearly understand his or her role in the solution and accept responsibility as an individual to make it work.
7. Set a date for a follow up meeting. Establish clearly defined benchmarks as appropriate.	A follow-up meeting allows you to evaluate progress and make adjustments as necessary. People are much more likely to follow through if they know they will be held accountable for their commitments at a follow-up meeting.

Figure 4: These steps provide a framework that can be used when addressing conflict between supervisors / managers and direct reports.

In managing conflict with direct reports, the supervisor or manager should take the time to listen to concerns and maintain respectful relationships. If a solution cannot be mutually agreed upon, the supervisor or manager clearly has the authority to make the final decision.

Managing Conflict with Colleagues

MANAGING CONFLICT WITH COLLEAGUES: While a lot of managers' time is spent in conflict with direct reports, they also have conflict with colleagues of equal authority that need to be acknowledged and managed. While involved in negotiation, they need to develop the necessary skills to address differences while preserving the relationship. Colleagues at the managerial level are also modeling methods of problem solving that may be observed and set as a standard for personal interaction among direct reports.

Negotiation Defined: Negotiation is a bargaining relationship between two or more parties who have a perceived or actual conflict of interest. The participants commit to educating each other about their needs and interests, to exchange specific resources, or to resolve one or more intangible issues.[8]

Interest-Based vs. Position-Based Bargaining

INTEREST BASED VS. POSITION BASED BARGAINING: Using interest-based bargaining instead of position-based bargaining can produce more efficient and productive problem solving.

Positional Bargaining – starts with a solution. Parties propose solutions to one another and make offers and counter offers until they hit upon a solution that falls within their bargaining range. Using a positional bargaining framework lends itself to a win/lose situation.

Interest-Based bargaining – starts with developing and preserving the relationship. Individuals educate each other about their needs, and then jointly problem solve on how to meet those needs.

The following table (see Figure 4) compares the attitudes of positional vs. interest-based bargaining.

COMPARING APPROACHES

Positional Bargainer's Attitude	Interest-Based Bargainer's Attitude
The pie is limited; my goal is to get the bigger piece	The pie is not limited
A win for me is a loss for you	The goal is win/win
We are opponents	The needs of all parties must be addressed to reach agreement
There is one right solution	We are cooperative problem solvers
I must stay on the offensive	The relationship is important
A concession is a sign of weakness	There are probably several satisfactory solutions.

Figure 5. This chart compares the different attitudes that are expressed when using interest-based and positional bargaining.[9]

In interest-based bargaining, a solution is formed that accommodates both individuals' needs. Since both people's interests are addressed, this is a preferable orientation for managing differences.

When preparing for interest-based bargaining, it is important for both individuals to define specific needs that they would like to have met. After identifying one's own interests, speculate on what the other person's needs may be. This preparation will facilitate a smoother negotiation session.

The following steps (see Figure 5) are recommended for dealing with conflict between two supervisors or managers with equal authority.

STEPS FOR NEGOTIATING BETWEEN TWO SUPERVISORS/MANAGERS WITH EQUAL AUTHORITY

1. Establish rapport and set a positive tone.
2. State the purpose of the negotiation.
3. Begin negotiating by educating one another on each person's interests (disclose and listen).
4. Frame the problem as a joint task to meet both individuals' needs.
5. Look for ways to expand the pie (create value before value is claimed).
6. Generate multiple options for settlement. If options are not being generated, go back and review the interests of both individuals.
7. Evaluate the options on the basis of how well they meet the expressed needs.
8. Select or modify options based on which one meets the most needs.
9. Develop a plan to implement the agreement by answering the questions: who, what, when, where and how.

Figure 6. This chart illustrates the steps for effective negotiations between peers.

Conflict between supervisors and managers of equal authority is a particular challenge because no one person in the conflict has the organization's official authority to make the final decision. Therefore, the skill of negotiating at this level is especially important as an approach in managing differences. If these differences can be managed well, then top leadership will not need to intervene.

Mediating Between Direct Reports

MEDIATING BETWEEN DIRECT REPORTS: A supervisor or manager ensures that delegated tasks are being accomplished, and also has a responsibility of ensuring that the inter-personal relationships between their direct reports are functioning at a satisfactory level. Sometimes conflicts arise between direct reports. There are appropriate times to intervene, but sometimes it is best to let employees work out conflicts themselves. Unfortunately, many employees do not have experience in conflict resolution, so they let differences go unresolved.

It is important to encourage employees to work out differences and settle their own disputes. When employees can effectively manage their own differences, managers spend less of their own time intervening. However, it is appropriate for a supervisor or manager to mediate in the following situations:

- When the conflict has gone unresolved and it begins affecting individual performance and possibly the team's performance.
- When the disagreement is between an assertive employee and a timid, less vocal person.
- When the conflict involves illegal conduct such as sexual harassment or civil rights violation.

Mediation Defined: In the purest form, mediation is an intervention into a dispute or a negotiation between others by an acceptable and neutral third party to assist conflicting individuals in reaching their own mutually acceptable settlement.[10]

Mediation is, in essence, negotiation with the addition of a third person who is knowledgeable in effective negotiation procedures. The mediator helps people in conflict to coordinate their activities and to bargain more effectively. Once a supervisor or manager has learned negotiation skills, they are able to mediate as a third party between two employees.

When a supervisor or manager act as a mediator, it is critical to highlight two aspects. The first is the importance of maintaining a neutral role when working with direct reports. This includes acknowledging biases and making a conscious effort to set them aside.

The second aspect of a mediator role is to recognize that if at all possible, the agreement is facilitated between the two employees without using authoritative power. Calling on the authoritative decision-making power of a manager stretches the purest form of a mediator's role. However, some situations in a bureaucratic organization may escalate to a point where the supervisor or manager is obliged to use their authority to settle the dispute.

If a supervisor or manager does play the mediator role, they should be respectful of the following mediator process.

STEPS FOR MEDIATING A CONFLICT BETWEEN TWO DIRECT REPORTS

1. ***Make an opening statement.***
   - Extend a welcome and express words of encouragement.
   - State the purpose of the session and the mediator's role of neutrality.
   - Explain what will happen.
   - Consider the issue of confidentiality.
   - Review ground rules and check for acceptance.
2. ***Give each participant uninterrupted time.***
   - Have each participant explain what is happening in objective terms and how they feel about it - taking responsibility for his/her own feelings.
   - Require each participant to use active listening and allow both sides to vent.
3. ***Structure an exchange between the individuals.***
   - Encourage heavier discussion of the issues including establishing the interests of each individual.
4. ***Build the agreement.***
   - Facilitate a discussion that focuses on practical considerations.
   - Include specifics about the agreement by answering who, what, when, and how.
   - Check for acceptance from both individuals.
5. ***Finalize the agreement.***
   - Write it down.
   - Provide for the future by establishing means for following up.
6. ***Close the meeting.***
   - Thank participants.
   - Evaluate.

Figure 7. Steps for a supervisor or manager to successfully mediate conflict between direct reports.

As a supervisor or manager in the role of a mediator, it is possible to improve interpersonal relationships by helping direct reports resolve conflicts between themselves. Unresolved conflicts can negatively affect the productivity of the individual and the team.

Facilitating Conflict Resolution in a Team Setting

Supervisors and managers have the responsibility of ensuring teams operate in a cohesive manner. When conflicts occur within teams, it can affect the performance of the team and employee morale. In order to solve the conflict the supervisor or manager may need to facilitate conflict resolution within the team setting.

Facilitation Defined: Facilitation is the use of a third party who can provide procedural assistance to group participants to enhance information exchange or promote effective decision-making.

Often the supervisor or manager of a team will be put in the position of also playing the facilitator's role in team meetings. One of the most effective things a supervisor or manager can do in a team setting is to establish and uphold ground rules. Referring back to ground rules can help the team reflect on what has been agreed upon and commit to following these rules during the conflict resolution meeting.

While facilitating, a supervisor or manager may want to follow these steps (see Figure 7) to ensure constructive conflict resolution.

STEPS FOR FACILITATING CONFLICT WITHIN A TEAM SETTING

1. **Set a positive, optimistic tone.**
2. **Revisit or establish ground rules to protect the process and the relationships of team members.**
3. **State the purpose of the problem-solving meeting.**
4. **Ask the parties about their needs and concerns. Try to get team members to disclose and listen.**
5. **Summarize what is stated. This includes listing key issues to be resolved and acknowledging feelings, interests, and concerns.**
6. **Frame the problem as a joint task to meet both parties' interests.**
7. **Ask parties for ideas to solve the problem.**
8. **Ask parties to evaluate the options based on how well their interests are met.**
9. **Establish the agreement.**
10. **Help parties plan to implement the agreement by defining who, what, when, and how.**
11. **Express appreciation for efforts and accomplishments.**

Figure 8. These steps illustrate an effective strategy for facilitating conflict resolution in a team setting.

When faced with conflict, the supervisor or manager is expected to play the role of the facilitative leader. This means that he/she must concentrate on facilitating a process in which both sides in a dispute can express their concerns and come to an agreement. The facilitator may contribute ideas, but should do so in a way that doesn't dominate the discussion or push the group to his/her point of view.

Summary

Knowledge

Conflict is an expressed struggle between at least two interdependent parties who perceive a situation differently or have incompatible goals, scarce resources, and interference from the other party in achieving their goals.[11]

Conflict can have a positive side that promotes interpersonal understanding, communication, problem solving, and positive changes for the parties involved.

There are five major sources of conflict in organizational settings. These include relationship issues, problems with data, interest conflicts, structural conflicts, and differing values. By examining the causes of conflict we can begin to determine the root of the problem.

The Thomas-Kilmann conflict style model or the Conflict Lens framework can enhance an individual's understanding of how he or she relates to conflict. It is critical for a supervisor or manager to first develop this self-awareness before they can be skillful in managing conflict with others.

The individuals involved in the conflict situation influence the role played by the supervisor or manager. In managing conflict with the boss, the supervisor or manager must work to develop and maintain an effective relationship where a mutual understanding of goals, pressures, needs, and expectations exists.

In managing conflict with direct reports, the supervisor or manager should take the time to listen to concerns and maintain respectful relationships. If a solution cannot be mutually agreed upon, the supervisor or manager clearly has the authority to make the final decision.

Supervisors and managers also have conflicts with colleagues of equal authority that need to be acknowledged and managed. When conflicts arise in this situation negotiation is used. During the negotiation process, differences are addressed while preserving the relationship.

When supervisors and managers are faced with direct reports who are in conflict with each other, they initially have a decision whether to intervene or not. If the situation calls for them to intervene, it is ideal for them to play a mediator role. This helps the direct reports resolve conflicts between themselves using a neutral third party.

Supervisors and managers also have the responsibility of resolving conflict within team settings. It is sometimes helpful for the supervisor or manager to play the role of a third party facilitator. Skills used in facilitating are similar to those used in negotiation and mediation, such as establishing a positive tone, ensuring that all parties' interests are expressed and that agreements are clear and acceptable to both parties.

Developing an increased competency in the area of conflict resolution starts with self-awareness. From there, individuals can increase their knowledge and skills in negotiation and mediation. A supervisor or manager can apply these skills as they handle conflict within the organization. Understanding, acknowledging, and managing conflict will contribute to a more cohesive and productive work environment.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

Managing Conflict

Skill: Using conflict effectively.

Behavior: Demonstrate openness and confidence to acknowledge and resolve conflict.

Self-Awareness

Skill: Understanding one's own responses to conflict.

Behaviors:

- ✓ Take conflict management assessments.
- ✓ Identify both one's personal history with conflict and one's internal feelings and thoughts about conflict.
- ✓ Accept and learn from the results of formal and informal assessments.
- ✓ Understand the types of behaviors associated with conflict.

Managing Conflict with the Boss

Skill: Maintaining an effective relationship with one's boss by understanding the boss's needs and interests.

- ✓ **Behaviors:** Learn your boss's goals and needs.
- ✓ Understand the boss's pressures, strengths, and weaknesses.
- ✓ Understand your own strengths, weaknesses, and work style.
- ✓ Understand your reactions to authority.

- ✓ Develop a work style that fits the needs and style of both you and your boss.
- ✓ Use boss's time sparingly.
- ✓ Base relationship on honesty and trust.

Managing Conflict with Direct Reports

Skill: Acknowledging and resolving conflict with direct reports.

Behaviors:

- ✓ Explain the situation and how it is affecting performance.
- ✓ Listen actively to the other person's viewpoint.
- ✓ Confirm the understanding of the situation.
- ✓ Explore and discuss possible solutions.
- ✓ Ensure each party understands their role in the solution; dictate the solution only when necessary.
- ✓ Follow-up for accountability.

Skill: Understanding how to use the authority of your position.

Behavior: Know when to step in; demonstrate a willingness to surface, resolve, and follow up.

Managing Conflict with Colleagues

Skill: Modeling effective negotiation techniques.

Behavior: Understand and utilize interest-based negotiation.

Skill: Knowing how to separate positions from issues.

Behavior: Define the problem without suggesting a solution.

Skill: Acknowledging and resolving conflict with colleagues.

Behaviors:

- ✓ Set a positive tone and state the purpose of the negotiation.
- ✓ Fully understand each party's interest.
- ✓ Frame the problem as a joint task.
- ✓ Seek multiple options for resolution.
- ✓ Evaluate and select the option that best meets both parties' needs.
- ✓ Develop an implementation plan and follow through.

Mediating Between Direct Reports

Skill: Understanding when it is appropriate to intervene.

Behavior: Monitor the situation and allow employees to make their own decisions and resolve conflicts whenever possible.

Skill: Mediating a conflict.

Behaviors:

- ✓ Set the ground rules.
- ✓ Listen actively to both sides.
- ✓ Structure the discussion between the parties and confirm the understanding of the situation.
- ✓ Seek possible solutions and establish specifics.
- ✓ Allow the parties involved to agree on a resolution; finalize the agreement in writing.
- ✓ Establish follow up.

Facilitating Conflict Management Within a Team

Skill: Knowing when to use third-party mediation.

Behavior:

- ✓ Observe team response to conflict.
- ✓ Consider the implications of the conflict.
- ✓ Mediate the conflict.

Skill: Establishing ground rules of conflict management within the team.

Behaviors:

- ✓ Help the team establish ground rules and enforce them once established.
- ✓ Achieve buy-in by collectively agreeing on rules.
- ✓ When ground rules are broken, quickly clarify them and resolve the situation.

Skill: Facilitating conflict resolution.

Behaviors:

- ✓ Set the ground rules for discussion.
- ✓ Identify the conflict.

- ✓ Listen actively to all sides; encourage all parties involved to participate.
- ✓ Summarize what is said to confirm the understanding of the situation.
- ✓ Seek ideas from the team for possible solutions.
- ✓ Have the team evaluate the proposed solutions and make the final decision or, if necessary, the team leader can decide.
- ✓ Develop an implementation plan.
- ✓ Establish follow up.

FOCUS FOR MANAGERS AND SUPERVISORS

MANAGING CONFLICT	MANAGERS	SUPERVISORS
Conflict is an expressed struggle between at least two interdependent parties who perceive a situation differently or have incompatible goals, are competing for scarce resources, or perceive interference from the other party in achieving their goals	This individual is typically in a classified position and reports to a senior level leader. He or she sometimes advises senior management but is primarily responsible for interpreting and implementing agency policy. The manager is above supervisors in the chain of command. **Typical titles of managerial positions:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrator ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	This individual manages the staff that works directly with the client or constituent group. He or she makes recommendations to improve systems and service delivery and monitors for compliance with agency policy. A supervisor typically reports to a manager who is the head of a department. A supervisor position is typically one or two steps above the line or entry-level position in the organization. **Typical titles of supervisory positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Self Awareness	Managers need to understand how they generally respond to and manage conflict.	Supervisors need to understand how they generally respond to and manage conflict.
2. Managing Conflict with the Boss	Managers who learn to understand the needs and work style of their bosses will increase the likelihood of having an effective relationship and avoid conflicts due to miscommunication and ambiguous expectations. In this way, conflict with the manager's boss can be prevented, not merely managed.	Supervisors who learn to understand the needs and work style of their bosses will increase the likelihood of having an effective relationship and avoid conflicts due to miscommunication and ambiguous expectations. In this way, conflict with the manager's boss can be prevented, not merely managed.

MANAGING CONFLICT	MANAGERS	SUPERVISORS
3. Managing Conflict with Direct Reports	Managers who effectively address conflict with direct reports establish a strong example of how their supervisors should handle conflict.	Supervisors who effectively address conflict with their direct reports create an environment of positive and open communication.
4. Managing Conflict with Colleagues	Managers need to be willing to acknowledge and manage conflict with peers. This reduces the time that a higher-level manager is required to spend resolving others' disputes. Positive conflict resolution between colleagues also serves as a powerful role model for others in the organization.	Supervisors need to be willing to acknowledge and manage conflict with peers. This reduces the time that a higher-level manager is required to spend resolving others' disputes. Positive conflict resolution between colleagues also serves as a powerful role model for others in the organization.
5. Mediating Between Direct Reports	Managers need to first allow employees to work out their conflicts on their own. This will encourage individuals to learn how to communicate more effectively and how to collaborate. Only in certain more serious situations should a manager intervene between direct reports. When intervention is necessary, managers need to use a thoughtful mediation process.	Supervisors need to first allow employees to work out their conflicts on their own. This will encourage individuals to learn how to communicate more effectively and how to collaborate. Only in certain more serious situations should a supervisor intervene between direct reports. When intervention is necessary, supervisors need to use a thoughtful mediation process.
6. Facilitating Conflict Management within a Team	Managers may serve in a team leader role to multiple groups and cross -functional teams. Their direct reports may also be team leaders. On both levels of interaction, managers have an opportunity to mentor appropriate conflict resolution practices.	Supervisors are likely to have only one or two teams in which they serve as team leader. Early in their own development they need to learn the basics of facilitating effective meetings and handling team conflict.

REFERENCES

Briggs Myers, I. (1998). *Introduction to Type, 6th Edition.* Palo Alto, CA: Consulting Psychologists Press, Inc.

CDR Associate. (1994). *Conflict Resolution for Managers and Leaders.* Unpublished Training Manual. Boulder, CO.

Creative Metrics. *Conflict Lens.* Colorado Springs, CO: Creative Metrics. Available online at www.creativemetrix.com.

Fisher, R. & Ury, W. (1981). *Getting to Yes.* Boston, MA: Houghton Mifflin.

Hocker, J. L. & Wilmot, W. W. (1991). *Interpersonal Conflict.* Dubuque, IA: Wm. C. Brown.

Oncken, W. & Wass, D. L. (2000). *Management Time: Who's got the Monkey?* Harvard Business Review. Boston, MA: Harvard Business School Publishing.

Thomas, K. and Kilmann, R. (1974). *Thomas-Kilman Conflict Mode Instrument*. Sterling Forest, Tuxedo, NY: Xicom Incorporated.

Waterman, J. and Rogers, J. (1996). *Introduction to the FIRO-B.* Palo Alto, CA: Consulting Psychologists Press, Inc.

Gabarro, J. J. & Kotter, J. P. (1989). *Managing your boss. In People: Managing your most important asset.* Harvard Business Review, Boston: MA: Harvard Business School Publishing.

RECOMMENDED READING

Fisher, R. and Ury, W. (1981). *Getting to Yes.* Boston, MA: Houghton Mifflin.

Kolb, D. M. and Williams, J. (2003). *Everyday Negotiation: Navigating the Hidden Agendas in Bargaining.* San Francisco: John Wiley & Sons.

Shell, G. R. (2000). *Bargaining for Advantage: Negotiation Strategies for Reasonable People.* New York: Penguin.

Ury, W. (1993). *Getting Past No.* New York: Bantam Books.

Endnotes:

[1] Hocker, J. L. & Wilmot, W. W. (1991). *Interpersonal Conflict.* Dubuque, IA: Wm. C. Brown.

[2] Oncken, W. & Wass, D. L. (2000). *Management Time: Who's got the Monkey?* Harvard Business Review. Boston, MA: Harvard Business School Publishing.

[3] Briggs Myers, I. (1998). *Introduction to Type: 6th Edition.* Palo Alto, CA: Consulting Psychologists Press, Inc.

[4] Waterman, J. & Rogers, J. (1996). *Introduction to the FIRO-B.* Palo Alto, CA: Consulting Psychologists Press, Inc.

[5] Thomas, K. & Kilman, R. (1974). *Thomas-Kilman Conflict Mode Instrument.* Sterling Forest, Tuxedo, NY: Xicom Incorporated.

[6] Creative Metrics. *Conflict Lens.* Available online at www.creativemetrix.com. Colorado Springs, CO: Creative Metrics.

[7] Communication Decisions Results Associates. (1994). *Conflict Resolution for Managers and Leaders.* Boulder, CO.

[8] Communication Decisions Results Associates. (1994). *Conflict Resolution for Managers and Leaders.* Boulder, CO.

[9] Fisher, R. & Ury, W. (1981). *Getting to Yes.* Boston, MA: Houghton Mifflin.

[10] Communication Decisions Results Associates. (1994). *Conflict Resolution for Managers and Leaders.* Boulder, CO.

[11] Hocker, J. L. & Wilmot, W. W. (1991). *Interpersonal Conflict.* Dubuque, IA: Wm. C. Brown.

TEAM BUILDING

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Marie Mactavish

TEAM BUILDING

Definition of Team

TEAM: A group of people (two or more) with varied skills and knowledge who are equally committed to a specific performance need or goal. Team members create a common approach to achieve their goals and objectives. All team members are responsible and accountable for mutually agreed upon goals. [1]

Knowledge Base

Why develop this competency?

Developing a competency in team building is critical for three reasons:

- Team performance influences overall organization performance.
- A large portion of management's time is spent working in teams.
- Managers seeking to maximize their own potential need to develop skills working with teams on a smaller scale before they advance to managing multiple teams.

Most organizations are a collection of groups. Correctional organizations are no different. Successful organizations develop most of their groups of people into cohesive teams that are able to perform at high levels. The success of an organization depends then, in part, on the ability of the organization to make the most of teamwork to accomplish its mission.

Studies suggest that 50% to 80% of a manager's time is spent working within a team. Since many managers feel that much of their time in teams is nonproductive, improving one's ability to lead teams becomes an obvious goal of managers and supervisors.

In addition to the organization benefiting from effective teamwork, managers may also benefit individually from being highly skillful in team management. Studies done in the 1980s and '90s on leadership "derailment" indicate that the inability to build and lead teams is among the top three reasons why some leaders' careers stall.[2]

Successful teams, like individuals, require thoughtful development and support. If a team is given sufficient attention and direction, there is great potential for accomplishing their task and for experiencing fulfillment in the process.

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 NATURAL (ONGOING) WORK TEAM: The goals and deadlines of a natural team have more flexibility than a project team. An ongoing work team works together over longer periods of time and has multiple goals. In the field of corrections, a shift in an institution meets the description of a natural work team.

Project Team

THE PROJECT (TEMPORARY) TEAM: Unlike an ongoing work team, the project team is established to achieve a specific, short-term goal. Project team milestones and timelines are specific and have a definite ending date. The team is generally made up of individuals from across the organization. An example of this type of team is a committee formed by the executive team to review and rewrite an organization wide policy.

> **Great people don't equal great teams.**
>
> **--Tom Peters, author and leadership consultant**

Twelve Elements of Successful Work Teams

Research on workplace teams continues to flood the management and leadership literature. A review of the literature shows twelve common factors that differentiate between successful and unsuccessful teams.

Twelve Elements of a Successful Work Team:

1. **Clarity of Purpose & Goals**
2. **Team Leadership**
3. **Decision-Making Processes**
4. **Team Membership**
5. **Defined Roles**
6. **Managing Meetings**
7. **Communication**
8. **Trust**
9. **Stages of Team Growth**
10. **Ongoing Training**
11. **External Support & Recognition**
12. **Performance Measurements**

1. Clarity of Purpose & Goals

Every moment spent in clarifying a team's purpose and goals will save time in planning and implementing the team's work.

Creating Clarity

Successful teams have a clear purpose statement and set of goals. The purpose provides the overall direction for the team, while goals and objectives give specific direction. Once a purpose statement has been developed and goals and objectives have been set, performance measurements can be created, allowing team leaders and members to monitor and assess their work.

Purpose Statement

PURPOSE STATEMENT: Developing a statement of purpose is important to a team. It ensures all team members clearly understand why the team exists. A team's purpose should be consistent with the values, beliefs, vision, and mission of the organization.

The team's purpose statement should convey a sense of the importance of the team's work to inspire ownership and commitment by individual team members. It should direct the ultimate goal of the team by defining the "why," "what," "who," and the "how" of the team's direction. A purpose statement may also include the values and beliefs of that team.

- ***Why*** defines the need for the team's existence;
- ***What*** outlines team functions, products, and/or services;
- ***Who*** identifies the client or the entity benefiting from the work of the team; and
- ***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 then develop performance measures. The following description of goals and objectives provides one approach that may be used.

Goals

IDENTIFYING GOALS: A team should have a well-defined set of goals and agreed upon methods for achieving them.

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 specific goals that communicate what the team hopes to achieve; and
- Clarify the expectations of the team and ensure the goals relate back to the purpose statement.

Objectives

DETERMINING OBJECTIVES: An objective is a statement of the desired, measurable end results of the team's goals.

The 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; and
- Contain two to four objectives that relate back to each goal.

Performance Measures

PERFORMANCE MEASURES LINK TO PURPOSE AND GOALS: 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. Additional information on monitoring and measuring results is discussed as a final element in this chapter. See also the chapter on Strategic Planning and Performance Measures.

2. Team Leadership

Above all else, the team leader must shape clarity in the team's purpose, goals and approach to accomplishing their commitments.

A team leader has a dual role. She or he has a responsibility to the organization (external) as well as to the team she or he oversees (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 critical others operating outside of the team but having a relationship to the team.

External Factors

External Relationships

External Relationships: An effective team must interact with *critical others*, such as other teams within the parent organization and teams or groups from other criminal justice agencies and/or related agencies (i.e., victim advocacy groups, mental/medical healthcare providers).

Every project team should have a sponsor who charges the team with its purpose. The sponsor is often a member of the Executive or Senior Level Team. From time to time the sponsor may need to meet with the team or the team may call upon the sponsor for more direction or clarification. The team leader should keep in close communication with the sponsor regarding the team's progress.

The natural work team leader 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.

The following "bureaucratic" organizational structure (see Figure 1) linking teams – top management to team leaders to functional teams – is hierarchical. Many correctional organizations follow this traditional management structure.

Hierarchical Organizational Structure

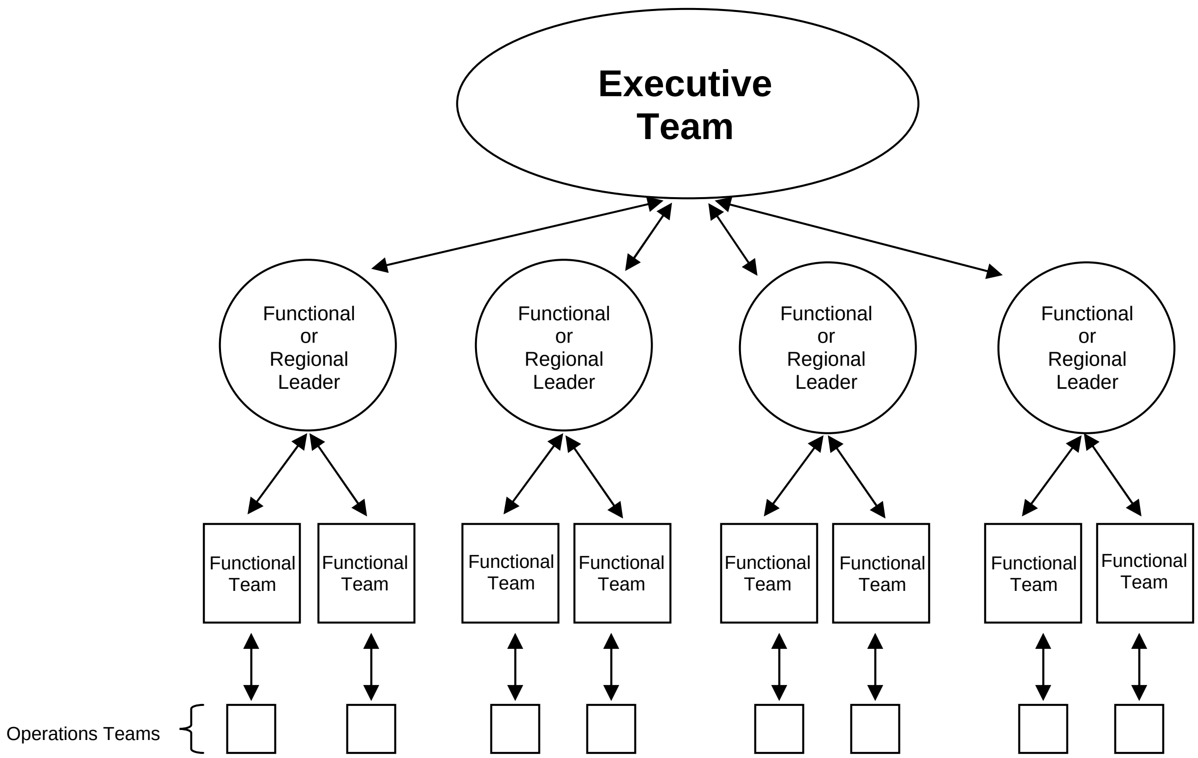


Figure 1: A diagram of organizational structure adapted from Rensis Likert's "Linking Pin" function (*New Patterns of Management*, 1961)

Internal Factors

Balance of Authority

An internal challenge for leadership is to maintain an effective balance of "directive" and "delegative" styles between the leader and the team. This delicate balancing act of knowing when to set clear boundaries and expectations and when to give up control varies from team to team, since no two teams are alike.

BALANCE OF AUTHORITY: A team leader has the ultimate accountability for the team's purpose and performance. A truly skillful leader knows when she or he should assert authority and be directive, and when she or he should more fully delegate decision-making authority to the team members.

Four Leadership Styles:

- Directive
- Consultative
- Collaborative

Figure 2 illustrates the four leadership styles:

Directive: Leaders placed in the center of the circle represent situations that call for a more directing and/or controlling approach.

- Delegative

Consultative: Leaders falling between "directive" and "collaborative" leadership styles represent situations when 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 themselves) should have an equal voice in discussions and decision-making. In these situations, a consensus model of decision-making would be appropriate.

Delegative: Leaders placed outside of the circle represent situations that require assigning authority and decision-making to the team. The leader acts more as a resource than a controller.

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 that the team knows what to expect, which approach is in place, and what role it plays in making decisions.

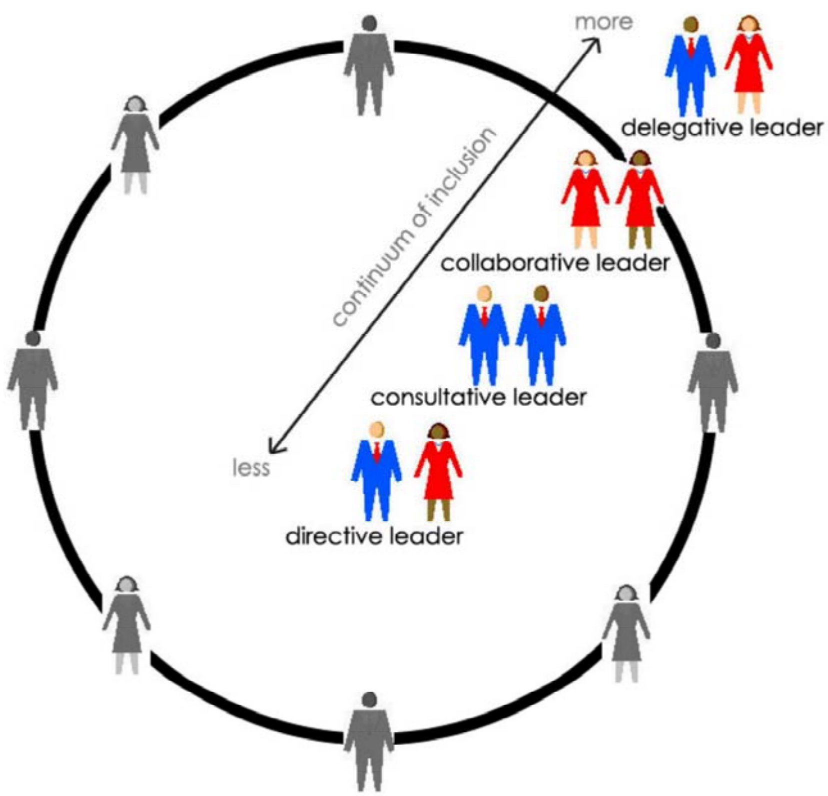


Figure 2: Team leader balance of roles and use of authority.

3. Decision-Making Processes

Effective team leaders use a variety of decision-making styles depending on the nature of the decision.

Team leaders have the responsibility for establishing clarity related to decision-making processes. It is ultimately the choice of the leader in selecting the decision making process to be used by the team. Ideally, the team leader uses a variety of decision-making styles depending on the nature of the decision (see Figure 3). A corresponding decision-making climate is established for each leadership style chosen. 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, when a collaborative approach is taken there is a climate of collective responsibility and shared authority.

One of the most important questions regarding decision-making 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.

> **The most appropriate level of decision-making depends on the specific issue and situation.**
>
> **-- Ava S. Butler, *Team Think***

Decision-Making Model

"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." [3]

How much participation is needed for a specific decision?

The Decision-Making Model is a tool for determining how much participation is needed or desired to make a specific decision.

- Identify the decision or decisions to be made.
- Explain the four distinct approaches for making decisions to the team.
- Lead a group discussion on how to address the decisions under consideration based on the choices within the decision-making

approaches. 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.

- After the discussion, the team leader could 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 time frames, especially if the entire team is not involved in making the decision.

Choosing the appropriate decision style is a learned skill.	**Decision-Making Model** *less inclusion* ⟷ *more inclusion*			
Team Leader Approach	**DIRECTIVE**	**CONSULTATIVE**	**COLLABORATIVE**	**DELEGATIVE**
Role of Others?	None or provide some information to the decision maker	Team members gather problem-solving recommendations and suggestions from individuals or team	Share decision-making	The team decides
Who Decides?	The decision maker could be the Team Leader, Sponsor, or Board	The decision maker 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 decision maker solves the problem or makes the decision individually, using information he or she has collected.	The decision maker shares the problem with team members or relevant stakeholders to collect their ideas and suggestions.	The decision maker shares the problem with the team members and together they reach a consensus, or a majority of the team decides.	The Leader delegates the decision-making to team members and they reach consensus or decide by majority decision.

Figure 3: A commonly accepted Decision-Making Model (adapted from the Victor Vroom's and Philip Yetton's *Normative Decision Model*) illustrating how a leader can use a rational method in deciding whether or how to use team members' input in reaching certain decisions.

4. 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. There are five aspects of team membership that are important to consider:

Team Size

NUMBER OF TEAM MEMBERS: Ideally, an effectively functioning team is made up of 9 to 11 team members (including a team leader). When a team grows to 20 or more people, the tendency is for the group to break into smaller teams of 5 to 10 persons in order to improve communication and get the job done.

Commitment

COMMITMENT TO TEAM'S PURPOSE AND GOALS: Team members should be chosen for their individual and collective commitment to the team's purpose and goals (the reason the team was created).

Complementary Skills

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 also factors worth consideration when a team is formed.

Working Approach

PHILOSOPHY OF WORKING APPROACH: Effective team membership requires individuals to believe in a team approach. While someone may be committed to the goals of the team, she or he may not accept teamwork as a reasonable method for reaching that goal.

Mutual Accountability

MUTUAL ACCOUNTABILITY: Sharing accountability among team members is essential. As a team, each member shares a mutual accountability for the progress, success, and any problems that may arise.

"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."[4]

> **A well-run restaurant is like a winning baseball team. It makes the most of every crew member's talent and takes advantage of every split-second opportunity to speed up service.**
>
> **--David Ogilvy, co-founder**
> **Ogilvy & Mather Advertising**

5. Defined Roles

Team Roles:

- Team Leader
- Team Member
- Facilitator
- Recorder

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 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.

TEAM LEADER: A team leader is a member of the team who will help the team focus on its tasks and achieve its purpose; the team leader is the link back to management.

TEAM MEMBER: Team members share equal responsibility for team performance and balancing participation among all of the team's members.

FACILITATOR: 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 the overall team spirit.

RECORDER: Someone on the team must assume the role of recorder. A recorder is responsible for taking minutes; timekeeping; and creating, distributing and organizing all of the team's records. The recorder plays an important role on the team. The recorder must have good writing skills and be detail oriented. The job of recorder can also be rotated through the team.

6. Managing Meetings

Meetings are a time when group members get together to share information, solve problems, make decisions, plan for the future, monitor progress, and periodically evaluate performance. Due to time constraints, it is best to make the most of every minute the group has together. In order to conduct efficient meetings, team leaders or facilitators must prepare before the meeting, conduct the meeting, and follow up after the meeting.

Preparing

Answer These Three Questions to Conduct an Effective Meeting:

While preparing, it is important to ask three questions that can be referred to as the "who" "what" and "how" of the meeting. Defining answers to these questions will provide the team leader or facilitator with the necessary information and resources to conduct the meeting in an effective manner.

Who?

WHO ARE THE PARTICIPANTS OR MEMBERS? Once members are chosen to be a part of the meeting, a group manager should summarize information about their needs, interests, and expectations. It is also important to recognize individual differences and similarities among group members. Once the facilitator knows the dynamics of the team, a meeting can be designed that will cater to their needs.

What?

WHAT IS THE PURPOSE OF THE MEETING? Clear direction cannot be provided if there is not a destination in mind. The facilitator needs to define the goals that should be reached during the meeting and communicate them to the participants.

How?

HOW WILL THE MEETING BE CONDUCTED? Decide on possible activities, materials, human resources, necessary length of the meeting, and agenda items that would facilitate achieving the goals of the meeting.

Conducting

Every meeting has the same basic structure, a beginning, middle, and end.

Every meeting has the same basic structure of a beginning, middle and end. At the beginning, the facilitator sets the tone, defines goals, creates roles, and outlines ground rules to guide participant's behavior. In the middle, the team works on agenda topics. At the end, the group summarizes their actions, defines follow up activity and evaluates the meeting.

Beginning

BEGINNING: At the start of the meeting, participants reach a common understanding of what they're going to do and how they are going to do it. This phase deals with five issues:

- *The purpose.* The facilitator of the meeting should state the purpose for the meeting.
- *The desired outcomes.* The facilitator should elicit desired outcomes from the participants.
- *The agenda.* A prepared agenda should be distributed and discussed. The agenda serves as a road map the group uses to reach the meeting goals.
- *The roles.* In some cases, it may be necessary for the facilitator to describe certain roles members are expected to follow. This will help members to understand what is expected of them and set the tone for the meeting.
- *Ground Rules.* If ground rules are not set, they need to be agreed upon. Ground rules are used to guide behavior within the group. They set the tone as well as define expectations and appropriate behavior among group members. There are two basic types of ground rules: logistic and people-process. The following diagram illustrates examples of each.

Logistic Ground Rules	People-Process Ground Rules
Logistics refers to the actual structure of the team's meetings. It is important that the processes of the meeting are clear to all members so everyone knows what to expect and can plan accordingly. Logistic Ground Rules may include: ▫ When the team will meet ▫ How long the meeting will last ▫ How often will the team meet ▫ How the agenda will be organized ▫ What is expected in terms of attendance	People-Process ground rules involve the team's relationships with one another. These ground rules establish agreeable behavior between group members. They are essential for smooth interactions between members. People-Process Ground Rules may include: ▫ Afford equal opportunities for contribution for all members ▫ Agree to settle misunderstandings and disagreements ▫ Provide recognition for progress ▫ Focus on win-win solutions

It is best to create ground rules when the team is first formed. However, ground rules can be established or changed at any time during the team's existence.

Middle

MIDDLE: The main task of the meeting is conducted in this phase. The facilitator is responsible for managing the discussion on appropriate topics. The following four-step process is a helpful tool to use in facilitating discussion:

- *The issue.* Follow the agenda and describe the issue that is to be discussed. Restrict discussion to a single issue at a time.
- *The goal.* Ask participants to define their expectations in discussing the issue. Is the discussion being held to gather information, delegate a task, or make a decision?
- *The process.* The facilitator should explain the process that will be used in the discussion. Will every person get to speak? Who will be discussing the issue?
- *Time constraints.* It is important for the facilitator to mention how much time is available to discuss the issue at hand.

End

END: Leave enough time to end a meeting properly. In the final part of the meeting, the group reviews the list of actions they've agreed upon to ensure everyone knows the who, what, when, where, and why of each action item. They also decide on the time and place of the next meeting and evaluate the current meeting. In order to accomplish these steps, the leader focuses the group discussion in three key areas:

- *Action items resulting from the meeting.* The group reviews the meeting and decides what follow up is necessary.
- *Future meetings.* The group agrees on the next time it should meet. This is also a time to discuss when sub-groups or committees will meet.
- *Evaluation of the meeting.* Evaluation is necessary in order to determine if meeting objectives were met, what went well in the meeting, and what improvements are needed for future meetings.

One effective way to evaluate meetings is to use the *What Went Well/Opportunities for Improvement* technique. This technique asks participants to comment on their feelings about how the meeting went. When using this technique, the meeting facilitator receives feedback on what participants thought went well or was effective, and what they thought didn't go so well or where there are opportunities for improvement.

The first time this technique is used, it is important for the facilitator to take a minute to describe the purpose, process, and payoff of the exercise.

The facilitator can get feedback in three different ways: conduct a discussion with the whole group, have participants get into small groups, discuss and report back to the whole group, or have individuals provide written feedback.

These three methods ask for information in different ways, but they all provide meeting facilitators with the necessary data to accurately measure and improve their meetings.

Follow-up

Follow-up is necessary to ensure the meeting is effective after the members have adjourned. Follow-up is used to create clear expectations of agreements made at the meeting and to hold members accountable for agreed upon commitments. The following tasks should be completed either at the end of the meeting or between meetings:

- A written record of the meeting should be assembled and distributed to the members. This record should also be placed in a historical logbook of meeting records.
- Clarification needs to be made on commitments that were agreed upon by members of the group. People should be held accountable for following through with tasks they agreed to complete.
- Reminders regarding the next meeting should be sent to all members in order to encourage participation.
- Individuals may also be asked to contribute items for the next meeting agenda.

The successful team leader must learn the skills described above to manage a meeting efficiently and effectively. There are a variety of methods, such as e-mail, phone calls and office memos that can be used to communicate before and after a meeting. An effective leader identifies when to use what communication method to get the best results within their team.

7. Communication

Good communication between all team members is essential in order for people to work together and achieve a common goal. Effective team development depends on the ability of team members to communicate with one another in a clear, open, and honest manner. The following section reviews the basics of communication and the benefits of self-monitoring interactions with team members.

When communication occurs, someone sends a message through a channel to a receiver. Both the sender and the receiver have essential roles in ensuring that effective communication is achieved. At different times during the conversation, each person plays the role of both sender and receiver. While playing the role of the sender, the individual commonly communicates to the receiver through three different channels: oral, written, and non-verbal. The person receiving the message has three important tasks: to listen effectively, interpret the message and provide feedback to the sender.

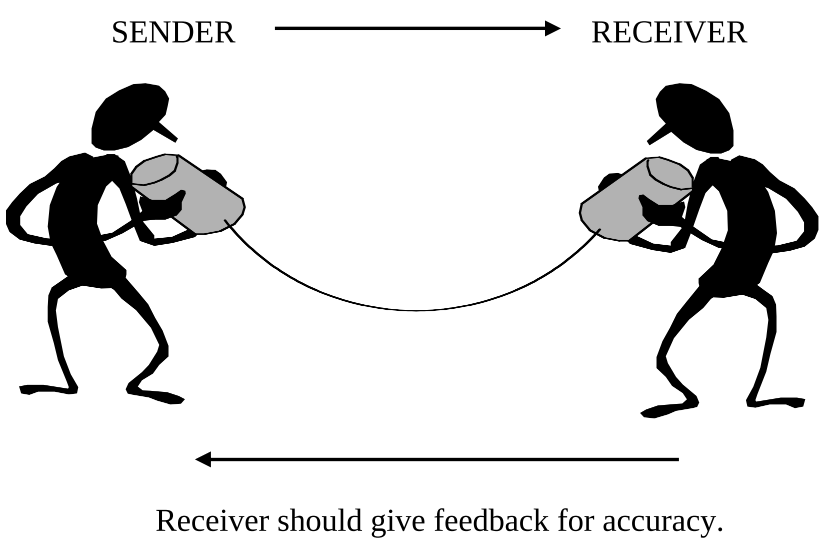


Figure 4: The Basic Model of Communication

The Role of the Sender

The sender is responsible for formulating a message that the receiver can interpret and understand.

Speaking

SPEAKING: While speaking, it is important to carefully construct what is to be communicated in a way that can be interpreted by the receiver. A good message is formulated with the target audience in mind. It is constructed in a short, to the point manner with the goal of the message apparent. As a speaker, it is important to allow for feedback and clarification to check the accuracy of the communication.

Writing

WRITING: When writing, it is important to establish a clear objective as soon as possible. A style of writing should be used that is easy for the receiver to interpret. It often takes more time to communicate in writing. However, for written communication to be effective it is important to respond promptly.

Non-Verbal

NON-VERBAL: People communicate not only through words, but also through their facial expressions and body movements. Listeners get at least 65 percent of a message through body language. Non-verbal communication can refute or reinforce what words are said. Good communicators pay attention to their facial expressions, gestures, and body movements when delivering a message.

The Role of the Receiver

The receiver plays an important role in ensuring the message is communicated in an effective manner. The receiver must listen, interpret, and provide feedback in order for communication to be complete.

Listening

LISTENING: An effective listener will pay close attention to what is communicated. This means that they will respect the speaker and give them undivided attention. It also involves keeping an open mind and assuming the responsibility for thinking, but not necessarily judging, while listening.

Interpreting

INTERPRETING: In order to comprehend the message that the sender intends to communicate, it is important to clarify that the message is interpreted correctly. This can be done by paraphrasing the sent message or by asking questions in order to clarify what the sender means.

Feedback

FEEDBACK: Feedback is a process in which a person communicates his/her perceptions and feelings about the message presented. Feedback can occur both verbally and non-verbally. Verbal feedback can include asking questions, re-stating the main points, or stating out loud that the message has been understood. Non-verbal feedback can include eye contact, facial expressions, nods or gestures. Providing feedback to the sender illustrates that the listener has received and responded to the message.

Keys to Effective Team Communication

Effective teams are deliberate in respecting basic communication skills. In order 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.
- Don't let preconceptions, biases, or emotional states get in the way of communication.

> **Before I speak, I have something important to say.**
>
> **-- Groucho Marx**

Benefits of Successful Communication

If members of a team are communicating well, they will be more likely to create positive relationships that effect teamwork. Key relationship elements operating within teams are:

- ***Honesty:*** Having integrity without lies and exaggerations
- ***Openness:*** Having a willingness to share and being receptive to information

- ➢ ***Consistency:*** Exhibiting predictable behavior and responses
- ➢ ***Respect:*** Treating people with dignity and fairness

8. Trust

Three Types of Trust:

- Contractual
- Communication
- Competence

TRUST: Team leaders establish trust by demonstrating and communicating respect for team members and the work they are doing. While a team leader contributes to an environment of trust, the members of the group are also responsible for supporting a trusting atmosphere. There are at least three kinds of trust in play in any given team:[5]

- ➢ ***Contractual Trust:*** Team leaders lead by modeling trust, expecting team members to mutually manage expectations, establish boundaries, delegate appropriately, encourage mutual support, honor agreements, and be consistent.
- ➢ ***Communication Trust:*** The team leader sets the tone initially by establishing trust through disclosure. Sharing information, telling the truth, admitting mistakes, giving and receiving constructive feedback, maintaining confidentiality, and relating one's comments to the task are all indicators of good communication trust.
- ➢ ***Competence Trust*:** When team leaders respect the skills, knowledge, and abilities of team members, they demonstrate willingness and motivation to trust the capabilities of others and themselves. Building competence trust includes – in addition to respecting people's knowledge, skills, and abilities – respecting people's judgments, involving others and seeking their input, and helping people learn skills.

A team leader can establish these frameworks of trust, but it is up to the team members to work collaboratively within them in order to ensure a trusting atmosphere.

9. Stages of Team Growth

Teams move through four stages as they evolve into a cohesive unit:

- Forming,
- Storming,

Many theorists who study group dynamics recognize that groups typically evolve through predictable phases. Phases most often mentioned include orientation, conflict, and cohesion. An understanding of the stages can help leaders recognize current circumstances and predict future situations within the team. Effectively managing team growth stages can help groups reach productivity with more insight into their process.

- Norming
- Performing

Psychologist Bruce W. Tuckman formed one well-known theory that is widely referred to today. His model states that groups go through four distinct stages as they evolve into a cohesive team and begin to operate. These stages are forming, storming, norming, and performing.

Forming

FORMING: When a team is forming, members go through an orientation phase where they familiarize themselves with how the team will function. In this stage, members discover the team's:

- Purpose and goals
- Organizational structure
- Restrictive boundaries
- Leadership style
- Culture
- Governing rules

The forming stage marks a period of time where members need to feel a sense of purpose and inclusion. Their behavior is driven by a desire to be accepted by others. Therefore, this stage involves little conflict. Since there is so much going on to distract members' attention at the beginning, it is perfectly normal that the team does not accomplish much in terms of overall goals.

Storming

STORMING: The storming stage marks a time when conflicts begin to emerge. Conflicts may surface from personal relationships or through the realization that the task is different or more difficult than imagined. At this point, members need structural clarity and rules to learn how to handle and prevent conflicts. Conflicts may be frustrating and take time, but this stage is necessary in order for team members to understand each other, agree on common goals, and establish norms.

Norming

NORMING: In the norming stage, the group has evolved to develop a clear definition of its responsibilities, understand how group members work together, and appreciate each other's skills and experience. Ideally, individuals listen to each other, support each other, and learn to work cooperatively.

Performing

PERFORMING: When a team is in the performing stage, members recognize each other's strengths and weaknesses, diagnose and solve problems, implement changes, have clearly defined roles and achieve synergy while working together. In this stage, group identity, loyalty and morale are all high. The team can now function as an effective, cohesive unit.

It is important to understand that groups are often forming and changing, and each time that happens, they can move to a different Tuckman stage. A team might be happily norming or performing, but a new member or a different task might force them back into storming. Experienced leaders will be ready for this, and will help the group get back to performing as quickly as possible.

These stages describe the normal pattern for maturing groups. Understanding these stages of growth will keep members from overreacting to normal problems or setting unrealistic expectations. With patience and effort groups of individuals eventually evolve into cohesive teams.

10. Ongoing Training

Knowledge and skills are important to the success of the team.

Efforts must be made to assess knowledge and skills in team processes such as communication, decision-making, 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 growth of the team.

Some examples where a team member might benefit from ongoing training are:

- A team member brings a wealth of skill and knowledge as a risk assessor of offenders in community settings – but as part of a team he or she needs some additional training in decision-making processes.
- A team member has a sophisticated understanding of group dynamics – however, she or he would benefit from additional technical training in offender classification computer software.

11. External Support & Recognition

Leaders who value teamwork set high expectations; instill confidence; provide oversight, guidance, and

If the organizational leadership is going to establish natural work teams or project teams, they must keep in mind that they too play a critical role in the team's success. It is imperative that teams are provided with both the external support and recognition necessary to achieve their goals.

Leaders of an organization who value an environment of teamwork set high expectations for their teams; instill confidence; provide oversight, guidance, and recognition; and demand excellence. Teams having strong lines of communication between top recognition; and demand excellence.

organization leaders and their team leaders can look forward to a work climate where challenges are identified and managed.

Team leaders have the responsibility for communicating with a sponsor, or the next level of authority within the organization, to overcome barriers the team has encountered that are outside of their span of control. Team leaders who advocate for their team when barriers arise strengthen the flow of work and progress.

In addition to support, organization leaders need to celebrate team accomplishments. The power of positive feedback is vital. People thrive when rewarded and acknowledged. Leaders who provide timely and meaningful feedback and recognition for achievements develop stronger teams.

> **Management must speak with one voice. When it doesn't, management itself becomes a peripheral opponent to the team's mission.**
>
> **-- Pat Riley**

12. Performance Measurements

Team leaders are responsible for developing performance measures and holding team members accountable for achieving the team's purpose and goals. In most circumstances, it is considered an enlightened leadership practice to engage team members' assistance in establishing performance measures. This includes developing monitoring strategies and outcome measures. By documenting performance measures, accountability and credibility are established and maintained.

Process Measures

PROCESS MEASURES: Process measures monitor the tasks that produce a given result. Process measurement focuses on two main evaluation areas:

1) Team members' perceptions of *internal* team processes such as the consistent use of meeting agendas, topics addressed, and reasonable participation by all members.

2) 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

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 be constantly working toward them. Decisions should be made very early on as to what measurements will be used to judge the team's success, so that course corrections may take place along the way. If procedures for measuring outcomes aren't developed or understood until the end of the process, the team will lose the opportunity to change direction or improve its practices during implementation. For further explanation of performance measures, see the chapter on Strategic Planning and Performance Measurement.

If a team is results oriented and holds themselves accountable they are likely to achieve their purpose. As David Straus wrote in his famous book, *How to Make Meetings Work*, if you start with the end in mind you are more likely to achieve your goal.

Summary

Knowledge

Clarity is the critical characteristic of purpose and goals. Leadership within a team has the responsibility to collaborate with team members to develop a purpose statement and establish realistic goals and objectives to clarify the team's purpose.

A team leader also has the important role of advocating for the team and communicating its successes to the organization. A successful team leader must address both internal and external needs. Internally, the team leader focuses on balancing authority. Externally, the team leader focuses on cultivating external relationships and keeping the team's goals in line with the organizational purpose.

A team leader is charged with setting the tone and procedures for how decisions will be made and by whom. Not all problem-solving decisions should be made by team consensus. Situations may arise which require the team leader or a minority group to make decisions without polling the entire team – and sometimes without any team input. Nevertheless, a positive team environment is more easily maintained when team members are a part of decision-making processes.

The team leader should be well aware of the five important aspects for successful team membership:

- Keeping the number of team members under 11 persons;
- Ensuring team members are committed to the purpose and goals of the team;

- Developing a team with members who have complementary skills – both technical expertise and interpersonal communication skills (when possible);
- Expecting team members to subscribe to the philosophy of "teamwork"; and
- Encouraging team members to personally accept accountability and hold each other mutually accountable for the team's work.

A climate of collaboration within a team exists when clearly defined roles and responsibilities are in place and behavioral expectations for the team are understood and honored by all team members. Key team roles are: Sponsor, Team Leader, Team Member, Facilitator, and Recorder.

Team leaders or facilitators have a responsibility to prepare before a meeting, conduct an efficient meeting and follow up after a meeting.

Practicing the basics of effective communication and understanding the roles that different behaviors play will help facilitate valuable interpersonal communication within teams. Team members need to appreciate that effective communication will contribute greatly to the team norms, including openness, respect, honesty, and consistency.

A team leader establishes trust by setting clear expectations (contractual trust), creating an open atmosphere to share information (communication trust), and respecting the skills and knowledge of team members (competence trust).

Groups evolve through developmental stages while emerging into performing teams. Understanding these stages can put current behavior in perspective and keep an optimistic outlook as the group grows into a collaborative team.

Assessing technical and professional skill levels of team members and offering ongoing training to improve those skills related to the needs of the team, are important to team growth and success.

Recognition and support from organizational management is critical. People thrive on being rewarded and acknowledged for their hard work and successes. An organization whose upper management realizes and appreciates this aspect of human nature will build stronger teams and therefore a stronger organization.

Finally, teams should develop process and outcome measures in order to monitor their performance and assess the attainment of their 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.

Clarity of Purpose and Goals

Skill: Fostering and practicing collaboration.

Behavior: Use the team to develop a purpose statement and its goals and objectives.

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 on the team's work.
- ✓ Listen to interests and opinions of individuals and groups outside the team, as it relates to the team's purpose.

Skill: Knowing what style of authority to use under the right circumstances.

Behaviors:

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 Collaborative approach when a team is setting goals.
- ✓ Use a Delegative approach when a team is successfully working towards its goal and is focused on the skills of its members.

Decision-making Process

Skill: Knowing the four decision-making approaches.

Behaviors:

- ✓ Instruct and model the four decision-making approaches to team members (team leader).
- ✓ Use decision-making 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).

Team Membership

Skill: Understanding the value and importance of team commitment.

Behavior: Actively engage in the discussion of ideas.

Skill: Knowing how to work collectively with other people.

Behavior: Share accountability for team successes as well as problems.

Defined Roles

Skill: Knowing how to take responsibility for managing team meetings from a neutral position.

Behavior: Pay attention to group tasks and process and ensure all necessary team roles are competently filled.

Managing Meetings

Skill: Understanding the components of a meeting: preparing, conducting, evaluating during the conclusion, and follow up.

Behaviors:

- ✓ When preparing, make sure to have a purpose statement for the meeting.
- ✓ When conducting, follow an agenda in order to ensure task accomplishment.
- ✓ Take the time to use a technique to solicit feedback from team members about what went well and what could be improved.
- ✓ When following up, assemble and distribute minutes from the meeting to reinforce commitments that were made.

Communication

Skill: Communicating a clear message to the receiver.

Behavior: Formulate the purpose and goal of the communication before you begin to address the receiver.

Skill: Keeping an open mind.

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

Skill: Having integrity and a respectful exchange within a team and with others outside a team.

Behavior: Choose to be a person who is honest, open, and consistent with others.

Trust

Skill: Establishing a trusting environment.

Behavior: Express clear expectations regarding tasks and group behavior such as telling the truth and admitting mistakes.

Skill: Trusting others.

Behavior: Respect people's judgment, involve others and seek their input, and help people learn skills.

Stages of Team Growth

Skill: Being aware that groups typically evolve through predictable phases.

Behavior: Acknowledge the group's current phase and manage the tasks that occur during the phase.

Ongoing Training

Skill: Knowing which skills and behaviors are relevant to the team's purpose.

Behavior: Participate in ongoing training to acquire knowledge and skills related to the purpose of the team.

Skill: Identifying who should provide training, as well as the best approach/method for instruction.

Behaviors:

- ✓ Assess one's own knowledge/skills, as well as team members.
- ✓ Choose appropriate formal and/or informal methods to acquire needed skills and knowledge.

External Support & Recognition

Skill: Having clear expectations for teams and team leaders.

Behavior: Provide a monitoring system, such as a project timeline, to track the team's progress.

Skill: Understanding the value of acknowledging small and large accomplishments.

Behavior: Honor team success with tangible rewards and recognition such as an appreciation luncheon.

Performance Measures

Skill: Understanding evaluation systems.

Behavior: Develop and implement process and outcome measurements.

FOCUS FOR MANAGERS AND SUPERVISORS

TEAM BUILDING	MANAGERS	SUPERVISORS
Twelve Elements of Successful Work Teams	This individual is typically in a classified position and reports to a senior level leader. He or she sometimes advises senior management but is primarily responsible for interpreting and implementing agency policy. The manager is above supervisors in the chain of command. **Typical titles of management positions:** ➢ Corrections Unit or Program Manager. ➢ Deputy Jail Administrators ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	This individual manages the staff that works directly with the client or constituent group. He or she makes recommendations to improve systems and service delivery and monitors for compliance with agency policy. A supervisor typically reports to a manager who is the head of a department. A supervisor position is typically one or two steps above the line or entry-level position in the organization. **Typical titles of supervisor positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Clarity of Purpose and Goals	A Manager, is responsible for: ▪ Determining the purpose and goals of each team that they lead. ▪ Guaranteeing that each team meets its goals and ultimately realizes its purpose.	Supervisors are responsible for: ▪ Working with the manager to determine the purpose and goals of their team ▪ Guaranteeing that their team contributes to meeting the goals of the organization by meeting their own team goals.

TEAM BUILDING	MANAGERS	SUPERVISORS
2. Team Leadership	The primary responsibility of a manager is making sure that their teams are operating at full capacity. Managers also need to make sure they are taking the appropriate time in working with groups external to their team in order to communicate with the organization as a whole.	Supervisors need to ensure that each team member is performing at full capacity. Supervisors need to focus on making sure that: ▪ They utilize each of the three leadership approaches (Directive, Collaborative, and Delegative) as appropriate to the situation. ▪ They are communicating back to their manager any barriers that need to be addressed so that the team can continue to be successful.
3. Decision Making Process	Managers need to be clear with their teams about which of the Four Decision-making Approaches (Directive, Consultative, Collaborative, and Delegative) will be used under which circumstances and for which issues. The approach chosen should also align with the leadership approach adopted by that team leader.	The decision-making climate that is established by the manager should be the same climate that is established by the supervisor for their team. Supervisors need to recognize and reinforce the times when team members use decision-making approaches appropriately and re-teach for mastery as needed.
4. Team Membership	When managers have control over selection of team membership, they have the opportunity to designate group size and select members with complementary skills. The managers of teams need to clarify their expectations and hold team members accountable.	In most circumstances, supervisors are not able to select team members. Even though this is the case, supervisors, as team leaders, need to appreciate size in relationship to functionality and recognize complementary skills between team members. Supervisors need to: ▪ Clarify team member expectations and hold them accountable. ▪ Keep the manager updated on team performance.
5. Defined Roles	Managers need to ensure that there is a team leader, a facilitator, and a recorder for each team they oversee. In some cases they are the team leader but in other cases they may oversee supervisors who serve as the team leaders.	In most cases supervisors play the role of the team leader. It is critical to recognize the importance of the role of the facilitator and recorder to ensure more effective work sessions.

TEAM BUILDING	MANAGERS	SUPERVISORS
6. Managing Meetings	Team leaders, regardless of whether they are managers or supervisors, need meeting management skills.	Team leaders, regardless of whether they are managers or supervisors, need meeting management skills.
7. Communication	Managers need to make an effort to balance their role as both the sender and the receiver for effective communication. As a sender, a clear message needs to be formulated and delivered. It is also important that they seek feedback to ensure the message was communicated clearly and understood. As a receiver, a manager needs to listen while keeping an open mind and solicit feedback and recommendations from team members.	Supervisors are generally engaged in one-on-one communication encounters. As a sender, it is important to communicate a clear message with a purpose in order to ensure the receiver understands their duties. As a receiver, the supervisor needs to be open to accepting feedback and listen attentively to requests made by team members.
8. Trust	Managers establish trust by demonstrating and communicating respect for all team supervisors and their respective teams.	Supervisors need to establish trust within their teams by creating clear expectations, sharing information, practicing good communication, and respecting the skills, knowledge and abilities of team members.
9. Stages of Team Growth	Managers need to be respectful of the processes of team development. They need to set reasonable expectations for the team depending on the particular stage the team is currently in.	Supervisors are key figures in facilitating the team through its stages of development and dynamics. It is important to recognize these phases and use different interventions to help the group proceed onto the next stage.
10. Ongoing Training	The manager has a responsibility to acknowledge the need for team member training. Managers need to support training and allocate the necessary resources to make it happen.	Supervisors have a key role in: ▪ Assessing team training needs. ▪ Seeking training resources and opportunities. ▪ Providing training under some circumstances.
11. External Support and Recognition	A manager sets the tone for a teamwork environment, including recognition for team performance.	When supervisors recognize and acknowledge team accomplishments, they are reinforcing individual and team performance.

TEAM BUILDING	MANAGERS	SUPERVISORS
12. Performance Measures	A manager is responsible for setting performance measures that are linked directly to the organization's mission.	Supervisors may help set the process and outcome measures, but their primary role is to ensure that their team members are working toward and meeting the set purpose and goals.

REFERENCES

Butler, Ava S. (1996). *Team Think.* New York: McGraw-Hill.

French, Wendell L and Cecil H. Bell, Jr. (1984). *Organization Development* (third ed.). Englewood Cliffs, NJ: Prentice-Hall.

Harvard Business School. (2000). "Why Some Teams Succeed (and So Many Don't)." *Harvard Management Update* (January, vol. 5, no.1). Boston: Harvard Business School Publishing.

Isgar, Thomas. (1989). *The Ten Minute Team.* Boulder, CO: Seluera Press.

Katzenbach, Jon R., and Douglas K.Smith. (1993). *The Wisdom of Teams.* NewYork: Harper Business.

Leslie, J.B., and E.Van Velsor. (1996). *A Look at Derailment Today: Europe and the United States.* Greensboro, NC: Center for Creative Leadership.

Larson, Carl E. and Frank M. J. LaFasto. (1989). *Teamwork.* Newbury Park, CA: Sage Publications.

Pell, Aurthur R. (1999). *The Complete Idiot's Guide to Team Building*. Indianapolis, IN.

Pfeiffer, W. J., Ph.D., J.D. ed. and C. Nolde, assoc. ed. (1991). *The Encyclopedia of Team-Development Activities.* San Francisco: Jossey-Bass Pfeiffer Publishers

Reina, Dennis S. and Michelle L. Reina, (1999). *Trust & Betrayal in the Workplace.* San Francisco: Berret–Koehler Pubs.

Schindler-Rainman, E., Lippit, R. and Cole, J. (1988). *Taking Your Meetings Out of the Doldrums.* San Diego, CA: University Associates.

Scholtes, Peter R. (1988). *The Team Handbook.* Madison, WI: Joiner Associates.

RECOMMENDED READING

Butler, Eva S. (1996). *Team Think*. New York: McGraw Hill.

Katzenbach, Jon R., and Douglas K.Smith. (1993). *The Wisdom of Teams.* NewYork: Harper Business.

Larson, Carl E. and Frank M. J. LaFasto. (1989). *Teamwork.* Newbury Park, CA: Sage Publications.

Reina, Dennis S. and Michelle L. Reina, (1999). *Trust & Betrayal in the Workplace*. San Francisco: Berret–Koehler.

Schwarz, Roger M. (1994). *The Skilled Facilitator.* San Francisco: Jossey-Bass Publishers.

Endnotes:

[1] Katzenbach, J. and D. Smith. (1993). *The Wisdom of Teams*. New York: Harper Business.

[2] Leslie, J.B. and E. Van Velsor. (1996). *A Look at Derailment Today: Europe and the United States*. Greensboro, NC: Center for Creative Leadership.

[3] Pfeiffer, W. J., Ph.D., J.D., ed. and C. Nolde, assoc. ed. (1991). *The Encyclopedia of Team-Development Activities.* San Francisco: Jossey-Bass Pfeiffer Publishers.

[4] Katzenbach, J. and D. Smith. (1993). *The Wisdom of Teams*. New York: Harper Business.

[5] Reina, Dennis S. and Michelle L. Reina, (1999). *Trust & Betrayal in the Workplace.* San Francisco: Berret–Koehler.

COLLABORATION

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By
Marie Mactavish

COLLABORATION

Definition of Collaboration

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. These two or more parties "can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible."[1]

Knowledge Base

> **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**

Why is collaboration important to correctional organizations?

Collaboration is important from two perspectives in correctional organizations: internally and externally. Too often correctional organizations have viewed collaboration as externally focused. This is a partial understanding of what collaboration offers. Being collaboratively competent means understanding how to effectively apply collaborative principles both inside and outside the organization.

Internal Collaboration

INTERNAL COLLABORATION: Internal leaders and supervisors who take advantage of collaborative opportunities provide openings for employees to become more actively engaged in the organization. When collaboration is encouraged internally, employees become more invested in the success of the organization; they also have a better understanding and commitment to the organizational goals. This results in a mutually beneficial relationship between the organization and its employees. All too frequently, managers and supervisors in corrections are 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.

External Collaboration

EXTERNAL COLLABORATION: It has long been acknowledged that criminal justice and corrections resemble the parable of the blind men who each touched a different part of an elephant and learned only from their narrow experience 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 National Institute of Corrections (NIC) Correctional Program Specialist, Eduardo Barajas, Jr., "We tend to view the individual components as independent of the others and serving different, competing purposes. We need to see the overall system." Barajas contends that this kind of thinking about the comprehensive system "lets us see that we are all interconnected, interdependent parts of the whole, working for a common, greater good," and that "no one component of the system is better or worse than the others, but each serves a specific function."

Criminal justice and correctional agencies 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 towards the common good, as Barajas asserts, but also because the public is unwilling to continue to finance the increasing costs of expanding correctional systems.

Collaboration is most useful when applied both internally and externally to the corrections organization. The next section will focus on how managers and supervisors can behave collaboratively in their daily actions.

The Four Collaborative Opportunities:

THE FOUR COLLABORATIVE OPPORTUNITIES: Managers and supervisors have many opportunities to act collaboratively. These occasions can be categorized into four collaborative opportunities. Collaboration is not a discipline or practice unto itself; it only has meaning when rooted in a specific interaction.

Such opportunities may exist in the internal environment (within an organization) such as one-on-one interactions, or in structured settings such as work teams or between teams, or in the external environment (outside of the organization) (see Figure 1).

- Interpersonal

Interpersonal Opportunities: This is the most common form of collaboration. This kind of collaboration usually occurs between two individuals or through informal groups.

- Team

Team Opportunities: Activities within the organization that consist of employees, supervisors, and managers working as a unit. This team structure is an opportunity to practice collaboration.

- Organizational

Organizational Opportunities: Activities within the organization, including managers and employees working together to achieve the mission and goals of the organization. This could mean a state agency with various divisions all working together under the umbrella of the larger agency, or it could mean a specific location, such as the branch office of a city probation agency.

- External

External Opportunities: Activities outside of the organization, which include stakeholders, community partners, other governmental agencies, and non-governmental groups, such as the media, local businesses, and vendors

The Four Collaborative Opportunities

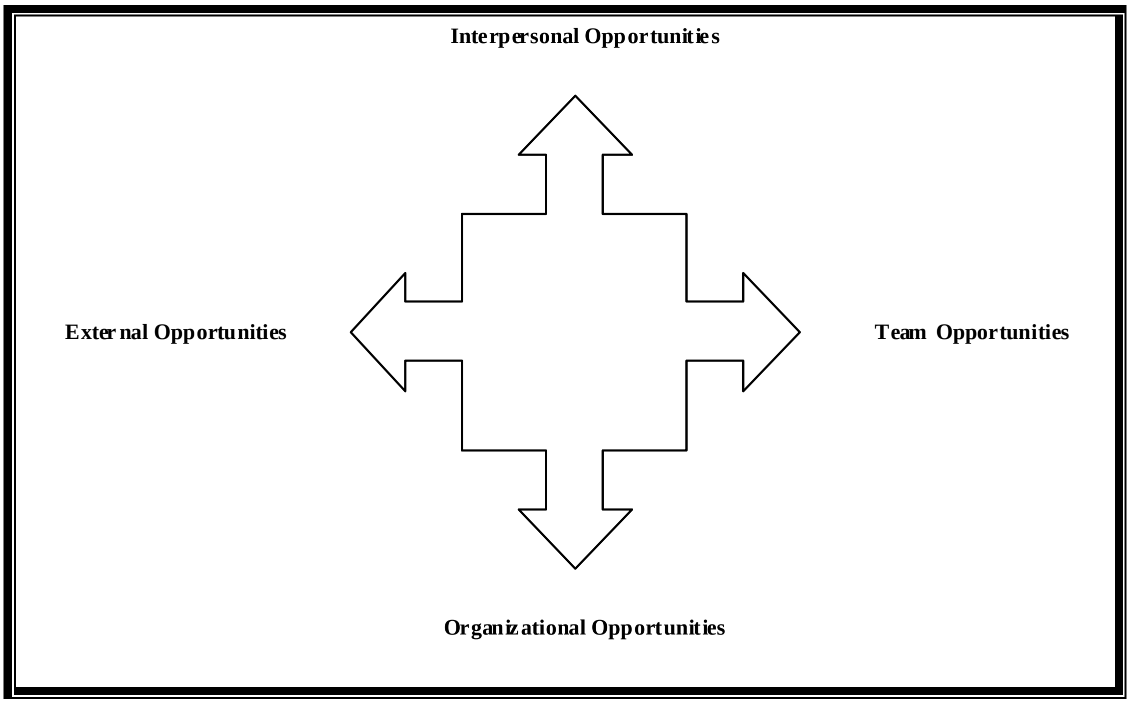


Figure 1. The Four Collaborative Opportunities

I. Interpersonal Opportunities

The following three concepts help us understand how we behave in relationships. When we value and appreciate the importance of these three concepts, our actions can become more collaborative.

Three Elements of Interpersonal Collaboration:

1. **Social Skills**
2. **Communication**
3. **Diversity**

1. Social Skills

Effective managers and supervisors need to:

- Relate well with others,
- Build positive relationships with others,
- Control their ego, and
- Manage conflict.

SOCIAL SKILLS: In *Working with Emotional Intelligence* (1998), Daniel Goleman points out that a manager with emotional intelligence – that is, with the ability to monitor his/her own emotions as well as those of others, to discriminate among them, and to use the information to guide his/her thoughts and behavior – is vastly more effective on the job than one who tries to ignore people's emotional states.

Empathy lets a manager relate well to others and make intelligent decisions – decisions that make sense to people even when they disagree. Effective managers and supervisors need to be able to relate well with others, build positive relationships, control their egos, and manage conflict.

- **Relate with Others:** A key aspect within the collaboration competency is the ability to relate to others. Are you comfortable talking with others? Are others at ease when interacting with you?
- **Build Relationships:** It is important to create and sustain relationships. Building relationships goes beyond merely relating with people and establishes a long-term basis of trust and mutual influence. Managers with strong social skills tend to have a wide circle of acquaintances and friends as well as a knack for differentiating between types of relationships. They are adept at managing teams and influencing others – a manifestation of self-awareness, self-regulation, and empathy combined. They know their people and their people know them.
- **Control Ego:** One of the biggest challenges to building positive relationships is the domination of one's ego and/or temper. Managers and supervisors who don't realize how they affect other people, don't control their emotional impulses or outbursts, and lack empathy have little chance of developing effective relationships.

- **Manage Conflict:** A successful collaborator needs to be able to objectively hear all sides of an issue and separate the issue from the person. Also, one should quickly address conflict before it derails the relationship.

2. Communication

COMMUNICATION: Open communication creates the foundation for effective collaboration. People feel respected and valued when they can speak and feel heard. Communication sets a tone for the free exchange of ideas. Within this atmosphere, trust can be established and maintained. Communication is improved when we listen, speak purposefully, understand the expression of non-verbal cues, and appreciate silence.

Communication is improved when we:

- Listen,
- Speak purposefully,
- Understand the expression of non-verbal cues, and
- Appreciate silence.

- **Listening:** The most important concept in listening effectively is learning how to suspend judgment until one fully understands what the other person is saying. This may take special concentration and frequent clarifying questions to reach accurate understanding.
- **Purposeful Speaking:** Be willing to spend time organizing your thoughts before speaking. Then, after you've spoken, follow up to ensure you were understood.
- **Non-verbal Cues:** Pay attention to your tone of voice and body language as you speak and listen. Match your body language with the message you wish to convey. Likewise, look for any nonverbal messages from the other person and ask for clarification if it appears to be inconsistent with verbal messages.
- **Silence:** Too often we are uncomfortable with silence. We think we need to be speaking or listening to be communicating. However, silence is a needed step in effective communication. It allows for a period of reflection and thoughtful analysis.

3. Diversity

DIVERSITY: The third concept of interpersonal collaboration is acknowledging and valuing diversity. Diversity is not just ethnicity, religion, and gender but includes personality traits and differences in thought, education, and socio-economic background. Together, these factors contribute to the unique orientation or approach that each individual brings to collaboration.

To acknowledge and value diversity:

- Identify Differences

- **Identify Differences:** Acknowledge that each person is a distinct individual. Recognize that insight can come from

- Value Differences
- Utilize Differences

others who are different than you. Specifically elicit information about where you and the other person may have differences that can either benefit or challenge effective collaboration.

- **Value Differences:** Appreciation of differences enables collaboration. In other words, where little to no appreciation of differences exists, collaboration rarely occurs.
- **Utilize Differences:** Take time to consider diverse inputs. Be enthusiastic about incorporating diverse comments and perspectives.

II. Team Opportunities

The following six concepts help us understand how we behave collaboratively in a unit. When we value and appreciate the importance of these six concepts, our actions can become more collaborative.

Six Elements of a Collaborative Work Team:

1. **Clarity of Purpose & Goals**
2. **Team Leadership**
3. **Decision-Making Processes**
4. **Team Membership**
5. **Defined Roles**
6. **Performance Measurements**

1. Clarity of Purpose & Goals

Clarity of Purpose and Goals: Successful teams have a clear purpose statement and set of goals. The purpose provides the overall direction for the team, while goals and objectives give specific, measurable direction. Once a purpose statement has been developed and goals and objectives have been set, performance measurements can be created allowing team leaders and members to monitor and assess their work.

Purpose Statement

Purpose Statement: Developing a statement of purpose is important to a team because it ensures all team members clearly understand why the team exists. A team's purpose should be consistent with the values, beliefs, vision, and mission of the organization. Please refer to the Team Building chapter in this book for a procedure for creating a purpose statement and establishing goals.

2. Team Leadership

TEAM LEADERSHIP: Above all else, the team leader must shape clarity in the team's purpose, goals and approach to accomplishing their commitments.

A team leader has a dual role. She or he has a responsibility to the organization (external) as well as to the team she or he oversees (internal). This section will address the internal role, while the next section on organizational collaboration will explain the external role. A team leader has an overarching responsibility to be sure that the team's purpose is clearly established and understood internally among team members.

Using Power and Authority

Effective team leaders understand and develop both positional and personal power.

USING POWER AND AUTHORITY: A team leader has the ultimate accountability for the team's purpose and performance. A truly skillful leader knows when she or he should assert authority and be directive, and when she or he should delegate decision-making authority to the team members. This is extremely important in a collaborative setting.

The team leader needs to understand the difference between positional power, power given because of his or her job title, and personal power, power given because of goodwill and expertise. Developing both kinds of power, especially personal power, is important in creating an environment where people feel free to collaborate.

Collaboration is just one style of team leadership, but it is often the most appropriate style for accomplishing a given task. During a collaborative team effort, all members (including the team leader) should have an equal voice in discussions and decision-making. In these situations, a consensus model of decision-making is appropriate.

3. Decision-Making Processes

Collaborative decision-making is most effective when:

- Buy-in is important
- The issue is critical
- Sufficient time is available

DECISION-MAKING PROCESS: Team leaders have the responsibility for establishing clarity related to decision-making processes. It is ultimately the choice of the leader in selecting collaboration as a team decision-making process. The leader needs to understand the nature of the task to determine if a collaborative process is the best choice.

Collaborative decision-making is most effective when the need for buy-in is high, when the issue is of great importance, and when you have the time to go through the collaborative process. A collaborative approach should occur in a climate of collective responsibility and authority.

In a collaborative process all are involved and are committed to the process and solution. "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." [2] The ultimate decision maker is not the team leader, but all the team members together. The team leader shares the problem with the team members and together they reach a consensus. This takes time but the result usually leads to higher levels of commitment.

4. Team Membership

Five aspects of team membership to consider:

TEAM MEMBERSHIP: Each team member has a unique set of technical knowledge and interpersonal skills that adds richness and contributes to the team's overall success. There are five aspects of team membership that are important to consider:

- Team Size

NUMBER OF TEAM MEMBERS: Ideally, an effectively functioning team is made up of 9 to 11 team members (including a team leader). When a team grows to 20 or more people, the collaborative process is difficult to maintain. When the group grows beyond 20 people, it is smart to break up into smaller teams of 5 to 10 people in order to improve communication and work collaboratively.

- Complementary Skills

COMPLEMENTARY SKILLS: Team members should be selected for how their individual knowledge, skills, diverse background, and talents complement those of other members and relate to the team's purpose and goals. In addition to skills, interpersonal competencies — conflict management, and listening and verbal skills — are also factors worth consideration when a team is formed.

- Working Approach
- Mutual Accountability

PHILOSOPHY OF WORKING APPROACH: Effective team membership requires individuals to believe in a team approach.

MUTUAL ACCOUNTABILITY: Sharing accountability among team members is essential for effective collaboration. As a team, each member shares a mutual accountability for progress, success, and any problems that may arise.

"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."[3]

5. Defined Roles

DEFINED ROLES: 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 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.

Team Roles include:

- Team Leader
- Team Member
- Facilitator
- Recorder

TEAM LEADER: A team leader is a member of the team who will help the team focus on its tasks and achieve its purpose; the team leader is the link back to management.

TEAM MEMBER: Team members share equal responsibility for team performance and balancing participation among all of the team's members.

FACILITATOR: 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 a facilitator whose knowledge and skills are conducive to that role. If a team leader takes on the additional role of facilitator, he or she must pay attention to tasks and accomplishments while monitoring group processes. 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 the overall team spirit.

RECORDER: Someone on the team must assume the role of recorder. A recorder is responsible for taking minutes, timekeeping, and creating, distributing and organizing all of the team's records. The recorder plays an important role on the team. The recorder must have good writing skills and be detail oriented. The job of recorder can also be rotated through the team.

6. Performance Measures

PERFORMANCE MEASURES: Team leaders are responsible for developing performance measures and holding team members accountable for achieving the team's purpose and goals. It is a collaborative leadership practice to engage team members' assistance in establishing performance measures. This includes developing monitoring strategies and outcome measures. By documenting performance measures, accountability and credibility is established and maintained.

Process Measures

PROCESS MEASURES: Process measures monitor the tasks that produce a given result. Process measurement focuses on two main evaluation areas:

1) Team members' perceptions of *internal* team processes such as the consistent use of meeting agendas, topics addressed, and reasonable participation by all members.

2) 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

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 be constantly working towards them. Decisions should be made very early on as to what measurements will be used to judge the team's success, so that course corrections may take place along the way. If procedures for measuring outcomes aren't developed or understood until the end of the process, the team will lose the opportunity to change direction or improve its practices during implementation. For further explanation of performance measures see the chapter on Strategic Planning and Performance Measurement.

III. Organizational Opportunities

A collaborative environment encourages open communication between levels and functions in an organization.

Collaboration within an organization is a strategy to support its goals. It also creates commitment and performance among members of the organization. Thus, a collaborative tone needs to be set for the whole organization. A leader plays an integral part in setting this tone. In order to do this, the leader must understand what a collaborative environment looks like. Such an environment consists of open communication between levels and functions in the organization.

> **Each individual, each team, each unit has to know the results it is achieving in order to fulfill its contract with the larger institution.**
>
> **--Peter Block, *Stewardship***

Once a collaborative environment is understood, then a manager and supervisor can implement the three other necessary elements to create a collaborative organization: collaborative leadership, trust, and cooperation across teams.

Three Elements of a Collaborative Organization:

1. **Collaborative Leadership**
2. **Trust**
3. **Cooperation Across Teams**

1. Collaborative Leadership

Collaborative leaders set a tone that helps all teams align with a common organizational purpose.

COLLABORATIVE LEADERSHIP: There are many key features of collaborative leadership. This type of leadership sets a tone that cascades through one's team and helps other teams become aligned around a common organizational purpose. In fact, establishing and maintaining a collaborative relationship with other teams within the organization is critical. With this in mind, a collaborative leader who wishes to form collaborative relationships with other teams should do the following:

- Encourage loyalty to the whole organization and not just to the team.
- Don't become too self involved and purposefully not work with other teams.
- According to the team's task, create inter-team processes that promote interaction with other teams.
- Be aware of opportunities for sharing power and responsibility with other teams.
- Include a high degree of participative decision-making.

2. Trust

Three Types of Trust:

- Contractual
- Communication
- Competence

Team leaders establish trust by demonstrating and communicating respect for other team leaders and members and the work they are doing. When team leaders show respect, then other team leaders can reciprocate that respect. This can cause a ripple effect throughout the organization, creating unity and a desire to collaborate. Relationships between team leaders and members from different units can be described using three types of trust.[4]

- ***Contractual Trust:*** Team leaders lead by modeling trust, expecting other team leaders to mutually manage expectations, establish boundaries, delegate appropriately, encourage mutual support, honor agreements, and be consistent.
- ***Communication Trust:*** The team leader sets the tone initially by establishing trust through disclosure. Sharing information, telling the truth, admitting mistakes, giving and receiving constructive feedback, maintaining confidentiality, and speaking with good purpose are all indicators of good communication trust.
- ***Competence Trust*:** When team leaders respect the skills, knowledge, and abilities of other team leads they demonstrate willingness and motivation to trust the capabilities of others and themselves. Building competence trust includes, in addition to respecting people's knowledge, skills, and abilities, respecting people's judgment, involving others and seeking their input, and helping people learn skills.

A team leader can establish these frameworks of trust, but it is also important for other team leads to reciprocate this trust. These relationships of trust can promote and ensure a collaborative atmosphere throughout the whole organization.

3. Cooperation Across Teams

Team leaders must learn to balance their roles when assigned to both temporary and on-going teams.

Cooperation Across Teams: A manager or supervisor needs to be loyal to the whole organization, not just to his or her own team. This is especially true when one is assigned to a cross-functional team or task force. Team leaders need to understand their role within a temporary team and the team's link to the organizational purpose. Working with other teams, especially within a temporary team, is important in accomplishing its purpose and utilizing the best of what collaboration has to offer.

Task forces should not distance themselves from more permanent units. Instead, members should seek to cooperate and balance their roles in all of the teams to which they belong. Maintaining the integrity of one's team memberships can encourage collaborative relationships. Because of these relationships, a collaborative tone within the entire organization can be created.

> **For people to treat each other as teammates, they have to believe it is in their best interest to cooperate; they must be more concerned with how the system as a whole operates than with optimizing their own little piece.**
>
> **--Brian Joiner, author, *Fourth Generation Management***

IV. External Opportunities

It is important to create collaborative alliances with others because many problems exist that cannot be solved by one organization.

An organization must interact with critical others, such as groups from other criminal justice agencies, stakeholders, community partners, the media, local businesses, vendors and/or related agencies (i.e., victim advocacy groups, mental/medical healthcare providers). It is important to create collaborative alliances with others because many problems exist that cannot be solved by one organization. Only through an alliance, involving multiple agencies and/or units sharing resources and skills, can complex problems be solved. Even when great effort is given to implementing best practices, there still may be differences over the public value of strategies relating to corrections.

> **Despite growing recognition of the need to collaborate to solve public policy problems, there is a substantial gap between intention and results. In most places, leaders and citizens simply do not know how to collaborate.**
>
> **--David Chrislip & Carl Larson, *Collaborative Leadership***

The following four concepts help us understand elements needed for successful collaborative alliances: shared need of the alliance, alliance membership, collaborative leadership, and support from top leadership.

Four Elements of a Collaborative Alliance:

1. **Shared Need for the Alliance**
2. **Alliance Membership**
3. **Collaborative vs. Positional Leadership**
4. **Support from Top Leaders**

1. Shared Need for the Alliance

Each partner in the alliance needs to have a sense of commitment.

SHARED NEED FOR THE ALLIANCE: It is critical to make sure alliance members understand the alliance's overall purpose and how each member contributes to achieve this purpose. This is important to clarify at the beginning *and* during the alliance. Frequently asking alliance members to reassess and clarify their part in the alliance can strengthen the entire collaborative initiative. It will also ensure that the alliance produces quality results. Above all, a collaborative alliance exists to achieve results.

A casual attitude about collaborative action can lead to mediocre results. When participating organizations have a clear vision of the alliance, are committed to its purpose, and act with decisiveness, then the alliance can achieve high quality results.

2. Alliance Membership

Strong Alliance Members:

- Have decision making authority
- Know the issue
- Care about the problem
- Sustain participation

ALLIANCE MEMBERSHIP: The members of an alliance strongly affect its success. Therefore, it is critical to include the right members in the alliance. Members should be chosen because of what they bring to the alliance and how they will contribute to its success. This includes agency representatives and citizen groups. For example, a few years ago when victim interests were first being brought to the table, community activists were included in the discussions because of their involvement and passion on the topic. At times, the inclusion of such passionate people was challenging because time was not taken to develop their understanding of the criminal justice system. However, it is a two way process. Those who are passionate about an issue also need to be willing to learn how the bigger system works.

Agency representatives should be selected based on their organizational authority or their ability to access it, knowledge/expertise in the issue, and interest in the problem. An alliance member does not help the group when he or she does not have the authority to make an important decision, does not know the background of the issue, or does not care about the problem at hand. These three considerations help the representative more accurately reflect his or her agency's stake.

Another consideration in choosing an appropriate stakeholder is his or her willingness to stick with the alliance. It is easy to come to the first couple of meetings, but it is hard to fully participate throughout the entire life of the alliance. The stakeholder needs to be able to build and sustain ownership and commitment within the alliance and with his or her home agency.

> **The key to successful leadership today is influence, not authority.**
>
> **--Kenneth Blanchard, consultant & author**

3.Collaborative Vs. Positional Leadership

Collaborative leadership encourages results driven participation.

COLLABORATIVE VS. POSITIONAL LEADERSHIP: A prominent leadership consultant, John Kotter, states that leadership is effective "when it moves people to a place in which both they and those who depend on them are better off."[5] This positive movement usually occurs through a collaborative leadership style instead of a positional one.

A positional leadership approach emphasizes setting goals, plans, and strategies without necessarily including others in the process. Collaborative leadership promotes crossing boundaries, valuing diverse perspectives, and sharing vision and goal setting. In essence, collaborative leadership encourages results driven participation. This way, everyone in the alliance is included, commitment is earned, and results are achieved. Collaborative leadership inspires commitment and action. It builds broad-based involvement and fosters joint problem solving.

4. Support from Top Leaders

Top leader must convey that the alliance is valued and important.

SUPPORT FROM TOP LEADERS: The sponsoring agencies need to make the alliance a priority. If the head of the agency is not directly involved in the collaborative initiative, he or she needs to show strong support in other ways. For example, he or she can delegate to his or her representative the appropriate decision making authority. The point is to always convey that the alliance is valued and important.

Support from top leaders also brings credibility to the alliance. If agency leaders do not pay attention to or encourage the alliance, the likelihood that the collaborative effort will succeed is substantially reduced.

Summary

Knowledge:

Collaboration is a reciprocally beneficial association between two or more participants who work toward shared goals. These two or more parties "can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible."[6]

Collaboration is important from two perspectives in correctional organizations: internally and externally. Too often correctional organizations have considered collaboration to be only externally focused. This is a partial understanding of what collaboration offers. Being collaboratively competent means understanding how to effectively apply collaborative principles both inside and outside of the organization.

Collaboration works well when a leader and/or an organization understands the benefits of collaboration and is willing to use collaborative strategies when opportunities present themselves. There are four common types of collaborative opportunities: interpersonal, team, organizational, and external.

When collaboration is encouraged within an organization, value is placed on building sound employee relationships. Each manager and supervisor has the responsibility of encouraging these relationships as they build strong teams. Managers and supervisors need to promote open communication between all levels and functions in the organization. This also must be true as external alliances are created and maintained. Overall, collaboration helps employees become more invested in the success of the organization and better understand and accept organizational goals.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

Interpersonal Collaboration

Skill: Relating to others in an open, accepting manner; showing sincere interest in others and their concerns.

Behavior: Evaluate one's behavior and how others respond to it.

Skill: Bringing conflicts into the open and attempting to resolve them collaboratively.

Behavior: Manage disagreements and build consensus.

Skill: Demonstrating attention to and conveying understanding of comments.

Behavior: Actively listen to others.

Skill: Speaking clearly and expressing one's self well in one-on-one and group situations.

Behavior: Speak clearly, with purpose and follow-up to ensure understanding.

Skill: Demonstrating respect for varying backgrounds.

Behavior: Treat people of all backgrounds in ways that they perceive as fair.

Team Collaboration

Skill: Building effective teams committed to organizational goals.

Behavior: Help team members understand how their team's purpose fits into the goals of the organization.

Skill: Recognizing when to assert and share authority with one's team members.

Behavior:

- ✓ Develop and use both positional and personal power.
- ✓ Use the appropriate decision-making process for the situation.

Skill: Demonstrating an ability to develop team performance measures.

Behavior: Gather input from team members and others to develop performance measures and monitoring strategies.

Organizational Collaboration

Skill: Fostering collaboration between teams.

Behaviors:

- ✓ Create inner-team processes.
- ✓ Build participative decision-making processes.

- ✓ Collaborate with others inside the organization to achieve objectives.

Skill: Understanding the importance of establishing and maintaining mutual respect and trust between individuals.

Behavior: Demonstrate trust and belief in the integrity of others by consulting, including, and recognizing their contribution.

External Collaboration

Skill: Collaborating with others outside the organization to achieve alliance goals.

Behavior: Utilize alliance members to jointly solve problems.

Skill: Challenging the status quo and championing new initiatives.

Behavior:

- ✓ Pursue initiatives from an alliance perspective.
- ✓ Set performance measurements that reflect alliance goals.

Skill: Understanding the importance of top leadership support.

Behavior:

- ✓ Solicit top leaders for their input.
- ✓ Keep top leaders informed.

FOCUS FOR MANAGERS AND SUPERVISORS

COLLABORATION	MANAGERS	SUPERVISORS
Four Opportunities for Collaboration	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of management positions:** ➢ Corrections Unit or Program Manager. ➢ Deputy Jail Administrators ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	These individuals generally manage the staff that works directly with the client or constituent group. They also make recommendations to improve systems and service delivery and monitor for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of Supervisors:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Interpersonal	Managers need to continue to be dedicated to developing expertise in social skills, communication, and diversity because they should model these behaviors for their direct reports. A manager's behavior sends a strong message concerning what interpersonal skills are valued within the organization. Managers need to build and maintain strong relationships with others. This includes learning to control one's ego and manage conflict.	Supervisors need to be dedicated to developing expertise in social skills, communication, and diversity because they should model these behaviors for their direct reports. They need to understand how to build and maintain strong relationships with others. This includes learning to control one's ego and manage conflict.

COLLABORATION	MANAGERS	SUPERVISORS
2. Team	Managers have multiple teams for which they are responsible. Managers must adeptly develop and manage these teams. This can be achieved through frequent practice of sound team building principles. They need to understand the difference between an authoritative and collaborative approach and when to use each in providing leadership to a team.	Supervisors need to learn how to adeptly develop and manage a team. This can be achieved through frequent practice of sound team building principles. They need to understand the difference between an authoritative and collaborative approach in providing leadership to a team.
3. Organizational	Managers should help accomplish their team's purpose while simultaneously striving to accomplish the overall goal(s) of the organization. They need to support their individual direct reports and teams to accomplish this. They need to keep the "big picture" in mind when working with individual direct reports and their teams. Support positive relationships between teams to reduce territoriality.	Supervisors should help accomplish their team's purpose while simultaneously striving to accomplish the overall goal(s) of the organization. They need to keep the "big picture" in mind when working with individual direct reports, the whole team, and in inter-team processes.
4. External	Managers will often find themselves selected as a representative for their organization. They should know what is expected as a representative and transmit information back to the appropriate people in the organization.	Supervisors may find themselves selected as a representative for their organization. They should know what is expected as a representative and transmit information back to the appropriate people in the organization.

REFERENCES

Barajas, Eduardo, Jr. (March 1996). "Moving Toward Community Justice". *Community Justice: Striving for Safe, Secure and Just Communities.* Washington DC: U.S. Dept. of Justice, National Institute of Corrections.

Beyerlein, Michael M., Sue Freedman, Craig McGee, and Linda Moran. (2003). *Beyond Teams.* San Francisco: John Wiley & Sons.

Center for Effective Policy. (2002). *Collaboration: A Training Curriculum to Enhance the Effectiveness of Criminal Justice Teams.* Unpublished Manuscript co-sponsored by the State Justice Institute and the U.S. Department of Justice.

Chrislip, David D. and Carl E. Larson. (1994). *Collaborative Leadership.* San Francisco: Jossey-Bass, Inc.

Dyer, William G. (1987). *Team Building.* Reading, MA: Addison-Wesley Publishing Company.

Goleman, Daniel. (1998). *Working with Emotional Intelligence.* New York: Bantam Books.

Kotter, John P. (1990). *A Force for Change: How Leadership Differs from Management.* New York: Free Press.

Kouzes, James M. and Barry Z. Pozner. (1987). *The Leadership Challenge: How to Get Extraordinary Things Done in Organizations.* San Francisco: Jossey-Bass Publishers.

RECOMMENDED READING

Beyerlein, Michael M., Sue Freedman, Craig McGee, and Linda Moran. (2003). *Beyond Teams.* San Francisco: John Wiley & Sons.

Block, Peter. (1993). *Stewardship.* San Francisco: Berrett-Koehler Publishers.

Chrislip, David D., and Carl E. Larson. (1994). Collaborative Leadership. San Francisco: Jossey-Bass Publishers.

Goleman, Daniel. (1998). *Working with Emotional Intelligence.* New York: Bantam Books.

Gray, Barbara. (1989). *Collaborating: Finding Common Ground for Multiparty Problems.* San Francisco: Jossey-Bass Publishers.

Harvard Business Review: *Special Issue on Leadership*. (Vol 79, No. 11, Dec. 2001). Boston: Harvard Business School Publishing.

Kouzes, James M. and Barry Z. Posner. (1987). *The Leadership Challenge: How to Get Extraordinary Things Done in Organizations.* San Francisco: Jossey-Bass Publishers.

Mohrman, Susan Albers, Susan G. Cohen, and Allan M. Mohrman, Jr. (1995). *Designing Team-Based Organizations.* San Francisco; Jossey-Bass Publishers.

Washington State Department of Corrections website on Community Collaborations. http://www.wa.gov/doc/cpp3.htm#ljc

Endnotes:

[1] Gray, Barbara and Wood. (1991).

[2] Pfeiffer, W. J., Ph.D., J.D., ed. and C. Nolde, assoc. ed. (1991). *The Encyclopedia of Team-Development Activities.* San Francisco: Jossey-Bass Pfeiffer Publishers.

[3] Katzenbach, J. and D. Smith. (1993) *The Wisdom of Teams*. New York: Harper Business.

[4] Reina, Dennis S. and Michelle L. Reina, (1999). *Trust & Betrayal in the Workplace.* San Francisco: Berret–Koehler.

[5] Kotter, J. (1990). *A Force for Change: How Leadership Differs from Management.* New York: Free Press.

[6] Gray, Barbara and Wood (1991).

PROBLEM SOLVING AND DECISION MAKING

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Barbara Lucey

Teddi Edington

PROBLEM SOLVING AND DECISION MAKING

Definition of Problem Solving and Decision Making

PROBLEM SOLVING: A process for eliminating or reducing the causes or potential causes of performance deficiencies that interfere with productive functioning of an organization.

DECISION MAKING: The process of selecting between alternative courses of action. Decisions are the logical outcome of problem solving.

Knowledge Base

> **Within each problem lies a disguised opportunity…but it is the art of unmasking the disguise that distinguishes between the two.**
>
> **-- Anonymous**

Why is this competency important?

Solving problems and making decisions are a natural part of the work environment. Changes are constantly occurring in materials, methods, tools, equipment, people, and policies. Managers' response to problems and the effectiveness of their decisions has a crucial impact on the people who work for them and the organizations they manage. Using problem-solving and decision-making skills will improve both the quality of decisions and the degree to which people buy into them, so that problems get solved and stay solved.

I. The Problem Solving and Decision Making Process

Solving problems and making decisions is something managers do every day as part of their regular work activities. However, problems and decisions are often approached in a random manner resulting in the same problems continually reoccurring, wasting precious energy and resources. Using a proven approach ensures that people's knowledge, analytical skills, and creative talents are brought together to develop innovative solutions to problems.

Seven Steps of Problem Solving:

- Define the problem
- Analyze causes
- Identify solutions
- Select best solution
- Develop an action plan
- Implement
- Evaluate

SEVEN STEP APPROACH TO PROBLEM SOLVING: The seven step problem-solving process provides an effective approach for solving problems. It begins as a learning experience by developing an understanding of the cause and effect relationships between undesirable results and the root or underlying causes of the problem. Decision-making takes place in looking at alternative solutions and selecting the best solution for implementation. Effective and lasting solutions become reality when an action plan is developed and implemented. Finally, the implemented solution is evaluated to determine if the problem was actually solved. This last step provides an opportunity to capture lessons learned so that better solutions can be created in the future.

There are many ways to go about problem solving. This approach presents just one framework that is particularly effective for problems that can be clearly defined and for reoccurring problems that have a significant impact on people, operations or customers. It is important to understand the basic problem-solving process; however this and other models can be adapted to a particular situation. For example, some of the steps may overlap or each step may not need to be followed in-depth or may be adapted due to time or resource constraints. More complex problems require looking at the problem from a larger perspective or systems view to identify cause and effect relationships.

The Seven Steps of Problem Solving

1. Define the problem	2. Analyze potential causes	3. Identify alternative solutions	4. Select the best solution	5. Develop an action plan	6. Implement solution	7. Evaluate progress
Problem finding		*Decision making*		*Taking action*		

Figure 1. The problem-solving model incorporates decision-making. Adapted from Step-by Step Problem Solving by Richard Y. Chang, and P. Keith Kelly.

1. Define the Problem

> **A problem well defined is a problem half-solved.**
>
> **--John Dewey**

Define the Problem

DEFINE THE PROBLEM:

Why?

- Focuses energy in the same direction.
- Ensures common understanding of the problem.

How?

- Identify the symptoms of the problem and write a brief one-sentence description of the problem.
- Write a one-sentence description of the problem goal or what it will look like when it's solved.
- Answer the 'so what' question. Why is the problem worth solving? What would happen if it weren't solved?

Tips:

- Limit the initial problem scope; take into account time and resource constraints.
- Don't combine problems; write separate problem statements for each problem.
- Tackle problems that are under the control of the individual or team.
- Avoid including an implied cause or solution in the problem statement.

County Detention Facility Case Study (CDF)

Each quarter the County Detention Facility (CDF) conducts a client satisfaction survey to assess how well they are serving the public. The latest customer satisfaction rating had dropped from 80 to 72 out of a possible 100 points. Senior management sponsored a cross-functional team to look more closely at the problem and make recommendations for solutions and a course of action.

After much discussion, the team agreed that the problem was definitely worth solving because the ratings indicated that they weren't serving the public as well as they might. High quality customer service was one of the most important values of the agency. The team wrote this problem statement:

Problem Definition

Problem Statement:

The customer satisfaction survey dropped from 80% first quarter to 72% fourth quarter of this year.

Problem Goal:

The customer satisfaction survey will meet or exceed 80% by third quarter next year.

At this point, the only symptom of the problem was the decrease in the survey ratings. Although some of the team members had ideas about the causes of the problem, further investigation would be needed to better understand why the ratings dropped. Problem statements should not reflect an implied cause of the problem or an implied solution. Their goal statement reflected what the desired end result would look like and how it would be measured.

2. Analyze Potential Causes

The Pareto Principle

"80 percent of the effect/problem can be attributed to 20 percent of the cause."

Analyze Potential Problems

ANALYZE POTENTIAL PROBLEMS:

Why?

- Ensures that root causes vs. symptoms of the problem are dealt with.

How?

- List potential causes of the problem.
- Consider cause categories such as materials, methods, tools, people, systems, skills and environment.

- Narrow list down to the most likely causes.
- Gather information to better understand the most likely problem causes.
- Identify the true root cause(s) of the problem.

Tips:

- Determine whether the problem is within your sphere of influence or if it is a systems problem that requires senior leadership to resolve.
- Get input from critical decision makers and those people closest to the problem.
- Be open to information that may contradict original assumptions.

CDF Case Study

The CDF Team analyzed the customer surveys and determined that the customer group with the highest levels of dissatisfaction was visitors to the detention facility. The team then brainstormed possible causes of visitor dissatisfaction.

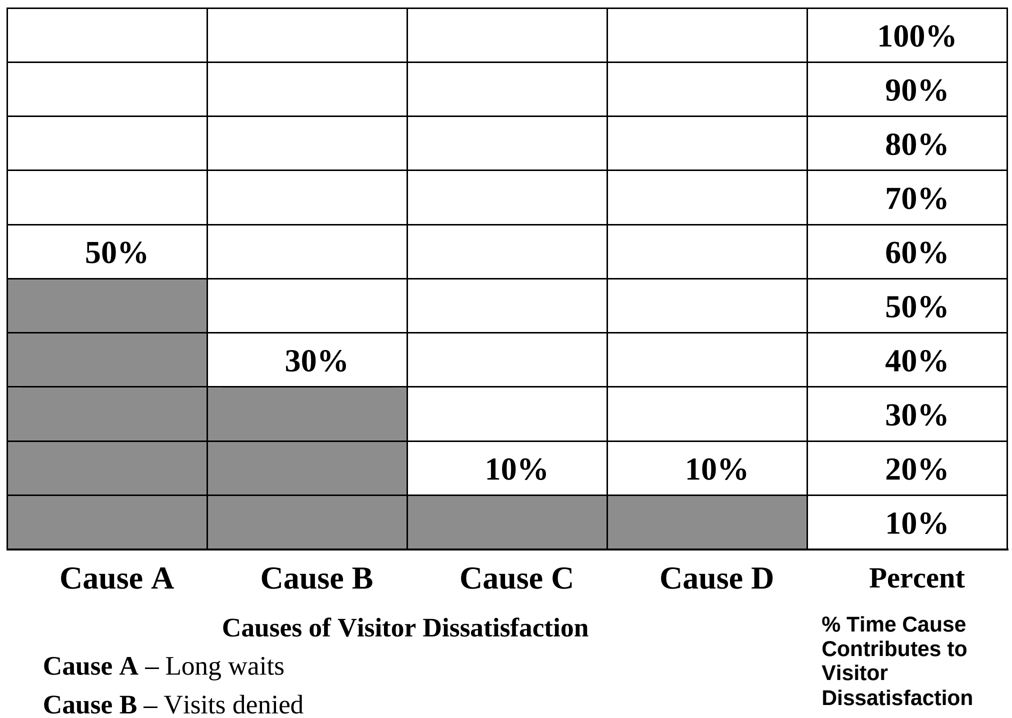
Potential Causes of Visitor Dissatisfaction

- **Visit denied**
- **Long wait for visit**
- **Perceive staff as rude and/or unprofessional**
- **Visits are too short**
- **Unable to give items (food, magazines, toiletries) to detainees**
- **Visiting area lacks privacy**
- **Restrictions on number of visits and type of visitors**
- **Waiting area crowded and uncomfortable**

The CDF Team conducted a number of interviews with visitors and staff to better understand the causes of the problem. The interviews revealed that the four major causes of dissatisfaction were A) long waits, B) visit denied, C) restrictions on items for detainees, and D) perception of staff as rude and unprofessional.

The team used a Pareto Chart to prioritize the potential causes. They understood the Pareto Principle – that the greatest impact on solving the problem could be achieved by focusing attention and resources on the most relevant cause(s). The bars represent the causes and the height of the bars represent what percentage of the time that cause was considered critical to the problem.

Pareto Chart



Cause A – Long waits

Cause B – Visits denied

Cause C – Restrictions on items brought for detainees

Cause D –Staff perceived as rude or unprofessional

Since customer feedback revealed that long waits for visits represented 50% of the problem, the team's next task was to determine the underlying or root cause of the problem. The team came up with the following list of possible causes by asking 'why' a number of times.

Why did visitors have to wait so long?

- No visits during shift change
- Each visiting group of 5 detainees lasts 30 – 45 minutes
- Bare, uncomfortable, crowded waiting room exacerbates problem
- Visitors come too early and must wait a long time before visiting hours begin
- Current visiting process results in a backlog of several visiting groups
- Visitors receive inaccurate information regarding visitation rules/hours from probation staff and attorneys
- Increase in detention population has resulted in more visitors

After discussing the potential causes, the team felt confident that the major causes could be attributed to the current visiting process which resulted in a backlog of people waiting for visits and that inaccurate information regarding visiting hours/rules was also contributing to the problem.

They were now ready to identify solutions for resolving the problem.

3. Identify Alternative Solutions

> **There are few things as useless—if not as dangerous—as the right answer to the wrong question.**
>
> **-- Peter Drucker**

Identify Alternative Solutions

IDENTIFY ALTERNATIVE SOLUTIONS:

Why?

- Encourages creative and unexpected approaches to the problem.
- Guards against settling on a predetermined solution.

How?

- Generate a broad list of potential solutions.
- Compare the problem to similar problems solved before.
- Narrow the list to a manageable number of solutions.

Tips:

- Save all criticism until after generating a list of alternative solutions. Discourage premature discussion that can dampen creative energy and stifle participation.

CDF Case Study

The CDF Team generated a long list of potential solutions to reduce the wait time for visitors.

Here is the list of solutions the CDF Team brainstormed:

How to Decrease the Wait for Visits

- Add additional visiting hours/days
- Run shorter visits
- Allow more visits in each visiting group
- Prominently post visiting rules/hours
- Provide probation staff and attorneys with accurate visiting information and convey to them the importance of providing clients' families with correct information
- Make waiting area more comfortable so waiting is less onerous
- Reduce number of visits detainees are allowed
- Split detainee's visiting days by last name (A-L and M-Z visit on alternate days)
- Give visitors an estimate of how long the wait will be when they sign in for a visit
- Allow visitors to "take a number" and return in time for a later visiting session
- Restrict who can visit and reduce number of visitors per visit

The CDF Team narrowed their list of solutions by voting. Each team member was asked to select what they thought were the two best solutions. After voting the list was narrowed down to three potential solutions:

A) Allow more visits in each visiting group

B) Split detainee's visiting days by last name (A-L and M-Z visit on alternate days)

C) Make waiting area more comfortable so waiting is less onerous

Now the team would have to determine which of the three solutions would best increase visitor satisfaction.

4. Select the Best Solution

Select the Best Solution

SELECT THE BEST SOLUTION:

Why?

- Provides an objective way to select a solution based on agreed upon and clearly understood decision criteria. Taking this step will help explain the rationale for making a decision.

How?

- Develop criteria that the solution must meet to achieve the desired result. Define the criteria to ensure understanding. Common decision criteria include:
  - Cost
  - Time
  - Ease of implementation
  - Probability of success
  - Degree of resistance or acceptance
  - Degree of risk
- Use a matrix to compare each solution against the criteria.
- Select the solution most likely to achieve the goal.

Tips:

- Use common sense, judgment, and intuition when selecting between alternatives that are closely rated. Decision-making is often as much art as science.
- Understand that no one solution may be adequate to solve a difficult problem. Many partial solutions, taken together, are often necessary to address complex issues.

CDF Case Study

The CDF team decided to use a criteria rating technique to select the best solution. This approach would provide an objective way for the team to reach consensus by comparing alternative solutions using agreed upon decision criteria. The team agreed that cost, time, and probability of success were the most important criteria to use to evaluate each solution. They developed a matrix that showed each decision criteria and gave it a 'weight' to signify its relative importance in making the decision. For example, the team felt that the solution's probability of success was critical and assigned it a weight of 50%.

Each proposed solution was then assigned a score of 1 (low) to 5 (high) based on the criteria. For example, under the "time" criteria, Solution A would require three to four weeks to implement and so was given a score of three. Solution B could be implemented immediately and received a score of five. Solution C would require several months and was scored a two.

The initial scores were then multiplied by the weights assigned to each criterion to generate a weighted score. The weighted scores for each solution were then added. The total weighted scores ranged from a high of 3.65 for Solution A to 1.15 for Solution C.

CDF Criteria Rating Matrix

Decision Criteria	**Relative Weight**	***Solution A*** **Assign visiting days by last name**		***Solution B*** **Increase number of visits in each group**		***Solution C*** **Improve waiting room environment**	
		Score*	**Weighted Score**	**Score***	**Weighted Score**	**Score***	**Weighted Score**
Cost	35%	3	1.05	5	1.75	1	.35
Time	15%	4	.60	5	.75	2	.30
Probability of Success	50%	4	2.00	1	.50	1	.50
Total Score	**100%**		**3.65**		**3.00**		**1.15**

* Rating scale 1 (low) to 5 (high)

After completing the matrix, Solution A, assigning visits on alternate days based on the detainee's last name, had the highest score. The team agreed that this solution would best solve the problem given the criteria they had established. However, Solution B, increasing the number of visits allowed in each visiting group, could be implemented immediately and at no cost. Although it would not be an adequate long-term solution, it was agreed that Solution B would also be implemented as a partial short-term fix.

The team was now ready to determine how their solution would be implemented by developing action and contingency plans.

5. Develop Action and Contingency Plans

Develop Action and Contingency Plans

Develop Action and Contingency Plans:

Why?

- Provides a clear roadmap so that people are better able to implement the solution and solve the problem.
- Increases peoples' commitment to make the solution work.
- Ensures that potential obstacles are identified and dealt with.

How?

- Develop an action plan specifying tasks, responsible persons, and scheduled start and finish dates.
- Develop measures to gauge progress toward the goal. (i.e. cost, quality, time, customer satisfaction).
- Develop a method for monitoring results.
- Identify potential difficulties that could impact momentum and develop contingency plans to prevent them or minimize their impact.

Tips:

- Consider those who will be affected.
- Plan for required resources, training, communication, and information sharing given available resources.

CDF Case Study

The CDF Team developed the following action plan by first listing and then sequencing all the tasks that had to be completed, by when, by whom, and at what cost.

ACTION PLAN MATRIX

	Action	Lead	Begin Date	End Date	Time	Cost
Solution A	Write proposed changes to visiting policy	Supervisor	Jan 1st	Jan 7th	1 wk	-0-
	Mgmt. review and approval	Detention Manager	Jan 8th	Jan 15th	1 wk	-0-
	Stakeholder meetings and training	Supervisor	Jan 16th	Jan 30th	2 wks	-0-
	Print signs and new visiting rules	Facilities Supervisor	Jan 16th	Jan 30th	2 wks	$500
	Post rules/implement	Supervisor / Staff	Jan 31st	------	on-going	------
Solution B	Write proposed rule change	Supervisor	Jan 1st	Jan 1st	1 day	-0-
	Amend post orders	Supervisor	Jan 2nd	Jan 4th	2 days	-0-
	Communicate to staff	Supervisor	Jan 2nd	Jan 4th	2 days	-0-
	Implement	Supervisor / Staff	Jan 5th	------	on-going	------
	Check customer satisfaction ratings	Detention Manager	Quarterly	------	on-going	------

Even with the best Action Plan, things may and often do go wrong. Along with the Action Plan it is also a good idea to develop a Contingency Plan by thinking through what obstacles might be encountered and how to deal with them. The CDF Team developed the Contingency Plan below.

CONTINGENCY PLAN MATRIX

	Potential Obstacle	How to Reduce or Eliminate
Solution A	Visitors show up for visiting on the "wrong day" and are angry when they can't visit.	Have a grace period as the new process is adopted. Give all new visitors a copy of the new visiting rules/times.
Solution B	Increased number of visits in each group results in a breach of security.	Increase size of visiting group incrementally and be alert for any security issues.

Even the best plans will not solve the problem if they aren't properly executed. The team's next task was to turn the plans into reality.

6. Implement Solution

Implement the Solution

IMPLEMENT THE SOLUTION:

Why?

- Turn solutions into reality by actually implementing the solution and solving the problem.

How?

- Implement the action plan. Gather information and talk to people to ensure tasks, targets and success measures are being met.
- Implement contingency plans as necessary to ensure continued progress toward the goal.

Tips:

- Implementation needs to be planned, managed, and monitored; otherwise the hard work done up to this point will have been in vain. Even more devastating is the loss of credibility and the lowered morale and commitment, not only for this project but also for future improvement projects, if no action is taken.

CDF Case Study

The team leader, in this case the supervisor, held weekly meetings so that tasks were completed on time and problems were dealt with on a timely basis. Team members gave brief status reports on their action items and kept in close contact with detainee visitors to ensure things were improving. None of the potential obstacles identified in the contingency plan became a reality, indicating that the team was proactive in heading off potential roadblocks and continuing to stay on track.

The team's hard work was still not complete. They needed to evaluate whether the action they took increased the customer satisfaction survey results from 72% to their goal of 80% or higher.

7. Evaluate Progress

Evaluate Progress

EVALUATE PROGRESS:

Why?

- Determine if the problem was solved or if corrective action needs to be taken.
- Capture lessons learned so that better solutions can be created in the future.

How?

- Compare actual results with intended results; compare actual measures with target measures.
- Identify what worked and what didn't work; determine required changes if any.
- Celebrate successes.

Tips:

- Solving problems is all about learning and often involves trial and error. Don't be discouraged if initial solutions don't work out as planned. Review critical problems encountered during the project, discuss how things could have been done more effectively and apply lessons learned to another solution.

CDF Case Study

The team gathered customer data on a quarterly basis to check progress in solving the problem. The data indicated that there was a steady improvement in customer satisfaction. The team's hard work was rewarded in the quarterly customer survey results. They had met their goal--the satisfaction rating had gone from 72% the previous year to 85% by third quarter.

The team used a critical incident review to identify what went wrong in the first place and how similar problems could be avoided in the future. The team also debriefed the problem solving process, discussing what went well and how it could be improved. Most importantly, they took time out to recognize their accomplishment and celebrate their success.

II. Creative Problem Solving

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

Advantages of Involving Others

ADVANTAGES OF INVOLVING OTHERS: As a leader you should expect and encourage people to solve their own problems. However in today's work environment many problems are too complex for one person to solve on their own. You will need to determine when problems need to be solved by more than one person and who should be involved. Involving others has a number of advantages including:

- Access to broader knowledge, information, and expertise.
- Input from multiple perspectives.
- Increased creativity and more rigorous analysis.
- Increased commitment from those responsible for making the solution work.

Determining Who Should be Involved

DETERMINING WHO SHOULD BE INVOLVED: The appropriate people to involve are usually those closest to the problem or issue. This may mean pushing decisions down to a lower level than has been customary in the past. To clarify who should be involved consider:

- Who is ultimately responsible for the results of the decision/problem?
- Who is critically affected, now and in the future?
- Who has the vital information?

Note: Use the Decision-Making Model in the Team Building Chapter to determine how much involvement is desired to make a specific decision.

Encouraging Participation and Creativity

ENCOURAGING PARTICIPATION AND CREATIVITY: Problem solving requires creativity as well as analytical thinking. You can maximize commitment and creativity by taking the lead in facilitating problem-solving sessions and using these techniques:

- Make sure that all significant sides of an issue are fully discussed. Reserve your own views until everyone has contributed their input.
- Show appreciation for contributions to encourage openness and risk taking.
- Ask people directly for their opinions.
- Play the devil's advocate to examine new viewpoints.
- Inject thought-provoking questions or comments to encourage creativity and prevent 'groupthink.'
- Use creative problem-solving tools such as mind mapping, analogies, and brainstorming.

Note: See the section 'Creating a Collaborative Climate' in the Team Building Chapter for additional ideas.

III. Proactive Problem Solving

Being Proactive

BEING PROACTIVE: The most progressive organizations are those that are proactive in identifying problems that could negatively impact business and taking action to ensure they are avoided. Not all problems can or should be avoided. In the real world we have to live with problems every day. The important point is to anticipate problems that could interfere with service delivery, customer or employee satisfaction, or other significant aspects of the organization's performance. Avoiding a problem in the first place ensures that valuable resources aren't wasted.

Proactive Strategies

PROACTIVE STRATEGIES: Although not all problems can be anticipated ahead of time, effective leaders ensure that serious problems are contained in the early stages before they become a major crisis. There are a number of strategies that can be used to avoid potential problems:

- Establish measures that signal problems before a service or product is provided and monitor them during implementation.
- Regularly engage your team in identifying factors that support

and work against the solution to a problem so that negatives can be eliminated or reduced.

- Manage by being 'out in the field' on a regular basis. Being accessible, understanding issues, and encouraging staff to share concerns will often uncover conditions that might indicate potential problems.
- Develop formal contingency plans for critical projects that identify potential obstacles and include management reporting systems to monitor and review progress.

IV. Decision Making

> **One's philosophy is not best expressed in words; it's expressed in the choices one makes.**
>
> **-- Eleanor Roosevelt**

Making Decisions Under Time Pressure

MAKING DECISIONS UNDER TIME PRESSURE: The ability to make sound, timely judgments is a critical leadership skill because management decisions can have such a significant impact on the organization's employees, customers, stakeholders and environment. Using a decision-making process can improve the quality of decisions. However, decisions frequently must be made when time and information are limited. In these cases, managers must place greater reliance on their intuition, values, and past experiences.

Improving the Quality of Decisions

IMPROVING THE QUALITY OF DECISIONS: Use the following techniques to improve the quality of your decisions:

- Determine if this is your decision to make alone or if others should be involved.
- Know how much data is needed to make a decision and how to get it quickly.
- Don't get bogged down in "analysis paralysis."
- Cultivate relationships with reliable, knowledgeable colleagues who can help you on short notice.
- Use systems thinking to look at the larger context within which a decision is being made.
- Ensure that decisions are in alignment with the mission, goals, and values of the organization.

- Consider the potential short and long-range impact of decisions on the organization and its customers.
- Use ethical principles to ensure fairness and consistency of decisions.

The following table (Figure 2) details the different roles of management in problem solving and decision making.

MATRIX OF MANAGEMENT PROBLEM SOLVING & DECISION MAKING ROLES

	EXECUTIVE OFFICER	SENIOR LEVEL LEADER	MANAGER	SUPERVISOR
Type of Problem or Decision	▪ Issues that have broad societal & environmental impact	▪ Internal systems problems ▪ Breaking down functional silos	▪ Linkage of processes and programs across functions	▪ Service delivery ▪ Continuous service or program improvement
Problem Solving Partners	▪ External criminal justice agencies and system stakeholders	▪ Internal and external agencies with similar missions and needs	▪ Cross-functional teams within the agency	▪ Problem solving with own team
Problem or Decision Scope & Complexity	▪ Long term, highly complex ▪ Political and societal implications	▪ Intermediate and long term, complex	▪ Intermediate focus	▪ Short term focus on day-to-day operations
Critical Competencies	▪ Greater reliance on decision judgment ▪ Aligning decisions with organization mission, values ▪ Considering long range impact of decisions	▪ The ability to frame questions and issues ▪ Systems thinking; analyzing issues with a systems framework	▪ Thinking outside the box to resolve long standing systemic issues ▪ Systems thinking	▪ Greater use of rational decision models ▪ Quick decision making to resolve problems that interfere with service delivery

Figure 2. This matrix shows the roles of management in problem solving and decision making.

Summary

Knowledge

Using a proven problem-solving process can help you approach problems consistently and logically, whether you are working by yourself or with a team. It may be necessary to go through the process more than once, as true root causes of problems are rarely ferreted out and permanently eliminated in one cycle.

Problem solving requires creativity as well as discipline. It relies on the cumulative intelligence and educated intuition of the team. Creativity is restricted when people feel bound by rules and procedures, what they think is acceptable, or what has been done before. Leaders can unleash creativity by promoting out of the box thinking and encouraging full participation, openness, and risk taking.

Leaders can be proactive by identifying potential problems and taking action to eliminate them or reduce their impact. Recognizing individuals or teams that have smooth-running operations can encourage proactive behavior throughout the organization. Avoid inadvertently rewarding crisis management by applauding those who "save the day" when the problem could have been prevented in the first place. Manage by the quality principle: "Do it right the first time."

Good judgment and decision-making skills are honed through day-to-day learning on the job and gaining an understanding of the organization and the larger context within which it operates. It combines common sense and logic with a measure of intuition and a commitment to do what is right.

Key Skills and Behaviors

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

Problem Solving and the Decision Making Process

Skill: Using a model or process framework to solve problems and make decisions.

Behaviors:

- ✓ Clearly define/frame a problem to ensure understanding before taking action.
- ✓ Identify the true root cause(s) of the problem.
- ✓ Analyze alternative solutions using cost-benefit or other appropriate criteria.

Behavior: The manner of conducting oneself; observable activity.

- ✓ Make objective decisions using facts and data to verify assumptions, perceptions, and intuition.
- ✓ Support and clearly explain reasons for a decision or the selected course of action.
- ✓ Review problems encountered and discuss how they could be addressed more effectively in the future.

Creative Problem Solving

Skill: Involving others in a creative problem-solving process.

Behaviors:

- ✓ Involve others in decisions that affect them; push decisions down to the lowest appropriate level.
- ✓ Ask for opinions and suggestions from others.
- ✓ Encourage different viewpoints and rigorous discussion.
- ✓ Encourage out-of-the-box thinking to solve complex problems.
- ✓ Take risks by proposing new ideas and solutions and encouraging risk taking in others.

Proactive Problem Solving

Skill: Anticipating potential problems.

Behaviors:

- ✓ Identify problems central to business success.
- ✓ Develop contingency/risk management plans to prevent or minimize problems.
- ✓ Take initiative to make decisions when data/time are limited or solutions may produce unpleasant consequences.
- ✓ Recognize and reward proactive behavior in others.

Decision Making

Skill: Making sound decisions even in conditions of uncertainty.

Behaviors:

- ✓ Combine analysis, experience, and intuition when making decisions.
- ✓ Examine decisions for fairness and consistency and ensure they do not reflect personal biases.

- ✓ Consider the short and long-range impact of decisions.
- ✓ Ensure decisions align with agency mission, goals, and values.

FOCUS FOR MANAGERS AND SUPERVISORS

	MANAGERS	SUPERVISORS
PROBLEM SOLVING & DECISION MAKING	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managers:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrator ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	These individuals generally manage the staff that works directly with the client or constituent group. They also make recommendations to improve systems and service delivery and monitor for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisors:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
The Problem Solving & the Decision Making Process	▪ Promote a system-wide, structured approach to problem solving and decision making. ▪ Tap the collective knowledge, analytical skills, and creative talents of your organization to address complex issues. ▪ Get input from critical decision-makers and those closest to the problem as part of the problem solving or decision making process. ▪ Acknowledge and publicly celebrate problem solving and structured decision making efforts.	▪ Use a structured process as a framework for problem solving and decision making. ▪ Encourage staff to use their experience, skills, and creative talents to solve problems. ▪ Determine whether a problem is within your sphere of influence or is a systems problem that requires upper management to resolve. ▪ Acknowledge and publicly celebrate problem solving and structured decision making efforts.

Creative Problem Solving	▪ Determine when a team, rather than an individual, should solve the problem. ▪ Maximize commitment and creativity by encouraging openness and risk taking.	▪ Involve staff in problem solving and decision making processes when possible. ▪ Maximize commitment and creativity by encouraging openness and risk taking.
Proactive Problem Solving	▪ Learn to anticipate problems that could interfere with service delivery or negatively affect stakeholders or employees. ▪ Take timely action to ensure that a potentially serious problem is resolved in the early stages before it becomes a major crisis. ▪ Establish and monitor measures that signal problems at both program and system-wide levels.	▪ Learn to anticipate problems that could interfere with service delivery or employee satisfaction. ▪ Take timely action or alert superiors to potentially serious problems so they can be resolved in the early stages. ▪ Gather data to monitor performance and service delivery.
Decision Making	▪ Push decisions down to the lowest appropriate level. ▪ Understand the limitations of structured decision making processes and rely on intuition, values, and experience when time and information are limited. ▪ Gather the data needed to make an informed decision but don't get so bogged down in details and examining options that no action is taken. ▪ Use systems thinking to look at the larger context within which a decision is being made.	▪ Determine if the decision is yours to make alone or if others should be involved. ▪ Understand the limitations of structured decision making processes and rely on intuition, values, and experience when time and information are limited. ▪ Gather the data needed to make an informed decision but don't get so bogged down in details and examining options that no action is taken.

REFERENCES

Arnold, John. (1992). *The Complete Problem-Solver: A Total System for Competitive Decision Making.* New York: John Wiley and Sons.

Bazerman, Max H. (1997). *Judgment in Managerial Decision Making*. Hoboken, NJ: John Wiley and Sons.

Chang, Richard Y. and P. Keith Kelly. (1993). *Step-by Step Problem Solving*. Irvine, CA: Richard Chang Associates, Inc.

Covey, Stephen. (1989). *Seven Habits of Highly Successful People.* New York: Simon and Schuster Trade.

RECOMMENDED READING

Bazerman, Max H. (1997). *Judgment in Managerial Decision Making*. Hoboken, NJ: John Wiley and Sons.

Fobes, Richard. (1993*). The Creative Problem Solver's Toolbox: A Complete Course in the Art of Creating Solutions to Problems of Any Kind.* Corvallis, OR: Solutions Through Innovation.

Hoch, Stephen J. (2001). *Wharton On Making Decisions*. Hoboken, NJ: John Wiley and Sons.

Hodgson, Kent. (1992) *A Rock and a Hard Place: How to Make Ethical Business Decisions When the Choices Are Tough.* New York: AMACON.

Jones, Morgan D. (1998). *The Thinker's Toolkit: Fourteen Powerful Techniques for Problem-Solving.* New York: Times Books.

Russo, Edward J. (2001). *Winning Decisions: Getting it Right the First Time.* New York, NY: Doubleday.

Von Oech, Roger, Ph. D. (1990). *A Whack on the Side of the Head: How to Unlock Your Mind for Innovation.* New York: Warner Books.

STRATEGIC THINKING

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Nancy M. Campbell

STRATEGIC THINKING

Definition of Strategic Thinking

STRATEGIC THINKING: The ability to recognize the relationships, complexities, and implications of a situation, anticipate possibilities, and plan what to do. Strategic thinking is an attempt to develop a best guess about the future.

In its most basic form, strategic thinking involves three questions:

1. What seems to be happening?
2. What range of possibilities do we face?
3. What are we going to do?

Knowledge Base

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

Why is strategic thinking important?

THE CHALLENGE OF STRATEGIC THINKING: A 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.[1]

Combining the capacity to see what might be with the understanding of how to make it happen is the art of strategic thinking.

Supervisors work primarily within their own units and focus on ensuring that policies and procedures are implemented. Supervisors are most often solving problems within one or two systems. They see things primarily in the context of a handful of systems. They rely most heavily on analytical and critical thinking skills. Some also rely on intuitive thinking skills. Most supervisors' actions are largely tactical and not strategic.

Managers work with many constituents outside of their program or department. The scope of a manager's role is greater and requires more attention to how different systems might work together. A manager's job often entails working with staff from other departments both within and outside of the agency. They are

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.

responsible for understanding the larger organizational context and culture and interpreting it for those both within and outside of their chain of command. To do this well requires strategic thinking skills and abilities.

The complexity of corrections organizations requires managers to do their own thinking and to carve out the direction that best suits their environment. As a manager it is no longer sufficient to simply implement the policy of others. A manager is expected to find ways to ensure that his or her program is fulfilling the agency vision and mission.

A significant challenge for managers is not to rely exclusively on the 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 change. Ironically, the more familiar we are with an issue, the more limited we are in identifying possible solutions. Our prior thought patterns lead to implicit assumptions that limit our ability to think differently about a problem. Mental flexibility is required to adjust to new information and to conceptualize new alternatives.[2]

How then is a correctional manager to build on the wealth of accumulated organizational knowledge without missing new opportunities or 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.

Personality and temperament influence one's ability to conceptualize and think strategically. Some people inherently conceptualize easily and think at a strategic level; others find it challenging. There are skills and behaviors that, with practice, can help one think more strategically. Understanding and using available tools and techniques will help a manager refine the art of strategic thinking.

I. What is Strategic Thinking?

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

How do we think?

First you have to think.

This competency focuses primarily on how to think. Before we can effectively innovate or plan, we need to understand how we think.

For the most part, we don't think about thinking; we just do it. We all have preferences or natural proclivities regarding how we think. We unconsciously approach a problem with the form of thinking with which we are most comfortable. The challenge with this approach is that the problem before us may not be easily understood within the context of the thinking mode we typically use. There are many ways to think and they are all useful in certain circumstances. This competency asks you to try to develop many ways to think so that when you discover a situation, you have many ways to analyze it and to understand it. In short, thinking in different ways is something that must be encouraged before one can think strategically. So we must begin to think about thinking.

Strategic thinking requires managers to use critical, conceptual, creative, and intuitive thinking.

There are many different types of thinking. A short list includes:

- **Analytical Thinking:** the ability to break issues down into their component parts.
- **Critical Thinking:** the ability to carefully judge or evaluate.
- **Conceptual Thinking:** the ability to generalize an abstract idea from particular instances.
- **Creative Thinking:** the ability to make, invent, or innovate rather than to simply imitate.
- **Intuitive Thinking:** the ability to understand or agree with an idea without the use of rational thought or inference.

Strategic thinking requires the ability to use the last four types of thinking in this list: critical, conceptual, creative, and intuitive. The self-aware manager recognizes that he or she is unlikely to be skilled in all of these areas. In fact, most corrections agencies neither teach people how to think in different ways, nor provide forums in which they can demonstrate their natural abilities. Most corrections managers have worked in systems that place the greatest value on analytical and critical thinking. Some would argue that many corrections agencies seriously limit thinking by the promulgation of policies and procedures that attempt to tell staff how to act and what to do in every situation. Control and compliance are sought, not creativity.

The challenge for a manager is to consciously find ways to develop all these forms of thinking in him or herself as well as in others. To do this first requires an understanding of how we think.

> **We are what we think – the way we think creates what we see and hence the future for which we can conceive a strategy.**
>
> **-- Stuart Wells**

Thought Modes

Developing the capacity to use less familiar thought modes expands your strategic thinking capacity.

Depending on our natural proclivities, we often believe that the opposite of what we do or believe must be wrong. 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. The adept strategic thinker understands that his or her preferred way of thinking and digesting information is only one way of approaching a problem. A strategic thinker works to understand his or her thinking process. Only after understanding one's own preferred thinking process can one see its limitations and the value in a process that is different. Skilled strategic thinkers seek out opportunities to use different modes 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.

Thought modes are the mechanisms by which the mind processes order and patterns to build paradigms.[3] The thought modes appear to be pairs of opposite qualities but actually are points along a continuum of patterns the mind uses to order thinking. Common thought modes include logic and intuition, synthesis and analysis, convergence and divergence, holistic and divided, sequential and simultaneous, and hierarchy and network. These are briefly defined below.

Logic and Intuition

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 we do not have enough data to begin the sequence. The sequence often begins with an assumption that relies on the complementary thought mode of intuition. The intuitive thought pattern is based less on data and more on experience. While difficult to articulate, the intuitive mode relies on the synthesis of a person's experiences.

The logic mode is best used when trying to refine ideas, while the intuitive mode works best when trying to explore areas for which the data is not clear or is unknown. Both modes are necessary for strategic thinking, but it is intuition that most often leads to new ways of viewing existing issues or challenges. Once intuition has helped to understand possible new approaches, logic can be used to refine the chosen solution.

Corrections agencies, like the rest of our culture, tend to place more value on logic than intuition. Yet, it is intuition that is most useful when exploring the unknown. When confronting problems that do not have simple technical solutions, intuitive thinking can be very useful.

Synthesis and Analysis

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 its elements. 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.

Analysis is the thought mode most heavily relied on in first line supervisory decision-making. Supervisors are most often solving problems within one or two systems. As a manager the scope of your role expands and requires more attention to how different systems might work together.

Convergence and Divergence

CONVERGENCE AND DIVERGENCE: In the American culture, we highly value our ability to be decisive and to move quickly. Thus we often push for convergence that is required to reach agreement. Convergence is best demonstrated in legislative bodies where pressure to reach agreement within narrow time frames often requires ignoring some data to reach closure. In corrections, the paramilitary structure, heavy workload, and tight time frames can push for convergence. Divergent thinking is important to ensure that there is not only full understanding of issues, but also to reach true ownership of ideas. Often divergent thinking is used when there is agreement on a problem statement but an array of possible solutions needs to be explored. In strategic thinking convergence and divergence tend to alternate throughout the process.

Holistic and Divided

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 us the "why" of a given situation. The divided mode, however, helps us to think 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 corrections managers toward convergence push managers to focus on "how" more than "why." There is a tendency to solve problems before really understanding the nature of the problem. This often explains why a solution to a problem does not work!

Sequential and Simultaneous

SEQUENTIAL AND SIMULTANEOUS: Sequence is an order in time. To implement a new initiative often requires sequencing of events. Typically when we sequence, one action or thought is completed before moving onto the next. In the simultaneous mode, there is no particular order. We move from one idea or activity to the next with no specific order or reference to time.

Hierarchy and Network

HIERARCHY AND NETWORK: Hierarchy is a series in order of importance, not time. A hierarchy can tell us 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

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 typically rely upon. Developing the capacity to use less familiar thought modes expands your strategic thinking capability.

To expand your strategic thinking skills, observe other staff or family members as they participate in meetings or activities and attempt to identify which thought mode(s) they are using. Another practice that can develop strategic thinking capacity is to attempt to use a different thought mode than the one(s) you most typically use to address a problem. Consciously observing how you and others think is one of the best ways to expand your strategic thinking capability.

II. Expanding Your Thinking

Many corrections managers find strategic thinking to be quite challenging. They are used to relying on analytical and critical thinking skills that, while 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 will be on developing conceptual, creative and intuitive skills.

Conceptual Thinking

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[4].

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, associating seemingly unrelated information in order 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.

Table 1 excerpted from Saskatchewan Public Service Commission (2004) *Management Competency Development Resource Guide: Conceptual Thinking* describes what conceptual thinking is and what it is not.

Conceptual Thinkers Can:

- See Basic Relationships
- See Multiple Relationships
- Clarify Complex Data or Situations
- Apply Complex Concepts
- Create New Concepts

CONCEPTUAL THINKERS CAN:

- **See Basic Relationships:** Link parts of a problem to a broader set of issues or relationships. Sees patterns or trends when looking at information.
- **See Multiple Relationships:** Analyze relationships among several parts of an issue or situation. Use multiple associations of events and apply concepts from other fields when analyzing events or situations.
- **Clarify Complex Data or Situations:** Use alternative ways of looking at issues and link complex information to a solution. Analyze, plan, and integrate concepts into a structured and rational process. Make complex ideas or situations clear, simple, and understandable. Assemble ideas, issues and observations into clear and useful explanations and solutions.
- **Apply Complex Concepts 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

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

Creative thinking involves trial, error, and risk.

Creative thinking assumes experimentation. By its very nature, creativity is about trial, error, and taking risks. This sounds at best counterintuitive, at worst insane to most corrections managers. When dealing with security issues, risk is most commonly viewed as negative. Even for staff not working with custody and security issues, the issue of safety pervades most corrections departments. To think creatively as a manager you must shed some of the "safety consciousness" to experiment and risk failure. It can take learning or re-learning different skill sets.

Identify when to use creative approaches

WHEN TO USE CREATIVE APPROACHES: Different situations require different problem solving approaches. The chart below helps determine when a creative problem solving approach may work best or when a traditional problem solving approach is called for.

Creative & Traditional Problem Solving[5]

Use Creative Problem Solving When:	Use Traditional Problem Solving When:
⇒ The Problem Keeps reoccurring	⇒ The Problem seldom occurs
⇒ You want to do things differently	⇒ You want to do things better
⇒ Problems are ambiguous	⇒ Problems are well defined
⇒ You are not sure how to evaluate the problem	⇒ All essential criteria for evaluating the problem are known
⇒ Facts are unknown; feelings abound	⇒ Facts are central to the process
⇒ unpredictable and risky solutions are acceptable	⇒ Causes are definite and defined
⇒ Something that has not been a problem has become one	⇒ Corrective solutions are acceptable

Table 2, adapted from Susan H Gebelein, et al. (2000) *Successful Manager's Handbook*, shows when to use creative or traditional problem solving approaches.

Enhancing Creative Thinking

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. Ways to enhance your creative thinking include:[6]

- Listen

➢ Listen and listen some more. Do not rebut or respond immediately when someone else is speaking. Listen for understanding, not rebuttal. 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
  - ➢ 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 trusted others to give you feedback on your responses.
- Change sides
  - ➢ Challenge yourself to defend the opposite viewpoint from the one you hold.
- Play games
  - ➢ Practice "brain games" that increase mental flexibility. [7]
- Seek to better understand the problem
  - ➢ When generating ideas spend more time in the initial phases of understanding the problem than crafting the solution. Force yourself to think of the problem from the perspective of three different stakeholder groups. Use the "W" questions:
- Use the "W" questions
  - Why
  - Who
  - Where
  - When
  - What
  - How
- Form teams
  - ➢ 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
  - ➢ Brainstorm: Most managers believe they understand the concept of brainstorming but in reality, because of past experience or behavior, true brainstorming does not occur. If staff have been ridiculed for "crazy ideas" or penalized for risk taking, brainstorming will be stymied. To use brainstorming to encourage more creative thinking follow these guidelines:[8]
    - Set a goal of establishing as many novel ideas as possible.
    - Limit the session to not more than 30-45 minutes.
    - Have people write down some suggestions before the group begins sharing ideas.
    - Ensure that there are no interruptions.
    - Make it fun and fast. Offer supportive comments and even prizes for the zaniest and/or most number of 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:
  1. Quantity not quality
  2. Focus on concepts, not detail
  3. Don't set implementation constraints
  4. No criticism of ideas
  5. All ideas will be evaluated later
  6. Participants can enhance or add to a suggestion or combine ideas but not change an idea
- Use the results to think strategically.
  1. Review the results for any patterns, connections or inter-relationships
  2. Share your observations with others to see if they see the relationships and/or patterns
  3. Let the information inform next steps

Intuitive Thinking

> **…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**

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. It is very useful where the data and/or the problem definition are unclear. Once the problem is fully understood, logic can be used to refine the chosen solution.

Intuition is based in experience.

It is believed that intuition is based in experience. One unconsciously draws on these experiences to test against the current situation. The brain is rapidly cycling through the past and providing a base of comparison for the current situation.

Developing Intuitive Thinking

DEVELOPING INTUITIVE THINKING: Managers are typically trained in logical thinking processes like force-field analysis, Gantt Charts, and stakeholder mapping. Managers need to be similarly trained in how to use their intuition. Activities that can help develop intuitive thinking include:

- **Imagery:** Creating images of preferred futures or having team members imagine how something might or might not work. The images or words are then explored for linkages. An example of this is the "premortem" exercise. 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 six months into the future and the news is not good. Despite their hopes, the project has failed. Then ask team members to take three minutes to run a mental simulation and write down why they think their work derailed. All sorts of reasons emerge.[9]
- **Analogies:** Drawing 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 is a technique that uses imagery to help understand the linkages between seemingly diverse elements. It was created in the 1960s by Tony Buzan. The visual and non-linear nature of the map (see Figure 3) makes it easy to see linkages and to cross-reference different elements of the map.[10]

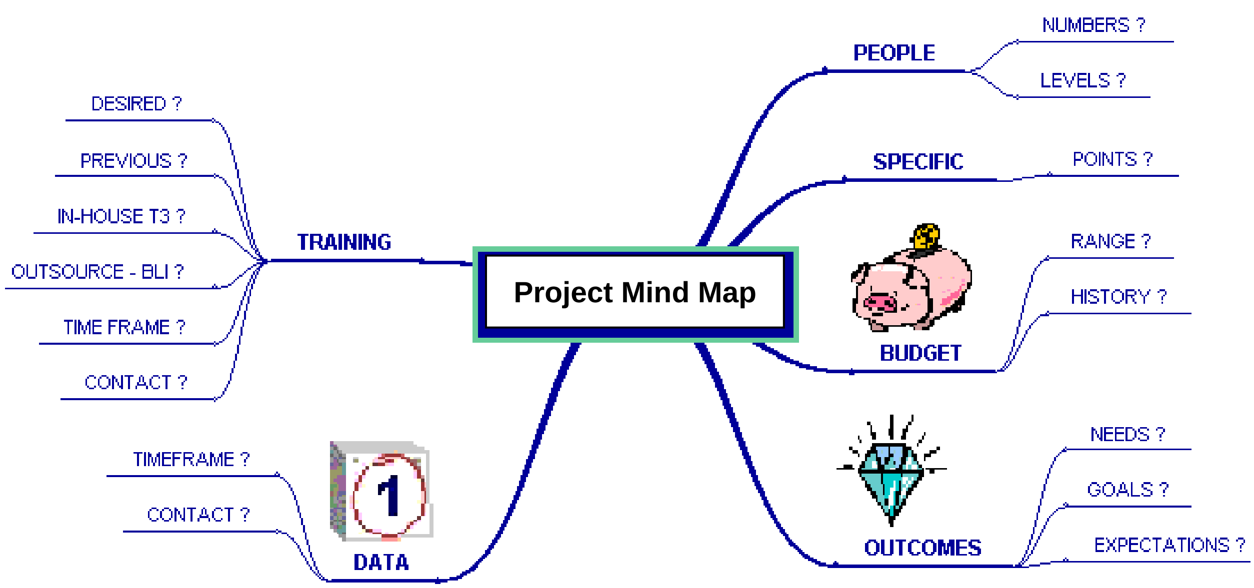


Figure 3. is an example of a project related mind map[11].

Steps to develop a mind map include[12]:

- 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 sub-centers for sub-themes.
- Put key words on lines. This reinforces 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 8x11 mentality.)
- Be creative. Creativity aids memory.

III. A Framework for Strategic Thinking

A framework provides a way to ensure a problem solving approach engages strategic thinking skills.

There are several frameworks that can support the development of strategic thinking. A framework provides a leader with a way to ensure that he or she is using a problem solving approach that engages his or her strategic thinking skills. Because of different learning styles and thought modes, some frameworks will appeal to you while others may not. While there are many possible frameworks that can be employed to encourage strategic thinking, in this chapter we will concentrate on one, *Management by Groping Along*.

> **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**

Leadership Counts

The framework presented here is one that initially will either resonate with you or cause you to laugh. The concept of Management By Groping Along (MBGA), created by Robert Behn, seems to fly in the face of logic – and that is indeed the point. This framework requires leaders to make use of intuition and creative and conceptual thinking, as well as critical, analytical, and other forms of thinking.

Behn posits that skilled leaders often know where they want to go but don't necessarily know how to get there.

Behn posits that skilled leaders often know where they want to go but don't necessarily know how to get there. For a manager who is focusing on strategy, not just tactics, this is often the case. Managers understand that the people who are closer to service delivery are better positioned to figure out the details of implementation. Yet, often staff in the lower ranks are not well positioned to see or understand issues that are bigger than their area of responsibility. If given the task of full implementation, they often struggle to see new ways of approaching existing problems or fail to see new problems that may arise.

There are also circumstances where there is insufficient time to develop a thorough implementation plan, times when senior level leaders must simply push ahead on an issue without the benefit of a completely developed plan. Behn provides a framework for how to think strategically at such times.

Behn's framework, Management By Groping Along, assumes a manager will use his or her experience, intuition, and current knowledge base to develop strategy. Every corrections manager is confronted by situations that are unique to his or her organization. Despite the best training and experience, no manager can ever be fully prepared for some circumstances.

MBGA is a process of **adaptation**. Knowing the goal, a manager experiments – trying some approaches, achieving some successes, and adapting the more successful approaches. Behn provides several practical steps that support strategic thinking at such times.

- Know the Goal
- Do the Doable First
- Fix as You Go
- Seek Feedback, Fix Mistakes, Stay Flexible
- Describe the Purpose

Know the Goal

KNOW THE GOAL: A basic assumption of MBGA is that the manager knows the goal. The correctional environment by its very nature is complex and dynamic. A strategic thinker is someone who can retain focus on a goal in the midst of many competing interests and can tolerate the ambiguity of not having a defined plan to get to the goal.

Do the Doable First

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 one 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. By achieving a reasonable goal, others can be convinced that the larger goal is achievable.

Fix as You Go

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, Stay Flexible

SEEK FEEDBACK, FIX MISTAKES, AND STAY FLEXIBLE: In many ways implementation is a stage of error correction. The idea that people thought *should* work, may *not* work. Fixing as you go requires the ability to get honest feedback from those who are implementing the plan or project. Managers 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.

Describe the Purpose

DESCRIBE THE PURPOSE: The managers who have dutifully crafted a mission statement that they believe conveys what the organization is trying to achieve, can attest to how hard it is to both explain and gain understanding and commitment to the mission. As with everything else in MBGA, the development of the best words for the mission is an iterative process. Strategic thinkers try different phrases and approaches with different audiences in an attempt to find what resonates with staff members. After trial and error, the best descriptors are agreed upon and then shared at every level of the organization over and over and over again.

MBGA is a framework that supports the use of intuitive, creative, conceptual, and critical thinking. It is a process that requires a manager to use and trust forms of thinking that are essential to developing his or her strategic thinking skills.

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

Summary

Knowledge

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, critical, conceptual, creative, and intuitive thinking.

Most managers approach problems tactically. They focus on the here and now and what their past experience tells them. Strategic management requires the ability to move beyond tactics. A strategic manager sees the connections between seemingly disparate ideas and concepts.

Strategic thinking is an act of discovery. Assumptions are made to be explored, not to defend a position. Complexity is understood to be part of understanding a problem and not a roadblock to implementation. Different skills sets and styles are seen as essential to finding the best solution(s).

Strategic thinking provides a way to approach the future and the unknown. When strategic thinking becomes an ongoing activity, planning efforts become dynamic and exciting. Within every manager and the people with whom he or she works are the skills needed to think strategically. By developing strategic thinking skills and abilities today, managers can meet the challenges of tomorrow.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

What is Strategic Thinking

Skill: Understanding different types of thinking; understanding your thinking style.

Behaviors:

- ✓ Determine the thought modes and ways of approaching issues that you typically use.
- ✓ Observe which thought modes your organization values.
- ✓ Identify and understand your dominant thinking modes.
- ✓ Complete behavioral assessments that address thinking style.
- ✓ Identify the thinking and beliefs that underlie your conclusions and decisions.

Expanding Your Thinking

Skill: Developing new ways of thinking.

Behaviors:

- ✓ Explore and experiment with techniques that support the development of 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.

A Framework 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.

FOCUS FOR MANAGERS AND SUPERVISORS

STRATEGIC THINKING	MANAGERS	SUPERVISORS
Strategic thinking is the ability to recognize the relationships, complexities, and implications of a situation, anticipate possibilities, and plan what to do.	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managerial positions:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrator ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	These individuals generally manage the staff that works directly with the client or constituent group. They also make recommendations to improve systems and service delivery and monitor for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisory positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. What is Strategic Thinking	▪ Begin to observe which thought modes you typically use. ▪ Observe which thought modes your boss and the organization value. ▪ Observe which departments are most successful at problem solving. Do they use different thought modes? ▪ Identify the thinking and beliefs that underlie your conclusions and decisions. ▪ Managers typically have more training opportunities	▪ Begin to observe which thought modes you typically use. ▪ Observe which thought modes others in your unit use. What thought modes do the successful problem solvers use? ▪ Identify the thinking and beliefs that underlie your conclusions and decisions. ▪ Observe which thought modes your supervisor and other managers both use and seem to value.

STRATEGIC THINKING	MANAGERS	SUPERVISORS
	and should attempt to find training that includes behavioral assessments that provide insight into thought modes.	
2. Expanding Your Thinking	▪ Work with agency or contract trainers to incorporate different forms of thinking into staff training and development. ▪ When you work with staff, explore and experiment with techniques that support the development of new ways of thinking and approaching issues. ▪ Practice using other complementary thinking modes at staff meetings. Model the practice for supervisors in your unit or program. ▪ Try to see and understand many perspectives of an issue at once. ▪ Identify others who are skilled at strategic thinking and consult with them. ▪ Reward staff who expand their thinking capacity by trying new approaches and/or using other staff who are skilled strategic thinkers as mentors and coaches.	▪ In staff meetings, explore and experiment with techniques that support the development of 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. ▪ Volunteer to serve on task forces that have complex and difficult problems to solve. These task forces will often draw on people with different strategic thinking skills. ▪ Encourage and reward staff in your unit who demonstrate many ways of thinking.
3. A Framework for Strategic Thinking	▪ Explore various frameworks that support strategic thinking by participating in training on strategic planning. Planning consultants typically use a variety of frameworks. ▪ Search the Internet or the library for literature on the topic. ▪ Use the MBGA framework to assist you in solving a challenging problem. ▪ Ask senior leaders and executives what frameworks they find useful and when and where they use them.	▪ Explore various frameworks that support strategic thinking. Search the Internet or the library for literature on the topic. ▪ Use the MBGA framework to assist you in solving a challenging problem. ▪ Ask managers what frameworks they find useful and when and where they use them.

REFERENCES

Behn, Robert D. (1991). *Leadership Counts*. Cambridge, MA: Harvard University Press.

Buzan Centers (2004). *Traditional Mind Map* available online at http://www.mind-map.com/index.htm

Gebelein, Susan H., et al. (2000). *Successful Manager's Handbook*. Minneapolis, MN: Personnel Decisions International.

Kanter, Rosabeth Moss. (1983). *The Change Masters: Innovation and Entrepreneurship in the American Corporation*. New York: Simon and Schuster.

Klein, Gary. (2000). "What's Your Intuition?" *Fast Company*. Issue 38 (September): 290.

Performance Evaluation and Professional Development System (2004) *Conceptual Thinking.* available online at http://www.buffalostate.edu/offices/hr/PEPDS/sf/concept.asp

Saskatchewan Public Service Commission. (2004). *Management Competency Development Resource Guide: Conceptual Thinking* available online at http://www.gov.sk.ca/psc/MgmtComp/Conceptual_Thinking.htm

Underdog Consulting, Inc. (2000). available online at http://www.underdogconsulting.com/underdog_brainstorm.htm

Wells, Stuart. (1998). *Choosing the Future: The Power of Strategic Thinking*. Woburn, MA: Butterworth-Heinemann.

RECOMMENDED READING

Schwartz, Peter. (1991). *The Art of the Long View*. New York: Doubleday.

Collins, James C. and Jerry I. Porras. (1994). *Built to Last: Successful Habits of Visionary Companies*. New York: Harper Business.

Moore, Mark H. (1995). *Creating Public Value: Strategic Management in Government.* Cambridge, Mass: Harvard University Press.

Russell, Peter and Roger Evans. (1992). *The Creative Manager: Finding Inner Wisdom in Uncertain Times.* San Francisco: Jossey-Bass,.

Wells, Stuart. (1998). *Choosing the Future: The Power of Strategic Thinking.* Woburn, MA: Butterworth-Heinemann.

Endnotes

[1] Ibid.

[2] Gebelein, Susan, H. (2000). *Successful Manager's Handbook*. Minneapolis, MN. Personnel Decisions International, P. 27

[3] Stuart Wells, *Choosing the Future: The Power of Strategic Thinking*, page 35.

[4] Saskatchewan Public Service Commission @ www.gov.sk.ca/psc/MgmtComp/Conceptual_Thinking

[5] Gebelein, Susan H. (2000). *Successful Manager's Handbook.* Minneapolis, MN.: Personnel Decisions International, P.28

[6] This list is adapted from Gebelein, Susan H. (2000). *Successful Manager's Handbook.* Minneapolis, MN: Personnel Decisions International, P. 27

[7] One example is Brain Games by Richard B. Fisher

[8] A good source for brainstorming rules and ideas is www.underdogconsulting.com/underdog_brainstorm

[9] Klein, Gary, *What's Your Intuition?* Fast Company, Issue 38, (September 2000): 290.

[10] For additional information see: www.peterussell.com/MindMaps/HowTo

[11] Mind map example adapted from Buzan Centers available online at http://www.mind-map.com/mindmaps_gallery.htm.

[12] Adapted from Buzan Centers (2004) *Traditional Mind Map* available online at http://www.mind-map.com/index.htm

MANAGING CHANGE

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Nancy M. Campbell

MANAGING CHANGE

Definition of Managing Change

MANAGING CHANGE: Managing change is the art of anticipating the need for and leading productive change.

When we speak of change, it is assumed that it is desirable to move from where we are to a different place. There is a gap between what we have and what we want. To move ourselves and others to a different place in an organization requires an understanding of the change process.

Knowledge Base

> **The responsibility of a leader is to bring about change that is responsive to the true and long-term needs of all constituencies.**
>
> **--James O'Toole**

Why is managing change important?

Most public sector managers and supervisors are good analysts and decision-makers. They are able to define a problem and develop a strategy to resolve it. What distinguishes the effective manager or supervisor is the ability to implement the proposed solution.

Most frequently, implementation of an idea requires the involvement and commitment of other people. The art of managing change lies in getting others to believe in an idea and bring it to life. Many great ideas and proposals have died because the manager could not garner the support needed for implementation. In hierarchical organizations like corrections, managers and supervisors often try to order others to implement change. This approach typically results in resistance or at best short term compliance.

Getting others to agree to change requires an understanding of how people respond intellectually and emotionally to change. It requires a willingness to take the time to consider and understand the value of different perspectives. Finally, and most challenging for many managers and supervisors to understand, gaining the support of others to change often requires a willingness to change oneself.

There are no magic bullets for successful change implementation but there are strategies that have proven effective and common mistakes that can be identified. Understanding how and why people change can help a manager or supervisor develop more effective change strategies. There are several change implementation frameworks that, if used effectively, increase the probability that changes will be successfully implemented

I. Understanding the Change Dynamic

> **Our hope of influencing change is increased by our understanding of it.**
> **-- Geoffrey M. Bellman**

Four Elements of the Change Dynamic

The Four Elements of the Change Dynamic are:

- **Is**
- **Want**
- **Players**
- **You**

FOUR ELEMENTS OF THE CHANGE DYNAMIC: To understand how to manage change, one needs to understand how change works. Geoffrey Bellman has created a model of the key elements of what he labels the "change dynamic."[1] Bellman's model helps us develop a better understanding of the circumstances and interactions that are required for change to take place.

The first requirement for change is a desire for something to be different. There is a gap between what currently exists and a preferred future. There is also a desire to close the gap. Bellman labels these the "is" and the "want."

Another element is all the people who either want or do not want to close the gap. These are called the "players." The players may be supportive of change, opposed to it, or neutral. What the players have in common is that they are all potentially affected by the proposed change(s). The way in which players are potentially affected will vary. The way in which some players perform their duties may be directly affected. Equally important to consider are the players who might be indirectly affected. Even when a person's job duties are not directly affected by the proposed change, something as simple as the way in which their expertise is used or the way they must interact with those affected can create concerns.

Finally, the fourth element of change is you. You are distinguished from the other players because you want to make a change. You are the catalyst for the change process. Bellman's model is illustrated in figure 1 below.

The Four Elements of Dynamic Change

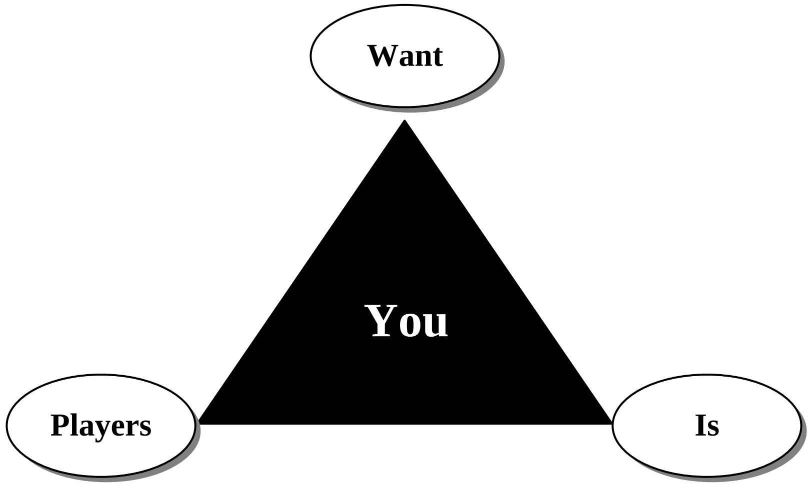


Figure 1 demonstrates the four elements of Geoffrey Bellman's model of dynamic change.

Note that *you are in the center of the triangle*. The model assumes that you have taken responsibility for the gap between the current state of affairs and the desired future and are willing to serve as the change catalyst. It does not mean you have the solution for what is needed but that you understand the need for change and are willing to work hard to gather all the affected players to develop the best possible solution. Many people may be aware of the gap but you are the force that is willing to bring the elements together to bridge it.

Ask questions about each of the dynamic change elements to deepen your understanding of the situation.

CLARIFY EACH CHANGE ELEMENT: By asking questions about each of the elements, you can deepen your understanding of what potential for change exists in your circumstances. Too often we assume that we know what the problem is and what the best solution is. This often leads us to develop solutions that do not work. This in turn deepens the fear of change in others throughout the organization. Questions that might deepen your understanding include:

WANT:

- What do you want?
- What do the other key players want?
- How do the wants differ? Overlap?
- What do the various wants have in common?
- How does this align with the organization's current vision, mission, values, and goals?

IS:

- What are the boundaries of the situation?
- How do the various players describe what exists right now?
- How do the descriptions of what "is" differ? Overlap?
- How would you describe the present situation?

PLAYERS:

- Who are they?
- What are the various investments aiding or blocking movement from "is" to "want"?
- What power do the players feel they have to change or to maintain the "is"?
- What special talents or resources do they possess?

YOU:

- Why are you invested in making this change happen?
- What special talents or resources do you bring?
- How well do you work with the various players?
- How do your "wants" fit with the players' "wants"?

> **Simply put, effective change begins when leaders begin to change themselves.**
>
> **-- James O'Toole**

The Change Process Begins with You

Corrections managers and supervisors have been taught a wide range of "change management" techniques. Techniques such as total quality management, re-engineering, learning organizations, and many others are often presented as tools that will help managers and supervisors overcome their subordinates' resistance to change. These tools and strategies can be very helpful but they often overlook a critical underpinning of change management. To effectively manage change requires a willingness to change oneself.

The focus on overcoming the resistance of others fails to identify the essential truth that the greatest impediment to change is often not the other players but oneself! Many managers and supervisors will opine about why their subordinates and bosses "resist change." The fact is that organizations, like people, typically resist change. Resistance to change is normal. As people we naturally object to having the will of someone else imposed upon us. Resistance to change is prevalent in all levels of any organization. Given the natural resistance to change, a critical question is posed by James O'Toole when he asks, "Why do leaders fail to do the things necessary to overcome their followers' natural resistance to change?"[2] Overcoming the resistance to change in others begins with an understanding of oneself.

Requirements for Effective Change Management

To effectively lead and manage change requires the ability to know oneself well enough to:

- Listen with Intent
- Understand Your Values and Motives
- Submerge Your Ego
- Be Flexible

Listen with Intent

LISTEN WITH INTENT: It is a rare manager or supervisor who knows how to listen at a deep enough level to gain understanding of the real organizational and personal challenges and opportunities. Effective change agents listen not just to what is being said but also to body language and what is not said. True active listening pushes for the deeper meaning of words and behavior. Listening with intent helps a manager or supervisor understand the true "wants" of his or her constituents. A manager or supervisor who wants to see his or her changes implemented listens carefully to understand the intentions and needs of other players.

Understand Your Values & Motives

UNDERSTAND YOUR VALUES AND MOTIVES: To be an effective force for change requires understanding why you truly want something to be different. Is it really in the interest of the organization or is it for personal gain? Do you resist an idea because it is not a good one or because you do not like the person who suggested it? Often managers and supervisors fail to examine their own values to determine the underlying motivation behind their desired change or resistance.

Submerge Your Ego

SUBMERGE YOUR EGO: Knowing when to step out of the way and let go of your idea or proposal is a valuable skill in finding solutions that meet the needs of the critical players. This requires an ability to change one's behavior to achieve the greater good or long-term objective. One must be able to let go of ownership. Great change can be accomplished if you are less interested in receiving recognition than in achieving implementation.

Be Flexible

BE FLEXIBLE: A common complaint of line staff and less astute supervisors is that the senior managers do not stay the course but change their minds often. It can appear (and sometimes may be) that senior staff focus only on what is politically viable. It also may be that they have learned that there are many potential solutions to problems and the best solution is the one that is stable and lasting. To craft a stable and lasting solution requires a willingness to modify one's behavior and to remain detached from any one solution to a problem. Remaining flexible regarding what may be a more viable solution is key to implementing change.

These are skills and abilities that can be learned, but are often attributes that managers and supervisors lack or have not fully developed. They are rarely viewed as the skills, abilities, and attributes needed to manage change. Managing change is typically thought of as articulating a vision and finding ways to get others to buy into the vision. Articulating a vision of the needed change and getting buy-in are outcomes. These outcomes are rarely achieved by managers and supervisors who lack the self-awareness necessary to shape and implement viable solutions that can endure.

II. The Change Process

> **They always say time changes things, but you actually have to change them yourself.**
> **-- Andy Warhol**

Eight Steps to Transforming Organizations: The Change Process in Action

TRANSFORMING ORGANIZATIONS: A model that provides concrete steps for organizational change is John Kotter's "Eight Steps to Transforming Your Organization." While Kotter often speaks of large-scale organizational change, the principles of his model also apply to smaller unit or division change. Within the steps of Kotter's model, the work of other change experts will be used to highlight meaning or to provide examples. The steps of Kotter's change process are highlighted in Figure 2 below.

Eight Steps to Transforming Your Organization

Establishing a Sense of Urgency
1

Examining market and competitive realities

Identifying and discussing crises, potential crises, or major opportunities

Forming a Powerful Guiding Coalition
2

Assembling a group with enough power to lead the change effort

Encouraging the group to work together as a team

Creating a Vision
3

Creating a vision that helps direct the change effort

Developing strategies for achieving that vision

Communicating the Vision
4

Using every vehicle possible to communicate the new vision and strategies

Teaching new behaviors by the example of the guiding coalition

Empowering Others to Act on the Vision
5

Getting rid of obstacles to change

Changing systems or structures that seriously undermine the vision

Encouraging risk taking and nontraditional ideas, activities, and actions

Planning for and Creating Short-Term Wins
6

Planning for visible performance improvements

Creating those improvements

Recognizing and rewarding employees involved in the improvements

Consolidating Improvements and Producing Still More Change
7

Using increased credibility to change systems, structures, and policies that don't fit the vision

Hiring, promoting, and developing employees who can implement the vision

Reinvigorating the process with new projects, themes, and change agents

Institutionalizing New Approaches
8

Articulating the connections between the new behaviors and corporate success

Developing the means to ensure leadership development and succession

Figure 2. Adapted from Kotter's *Leading Change: Why Transformation Efforts Fail.* [3]

1. Establishing a Sense of Urgency

ESTABLISHING A SENSE OF URGENCY: Kotter argues that half of all change efforts fail at the start. The cause of this failure is that those who need to change are not motivated to do so. In other words, they do not believe the proposed change(s) are necessary. Managers and supervisors spend a great deal of time analyzing and attempting to understanding the "want," what "is," and the "players." By the time a manager or supervisor has decided to be a force for change, he or she believes fully in the need for the change. Because of their own passion, it is easy to forget that others are not so convinced of the need for the change.

Sell the problem before the solution.

It is essential to create a sense of urgency for the change. The majority of the affected players must not only understand the change, but also want it. William Bridges offers sage advice when he says to sell the problems before the solutions.[4] The most common reason people resist change is that they do not understand the purpose behind it. Another common reason for resistance is the belief that the proposed change is a criticism of the current way things are done.

The most common reason people resist change is that they do not understand the purpose behind the change.

Players will be more open to potential change that they believe is genuinely needed. They must understand the purpose behind the change and they must see that the manager or supervisor is genuine in his or her belief that the change is necessary. They must see consistency between the manager or supervisor's proposed change(s) and what values they see the manager or supervisor live each day.

That is not to imply that the manager or supervisor must have all the answers. Most players react better to hearing that certain details have not been worked out or there are unclear issues than to being told nothing. Genuine, honest communication is best, even if it is simply to say that you do not know.

2. Forming a Powerful Guiding Coalition

FORMING A POWERFUL GUIDING COALITION: Depending on the scope of the proposed change, a guiding coalition will cut across the organizational hierarchy or remain within a division or unit. In either case, some group is needed to shepherd the change process. The *shepherds* must be able to listen to and influence all the players affected by the proposed changes. They must tend the flock and ensure that no one wanders too far off track. They keep the affected players informed and engaged in the change process.

The coalition needs to function as a high performing team. Information regarding how to build a team is located in the Team Building competency. This team must be empowered to help shape the proposed change(s), create a viable implementation plan, and communicate the vision to the affected players.

There are four key characteristics to effective guiding coalitions.[5]

- **Position Power:** There are enough key players on board so that those not participating cannot easily block progress.
- **Expertise:** The needed skill sets are present to make the best informed decisions.
- **Credibility:** The group has enough people with good reputations that it will be taken seriously.
- **Leadership:** The group has proven leaders who can drive the change process.

3. Creating a Vision

CREATING A VISION: Understanding the purpose of a change is essential, but players immediately move on to wanting to know what the change will look like. Players need to be able to imagine how life will look after the change. They need tangible images of the future to help them translate the idea into a picture. Players also need to hear what the strategies for making the change will be.

> **After a purpose, a picture.**
>
> **--William Bridges**

4. Communicating the Vision

A magnificent and compelling vision, poorly communicated, will fail. Communication is not just about explaining the vision, it is about developing rapport and trust.

In corrections, managers and supervisors often under-communicate, both in terms of quantity and quality. Workload, lack of resources, shift work, and the hierarchical nature of corrections make it difficult to communicate effectively with others. One simple guide for how much communication is needed about a potential change is, the more disruption and behavioral change required, the greater the need for communication. A memo, e-mail, or verbal explanation is not adequate for more complex change. Several forms of communication will be required to explain the purpose before any issues of implementation can even be considered. Adults learn differently, so ensuring that the meaning behind the proposed change is communicated in different formats increases the number of people who will be reached.

Guidelines for effectively communicating the vision include:

- **Repeat and repeat again.** A rule for implementing a simple change is to communicate it three different times in three different ways. Complex changes require more repetition. Try to address different learning styles by meeting visual, auditory, and kinesthetic needs.

- **Use metaphors, analogies, and examples.** Be sure these are from a frame of reference that your audience will understand. The simpler they are, the better. The goal here is to give your audience a simple way of understanding something more complex.
- **Walk the talk**. If you are asking for budget cuts, then cut your budget first. Actions impress more than words, so model the behavior you expect.
- **Use different communication vehicles:** group meetings, newsletters, shift changes, informal one-on-one, audio/video presentations, e-mail, memos, posters, etc. Remember the rule of three; make it be seen, heard, and experienced.
- **Explicitly Address Seeming Inconsistencies.** If there are any areas where the proposed vision conflicts with current behavior, address it. Explain why this is the case.

5. Empowering Others to Act on the Vision

EMPOWERING OTHERS TO ACT ON THE VISION: If everything were working optimally, this change(s) would not be needed. By virtue of the fact that it is needed, there are likely to be other areas that might impede your effort to make change. Four steps that a manager or supervisor can take to support employees' efforts to implement change are:

- **Make structures support the change**. Do your operational policies and practices create any barriers to implementing the change? How might they need to be changed?
- **Provide needed training.** Training more than almost any other activity will help staff get over resistance to the change. Yet, training is often not provided or is so cursory as to be meaningless.
- **Align information and personnel systems.** Do your personnel and information systems support the proposed change(s)?
- **Confront those who undercut change.** Failure to confront those who knowingly and willfully block the change will stymie support from other players.

6. Planning For and Creating Short-Term Wins

PLANNING FOR AND CREATING SHORT-TERM WINS: Consciously creating milestones and events to celebrate is an effective way to keep the change momentum going. Ellen Schall, a recognized corrections expert, speaks of "chunking the work" and "celebrating small wins." By this she means setting concrete and doable goals. If change is to take hold, employees have to be a part of it and they need to see progress. Kotter says a good short-term win has three characteristics:

- It's visible. People can see for themselves that it is real.
- It's unambiguous.
- It is clearly related to the change effort.

> **Never underrate the importance of visibly appreciating others and their efforts.**
>
> **--Joan Nicolo, Computing Resources, Inc.**

Another reason for short-term wins is to create opportunities for success and celebration. This is a way to link rewards with performance. Consciously planning for opportunities to celebrate is part of the guiding coalition's job. This is not a hoped for activity but something that is planned for. All who are invested in the change must seek out opportunities to reward those who are making the change happen.

For the celebration to have the desired effect, it must be done in the way that is most meaningful to the individual or group being honored. This assumes that the manager and other leaders know the players well enough to determine what would be meaningful to them. Would it be an honorary plaque or being served lunch, or receiving a desirable assignment? Would it be a public or private acknowledgement? Kouses and Posner, in *The Leadership Challenge*, do an excellent job of providing ideas on how to celebrate and "encourage the heart."

7. Consolidating Improvements and Producing Still More Change

CONSOLIDATING IMPROVEMENTS AND PRODUCING STILL MORE CHANGE: Beware of declaring victory too soon. It takes years for even a moderate change to take hold. Without ongoing monitoring and support, things can quickly slip back into the "old way of doing things." Creating monitoring systems is essential to prevent this. The leadership for monitoring the on-going implementation of the change(s) must reside with someone who has the time, power, and passion to ensure that erosion does not occur.

8. Institutionalizing New Approaches

INSTITUTIONALIZING NEW APPROACHES: Organizational culture is typically composed of many unspoken values and norms. No matter what the articulated values are, there are often competing values and interests in any corrections setting. New employees often learn shared values and norms by observing how more senior employees perform their jobs. Organizational values may persist over time even when staff changes occur.

Resistance to a proposed change will increase in direct proportion to the degree of cultural change required.

Organizational culture is therefore a powerful force and one that greatly influences staff behavior.

The final stage of organizational change is to anchor the change in the culture. Changing a unit or organization's culture is a difficult and challenging process. The magnitude of resistance to a proposed change will increase in direct proportion to how much cultural change is required. If the level of cultural change is great, resistance will be greater. The converse also holds true. As a manager or supervisor, you can require a change in behavior and if, over time, employees see a benefit to the change, they will find a way to make it fit with the culture or will change the culture.

Kotter offers the following insights into how change becomes part of the organizational culture:

- **Comes last, not first:** Most alterations in norms will follow the change.
- **Depends on results:** If the change has a benefit, the new approach will usually be incorporated into the culture.
- **Requires a lot of talk:** People often require verbal instruction and support to admit the validity of the change.
- **May involve turnover:** Sometimes you have to change key people to change the culture.
- **Decisions on succession are crucial:** If promotion practices are not made compatible with the new change(s), the old culture will reassert itself.

III. Managing Transitions

Moving from "IS" to "WANT"

MOVING FROM "IS" TO "WANT": The greatest challenge in managing change is not discerning what needs to change but managing the transition from "what is" to "what is desired." While Kotter provides a useful framework for organizing a change process, William Bridges focuses our attention on how to manage the human side of change. Bridges helps us to understand the emotional impact of change and how to manage the transition from "is" to "want."

> **Before you can begin something new, you have to end what used to be.**
>
> **-- William Bridges**

Bridges points out that before you can begin, you must end. As human beings, we must transition from what we are losing before we can embrace what we are beginning. It is not unlike graduating from high school. You have complained for most of your senior year that you are bored and can't wait to leave home. Now it is graduation day and you are elated. Yet you suddenly feel nostalgic. You remember all the good times you had with your friends and the teachers who made a difference to you. You feel a twinge of regret and fear as you look ahead to the next stage of your life. Amazingly, you feel a hint of sadness. This is the ending that must occur before you can move into something that you very much want. Now imagine having to let go of something that seems to work quite well for you and having no idea if the new something will work at all! There will no doubt be greater resistance to this ending.

Three Stages of Transition

> **Change has a considerable psychological impact on the human mind. To the fearful it is threatening because it means that things may get worse. To the hopeful it is encouraging because things may get better. To the confident it is inspiring because the challenge exists to make things better.**
>
> **King Whitney Jr., President, Personnel Laboratory, Inc.**

Three stages of Transition:

- **Ending**
- **Neutral Zone**
- **Beginning**

THE THREE STAGES OF TRANSITION: As previously noted, before we can begin we must end. The ending is usually followed by what Bridges calls the *neutral zone*, a time when we have not fully left the old behind and have not fully embraced the new. Ultimately we pass into the beginning of the new or the change. If managers and supervisors understand these three stages of transition, they can support people to move through the phases. In fact, the change process on an emotional level is not unlike the grieving process defined by Elizabeth Kubler Ross. Just as one moves through the grieving stages of denial, anger, bargaining, and depression into acceptance, so one might move through these stages during the change process.

Ending ➯ Neutral Zone ➯ Beginning

Ending

ENDING: Understanding the impact of an ending, even something as simple as giving up a familiar form or a minor change in protocol, requires a willingness to understand the perspective of the affected player. It requires a manager or supervisor to function not only on an intellectual level but also on an emotional level. First one has to acknowledge that there is a loss for the affected player.

Understanding the impact of an ending requires a willingness to understand the perspective of the affected player.

For example, the elimination of a form seems straightforward enough. Why would anyone experience a loss over something so seemingly insignificant? A skilled change agent would watch and listen to understand why there might be resistance to such an obviously innocuous change. If the manager or supervisor remains detached, he might hear that there is a loss because some of the staff worked hard on a committee to create that form. They have pride and ownership in it. Others might resist the change not because of the form but because of what it symbolizes, more change in an agency suffering from organizational fatigue. There are many reasons why such a seemingly minor change could generate resistance.

Guidelines for responding to endings include:

- Describe in detail what is going to change.
- Determine if this will cause secondary changes.
- Identify who is going to have to let go of something.
- Acknowledge what is "over" for everyone.

A skilled change agent does not argue about the validity of a loss.

Perhaps most challenging when attempting to understand loss is the willingness to suspend judgment. A skilled change agent does not argue about the validity of the loss and is willing to accept the reality and importance of the loss for the affected players. Often one discovers that there is history or information that was not fully understood.

Guidelines for helping affected players with an ending include:

- Listen. Do not argue.
- Do not be surprised by overreaction.
- Acknowledge the losses openly and sympathetically.
- Treat the past with respect.
- Show how endings are necessary to move forward, ensuring the continuation of what the players value and supporting the mission.

Attempt to compensate for the loss.

There are ways a manager or supervisor can compensate for a loss. In the forms example, the manager or supervisor could enlist the staff to help craft the replacement system for the form. The more that can be given to replace the loss, the easier the transition will be.

Compensation. What can you give back?

- Turf
- Status
- Recognition
- Team Membership

> **It is not so much that we're afraid of change or so in love with the old ways, but it's that place in between that we fear.... It's like being between trapezes. It's Linus when his blanket is in the dryer. There's nothing to hold onto.**
>
> **--Marilyn Ferguson, American Futurist**

Neutral Zone

During the high-stress Neutral Zone it is helpful to:

- Create temporary systems

NEUTRAL ZONE: There is typically a time when the old systems have not yet ended, and the new have been announced but not implemented. This is what Bridges labels the "neutral zone." It is often a time of confusion. The procedures to implement the policies are not yet written. The systems needed to support the change are delayed. There are countless ways that a change effort can be thwarted prior to and during implementation. A manager or supervisor can do several things to help create normalcy for people in this high anxiety time. They include:

- **Create Temporary Systems**
  - Try not to add other changes in the system while you are bringing on this change.
  - Use a transition monitoring team.
  - Review policies and procedures to see if you need some patches to carry you through.
  - The normal hierarchy often fails at this time; do you need some special "acting positions?"
  - Have clearly identified short-term wins.

- Don't promise great things in the beginning; plan a slow start up.
- Provide any special training that is needed.

- Clarify Roles

➢ **Clarify Each Part in the Play**

- People need to know how they fit into the outcome.
- What is the role they play in the transition?

- Have a Transition Management Plan

➢ **Establish a Transition Management Plan**

- Start where the players are, not where you are.
- Work forward step-by-step.
- Address the "people needs" in the plan, as well as the operational needs.

Beginning

CELEBRATE!!

BEGINNING: It is helpful to celebrate the ending and launch the beginning. If you are implementing a new financial system, the day you finally have it up and running, have a small lunch or give out small awards. People need to be appreciated for surviving the transition!

The Four P's of Beginning:

- Purpose
- Paint a Picture
- Plan
- Part in the Play

A simple way of organizing what needs to be done in the beginning phase is to remember:

➢ **Purpose:** Explain it over and over again.

➢ **Paint a picture:** It helps people to understand how the outcome will look and feel.

➢ **Plan:** Create a phased-in plan that clearly outlines steps in the process.

➢ **Part in the play:** Give everyone a role to play in the process so they have ownership and can contribute.

Summary

Knowledge

To effectively manage change requires understanding of self and others. It requires a willingness to step into the world of those potentially affected by the change, to attempt to understand how they feel and what can be done to transition them from an ending to a beginning. It is a process that requires the tenacity to stay the course from ending to beginning to institutionalization.

Understanding that resistance to change is normal for all of us increases our chances of creating an effective change process. The change process must be designed to address the fear, angst, and turmoil that are often a part of it. The guiding coalition must be able to articulate the urgency for the change and frame it so others can understand it. Existing structures and systems must be examined to ensure they are not impediments to the change and short-term wins must be planned and celebrated. Finally, when all seems to be going well, attention must be paid to ensuring that the change is fully integrated into the organizational culture so backsliding does not occur.

Change is not for the faint of heart. It requires tenacity and a willingness to listen and to learn. It requires respect and trust - respect for those impacted by the change and trust that both the leader and the led are working for the organizational good.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

Understanding the Change Dynamic

Skill: Understanding how change works.

Behaviors:

- ✓ Identify what you want.
- ✓ Identify the other players and their characteristics.
- ✓ Describe the current situation from your perspective and that of other players.
- ✓ Clarify why you are invested in this change and how your interest(s) fit with those of other players.

Skill: Listening with intent.

Behavior:

- ✓ Actively listen to others to understand their views and feelings.

Skill: Understanding your values and motives.

Behavior:

- ✓ Clarify your values and motives so you can articulate them to other players.

Skill: Submerging your ego.

Behavior:

- ✓ Develop the capacity to make the change effort a higher priority than your need for ownership or recognition.

Skill: Being flexible.

Behavior:

- ✓ Remain detached from any one solution to a problem.

The Change Process

Skill: Establishing a sense of urgency.

Behaviors:

- ✓ Create a compelling case for why the change is needed.
- ✓ Communicate in as many ways as possible.

Skill: Forming a powerful guiding coalition.

Behaviors:

- ✓ Assemble a team that is respected enough to be able to craft and sell the change.
- ✓ Support the team with resources.
- ✓ Provide encouragement and appreciation for the team's efforts.

Skill: Creating a vision.

Behavior:

- ✓ Describe the end point and the strategies for achieving it.

Skill: Communicating the vision.

Behaviors:

- ✓ Identify multiple strategies for communicating the change.
- ✓ Communicate often.
- ✓ Find multiple avenues for input by those affected.

Skill: Empowering others to act on the vision.

Behavior:

- ✓ Remove obstacles to change and create opportunities for players to risk and to innovate.

Skill: Planning for and creating short-term wins.

Behavior:

- ✓ Identify short-term milestones and the best way to celebrate them.

Skill: Consolidating improvements and producing still more change.

Behavior:

- ✓ Change systems and people who do not support the vision.

Skill: Institutionalizing new approaches.

Behaviors:

- ✓ Explain why the change promotes unit/division/agency success.
- ✓ Monitor the change to ensure staff do not revert to old ways of doing business until the change becomes part of the organizational culture.

Managing Transitions

Skill: Understanding what is ending for affected players.

Behaviors:

- ✓ Listen without judgment to learn what affected players are losing and how past history impacts this change effort.
- ✓ Acknowledge the losses openly and sympathetically.
- ✓ Show how endings ensure continuity of what really matters.

Skill: Compensating for losses.

Behavior:

- ✓ Find ways to give back turf, status, recognition, and/or team membership.

Skill: Reducing confusion and managing the transition period effectively.

Behaviors:

- ✓ Create temporary systems to provide support through the transition period.
- ✓ Help people understand their roles during the transition period and after change(s) are implemented.
- ✓ Help people understand how the outcome will look and feel; clarify and celebrate their role in it.

FOCUS FOR MANAGERS AND SUPERVISORS

MANAGING CHANGE	MANAGERS	SUPERVISORS
Managing change is the art of anticipating the need for and leading productive change. When we speak of change, it is assumed that it is desirable to move from where we are to a different place. There is a gap between what we have and what we want. To move ourselves and others to a different place in an organization requires an understanding of the change process.	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managerial positions:** ➢ Corrections Unit or Program Manager ➢ Deputy Jail Administrator ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	This individual generally manages the staff that works directly with the client or constituent group. He or she also makes recommendations to improve systems and service delivery and monitors for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisory positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Understanding the Change Dynamic	The manager must: ▪ Develop an understanding of his or her motives for making change. ▪ Identify potential impact of the proposed change(s) within his or her span of control. ▪ Identify potential impact of the proposed change(s) outside of his or her unit. ▪ Develop active listening skills. ▪ Learn to be flexible with regard to possible	The supervisor must: ▪ Develop an understanding of his or her motives for making change. ▪ Identify potential impact of the proposed change(s) within his or her span of control. ▪ At this level the focus is primarily within the supervisor's span of control but thought should be given to possible external impact. ▪ Develop active listening skills.

MANAGING CHANGE	MANAGERS	SUPERVISORS
	solutions. ▪ Learn to put his or her needs second to achieving the goal.	▪ Learn to be flexible with regard to possible solutions. ▪ Learn to put his or her needs second to achieving the goal.
2. The Change Process	▪ Create a compelling case for why change is needed and the best team to guide the process. ▪ Clearly describe the goal and how it will impact other players. ▪ Create many different ways to communicate the change(s). ▪ Identify ways for other players to be a part of the solution. ▪ Identify milestones and celebrate them when achieved. ▪ Monitor the changes to ensure that they become part of the culture of the division or unit.	▪ Create a compelling case for why change is needed and the best team to guide the process. The scope of change may be narrower for a supervisor so a team may not be the best vehicle for implementing and monitoring the change. ▪ Clearly describe the goal and how it will impact other players. ▪ Create many different ways to communicate the change(s). ▪ Identify ways for other players to be a part of the solution. ▪ Identify milestones and celebrate them when achieved. ▪ Monitor the changes to ensure that they become part of the culture of the unit.
3. Managing Transitions	▪ Show others that you understand what is ending for them and help them understand that while some things are ending, the change helps the division or unit fulfill the organization's mission. ▪ Find ways to compensate for losses experienced by the players. ▪ Develop any temporary systems needed to get through the transition period. ▪ Help people understand their role in the transition period and honor their contribution.	▪ Show others that you understand what is ending for them and help them understand that while some things are ending, the change helps the unit fulfill the organization's mission. ▪ Find ways to compensate for losses experienced by the players. ▪ Develop any temporary systems needed to get through the transition period. ▪ Help people understand their role in the transition period and honor their contribution.

REFERENCES

Bellman, Geoffrey, M. (1992). *Getting Things Done When You are Not in Charge*. San Francisco: Brett-Koehler Publishers, Inc.

Bridges, William. (1993). *Managing Transitions.* Cambridge: Perseus Books.

Kotter, John, P. (1996). *Leading Change.* Boston: Harvard Business Press.

Kouses, James M. and Barry Z. Posner. (2002). *The Leadership Challenge.* San Francisco: Jossey Bass.

Moss Kanter, Rosabeth. (1983). *The Change Masters.* New York: Simon and Schuster.

O'Toole, James. (1996). *Leading Change: The Argument for Values-Based Leadership.* New York: Ballantine Books.

Schall, Ellen. (1995). "Notes from a Reflective Practitioner of Innovation," in Alshuler and Behn, *Research in Innovation in State and Local Government.* Washington, D.C.: The Urban Press Institute.

RECOMMENDED READING

Bellman, Geoffrey, M. (1992). *Getting Things Done When You are Not in Charge*. San Francisco: Brett-Koehler Publishers, Inc.

Bridges, William. (1993). *Managing Transitions.* Cambridge: Perseus Books.

Harvard Business School (2000) “Leading Change: Why Transformation Efforts Fail”. *Harvard Business Review.* (Product number, X95204) Boston: Harvard Business School Publishing.

Kouses, James M. and Barry Z. Posner. (2002). *The Leadership Challenge.* San Francisco: Jossey Bass.

Meyerson, Debra E. (2001). *Tempered Radicals.* Boston: Harvard Business School.

Endnotes

[1] Bellman, Geoffrey. (1992). *Getting Things Done When You are Not in Charge.* San Francisco: Brett-Koehler Publishers, Inc. P. 24.

[2] O'Toole, James. (1996). *Leading Change: The Argument for Values-Based Leadership.* New York: Ballantine Books. Preface P. xi.

[3] Adapted from John P. Kotter, *Leading Change: Why Transformation Efforts Fail*. Harvard Business Review, X95204

[4] Bridges, William. (1993). Managing Transitions. Cambridge: Perseus Books. P. 53.

[5] Adapted from Kotter, John, P. (1996). Leading Change. Boston: Harvard Business Press. P. 57.

PROGRAM PLANNING AND PERFORMANCE ASSESSMENT

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

Cindi Yates

PROGRAM PLANNING AND PERFORMANCE ASSESSMENT

Definition of Program Planning and Performance Assessment

PROGRAM PLANNING AND PERFORMANCE ASSESSMENT:

Program Planning: A program plan is a comprehensive plan that provides leadership, direction, and resource prioritization to ensure the intended results of a program are achieved. A program plan must link to and support the agency strategic direction.

As resources become more limited, planning becomes more critical in order to:

- Target limited resources to the most important results
- Target limited resources to the most effective strategies

Program Performance Assessment: Program performance assessments describe how success in achieving goals 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 goal?" Analyzing the gaps between current performance levels and performance targets helps organizations identify priority areas needing improvement, develop strategies that will close the gap, and identify best practices that can be applied throughout the organization.

Knowledge Base

> **If you don't know where you are going, you might wind up someplace else.**
>
> **--Yogi Berra**

Why is this competency important?

Performance assessments define success and make it possible to track progress.

Managers and supervisors need information to evaluate and make decisions about the programs they oversee – information that tells them whether the intended results are being achieved. Performance measurement and program evaluations are two methods used to measure program success.

An aspect of effective leadership is the decision-making process: how key decisions are made, communicated, and carried out at all levels of an organization. It is based on shared values, expectations, and purposes; communicated and reinforced among leaders, managers, and supervisors; and evident in the actions of the organization. Effective leadership must display clear vision and set the expectations for performance and performance

Program planning and performance assessments are valuable tools for leaders to set agency direction and performance expectations.

improvement. Program planning and performance assessments are valuable tools for leaders to set organizational direction, performance expectations, customer focus, and a leadership system that promotes performance excellence. They are also useful tools when trying to communicate agency intent and direction to regulatory and funding resources.

Effective program planning and performance assessment identify the program's contribution to the agency mission.

These materials are intended to provide a common framework for the development and implementation of a program plan in a correctional setting. A program plan is a comprehensive plan that aligns program resources with the agency's priorities, mission, and vision. In addition, these materials provide a consistent set of definitions for performance measurement and evaluation of programs.

I. Linking the Program to the Agency Strategic Direction

The program plan provides answers to key strategic management questions.

A program plan can be developed at the division, regional, functional, office, or work unit level. For the purpose of this document, the reference to a program plan can be interchanged with the appropriate planning unit for the organization. If the broader agency vision and mission have been defined, the proposed program should support them. Whether called strategic planning, business planning, or something else, a successful manager or supervisor needs to develop thorough answers to these critical questions:

- How does this program support the agency strategic direction?
- Where do we want our program to be in relation to the agency strategic direction?
- Where is our program today?
- How do we intend to close the gap between where we are and where we want to be?

Cascading the Agency Strategic Direction

Cascading the goals and strategies aligns the agency around a set of common goals.

Cascading the agency strategic direction is a process to align the entire organization to achieve the agency vision, mission, and goals. Each appropriate organizational or functional unit (division, program, region, work unit, etc.) should develop goals and strategies that align with the agency goals and strategies. Each manager or supervisor should work with his/her direct reports to develop goals and strategies that align with the region, function, or program goals until the goals are cascaded to the front-line personnel. The result is that everyone in the agency knows what he/she can do to contribute to the overall agency goals. Through the process of cascading the goals, the direction is set, linkages are created, and targets are established so the mission of the agency is achieved.

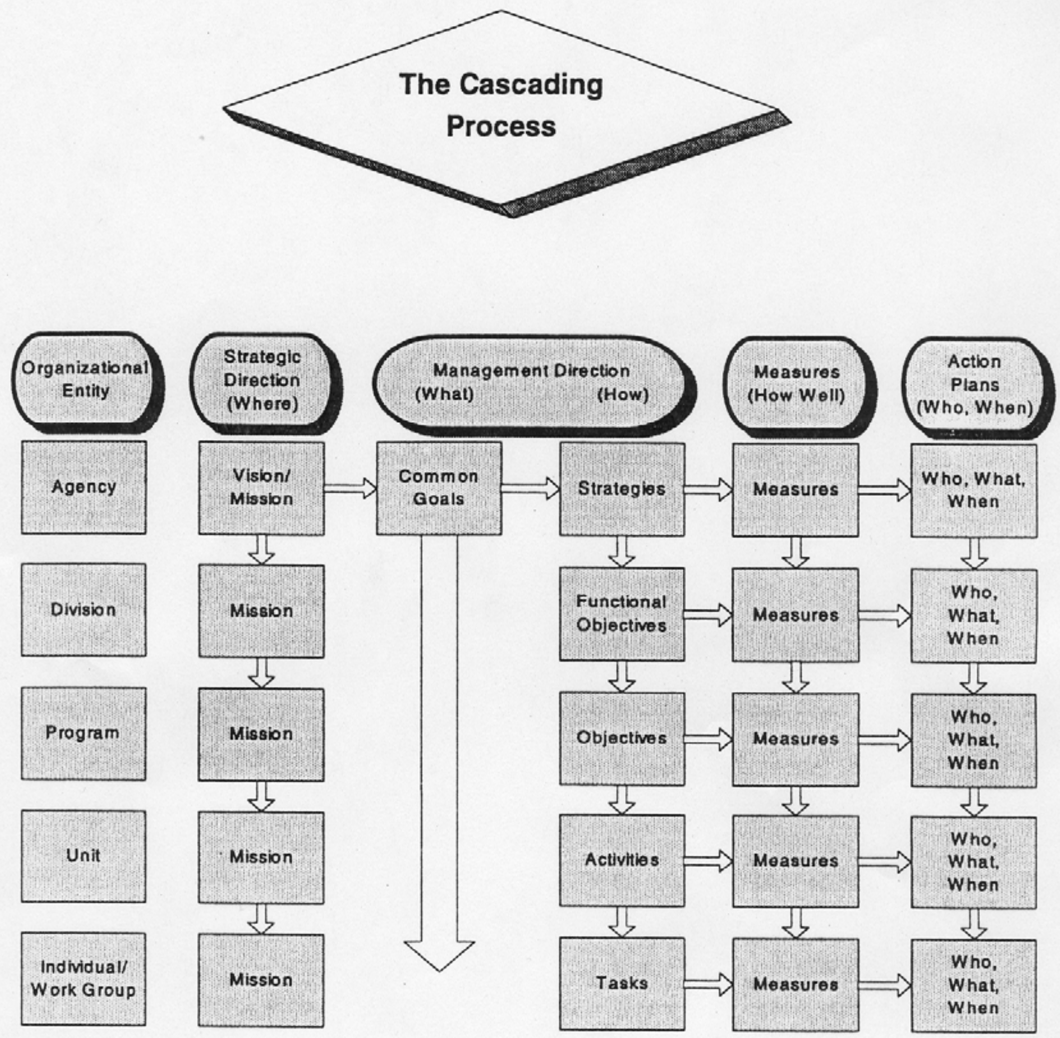
The value of cascading the goals and strategies is to align the agency around a set of common goals. It provides a common language and drives cross-functional teamwork and prioritization of activities. All efforts of the agency will then become focused around common goals.

There is no one set way to create goals and strategies. By participating in the cascading of goals and strategies, all employees will be able to determine the jobs, tasks, or areas that their work groups agree need attention in order to better support the goals. It is vital that group discussions with managers and supervisors provide an opportunity for dialogue and sharing among all levels of staff. Goals and strategies are established for each area and the development of goals and strategies for related areas is agreed upon. Through these group discussions, only a handful of top priorities needing attention are selected. This requires that everyone discuss what gets done in their office and the value each person adds to the agency.

Employee performance evaluations can also be aligned so they are consistent with the cascaded goals and strategies. The reinforcement of common goals with evaluation, reward, and recognition drives accountability throughout the organization and will be reflected in program results.

Greatness is not where we stand, but in what direction we are moving.

--Oliver Wendell Holmes



This diagram shows how the strategies cascade to functional goals, and then to objectives/goals at the program level. As you move down to the unit and individual/work group level, individual activities and tasks are identified.

Figure 1. The Cascading Process aligns the entire organization to achieve the agency vision, mission, and goals.

There are many methods to develop a program plan and each organization must tailor the process to meet its organizational needs. The degree to which an agency sets a strategic direction through its planning efforts varies by organization. These tools are flexible to address varying organizational needs.

The Planning Document

Components of the Planning Document

COMPONENTS OF THE PLANNING DOCUMENT: The components included in the planning document will vary by organization. An important goal when deciding which components to include is the development of a plan that is simple, easy to read, and interesting to the target audience. A program plan can be a valuable communication tool both inside and outside the organization and to initiate change within the agency.

Common building blocks for planning include:

- Internal and External Assessment
- Vision (usually the vision is established at the agency level and not the program level)
- Mission
- Goals
- Strategies/Initiatives
- Financial Plan
- Performance Measures
- Program Evaluation

There are many possible frameworks for planning. Each organization must select the building blocks and framework that meet its organizational needs. However, using consistent definitions and involving the right people in each step to achieve organizational buy-in and ownership are critical to success. These materials provide a set of definitions and examples for each building block and provide recommendations and strategies for the development of each building block.

These recommendations are just one method to develop a program plan. The process chosen will likely change with each plan the organization develops. When the agency strategic direction is very specific, then a top-down approach to program planning is useful. If this is not the case, using a bottom-up approach, including line staff doing the work to recommend solutions to organizational challenges, is the most beneficial. The recommendations provided include a top-down approach for some of the components and a bottom-up approach for others.

External and Internal Environment

Assess the External and Internal Environments

The first step in planning is to assess the **external and internal environments.** Ideally, the plan is created through a data-informed process that begins with a scan of these environments. It is important for decision makers to understand the environment in which the agency's programs must operate. For example: Is the offender population growing? How are the characteristics of the offender population changing (i.e., females, youthful offenders, drug offenders, violent offenders)? For what challenges and issues does the organization need to be prepared in the future? It is also important to assess the internal environment of the organization. This assessment includes 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 threats or opportunities (also known as SWOT analysis). From this analysis, a program can identify critical issues, risks, challenges, and opportunities that must be addressed through strategies implemented during the period covered by the program plan.

Program plans should either be linked or aligned with capital and operating budgets. The internal assessment will identify emerging issues related to the agency capital and technology needs. Changes in customer expectations, program strategies, facility age, offender populations, and government initiatives may significantly change a program's facility and technology infrastructure requirements.

Vision Statement

Vision Statement

The vision statement gives an image of the overall direction of the program; it states what the program aspires to do or become. A vision should be strategic, lofty, and inspiring. Not all programs establish a vision, especially if the agency has set a very clear organizational vision.

Examples:

- Working together for safe communities.
- We see a fair, just, and safe society where community partnerships are restoring hope by embracing a balance of prevention, intervention, and advocacy.
- Provide service, support, and solutions.

Developing a Vision Statement

RECOMMENDATIONS FOR DEVELOPMENT OF A VISION STATEMENT: A vision statement should be inspiring and supported by all. The vision must come from the top leadership of the program. This does not mean the top leaders can impose their

Follow the three C's:

- Clear
- Concise
- Compelling

vision. The vision must reflect what has gone before and give voice to the passion of employees. A great vision should come from the heart, it should be personal, and it should be inspiring. A vision statement should be:

- Clear
- Concise
- Compelling

The program head should develop a process for vision development that is consistent with the agency's culture. Whether directive, consultative, or collaborative, the program head must demonstrate commitment to the vision, share his/her vision for the program with the management team, and get their input and buy-in. If the agency has a vision statement, the program vision must be consistent with the agency vision.

> **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**

Mission Statement

Mission Statement

The mission statement is the reason the agency or program exists. It clearly states what the agency or program does, why they do it, and for whom they do it.

Examples:

- 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 either 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 which 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.

- The Office of Administrative Services Team, in partnership with our customers, provides quality services, integrated support, innovative solutions, and leadership to further the Department's success.

Developing a Mission Statement

RECOMMENDATIONS FOR THE DEVELOPMENT OF A MISSION STATEMENT: A clear mission statement that is well communicated and understandable can be a unifying force for an agency or program. The mission clarifies the agency or program purpose for staff and stakeholders. It is critical that the management team develop the mission for the program. Buy-in and feedback from staff is important; however, development of the mission remains the responsibility of the leadership. All employees should be able to identify the relationship of their duties to the mission. In addition, the mission should be clearly understandable to the public and the Legislature.

When developing a mission statement, the following questions should be answered:

- Who are we as an organization?
- What is the organization's purpose for existence?
- Why does the organization do what it does?
- Who are the customers to be served?
- Is the mission consistent with the organization's enabling legislation?
- Is the mission consistent with the agency mission?

A focused non-interrupted session with the management team is the best method to develop the mission statement. Try to keep the mission statement short (35 words or less). The final mission statement should be something all employees can identify with their job.

> **Long range planning does not deal with future decisions, but with the future of present decisions.**
>
> **--Peter Drucker**

Goal Statements

Goal Statements

Goal statements are the ends toward which a program's efforts are directed. A goal addresses issues by stating policy intention.

Examples:

- Provide a safe, secure, and healthy environment at all Department 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.

Goals should stretch and challenge the program. They should be achievable within a two- to three-year period of time. Goals chart the future direction of the program. The goal development process begins to focus the program's actions toward clearly defined purposes. Goals should be broad issue oriented and reflect the realistic priorities of the organization. Remember that goals are *what* you would like to achieve; how you are going to achieve the goal is a strategy.

Developing Goal Statements

Recommendations for the Development of Goal Statements: The management team should be involved in identifying the program's goals. Because the goals need to reflect the priorities of the entire program, input from employees, stakeholders, and customers is important. However, the management team must make the final decision on the goals for the organization. A "retreat" or meeting of the management team to focus and prioritize is a useful method to finalize program goals.

The following questions are helpful to consider when developing goals:

- Are the goals consistent with the agency vision, mission, and values?
- If the goals are achieved, will the agency mission be achieved?
- Do the goals provide a clear direction?
- What should the organization focus on?
- Can everyone contribute to achieving the goals?
- Can the goals be accomplished in one to three years?
- Are the goals clear and understandable?
- Can measurable objectives be developed for each goal?

Strategies and Initiatives

Strategies and Initiatives

Strategies and initiatives are actions that are undertaken to achieve the goals and objectives. They are a way to transition from the current state to the goal state. Strategies and initiatives are action oriented, measurable, and address challenges or performance gaps.

Examples:

- Provide tactical verbal skills training to employees working in facilities to allow staff to defuse situations before they escalate into violence.
- Create job placement programming in the community; develop employer incentives to hire/train offenders.
- Establish a chemical dependency screening procedure at each facility for incoming offenders.

Developing Strategies and Initiatives

RECOMMENDATIONS FOR THE DEVELOPMENT OF STRATEGIES AND INITIATIVES: Strategies reflect the method or means for achieving goals or objectives. Teams of staff, including supervisory and line staff, from all levels of the organization should be used to develop strategies. The principle that staff doing the work are in the best position to recommend ways to improve their jobs should be used. Ultimately, the organization's leadership should make the final decision on which strategies will be implemented; however, the best ideas for improvement often come from staff who do the work on a daily basis.

Identify and Use "What Works"

In addition, using strategies that research has shown to be effective is important. For example, research has shown that community employment programs have many positive outcomes on offender behavior. Several research studies referenced by MacKenzie and Hickman in What Works in Corrections? have found that these types of programs are effective in reducing recidivism. Therefore, a strategy to continue to expand job opportunities for offenders may support the achievement of an organization's goals and objectives.

Many resources have documented best practices. For example, the National Institute of Corrections (NIC) has documented best practices in many areas.

The following questions are helpful to consider when developing strategies/initiatives:

- Does the research support this strategy/initiative?
- Will implementation of the strategy/initiative assist the organization to achieve an agency goal?

- Will the implementation of this strategy/initiative require additional resources?
- Is the strategy/initiative consistent with the vision, mission, and values?
- Is the strategy/initiative achievable by the organization?
- Does the strategy/initiative require statutory change to implement?

Budget and Resources

Linking Initiatives to Resources

Consideration of the resource needs for each strategy/initiative is critical to success. The cost/benefit of each strategy/initiative should be used to prioritize strategies and determine which strategies are in the final plan. Without resources aligned with each strategy/initiative, agency priorities cannot be achieved.

The following questions are helpful to consider when developing a budget for your plan:

- What staffing, equipment, training, and other resources are needed to implement the strategy/initiative?
- Can the strategy/initiative be achieved within current resources?
- If additional resources are needed, can they be reallocated from other areas?
- Is the project contingent on requesting funding in the agency operating or capital budget?
- Is outside grant funding available?
- Are there cost impacts for other state or local agencies?

II. Program Performance Assessment

> **Asking the right questions takes as much skill as giving the right answers.**
>
> **--Robert Half**

Performance Measurement and Program Evaluations

Tools to Measure Success

Managers and supervisors need information to evaluate and make decisions about the programs they oversee – information that tells them whether the intended results are being achieved.

Performance measurement and program evaluation are two methods used to measure the success of a program.

Performance Measures

PERFORMANCE MEASUREMENT: Performance measurement is an ongoing process to measure the results and accomplishments of an activity or program. Performance measurement can act as an early warning or early indicator of a particular trend. Performance measures tend to focus on regularly collected data. For some programs, outcome data or observable results are not readily available. It is often challenging to collect results data in the short term.

Intermediate measures provide a method for monitoring short-term and intermediate outcomes. Their use provides an opportunity for results-based management, improved resource allocation decisions, and an ongoing system of measuring and evaluating performance. Use intermediate measures that research has shown have a correlation with the long-term outcome or goal.

The **"So That Chain"** is a useful tool to link short-term actions to long-term outcomes

The following diagram illustrates the relationship between activities and programs, intermediate measures, and long-term outcome measures.

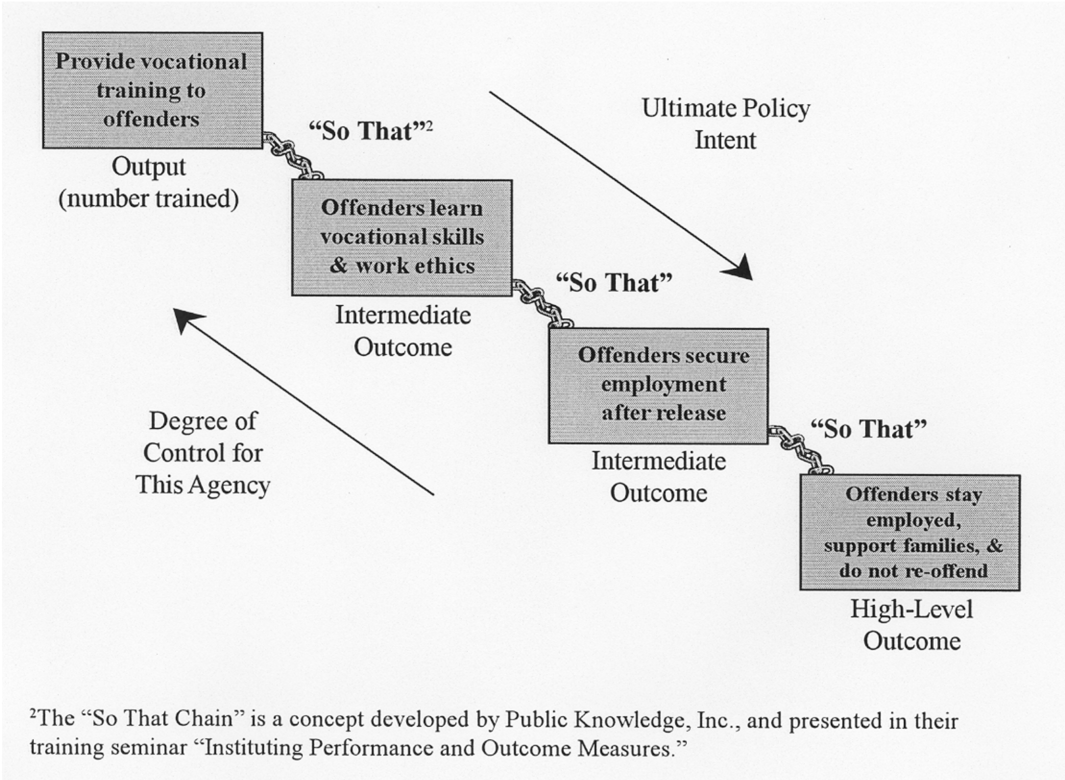


Figure 1. The "So That Chain" links short-term actions to long-term outcomes.

Program Evaluation

PROGRAM EVALUATION: For programs where results are not so readily defined or measured, program evaluations may be needed in addition to performance measurement to determine the extent to which a program is meeting its goals and objectives. Program evaluations are systematic studies conducted to assess how well a program is working. Program evaluations typically examine a broader range of information on program performance than is feasible to monitor and evaluate through ongoing performance measurements. Program evaluations not only can be useful to collect longitudinal data but also to evaluate processes, barriers, quality, and linkages to other programs. Evaluations can be used to collect data that is too resource intensive to collect on a regular basis but is worthwhile to analyze on a one time basis.

Performance audits are a type of program evaluation.

Performance audits are an independent assessment of quality, efficiency, and effectiveness. Performance audits can be an effective tool to verify performance and quality standards that may be difficult to measure with ongoing performance measures. It is critical that employees have a principal role in establishing a performance audit process, enabling front line employees to help fix processes and practices identified through the audit as needing improvement. Clear expectations and performance standards need to be used to determine if performance results are being achieved.

Functions of Performance Measurement and Program Evaluations

FUNCTIONS OF PERFORMANCE MEASUREMENT AND PROGRAM EVALUATIONS: Both performance measurement and program evaluations work to support resource prioritization and policy decisions to improve service delivery and program effectiveness. Performance measurement, because of its ongoing nature, can serve as an early warning system to management. A program evaluation is typically a more in-depth examination of program performance that assesses overall program outcomes and identifies ways to better achieve intended results.

Performance Measures

What gets measured gets done.

TYPES OF PERFORMANCE MEASURES: The following section provides definitions and examples for objective statements, outcome measures, input measures, process/workload measures, and efficiency measures. When developing measures, it is important to develop a range of each type of measure. Different measures may be useful to different audiences. For example, process and workload measures are very useful for internal managers and staff, but the public, Legislature, and the Governor are most interested in outcome measures or the results of programs.

Types of Performance Measures include:

- Objective Statements

<u>Objective Statements</u>: Objective statements are clear targets for a specific action that are measurable and achievable within a specified timeframe. A single goal may be subdivided into multiple objectives. The objective should be written to increase, decrease, or maintain.

Example:

- Increase by five percent the number of offenders who successfully complete education course subject levels.

- Outcome Measures

Outcome Measures: Outcome measures are indicators that assess the actual impact or results of a program. Outcome measures should capture why a program exists.

Example:

- Percentage of offenders who receive a high school diploma or GED.

- Input Measures

Input Measures: Input measures address the question of what resources are needed to provide a particular program or service.

Example:

- Total operating expenditures for supervision of offenders on community supervision and community placement.

- Process/Workload Measures

Process/Workload Measures: Process or workload measures (output) are the number of units produced or services provided by a program. Process/workload measures capture what a program does.

Example:

- Total number of offenders who need educational programming who are actually enrolled.
- Percent of available classroom slots which are filled.

- Efficiency Measures

Efficiency Measures: Efficiency measures are measurements of cost per unit of the outcome or workload measure or productivity associated with an outcome or workload.

Example:

- Average cost per offender on community supervision and community placement.

Developing Performance Measures

Performance Measures:

RECOMMENDATIONS FOR THE DEVELOPMENT OF PERFORMANCE MEASURES: Again, similar to developing the strategies, teams of employees representing all levels of the organization should be used to develop the performance measures. Leadership is responsible for making 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 plan. Make sure the measures identified address the performance issues to be achieved or unintended consequences may result. For example, if the goal is to *improve the case*

- Are a powerful tool in driving desired behavior;
- Will give individuals direction in what they need to accomplish; and
- People respond to what is inspected, not what is expected.

planning process and the number of case plans completed within a certain timeframe are measured, people may respond by increasing the number of case plans completed which could have the unintended consequence of a reduction in quality.

The following questions are helpful to consider when developing performance measures:

- Does each measure support achievement of a goal?
- Are the measures understandable for the audience?
- Can the data source be identified and is it reliable?
- Is the cost to collect the data reasonable?
- Can program activities impact the achievement of the measure?

Monitoring and Reporting Performance Measures

MONITORING AND REPORTING PERFORMANCE MEASURES: The following tips are useful to develop a performance measure reporting process:

- Designate someone responsible to compile the performance measure reports and to disseminate the information in the organization;
- Tailor the reporting to the audience, compare actuals to estimates, and provide explanatory information;
- Develop easy to understand formats for quantitative reporting (tables, charts, and graphs);
- Assure that information is timely and useful for management purposes; and
- Look at what is working well and share best practices.

Objective program related data is vital to good program management.

One tool used to assess whether or not the program is achieving its performance goals and targets is an exception report process. Each performance measure is reported on a graph that indicates current performance, stated target, and an exception trigger. Measures that are reported to be outside the predetermined parameters or "exceptions" will trigger an exception report.

The *peer review process* is one method of management review used to assess performance measures and identify best practices. On a quarterly or monthly basis, managers or supervisors prepare structured presentations on their performance measure data for agency executives and senior level leaders. The presentations focus on measures that have triggered an exception report.

III. Successful Program Planning

Steps for Successful Program Planning include implementation, monitoring and a feedback loop.

STEPS FOR SUCCESSFUL PROGRAM PLANNING: Program planning is only successful if it is implemented and positive results are achieved that support the agency strategic direction. To be successful, program planning includes the following steps:

- Planning – identify gaps and develop strategies
- Implementation – carry out action plans
- Monitoring – measure results
- Ongoing Quality Improvement – adjust and plan for the future

Figure 2. The Steps for Successful Program Planning include implementation, monitoring and a feedback loop.

Program Planning is a continuous cycle of:

- Identifying gaps and strategies
- Implementing actions plans
- Measuring and evaluating results

Often, before final implementation, a pilot can be very beneficial. The final design can be influenced by the feedback data (performance measures and evaluations) based on how the program actually worked during its pilot operation. Particularly for programs that require large investments in equipment, training, infrastructure, or staff, a pilot can be very useful to help define the best method to fully deploy the project.

Organizations are not static and the context of the organization will change. The program plan must be examined and adjusted to meet the changing needs of the agency. If the agency strategic direction changes due to changing laws, economics, culture, or leadership, the context of the program plan is also changed. Program

- Adjusting and planning for the future

performance is assessed using performance measure data and program evaluations so the manager can adjust and plan for the future.

Successful implementation requires managers and supervisors to provide clear direction, to track progress, and to have structures in place to make modifications and to remove barriers as they arise. Defining the project sponsor/process owner, utilizing employees, establishing team charters, using an action plan tracking tool, and creating a learning environment are methods to help ensure successful implementation.

Sponsor

SPONSOR: The sponsor is the stakeholder who requested that the project be undertaken and has a vested interest in the results. The sponsor should act as a liaison with other executive managers and should help to eliminate barriers facing the team.

Process Owners

PROCESS OWNERS: Process owners, sometimes referred to as **project managers** or **team leaders**, coordinate and are accountable for the implementation of the strategies for each goal or objective. The process owner should be identified by management and should serve as the team's liaison to the management team. Regular or quarterly reporting requirements or status reports from the process owners are good methods to communicate and to hold the process owners accountable. Because we operate in a dynamic environment, these quarterly updates can be a forum to make decisions or to change strategies as organizational needs change. The program plan should be a living document to guide the organization in setting priorities and allocating resources. The specific strategies may change in response to legislation, offender population changes, and new information in the development and delivery of correctional services.

Employee Involvement

EMPLOYEE INVOLVEMENT: In addition to the process owners, employees throughout the organization should participate in the implementation of the plan. Where appropriate, the process owners should identify team members to make implementation recommendations for the strategy/initiative.

Employee involvement is an important strategy aimed at providing people at all levels greater influence over their work. The value of employee involvement is that those closest to the process can provide innovation and change required to meet agency goals. Managers should identify the "what" and then allow the employees to define the "how" to accomplish the activities.

> **Teams are less likely than individuals to overlook key issues and problems or take wrong actions.**
>
> **-- Tom Peters**

Action Plans

Action plans detail the steps to implement a strategy or goal.

Action plans are important for front line managers and supervisors. The individual, office, division, institution, or program needs the appropriate level of detail to operationalize their activities. Upper level managers may use action plans to ensure a strategy is being implemented on schedule. An action plan can be particularly helpful for projects that impact multiple parts of the organization.

Components of an Action Plan

Components of an Action Plan: To determine the components of an action plan, the organizational need for simplicity and flexibility should be balanced with the need for a detailed structure. While the components included in an action plan may vary, at a minimum the action plan should address 1) who; 2) what; 3) when; 4) resources; and 5) status. The following is an outline of possible items to include in an action plan.

Actions plans should address:

- Who
- What
- When
- Resources
- Status

- **Project Title:** The project title should be clear and understandable.
- **Project Completion Date:** A completion date should be established for the overall project. In some cases, a project might be considered ongoing.
- **Process Owner/Project Manager/Team Leader:** A project manager/team leader should be assigned for each action plan. The project manager/team leader is responsible for timely completion and management of the project and is responsible for developing, coordinating, and updating the action plan.
- **Project Description:** Each action plan should include a clear and concise description of the project including project need, definition of the scope, and limiting parameters. The description of the project should provide linkage to those agency and program goals, strategies, and objectives which the project supports.
- **Participating Divisions/Organizations, Contacts, and Telephone Numbers:** Project team members should be identified.
- **Stakeholder Divisions/Organizations, Contacts, and Telephone Numbers:** Internal and external interest groups or stakeholders may not be participating on the team but may have an interest in the issue. Stakeholders may need to be consulted

on a particular issue and notified of project outcomes or progress. The plan to involve stakeholders should be identified in the action steps on the template.

- **Constraints or Concerns:** Specific constraints, concerns, or other limiting factors should be identified (i.e., statutory constraints, fiscal constraints, infrastructure constraints).
- **Specific Action Steps, Tasks, or Activities:** Specific action steps, tasks, or activities necessary to implement the project should be identified. Each action step should have an assigned contact person and projected completion date. Action steps should be sequential and logical in their organization.
- **Fiscal Impact:** Identify the fiscal resources necessary to implement the project.
- **Goals, Strategies, Objectives, and Performance Measures:** Tie to the goals, strategies, objectives, and performance measures to be achieved.

The following is a generic action plan template. Each section of the template can be expanded or contracted to meet the needs of each project. Some of the sections may not be applicable to each project that requires an action plan; for simplification, the attached template only includes select components.

STATE OF WASHINGTON

DEPARTMENT OF CORRECTIONS

ACTION PLAN

PROJECT TITLE	PROJECT COMPLETION DATE
PROJECT MANAGER	
DESCRIPTION	

PARTICIPANTS **DIVISION/ORGANIZATION**	**NAME OF CONTACT**	**PHONE NUMBER**

STAKEHOLDERS **DIVISION/ORGANIZATION**	**NAME OF CONTACT**	**PHONE NUMBER**

	CONSTRAINTS/CONCERNS
1	
2	
3	

	SPECIFIC ACTION STEP **TASK/ACTIVITY**	**STAFF RESPONSIBLE**	**PROJECTED COMPLETION DATE**	**ACTUAL COMPLETION DATE**
1				
2				
3				
4				
5				
6				

FISCAL ASSUMPTIONS:

COST/BENEFIT ANALYSIS:

PERFORMANCE MEASURES **(Outcome, workload, or efficiency measures)**	**FISCAL YEAR**	**FISCAL YEAR**

Charter

CHARTER: A team charter is another tool that can be used to manage a team or project. A team charter is a written agreement that spells out the charge given to the team and the responsibilities of all people involved. It outlines boundaries and constraints. A charter should include:

- A description of the problem that the team is to address.
- All expected outcomes of the team effort.
- All parameters relevant to the effort such as staff resources and training; technical support; deadlines or time constraints; other groups which must be consulted (union, etc); and options which are "off the table."
- Decision-making process to be used by the team.
- Method by which the team will communicate with management.
- Names of all team members, management guidance team members (sponsor, process owner), as well as the roles and responsibilities of each member of the group.

Learning Environment

Every action plan, every strategic plan, and every initiative is a working hypothesis of the best method to achieve the intended results.

Sharing what works is critical to becoming a learning organization.

LEARNING ENVIRONMENT: In the complex corrections environment, every action plan, every strategic plan, and every initiative is a working hypothesis of the best method to achieve the intended results. It is important to remember that data elements are attempts to describe the actual environment or process. Data elements should not be mistaken for the real world or for the actual work but are snapshots that help to inform us as we mold, shape, and chart a path to move in the desired direction.

Another effective planning and feedback tool is based on the U.S. Army's After Action Review process. This model is based on repeated cycles of Reflect-Plan-Act. "Over a number of iterations, the implicit and explicit knowledge held by the team about effectiveness in the particular domain evolves substantially. New practices and standards of excellence emerge."[1] The questions typically asked include:

- What was supposed to happen?
- What actually did happen and why?
- What are we going to do (the same or differently) next time?

These lessons shape the plan for the future.

Roles

Roles within the Agency for:

There are many other project management and team management tools. The key is to find something that works for your organization. The following outlines some helpful roles as the organization proceeds through planning, implementation, and measurement.

- Executive Management

EXECUTIVE MANAGEMENT:

- Define vision, values, mission, common goals, and key business processes
- Foster communication and feedback with other levels of the organization – goal deployment
- Charter and monitor system-level projects
- Reward and recognize

- Mid-Management

MID-MANAGEMENT:

- Build division/department mission and functional objectives that are aligned with common goals
- Identify priority business processes, and make and measure improvements
- Charter and monitor process improvement teams
- Have ownership and accountability for your area of responsibility
- Support your employees

- Employees

EMPLOYEES:

- Participate on teams
- Select measures and measure your work unit performance
- Continuously improve your daily work
- Have ownership and accountability for your area of responsibility
- Support your peers

Summary

Knowledge:

Alignment of the actions of individual programs and work units to the agency strategic plan is critical to successful program planning and implementation. Effective alignment requires common understanding of purposes, goals, and measures to enable planning, tracking, analysis, and improvement at the organization level, programmatic level, and work unit level. Each work unit or program should review the agency plan and determine how it relates to them and what strategies and measures they must implement to forward the strategic plan.

As resources become more limited, planning becomes more critical to ensure resources are targeted to the most effective strategies to achieve the most important results. The value of cascading the goals and strategies is to align the agency around a set of common goals. It provides a common language and drives cross-functional teamwork and prioritization of activities.

Program performance assessments describe how success in achieving the agency goals 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 goal?" Analyzing the gaps between current performance levels and performance targets helps organizations identify priority areas needing improvement and develop strategies that will close the gap or identify best practices that can be applied throughout the organization. Performance data is used to provide feedback to managers and supervisors so they can adjust program plans to achieve the intended results.

Key Skills and Behaviors

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

Behavior: The manner of conducting oneself; observable activity.

Linking Program Plan to Agency Strategic Direction

Skill: Setting organizational direction.

Behaviors:

- ✓ Facilitate the development of program goals and strategies.
- ✓ Align the program direction with the agency strategic direction if it has been set.
- ✓ Identify gaps between current performance and targeted goals and objectives.
- ✓ Work with staff to develop strategies and initiatives that will allow you to achieve your goals.
- ✓ Prioritize the initiatives and strategies.

Program Performance Assessment

Skill: Setting performance expectations.

Behaviors:

- ✓ Work with staff to determine the best method to assess program performance.

- ✓ Use performance measures for on-going measurements and use program evaluations for one-time in-depth analysis.
- ✓ Set performance targets; clearly define success and communicate the performance expectations to staff.

Successful Program Planning

Skill: Successfully planning and implementing programs.

Behaviors:

- ✓ Ensure that processes are in place to implement the strategies and initiatives.
- ✓ Identify resources needed to implement the strategies and initiatives.
- ✓ Provide clear direction by chartering the teams, establishing sponsors and process owners/project managers.
- ✓ Track the implementation progress through the use of action plans.

Skill: Measuring and evaluating results.

Behaviors:

- ✓ Establish a process to monitor and collect performance measure and evaluation data.
- ✓ Use performance measure and program evaluation data to make decisions.
- ✓ Analyze why the performance goals were met or not met.
- ✓ Identify best practices and learn from results.
- ✓ Reward and recognize employees; support your employees' accomplishments.

Skill: Adjusting and planning for the future.

Behaviors:

- ✓ Adjust and set the program direction based on feedback from the results.
- ✓ Set new strategies and initiatives to address gaps and identify the future direction of the program.
- ✓ Communicate the new direction to staff and stakeholders.

KNOWLEDGE BASE FOCUS FOR MANAGERS AND SUPERVISORS

PROGRAM PLANNING & PERFORMANCE ASSESSMENT	MANAGER	SUPERVISOR
Performance Planning: A comprehensive plan that provides leadership, direction, and resource prioritization to ensure the intended results of a program are met. *Performance Assessment:* Describes how success in achieving goals will be measured and tracked.	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managerial positions:** ➢Corrections Unit or Program Manager. ➢Deputy Jail Administrator ➢Capital Programs or Correctional Industries Administrator ➢Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢Interstate Compact Administrator	This individual generally manages the staff that works directly with the client or constituent group. He or she also makes recommendations to improve systems and service delivery and monitors for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisory positions:** ➢Adult or Juvenile Correctional Housing Unit Supervisor ➢Probation, Parole, Community Corrections/Sentencing Supervisor ➢Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢Victim/Witness Program Supervisor
1. Link Program Plan to Agency Strategic Direction	▪ Set organizational direction linking to the agency strategic plan, mission, and vision. ▪ Analyze gaps between current performance and performance goals and objectives. ▪ Lead teams/workgroups to develop a plan to identify strategies to address the gaps. ▪ Prioritize strategies/initiatives and identify necessary resources. ▪ Ensure that processes are in place to implement and monitor the plan.	▪ Articulate how program/unit plans are linked to the agency strategic plan, mission, and vision. ▪ Gather information and assist in analysis of gaps between current performance and performance goals and objectives. ▪ Work with staff to identify strategies to address the gaps. Communicate those strategies up the chain of command. ▪ Oversee implementation of the chosen strategies and gather information for program assessment and monitoring.

PROGRAM PLANNING & PERFORMANCE ASSESSMENT	MANAGERS	SUPERVISORS
2. Program Performance Assessment	▪ Set performance expectations; clearly define success. ▪ Determine the best method to assess program performance. ▪ Use performance measures for on-going monitoring and program evaluations for more in-depth analysis of outcomes.	▪ Articulate performance expectations and clearly define success. ▪ Ensure processes are in place to gather relevant information for program assessment. ▪ Use performance measures for on-going monitoring and program evaluations for more in-depth analysis of outcomes.
3. Successful Program Planning	▪ Use performance measures and program evaluation data to make decisions. ▪ Analyze why performance goals were or were not met; identify best practices and learn from results. ▪ Adjust and set the program direction based on feedback from the results of program assessment and evaluation. ▪ Develop new strategies and initiatives to address gaps and set future direction of the program. ▪ Establish an ongoing quality improvement feedback loop.	▪ Effectively use allocated resources to implement action plans. ▪ Oversee integrity of processes and data gathered for performance monitoring and evaluation. ▪ Adapt program practices to incorporate lessons learned from performance assessment and evaluation. ▪ Establish an ongoing quality improvement feedback loop.

REFERENCES

Darling, Marilyn and Charles Perry. (2001). "Emergent Learning in Action: The After Action Review," *The System Thinker*, Vol. 12. No.8, October.

Drucker, Peter. (1999). *The Drucker Foundation Self-Assessment Tool: Process Guide.* San Francisco: Jossey-Bass Publishers.

Goodstein, L., T. Nolan, and J. Pfeiffer. (1993). *Applied Strategic Planning: How to Develop a Plan That Really Works.* New York: McGraw-Hill.

Guide for State Agency Strategic Planning, State of Iowa, Department of Management. (2001). http://www.state.ia.us/government/dom/agency strategic plan 99.pdf

Kaplan, R.S. and D.P. Norton. (2001). *The Strategy-Focused Organization: How Balanced Scorecard Companies Thrive in the New Business Environment.* Boston, MA: Harvard Business School Press.

Managing for Results: Measuring Program Results That Are Under Limited Federal Control. (1998). U.S. General Accounting Office, GAO/GGD-99-16, December.

Program Evaluation: Agencies Challenged by New Demand for Information on Program Results. (1998). GAO/GGD-98-53, April .

Public Knowledge, Inc. *Instituting Performance and Outcome Measures.* Washington State Department of Personnel.

Senge, P.M. (1990). *The Fifth Discipline: The Art and Practice of the Learning Organization.* New York, NY: Currency Doubleday

Smith, D. K. (1999) *Make Success Measurable.* New York: John Wiley and Sons.

RECOMMENDED READING

Kaplan, R.S. and D. P. Norton. (1996). *The Balanced Scorecard: Translating Strategy Into Action.* Boston, MA: Harvard Business School Press.

Lientz, B.P. and K.P Rea. (1998). *Project Management For The 21st Century* (2nd edition.) San Diego, CA: Academic Press.

Senge, P.M. (1990). *The Fifth Discipline: The Art and Practice of the Learning Organization.* New York, NY: Currency Doubleday.

Wilson, N. and B. Lisk. (1998). *Colorado Youth Offender System Individual Program Plan: Users Guide.* Colorado Department of Corrections. (Available from National Institute of Corrections Information Center, Longmont, Colorado, accession number 015359).

ADDITIONAL STRATEGIC PLANNING RESOURCES

Guide for State Agency Strategic Planning, State of Iowa, Department of Management, 2001.
http://www.dom.state.ia.us/strategic_plan_files/Strategic_Planning2001.pdf

Budgeting for Results Handbook, State of Iowa, 1997-98.
http://www.dom.state.ia.us/pubs_presentations/bfr_book.pdf

Measurement Development Guide, South Carolina State Government Quality Network Association.
http://www.scsgin.org/Measuremtn%20Development%20Guide.pdf

Strategic Planning Guidelines for Agencies and Institutions, Performance for the 2000-2002 Biennium. Common Wealth of Virginia, September 1998.
http://www.dpb.state.va.us/forms/planning/stplngd.pdf

Strategic Business Planning: A Guide for Executive Branch Agencies, State of Connecticut, Department of Planning and Management, 1998.
http://www.opm.state.ct.us/mgmt/busguide/busplan.htm

Endnotes:

[1] Darling, Marilyn and Charles Parry, "Emergent Learning in Action: The After Action Review," The System Thinker, Vol.12, No.8. (October 2001)

CRIMINAL JUSTICE SYSTEM

CORRECTIONAL LEADERSHIP COMPETENCIES FOR THE 21ST CENTURY

Manager and Supervisor Levels

By

William Woodward

CRIMINAL JUSTICE SYSTEM

Definition of the Criminal Justice System

THE CRIMINAL JUSTICE SYSTEM: The criminal justice system is composed of an array of interrelated agencies and functions including law enforcement, prosecution, defense, the judiciary, and corrections, which together provide public safety services. The criminal justice system is responsible for carrying out the related law to serve the interests of the community, victim and offender.

Knowledge Base

> **If a man would move the world, he must first move himself.**
>
> **--Socrates**

Why is understanding the criminal justice system important?

Understanding the criminal justice system improves problem solving, removes barriers to change, and improves the chances of developing effective long term strategic plans

This curriculum is designed to provide you with a basic understanding of the criminal justice system and its integrated parts. In addition, it is developed with the assumption that all parts of the criminal justice system do in fact have some impact on all other parts of the system. To that end it is critically important to understand that there are no "sacred" or perfect parts of the system. All parts are important and each plays its own role as defined by the branch of government under which it operates.

Often the criminal justice system is said to be "no system at all," and to many it may look like it is a collection of people all determined to go their own way. While this may sometimes be true, it is usually not the best way for the system to function. Depending on the sanctioning philosophy of the various parts of the system, it is possible for the various parts of the system to work together focused on a few common goals.

The National Institute of Corrections (NIC) has demonstrated in its *Criminal Justice System Project: A Guide to Criminal Justice System Assessment* and its videotape series on *Alleviating Jail Crowding: A Systemic Approach* that there are no independent actors in the criminal justice system. Through these curriculums, the NIC provides important planning resources to state or county policy groups made up of criminal justice system stakeholders.

When stakeholders across the criminal justice system became focused on a few or single goal(s), increased effectiveness was demonstrated.

This curriculum is about the ingredients that make up the criminal justice system and the potential for the system to be an effective provider of the public safety services required by our communities.

System Overview

The clearest way to describe the entire criminal justice system is to review the dollars allocated to the different levels of the system.

1999 Criminal Justice Spending

- Federal government: $27 billion
- States: $57 billion
- Counties: $35 billion
- Municipalities: $39 billion

In 1999, all governments expended approximately 147 billion dollars on the criminal justice system at all levels. Duplicative transactions between levels of government (intergovernmental transfers) are excluded from this total.

From 1982 to 1999 (the most recent numbers available), all criminal justice program expenditures increased by 309%, whereas the consumer price index increased over the same period by 166% (see figure 1).

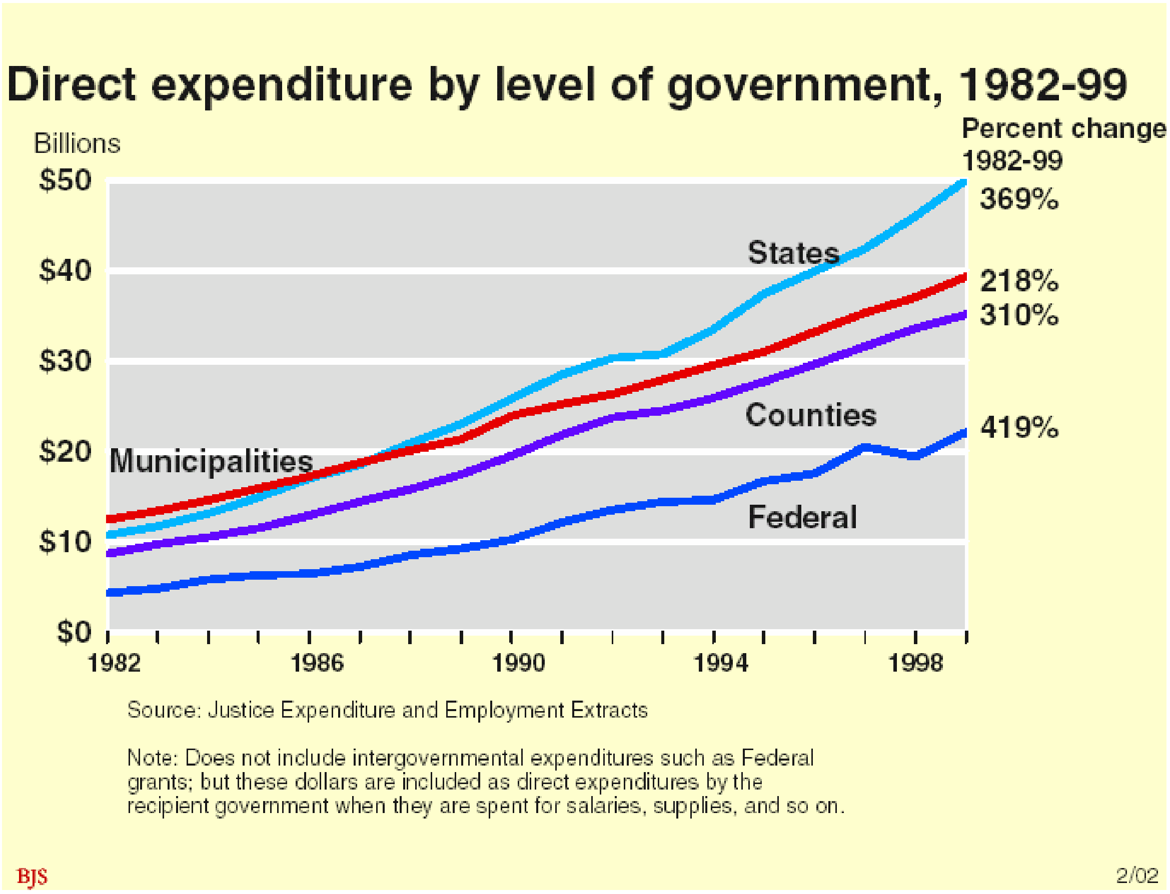


Figure 1. Government expenditures on the criminal justice system.

How the Criminal Justice System Works

The following diagram (figure 2) provides an overview of each part of the system and how it flows from arrest to final disposition. While this description seems daunting, it fairly describes most adult and juvenile criminal justice systems.

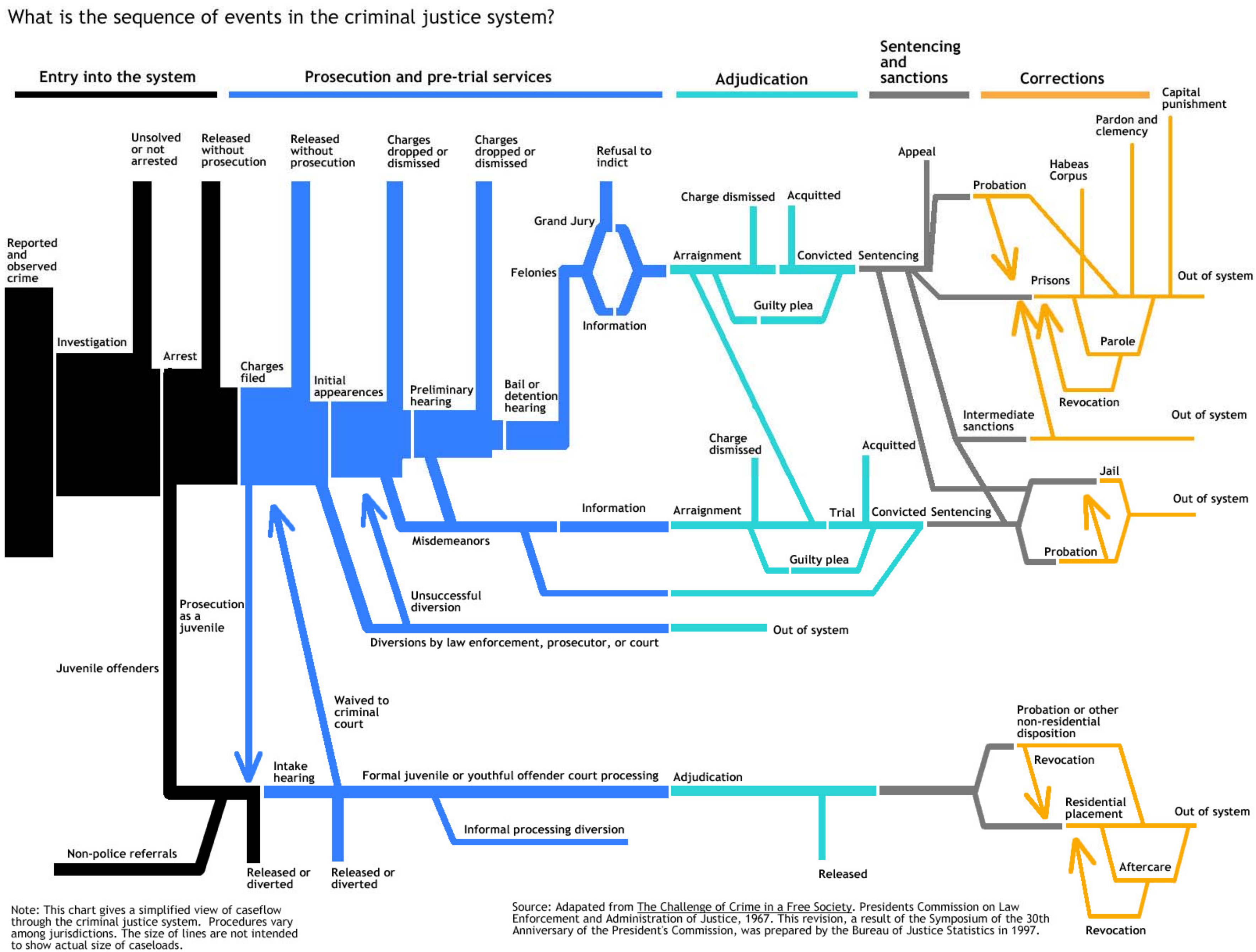


Figure 2. Overview of the criminal justice system and how it flows from arrest to final disposition

I. Executive Branch

> **No duty the Executive had to perform was so trying as to put the right man in the right place.**
>
> **--Thomas Jefferson**

The executive branch typically manages the operations of the criminal justice system. That is, it provides for basic law enforcement, offender imprisonment, intermediate sanctions such as probation, parole, community corrections, and jail or prison. The single largest exception to this rule is that in many states probation is operated by the Courts.

There are many debates about whether the courts should or should not operate an offender supervisory agency; however, we will not decide the issue here. This chapter is only designed to describe the differences. It is important to remember that each branch of government, as established by the constitution of the individual state, carefully guards all the rights and privileges provided by that state.

Law Enforcement

LAW ENFORCEMENT: Those officials charged with the responsibility of enforcing the law in federal, state, and local jurisdictions.

- **Municipal:** Municipal law enforcement is most often a police department. However, in unincorporated towns and villages there may be a Marshall or member of the town council who heads up the law enforcement function. In other jurisdictions, municipalities may contract with the sheriff for law enforcement services.
- **County:** The sheriff normally has law enforcement responsibility in the county. However, some sheriffs have no law enforcement responsibilities and focus entirely on the management of the jail. In some jurisdictions the opposite is true; the sheriff has all the law enforcement responsibility, but does not manage the jail. These decisions are often made by the state legislature in the form of laws describing the jurisdiction of the sheriff or by the county commissioners.

- **State:** The states often operate the state police, some state police have general law enforcement powers and some do not. The state often operates a crime laboratory for smaller jurisdictions, whereas larger jurisdictions within a state will operate their own crime laboratories.
- **Federal:** There are 44 federal agencies with law enforcement powers. These powers range from full powers to limited powers. All powers are set by statute.

Offender Confinement

Pretrial Confinement

PRETRIAL CONFINEMENT: Pretrial imprisonment usually occurs in a sheriff's department or municipal lock-up. These parties are not convicted of a crime; they are being held pending a hearing to decide if probable cause exists for the charges against them. This hearing must occur within some specific period of time after arrest, usually 24 hours to 72 hours.

There is often a pretrial agency that makes a recommendation to the judge about whether to hold or release the offender and under what release conditions. The basis for holding a person varies from the inability to make the bail amount, to fears that if released the person will do harm, to the fear that the person will not reappear for their court hearing. Most jurisdictions use some mix of these three factors to determine whether to release someone. However, some jurisdictions believe that since there is no conviction at this point they should only consider the probability of failure to appear at the next court hearing when making the release decision.

In some jurisdictions, there is an entire jail for pre-trial detainees (e.g. Rikers Island in New York City). In most jurisdictions, however, one half to three quarters of the population are pre-trial at any given time. The remainder of the offenders are "holds" for other jurisdictions and sentenced populations.

Post Trial Confinement

POST TRIAL CONFINEMENT: The sentenced populations are seldom managed in a municipal lock-up, unless it is the same as the county jail (e.g., the City and County of Denver). County jails traditionally take sentenced populations for up to one or two years maximum. County jails will often offer a series of programs for offenders, such as work release for those who meet specific criteria or DUI weekend programs for offenders who work but must serve jail time on the weekends.

The Department of Corrections or the equivalent at the state level normally houses and manages the sentenced population for the entire state. State law and the direction of the Governor of the individual state govern the policies and practices of the corrections agencies within the state. Most states project future populations of prisons to better assess resource and service needs. Legislatures and Department of Corrections officials must have a minimum of two years of lead-time to build a permanent new prison. Departments of Correction take offenders for the time of their sentence, as well as those sentenced to death.

Intermediate Sanctions

INTERMEDIATE SANCTIONS: Originally, "intermediate sanctions" meant between prison and probation. But with the introduction of levels of probation, such as "intensive" or "moderate," anything other than prison can be considered an intermediate sanction.

The following are often thought of as intermediate sanctions, but every community will have a different set of sanctions:

- Local jail
- Jail with work release
- Non-therapeutic residential community corrections facility
- Therapeutic residential community corrections facility
- Day reporting
- Home detention with electronic monitoring
- Home detention without electronic monitoring
- Community work service
- Non residential treatment (many kinds)
- Fines, restitution, and other monetary penalties
- Supervision with frequent contacts
- Supervision with infrequent contacts
- New programs

It is also important to clarify between an intermediate sanction and a tool that might be utilized at any level of sanctioning. Intermediate sanctions normally refer to the level of supervision imposed upon an offender. Tools usually refer to useful adjuncts to the sanction to increase its effectiveness. For example, drug testing, electronic monitoring, or medications ordered by the court or corrections agency would be considered tools that enhance the sanction.

In some states, often known as community corrections states, counties or cities may opt into a program where they receive funding from the state to provide this intermediate sanction. In some states, there may be incentives for counties to keep as many offenders as possible out of prison.

Treatment is also different from an intermediate sanction. Treatment refers to programs that are designed to address specific needs. For example a person who has been assessed as "chemically dependent" may be placed in an appropriate drug or alcohol treatment program. On the other hand, a sex offender should be placed in a sex offender specific program. An offender with out-of-control behavior may be placed in a cognitive skills development program. Many states and/or localities offer guidelines for treatment programs through their state alcohol and drug agencies, departments of corrections, judicial departments, or other criminal justice agencies. For example, Illinois and Colorado have statewide standards for the management and treatment of sex offenders. California has statewide standards for substance abuse.

With any treatment, it is important to be sure the treatment program utilized has been found to be effective. The legislature in Washington State tasked their research arm, the Institute for Public Policy, to review programs and report on their effectiveness. Their review of programs and the levels of recidivism reduction can be found on the web at: www.wa.gov/wsipp. This includes reviews of drug and alcohol, sex offender, cognitive skills, and many juvenile programs as well as a significant number of probation and diversion services. They also set standards for research by which other programs can be evaluated.

Supervision Programs

Supervision Programs

SUPERVISION PROGRAMS: Often the state Department of Corrections in the executive branch manages post release supervision. Sometimes post release supervision is called parole, but several states have abolished parole, so it may simply be referred to as post release supervision. Probation supervision programs can be managed by state or county departments.

The job of post release supervision and/or probation is to manage the risk of reoffending, to maintain public safety, and to enforce the conditions placed on the offender by the judge upon release (often called conditions of release).

Risk Assessment Tools

RISK ASSESSMENT TOOLS: In many jurisdictions a risk assessment tool is being used to inform decision making related to classification and supervision of offenders. First generation tools were really just a "gut" reaction to how risky someone appeared to be, while second generation tools used only static risk factors to predict recidivism. By third generation tools, we mean a tool that has both static risk factors and dynamic risk factors. A static risk factor is something that cannot change like "age at first arrest." A dynamic risk factor is something that can change, like antisocial attitudes, values and beliefs, or substance abuse. The best third generation risk tools can predict recidivism much better than chance (e.g., the LSI-R Level of Supervision - Revised predicts the risk of recidivism 30% better than chance).

The advantage of these tools to probation and post release supervision is that they help specify which of the major risk factors associated with recidivism are relevant to this offender. As a result of the work of the National Institute of Corrections, judges and correctional managers in one state now receive prioritized information about the ten major risk factors for recidivism in offenders so that they can focus resources on the highest priority causes of recidivism. Among the major risk factors for recidivism are: antisocial family, antisocial peers, alcohol/drug use, stability of accommodations, emotional status, and antisocial attitudes.

II. Judicial Branch

> **The challenge of social justice is to evoke a sense of community, that we need to make our nation a better place, just as we make it a safer place.**
>
> **--Marian Wright Edelman**

The Judicial branch is tasked, for the most part, with determining the guilt or innocence of defendants, setting the terms and conditions of the sentence, and sometimes, as in drug courts or reentry courts, oversight of the management of accused persons and convicted offenders.

Court Systems and Judges

Court Systems

COURT SYSTEMS: In 1998[1] there were 208 statewide general and limited jurisdiction trial court systems in the United States, the District of Columbia, and Puerto Rico. About 9,065 full-time authorized judges served in the 71 statewide trial court systems of general jurisdiction alone. There were 132 courts of appeal, including the U.S. Supreme Court and the U.S. Courts of Appeal.

Every state has a judicial branch that is headed by the court of last resort in 13 states, the Chief Justice of the court of last resort in 36 states, and in one state, Utah, by the Judicial Council.

In the majority of states (33), the head of the judicial branch is established by the State Constitution. In the remaining states, authority is established either by state statue or some combination of both.

State Appellate Court Systems

STATE APPELLATE COURT SYSTEMS: Appellate court systems implement various strategies to make their workload more efficient. For example, 37 states had some expedited briefing procedures in their appellate court systems. Eighteen states had accelerated or special calendars in some courts for specific case types and all but 12 states had some limitation on oral arguments in criminal and/or civil cases.

Judicial Selection and Service

JUDICIAL SELECTION AND SERVICE: Twenty-one (42%) of the 50 states selected their appellate judges through a gubernatorial appointment and three by legislative appointment. An additional 14 states used non-partisan elections, eight had partisan elections, and four had retention elections.

Initial/pre-bench education for general jurisdiction judges was required in 30 states (including Puerto Rico), for limited jurisdiction judges in 31 states, and in nine states for appellate judges. Continuing education for general jurisdiction judges was required in 44 states, for limited jurisdiction judges in 42 states, and in 38 states for appellate judges.

Specialized Courts

SPECIALIZED COURTS: There were 327 drug courts across 43 states, the District of Columbia, and Puerto Rico in 1998. The majority of drug courts were established between 1992 and 1996.

By 1998, all but 17 states had family courts that served some number of counties or districts, or were statewide. These courts typically had jurisdiction over domestic and marital matters such as divorce, child custody and support, and domestic violence.

There are currently over 450 tribal justice forums among the 556 Federally recognized tribes in the United States. Sixteen states have assumed mandatory or optional jurisdiction over tribal lands, pursuant to Public Law 280.

The Jury

THE JURY: In most states, the minimum age to serve on a jury is 18. The minimum age in Missouri and Montana, however, is 21 years of age. There are some residency requirements to serve on a jury in all states, and literacy and/or language requirements in all but eight states.

Grand jury indictments for all felony prosecutions were required in 14 states and in an additional four states for capital and/or life imprisonment cases. The size of grand juries ranged from six members in Indiana to 23 members in Maryland and Massachusetts.

Sentencing and Supervision

Sentencing

SENTENCING: In non-capital felony cases, original sentences were set by a jury in 46 States, the District of Columbia, and Puerto Rico, and by a judge in six states. The judge can alter the jury sentence or recommendation in four states - Arkansas, Indiana, Kentucky and Missouri. Of the 37 states with the death penalty in capital felony cases during 1998, original sentences were set by a jury in 23 states, by a judge in five states, and by a judge with the recommendation of the jury in seven states.

Collateral consequences for felony convictions were in place in all states. In most states, a felony conviction was associated with the restriction of voting rights, parental rights, public employment, jury duty service, and firearm ownership.

Supervision

SUPERVISION: In some jurisdictions offenders are supervised by the court or by community corrections within the court system, depending on the type of sentence.

The job of probation supervision is to manage the risk of reoffending, improve public safety, and enforce the conditions placed on the offender by the judge (often called conditions of probation). As with the executive branch, in many jurisdictions a third generation risk assessment tool is being used to best manage the risk of the offender.

As noted, these third generation tools contain both static risk and dynamic risk factors. The best third generation risk tools can predict recidivism much better than chance. The advantage of these tools to probation supervision is that they help specify which of the major risk factors associated with recidivism are relevant to a particular offender.

III. Legislative Branch

> **Law is nothing unless close behind it stands a warm living public opinion.**
>
> **--Wendell Phillips**

The Legislative branch is tasked with writing the laws that are enforced by the executive branch and adjudicated by the judicial branch.

The legislative branch is probably the most important branch in setting the policy of the criminal justice system. Almost all law concerning the criminal justice system is developed in the legislative arena. This law includes definitions of all illegal activities, the procedures and processes to be used by all parts of the criminal justice system and the penalties for the various crimes committed. At times the courts must interpret the laws and will find some do not meet constitutional standards. The court can override the laws made by state legislatures and the federal courts can override laws made by congress or state legislatures.

Victim Rights

A relatively new trend in the criminal justice system has emerged in recent years. Some states have made changes in their state constitutions to provide victims with rights in the criminal justice system. These rights normally require notification to the victim of their rights. In addition they allow the victim to have input into the criminal justice system process at some or all of the major decision points. When these basic rights are abrogated or ignored some states (e.g., Colorado) allow the victim to bring a complaint to the Governor or Attorney General to force compliance with the constitutional amendment.

IV. Sanctioning Philosophies

> **Never accept the proposition that just because a solution satisfies a problem, that it must be the only solution.**
>
> **--Raymond E. Feist**

Being clear about the underlying philosophy is critical for understanding and improving the operation of the criminal justice system.

The criminal justice system is based on many philosophies that are sometimes seen as competing. Punishment may be seen by some as antithetic.al to rehabilitation. Often these philosophies are unstated. Many times it is the unstated philosophy that keeps a criminal justice system from working effectively.

Usually we speak of these philosophies in general terms: "it is important to punish the person"; or "we should rehabilitate this offender," or "let's be sure to keep the costs low for the system," or "the public will not stand for this," or "reparations should be paid for that offense," or "let's keep the crime rates low." These are often competing goals for the major components of the criminal justice system.

Being clear about the underlying philosophy is critical for understanding and improving the operation of the criminal justice system. Philosophies in the criminal justice system include:

- **Punishment/Retribution:** Value in terms of pain and suffering
- **Crime Reduction:** Value in terms of impact on crime
- **Recidivism Reduction:** Value in terms of impact on reoffense rate
- **Reparation:** Value in terms of compensating aggrieved parties
- **Economic Costs:** Value in terms of cost efficiency
- **Public Satisfaction:** Value in terms of public approval ratings
- **Restoration:** Value in terms of restoring the victim, the offender, and the community.

Exercise:

Categorize the laws of your state related to corrections according to a philosophy listed above.

Each philosophy in the criminal justice system has merit. However, the closer that all parts of the system come to agreement on the philosophy or intended outcomes of the system, the more likely those parts are to work well together as a complete system.

The Systems Approach

> **Systems thinking is a discipline for seeing wholes. It is a framework for seeing interrelationships rather than things, for seeing patterns of change rather than static "snapshots."**
>
> **Peter Senge**

The best business model found in the literature for this functioning criminal justice system is prescribed by Michael Hammer in his book: *Beyond Reengineering*. He describes a systems approach to managing the disparate parts of an organization. His model, with criminal justice system modifications, looks like this:

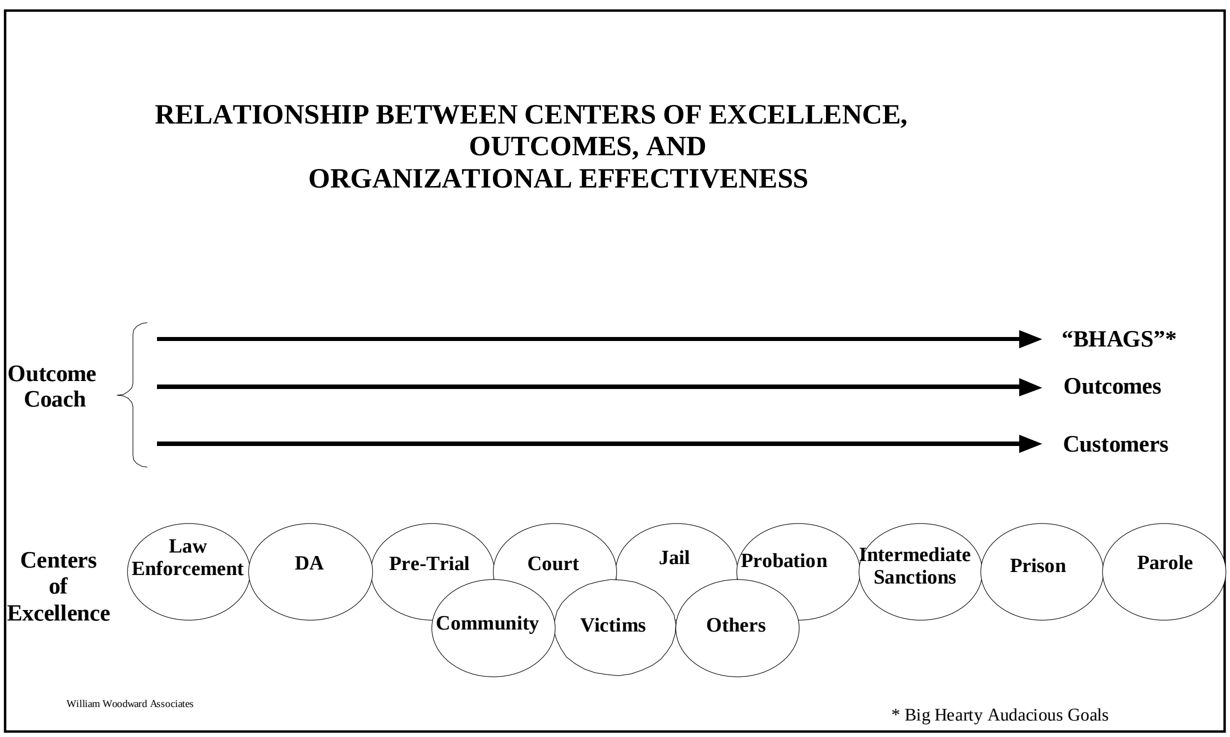


Figure 3. The systems approach to criminal justice.

Centers of Excellence

CENTERS OF EXCELLENCE: In this model, starting with the base, are the "centers of excellence." The centers of excellence represent the varying community agencies and groups responsible for the criminal justice system. In each agency or center of excellence, the agency director and staff attempt to do the very best job of meeting the needs of their customers (citizens), hiring the best staff, doing the best training, firing when necessary, and developing goals, policies, and procedures for that agency.

Outcome Coaches

OUTCOME COACHES: However, if all the centers of excellence went their own way, they would not operate as a system. Therefore, many communities have developed what Dr. Hammer describes as the "outcome coach." These coaches often look like a community criminal justice coordinating council, a criminal justice council/board, or at the state level a commission on criminal justice. The name is irrelevant. The idea is that all stakeholders in the criminal justice system must be a part of the "coaching" structure that oversees the criminal justice system. And they all must have the same vision for the criminal justice system.

Big Hearty Audacious Goals (BHAGs)

BIG HEARTY AUDACIOUS GOALS (BHAGS): The vision for the criminal justice system is shown here in the Hammer model as the Big Hearty[2] Audacious Goal(s) (BHAGs). The vision or BHAG should focus on the outcome desired by citizens and the community. In some communities there will be more than one BHAG, but getting all on board for this "mega goal(s)" is critically important to the efficient functioning of the criminal justice system. This does not mean that the individual goals of the individual agencies (centers of excellence) are not important. They are important. However, mega goals for the system can become something that all the stakeholders in both the community and the criminal justice system work together to achieve.

Exercise:

Jot down one thing you believe to be a BHAG that everyone in your local/ state criminal justice system is working on today. Now jot down one you would like to see the entire system work on.

The process of deciding on these BHAGs is of critical importance and there are good references for this work.[3] Once BHAGs are agreed upon, action planning by the staff and members of the committee/commission is critical to meet such mega goals.

Examples of BHAGs taken on by local and state councils/committees/ commissions include:

- Development of drug courts in all jurisdictions within three years.

- Reduction of recidivism by 30% over 3 to 5 years.
- Development of a common data management system across all agencies by a specified date.
- Development of management/treatment resources for ten sex offenders during the next year.
- Reduction of burglaries by 10% over five years.
- Improvement in public satisfaction with the criminal justice system by 20%.
- Develop 25 probation/law enforcement partnerships for high-risk cases within the next year.
- Reduce crowding and costs of operating the local jail by 10% over the next year.

Often there is confusion between BHAGs and agency goals. For example, a local sheriff's office may have a goal of reducing the crowding of the local jail, but without the buy-in of the criminal justice council/committee, it remains the sheriff's goal only.

Criminal Justice System Decision Points

KEY DECISION POINTS: The major decision points in the criminal justice system include:

- **Decision to Arrest –** yes/no or referral to services
- **Decision to Detain Pre-trial –** yes/no/summons
- **Decision to Release from Pre-Trial Detention –** yes/no
- **Decision to Prosecute –** yes/no, deferred prosecution, diversion
- **Adjudication Decision/Outcome –** guilty, not guilty, nolo contendere, adjudication for juvenile
- **Sentencing Decision –** non custody, state custody, local custody, deferred

Sentence Modification Decision – return from probation, on appeal, deferred reinstatement

Exercise:

Take a minute to talk about each of the decision points. For each decision point list all of the factors that might influence each decision point. Some of the major ones are noted below.[4]

Many factors can influence the outcome of each decision point.

FACTORS THAT MAY INFLUENCE DECISION POINTS: The decision to arrest might be affected by such factors as the time of day, tiredness of the officer, relative seriousness of the offense, past history of arrestee, need for a warrant, policies of the law enforcement agency, capacity of the jail, victim response to the crime, or risk of future crimes.

The decision to detain pre trial might be affected by the dangerousness of the offense, victim statements, background of the arrestee, bonding guidelines set by the court, or checklists developed by the law enforcement agency,

The decision to release pre trial might be affected by the offender's responsiveness while in pre trial status, willingness to accept direction, guidelines set by the pre trial agency, age of the arrestee, case loads, victim statements, number of prior arrests, age at first arrest, problems created in the past by this offender, or officer assessment of offender.

The decision to prosecute might be affected by the prosecutor's case load, priority of the crime, prior judicial rulings, evidence of crime, time of day, judge assigned to the case, credibility of witnesses, credibility of the police officer making the arrest, willingness of the defense attorney to "talk" to prosecutors, willingness of the prosecutor to "talk" to the defense attorney, work load of the defense attorney, current jail crowding, and victim statements.

Adjudication outcomes for juveniles and sentencing outcomes for adults may be influenced by the evidence presented, quality of the prosecution and defense, makeup of jurors (in a jury trial), the judge assigned, victim statements, community feeling about the case or crime, pre-sentence investigation results, how the defendant presents him or herself to the court, mitigating or aggravating factors, plea agreements and availability of alternative sentencing options.

Sentencing modifications can be affected by the evidence presented and the mood of judge, prosecutor, and defense attorney.

The decision points are where the outcome coach will have maximum influence.

USING DECISION POINTS FOR SYSTEM CHANGE: The decision points of the criminal justice system are places where the outcome coach, i.e. council/committee, will have maximum influence. If each decision point in a criminal justice system is mapped out, with all the possible options, causes, and outcomes, the council will better understand how to reach their BHAGs.

Indicators at each decision point can also be compared with other jurisdictions or states. For example, what are the recidivism rates of other jurisdictions? Or public satisfaction levels in other communities? Or crime rates of other communities? Or percentage of sexual assault cases that plead to a non-violent offense?

Effectiveness of the Criminal Justice System

The effectiveness of the criminal justice system is often questioned. Law enforcement will discuss “arrests,” prosecutors “convictions,” corrections officials “rearrest or reconviction,” and citizens “crime rates.” These center of excellence measures never tell the whole story. They are focused on the parochial interests of a particular agency. They are not measures of the work of the entire criminal justice system.

MEASURING CRIMINAL JUSTICE SYSTEM EFFECTIVENESS: The system itself can best be measured through the agreed upon BHAGs identified and approved by the criminal justice council/committee of the jurisdiction. Once a criminal justice council/committee is clear about which BHAGs are most important, action plans should ready a community for the coming focus of the planning effort. The following table (figure 3) is a way to measure the various sanctions/philosophies of the criminal justice system.

Exercise:

Assess a community criminal justice system by reviewing the web sites of all “stakeholders.” List the BHAGs found on each web site, then list the individual goals of each agency. Pick the three most measurable of the BHAGs/goals and plot the success based on those BHAGs.

Measuring Criminal Justice Sanctions/Philosophies

PHILOSOPHY	VALUE	MEASURE	EXAMPLE
Punishment/ Retribution/ Just Desserts	Value in terms of pain and suffering.	Number of units of fines, days in jail, days in prison, etc., dispensed.	Co. x ordered $25K in fines, 356 person days in jail, and 4500 person days in prison last year; this is an increase in each area of at least 10%.
Crime Reduction	Value in terms of impact on crime rate.	Changes in specific crime rate reductions (or fear of crime), perhaps in targeted communities.	Burglaries in the NW precinct were down by 22% over burglaries in the past two years.
Recidivism Reduction	Value in terms of impact on reoffense rate.	Changes in recidivism rates as defined by criminal justice council/ committee of jurisdiction.	Recidivism (measured by rearrest within 3 years on the street) dropped by 20% over the past year.
Reparation	Value in terms of compensating aggrieved parties.	Dollars paid to victims of crime by offenders.	During the past year victims received an average of $105 per victim as compared to the prior year where the victim received an average of $98 per victim.
Economic Costs	Value in terms of cost efficiency.	Cost per unit of "corrections" provided as compared to other options.	A $1 investment in this program will save $3.24.
Public Satisfaction	Value in terms of public approval ratings.	Changes in ratings given criminal justice system agencies based on survey data and analysis.	The public's approval of the Sheriff's office improved 16% over last year on 5 of 7 survey questions.
Restoration	Value in terms of restoring the victim, the offender, and the community.	Survey of victims, offenders, and community sample looking at various ways restoration can occur.	In a recent survey of the community, 25% "agreed" with the statement "the criminal justice system is important in restoring my community when crime occurs." This is a 10% increase over last year; offenders report 8% greater satisfaction with their crime free lives than last year; victims report 11% improvement in restorative services from the police and prosecutors' office.

Figure 4. Measuring Criminal Justice Sanctions/Philosophies

Summary

Knowledge

The criminal justice system is a vast array of connected government and private stakeholders, each focused on a particular job in the criminal justice system and linked by some common philosophy. This philosophy may be statutorily mandated and/or agreed upon by all stakeholders in the criminal justice system.

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.

Executive Branch

Skill: Understanding the relationships between various stakeholders in the criminal justice system and the executive branch.

Behaviors:

- ✓ Ability to map the criminal justice system for a given executive branch jurisdiction.
- ✓ Ability to diagram how decisions are made at each of the executive branch decision points in the criminal justice system.

Skill: Influencing other parts of the criminal justice system.

Behaviors:

- ✓ Develop positive and collaborative relationships with representatives of other parts of the criminal justice system.
- ✓ Acknowledge and understand the problems faced by other parts of the criminal justice system.
- ✓ Promote research-based, cost-effective interventions and encourage the use of reliable assessment tools.

Judicial Branch

Skill: Understanding the relationships between various stakeholders in the criminal justice system and the judicial branch.

Behaviors:

- ✓ Ability to map the criminal justice system for a given judicial branch jurisdiction.
- ✓ Ability to diagram how decisions are made at each of the judicial branch decision points in the criminal justice system.

Skill: Influencing other parts of the criminal justice system.

Behaviors:

- ✓ Develop positive relationships with representatives of other parts of the criminal justice system.
- ✓ Acknowledge and understand the problems faced by other parts of the criminal justice system.
- ✓ Work to secure buy-in from judicial stakeholders for the use of research-based, cost-effective interventions and reliable assessment tools.

Legislative Branch

Skill: Understanding the relationships between various stakeholders in the criminal justice system and the legislative branch.

Behaviors:

- ✓ Ability to map the criminal justice system for a given legislative/local jurisdiction
- ✓ Ability to diagram how decisions are made at each of the legislative branch decision points in the criminal justice system.

Skill: Influencing other parts of the criminal justice system.

Behaviors:

- ✓ Develop positive relationships with representatives of other parts of the criminal justice system.
- ✓ Acknowledge and understand the problems faced by other parts of the criminal justice system.
- ✓ Provide legislative stakeholders with accurate information and data to inform the development of effective legislation.
- ✓ Work with legislative branch stakeholders to secure funding for research-based, cost-effective interventions and reliable assessment tools.

Sanctioning Philosophies

Skill: Categorizing specific policies and procedures based on their sanctioning philosophy.

Behaviors:

- ✓ Ability to list the major policies and procedures of a jurisdiction and organize them to correspond to sanctioning philosophies.

Skill: Developing a systems approach to criminal justice that integrates the perspectives of all the stakeholders.

Behaviors:

- ✓ Bring together criminal justice stakeholders to develop one or more BHAG(s).
- ✓ Understand the decision points within the criminal justice system where you can have the most influence.

Skill: Monitoring outcomes in the criminal justice system.

Behaviors:

- ✓ Establish and monitor outcome measures for BHAGs and individual "Centers of Excellence."
- ✓ Ensure decision-making within your area of responsibility is based on objective assessment and reliable data whenever possible.
- ✓ Put mechanisms in place to gather accurate data to measure outcomes and inform decision-making.

FOCUS FOR MANAGERS AND SUPERVISORS

CRIMINAL JUSTICE SYSTEM	MANAGERS	SUPERVISORS
	Managers are often classified positions that report to senior level leaders. They may advise senior level leaders about policy development, but the primary focus is working with internal stakeholders to create the systems and services needed to implement agency policy. **Typical titles of managerial positions:** ➢ Corrections Unit or Program Manager. ➢ Deputy Jail Administrators ➢ Capital Programs or Correctional Industries Administrator ➢ Probation, Parole, Community Corrections or Community Sentencing Department Head or Regional/District Manager ➢ Interstate Compact Administrator	This individual generally manages the staff that works directly with the client or constituent group. He or she also makes recommendations to improve systems and service delivery and monitors for compliance with agency policy. Supervisors work primarily with internal staff but may also represent the agency during interactions with customers and external agency staff. **Typical titles of supervisory positions:** ➢ Adult or Juvenile Correctional Housing Unit Supervisor ➢ Probation, Parole, Community Corrections/Sentencing Supervisor ➢ Accounting, Budget, Legal, Purchasing, and/or Contracts Supervisor ➢ Victim/Witness Program Supervisor ➢ Correctional Industries Supervisor
1. Executive Branch	Managers are responsible for: ▪ Knowing the roles and areas of responsibility for executive branch criminal justice stakeholders. ▪ Developing positive relationships with executive branch stakeholders relevant to your area of responsibility. ▪ Including executive branch stakeholders on oversight/project teams when appropriate. ▪ Acknowledging and understanding the perspectives of executive branch stakeholders.	Supervisors are responsible for: ▪ Knowing the roles and areas of responsibility for executive branch criminal justice stakeholders. ▪ Developing positive relationships with executive branch stakeholders relevant to your area of responsibility. ▪ Working with executive branch stakeholders on oversight/project teams. ▪ Acknowledging and understanding the perspectives of executive branch stakeholders.

CRIMINAL JUSTICE SYSTEM	MANAGERS	SUPERVISORS
	▪ Promoting research-based, cost-effective interventions and encouraging the use of reliable assessment tools.	▪ Overseeing the competent delivery of research-based, cost-effective interventions and assessment tools.
2. Judicial Branch	▪ Knowing the roles and areas of responsibility for judicial branch criminal justice stakeholders. ▪ Developing positive relationships with judicial branch stakeholders relevant to your area of responsibility. ▪ Including judicial branch stakeholders on oversight/project teams when appropriate. ▪ Acknowledging and understanding the perspectives of Judicial branch stakeholders. ▪ Working to secure buy-in from Judicial stakeholders for the use of research-based, cost-effective interventions and reliable assessment tools.	▪ Knowing the roles and areas of responsibility for judicial branch criminal justice stakeholders. ▪ Developing positive relationships with judicial branch stakeholders relevant to your area of responsibility. ▪ Working with judicial branch stakeholders on oversight/project teams when appropriate. ▪ Acknowledging and understanding the perspectives of judicial branch stakeholders.
3. Legislative Branch	▪ Knowing the roles and areas of responsibility for legislative branch criminal justice stakeholders. ▪ Developing positive relationships with legislative branch stakeholders relevant to your area of responsibility. ▪ Including legislative branch stakeholders on oversight/project teams when appropriate. ▪ Acknowledging and understanding the perspectives of legislative branch stakeholders. ▪ Providing legislative stakeholders with accurate information and data to inform the development of effective legislation. ▪ Working with legislative branch stakeholders to secure funding for research-based, cost-	▪ Knowing the roles and areas of responsibility for legislative branch criminal justice stakeholders. ▪ Developing positive relationships with legislative branch stakeholders relevant to your area of responsibility. ▪ Working with legislative branch stakeholders on oversight/project teams when appropriate. ▪ Acknowledging and understanding the perspectives of legislative branch stakeholders. ▪ Gathering accurate information and data to inform the development of effective legislation.

CRIMINAL JUSTICE SYSTEM	MANAGERS	SUPERVISORS
	effective interventions and reliable assessment tools.	
4. Sanctioning Philosophies	▪ Developing and promoting a systems approach to criminal justice that integrates the perspectives of all the stakeholder groups. ▪ Bringing together criminal justice stakeholders to develop a (few) BHAG(s). ▪ Understanding the decision points within the criminal justice system. ▪ Ensuring decision making within your area of responsibility is based on objective assessment and reliable data whenever possible. ▪ Establishing and monitoring outcome measures for BHAGs and individual "Centers of Excellence."	▪ Participating in project teams to develop and implement BHAG(s). ▪ Understanding the decision points within the criminal justice system. ▪ Ensuring decision making within your area of responsibility is based on objective assessment and reliable data whenever possible. ▪ Ensuring mechanisms are in place to gather accurate data for outcome measures.

REFERENCES

Boone, Gloria, Ph.D. and Richard P. Kroop, Ph.D. (1991*). Communicating in the Business Environment.* Amherst, MA: Human Resource Development Press.

Chang, Richard. (1995). *Meetings That Work*. Irvine, CA: Richard Chang Associates, Inc.

Cole, George and Christopher Smith. (1998). *Criminal Justice in America*. Belmont, CA: Wadsworth Publishing.

Collins, James C. and Jerry I. Porris. (1997). *Built to Last, Successful Habits of Visionary Companies*. New York: Harper Business.

RECOMMENDED READING

Asher, Spring and Wicker Chambers. (1998). *Wooing and Winning Business: The Foolproof Formula for Making Persuasive Business Presentations.* New York: John Wiley and Sons.

Burke, Peggy et al. (1996). *Guide to a Criminal Justice System Assessment: A Work in Progress* U.S. Department of Justice: National Institute of Corrections.

Cushman, Robert C. (2002). *Guidelines for Developing a Criminal Justice Coordinating Committee.* U.S. Department of Justice: National Institute of Corrections

Marion, Nancy E. (2002). *Criminal Justice in America: The Politics Behind the System*. Durham, NC: Carolina Academic Press

McGarry, Peggy and Madeline M. Carter. (1993). *The Intermediate Sanctions Handbook: Experiences and Tools for Policymakers* U.S. Department of Justice: National Institute of Corrections.

Endnotes

[1] All court statistics and information contained in the Judicial Branch section were current in 1998 unless otherwise noted. www.ojp.usdoj.gov/bjs/courts.htm

[2] In *Built to Last*, Collins and Porris refer to these as “Big Hairy Audacious Goals.”

[3] Intermediate Sanctions Workbook, Center for Effective Public Policy, NIC publication; Developing a Criminal Justice Coordinating Committee, NIC, publication 017232; and Guide to a Criminal Justice System Assessment - all may be found at the National Institute of Corrections web site: www.nicic.org.