Achieving Performance Excellence (APEX)
Guidebook Series

*A practical guide to organizational assessment,
performance improvement, and change management*

Achieving Performance Excellence:

The Influence of Leadership on Organizational Performance

NIC

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Achieving Performance Excellence: The Influence of Leadership on Organizational Performance

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Foreword

With all the complex demands and responsibilities placed on correctional agencies today, leadership and the development of leadership skills are essential for achieving high performance and mission success. The National Institute of Corrections (NIC) has historically highlighted visionary leadership as a hallmark of correctional organization competency. Continuing with this emphasis, **Leadership** is one of eight domains in the Achieving Performance Excellence (APEX) Public Safety Model. This APEX Guidebook—*Achieving Performance Excellence: The Influence of Leadership on Organizational Performance*—covers myriad issues and examples related to leaders and leadership at the individual and organizational levels as well as some of the leadership responsibilities outside of the organization.

The Influence of Leadership on Organizational Performance presents leadership practices, competencies, tools, behaviors, traits, styles, and approaches. The importance of values and ethics is emphasized. Other key topics include managing relationships, coaching, mentoring, and leading other people, the organization, and beyond the organization. Leadership styles are discussed, including situational, distributed, and transactional. Transformational leadership emphasizes the ability to motivate individuals in an organization to achieve their own and shared goals and to enhance the workforce in ways that lead staff to exceed their own expectations. Effective leaders learn to use different styles at different times—taking a balanced leadership approach.

The field of corrections is full of examples of effective leadership, and many examples and case studies are included throughout the various chapters. The book concludes with two stories from the field: (1) collaboration in a state correctional system to improve leadership and performance in an institution, and (2) a county correctional facility's approach to transforming its culture, leadership, and workforce to higher performance.

The premise of *The Influence of Leadership on Organizational Performance* is that this topic is critical to an organization's success and that it is developmental and can be learned, taught, and practiced. The chapters are organized to allow readers broad latitude to search areas of interest. In addition, other resources are available through NIC's website and its Guidebook *APEX Resources Directory Volume 1*. NIC hopes that you find this information valuable and useful as we strive toward achieving performance excellence.

Morris Thigpen
Director
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Preface

The National Institute of Corrections (NIC) and People in Charge are pleased to present the Achieving Performance Excellence (APEX) Guidebook series. The APEX Initiative began as NIC's Higher Performing Correctional Organization (HPCO) project in 2008. The HPCO project involved many correctional practitioners helping to identify the characteristics of a higher performing correctional organization. Practitioners and subject matter experts created a definition and a model of an HPCO based on the Baldrige Performance Excellence Program at the National Institute of Standards and Technology. The Baldrige Performance Excellence Program provides global leadership in the promotion and dissemination of standards of performance excellence. NIC is excited to bring this to correctional organizations around the country.

As HPCO progressed, it was renamed APEX and now includes three major developments: the APEX Assessment Tools Protocol, the APEX Public Safety Model and Guidebook series, and the APEX Change Agent Training.

The APEX Assessment Tools Protocol was developed during the years 2009–2011 to help correctional agencies identify their current organizational performance and areas to improve. Many correctional practitioners and agencies participated in the development, testing, and refinement of the tools in the protocol.

The APEX Guidebook evolved from one guidebook with information on the APEX model, its domains, and organizational change into a series of books. The Guidebook series is designed to provide resources, information, and processes to correctional organizations as they travel the path of organizational change leading to higher performance.

The APEX Change Agent Training will provide correctional agencies with capacity-building training and technical assistance in the APEX systems approach to organizational performance improvement.

The Influence of Leadership on Organizational Performance is a key book in the APEX Guidebook series. The importance of leadership in any change initiative cannot be overstated. In the field of corrections, strong leadership needs to be developed throughout the organization, and it is integral to the success of operations and the sustainability of innovations. This guidebook presents an array of information about leading people and organizations that current and upcoming leaders will find practical and valuable.

Respectfully submitted,

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PEOPLE IN CHARGE

People in Charge is a small, woman-owned business that works with organizations and communities in the public and private sectors, helping them maximize their effectiveness through the participation of their people. Our focus is to help groups of people work together to build strong and vibrant organizations through participative planning, organizational design, and learning. You can learn more about People in Charge by visiting our website at *www.peopleincharge.org*.

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Introduction to Achieving Performance Excellence

The APEX: Achieving Performance Excellence Initiative introduces a systems approach to change, specifically for correctional organizations, and incorporates multiple tools and strategies to assist agencies in building sustainable capacity for higher performance. The APEX Initiative includes the APEX Public Safety Model and its components, the APEX Assessment Tools Protocol, the APEX Guidebook series, and the APEX Change Agent Training. This initiative informs data-driven decisionmaking, enhances organizational change efforts, and provides support and resources to correctional agencies. At the heart of APEX is the fundamental mission of correctional organizations to maintain public safety, ensure safe and secure correctional supervision of offenders, and maintain safe and secure settings for those who work in the field. This comprehensive systems approach to continuous performance improvement encourages innovative ideas to enhance organizational operations, services, and processes and to achieve desired results.

APEX Guidebook Series Overview

The APEX Guidebook series presents a breadth and depth of information on the APEX Initiative, the APEX domains, and interventions and resources for correctional agencies to use as they implement organization improvement efforts. The series includes seven books, descriptions of which follow.

APEX: Building the Model and Beginning the Journey

This book gives a detailed description of the National Institute of Corrections' (NIC's) APEX Initiative, including the APEX Assessment Tools Protocol. The book presents reasons to self-assess and discusses change management and the benefits that correctional agencies can reap when they implement the APEX process.

Each of the APEX domains has a brief chapter devoted to defining it and the benefits of exploring the domain. "Overview to Achieving Performance Excellence" explains the various ways the APEX Initiative can be used in correctional agencies. "Developing a Communications Plan" describes in detail how agencies can inform stakeholders about their performance improvement journey, from the beginning through implementation and sustainability.

Culture and Change Management: Using the APEX Model To Facilitate Organizational Change

This book focuses in depth on organizational culture and change management in the correctional organization context, presenting a roadmap for correctional agencies to use as they begin a change initiative, whether it is a systemic change or a one-issue/intervention change.

Understanding Corrections through the APEX Lens

This book presents details on several of the APEX domains: Operations Focus (which includes Safe and Secure Supervision and Settings and Process Management); Stakeholder Focus; Strategic Planning; Workforce Focus; Measurement, Analysis, and Knowledge Management; and Results.

Achieving Performance Excellence: The Influence of Leadership on Organizational Performance

This book focuses on what individual leaders need to know and do as they develop their best leadership capabilities—the knowledge and practices necessary to lead people, organizations, and those outside the organization, including stakeholders, governing agencies, and the public, and gives the reader an opportunity to understand transactional and transformational leadership. Case studies from correctional agencies illustrate the concepts and provide realistic examples.

Applying the APEX Tools for Organizational Assessment

The APEX Assessment Tools Protocol includes three assessments that are corrections focused and user friendly. This self-assessment protocol includes the APEX Screener Tool (a short survey designed as a first step to assess readiness for change), the APEX Organizational Profile (a series of questions that help identify data, knowledge, and performance gaps in the organization), and the APEX Inventory (an indepth survey that rates performance in domains as well as readiness to change).

APEX Resources Directory Volumes 1 and 2

These volumes present numerous interventions and resources that agencies can use to help them build and implement their APEX change plans, deal with challenges and adjustments along the way, and sustain the changes. Volume 1 includes an introduction on how to use the NIC Information Center and sections on change management and each of the APEX domains and is designed to work with the reports from the APEX Assessment Tools. Volume 2 contains information on communication during times of change, focus groups, and team development; it also includes the NIC Information Center introduction.

USING THE ORGANIZATIONAL PROFILE

Fifteen staff and managers participated in the Organizational Profile to get a better idea of how their probation agency is dealing with its stakeholders and political environment. They learned that, although they are doing a pretty good job of dealing with their judicial overseers, there is a lack of trust and collaboration with other service providers in their jurisdiction. They downloaded several APEX books from the NIC website, including *Understanding Corrections through the APEX Lens* and the *APEX Resources Directory Volume 1*. They reviewed the sections on stakeholders to get ideas for increasing communication, building relationships, and improving collaborative initiatives with other agencies and external stakeholders as well as improving relationships with clients and their families.

The Guidebook series may be used in its entirety or in parts to suit the needs of agency personnel. The books in this series provide information, strategies, and tools to address the performance issues of correctional agencies. Use of the assessment tools is optional. Agency staff who know which topic they want to work on may go directly to the *APEX Resources Directory* or another book in the series for guidance.

How To Use APEX

The APEX Assessment Tools are designed for agencies to assess their organizational performance. The tools—Screener, Organizational Profile, and Inventory—were designed specifically for use in correctional agencies and are discussed in detail in *Applying the APEX Tools for Organizational Assessment.*

As an agency begins a change process, it can choose to use one or more of the APEX Assessment Tools, and it can cut and paste certain Guidebook chapters or strategies to target performance improvement areas. Because APEX is an agency-driven initiative, users can navigate the APEX materials and the tools to create a customized implementation plan. *APEX Resources Directory Volumes 1* and *2* provide access to other materials, tools, publications, and websites to tailor a specific performance improvement strategy.

Chapter 1: Introduction

Leadership is not a hard-wired trait, but disciplined and focused individuals can learn how to become leaders by developing and applying the necessary skills, traits, and practices. This book contains a variety and a depth of information on leadership. Chapter 2, "Focus on the Leader" looks at leadership from the personal level of knowing oneself. Five levels of leadership are illuminated as well as the specific traits of a leader and various approaches to and styles of leadership. When people meet challenges, they progress through a leadership hierarchy in which their position depends on their ability to identify and acquire new tools, behaviors, and approaches to address challenges and use their influence. Specific case studies of real correctional workers who demonstrated leadership abilities are included throughout.

The APEX Leadership Domain is further explored in chapter 3, "Leadership of Others and Beyond," which encourages a higher level of performance for correctional leaders. Ethics and values, valuing relationships when dealing with conflict, managing change, strategic thinking, effective communication, and managing external and political environments are emphasized. Coaching, mentoring, collaboration, team development, problem solving, and decisionmaking are critical leadership skills, as is the ability to elicit change. The chapter also discusses situational and distributed leadership characteristics and styles. Just as leadership can be learned, it can be taught and assimilated through reflection, practice, and evaluation.

Chapter 4, "Leadership That Is Transforming," illustrates the roles of transformational and transactional leadership. Transactional practices guide critical, detailed, rule-driven operations, whereas transformational practices enable a leader to inspire followers to lead as well as to address change and the challenges that require creative and inspired involvement. The U.S. Army's leadership development system is used as an example of how each leadership style works in different situations. Transformational leadership enables higher performance in correctional organizations as leaders create a safe environment in which followers can take risks that result in positive change. Effective correctional leaders realize that individuals are motivated differently, and they strive for balanced leadership on the continuum between transformational and transactional and continue to be firm, fair, and consistent.

Case studies are provided to illustrate the concepts presented in chapters 2 through 4. In chapter 5, "Case Study—Collaboration Shifts a Dysfunctional Culture," a correctional department engaged individuals throughout the system to work together to shift the culture and performance in a struggling facility using the REACT model (Responding Effectively Acquiring Collaborative Team). In chapter 6, "Case Study—New Leadership as a Catalyst for Change," a new leader shifted a dysfunctional system with extremely low staff morale. By encouraging pride in the staff's professionalism, improving the work environment, implementing a new data collection and analysis system, opening communication, and creating opportunities for advancement and training, he empowered the staff and enabled them to focus on offender rehabilitation, successful reentry, data-based decisionmaking, and decreased recidivism resulting in more humane conditions for all.

Chapter 2: Focus on the Leader

Whatever you are, be a good one.

—Abraham Lincoln

L eadership is one of the eight domains in the Achieving Performance Excellence (APEX) model and is critical in determining how an organization accomplishes its legal, ethical, and societal responsibilities, including public safety and responsible stewardship of public resources. Leadership is also concerned with the responsibilities involved in running and guiding the organization and all of its staff members.

> Leadership is a critical element in contemporary corrections. With depleting government budgets, correctional organizations must operate as efficiently and effectively as possible. . . . Budget cutbacks, high turnover rates, technological innovations, legal mandates, and other factors dramatically affect change in correctional organizations. Proper leadership is essential to managing this change and leading the people who staff correctional organizations (Montgomery 2006:1).

This chapter is written for leaders in jails, prisons, and community-based corrections. It gives practical examples and integrates best practices with existing National Institute of Corrections (NIC) leadership competencies, the APEX model, other chapters in this book, and other books in the APEX Guidebook series. As a leader continues along the leadership hierarchy, new tools, behaviors, and approaches can and must be learned.

Leadership versus Management

Correctional leaders are faced with challenges that call for answers to difficult questions such as:

■ How can I demonstrate prudent stewardship of the taxpayers' money?

■ How can I encourage staff to improve offender/client success rates and to lower recidivism rates?

■ How can I create a positive relationship with the media and be effective in my communications with them, especially when an unplanned negative event occurs?

■ How can I motivate employees who are resistant to change?

■ How can I influence employee motivation and maximize staff contributions?

Leaders in successful correctional agencies are those who are able to master a proactive and comprehensive agenda to address needs and expectations. They communicate this agenda to staff, offenders, governing bodies, other agencies, and external stakeholders.

Note: Chapter 2 was written by Marge Douville Fajardo.

A manager knows how to enforce a policy; a leader ensures that staff members understand the policy and instills a willingness in them to comply voluntarily with policy. One correctional administrator stated that leadership is having people do what you want them to do without having to tell them to do it.

Sometimes people are promoted to leadership positions without the skills needed to influence staff. Managers need some skill development to learn how to lead. Without leadership skills, they run the risk of being unable to deal with changing conditions effectively and in a sustainable manner. Conversely, leaders who run their organizations without management skills may lack accountability or consistency. When the leader of a higher performing organization can make the distinction between leadership and management, and make sure that all skills are covered, the organization is on its way to being the best it can be. According to Kotter (1996), organizations must be led as well as managed or they face extinction.

Leaders at all levels must examine the skills they use on the job. Often leaders are promoted from management positions to leadership roles, and they are reluctant to give up their management focus to actually lead the organization. "When there is an imbalance of managers over leaders, the result frequently is a lopsided organization that forgets its overriding goal for the sake of polishing its immediate appearance" (Martin 1999:94).

Exhibit 1 shows a composite of the definitions of leadership and management by various leadership experts. A more elaborate discussion of this topic can be found in chapter 3 of this book.

Exhibit 1: Leadership versus Management

Leadership	Management
Provides— Interpersonal aspects; is able to change, adapt, and sustain.	**Provides—** Administrative aspects, order, consistency, and predictability.
Establishes direction at the big-picture level. Provides a vision for what the organization can become; institutes strategies, goals, and measures for getting there.	**Plans and budgets.** Establishes detailed timetables and steps for getting desired results, allocates needed resources, and carries out administrative duties.
Aligns people. Communicates the direction and builds a sense of community, elicits cooperation and teamwork, and keeps key people motivated to support the initiative.	**Organizes and provides staffing.** Creates a structure for carrying out the plan, staffs the plan, delegates responsibility, and provides policies and procedures.
Motivates and inspires. Mobilizes people to carry out the new vision, energizes people to overcome barriers to change, and creates a sense of purpose and meaning.	**Controls staff and solves problems.** Monitors results, solves problems, and makes corrections for deviations from the plan.
Does the right thing.	**Does things right.**

Source: Bennis 1989; Bennis and Goldsmith 2010; Dubrin 2007; Kotter 1996.

The Meaning and Importance of Influential Leadership

The true measure of leadership is influence. That's it. Nothing more; nothing less.

—*John Maxwell*

Leadership experts such as Maxwell (1993:3) and Kouzes and Posner (2002:20) define *leader* as someone whose followers follow by choice, someone who influences staff to creatively contribute to organizational success and to take responsibility for his/her actions. Influence plays a big part in how we live our lives and how the workplace is run. To influence, affect, or persuade, a person does not have to be in a leadership position, and people who are put into leadership positions are not necessarily the primary influencers.

Correctional leaders need to be able to influence:

- Individuals and groups internally to get the work done more effectively and securely.

- Correctional administrators and others in the criminal justice system.

- External stakeholders such as election-conscious politicians, labor unions, advocacy groups, media, offenders' attorneys, and religious groups.

Levels of Leadership

The growth of leadership influence is an intentional process, and leaders need to be aware that (Maxwell 2002:82):

- Every time the leader changes his/her job to a new organization, he/she starts over at the base level.

- Moving to a higher level requires commitment from both the leader and those who follow.

- Change becomes easier as the leader climbs the levels because there will be others to assist him/her.

- As the leader builds each level on the previous one, he/she must maintain the levels below to keep his/her influence from crumbling. Simplified, this means leaders need to keep in touch with people as they move up the ladder.

KEEPING IN TOUCH

In many correctional agencies, leaders make a point of going to each office and/or facility on a regular basis; this keeps them in touch with the staff and the offenders/clients as well. It does require them to be on the road regularly. However, the benefits of showing up, talking with people, walking around, and holding formal and informal discussions are well worth the effort.

To help leaders build a base of influence, Maxwell (2002) has identified five levels of leadership that build on each other:

1. **Level 1: Position.** This basic level of leadership is based on the influence a person has because of his/her job title. Leaders who believe that their titles are synonymous with leadership and who continue to operate at this level typically use their authority to get work done and potentially intimidate others in the process. Using this approach, they encounter resistance and lack of motivation among their staff and leadership team because their "followers" are not followers at all.

2. **Level 2: Permission.** As the saying goes, people do not care how much you know until they know how much you care. The leader operating at this level exercises emotional and social intelligence in developing good interpersonal relationships; he/she knows it is important to deal carefully with people and to put people before procedures.

3. **Level 3: Production.** When relationships are working well and the needs of staff are being met, production goes up. Leaders operating from level 3 provide a vision, strategy, and way for people to be accountable and successful. As goals are met, momentum builds to get to the next level of influence where leadership becomes shared.

4. **Level 4: People development.** At level 4, people in the organization feel empowered and want to develop their own leadership skills. The leader places a high priority on developing them and builds a core group of people who complement his/her skills and help disseminate his/her message to others.

5. **Level 5: Personhood.** Leaders at level 5 are highly respected because over the years they have proved themselves as influencers with high standards and as effective mentors. They have reputations that others want to emulate.

CASE STUDY: A LEVEL 5 LEADER

A former director of prisons learned good leadership skills by observing others. He would ask himself, "What is good; what is bad; what do I want to put in my bag?"

One leader he personally observed was Colin Powell, GEN (Ret). The director considered Powell a level 5 leader on John Maxwell's scale (people follow a level 5 leader because of who they are and what they represent, not because they have to (level 1), because they want to (level 2), because of what the leader has done for the organization (level 3), or because of what the leader has done for them (level 4)). "Powell was cool, calm, and collected and when something was not going according to plan, he would ask subordinates for their input instead of blaming someone else. He was different than other military leaders who made proclamations without getting input. Level 5 leaders are hard to find. When you do, people flock to them."

The director carried through on Powell's philosophy when he faced a prison incident. He did not believe in "beating up" on people when mistakes happened. Instead he would ask questions such as, "What systems do we have in place to prevent this? Were they applied? What needs to be changed?"

He concluded, "Corrections is the ultimate people business. If you take care of people, everything around you falls into place."

Maxwell, J.C. 2011. *The 5 Levels of Leadership.* New York: Center Street.

According to Maxwell (2002), as leaders move up the levels, higher performance and change become easier as the level of trust grows. This process is supported by Stephen M.R. Covey's *speed of trust* theory, in which Covey maintains that when people trust each other, work and transactions speed up and their cost goes down. A leader's influence is connected with having that reputation of trust (Covey 2006:26).

Leadership Traits

The traits of leaders who are willingly followed by others were identified in research by Kouzes and Posner in 1987 and revalidated in 1995 and 2002 (Kouzes and Posner 2002). Their research focused on how leaders mobilize others to create extraordinary results. They noted that the how-tos of leadership—the strategies, tactics, skills, and practices—are insignificant unless leaders understand the value of the social capital built by investing in relationships. Kouzes and Posner (2002) state that followers want their leaders to be honest, forward looking, competent, and inspiring. Bennis and Goldsmith (2010:xx–xxi) identified similar characteristics that constituents want from their leaders: purpose, direction, meaning, trust, optimism, action, and results. Notice how both lists overlap to create these four groups of characteristics:

1. Honest/Trustworthy/Ethical/Upright.

2. Forward looking/Purpose driven.

3. Competent/Results oriented.

4. Visionary/Inspirational/Optimistic.

According to Kouzes and Posner (2002:25), effective leaders also must be intelligent, fairminded, broadminded, supportive, straightforward, dependable, cooperative, determined, imaginative, ambitious, courageous, caring,

CASE STUDY: INFLUENCING CHANGE

As one correctional administrator noted, leaders need to have a vision of where they want the organization to go and then become the kind of leader who influences the staff to get there. A leader's decision to embark on major change may be met with great resistance. Leaders realize that change cannot always be achieved with the existing culture and mindset held by staff. To influence change, this administrator felt he had to increase his credibility, which takes time and requires building relationships and developing people. Starting with the line and mid-level staff, the administrator elicited opinions and input about ways the organization could be more effective in meeting its goal of accreditation.

One of the first tasks was to build systems across the department. Instead of people at the higher levels making the rules without including the managers and line staff, the administrator believed that people who actually operate the prisons should have input into reviewing and changing processes and procedures. The administrator surrounded himself with capable people, listened to their ideas, and made necessary changes based on their input. Through this process, the administrator improved his credibility as a leader and was able to do the work necessary to achieve accreditation. As a testament to the administrator's influence, the accreditation process continues as a source of pride for the agency.

mature, loyal, self-controlled, and independent. Most of these characteristics are emotional and social intelligence skills, which are discussed later in this chapter.

Leadership Approaches

Within the correctional environment, different styles of leadership are appropriate at different times. Clearly defined leadership is necessary to ensure that chaos cannot take hold. Understanding various leadership approaches allows leaders in correctional agencies to move from one style to another, depending on the circumstances, so that they do not become locked into a particular style.

Seasoned leaders know that there is no exact formula for leading that always works. Leaders must read the situation, the people, and the environment to determine which approaches are needed to promote the greatest success. In being purposeful, the leader will employ some task-related behaviors and some relationship-related behaviors. For the seasoned leader to master this, he/she must be familiar with the facility, the policies and procedures, and, most importantly, the personalities of the staff members. As mentioned above, getting to know the staff well and understanding their similarities and differences allows the leader to interact with each staff member in an appropriate manner. This ability is no different than a successful athletic coach knowing what works best with each player. In larger agencies, the importance of the top leader requiring that all those who supervise others to operate in a similar manner cannot be underestimated.

Task-related leadership behaviors focus more on the task to be performed than on the interpersonal side of leadership. They include defining, analyzing, and solving problems; setting the direction; pioneering new approaches; taking risks; setting high expectations and performance standards; asking tough questions; encouraging candid conversations; and focusing on results.

Relationship-related leadership behaviors get work done by building relationships. They include inspiring and rallying people, aligning people, providing encouragement, being approachable, facilitating dialogue, promoting principles and values, fostering collaboration and a sense of belonging, and being a servant leader. As an example, motivational interviewing is a relationship-based modality that is being used throughout the country with offenders.

A leader's mix of approaches depends on his/her personality and strengths; the personalities, strengths, and level of commitment of those being led; and the requirements of a given situation. Influential leaders are able to

CASE STUDY: GAINING BUY-IN

One new leader in a county correctional facility spent her first 3 weeks interviewing each staff member. She wanted to learn as much as she could about who they were, how they approached their work, and what their aspirations were for the future. Each staff member also got to know her during this process. This enabled both the leader and the staff to work together more smoothly. Over time, they dealt with changing the facility's culture to be less authoritarian, which allowed staff at all levels to participate in decisionmaking and performance improvement. While this may sound time consuming, the leader felt that gaining buy-in from staff saved valuable time as changes in the agency were planned and implemented.

determine the mix of approaches needed for the situation and are able to adapt and modify their approaches based on the circumstances.

Situational Leadership

Situational leadership can enable correctional leaders to learn how to navigate different ways of leading in various circumstances. It can also help them learn how to base their approach on their knowledge of specific staff.

The situational leadership model was first developed by Paul Hersey and Kenneth Blanchard (1977) to help leaders determine which leadership approaches to use in various situations. It suggests that successful leaders adjust their task- and relationship-related behaviors to fit the situation, based on the followers' levels of competence/maturity (indicated below by able or unable) and commitment/self-confidence (indicated below by willing or unwilling):

- **Unable and unwilling**: The followers lack the skills necessary and are unable to take responsibility for the job or task.

- **Unable but willing:** The followers are willing to take on the job or task, but are still not able to do it.

- **Able but unwilling:** The followers are experienced and able to do the task but may lack the confidence to do it.

- **Able and willing:** The followers are experienced at the job or task, comfortable and confident in their ability to complete it, and willing to take responsibility for its completion.

Within a correctional environment, the leadership team must understand that these four levels do not only apply to staff but also to those confined within the facility or supervised in the community. The leadership team also must be prepared to deal with staff and offenders who fall within the first three bullets listed above. This fact can magnify the complications in situations in which an unable/unwilling staff member is dealing with an unable/unwilling person in custody. A proactive approach involves a deeper level examination of motivating factors to determine what action is required with staff and offenders. Leadership within the facility needs to recognize these situations and needs to adjust as quickly as possible.

Task-driven leadership behaviors include telling people what to do and when, how, and where to do it. Relationship leadership behaviors are determined by the extent to which the leader engages in two-way collaborative communication, such as listening, facilitating, and supporting employees. Both of these types of behaviors are found and needed in the chain-of-command structure associated with correctional organizations, even though chain of command is often viewed as more task driven.

The four basic combinations of competence/maturity and commitment/self-confidence are best addressed by different leadership styles as indicated in the situational leadership model below. All four leadership styles are necessary to use within a correctional setting depending on the situation. As we know, situations within a correctional setting run from minor to potentially devastating.

1. **Participating/Facilitating style:** This is a low-task, high-relationship approach. When the followers are moderately ready and able to do the job but are insecure, the leader is no longer directive. Instead the leader uses a shared decisionmaking approach to draw forth followers' understanding of and confidence in completing the job.

2. **Delegating style:** This is a low-task, low-relationship approach. When followers are at a high readiness level and are willing and able to accomplish a particular task, the leader can let them run their own show. It is considered low relationship because the followers do not need supervision or constant communication with the leader.

3. **Selling style:** This is a high-task, high-relationship approach. When followers are at a moderate readiness level but are neither willing nor able to perform at the required level, the leader takes responsibility and controls decisionmaking while building relationships through two-way communication.

4. **Telling/Directing style:** This is a high-task, low-relationship approach. When followers are least mature and are unable, but willing, to do the job, one-way communication comes from the leader to give the specific task directions of what, how, when, where, and who. The leader also closely supervises the work. This approach is advisable to use during a natural disaster or in crisis situations.

No matter which style the leader uses regularly, there are situations in which one style is more appropriate than others based on the maturity level of followers and the situation. When followers are secure, mature, willing, and able to do the work, leaders should provide opportunities for distributed leadership.

These four styles can be viewed through the lens of Cameron and Quinn's (1999) Competing Values Framework and their Organizational Culture Assessment Instrument's four types of organizational culture (see exhibit 2).

Within correctional agencies, all four of the leadership styles and culture types in exhibit 2 can be found. Traditionally, the hierarchy culture and the telling/directing leadership style have been most prevalent; they reflect the concept of "chain of command." As correctional agencies move to a higher level of organizational performance, they also are shifting their cultures and leadership styles. This requires developing staff as well as leaders, which is covered in more detail in chapter 4. Additional information on organizational culture is found in *Culture and Change Management: Using the APEX Model To Facilitate Organizational Change* in this Guidebook series.

Exhibit 2: Leadership Styles

Leadership Style	Culture Type	Behavior Focus	Culture Focus
Participating/Facilitating	Clan	Mentoring, team building	Workplace functions like a family
Delegating	Adhocracy	Entrepreneurship, innovation	Dynamic, innovative workplace
Selling	Market	Producing, driving	Competitive workplace
Telling/Directing	Hierarchy	Organizing, monitoring	Formal, highly structured workplace

Distributed Leadership

As the demands of leadership become greater and new ways of dealing with organizational challenges are required for sustainability, it becomes necessary to build leadership capacity throughout the organization in the form of distributed leadership. This shifts the leadership from a top-down model to a form of leadership that is collaborative and shared. A leadership mentality is developed within the organization. This means that leadership is not just exercised by the executive/organizational leader but is embraced by many others throughout the organization who take responsibility for initiating and carrying out projects about which they have working knowledge or passionate interest (Spillane 2006; Spillane and Diamond 2007). It should be noted that in many of today's modern facilities and supervision settings (direct supervision), all officers who interact with offenders/clients are in reality, leaders. These leaders also must be able to navigate through the various leadership styles previously mentioned in this section.

Distributed leadership changes the leadership model from the executive having power over to having power *with* or power *through* others in the organization. This puts the organizational leader in the position of strategically identifying areas in which leadership is needed and then creating a climate for others to work toward a clear and shared vision. The executive is a true leader of leaders who retains responsibility for the overall performance and direction of the organization, while growing the skills and knowledge of others within the organization to distribute the leadership throughout.

Case Study: The Challenge demonstrates how distributed leadership can work during a time of major organizational change, keeping a high level of morale and engagement among employees during challenging situations that might derail other leaders and organizations.

CASE STUDY: THE CHALLENGE

Administrators of a medium-security facility for men with 1,600 offenders were told to reduce expenses and the number of staff positions, while serving the same number of offenders and maintaining the current recidivism rate. They also wanted to continue to meet their goal of maintaining a high level of employee engagement, despite the fact that employees had not received merit raises for 2 years. In addition, employees felt threatened by the chance of privatization and the need to cut positions because they knew that salaries made up about 80 percent of the budget.

The Solution

The leaders looked for innovative ways to cut costs without laying people off. For the warden and his leadership team, this meant researching what other prisons in similar situations had done and seeking the input of staff at all levels. Leaders intended to keep their facility's positive culture by being fair in making reductions, working collaboratively and interdependently as a team, and supporting staff through the transition. To this end, staff were consulted throughout the process for ideas on how to make changes that would cut costs, improve the system, and maintain safety and security.

Using employee suggestions, the results of their best-practice research, and careful analysis and planning, the leaders developed four strategies to address budget cuts:

1. Close housing units.

2. Close certain towers staffed by correctional officers and install a camera system.

3. Offer early-retirement incentive packages to eligible employees.

4. Identify ways to consolidate services throughout the institution.

The key to the success of these strategies was involving employees at all levels in discussions about what duties to remove, change, or shift to another group. Every area of the institution was reviewed for duplication of services, and employees made suggestions about how to redistribute the workload. After all of the changes were made, there was no need for layoffs. Reduction in staff was done exclusively through attrition, and the positive culture of the organization remained.

The Culture

Their success was credited to the following key elements in the facility's culture:

- **Adhere to the institution's mission:** Provide staff access to the facility leadership. Have a formal communication process among staff and the facility leadership. Distribute leadership responsibilities among other leaders throughout the facility.

- **Develop leaders:** Enable staff to accomplish new tasks.

- **Coach people:** Leaders ask empowering questions and allow staff to come up with their own answers. Provide succession training. Allow staff to grow in their duties and responsibilities with new assignments and experiences.

- **Treat people with respect:** Reinforce the value of the workforce and be sensitive to staff issues.

Emotional and Social Intelligence

Being emotionally and socially intelligent gives leaders another way of getting to know themselves and their employees at a deeper level, enabling them to practice more advanced leadership skills and to engage staff in a proactive and mature way. Teams also benefit from using emotional and social intelligence skills. According to Hughes and Terrell (2007:17), "emotional and social intelligence reflects the ability to recognize and manage your own emotions and to recognize and respond effectively to the emotions of others. This includes understanding your social community from the 'big picture' point of view and the ability to direct change and adapt to that change."

Leaders

Correctional agencies, under the best of circumstances, require leaders and staff to deal with quickly evolving circumstances that can become dangerous at a moment's notice, with nonvoluntary and potentially volatile people who are under supervision or are being incarcerated, and with limited resources to get the job done. Understanding their own emotional and social intelligence, as well as others', allows leaders to become agile and to be able to lead under less-than-ideal conditions. It also inspires them to raise their focus from self to others and to create conditions in which staff can develop their own emotional and social intelligence.

Researchers claim that emotional and social intelligence skills are more important to life and leadership success than IQ, the standard measure of intelligence. The research of Hunter and Schmidt as well as Sternberg (as cited in Goleman 1998) on the correlation between IQ and job performance shows that IQ accounts for only 4–25 percent of a person's job performance. "This means that IQ alone at best leaves 75 percent of job success unexplained, and at worst 96 percent—in other words, it does not determine who succeeds and who fails" (Goleman 1998:19). Emotional and social intelligence make up the difference. People who are socially and emotionally intelligent are people savvy. They have both personal competence and interpersonal/social competence: the ability to understand and manage their own moods as well as understand the emotions of others; they are able to use this information and can choose ways to better relate to others. Exhibit 3 shows the relationship between personal and social competence and management in this emotional and social intelligence model.

Exhibit 3: Emotional and Social Intelligence Model

	Awareness	Management
InTRApersonal Competence ⟹	Self-awareness	Self-management
InTERpersonal/Social Competence ⟹	Other awareness	Relationship management
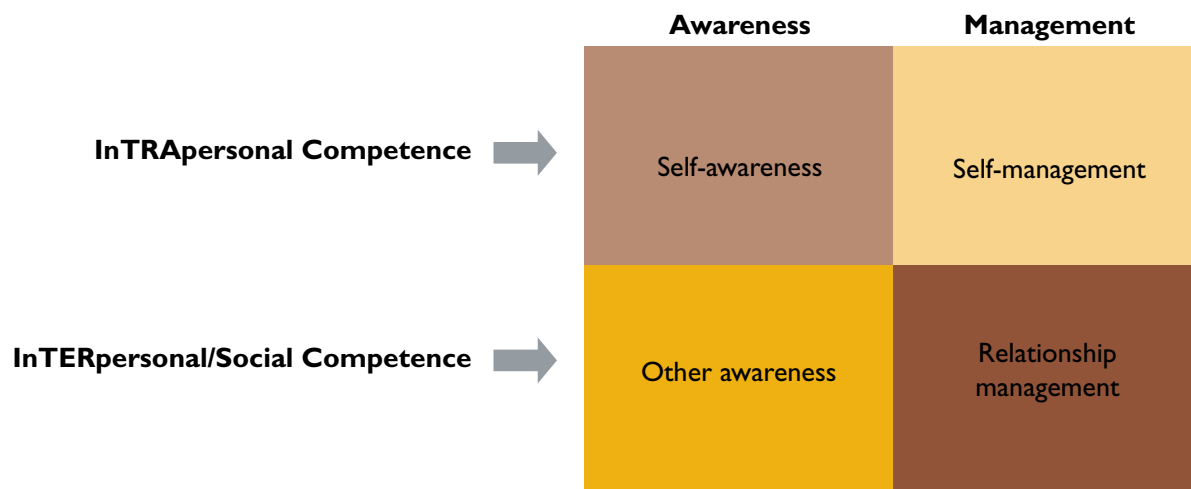
Emotional and social intelligence is also connected to "CEO disease," which exists when important information is withheld from the executive or other high-level leaders because of fear of being the messenger. According to Goleman, Boyatzis, and McKee (2001, 2002), this will most likely happen when the leader uses a commanding style of leadership. Negative information also might be suppressed if a person wants to please the boss or be seen in a positive light and therefore is afraid to speak the hard truth to the boss. This lack of transparency can be a source of career and organizational derailment for a senior-level leader as well as leaders at all levels of the correctional organization (Goleman, Boyatzis, and McKee 2002:93). In a correctional setting, leaders who have developed their emotional and social intelligence skills and know what is going on with their people can address potentially volatile or negative situations before the workforce—and potentially the supervised population—is negatively affected.

According to a study by the Center for Creative Leadership, three major derailers of a new leader are directly related to emotional and social intelligence: inadequate team skills, poor interpersonal relationships, and inflexibility, that is, handling change poorly (Cherniss 1999:9).

CASE STUDY: EMOTIONAL INTELLIGENCE SKILLS IN ACTION

"Dan" had just returned from leadership training motivated and full of new ideas about how to have an impact on his organization. He was enthusiastic when he met with his warden to suggest using measurable outcomes to drive effectiveness in one area of the institution. The warden told him, however, that this change would be impossible without causing a major upheaval in the institution. He quoted him as saying, "You do realize that this will never happen!"

Dan was discouraged. He reported having thoughts such as, "This is useless. I am not going to make any more suggestions." He could not understand why his idea, the right thing to do to improve effectiveness from his perspective, was not embraced by the warden.

Dan decided to employ some of the skills he had learned through his emotional and social intelligence assessment training to help work though this maze of emotions. He focused on emotional self-awareness, optimism, and interpersonal relationships. Here is how he applied them to his situation:

- **Emotional self-awareness:** When Dan became aware of his disappointment and discouragement, he was able to determine how much of his disappointment was driven by ego and how much was because he really believed in his idea. He decided to let go of his ego and to focus on the bigger picture—his institution. He decided to put his energy into exercising patience to keep his vision alive.

- **Optimism:** Dan also decided to hold on to the hope he had for making a long-term difference in his institution.

- **Interpersonal relationships:** Dan kept a positive attitude and continued to communicate with the warden in a respectful way. He decided to keep his vision and his ego separate so he could nurture the seed he had planted, instead of feeling personally rejected. He tried to see the situation from the warden's perspective and decided that he might need more information. He provided the warden with supporting documentation so he could present it to the stakeholders above him.

In the end, Dan discovered the warden had been operating from a different paradigm when he first presented his idea. He was thinking of the delicate nature of the situation and the potential problems the change might uncover. The proposal seemed risky to him, of which Dan was not aware. In employing emotional intelligence skills, Dan stayed connected to his vision, exercised patience, and remained optimistic. He also realized that he needed to give the warden additional information on how the change would benefit the organization.

Eight weeks later, the warden introduced Dan to the right people and put him in a position to make his vision happen. The timing was good for the institution and for Dan. The warden is now being considered for a position in another location. This could very well open up new doors for Dan. He now realizes that by overcoming impatience and employing emotional and social intelligence skills, he has become influential in his institution.

Teams

Working in a team, emotional and social intelligence skills get tested. Team behaviors that consist of critical emotional and social intelligence skills are described below:

- **Trust** within teams is affected by empathy (or the team members' abilities to accept each other's strengths and weaknesses).

- **Conflict resolution** in teams is affected by the team members' ability to be assertive and to tell the truth, to independently make decisions when needed, and to be empathetic to the needs of each other. It is also affected by their ability to tolerate stress, deal with uncertainty, and define and solve problems.

- **Commitment** in teams is affected by the team members' ability to display social responsibility to the group rather than to focus on their own needs, to have good interpersonal relationships, to be optimistic, and to be flexible and resilient.

- **Accountability** is related to assertiveness, self-regard, social responsibility, stress tolerance and impulse control, and the ability to delay gratification and manage emotions.

- **Results orientation** is driven by problem solving, stress tolerance, and reality testing, or the ability to see both the good and the bad of situations.

Emotional and social intelligence provide more tools that leaders, and those who work for and with them, can use to view their organizations and their work from a systems perspective.

Self-Leadership

Contemporary leadership experts agree that leaders can be developed and are not necessarily born as such. It also may be true that some individuals have personality characteristics that make them seem like natural leaders and that some people have been exposed to environments that pulled them from their comfort zones to deal with situations that required them to learn leadership competencies. Leadership, however, is open to everyone who is willing to do the work.

Conscious self-leadership is an essential process for leaders at all levels. Components of self-leadership are:

- **Self-awareness:** Gaining knowledge of yourself.

- **Self-management/Self-development:** Examining your personal practices.

- **Self-actualization:** Fulfilling your potential.

Success in each component depends on the step before it (see exhibit 4).

Self-awareness is probably one of the least known leadership skills, yet it is foundational to the success of leaders in higher performing correctional organizations. According to *Correctional Leadership Competencies for the 21st Century,* "Self-awareness is necessary for correctional executives and senior-level leaders to understand the ways in which their strengths and weaknesses affect how they deal with others and their ability to reach their goals. By understanding the underlying motivations of their actions and seeing themselves as others see them, leaders can capitalize on their strengths and not be derailed by their weaknesses" (Campbell 2005:xviii).

Exhibit 4: Self-Leadership

```
┌─────────────────────────────────────┐
│          Self-awareness              │
└─────────────────────────────────────┘
                  ↓
┌─────────────────────────────────────┐
│        Self-management/              │
│        Self-development              │
└─────────────────────────────────────┘
                  ↓
┌─────────────────────────────────────┐
│         Self-actualization           │
└─────────────────────────────────────┘
```
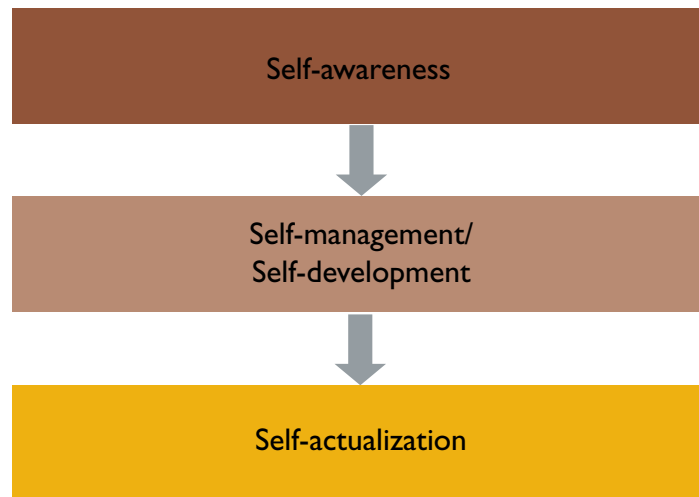
Personal Values and Ethics

Always do right; this will gratify some people and astonish the rest.

—Mark Twain
(Note to the Young People's Society, Greenpoint Presbyterian Church, 1901)

Correctional leaders have tremendous responsibility as well as independence. This makes it vital that they possess high standards of ethics and values, which provide a well-defined roadmap to use as they navigate the complex world of offender management, personnel matters, and overall facility responsibility.

Organizational values tend to reflect the values of those at the top of the organization. Through influence and example, leaders can set a high standard for all to follow—staff as well as offenders and treatment providers. As there are many ethical temptations in a correctional environment (e.g., introducing contraband, doing favors, sexual misconduct), well-developed values can aid in improving safety and security.

The Josephson Institute has identified several core values that they call the six pillars of character, which are common across many cultures and societies. People use these core values to help them make decisions and govern their behavior in various circumstances (Josephson Institute 2007). What makes them special is that people in many places set a high priority on these same values:

■ **Trustworthiness:** Honesty, sincerity, truthfulness, fidelity.

■ **Respect:** Esteem, courtesy, consideration, civility.

■ **Responsibility:** Accountability, dependability, self-restraint.

- **Fairness:** Justice, impartiality, evenhandedness.

- **Compassion:** Kindness, caring, concern.

- **Citizenship:** Social responsibility, law abiding, respect for authority.

If you were asked to identify characteristics of good leaders you have known, chances are you will use several of these words to describe them.

Organizational ethics codes, as well as codes of conduct, are based on the organization's values. More on this can be found in the next chapter.

Job-Specific Competencies

NIC has researched the competencies necessary for leaders at all levels of the correctional organization and clearly defines them in two volumes: *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders* and *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels.* Refer to the actual documents for more information, available from NIC's Information Center. Listed below are recommended chapters for position descriptions.

- **Managers and supervisors:**

  - Chapter 2: Ethics and Values.

  - Chapter 7: Managing Conflict.

  - Chapter 8: Team Building.

  - Chapter 9: Collaboration.

  - Chapter 10: Problem Solving.

- **Executives and senior-level leaders:**

  - Chapter 2: Self-Awareness.

  - Chapter 3: Ethics and Values.

  - Chapter 4: Vision and Mission.

  - Chapter 6: Managing Conflict.

  - Chapter 7: Power and Influence.

  - Chapter 9: Collaboration.

  - Chapter 10: Team Building.

Female Executives: Leadership Development and Implementation

Fewer than 10 percent of state correctional systems are led by a female executive. NIC provides programs focused on leadership skills for women seeking higher levels of performance, position, and authority. The following is what a former female executive would like to share with leaders and those aspiring to be leaders on leadership development and readiness for women in the correctional field.

- **Self-knowledge and assessment:** Before one can lead others, she needs to assess her own values, beliefs, attitudes, strengths, weaknesses, characteristics, and competencies. Literature on leadership speaks to the qualities, traits, and competencies followers expect of their leaders, so knowing how she measures up to these criteria is critical. Numerous assessment tools identify areas for growth and development, such as the Myers-Briggs and 360 instruments. Conquering self-doubt and enhancing feelings of worth, self-esteem, and confidence are significant for women to embrace. Successful mentors can assist in personal and professional development. Belief in yourself and your ability to be a strong, competent, courageous, and ethical leader is vital.

- **Sense of purpose and direction:** The foundation for achieving goals for higher levels of command is the development of personal strategies to achieve performance excellence on a daily basis. Knowing why you are in the correctional business, where you want to go, and how to influence and direct others to that destination are key steps to executive leadership. Learning to be forward looking and communicating your purpose and direction regularly to others builds momentum for staff support and collaboration.

- **Competency and communication:** About 85 percent of successful leadership performance is based on relationships and communication, with the rest divided among various competencies. Building relationships through purposeful communication with others, inspiring them to be better performers, and demonstrating trustworthiness, loyalty, empathy, integrity, and compassion empowers not only the leader but also her followers. Female leaders do not necessarily have to be competent in the minute details of correctional work, but they do need a comprehensive understanding of how others' competencies support the goals of the organization. The people she surrounds herself with—the character of her confidantes and appointments—communicates to her followers her closely held values and expectations. Communication is verbal and non-verbal, so she must be sensitive and aware of how she portrays herself as a professional in the way she looks, talks, thinks, and acts while on and off the job.

- **Emotions and emotional intelligence:** Many women worry about controlling their emotions, especially crying in front of men, and are afraid they will be perceived as weak. Emotions humanize and connect us to others. When an emergency or critical incident occurs, prior training and leadership skills will focus her attention on strategy over tears. When the incident is resolved, she can then give herself permission to go to a quiet place for emotional release. Certainly, expressions of sadness at staff funerals or happiness at positive news or events are appropriate. Developing emotional intelligence allows the female executive to use emotions to enhance reasoning and thoughtfulness and is involved in the ability to perceive emotions, assimilate emotion-related feelings, understand the information of those emotions, and manage them.

- **Resiliency:** It takes hard work and lessons learned to make it to an executive-level position. No matter what roadblocks or events occur, one must remain true to one's core values and rely on leadership skills to see them through. "Failure is not in the falling, it's in the not getting up" speaks volumes about resiliency. Leaders are

judged more on how they handle difficult issues or events rather than on how they handle things when all is going well. Being resilient is a key trait at which most women are very adept, and executive women know its value as they journey toward achieving performance excellence.

Summary

As you can see from this chapter, knowing oneself is a key part of developing as a leader. The information in this chapter discusses leadership at a personal level, through traits, styles, behaviors, emotional and social intelligence, and ethics and values. Once leaders know themselves, they become able to truly lead others and to provide the enthusiasm, ethical foundation, and guidance to any organization.

Chapter 3 gives more information on how the leadership of others, the organization, and those outside the organization are necessary in the correctional environment. Chapter 4 provides more detail on transactional and transformational leadership—key concepts in leadership philosophy.

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Chapter 3: Leadership of Others and Beyond

Leadership is a relationship between those who aspire to lead and those who choose to follow.

—Jim Kouzes and Barry Posner

Good leadership requires a foundation of self-awareness, knowledge, skill, agility, and wisdom. All of these come together to help leaders navigate the complexities that exist in the field of corrections. Successful navigation involves a focus on public safety, conscientious stewardship of public resources, and responsible guidance of the organization, including clients and employees.

In chapter 2, we examined the leader as an individual. Now we look at what is involved in leading others, both within and outside of the organization. This chapter draws from the National Institute of Corrections' (NIC's) publications *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders* and *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels* (Campbell 2005, 2006), which are available from the NIC Information Center and are referenced in *APEX Resources Directory Volume 1.*

Corrections is a people-intensive business that requires leaders to establish and maintain effective interpersonal relationships. Interpersonal relationships may be the primary factor in a leader's success or setback. By valuing the contributions and feedback from others, sharing in decisionmaking, and being a trustworthy team player, leaders can be more successful.

Leadership of Others

A leader takes people where they want to go. A great leader takes people where they don't necessarily want to go, but ought to be.

—Rosalynn Carter

Being a Role Model: Lead from Ethics and Values

Leaders set the stage for and ultimately determine the moral climate in any organization, including correctional organizations. Ethics and values are central to all levels of correctional leadership: supervisors, managers, senior-level leaders, and executives. Leaders need to be able to clearly articulate their ethics and values, communicate them to others, demonstrate their commitment to them, and set expectations for others.

The values of all employees are important to the development of organizational culture. However, the values held by senior leadership are especially important. Most correctional organizations have a set of organizational values.

Note: Chapter 3 was written by Marge Douville Fajardo.

VALUES WE BELIEVE

We believe:

■ In treating all people with dignity and respect.

■ People can change and that probation services are a viable means to effect positive change.

■ In promoting and maintaining a positive, safe, and healthy community environment.

■ In the value of our positive relationships with our stakeholders.

■ Staff is the greatest resource in accomplishing our mission.

Source: Maricopa County, AZ, Adult Probation. 2009. "Vision, Mission, Goals and Values," *www.superiorcourt.maricopa.gov/ AdultProbation/Administration/index.asp,* accessed July 12, 2011.

These inform all employees of how the organization expects them to behave with each other, offenders/clients, and stakeholders.

Ethical principles are based on values. Organizational ethics define how an organization integrates its values into its practices, policies, and decisionmaking. In a higher performing organization, ethics go beyond compliance with legal standards, laws, rules, and regulations. Leaders in higher performing organizations know that ethics codes need to include behavioral guidelines for all employees. Correctional leaders must promote and facilitate the attributes of an ethical organizational culture. Starting with the hiring process, candidates should be assessed for their compatibility with the organization's ethics and values, which should be reinforced through training, staff development, and daily supervision and coaching. Tying the ethics code and organizational values to the organization's mission during staff performance appraisals will serve as a constant reminder of performance expectations.

Raising employees' level of ethical understanding enables them to make appropriate decisions, even when faced with new challenges in the workplace. Ethical dilemmas surface on a daily basis in correctional agencies, across departments and at any level of the organization. Staff's ability to recognize the ethical components of these dilemmas, such as introducing contraband, conflict of interest in giving or receiving favors, inappropriate use of force, and sexual misconduct, is an important component in the overall level of ethics in the organization.

Managing Relationships

Practice Empathy

Empathy is essential for creating and nurturing work relationships and is a foundational skill of all leaders, from frontline supervisors to managers to the top of the organization. When a leader can step back from making judgments to understand and acknowledge how other people are feeling and determine what is motivating their behaviors, employees are likely to feel understood and cared about. Empathy helps a leader build strong relationships with people from various cultures, heritages, and backgrounds and is critical to working with offenders and gaining their voluntary compliance with rules.

Value Diversity

Good interpersonal relationships begin by understanding and valuing the differences each person brings to the organization: their unique strengths, talents, experiences, personalities, and perspectives. Diversity can be related to race, gender, age, disability, religion and faith, physical appearance, sexual orientation, nationality and heritage, training, personality, beliefs, personal habits, varying work styles, values, cultures, and more.

Correctional agencies employ, confine, and supervise many diverse individuals, making understanding and valuing diversity important. Many people are comfortable with others who are like them but are less able, or unable, to relate to or feel at ease with people who are not. Leaders at all levels need to be aware of their own opinions, biases, and feelings so they can help each person build on his/her strengths and so they can lead their staff according to the values and ethics of the organization. One correctional leader likened the benefits of diversity to the planting of a flower garden. The more diverse flowers you have in the garden, the more beautiful, appreciated, and productive it becomes. Leaders who nurture and appreciate a diverse staff reap rewards and benefits in organizational culture, ideas, and progress.

Act Socially Responsible

Leaders who act in a socially responsible manner guide team members in acting in a moral and ethical manner. They are responsible, dependable, and willing to use their talents for the good of all, even if they personally do not benefit. This behavior lets others know that the leader is trustworthy and committed to the welfare of everyone. Managers and supervisors who are not socially responsible find it hard to build trust and strong relationship networks.

Develop Relationship Networks

Building networks helps leaders at all levels become more effective. Upper-level leaders who learn to develop networks when they are managers or supervisors often feel more supported because they have access to the resources at those leadership levels. They are able to use their interpersonal networks to address challenging issues. In addition, they are more likely to become aware of current practices or innovations in the field as a result of these networks.

CASE STUDY: RELATIONSHIP NETWORKS

The warden at a state facility for women feels supported in her role because of the many connections she has at all levels. Through the National Institute of Corrections' training and networking activities, she developed relationships with other female facility wardens throughout the nation. They provide each other with access to new program ideas and suggestions about how to deal with correctional issues. She networks with other wardens in her state and feels that their support of each other strengthens the entire state correctional system. By establishing relationships with community organizations, she has been able to connect female offenders with services both inside the facility and upon their return to the community, especially in the areas of childcare and parenting skills. The warden believes that the community network benefits the female offenders, enhances their self-esteem, reduces recidivism, and contributes to the good of the community.

Developing Employees

Research shows that it takes less than 30 days for new staff members to decide how long they will ultimately stay. Onboarding is a business management term for the process of helping new employees through their first 90 days or, in some organizations, the first full year; it helps them get oriented to the organization and makes the most productive use of their first few months on the job. Onboarding, when well planned and welcoming, can make new staff feel valued early on, increase their productivity and willingness to contribute fully, improve retention, and enhance the success of the team and the institution as a whole.

Another aspect of developing employees is providing continuous learning opportunities. Without training, people are reluctant to take on new duties or responsibilities because they do not know how to perform critical tasks. The approach used to develop others depends on their expertise and confidence levels. The leader is the key to the skill development of subordinates.

When employees are able to put their talents, skills, and knowledge to use, frustration and complacency are rare. Continuous learning also includes giving staff opportunities to build self-confidence through practice. Leaders who build self-confidence in their staff give them the foundation to deal with unexpected events and to make the tough choices this field often requires. Higher performing leaders know that building an organizational culture

CASE STUDY: DEVELOPING EMPLOYEES

To recruit and retain topnotch probation/parole officers, one state agency convened focus groups to determine how to improve its onboarding process for orienting new staff toward the skills, knowledge, and behaviors necessary to become effective members of the agency. As a result, it adopted a comprehensive process that starts with the job interview and continues through the first year of employment.

The agency's first step was to identify competencies of successful officers. Next, it designed behavioral-based interview questions around these competencies to help interviewers observe how applicants answer questions. Interviewers look for specific attributes (or success behaviors) within the answers that can help them choose the best candidates. Interviewers can probe with additional questions to help determine how applicants will react in similar situations so that the best hiring choices can be made.

Once hired, the new employee is given a checklist to serve as a progressive development plan. This checklist gives the new hire specific things to do within a timeframe, starting out with basic tasks such as meeting people in the office and learning about appropriate dress and the agency's vision, mission, goals, and policies and procedures. The checklist then moves on to more comprehensive tasks, such as conducting an office and home visit through blended learning programs. The purpose is to help the new hire become acculturated to the organization, the people, and the new job. Each week, the new hire meets with the unit chief to review the checklist and to resolve any issues or questions that arise.

After agency orientation and a workgroup session, the new hire attends a training academy to receive basic training and to be gradually assigned a caseload. Once in the field, the new hire is mentored by a specially trained field specialist who acts as a role model and coach.

The agency has made a large investment in hiring and training staff, and the onboarding process has proven to be beneficial and has received positive staff feedback.

based on openness and trust encourages employees to suggest how to improve processes, propose innovative ways of dealing with issues and problems, and engage in improving the organization's effectiveness.

A leader's attitude toward the learning process has a significant impact on the attitude of his/her employees. "Leaders who can strengthen others can boost worker performance. At the core, it's all about how people are made to feel" (Kouzes and Posner 2002: 283).

Leadership of others also requires encouraging staff to achieve goals at organizational, department, team, and individual levels. Helping employees to achieve their personal goals is a key aspect of leadership throughout the organization, from executive to frontline supervisor. Individual goals need to be carefully developed through ongoing collaborative conversations. People have different needs when developing their goals. Some like "stretch" goals; others like goals they are sure they can reach. Personal goals give people direction and help them see how their goals fit within the goals of the team, department, and organization. When individuals have a say in developing their goals, they will be more likely to successfully achieve them.

Coaching

Leaders who are coached or who use coaching skills with others are promoting the intention of the Achieving Performance Excellence (APEX) Initiative: to create a higher performing correctional organization. Leaders who are coached increase their own leadership effectiveness. When they coach others, they can increase the capacity of the organization by bringing out the best in people: their willingness to be responsible for results, their engagement in solving problems, and their ability to deal with change and complexity. Good coaching can improve long-term performance excellence and can increase organizational results. Leaders have a responsibility to coach their subordinates and encourage them to coach *their* subordinates.

Coaching requires a specific skill set. The three main coaching competencies are listening without judgment; asking powerful, open-ended questions rather than directing or giving advice; and setting up a system of accountability. Use of these skills can help leaders enhance communication and build trust with individuals. Under these conditions, leaders can freely challenge staff members to examine their behaviors, change those that need improvement, and develop long-term goals. They also can provide reinforcement and can hold staff accountable for achieving goals. The leader can help people think through issues and brainstorm solutions as well as encourage people to think creatively about work processes, policies, and practices. Through coaching, at all levels of the

BEING COACHED AND COACHING OTHERS

Executives who have been coached often find that their experiences have a trickle-down effect on those they supervise. According to Susan (not her real name):

> The coaching sessions I participated in when I was a warden gave me new insight to my overall values and motivations. It was like a wake-up call. Frankly, I started asking myself the right questions about my future goals and what I needed to do to achieve them. I have become more comfortable about having changed priorities at this stage in my life. I am less critical of myself and better able to deal with my perfectionist tendencies. Now that I am a regional director, I use some of the coaching techniques I experienced with the wardens I supervise. The results have been very positive.

organization, employees can become more committed to the organization's mission, vision, and goals and to their own work.

Proper coaching leads to:

- Increased self-motivation.

- Development of concrete plans or goals for achieving desired results.

- Self-efficacy.

- Successful behavioral change.

As individuals become more confident and develop a keener sense of responsibility and accountability, leaders and supervisors do not have to solve as many problems.

Mentoring

Mentoring can be defined as the transfer of knowledge about the work, the organization, and the network of contacts within it from an experienced, knowledgeable person to someone who has less experience and knowledge. Mentors and mentees must develop a personal relationship, meeting face-to-face over a sustained period of time.

Mentoring can be formal or informal. Informal mentoring usually occurs between two individuals who agree to work together outside of any structure for a specific purpose. Formal mentoring programs have structure and oversight and are tied to specific organizational goals. They involve schedules, goals, training, and evaluations.

Some correctional agencies set up mentoring for new hires, pairing them with experienced staff members for a set period of time. This serves multiple purposes. The new staff member is able to engage with someone who knows the system and can help them navigate it more effectively. The experienced staff member often benefits as well; being able to exhibit leadership and to examine the organization and his/her work and knowledge through new eyes often renews the mentor's own excitement and commitment.

In some organizations, individuals are identified as "up and coming" or "on the management/leadership track," and they receive mentoring from more senior people in the department. Senior-level mentors can be a source of information on expectations and best practices, serve as a career guide, provide greater exposure for the mentee

CASE STUDY: MENTORING IN A MEDIUM-SIZED COUNTY CORRECTIONAL FACILITY

Mentoring is regularly used for new staff in one facility to help them get to know all aspects of the facility. It increases their ability to blend in with the current staff and get up to speed faster.

The facility also provides mentors for experienced staff who are struggling with work issues or, occasionally, personal matters they are willing to openly discuss. Mentors understand that confidentiality is key unless safety and security issues or serious personnel matters surface. They also understand the importance of recommending staff members with difficult situations to the county employee assistance program.

within the field of corrections, provide moral support, and be a source of advice on leadership issues. The organization benefits when these high-potential employees become more knowledgeable of its culture, structure, policies, and practices. In addition, the organization is able to evaluate the mentee's attitudes, behaviors, and abilities regularly, which keeps it up to date on how its up-and-coming leaders are progressing during the mentorship period.

Individuals can benefit greatly from mentorships throughout their career, but having a mentor is especially crucial for managers and supervisors to help them become more familiar with effective leadership practices in corrections.

Engaging and Motivating Staff

In today's workplaces, we want people to bring their heads, hearts, and hands to their work. We want them to engage fully with the organization. Effective leadership is the starting point for creating an organization where people engage fully, invest in agency success, and give their best and where others want to come to work. Almost all new employees start out being excited about their jobs and wanting to make a contribution. The leader needs to help connect them to the organizational vision, and it is up to their direct supervisor to capture their enthusiasm and turn them into productive, engaged workers. When this does not happen, disengagement and a high turnover rate result. Unfortunately, it is usually the more highly talented workers who leave the organization if they feel disenfranchised or undervalued.

The leader plays a primary role in creating a climate for success. According to Goleman, Boyatzis, and McKee (2002:18): "Roughly 50 to 70 percent of how employees perceive their organization's climate can be traced to the actions of one person: the leader. More than anyone else, the boss creates the conditions that directly determine people's ability to work well."

Staff disengagement results in lower production, lower morale, and higher employee turnover. According to Slate, Vogel, and Johnson (2001), the annual turnover rate in corrections ranges from 16 to 40 percent. They studied factors related to turnover in correctional settings in 1990 and in 1997. Factors included correctional officer stress and *participatory* management practices. Findings indicated that when employees were able to participate in decisionmaking about their work environment, their stress levels went down and they were less likely to leave. The researchers, citing a previous study by Reisig (1998), stated that "flexible correctional environments were associated with higher levels of job satisfaction and lower levels of role strain than their cohorts from more paramilitaristic institutions" (Slate, Vogel, and Johnson 2001:74). They concluded that "correctional executives who ignore these effects will be inevitably faced with lower levels of employee morale and high levels of employee absenteeism, poor health, and turnover" (Slate, Vogel, and Johnson 2001:68).

Correctional leaders must engage employees as much as possible in the development and implementation of policy and procedures and also should have them invested in a continuous process to improve operations and enhance public safety. Forming change committees or providing avenues for open communication (e.g., labor–management meetings) encourages staff engagement with organizational leadership. Producing newsletters and providing opportunities for staff recognition also reinforce the value of staff to the agency.

More information on engaging staff members, particularly in change efforts, can be found in *Culture and Change Management: Using APEX To Facilitate Organizational Change* in the APEX Guidebook series.

Collaborating and Encouraging Teamwork

Leading a team is a competency to be learned at the supervisory level and further developed as one moves up the career ladder. A supervisor ensures that teamwork sessions are effective by overseeing the roles of the team facilitator and recorder. The manager may oversee supervisors of several teams to ensure that each team has a leader, facilitator, and recorder, or he/she may serve as a team leader. Executive leaders are responsible for developing and leading the executive team that oversees the operations of the entire organization. More indepth information on teams is available in *APEX Resources Directory Volume 2.*

When people collaborate, they are working together to share knowledge, experience, skills, and resources for a common goal or benefit. As a competency for leaders and managers within correctional agencies, collaboration is also important for supervisors. Collaborative relationships throughout the agency lead to improved outcomes and increased staff engagement. Collaboration can occur between external partners, internal workgroups or teams, or individuals. Correctional executives and senior-level leaders usually develop collaborative external partnerships as well as internal teams. Supervisors and managers play a primary role in collaborating with senior-level leaders to ensure that the work of frontline staff is in alignment with organizational goals.

Team and individual performance are greatly affected by collaboration. Five key behaviors that support collaboration are:

1. **Communicating:** Timely, clear, and up and down the organizational structure and chain of command.

2. **Providing backup:** Ensuring that people have the skills and knowledge to back each other up so that all the work gets done in a timely manner.

3. **Seeking input/support/expertise:** Being willing to contact others to get needed information or support.

4. **Planning:** Engaging others in planning to encourage collaboration and success.

5. **Capturing/sharing feedback:** Asking others for feedback, and sharing it with others in the organization to enhance organizational and individual learning.

Chapter 5, "Case Study—Collaboration Shifts a Dysfunctional Culture," highlights how one correctional agency used collaboration to create positive change in a close-custody male prison.

Problem Solving

Problems are to the mind what exercise is to the muscles, they toughen and make strong.

—Norman Vincent Peale

Leaders solve problems and make decisions every day. Higher performing leaders use many of the practices and skills discussed in this chapter and in chapter 2 to develop problem-solving and decisionmaking skills in others so that the leaders can focus on issues specific to their level. For example, typical problems, organized by leadership level, could be:

■ **Executive:** Issues that have a societal or environmental impact and involve other criminal justice agencies and system stakeholders.

- **Senior-level leader:** Issues in the internal system and the breaking down of functional silos.

- **Manager:** Issues involving links between processes and programs across functions.

- **Supervisor:** Issues concerning service delivery and continuous service or program improvement.

To problem solve effectively, leaders should be aware of and work to avoid these common roadblocks (Lombardo and Eichinger 2009):

- **Working on the wrong problem:** Clearly define the problem or issue.

- **Impatience:** The first solution may not be the best—take time to identify several potential solutions.

- **Biases:** Be aware of your own assumptions, and be ready to challenge them.

- **Not getting enough input:** Think creatively and strategically; ask others for input.

- **Analysis paralysis:** There is such a thing as too much data. Find patterns and develop alternative actions.

- **Being overwhelmed:** Turn large problems into several smaller ones that may be easier to resolve.

Decisionmaking

Top leaders set the climate for decisionmaking for their organization. Ideally, they work hard to help others identify which decisions can be made at each level in the organization. This enables decisionmaking to sit at the level where the work is done. This type of empowerment is an important feature of a higher performing organization.

Different styles of decisionmaking can be used depending on the nature of the decision and its complexity. Even though leadership best practices encourage employee involvement in decisionmaking, teams or groups do not need to make every decision. Some decisions require a group of people to go through a process to determine the best resolution; some decisions are best made by one or two people.

An important aspect of setting the decisionmaking climate in your organization is to be aware of the different styles of decisionmaking and to choose a solid decisionmaking model.

Managing Conflict

Conflict is inevitable, but combat is optional.

—Max Lucado

Conflict is a normal part of living. It shows that people have different ideas, perspectives, and solutions. Handled properly, conflict can help people and organizations create and innovate. Unfortunately, negative conflict—focused on a person—can take up a large percentage of a manager's time. It also can affect productivity, thwart teamwork, affect morale, and even lead to grievances and legal action. Managing conflict is a core competency for every correctional professional to develop at the supervisory and managerial level. This competency is also useful for executive and senior-level leaders.

In many states, correctional leaders provide training in dialogue for formal and informal leaders in their organizations. Dialogue is a process for engaging groups in conversation, setting assumptions aside, thinking collectively, listening carefully, and creating a shared understanding of what is happening. This enables the groups to get various perspectives on the table without defending one's own perspective or position, and then they can work together toward mutually satisfying solutions. Trust is built and conflicts are often avoided by getting people together to talk about the issue at hand, hearing about it from many perspectives, then working together to brainstorm a resolution that works for as many participants as possible.

Conflict can be defined as incompatibility between the perspectives and concerns of two or more parties. It can arise from differences in personalities, communication styles, interests, values, and beliefs. It also can arise because of misperceptions, insensitivity, stereotypes, poor communication, or disagreements on procedures, data, or resources, and it is exacerbated by poor emotional intelligence skills and poor communication skills. Conflict is especially difficult when it becomes personal or when a mutually satisfying solution cannot be found. Because conflict is a normal part of living, everyone should have some tools to help him/her know his/her conflict style, how to manage conflict, and how to facilitate, diffuse, or mediate the conflict of others.

The ability to find mutually satisfying solutions to conflicts is critical for successful navigation of today's correctional environment. At the top leadership level, conflict management and resolution skills can come in handy, especially during times of labor management negotiations and budget allocation meetings.

Leading and Managing Change

Change in the work environment is inevitable. As correctional cultures change to become higher performing, learning organizations, the attitude and actions of leaders will build the organization's capacity for the successful implementation of change efforts. This requires leaders to help their staff deal with the uncertainty of change and potential chaos.

Some change is positive and some is negative. Change can come from inside the organization, and it can be imposed from the outside. As most correctional agencies are in the public sector, many forces outside the organization can cause change to happen, including legislatures, county boards, governing bodies, public elections, lawsuits, budget crises, and so on. Change also can come from professional associations advocating best practices, the adoption of evidence-based practices, and new leadership in the organization.

What can happen when leaders do not manage change successfully? Countless examples show how organizational change efforts stall, derail, and go nowhere across many business operations, not just corrections.

■ Traditional command-and-control cultures can make change efforts more challenging, as leadership tends to make the decisions and then expects staff to cooperate and implement the changes. Leaders, even in this type of organization, can use the change effort as a way to encourage employee participation by engaging them in change initiatives.

- Sometimes a strong-willed leader can force changes. However, this may also breed discontent on the part of staff members who see no reason to change and who find ways to prove "this won't work here." Knowing how to deal with resistance allows leaders to turn negative attitudes into support.

- Change efforts can be derailed when leaders are distracted or are unable to sustain their commitment to change. Leaders should continually show their commitment to the change and should encourage the commitment of others.

Failing to commit adequate resources to the change effort ensures unsuccessful implementation. Leaders should provide time for employees to work on change initiatives, make an effort to allow for new technology that may be needed, and, even in tight budget times, find room for expenses related to the change effort.

CASE STUDY: WHEN CHANGE DID NOT GO SO WELL

John Smith was the newly appointed chief parole officer. He had worked for the department for more than 15 years, first inside a facility, then as a parole officer under a very strict authoritarian chief. He was groomed to succeed him. When he became chief, the parole board mandated certain changes to the way individuals were supervised. Smith decided that this was a good opportunity to exert his leadership and developed the policies and procedures for handling parolees one weekend. On Monday morning, he called a mandatory staff meeting to share his weekend's work with the officers. Unfortunately, several were out of the office and unable to attend. Those who did attend were not aware that the parole board had developed the supervision guidelines for their office. They listened to Smith, took copies of the draft policies and procedures, and went back to work.

That evening there was an informal meeting of the officers at the local coffee shop. They went over the new policies and procedures and found items that would be challenging to implement. They decided as a group to ignore those and see what would happen. The officers chose one item, which was particularly challenging, to present to Smith as something that "just wouldn't work."

In a scenario like this, the possibility exists for a tug of war between workers and managers. At the very least, it will slow down the implementation of the new supervision guidelines.

Why do correctional leaders need to avoid becoming fearful of change? The field seems to be in continual change mode, and building confidence in dealing with change is critical for leaders and also for the rest of the organization. As people move up the career ladder in a correctional agency, they should be provided opportunities to manage change at each level. In higher performing organizations, staff often participate in change efforts. Generally, the most successful efforts involve as many staff as possible. When staff participate, deal with change successfully, and see their agency deal with change successfully, they begin to see change as an opportunity rather than as something to be feared and/or avoided.

John Jones was recently appointed chief probation officer. Two months before his appointment, he finished attending the National Institute of Corrections' Correctional Leadership Development (CLD) program. He was very excited to be able to practice some of the knowledge he gained during this 3-week training.

The district court administrator sent Chief Jones new supervision guidelines. Chief Jones decided that this was an opportunity to engage the staff in developing the policies and procedures related to these new guidelines, using the leadership principles he learned in CLD. He held an all-staff meeting and explained what he received from the district court administrator. He led a discussion on how this changed the way the officers handle supervision. Groups formed to develop draft policies and procedures. Once they finished their work, representatives from each group met with the leadership team to write up the final documents. Once the new procedures were in place, a group reviewed their implementation every 3 months, making revisions as needed.

In this scenario, the chief did not need to get buy-in from the staff—they were engaged from the beginning and had a vested interest in implementing the new procedures.

Leadership of the Organization

Remember when you were made a leader, you weren't given a crown, you were given a responsibility to bring out the best in others. For that, your people need to trust you.

—Jack Welch

Trust is one of the building blocks of leading others and leading organizations. Building an organizational culture based on trust is essential to increasing the organization's performance. This trust is multidimensional. The offenders/clients need to trust that the staff will maintain a safe and secure environment; the staff need to trust the leader to provide a well-run workplace; the leader needs to trust that the staff will work diligently to meet and exceed organizational goals; the governing agency or body needs to trust the executive leader to be a good steward of public funds; and the public needs to trust that the organization will uphold public safety.

Leaders at the organizational level—the senior-level leaders or executives—need to be forward thinking for the good of the organization and all who work in it and for those who are supervised or incarcerated in it. Leaders of organizations need to be flexible, adaptable, and resilient. They are required to embrace the critical leadership skill of getting results through others.

Shared Vision and Mission

Executives and senior-level leaders need to help all stakeholders understand the value of the correctional organization's services and to create compelling vision and mission statements that engage the minds and hearts of staff,

When administrators of a large department of corrections (DOC) were charged with cutting the department's budget by 20 percent in the 1990s, the director decided that he would convene a group of DOC managers, staff, and external stakeholders to determine what should be cut. A group of 50 people met for 3 days to create a shared vision of what the department should look like once budget cuts were made. The results of this strategic visioning process were shared throughout the state in a series of meetings and vision "fairs." Feedback was gathered at each and integrated to create a final shared vision of the department's future.

This process of stakeholder engagement created many ambassadors for the department's new vision and enabled the budget cuts to be implemented as smoothly as possible. People felt that they had a say, either in person or through the meetings and fairs. As a result, the executive leadership team said that it felt there was very little resistance to implementing the new vision and budget.

offenders, the public, and other important stakeholders. An organization's vision and mission give direction, guidance, and meaning to the daily work of each individual.

Leaders in higher performing organizations know that one of the most effective ways to create a shared vision and mission is to engage employees in their development. Opening this process to staff from all levels allows the vision and mission to be truly reflective of the diverse perspectives involved in any correctional agency.

Strategic Thinking

Strategic thinking can be defined as taking a long-term, holistic look at the way you think about your organization and its mission, goals, people, and results. In fact, it is using the APEX model as a guide to thinking—a rather disciplined way of thinking that includes metacognition, or thinking about the way you think.

This puts a systems view into one's thinking processes. The APEX domains are useful tools for ensuring that the leader or anyone else in the organization is considering the whole system: people (clients, staff, and stakeholders), the environment (social and physical), and all the processes and practices inside the organization as well as outcomes and results. It enables one to consider how decisions and actions will affect all of the eight domains.

Leaders can develop more effective strategic-thinking skills by examining how they think about complex problems and issues as well as how they make decisions. Once leaders understand this foundational part of strategic thinking, they can help others develop their strategic-thinking skills.

CASE STUDY: STRATEGIC THINKING IN ACTION

Strategic thinking can be applied to complex issues such as cost containment. Savvy leaders bring people together to develop holistic models for thinking about, reviewing, and changing multifaceted concerns. Let us take cost cutting as an example. One agency decided to use the Achieving Performance Excellence Public Safety Model to set up its own model for thinking about cost cutting strategically. Within each domain, cost activities were identified and their interrelationships with the other domains were analyzed. Decisions were made based on specific criteria, including:

- Costs that fund mission-central activities.

- Costs that affect only one area.

- Cost areas that could result in higher savings than other areas.

Once the agency identified cost areas that met the above criteria, it developed scenarios to show the short- and long-term impacts of cuts in these areas across the entire agency. This enabled the agency to develop a deliberate and systemic plan for cutting costs that had the least impact on mission and results.

Strategic Planning

> *To be a leader, you have to make people want to follow you, and nobody wants to follow someone who doesn't know where he is going.*
>
> *—Joe Namath*

Strategic planning is so much more than developing a document discussing where the organization wants to be several years from now. As mentioned in this book and others, change is happening very fast these days. The time of creating a 10-year strategic plan is long gone. In fact, just creating the plan and expecting people to follow through is not enough. Active, adaptive planning using a systems perspective, and engaging as many people as possible in the process, proves to be an effective way to develop and implement strategic plans.

Many ways to do this exist (some can be found in *APEX Resources Directory Volume 1*). The important thing to remember is that the plan needs to be systemic, as is the case when thinking strategically about the organization (see previous section). APEX can provide the lens for ensuring that all aspects of the environment and the organization are included as part of the planning process.

Successful leaders realize that engaging people in planning and implementation will enhance sustainability. They also realize that when strategic planning occurs, they must stay focused on the organization's mission and on improving services to both internal and external stakeholders.

Strategic planning in organizations can be accomplished in various ways. Forward-thinking correctional leaders know that doing this in a participative manner can streamline implementation and increase the chances of sustaining the plans.

The chief probation officer in a Federal Probation Office decided to engage all of his staff in the process to develop a vision and the action plans to implement it. All of the probation officers and the administrative staff met to plan for the agency's future. They performed an environmental scan and analysis and then reviewed the agency's history and its present state, focusing on what they could learn from each activity and what could have an impact on their future vision. They then spent significant time developing future visions and integrating them. Once in agreement, they developed specific plans for implementing the vision, ensuring that it would be sustainable and adaptable as things changed—both internally and in the external environment. This enabled the agency to begin their implementation the day after the strategic-planning conference ended.

Communication

Maintaining open and multidirectional communication is critical to any organization's success. Organizations thrive when communication flows freely throughout. Ideas can flow up and down the management structure to improve performance and effectiveness. The importance of communication is addressed and reinforced throughout this book and many of the books in the APEX Guidebook series.

Future Leaders/Succession Planning

Leadership often changes within correctional organizations as top positions are often political appointments. A change in leadership can derail initiatives and lead to uncertainty. To ensure that the organization continues on a path to higher performance, having many leaders supports the development of future leaders and creates succession plans. It allows talented individuals to be identified and to develop their leadership skills. Many organizations in the public, private, and nonprofit sectors create formal programs to groom people for management and leadership positions. Building the bench, to use sports terminology, often involves:

- Identifying the key positions in the organization for succession planning.

- Identifying individuals with leadership and management potential.

- Providing experiences for them to develop their skills and knowledge.

- Connecting them with mentors to assist in understanding what these roles embody.

- Evaluating the individuals, their mentors, and the results of the succession-planning process.

Creativity and Innovation

One aspect of leadership that can be challenging to describe, understand, and implement is referred to as the "container principle." Leaders in higher performing organizations, in corrections and other fields, know that a key provision of high performance is allowing staff to be creative, think innovatively, and try new ways of approaching tasks, processes, and clients. The container principle, stated simply, is the ability of a leader to create a safe environment for staff to try new things with clear boundaries, allowing for mistakes without negative consequences. Often this means protecting staff from those above the organization who may be more cautious or conservative in what they are willing to allow people to do. According to one state department administrator, "An important part of my job is to translate the memos from the governor's office. He tends to treat people in a very autocratic manner. His message can be reworded with the same intent, using a very different vocabulary."

Boundaries, however, should not be cast in concrete. They need to be permeable so that ideas can flow in and out of them. They also should allow the people trying out the new idea or process to share their thoughts and progress with others, to get feedback, and to see how it might work in other units or departments. Often, correctional organizations (and others) develop a process for employees to develop improvement suggestions and innovative ideas. This may involve creating a business case for the new idea or bringing it before an innovation committee.

The container principle recognizes that, to be effective in these fast-changing times, organizations need to create a safe environment for improvement and innovation to occur. Leaders in organizations recognize they have a critical role to play as "container developer and holder"—to free up staff creativity and innovation.

CASE STUDY: GIVING STAFF PERMISSION TO INNOVATE

Boundaries are very important and need to be made clear to all staff. One U.S. District Court administrator said that a key boundary for staff innovations was that it cannot "kill the court." In her mind, "kill the court" was very specific. Any new idea had to meet certain criteria:

■ No delays in case processing times.

■ All legal standards and procedures must be met.

■ The idea must show improvement in time or results within a prescribed period of time.

As long as staff showed that a new idea, process improvement, or innovation met the above criteria, they were free to share their ideas with their work teams. If the work team agreed, the idea was presented to a "new ideas team," a cross-functional group that reviewed all innovative ideas. This team decided which ideas would move forward for potential piloting and, if evaluation showed that the innovation was successful, adoption. The court unit found that having an open and easily accessible process for reviewing new ideas unleashed a torrent of creativity. "Everyone who works here now seems to be fully engaged in improving how we do our work," said Janet, the deputy chief clerk. "The second year after we created the new ideas team, we had ideas presented from 100 percent of the workforce. That is the first time that many people have been actively engaged in performance improvement."

Leadership beyond the Organization

Be the change you want to see in the world.

—Mahatma Gandhi

Success in corrections is no longer defined simply as safety, security, and silence. Today's correctional leaders must invest time in developing relationships in the community and becoming more global in their influence. "They need political acumen and the backing and input of peers, employees, policymakers, and the public. Additionally they must possess the ability to manage the press in an honest and straightforward manner" (Hickman 2007:46).

To be higher performing, correctional organizations need to have leaders who respond to the changing needs of their clients and stakeholders and the environmental factors within which they operate. Leaders need to be aware of these factors and should seek to address them effectively.

Each state or locality is unique and requires its leaders to proactively educate themselves and build relationships to increase their success and functionality. Leaders at the managerial and supervisory level are expected to understand how the criminal justice system works. Leaders at the executive and senior levels are expected to manage the external environment in which correctional organizations operate and to use open communication and transparency to build rapport with their stakeholders. This section addresses these two elements:

1. Understand the criminal justice system.

2. Manage the external environment.

In these tough economic times, many correctional leaders see an opportunity to address areas of redundancy and reduce costs, even seizing the moment to transform their agencies to be more efficient and effective and engaging staff and offenders in support of their efforts. Correctional leaders today are influencing legislative changes to ensure that costly incarceration beds are used for those who constitute a significant risk to public safety. By implementing comprehensive risk and needs assessments, these leaders are diverting offenders to appropriate community supervision and, in effect, reducing the likelihood of recidivism.

Understanding the Criminal Justice System

Corrections is part of a large criminal justice system of interrelated agencies and functions including law enforcement, prosecution, defense, and the judiciary. Correctional leaders need to understand how this complex system works. With knowledge and an understanding of the many facets of the criminal justice system, removing barriers to organizational change and strategizing on achieving system goals are greatly enhanced.

Leaders at the managerial or supervisory level need to develop a global perspective of the relationship between their sector of the criminal justice system, whether executive, judicial, or legislative, and the various stakeholders in other parts of the criminal justice system. A leader also needs to develop positive and collaborative relationships with representatives from other parts of the system and to acknowledge and understand the problems faced by them.

Leaders in higher performing correctional organizations know the roles and areas of responsibility for their division. Their actions are informed by data, they are conscientious about keeping communication avenues open, and they are successful at building productive relationships within their division. The leaders are committed to building a better system by promoting and supporting the achievement of division and systemwide goals.

Managing the External Environment

Executive and senior-level leaders must be competent in managing the external environment through effective and ongoing communication, collaboration, and partnerships with other public and private agencies and stakeholders and in establishing productive protocols with the media. These responsibilities require the executive and senior leader to be big-picture people. They need to maintain open communication avenues and be able to analyze information from stakeholders, be aware of the political environment and major issues, and communicate the status and needs of their organization. More information and strategies in this area are available in the "Stakeholder Focus" chapters in *APEX Resources Directory Volume 1* and in *Understanding Corrections through the APEX Lens.*

Any correctional agency chief will tell you that a good day in corrections is a quiet day, no news is good news, and taking care of business instead of being the business is the goal. However, no longer can correctional leaders remain in the quiet shadows with the current emphasis on fiscal austerity. Therefore, correctional leaders need to participate in the political and public arena and establish open relationships with stakeholders and the media. Proactively managing the message is more productive than reacting to another's message. Some proactive steps a correctional leader must take to manage the external environment include:

- Developing a strategy and message for working with stakeholders and the media to ensure consistency and clarity.

- Educating those government leaders who have influence over the mission success of the correctional agency (e.g., elected officials, judges, probation and parole chiefs).

- Investing time with key stakeholders, both public and private, and their staff to establish ongoing communication avenues.

- Training agency staff leaders on how to engage and influence the media and key stakeholders.

- Being honest, sincere, nondefensive, and forthcoming with information to the media and stakeholders.

CASE STUDY: ENGAGING FAMILIES

The family members of incarcerated individuals make up one stakeholder group worthy of attention. When one director wanted to understand how family members received information about loved ones confined in the state juvenile justice facilities, she requested that family members participate in surveys. Families in the visiting halls were surveyed, and phone interviews were conducted with family members who did not visit frequently (as identified by the incarcerated youth). The input of family members highlighted where the department's communication efforts were working as well as the gaps that needed to be addressed.

- Striving for transparency in operations and incidents and, when it is not possible to share information, explaining why (e.g., ongoing investigation, safety and security concerns).

- Inviting interested stakeholders to tour and observe operational processes.

- Reinforcing the mission of the agency, its governmental responsibility and commitment, and its success when dealing with the media and stakeholders in the external environment.

To carry out these tasks, executive and senior-level leaders must have high-level influencing skills and well-developed emotional intelligence skills as discussed in the previous chapter "Focus on the Leader." A leader at either of these levels must have a high level of "people smarts," be an excellent listener and communicator, a master at developing relationships with stakeholders, and strategic in developing linkages to improve the environment and gain resources for the correctional organization.

Many state correctional departments support the development of reentry councils that provide direction to the often uncoordinated local efforts within particular communities. In addition to pooling resources and raising money for much-needed services, these standing groups also help relay information from the correctional department to their networks. The meetings of the councils as well as periodic statewide conferences, e-newsletters, and resource guides all serve to communicate the correctional department's message and to tie the agency's mission to the interests and concerns of the communities.

The media today has expanded beyond the traditional forms of newspapers, magazines, radio, and television to include media such as webcasts, podcasts, broadband, instant messaging, and the Internet. This diversity of media sources requires correctional leaders to keep up with the latest technology and to be proactive in marketing their mission, goals, responsibilities, and success measures.

Because the correctional system is often represented negatively in the news media, executive and senior-level leaders must continuously work purposefully and strategically to create and maintain positive working relationships with the press.

"There is no question that the complexities of leading in the correctional field are increasing. As the expense of incarceration increases and the public becomes aware of the impact of that expense, correctional leaders will be forced to become even more accountable to the public and their elected representatives" (Montgomery 2006:34).

Summary

Leadership is a set of competencies that can be learned, developed, and/or refined. Exercising leadership is critical to personal and agency success. Chapters 2 and 3 of this book have painted a picture of what leadership looks like at the individual and the organizational levels as well as some of the leadership responsibilities outside of the organization.

For several years, NIC's Training Academy has focused many of its leadership training efforts on two key leadership concepts: transactional leadership and transformational leadership. These concepts are presented in the next chapter, "Leadership That Is Transforming."

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Chapter 4: Leadership That Is Transforming

A key characteristic of transformational leaders is that they motivate people to do more than they intended to.

—Elizabeth Chell

Twenty-first century correctional leaders need cutting-edge knowledge, skills, abilities, and attitudes to master and address the complex operating environment of their community correctional agencies, jails, and prisons. The most effective of these leaders use skills as coaches, teachers, and mentors to move their followers to increasingly higher levels of performance.

This chapter introduces the concepts of transactional and transformational leadership. The ultimate goal of leadership in the Achieving Performance Excellence (APEX) model is *transformational* in nature and is grounded in state-of-the-art leadership and management literature.

Transactional leadership addresses the basic needs for feeling like you belong, safety and security, and employment survival and is a necessary counterpart to transformational leadership. Transactional leaders give direction and they clarify their followers' roles to achieve results.

Transformational leadership takes people to places they would not go on their own and elevates the high performance of the organization over individual self-interest. This represents the higher end of motivation in people, responding to needs such as growth, self-actualization, esteem, and ego (Maslow 1954). Transformational leaders enhance their workforces in ways that lead them to exceed their own expectations (Singer 1985).

Transactional Leadership

To lead effectively, supervisors must create a strong foundation of trust between themselves and their followers; this is a condition built over time. Typically, transactional leaders approach followers to exchange one thing for another: jobs for votes, subsidies for campaign contributions, contracts that give and take. These leader/follower behaviors are typically short-term interactions that represent low-risk pursuits of limited but clear goals and that focus on what needs to get accomplished, exchanging some kind of reward for effort. A transactional environment does not attempt to change the organizational culture as it exists; instead it works within that culture, clarifying followers' responsibilities, expectations, tasks, and rewards, all in exchange for fulfilling the contract or agreeing with the leader (Burns 1978; Bass 1985; Bass and Avolio 1990). Transactional leaders, for the most part, focus on day-to-day internal organizational processes, compared to the transformational leader who visualizes taking what exists and transforming it into something new and more vibrant (Eggers 2001:16).

Working within systems as they now exist, transactional leadership makes no attempt to change the status quo. When the operations are perfectly aligned, a transactional leadership style allows the person in the senior position to manage only the exceptions to planned outputs and practices. This is called *management by exception* (MBE),

Note: Chapter 4 was written by John Eggers, PhD, and James Gray, COL (Ret).

George has worked for the jail for the past 20 years in various security positions. He has received good evaluation ratings and believes that as long as he is loyal and dedicated and meets the expectations of his superiors, he can continue working at the jail.

Certainly the jail has been a very stable working environment with little turnover, and people have had long careers in the organization. Normally, everyone receives a modest pay increase annually.

Recently, however, the county reduced funds and things are changing. The new expectation is that the workforce will be reduced and a merit system instituted. At the first all-jail meeting, staff were asked to reapply for their jobs and were told that decisions would be made based on the promise of their contributions to the future of the jail. Performance benchmarks will be established. Pay increases will be based on whether people meet these benchmarks. If they do, they will be compensated accordingly.

As the jail moves to a more transactional leadership style, with compensation contingent on meeting performance standards, staff members such as George need to decide how they will handle the changes. Pay increases are shifting from "everyone receives a modest pay increase" to a performance-based, merit system. George decided that he would be able to work within this contingency reward structure and reapplied for his job. He has found that he likes the merit system.

and both active and passive approaches are common. Essentially, leaders practicing MBE monitor the negative deviations from standards.

A leader practicing active MBE corrects a follower's mistake and teaches the follower how to avoid repeating it. The leader in this case has arranged to monitor the follower for mistakes and takes corrective action as necessary. Active MBE is essentially a controller role. This leadership style "seeks to monitor and control followers through forced compliance with rules and regulations and expectations for meeting performance standards and behavioral norms" (Sosik and Jung 2010:237).

Passive MBE is not involved unless something is broken. Sosik and Jung (2010) suggest that leaders who practice passive MBE exercise corrective action once mistakes are made. The status quo changes only after an unplanned incident occurs that creates the need for a response.

If overused, a workforce responding to MBE in either its active or passive form will become unmotivated. Block (1991) calls MBE a "patriarchal contract" characterized by manipulative tactics and ultimately creating relationships based on dependency. The literature is clear and so is the experience of the nation's most successful correctional leaders: dwelling constantly in MBE and a transactional mode invites dysfunction. Contracts, role responsibilities, work expectations, consequences and rewards for actions, and organizational requirements are critical and foundational to successfully shaping positive work behavior. They are all transactional in nature; they do not motivate organizations to perform at higher levels. That is the transformational work of leadership.

Nontransactional Leadership

A nontransactional leadership style known as laissez-faire behavior is no leadership at all, but a feet-up-on-the desk abdication of responsibility. This style is ineffective. "When leaders display laissez-faire behavior, they really don't care whether or not followers maintain standards or reach performance goals" (Sosik and Jung 2010:272).

Transformational Leadership

"Transforming leadership, while more complex, is more potent than transactional leadership. The transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower" (Burns 1978:4). Instead of exercising power, "transforming leaders champion and inspire followers" and they also "define public values that embrace the supreme and enduring principles of a people" (Burns 1978:26–29). Burns believes that transformational leadership happens when people engage in a way that both leader and follower "raise one another to higher levels of motivation and morality" (Burns 1978:20). This takes shape in the form of reciprocity. Transformational leaders:

- Inspire change and empower followers to achieve greater heights, improve themselves and their organization's processes, and be accountable for themselves and the processes to which they are assigned (Koehler and Pankowski 1997).

- Continuously work to improve processes that result in more effective and efficient services to their customers. (Leaders who practice MBE, on the other hand, manage the exceptions to these protocols.)

- Empower followers after the leaders have assisted them in their development.

- Create a culture in which positive change is encouraged.

- Inspire continuous improvement among staff, reinforcing self-awareness, self-regulation, and self-development. (Managers work within this culture once it is created by the transformational leader.)

- Focus on building and maintaining positive relationships that help develop followers, unlike transactional leadership. (Ultimately, transformational leadership becomes *moral* in that it elevates the conduct of both the follower and leader.)

- Raise the level of awareness of followers regarding the importance of achieving valued outcomes, the organization's vision, and the required strategy (Burns 1978; Bass 1985).

- Motivate followers to look beyond their own self-interest for the sake of the team and raise their awareness of how to improve themselves and what they are attempting to accomplish.

- Encourage followers to develop and perform beyond their own expectations, building followers' confidence, developing their abilities, and enabling them to take on more difficult challenges (Bass and Avolio 1990).

- Focus on long-term goals, create a vision, inspire others to follow it, and coach followers in how to develop their skills (Howell and Avolio 1993).

- Function as a role model for followers. These leaders are respected and trusted. They consider the welfare of the workforce over their own and can be counted on to do the right thing (Bass and Avolio 1994).

- Provide meaningful and challenging work.

- Involve the workforce in the vision for the future.

A workforce is always influenced by the behavior of its leadership. This influence can be positive or negative. In a transformational leadership style, followers can easily identify with leaders who demonstrate these qualities.

Correctional leaders who practice transformational leadership must come to the job with the courage required to challenge the status quo every day. Professional risk comes with being an agent of change (Nemanich and Vera 2009). Tangible benefits include the following:

- Group cohesiveness is higher under transformational leadership than transactional styles (Hoyt and Blascovich 2003).

- Followers of transformational leaders ultimately merge their values with those of the leader and tend to align and identify with these leaders and their missions (Krishnan 2005).

- Transformational leaders generate energy that targets organizational change, progress, and development. "Good transformational leaders sacrifice pride, share their power, and develop humility" (Tucker and Russell 2004:108).

- Transformational leaders want their followers to become leaders and do so by engaging them as a whole person.

The next four sections describe characteristics from the full-range leadership model (Bass and Avolio 1994:3-4) that leaders can learn and put into practice on their way to becoming higher performing.

Idealized Influence

Leaders who practice idealized influence allow their staff to see them as role models. They create a culture of trust and, as a result, they are respected and trusted. These leaders consider the needs of others over their own and can be counted on to do the right thing. Followers can easily identify with leaders who are practicing idealized influence. Often, followers emulate the leader who exercises these behaviors.

CASE STUDY: IDEALIZED INFLUENCE IN ACTION

Patty and Mike have been employed at the penitentiary for several years. Approximately 8 months ago, they received a new supervisor, Linda, who transferred in from another institution after being promoted. Based on what Patty and Mike have observed in Linda's behavior, they are very comfortable trying to emulate her because of her moral compass, her continued expression of what is important to her, and her personal and workplace values. Linda is constantly working with her subordinates to increase the levels of trust and respect between them.

Inspirational Motivation

Leaders who exhibit inspirational motivation provide meaningful and challenging work, involve their followers in thinking about future states, and often inspire others by what they say and do.

CASE STUDY: INSPIRATIONAL MOTIVATION IN ACTION

Jennifer has been working with the county jail system for 11 years and is currently the second shift commander. She has worked at many locations over the years and relates well with both staff and offenders.

She displays a strong can-do attitude and constantly encourages her subordinates to take some risks and to look for new ways to do work. She continually works to maintain a bond of trust between herself and her subordinates and speaks optimistically about the future, sharing her vision and values, turning mistakes into learning opportunities, and encouraging others to find opportunities to develop their own leadership capabilities.

These leaders talk publicly and privately with enthusiasm and optimism about the future, creating a positive and engaging vision for the future. Team spirit, the energy and motivation that is apparent in well-functioning teams, increases when team members willingly participate in and commit to the goals of the organization.

Intellectual Stimulation

Leaders who practice intellectual stimulation motivate their followers to be innovative. They do this by asking them to question assumptions, reframe problems, and approach old situations with new methods and perspectives. Leaders seek out new ideas from followers and ask them to think in different ways. For correctional practitioners at the leader and follower levels, this may be a challenge.

CASE STUDY: INTELLECTUAL STIMULATION IN ACTION

Mary has been employed by the community corrections division for nearly 3 years. She enjoys her work as a researcher very much. Mary has received very high performance ratings every year, and her supervisor delegates work to her in an appropriate manner. Mary enjoys the projects that her supervisor assigns to her and is surprised that Michelle, her supervisor, takes so much time to inspire her to continually think of things that she would have never thought of on her own. Mary also appreciates the way Michelle has created a work environment that recognizes that there are occasional risks involved when staff try new things. As Michelle has created very clear boundaries around which risks are acceptable and which are not, her staff are free within those boundaries to use their skills and knowledge to produce thoughtful and innovative ideas.

Mary views Michelle as having a high degree of energy regarding assisting the organization in its positive transformation. Mary further feels that a large degree of trust exists between her and Michelle.

Individualized Consideration

Leaders who exhibit individualized consideration give special attention to follower needs by functioning as mentor, coach, facilitator, and teacher. These leaders promote two-way communication. They are aware of individual concerns that followers may have because they take time to understand each follower's needs, expectations, and wants.

CASE STUDY: INDIVIDUALIZED CONSIDERATION IN ACTION

Sam, a parole supervisor with the department of corrections for several years, believes that a true leader needs to be a lifelong learner. Sam pays particular attention to his parole staff, realizing they are all unique with different needs, expectations, and wants. Accordingly, he spends time with each of his followers, helping them set goals and developing them to be future leaders in the organization.

The Roles of Transactional and Transformational Leadership

The external environment determines whether the leadership style leans toward transactional or transformational. Transactional leadership is practiced in environments that emphasize rules and regulations and where the status quo, or maintaining the environment as it is, is appreciated. This includes mechanistic environments where goals and structure are clear, rewards are contingent on the staff completing tasks, and MBE is favored in carefully structured, stable, and orderly environments with clear behavioral expectations and cultural norms. Transformational leadership is necessary in times of turbulence when anxiety is high (e.g., budget cuts), or when it is not necessarily so turbulent, as when developing subordinates. During these times, leaders need to be more proactive than reactive, providing insight and direction, a sense of purpose, and a vision that their subordinates can understand and buy into. This demands positive, productive staff relations (Bass 1985). See exhibit 5 for a quick comparison of the two leadership styles.

Exhibit 5: Transactional and Transformational Leadership

Transactional Leadership	Transformational Leadership
Tell followers what to do and what the payoff is for successfully complying with directions.	Delegate to encourage subordinate development.
Identify the transcendental goals toward which he/she may direct followers to work.	Encourage staff to share the agency's vision for the future.
Make sure everyone knows roles, rules, and responsibilities and manage by these constructs.	Provide persuasive symbols and images about what a renewed organization would look like.
Delegate responsibility to subordinates in exchange for their fulfilling an agreement.	Prepare followers to become leaders themselves.
Spend less time developing subordinates to become leaders.	Practice leadership development.
Establishing a base of transactional leadership makes transformational leadership possible.	Transformational leadership builds on transactional leadership.
Transactional leadership does not substitute for transformational leadership.	Transformational leadership does not substitute for transactional leadership.

Correctional Leadership and Its Parallel to Military Leadership

Corrections is often referred to as a paramilitary industry, and much of its organizational design and operations have roots in the military chain-of-command hierarchy. Many who have not served in the military may see the armed forces' brand of leadership as a blunt instrument, requiring only a transactional approach due to its hierarchal organization in which people are clearly separated by ranks and roles. However, the transformational leadership traits that serve civilian or business organizations are just as crucial to organizational success within the Army, Navy, Marines, Air Force, and, by extension, correctional organizations.

A U.S. Army field manual summarizes reliance on transformational leadership concepts: "Leaders motivate, inspire, and influence others to take initiative, work towards a common purpose, accomplish critical tasks, and achieve organizational objectives. Influence is focused on compelling others to go beyond their individual interests and work for the common good" (Department of the Army 2006:A-2).

Military doctrine recognizes the importance of transactional leadership in smoothly handling routine, but it is clear that success depends on the organizational climate in which service personnel live, work, and serve. Selflessness and commitment to organizational goals and values are foundational, as military veterans know. Transformational leaders can best develop these emotions in their subordinates and turn them into action and achievement.

Sharing hardships and leading by example are two constant themes at all levels of military leadership doctrine. Leaders constantly serve as role models for others: they are always the example, so they must maintain standards and provide examples of effectiveness through all of their actions. Marine leaders should model Marine Corps values; Army leaders should model Army values; likewise correctional leaders should model their organizations' values. Modeling provides tangible evidence of desired behaviors and reinforces a leader's verbal guidance. The message is the same in APEX: *model the desired behavior.*

Military performance and operations manuals all correlate to those of transformational leadership theory and exhort officers and noncommissioned officers to employ these concepts to achieve organizational effectiveness—a transformational approach to doctrine in and of itself.

Despite the completeness of military leadership doctrine, its application is occasionally ignored. The term *toxic leadership* describes leadership that is hostile to transformational concepts. Because of the clear hierarchal delineation of ranks and roles, a senior commander has enormous influence and power over nearly every aspect of the organization, one that includes the daily lives of its members, even when they are off duty. This also applies to correctional practitioners who work in a toxic leadership environment.

With this power comes the opportunity for abuse. Because loyalty is critically important in the military, those being led will tolerate much from their commander, even when they perceive injustice. If toxic leaders can appear to be successful from outside of the unit (largely due to institutional loyalty), the organization will achieve its goals for a time. Eventually, however, the organization will falter; a senior leader will become aware of the toxic climate that a subordinate commander has established and will act to stem the abuses. Pseudo-transformational leaders—those who are in it for themselves rather than for the good of the organization—run the risk of becoming toxic leaders. The potential for abuse as a leader, through pseudo-transformational leadership, can be found in many places, and correctional organizations are no exception.

Some leaders have a lopsided approach, operating exclusively as a forceful presence in the organization. Many contend that leaders who are too forceful demoralize their followers because they are too rigid, callous, and insensitive to the needs of personnel. These toxic leaders poison their organizations over time by consistently dominating their subordinates, stifling initiative, and cutting off the ability to delegate responsibilities. Others argue that a leader who is too enabling also is ineffective. A military or correctional leader who is too accommodating and who will not take a stand abdicates responsibility, does not hold subordinates accountable, will be unsuccessful, and can damage the organization just as quickly as the toxic leader (Kaplan and Kaiser 2003).

A Balanced Leadership Approach

Higher performing, hierarchical organizations in corrections have carried out their government responsibilities well over the centuries. Some staff members perform better in such a structured organizational environment. Nevertheless, leaders of higher performing correctional organizations understand that this paramilitary management

structure can be enhanced with a measure of flexibility, agility, stakeholder engagement, and workforce development. This balanced leadership is needed for enduring success. Balanced correctional leaders who operate as called for by the situation—being forceful when needed and enabling when feasible—will likely be more consistently successful in achieving their organizational objectives.

A balanced yet flexible approach is synonymous with situational leadership. In any environment, but especially within a correctional environment where a leader must influence two or three very disparate sets of followers, a situational leadership style is most effective. Leading by example within a jail, prison, or community correctional setting positively influences staff and the offender population simultaneously.

Agile leaders can sense where they need to be on the forceful–enabling scale and move up or down the scale according to the situation at the time. This skill develops primarily through experience and over time, but the concepts must be taught to developing leaders.

Effective transformational correctional leaders have a good sense of self and understand where their center is on that scale. They also understand and are able to guide their followers' actions along the scale.

Summary

"Firm, fair, and consistent" is the mantra of many correctional organizations when guiding staff behavior in relation to offenders. Arguably it is more critical that line staff employ such an approach, but a manager or senior-level leader also needs to apply the leadership style that is called for at the moment.

Every person is motivated differently. The skilled and transformational correctional leader is able to determine what motivates each individual—whether staff member or client—and can then lead all to achieve their own goals by approaching each as an individual. This can be done by practicing individualized consideration; assessing the needs, expectations, and wants of others; and realizing that everyone is unique.

To become higher performing correctional organizations, agencies are best served by leaders who practice transformational leadership. This does not discount the need for correctional practitioners to *manage* when necessary. For positive change to occur, leaders must create a safe environment for their followers to take calculated risks in pursuit of positive change. This takes great vision, motivation, a sense of purpose and direction, and a willingness to make mistakes on occasion.

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Chapter 5: Case Study—Collaboration Shifts a Dysfunctional Culture

This case study shows how the leadership (from the executive level down to the section heads) of a dysfunctional, close-custody male prison collaborated to stabilize and change its culture. Top leadership had been removed from the 1,000-bed facility with 450 employees because of excessive use of force by staff, inmate assaults on staff, and an inmate-on-inmate homicide.

The Situation

As is typical in larger prisons that become dysfunctional, a culture developed in this facility that involved inappropriate behavior at all employee levels, from institutional management to the correctional officers. Supervisors altered reports and witnesses were intimidated. Core policies created to guide management on use of force, key control, inmate movement, counts, management of segregated inmates, and safe management of mealtimes and medical care were not being followed. The pervasive culture of fear and silence resulted in a lack of reporting of serious incidents by staff and inmates, thus preventing unit leaders from getting accurate information when investigating incidents. This affected upper management's ability to know what was really happening and altered their ability to oversee the facility. With breakdowns in basic security functions, events occurred that necessitated involvement of outside law enforcement as well as agency internal affairs.

The Solution

In many correctional organizations, a common response to problems such as these is to remove top management from the facility, conduct an investigation, carry out discipline, and then continue on as if everything is resolved by these actions. In this case, however, the seasoned correctional professionals at the executive level realized that the prison's extensive problems required more indepth investigation and intervention. They responded to the situation quickly by contacting the training director to oversee a collaborative process involving several levels in the facility, from executive leadership to staff.

The training director started by reviewing the training records of all facility managers. Knowing that she was just scratching the surface, she and the deputy training director designed a process that would open up communication between the executive ranks and facility staff. The process allowed the entire staff—from all levels, areas, and shifts—to voice their perspectives, fears, misunderstandings, concerns, and feelings toward those in their chain of command. This was not a typical approach to crisis intervention, and it was important that the staff at the facility understood and embraced the process; the rumors, paranoia, and isolation needed to be reduced.

The Process

Because the goal of this new process was to open up communication and change the atmosphere of the prison, breakout sessions were designed to provide a safe space for participants. In phase 1, staff were invited to one of eight breakout sessions; 90 percent of the employees voluntarily attended. These focus group sessions were facilitated by agency staff from outside the facility. So that staff felt more comfortable speaking candidly, supervisors were not present. Participants were encouraged to wear street clothes, and they did not introduce themselves or wear name tags.

Executive leaders spoke with each focus group, approaching them with sensitivity and understanding and providing them with a sounding board so that they could speak without fear of retaliation or reprisal. Participants could also provide written feedback to express themselves confidentially. This forum allowed employees to converse with leaders at the top of the organization, voice their concerns, and sometimes even get answers on the spot. Phase 1 also gave executive leaders an opportunity to address some issues immediately and to communicate the values of the agency to frontline staff.

The staff feedback gathered during phase 1 was shared with facility management. Many subsequent management decisions that involved custody and operations, supervision and management, and professional boundaries were based on this feedback.

During phase 2, facility leaders spoke directly with employees from each section of the institution at an open forum to gauge the atmosphere, safety, and security of the facility's current culture and operations. Workplace improvements, which were based on staff suggestions collected during phase 1's information-gathering stage, began to be reported 6 months after phase 2 began.

Some of the improvements that took place within the first 8 months after the collaborative intervention began included:

- Increased emphasis on security procedures at the front entrance, which led to a reduction in the amount of contraband being brought in by staff and visitors.

- Improved communication between staff from all shifts and sections of the institution, with regular information sharing of significant occurrences and shift operations.

- No serious staff or inmate assaults.

- Greatly improved kitchen operations: meals are now served to the confined population in a timely manner, and more staff are assigned to the dining hall during mealtimes.

Examples of Collaboration

Implementation required collaboration at all levels of the facility and exemplified these key collaborative behaviors:

■ Communicating throughout the organization in a timely and clear manner.

■ Capturing the input of all staff members who want to participate.

■ Seeking the expertise of leaders at all levels of the organization.

■ Using feedback to inform planning and evaluating the plan to increase the chances of future success.

Executive leadership committed to the following to provide a long-term solution for the facility:

■ Upfront willingness to search for a long-term solution, not just a quick fix by changing leadership.

■ Extensive analysis of staff input and data to determine the severity and extent of the problem and to decide if this was an isolated crisis or if it was systemic.

■ Support through physical, intellectual, and emotional involvement, to include careful listening and evaluation of input from employees at all levels of the institution.

■ Use of leaders in the training department to design and facilitate the process and use of program leaders outside of the institution to act as facilitators.

■ Use of the input received during phase 1 to make decisions and to take actions to address real issues.

■ Creation of a sustainable, open, safe, and secure culture by developing a 12-month action plan for the new warden and staff to help them implement and measure the change efforts.

■ Use of the facility staff feedback as a guiding tool when selecting a new facility leader.

This process serves as a model and exemplifies the use of collaboration to create buy-in and commitment to change. Working together, the executive leaders, facilitators, and employees at all levels of this once-dysfunctional facility now share knowledge, experience, and resources for the common goal of creating a healthy, safe, and secure institutional environment. By using a collaborative approach, the executive management team not only provided a forum for the employees, but they also modeled what collaboration looks like and encouraged the development of a collaborative culture. In essence, the process can be used in small work locations as well as large organizations.

Chapter 6: Case Study—
New Leadership as a Catalyst for Change

This is the story of a county facility's transformation from a predominantly locked-down, command-and-control environment to a direct-supervision facility operated by staff who worked together to change the facility's culture. The new undersheriff, Kevin Moore (a fictitious name), worked to reshape the facility from what had been the end of the line for those who would rather be working in the field of law enforcement into a dynamic program focused on successful offender reintegration and the empowerment of staff throughout the entire facility. The reduction in staff turnover, improvement in staff morale, and development of compelling mission and value statements and policies all occurred during the undersheriff's leadership. Innovative and effective training programs are in place, and progressive inmate programs and policies emphasize reentry and rehabilitation rather than punishment. The success of these changes is only now being measured, but the process is worth some study.

Background

The MacGregor County Sheriff's Office Correctional Facility, a direct-supervision facility located in the Midwest, opened in the late 1990s. It houses both men and women. The bed capacity is just under 200; it includes a work release program, medical unit, kitchen, library, programs area, and five housing units of varying security levels. The facility books 6,000 people annually, and the average length of stay is 10 days. Reentry services are provided for individuals who are in the facility for 30 days or more. As with other correctional facilities using a direct-supervision model, correctional officers have face-to-face contact with the inmates under their supervision and care, without barriers between them. The account of the transformation of this facility follows.

A New Leader's Perspective

Undersheriff Moore transferred to the county corrections division after 18 years in law enforcement. He arrived knowing little about correctional practices, facility operations, or physical plant limitations. Most importantly, he knew little about the staff who worked there. He did know that the facility and the corrections division generally were considered the dumping ground for sheriff's office personnel. Correctional personnel had suffered through several years of high turnover; staff members were leaving for other jobs or were actively seeking transfer to the operations division. At the time of his transfer, most of upper management had recently moved on, many going elsewhere within the agency. Because he had so little knowledge of corrections, staff seemed suspicious about the reasons for his transfer, and there appeared to be very low staff morale. He had to earn credibility, overcome staff's skepticism about his abilities and intentions, get to know them, and learn how the facility functioned. Fortunately, one of the experienced staff members took it upon herself to be a mentor. She was patient, knowledgeable, and very wise and appeared to feel that the new administrator was worth the time and effort it would take to develop his leadership abilities.

One sergeant who had been at the facility from the start had the respect of all the staff. He was put in charge of daily operations while the undersheriff immersed himself in correctional policy and observed the procedures within the facility. The undersheriff had a one-on-one meeting with every staff member so that he could learn about them and encourage them to get to know him. Staff felt they had been micromanaged by an administration that did not allow them to do their jobs without asking permission at every turn. New ideas and suggestions were discouraged as the previous administration thought any change involved risk. Rigid policies and procedures left no room for professional judgment.

Improving Staff Morale

In the face of such low morale, the first objective was to build trust with the staff. They needed to know that Moore was not "dumped" on them but that he welcomed the transfer to corrections and to the facility and was committed to learning from them. His continuing availability to the staff and interest in facility operations at all levels demonstrated this commitment. The next step was to move his office from the administrative area to the correctional staff area right next to the supervisor's office, which increased his availability and illustrated his willingness to interact regularly with line staff and supervisors. An open-door policy is a good beginning as long as the mind behind it is open as well. Many staff members became energized when they realized he was committed to them and to the overall success of the facility.

Professional Pride

Many in law enforcement had the attitude that the facility was a dumping ground for staff who could not make it as cops on the street where the real action was. Facility leaders knew that if they were to create a respected and successful operation, staff needed to change how they viewed themselves, from "jailers" or low-level providers of public safety to correctional professionals. This became a critical goal, as staff had to understand the importance of their roles in providing public safety by supervising those housed in the facility. The public safety component was reinforced with many concrete examples. In addition, it was continuously reinforced that correctional professionals are experts in their field, with specialized training and a high level of professional ethics. By working to improve their field, staff would earn the respect of other professionals.

Improving the Work Environment

One of the next steps in changing the culture occurred when Moore began walking around within the secure perimeter of the facility, talking to staff while they were on duty and even interacting with inmates. He talked with the officers about their needs, the changes they felt should be made, and about themselves and their families. Inmates were asked many of the same questions. He was careful not to undermine the authority of staff working in the areas visited. He immediately referred inmates who had questions to the housing unit officer while telling them "the officer is your first line of communication." The kitchen was opened up at night so that afterhours personnel could have the same access to it as those on the day shift; instead of bringing in food from home or having it delivered, they could eat from the facility menu. This seemingly small change turned out to be a huge morale boost for staff.

In addition, line staff were given the opportunity to see the facility budget, previously considered a secret document for the eyes of upper management only. Sharing this information let the line staff know that they were important enough to receive information about how the facility operated. This demonstration of trust empowered staff who felt for the first time that they played a key role in keeping the facility within budget. They began to understand issues such as staff reductions and funding restrictions and to see some of the difficulties administrators deal with on a daily basis.

Communicating the Changed Culture

The facility developed a mission statement, core values, and an "empowerment card," which became clear and simple reminders of what it was trying to create and were powerful aids in shifting to the new culture. The mission statement and core values are proudly displayed throughout the facility, and the empowerment card is presented—and its significance explained—to each staff member.

Mission Statement

The mission statement was not developed by administrators and then handed out to staff. Instead, a group of officers was tasked with creating a statement focused on the key ideas that relate to day-to-day operations: safe, secure, humane, and legal treatment and what is required for successful reentry. Here is what they created:

> The MacGregor County Corrections Division mission is to provide safe, secure, humane, and legal treatment for all inmates through Direct Supervision management concepts, while fostering a safe and successful transition through interventions, programs, and services from the facility into our community.

Core Values

The staff had been micromanaged and now needed a foundation upon which these old restrictions could be loosened. They needed a set of values to help them navigate through their daily interactions with other members of the staff and with inmates. These values had to mesh with the mission statement and become part of facility policy. Staff were asked to develop six core values, based on the six points of the badge. They came up with trust, accountability, commitment, teamwork, integrity, and staff development (see exhibit 6).

Exhibit 6. Core Values

To incorporate the mission statement and core values into policy and day-to-day decisionmaking, staff helped develop new job descriptions and post orders. These were based on the free flow of information up and down the chain of command. This created a culture of communication from higher-ups to line staff and, more importantly, from line staff to supervisors and administrators. Job descriptions became living documents that can be routinely adjusted according to situations within the facility and correctional case law review. More importantly, staff input helped create the most effective job descriptions. Some examples of additions to the job descriptions and post orders that reinforce the culture and empower staff include the following:

■ Show initiative and resourcefulness in the organization's plans or tasks and energetically follow up until completion.

■ Convey information—either orally or in writing—clearly, concisely, and in detail. This information will flow up and down the chain of command as well as to personnel in other departments.

■ Strive continually to develop knowledge, skills, abilities, and personal characteristics needed to function within the correctional environment.

■ Strive to remain knowledgeable about current case law and trends in corrections by reading documents that are provided by administration, received in training, and found through self-initiated educational efforts.

■ Strive to maintain physical stamina conducive to functioning within the correctional setting, which enables safer interactions with inmates and arrestees.

■ Foster working relationships with all service providers within the facility.

Empowerment Card

The empowerment card, an idea borrowed from a neighboring county facility administrator, poses five questions about a possible action or response:

1. Is it the right thing to do for the community?

2. Is it the right thing to do for the county?

3. Is it ethical and legal?

4. Is it something you're willing to be accountable for?

5. Is it consistent with the sheriff's office policies and procedures?

If the answer is yes to all of these questions, don't ask permission, just do it.

The card has had a huge impact on the staff, their morale, and operations.

Reinforcing the Changes with Policy

Although the mission statement and core values were clearly and frequently discussed, they also needed to be formally backed up. To do this, the facility began a detailed policy review with the intention of providing more flexibility for staff to perform their duties. The intent was not to set policy in stone. Words such as "shall" and "will," which leave no room for innovation and restrict staff from thinking for themselves, were in some cases removed, and terminology that supports the reality of correctional institutions—unusual things happen, situations cannot always be covered in policy—was added.

Staff have to feel that they have the freedom to act and respond to those situations in ways that are framed by policy, but more importantly are guided by the mission statement—safe, secure, legal, and humane—and their professional judgment. Policy can lock people into a box of "this is how we have to do things." Instead, staff are given the freedom to try new things and explore new approaches to their work. This is especially important because so many different types of individuals of varying security levels are dealt with each day. The leaders are confident that this freedom has reduced the incidence of violence against staff, inmate-on-inmate violence, and sexual assault.

The clearly articulated mission statement, core values, and empowerment card afford facility staff the freedom to try new things: ways of managing inmates, types of programs offered to inmates, staff training, and more efficient ways of operating the facility. The undersheriff felt that if people do not take a chance and put something new and different into action, how will they ever learn anything?

Moving to a New Data Collection, Tracking, and Use System

Previously, data were not collected or used in a systemic manner. A new data system was implemented to enable leadership and staff to collect and track performance measures. Key performance indicators were developed to help measure facility functioning in the following areas: security, safety, health, inmate behavior, and program participation. Indicators include, but are not limited to:

- Number of escapes.

- Number of searches through which weapons, drugs, or other illegal items were discovered.

- Staff training in CPR, first aid, and emergency procedures.

- Inmate-on-inmate and inmate-on-staff assaults.

- Use-of-force incidents.

- Fire code violations that represent significant safety risks.

- Classification system errors involving inappropriate housing of inmates.

- Medical emergencies.

- Sick-call requests.

- Suicide attempts.

- Inmate deaths.

- Major inmate rule violations and disciplinary hearings.

- Inmates involved in programs (e.g., work release, educational, self-help, recreation, substance abuse, counseling).

- Per diem cost of housing inmates and cost per meal for food service.

- Length of stay.

- Overtime costs.

Performance management system team leaders received intensive training in the new system. They are an integral part of its implementation and long-term success, providing support and positive reinforcement to officers and other staff. The team leaders encourage officers as they learn how to use the system, help them understand the importance of entering data accurately, and deal with officer complaints (e.g., "all that new data—what am I, a data entry clerk") in a productive and positive manner.

The data measurement and analysis enabled leaders to show that there have been significant changes on several key indicators. In 1 year, overtime decreased by 36 percent, inmate-on-inmate assaults decreased by 50 percent, and there were no escapes, suicides, or inmate deaths. Careful tracking of use of force led to the discovery that more than 50 percent of such incidents occur in the booking area, where arrestees often are under the influence of drugs or alcohol or are in an agitated state due to their arrest. Additional training has been provided to officers to improve their response to these situations. When leadership realized that there were lapses in the use of classification system data resulting in inappropriate housing decisions, they instituted weekly meetings, with staff from various levels and departments, to ensure that the integrity and effectiveness of the classification system are maintained.

New Ways of Communicating

Building a new culture within the agency requires ongoing communication. Staff members must know that the administration is interested in what they are doing and thinking. Regular, informal conversations with everyone at all levels are important for morale and for the smooth functioning of the facility. These conversations help integrate the mission statement and core values into day-to-day activities. Deemphasizing differences in rank improves communication and reduces stress. Holding meetings in a neutral location outside of the administrators' offices has been effective. In meetings, leaders listen first and then ask a lot of questions. Line and supervisory staff often have better ideas about how to do things than the undersheriff does. They know they are being heard and that their input is valued.

Creating Opportunities for Advancement

The improved work environment in the corrections division has meant that many officers are content to work there. To provide greater opportunity for career advancement, new pay grades were added. Rather than topping out in their pay grade after 8 to 10 years, officers can now make more money and receive promotions based not on longevity, but on experience and performance. The new pay grades provide opportunities to attend specialized training workshops and to bring back new information and correctional tactics to the facility. To be eligible for the new pay grades, officers must complete assignments in improving facility policy and operations and conducting case law research. For example, officers may be presented with a scenario involving strip searches or the use of force and are asked to research applicable case law. Would the actions taken by officers be defensible in court? Another scenario involves an inmate demanding a religious diet. Officers must determine if it is a sincerely held belief and if the request can be reasonably accommodated while maintaining safety and security.

Hiring and Keeping Exemplary Personnel

As the undersheriff's hands-on involvement in day-to-day activities decreased, he was able to concentrate on hiring, developing, training, and retaining staff. The leadership wanted staff to invest in and be part of the culture being developed. The system had a reputation for taking so long to hire people that there was no point even applying; quality applicants were looking elsewhere.

Effort is now put into identifying people who are right for the job. Reviews of applicants consider their emotional intelligence, how they get along with people, what they care about, and whether they are compassionate. A board comprising people from the community with human resources backgrounds interviews potential candidates who have passed an initial test. The board looks for specific characteristics in candidates, such as making eye contact with interviewers, demonstrating effective verbal communication skills, and so forth. The candidates are then interviewed by four department lieutenants who make the final recommendations to the sheriff and undersheriff.

Once hired, new staff need good training from the start and access to ongoing training opportunities. To make the facility something to be proud of, officers and staff must have the resources they need to do their jobs well.

Improving Training

To bring the existing staff training in line with the vision of a professional correctional facility, the leadership revamped the corrections academy into two 6-week programs. The new, rigorous approach requires attendees to wear a training uniform and penalizes officers who are inattentive. An officer's expression of interest in a specialized area of corrections (e.g., hostage negotiations) is not the sole selection criterion. Leadership takes a detailed look at evaluations, supervisor input, and overall fitness for the training topic.

New Officer Training

Training begins with a review of the mission statement, core values, and the philosophy of corrections. Training officers try to capture new officers' attention and commitment immediately to keep them invested for the long term. It sends a powerful message when mid- and upper-level managers spend time with them. Moore personally

meets with them within the first week, during the middle of their training, and again at the end. The lieutenants do the same. A physical fitness segment at the end of each training day includes veteran officers and administrators. New officers are expected to participate at their fitness level, improve their one-mile time by the end of the 3-month training period, and bond with each other and existing personnel. Halfway through the training period, new officers begin onsite training. They are paired with a training officer with an exceptional understanding of the mission statement and core values to help them learn the job, expectations, and the agency. The training period ends with a formal graduation ceremony. The sheriff, undersheriffs, correctional lieutenants, and family members of the graduates are invited to attend. After formal remarks by the class president, new officers are encouraged to take their families on a facility tour, which allows the family to put all of the stories they have heard into context.

Current Staff Training

Supervisors and senior staff also receive relevant training. Supervisors meet for informal discussions about issues and concerns. To make these meetings more productive, supervisors are presented with "critical situation" scenarios for which they provide solutions in front of the group. The scenario and response are then critiqued; all present are engaged in the discussion and consider possible actions and solutions. This process evolves over time and includes more varied situations, less preparation time for presentations (more spontaneous output), and more detailed exchanges between all involved. A moderator keeps the discussions on track; records comments, questions, and explanations; and pressures the presenting supervisor to prepare him/her for managing stressful situations.

Training to Policy

The idea of training to policy caught Moore's attention after a review of case law in which an inmate suicide at a nearby county facility resulted in payment of a huge settlement to the victim's family. Under a new policy, the facility puts inmates exhibiting suicidal tendencies under constant observation; previously it had used check-in times to keep track of these inmates.

To revamp its policy, the facility brought together facility staff, administration, and the mental health provider, who furnished them with an assessment tool that is now used at intake and in the housing units. Training covered suicidal indicators, how to respond to them, and how to use the assessment tool accurately. All officers keep a laminated list of suicidal risk factors with them. The new policy incorporates zero tolerance for inmate suicides as well as for disparaging remarks or negative attitudes concerning suicidal or potentially suicidal inmates. Any officer making such remarks is severely reprimanded. No suicides have taken place in the facility since the new suicide policy was put into place.

The facility also uses Google Alerts, e-mail updates with the latest Google results on a specific subject, to keep leadership current on news related to inmate deaths, inmate suicides, and strip searches (another litigious area) throughout the nation. It also distributes two monthly correctional legal publications. Often this information becomes mandatory reading for staff.

Empowering Staff

Empowering staff is vital to the effective functioning of the facility. Using effective communication and policy support, staff are encouraged to be innovative and autonomous and to strive for higher performance.

Involving Staff in Policy Development

In the policy review process, staff should feel free to express their ideas. The undersheriff removed himself from the initial policy review, handed it to the operations lieutenant, and assigned a group of officers to complete it. Discussions were more open as a result, and the policy is more relevant as it was created by those who deal directly with inmates on a daily basis. When the draft policy made it to his office, the undersheriff scrutinized it and ran it through the necessary legal filters. This practice exemplifies the effectiveness of a direct-supervision facility.

Managing the Housing Units

A team approach to the management of the housing units empowers staff. Facility leaders identified a core group of officers who have the knowledge, experience, and desire to work within one of the five housing units. The officers have excellent interpersonal communication skills and a solid understanding of direct-supervision principles; they know not to develop personal relationships with the inmates. They are patient and have an interest in working with a particular population such as inmates with mental illnesses or those in maximum security. One supervisor was put in charge of each housing unit and its team, which had its tasks explained in the following manner: "This is now your housing unit. It's your responsibility to decide how you want to run it. Come up with a schedule (free time and work time), how you're going to serve meals, how you will conduct the laundry exchange, and other rules you want to establish." The teams developed the operations plans for their units, which were then approved by team supervisors and the operations lieutenant. The teams now take responsibility for running their housing units. The extra effort this approach requires from the team supervisor is well worth the benefits of an empowered team working productively together.

This shift away from top-down management allows officers to have a say in how to handle inmate movement within the housing unit. The team of officers in charge of each housing unit developed clearer expectations for inmates during visitation and out-of-cell recreation times, and inmate interactions in general. These changes are not cost-saving measures, but the additional overtime is worth every penny. The short-term additional costs were weighed against the long-term benefits of improved staff morale, enhanced safety and security, and efficiency of housing unit operations.

The shift in how officers handle each housing unit works well in this medium-sized facility, as all schedules are coordinated through the operations lieutenant. In a large county correctional facility, it may not be as feasible to let each unit develop its own schedules. However, leadership can find other ways to empower officers to make decisions specific to their housing units.

Once the staff became actively involved in policy review and development, they began to establish close working relationships with members of the administration. They became more relaxed and willing to step up and handle situations as they arose without checking with the higher-ups. Officers and supervisors are more comfortable about stopping by Moore's office to ask questions, seek his opinion about work issues, or just to say hello. As Moore began to make rounds within the facility, something not seen by staff in the prior administration, people

began to greet him in the hallway. One of the key performance measurements, the frequency of staff taking leave, including the all-too-frequent "mental health days," decreased.

Letting Staff Do Their Jobs

When Moore was a lieutenant earlier in his career, he made a mistake involving a problematic inmate in maximum security. He did not feel staff were dealing with the inmate properly or proactively enough. One day he impulsively took the inmate out of his cell to an interview room to tell him how things were going to be. Suddenly, the inmate stood up, flipped the table over, broke a leg off of it, and was ready to hit Moore with it. Fortunately, a seasoned officer just outside the room came in and took control. Moore learned from that experience not to interject himself as an administrator into situations that he does not understand. Staff made the point that he should leave the management of inmates to them. They were correct. As undersheriff, he coaches the current lieutenants accordingly.

Empowering Officers To Mentor Others

The facility implemented an officer mentor program for new and struggling officers. This provides a colleague with whom officers can discuss confidential issues and who acts as a sounding board and provides guidance. The program was developed by two sergeants, based on a presentation they attended at a National Association of Women Law Enforcement Executives conference.

Changing How Staff Are Managed

Disciplinary action should entail more than just "putting an employee on paper." A review of disciplinary actions showed that the facility had been doing just that: giving a piece of paper to staff as disciplinary action and nothing else. An education program and a commitment contract were implemented. The program provides documentation of the disciplinary action but goes much further. Employees must research the infraction and report what they have learned and how they plan to proceed, learning from the situation that led to the disciplinary action. Staff members who have a pattern of disciplinary actions but are salvageable are issued "last chance agreements." This details the multiple infractions and makes it clear that the employee has one last chance to correct the pattern of disciplinary issues. Education-based discipline requirements built into the agreement require the employee to research policy and procedure, related case law outcomes, and the effects on the facility, staff, and inmates. Employees who do not sign the agreement or adhere to its specifications are terminated. When someone has to be fired, leaders know that they have exhausted all other remedies.

The previous administration required its blessing before supervisory staff could make most decisions. Even trivial issues, such as taking breaks, had to be doublechecked. Discontinuing this cumbersome, outdated practice took considerable discussion and role-playing activities. Over time, trust grew up and down the chain of command, candid conversations were encouraged, and staff began to understand that the objective was to make the entire facility more efficient and less stressful. The stress that staff had worked under for years began to dissolve.

Empowering staff is one of the most gratifying experiences any administrator can have. With it comes improved facility operations, innovative management of inmates, happier volunteers and other stakeholders, and decreased staff turnover and staff-related disciplinary actions. In essence, staff empowerment brings systems change.

Managing and Leading Inmates

The transformation from "jail" to "correctional facility" began with the knowledge that not everyone incarcerated would remain there; many were housed in the facility simply due to bad choices. Regardless of their length of stay, almost all would eventually go back into the community to resume their lives. To begin shifting ways of thinking about corrections and to focus attention on successful reintegration into the community, leaders formulated a plan to remove the word "jail" from every document, policy, and protocol found within the facility. This effort involved hours of discussion with staff, explaining why the word "jail" should be eliminated from their vocabulary. This shift required important changes in how they dealt with the incarcerated population.

New Programs

The facility previously operated under the premise that programming was in place only to occupy inmates' time rather than address thinking patterns, mental health issues, or alcohol and drug abuse. Once staff members became involved in decisionmaking, they realized that programming could actually be corrective and could deal with some of the issues that lead to repeated criminal behavior. Programming was retooled, with an emphasis on topics that could help offenders make constructive use of their time inside and prepare for success upon release. Currently, the facility includes an offender worker program; creative writing, yoga, and art classes; Bible study and other religious groups; life skills classes; family reunification classes; substance abuse treatment; community mental healthcare providers offering cognitive behavioral training classes and individual counseling; parenting classes; and employment programs.

Reentry

To explore program options for successful reentry, staff implemented an advisory committee of people knowledgeable about corrections and community resources. After several months, the sheriff convinced the county administration to hire a full-time reentry director. A measure of success came when the facility received a Transition from Jail to Community technical assistance grant from the National Institute of Corrections (NIC). Subsequently, Second Chance Act funding was awarded to hire two full-time caseworkers to monitor and assist individuals as they move from the facility to the community.

Focus on Humane Treatment

Several changes emphasized correction over incarceration and humane treatment over a punitive approach, including improved communication with inmates, support for family visitation, and provision of some basic comforts.

Communication

Leadership emphasized again and again that effective management of the inmate population revolves around clear and concise communication, especially making expectations clear and providing guidance for those who stray outside the rules.

Visitation

Age restrictions on visitations were eliminated, requiring only that children be accompanied by an adult. The lobby sometimes looks and sounds like a daycare center, but reconnection of parent and child can jumpstart an offender's success. A caseworker from the local visitation and exchange center has been facilitating visits between mothers and fathers and their children outside of the facility. This is a model of continuity of services between the facility and the community.

Amenities

Within the housing units, many inmates complained that their drinks were not cold. This seemed a reasonable complaint, so coolers are brought in to ice down the drinks every day. For the women, a microwave was brought into their housing unit; if this is successful, the men's minimum-security housing unit will receive one as well.

Some feel inmates do not deserve such conveniences; they did the crime and should do the time. Most correctional mission statements, however, say something about humane treatment. In this facility, it means treating incarcerated people as human beings. Because most human beings in this country have access to ice and microwave ovens, it seems reasonable to allow those incarcerated the same access, within the parameters set by staff.

Reducing Violence within the Facility

Keeping the number of violent incidents to a minimum starts with a good classification system. The classification system moved from classifying people based on the intake officer's hunch to using a decision tree to classify people objectively. The operations lieutenant, supervisors, line staff, and a mental health provider meet weekly to review classification decisions. Inmates are sent to other facilities in the area when the population reaches 160–165 to free up bedspace and to maintain some flexibility in housing arrangements. Even though it costs money, the facility avoids filling to capacity.

Working in a direct-supervision facility requires intelligence gathering by officers who have the most contact with the inmates. Inmates serve as liaisons and communicate information to the entire population of a housing unit, which supports productive staff–inmate relationships. This good rapport between officer and inmate allows officers to learn of any potential situations brewing between those incarcerated, which can help avert potential problems. This process requires great caution. Inmates pass information to officers via written notes or ask to be taken from the housing unit under some pretense to discuss personal information with staff.

Many situations involving inmates do not require immediate action. Unless inmates are causing harm to themselves or others, or damaging facility property, staff may take time to talk to the individuals and defuse the situation so that no force is needed. Often the individual just needs to talk to someone.

The focus on violence prevention helps achieve the standards set by the Prisoner Rape Elimination Act.

Revamping the Use-of-Force Policy

Because the previous policy regarding use of force was not clear, staff were confused when confronted with any situation that might require it. Officers are now trained to react to threatening behavior in a way they feel is dictated by the threat level rather than one dictated by written policy. Training on the new way of handling use of force involves detailed explanations and concrete scenarios, not just handing written policy to staff members and expecting them to understand it, as was previously done.

Documentation is a vital ingredient in use-of-force situations. Staff recognize the importance of including all information in the report, even the experience of fear, which can legitimize the action taken. Officers have different levels of reasonableness and react differently, so each use-of-force report is reviewed by five staff members of varying rank. Any concerns are discussed with the officer involved. Reports are significantly better than they used to be, but there is room for improvement. Excessive use of force is not tolerated and this is continuously stressed. Case law on agencies that have paid huge settlements show that most result from an officer taking one last swing, arm twist, or knee strike and causing serious injury, when the situation is already under control. In training, videos are played of officers "going off" on a subject who is already subdued, showing that officers can act inappropriately if emotions are not kept in check.

Building Alliances with Community Stakeholders

Facility leaders endeavor to foster a culture of openness with the surrounding communities. The doors are open to local civic organizations for tours and meetings. Whenever there is an audience within the walls, an overview and a tour are provided. Leadership and staff want to show off the facility. Local government officials (commissioners, county administrators, judges, and the district attorney's office) are invited to learn about the facility's innovative approaches. Educating these often influential folks improves communication, reduces resistance to new programs, allows staff the flexibility to deal with offenders in positive ways, opens minds, and—yes—provides needed funding.

Thoughts on Leadership

- **Reentry:** Emphasis on successful reentry requires leadership at all levels, including line staff. Well-distributed leadership allows staff to have consistently positive interactions with offenders and has an impact on their success on the outside. Staff must remember that success for offenders often comes in small increments and involves some lapses intertwined with successes.

- **Mentors:** Undersheriff Moore was privileged—both personally and professionally—to have a mentor who taught him valuable lessons that he draws on each day and who provided an example of leadership that he tries to emulate. He was provided with opportunities for promotion. At the same time, the mentor was teaching Moore to carefully pick the battles he wanted to fight; his mentor had a unique ability to identify conflicts that would burn themselves out without intervention. He didn't make knee-jerk decisions, even in stressful or high-stakes situations. Moore learned the benefits of remaining calm and how to call "timeout," look, listen, discuss, collaborate, and then make the decision.

- **Good communication:** Make it happen; keep the lines of communication open. Every Friday, Moore goes up to the housing units to check in with people on shifts. One of the correctional officers said, "We really appreciate you coming up here." He thinks it sends the message that administrators are not above anybody. He shows up every Christmas morning when most staff would prefer to be at home with their families. This indicates to the staff that they are cared about.

- **Two-way communication:** Discussions with staff should be a dialogue and not a monologue. Power bases among the staff can be used to bring about change. Having these very powerful staff members on board with their influence and skills can smooth the way.

- **Data-driven system:** A new performance measurement system was begun early in Moore's tenure at the facility. When they began the Transition from Jail to Community Program, they added the key performance indicators that this program requires to their system. They also use NIC's indicators of well-run facilities as a part of their data management system. Managers and supervisors work closely with staff to help them understand the reason and value in collecting various data elements. They are able to use the performance measurement system reports to assist with decisionmaking, short- and long-term planning, determining the quantity and type of programming offered, and keeping track of individuals with no-contact orders and the like.

- **Programming:** The programs offered at the facility require soul searching and personal exposure. It takes a lot for an individual to tell a group of peers how they got into a life of crime. Facilities that do not provide such constructive activities risk more inmate-on-inmate violence and fewer people avoiding rearrest once they are released.

- **Boundaries:** Facility leadership and staff must maintain healthy boundaries while off duty. All staff should recognize that off-duty conduct may affect on-duty performance and that inappropriate conduct may discredit the department.

- **Honesty:** If something goes astray in officers' personal or professional lives, they must be honest and upfront about it. Integrity is a core value and lying cannot be tolerated.

- **Accountability:** Administrators must be willing to be wrong and apologize publicly for misguiding staff. The apology trickles down and staff members see that the culture of the agency allows for some risk taking. Administrators must be accountable for their actions. At times it can be easy to step back and watch events unfold in a negative way, letting someone else make a mistake and take the blame. Leadership tries to instill in staff that when bad things do happen inside the facility or in off-duty situations that discredit the department, the undersheriff is ultimately responsible. If administrators stay in tune with their staff members, they can sense when something has gone wrong or is about to. They should take action rather than allow a situation to become problematic. Many difficult situations can be avoided through discussion, mentoring, or an employee assistance program.

- **Integrity:** The most important thing in managing a facility is integrity. Administrators must give praise consistently where it is deserved. People have favorites, but the praise has to be distributed evenly. If one officer does something to earn praise, then others must be praised for doing the same. Conversely, it can be catastrophic to fail to discipline an officer out of favoritism. Accolades are given regularly to those who deserve them, but high praise is reserved for those who truly go above and beyond.

TO WHOM IT MAY CONCERN

I recently spent a few days in the MacGregor County Correctional Facility. I would like to express my sincere appreciation to all of the correctional officers I interacted with during my time there—from booking officers to the officers in the pod I was in. I was treated from start to finish with the utmost courtesy, respect, and dignity. Although I wish my circumstances were different (and I hadn't spent 3 days there!), I found that all of the officers I interacted with were very helpful in helping me to understand the rules and regulations as well as helping me to quickly fall into the routine in the facility. Again—I applaud your staff and their ability to remain positive and productive in the midst of a seemingly adverse environment.

Regards, Erik Smyth

Summary

Achieving performance excellence is not a destination; it is an ongoing journey of work processes and activities that is driven by effective leadership, strategy, relationships, and data. This case study of a medium-sized detention facility illustrates how deliberate organizational and operational changes can have a profound impact on a correctional system's culture and mission success and on public, staff, and offender safety.

Book Summary

eadership is a very important component of higher performing organizations. This book presents a breadth and depth of information about leading others and describes what leaders need to excel at and what up-and-coming leaders need to know as they prepare themselves for leadership positions. Taking a balanced approach to leadership allows correctional leaders to influence different people and diverse stakeholder groups in differing situations. Good leaders know when they need to *manage* rather than *lead* and how these two activities differ.

"Leadership That is Transforming" discusses a key concept for correctional leaders. The intersection of transformational leadership and command-and-control organizational structure is discussed in depth, using the Army's reliance on transformational leadership concepts as presented in one of their field manuals and through military doctrine. Correctional leaders who master the navigation of these seemingly contradictory concepts are those who are able to lead their organizations to higher performance, develop staff who are able to perform effectively in the complex correctional environment, and encourage innovation while managing risk.

Two case studies are presented to show how leaders use collaboration to create buy-in and commitment to change; how important leadership is when changing the fundamental structure of an agency, moving from micromanaging to empowering staff; and how this changes outcomes, especially for the supervised population.

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Afterword

The APEX Guidebook Series

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