

# PROBATION AND PAROLE EXECUTIVE ORIENTATION



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# NATIONAL INSTITUTE OF CORRECTIONS MISSION

The mission of the National Institute of Corrections is:

We are a center of correctional learning and experience. We advance and shape effective correctional practice and public policy that respond to the needs of corrections through collaboration and leadership and by providing assistance, information, education, and training.

NIC is fully committed to equal employment opportunity and to ensuring full representation of minorities, women, and disabled persons in the workforce. NIC recognizes the responsibility of every employer to have a workforce that is representative of this nation's diverse population. To this end, NIC urges agencies to provide the maximum feasible opportunity to employees to enhance their skills through on-the-job training, work-study programs, and other training measures so they may perform at their highest potential and advance in accordance with their abilities.

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# NIC Probation and Parole Executive Orientation

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#### About The Executive Orientation Session

NIC continues to recognize the value of orientation for new probation and parole executives. This course focuses on the knowledge and skills important to a sound beginning in a new career. This 40-hour training program is designed to assist new chief executives with the immediate knowledge and the long-term skills needed in the areas of budgeting, personnel, planning, evidence-based implementation, dealing with special interest groups, working with the media, and other organizational development issues.

The NIC Probation and Parole Executive Orientation session is a blended training program that consists of three phases:

- 1. Phase 1: Assignments completed online prior to attending the classroom-based session
- 2. Phase 2: Classroom-based session
- 3. Phase 3: Assignment conducted via a web-ex meeting.

#### **Participant Manual**

This participant manual is to be used during Phase 2 of the Executive Orientation. The manual contains note pages, activity sheets, and handouts that may be used during the onsite training program. However, please note that to accommodate the class schedule or training participants' needs, there may be times that facilitators need to adjust material presented during the onsite training and, in doing so, material presented may deviate from what appears in this manual.

#### **Supplemental Resources**

There is a list of suggested supplemental resources at the end of each module. We encourage you to review these resources on your own time to further reinforce your learning experience. To assist you in accessing the supplemental resources more easily, a combined supplemental resource list for all modules with links to documents will be available via dedicated link online that NICIC staff will send to you in Phase 3.

Please note, the supplemental resources lists are not exhaustive. Make sure to conduct your own research on these topics. Visit the National Institute of Corrections website (<a href="www.nicic.gov">www.nicic.gov</a>) and other federal government agencies and national associations serving community corrections (e.g., American Probation and Parole Association, International Community Corrections Association, American Correctional Association) regularly. New resources and publications are posted continuously.

# Module 1: Leadership and Leaders' Role in Creating Change

#### Introduction

Kissinger knew that it was no great feat to get others to do something they had done before. Real leadership skill is getting them to do something they haven't ever done or aren't even sure is possible.



## Learning Objectives

- Discuss strategies for implementing the five practices of exemplary leadership in your department/agency.
- Describe ways different leadership styles may or may not be applicable within your agency
- Give examples of ways individuals respond to change.
- Describe Kotter's 8 stage process for creating major change.

#### Poem:

#### **Autobiography In Five Short Chapters**

#### Chapter I

I walk down the street.

There is a deep hole in the sidewalk.

I fall in.

I am lost... I am hopeless.

It isn't my fault.

It takes forever to find a way out.

#### Chapter II

I walk down the same street.

There is a deep hole in the sidewalk.

I pretend I don't see it.

I fall in again.

I can't believe I am in this same place.

But it isn't my fault.

It still takes a long time to get out.

#### Chapter III

I walk down the same street.

There is a deep hole in the sidewalk.

I **see** it there.

I still fall in... it's a habit... but,

my eyes are open.

I know where I am.

It is **my** fault.

I get out immediately.

#### Chapter IV

I walk down the same street.

There is a deep hole in the sidewalk.

I walk around it.

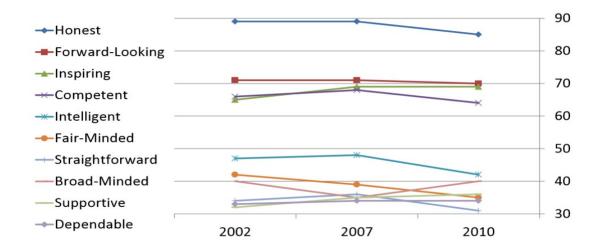
#### Chapter V

I walk down another street.

- Portia Nelson

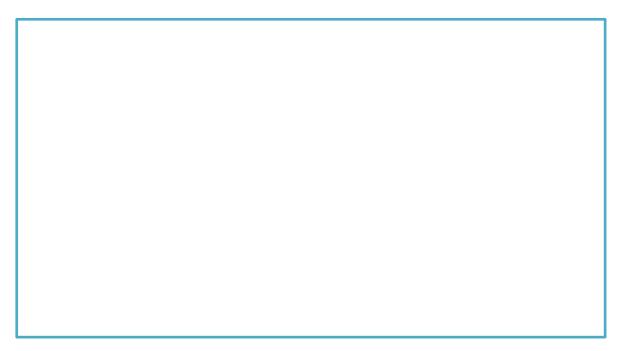
## **Leadership Characteristics and Practices**

#### **Characteristics of Admired Leaders**



Kouzes & Posner, 2012

#### **Notes:**



#### Characteristics of Admired Leaders (Kouzes and Posner, 2012)



# Individual Activity: What are Your Characteristics as a Leader?

As you look over the following list of characteristics individuals often look for in admired leaders, make note in the appropriate columns which of the characteristics that you feel your staff would say that you embody already or that you need to work on. This is private and individual activity. You will not be asked to share your responses with anyone. This is an exercise purely for your own benefit.

You will have three minutes to work on this activity.

Characteristic	Always Embody	Sometimes Embody	Need to Improve
Honest			
Forward-looking			
Inspiring			
Competent			
Intelligent			
Fair-minded			
Straightforward			
Broad-minded			
Supportive			
Dependable			

## **Five Exemplary Leadership Practices**

Kouzes and Posner<sup>1</sup> have identified five exemplary leadership practices:

- 1. Model the Way
- 2. Inspire a Shared Vision
- 3. Challenge the Process
- 4. Enable Others to Act
- 5. Encourage the Heart

<sup>&</sup>lt;sup>1</sup> Kouzes, J. K., & Posner, B. (2012). The Leadership Challenge: How to Make Extraordinary Things Happen in Organizations. San Francisco, CA: Jossey-Bass.

#### Phase 1 Assignment:

#### **Five Practices of Exemplary Leadership**

\*\*\*\*Bring a copy of that completed activity sheet to the onsite course. We will refer to the completed activity sheet during the Leadership module. \*\*\*\*

During this lesson, you were introduced to five practices of exemplary leadership identified by Kouzes and Posner:

- Model the Way
- Inspire a Shared Vision
- Challenge the Process
- Enable Others to Act
- Encourage the Heart

You also were instructed to read a book summary on The Leadership Challenge to learn about these principles, as well as about the 10 commitments of leadership that can help you put the practices into action.

#### Phase 1 Assignment:

Place an X in the appropriate column to rate the 10 commitments you learned about on a scale of 1-10 (1 easiest; 10 most difficult) to indicate how easy or difficult you feel it is to implement these commitments in practice.

Then answer the reflection questions listed below the matrix.

	Practices and Commitments	1	2	3	4	5	6	7	8	9	10
Model	the Way										
1.	Clarify Values										
2.	Set the Example										
Inspire	a Shared Vision										
3.	Envision the Future										
4.	Enlist Others										
Challer	nge the Process										
5.	Search for Opportunities										
6.	Experiment and Take Risks										
Enable	Others to Act										
7.	Foster Collaboration										
8.	Strengthen Others										

Encourage the Heart					
9. Recognize Contributions					
10. Celebrate the Values and Victories					

#### **Reflection Questions:**

1. Looking at the matrix you just filled out, which practice and commitment do you find the easiest to do (identify one)? If you had a tie, think about which one you would rank to be easier than the other and list it. Where possible and where you felt comfortable, provide some examples from your experiences to clarify your response. Be prepared to discuss during the onsite portion of the course.

2. Looking at the matrix you just filled out, which practice and commitment; do you find the hardest to do (identify just one)? If you had a tie, think about which one you would rank to be harder than the other and list it. Where possible and where you felt comfortable, provide some examples from your experiences to clarify your response. Be prepared to discuss during the onsite portion of the course.

## **Leadership Styles**

#### **Three Key Leadership Styles**

#### **Situational Leadership**

Successful leaders will change their styles based on who they are working with and what needs to be accomplished.

If employees have low maturity, leaders will use a telling and directing style of leadership. If an employee has a medium maturity yet limited skills, then a selling/coaching style should be used. If an employee has medium maturity and higher skills but is lacking confidence, then a more participating or supporting style of leadership is used. Finally, if an employee has a high maturity level and skills, then leaders delegate.

#### **Transactional Leadership**

Transactional leadership is also known as managerial leadership. This leadership style focuses on the role of supervision, organization, and group performance. Some basic assumptions within this style are that people will perform better when there is a clear chain of command and obey the instructions and commands of the leaders. As a result, employees are carefully monitored and rewards and punishments are contingent on employee performance. Research has found that transactional leadership tends to be most effective in situations where problems are simple and clearly defined.

#### **Transformational Leadership**

Transformational leaders inspire others. They are able to inspire others to change their expectations, perceptions, and motivations to work toward a common goal. Therefore, a shared vision is the foundation for transformational leadership.

There are four components of transformational leadership:

- Intellectual stimulation: Status quo is challenged and creativity is encouraged.
- Individual consideration: Employees are supported and encouraged to share new ideas. The lines of communication are open and leaders recognize each employee's contributions.
- Inspirational motivation: Leaders are able to clearly articulate their vision with passion to motivate others to fulfill these goals.
- Idealized influence: the leader serves as a role model. Employees want to emulate him/her because of the high level of respect and trust they fell toward the leader.

#### Phase 1 Assignment:

#### **NIC Probation and Parole Executive Orientation**

\*\*Bring a copy of this completed worksheet with you to Phase 2 to use during the onsite portion of the course. \*\*

#### **Leadership Styles**

There are a variety of leadership theories and models. From the various theories discussed in the literature, three key leadership styles have emerged: situational leadership, transactional leadership, and transformational leadership.

Phase 1 Assignment: Prior to the onsite portion of the Executive Orientation, you are required to:

Review the following three videos explaining the various leadership styles (see links below). Complete the questions on this worksheet related to each leadership style.

Estimated time to complete this requirement: 30 minutes

Links to the video clips:

- 1. Situational Leadership
- 2. Transactional Leadership
- 3. Transformational Leadership

Note: These links will launch in a new window.

#### **Questions to Answer After Reviewing Each Video Clip**

Situational Leadership	<b>Situatio</b>	nal L	eader	ship
------------------------	-----------------	-------	-------	------

Describe a time when you used a situational leadership style.	If you cannot identify a time, when do you
think it would be appropriate to use this type of leadership st	yle?

## **Transactional Leadership**

Is a transactional style of leadership ever appropriate in the work you do? Why or why not?

Does the transactional style of leadership remind you of another type of situation between authority and client within probation and parole? If so, please explain.

## **Transformational Leadership**

Is a transformational style of leadership ever appropriate in the work you do? Why or why not?

If able, describe when you have used a transformational leadership style.



## **Dyad Activity: Leadership Scenarios**

#### Instructions:

With your partner, read and discuss each scenario and identify what style of leadership you feel would be beneficial and how the administrator could/should handle the situation based on that style. Write your ideas in the space provided. Be prepared to report your ideas to the larger group during the activity debrief.

•	Mark is a supervisor in your agency and works in a satellite office. It was brought to your attention that Mark has been showing up late for work at least three days a week for the past month.
•	Your agency is moving toward implementing evidence-based practice around how offenders are supervised to promote behavior change.
•	Janice was hired as a probation officer 18 months ago. You notice she is struggling with using
	motivational interviewing techniques when meeting with individuals on her caseload.
•	
•	motivational interviewing techniques when meeting with individuals on her caseload.  You are having a meeting with your managerial team to discuss the need to reduce the agency
•	motivational interviewing techniques when meeting with individuals on her caseload.  You are having a meeting with your managerial team to discuss the need to reduce the agency

## **Leading Change Efforts**

	ı	•	_	_	
N	n	т,	_	•	•

What do you think of when you hear the word "change"?

How do you think your staff view "change"? Is it embraced or resisted within your department or agency?

What are some of the situations in which you have been placed in a leadership role to oversee some sort of change process?

How has culture of and attitudes within the organizations had an impact on, positively and negatively, your ability to implement change within your agency/department?



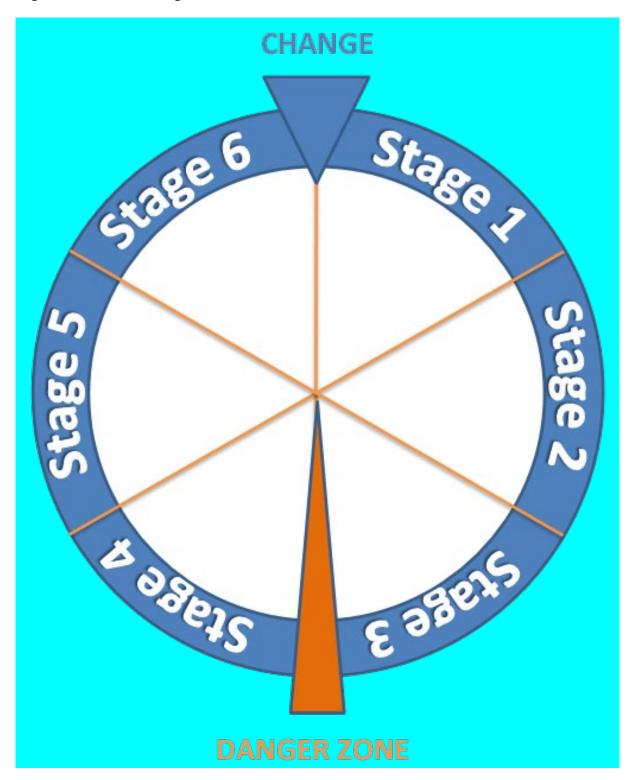
Who is likely to support change in your organization? What characteristics do they have?

Who is most likely to need more encouragement to be supportive? What characteristics do they have?

## **Creating and Managing Change**

Your role as a leader in your department or agency is to create or manage the change process.

## **Stages of Reaction to Change**



What is Change Management? (Video)	Link: http://www.youtube.com/watch?v= IIYNMdV9E
<b>Notes</b> : What are suggestions made in th	ne video about how to manage the change process successfully

#### **Kotter's 8 Stage Process for Creating Major Change**

- 1. Increase urgency: Inspire people to move, make objectives real and relevant.
- 2. Build the guiding team: Get the right people in place with the right emotional commitment, and the right mix of skills and levels.
- 3. Get the vision right: Get the team to establish a simple vision and strategy; focus on emotional and creative aspects necessary to drive service and efficiency.
- 4. Communicate for buy-in: Involve as many people as possible, communicate the essentials, simply, and to appeal and respond to people's needs. De-clutter communications. Make technology work for you rather than against you.
- 5. **Empower action**: Remove obstacles, enable constructive feedback and lots of support from leaders. Reward and recognize progress and achievements.
- 6. Create short-term wins: Set aims that are easy to achieve (e.g., bite-size chunks). Limit the change to a manageable number of initiatives. Finish current stages before starting new ones.
- 7. **Don't let up**: Foster and encourage determination and persistence for ongoing change; encourage ongoing progress reporting; highlight achieved and future milestones.
- 8. Make change stick: Reinforce the value of successful change via recruitment and promotion of new

change leaders. Weave change into culture.
How does Kotter's list compare with some of the suggestions that the video we just watched made?
What are some of the additional recommendations that Kotter provides that you find particularly
insightful or important when managing or creating change in your agency?
In value experience, what also can leaders do to help manage the change process?
In your experience, what else can leaders do to help manage the change process?

## **Penguin Personalities**

Fund	Alice
Fred	
Thinks outside the box, curious, creative,	Gets results, somewhat pushy but practical.
worried, yet willing to voice his opinion.	Treats all equally, can't be intimidated.
Most likely to say: I'm worried, but I'm no one	Most likely to say: Yes, we have a problem. I'll call
special. How can I make them understand and	a meeting so all can see how important this issue
listen to me?	is.
listen to me:	13.
NoNo	Buddy
Uncomfortable with change, pessimistic,	Charismatic, well-liked, not ambitious, trusted.
manipulative.	
mampulative.	Most likely to say I don't understand what all the
	Most likely to say: I don't understand what all the
Most likely to say: This is dangerous. They will get	problems are, but I'm happy to help any way I
hurt. We don't need to change. Let's just keep	can.
everything the way is it. It's too risky.	
Professor	Louis
Logical, reads a lot, curious, likes to "teach" not	Wise, experienced, respected, keeps his cool.
the most social.	
	Most likely to say: I'm proud of the team, the
Most likely to say: This is amazing. I could gather	scouts, and the colony during this change effort
	scouts, and the colony during this change enort
data and analyze it to show the best way to	
proceed.	
Scout	SallyAnn
Has endurance and ability. Enjoys the excitement	Young, somewhat emotional, wants to help,
and finding information. Needs support.	encourages buy-in.
Most likely to say: I can't wait to discover what	Most likely to say: We should all help out. Even I
we need to get this change moving. This is	can make a difference.
exciting, but it's also hard work.	
Teacher	
Fears her job will be lost, but gets behind the	
change effort when she realizes her job will be	
more important after the change.	
more important after the change.	
Most likely to say: Change is scary and difficult,	
but heroes of all ages will make it happen.	
but heroes or all ages will make it happen.	

# Conclusion

Individual Activity: Self-Reflection  To improve my leadership capacity, I need to remember to:
1.
2.
3.
To be more effective in creating and managing change in my organization, I need to remember to
1.
2.
3.

The six most important words: "I admit I made a mistake." The five most important words: "You did a good job." The four most important words: "What is your opinion?" The three most important words: "If you please." The two most important words: "Thank you." The one most important word: "We" The least most important word: "I"

-Author Unknown

## **Supplemental Resources**

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# Module 2: Employing the "Right" People in the Workplace

#### Introduction

Choosing the right person that will meet your agency's needs and be able to perform well and produce the results you want isn't always easy. It is true that making a poor hiring decision can be costly to agencies not only in terms of dollars and cents, but also in terms of maintaining a healthy and productive work environment overall. It is imperative that probation and parole agencies get better at attracting competent applicants to the workplace. But getting the right people isn't enough. You also have to be able to retain capable workers. That is what this module is about.

## M

#### **Individual Activity: Projecting Turnover**

Instructions: Fill in the blanks below to determine the anticipated turnover for your agency in the next 5-10 years. Don't worry if you don't know the exact figures, just estimate to the best of your ability for the exercise.

exercise.			
A. How many staff does your agency/department currently employ?			
<b>B.</b> Of the number of people the next 5-10 years?			spect to leave your organization in
	divided hv	=	- %
(Insert number from line <b>B</b> )	_arviaca by	(insert number from line A)	
Notes:			

## What does It Take to Succeed in the Workplace?

When it comes to deci	sions about hiring, promotion, dis	ciplinary, termination, et	c., you need
established and standa	ardized criteria for the decision-ma	aking process. Core com	petencies are
<u>capabilities</u> and <u>attrib</u>	<u>utes</u> that are needed for an individ	lual to be able to perform	n a specific type of job
effectively. Look at a t	ask/duty that the job requires and	d ask yourself, "What kno	wledge or skill does the
person need to do	[insert duty/responsibility]	effectively?"	

#### Example

**Duty:** Provide testimony in court

**Competency:** Oral Communication. *Speaks in a clear and understandable manner, and comprehends various types of information received orally (e.g., procedures, instructions, descriptions).* 

Individual Activity: Identifying Competencies for Probation and Parole Officers (Staff Assigned to Manage a Caseload)

#### Instructions:

Your task in this activity is to look at the duties/responsibilities listed on the job description you brought with you and identify capabilities/attributes (competencies) that someone would need to possess in order to fulfill these duties/tasks effectively. You can use the sample competencies provided to you on the previous page, but don't hesitate to add competencies that you feel are missing from this list that would reflect more accurately the attributes and capabilities you are looking for in probation and parole officers who are supervising a caseload.

Take about five minutes to create a list of competencies that you feel would be important for probation/parole officers in your agency/department based on the types of duties/responsibilities that officers managing a caseload have to perform. Given the time frame, you are not expected to generate a complete list of competencies for the entire job description. Just get as far as you can in the time allotted. The idea is to practice thinking about duties/responsibilities in terms of what *capabilities and attributes* a person needs to perform the job successfully. Be prepared to report out to the entire group.

Duty/Responsibility	Competency Area(s)

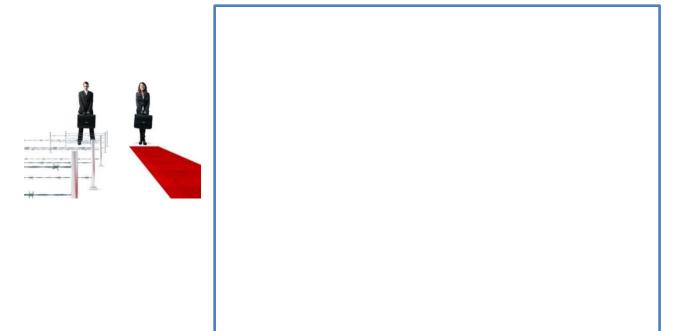
## Wants/Needs/Must Have Competencies

## Notes:



## Competencies that are More Difficult to Teach/Train:

## Notes:



What are some anticipated competencies for the future?

## Notes:

## **Employing the "Right" People—**How Can I Attract and Identify Competent **Candidates**



To attract competent candidates:

- Direct recruitment efforts toward those who are most likely to possess the identified core competencies.
- Understand the competencies needed for specific types of positions so you can clearly explain the exact nature of the job to potential applicants, including aspects that may not be appealing.
- Prioritize the competencies you are looking for and identify "disqualifiers."

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## **Strategies for Hiring Using a Competency Based Approach**

Application review

Phone screen

Pre-screen assignment

Interview

The interview should be structured solely around the competencies. Research indicates that structured behavioral-based interviews have shown to help hiring managers make more effective hiring decisions.<sup>2</sup> Why? Well, similar to the risk principal for offender recidivism, the behavioral interviewing model is based on the precept that the best predictor of future job behavior is past behavior performed under similar circumstances. The model implies that the most effective selection procedures are those that focus on the candidates' past or present behaviors in situations that closely match those they will encounter on the job. The closer the selection procedure simulates actual work behaviors, the greater its validity thus the better its prediction.

Rather than asking the candidate what they would do in a certain situation (scenario-based), you should structure the question to ask the candidate what they have done in the past that relates to the competency you are looking for. For example, if the competency being examined is "conflict management," the applicant may be asked to provide the panel with a time when they encountered a situation when he or she had a disagreement with someone at work. The applicant is asked to provide a description of the situation, his or her role or responsibility in the instance and what came of it as a result. The interviewers are listening for what the applicant specifically did, what action he or she took, and the result of the action. The response would be measured against key benchmarks defined for that competency.

The premise in the behavior based interview is that if a candidate truly possesses the competency, then he or she should be able to provide a behavior based example of a time when they in fact demonstrated the competency. The examples can come from their professional experience, volunteer work, or personal life which provides equal opportunity for the candidate with only limited professional employment history.

<sup>&</sup>lt;sup>2</sup> Assessment Decision Guide-US Office of Personnel Management Personnel Assessment and Selection Resource Center, nd

Selection Interviewing Developing and Administering Structured Based Behavioral Based Interviews: Supervisory Resource Guide West Virginia Division of Personnel Staffing Services, September 2004.



### Small Group Activity: Creating Questions for Behavioral-Based Interviews

Earlier in the lesson, you identified competencies you feel are important for probation or parole officers to possess to do their job effectively.

#### Instructions:

As a small group, your task is to pick three of the competencies that you see on the list we developed earlier as a group during our debrief of your individual activity and develop a question based on each competency that you could use during a behavior-based interview for someone who is interviewing for a new probation/parole officer position. When you conduct actual interviews, you will likely not have time to ask questions based on every competency that you've identified as important for a probation/parole officer. Therefore, you should identify those competencies on the list that are most important to you, are difficult to train people on, and/or you've noticed that when people lack the competency they really struggle in the job. So, come to an agreement within your small group as to which three competencies from the list we generated earlier are three competencies that you would definitely want to cover during the interview process.

When you finish this activity, you should have identified three competencies and have three behaviorbased questions (one for each competency) to share with the larger group. Choose someone to write your questions on the chart paper at your table, and someone to report out to the larger group during the debrief.

Remember, behavior-based interview questions focus on what someone has already done to demonstrate what he or she would do in a given situation, rather than what someone would do in a given situation.

You will have 10 minutes to complete this small group exercise.

Notes:			

#### Notes:

<b>Pros of Behavioral Based Interviews</b>	Cons of Behavioral Based Interviews

Final thoughts on behavioral based interviews: Prior to beginning the interviews, you will need to establish standardized scoring criteria upon which you can rate job candidates to evaluate against critical success factors of the job.

It is also recommended that you use a panel approach during the interview process to improve interview validity and reliability.

Strategies for Hiring Using a Competency Based Approach (continued)
Work Sample or Simulation Tests
Psychological Assessments
Legal Issues
Selecting the Best Candidate
Person-job fit

Person-organizational fit

## **How Can I Measure Performance Using the Competencies?**



Individual Activity: Examination of Performance Appraisals

#### Instructions:

Think about what has been discussed so far in this session. Then refer to the forms/evaluation manuals used for performance appraisals that you brought from your agency and briefly respond to the questions below. Be prepared to discuss some of your thoughts on your personnel appraisal process in the morning.

#### **Guiding Questions:**

Does your current hiring and performance appraisal process provide you a means of assessing competencies of staff?

If yes, what process did your agency go through to develop its competencies? When was it conducted? Should it be reviewed and revised?

If no, do you think it should? What does the current hiring and appraisal process focus on? Is it giving you meaningful information? Would it be more meaningful if it were revised to center around competencies? How might your agency initiate a revision of the hiring and appraisal process?

Notes:	

#### **Using Competencies and EBP to Address Personnel Issues**

Once someone is hired or placed in a position, you can also use the competencies, as well as the other information you gathered during the hiring process to help you assess and respond to employees' job performance. Just as in hiring, using the competencies and other information gathered to guide and justify decisions about personnel issues will help you make better decisions for promotions, transfers, disciplinary measures, firing, etc.

# **Motivating and Retaining Staff**

Notes:

	Strategies to Motivate Employees	Strategies to Retain Employees
lack lac		

# **Supplemental Resources**

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- Department of Correctional Services, 5<sup>th</sup> Judicial District, Iowa. Sample Scoring Guide for PO II Re-Entry Interview Selection Matrix. Available on the private online community.
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- Department of Correctional Services, 5<sup>th</sup> Judicial District, Iowa. Sample Hiring Matrix. Available on the private online community.
- Department of Correctional Services, 5<sup>th</sup> Judicial District, Iowa. Sample Interview Questions and Work Simulation. Available on the private online community.
- Department of Correctional Services, 5<sup>th</sup> Judicial District, Iowa. Sample Screening Assignment During Hiring Process. Available on the private online community.
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# **Discussions**

# The Generations: Who's Who

**B = Baby Boomers**: Born 1943 - 1964

**G = Generation X**: Born 1965 - 1980

**M = Millennials**: Born 1981 – 2000

1.	They believe in balance and work to live (not the other way around).
2.	They question authority. Every question can have a field of correct answers.
3.	The "Found Generation", they are confident and hopeful.
1.	They tend to think of themselves as 'the stars of the show".
2.	They're sociable, optimistic, talented, well- educated, collaborative, open-minded,
	influential, and achievement-oriented.
3.	Self-reliance is a hallmark of this generation.
4.	A patriotic generation, influenced by violence.
5.	They buy now and pay later.
<b>5</b> .	Their approach to authority is casual.
7.	They are the 14 <sup>th</sup> generation born since the founding of the United States and have been
	celebrated from birth to now.
3.	They have been characterized as self-absorbed, distrustful, rule breakers, neglected and
	having given up on the world.
€.	Their motto regarding performance appraisals could be "feedback whenever I want it at
	the push of a button."
10.	The women in this generation aren't enamored with the idea of long work hours, or less
	time with their family and friends.
	They have a nontraditional relationship to time and space and value informality.
12.	Known as the "invisible generation", they are dark, edgy and skeptical.
13.	They live to work.
14.	This generation thinks of the world of work as a "job"; not a "career."
15.	This generation demands direct involvement, wants to be treated as peers with access to
	information, and seeks mentors.
16.	This generation has redefined loyalty. Instead of remaining loyal to their company, they
	have a commitment to their work, to the team they work with, and the boss they work for."

# **Resource Management**



#### Instructions:

For this exercise, you should work in pairs. Each person should identify a time when they had to either justify to a funding agency or authority the need to keep a program or service operating or had to explain the reason an authority or funding agency should allocate funds or resources for a new initiative or service.

#### **Guiding Questions:**

Discuss with your partner:

What program or service did you need to justify?

How did you justify the need?

Why do you think your request was successful or unsuccessful based on that experience?

# **Supplemental Resources**

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# Module 3: Protecting the Safety and Security of Personnel and Agencies

#### Introduction

Staff safety is a matter of significant concern for community corrections professionals. Factors that have an effect on staff safety include the rise in the number of felons under supervision, the impact of drugs, the availability and use of weapons, the increase of violent behavior, and overloaded services systems. In addition, research reinforces the need for officers to see individuals they supervise not only in the office but also in the field and at their homes. This all contributes to the danger community corrections professionals face.

The critical issue of safety in community corrections prompted the American Probation and Parole Association to adopt a position statement on staff safety standards. In this position statement, APPA recommends that all probation and parole agencies have mechanisms in place to assess staff safety; to offer adequate training for staff; to maintain clear and decisive policies and procedures related to safety; and to investigate and respond to hazardous incidents.

This module is designed to help you and your agency be better prepared to prevent and respond to officer safety and critical incidents.



# **Learning Objectives**

- Identify data needed to inform policy and procedure related to staff and agency safety.
- Identify issues to address when developing an agency protocol for responding to critical incidents.
- Identify the role of the Probation/Parole Executive in responding to critical incidents.
- Outline issues to consider in personal protection.
- Identify the two primary types of staff trauma.

#### Phase 1 Assignment:

#### Do You Know?

## Officer Safety and Critical Incidents (extra copy)

\*\*\*Bring a copy of this completed activity sheet with you to the onsite training. You will be asked to refer to this activity sheet during the onsite training phase.\*\*\*

#### **Instructions:**

Staff safety is a matter of significant concern for community corrections professionals. Read the questions below and indicate your response in the "Answer" column. If you don't have the requested data or are uncertain of the answer to the question, then indicate that in the "Answer" column.

Do <u>not</u> fill in column three (i.e., Next Steps). You will complete column three during the onsite portion of the training.

Question	Answer	Next Steps
How many threats have been made against your staff in the last year?		
How many threats have been made against your staff in the last five years?		
What is the most frequent cause of injury to staff in your agency?		
How would you or your staff respond to a serious, life-threatening injury to an officer while on duty? Who would respond where? Who would notify family?		
Aside from incidents involving human behavior, has your agency had to contend with other types of critical incidents in the past 10 years (e.g., fire, natural disasters, etc.)		

## Phase 1 Assignment:

# **Policy Inventory**

# Officer Safety and Critical Incidents (extra copy)

#### **Instructions:**

Fill in column 2 of this form by indicating whether your agency has written policy that address the following policy areas.

Do not fill in column three (i.e., Next Steps)! You will be instructed to complete this column during the onsite training.

Policy Issue	Yes, No, Uncertain	Next Steps (if applicable)
Safety training		
Use of force		
Threats guidelines		
Office safety and design		

Badge identification flashlights	
Body armor	
Handcuffs	
Oleoresin Capsicum (OC)	
Expandable batons	

Firearms		
Tasers		
We have an effective critical/special incident response policy		

# **Using Data to Inform Policy and Procedure**

List the ways data can help your agency be better prepared to address officer safety and security issues.
1.
2.
3.
4.
5.
Where do you get data? What type of information do you seek? What trends do staff reports show on the types of incidents happening? Is information documented in a way that makes it easily accessible?
Notes:



# Individual Activity: Issues to Address in Critical Incident Protocols

Policies and protocol in response to critical/special incidents is intended to provide guidance related to (but not necessarily limited to):

- How a critical/special incident is defined
- How a critical/special incident is reported
- How a critical/special incident is declared
- How to respond on the scene
- How to handle the media
- Access to resources and programs for those directly affected and those indirectly affected (e.g., Employee Assistance Programs, Critical Incident Response Team)
- Family Notification

Review your agency's critical/special incident policy and answer the following questions.

- 1. Are all the areas mentioned above included in your agency's policy? If not, which ones are missing? What issues does your agency's policy and protocol cover that is not included in the list above? 3. Do you feel your agency policy/protocol is adequate? If not, what areas do you think could be improved?
- 4. What will you need to do when you return to the office to address areas of your policy/protocol that need to be improved?



## Small Group Activity: Responding to Critical Incidents

#### Instructions

- Review your assigned scenario. All scenarios are on the next page of your participant manual. The instructor will come around to each group at the beginning of the activity to assign your group a scenario by number (e.g., Scenario #2).
- Determine what protocols would be appropriate to put in place to respond to that type of incident.
- Discuss different approaches you may use, but come to a consensus of a recommended protocol for the purpose of the activity.
- Record your protocol on chart paper.
- Assign a group member to be the reporter.

You will have	15 minutes to	outline a res	sponse protocol.

Notes:	

Scenarios for the Small Group Activity on Developing Policy and Protocols for Critical/Special **Incidents:** 

Scenario #1: You receive a call that an officer has been assaulted by a probationer during a home visit.

Scenario #2: A parolee or probationer gets into an altercation with another probationer/parolee in the waiting room. As a result, one of them gets a deep cut on their head.

Scenario #3: A tornado touches down and causes severe damage in a housing project in which many of the probationers or parolees live.

Scenario #4: After a period of torrential rain and damaging winds during the overnight hours, the town in which you reside and work experiences extensive flooding. The probation or parole office has approximately one foot of standing water throughout the office. Four of the ten officers who work in your town have flooding in their homes. Some of the neighborhoods where probationers or parolees live have also been flooded.

Scenario #5: A family member of a probationer pulls a gun on one of your officers while he is on a home visit.

Scenario #6: When leaving a neighborhood after a home visit, a parole officer is shot at and pursued in a vehicle by two unknown men. The chase ends when the officer crashes his car into another car in an intersection about five miles from where the chase began.

Scenario #7: Extended loss of data connection/IT network. Building(s) remain intact but no data is available (no access to files, phone numbers, etc.).

#### Extra

Another thing that is useful to consider is General Office Design, not covered further in the course of the training.

Over the years there have been a number of highly-publicized incidents involving shortcomings in office safety and security. The safety and security of staff can be improved if office design is more standardized and makes greater use of safe office design practices.

Office Areas to Consider:

- Parking
- Controlled Access to Staff Areas
- Windows
- Environmental Controls

# Trauma: The Personal Impact of Working within Probation and Parole

Types of Officer Stress and Trauma
1. Primary:
2. Secondary / Vicarious:
Effects of Primary Trauma on Community Corrections Staff
Effects of Secondary / Vicarious Trauma on Community Corrections Staff
Ways that Agencies Can Respond More Effectively to Primary and Secondary Trauma Experienced by Their Staff

## **Supplemental Resources**

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- American Probation and Parole Association. (2009). Preventing and responding to corrections-based sexual abuse: A guide for community corrections professionals. Lexington, KY: Author. Available at www.appa-net.org/eweb/docs/APPA/pubs/PRCBSA.pdf.
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# Module 4: Managing the Message

#### Introduction

This module is about how to manage your message. We will be talking about what is involved in creating an overall communication plan for your agency and discussing how you can craft a message to be more prepared when dealing with the media or when you need to make a point to some other entity about your needs (e.g., funder).



# Learning Objectives

- Identify elements of a strategic communications plan.
- Identify the role that various types of media play for your agency.
- Frame successes and challenges faced when getting your message out via the media or other means.
- Develop a Single Overriding Communication Objective (SOCO) that you can use with the media.
- Outline next-steps in creating or refining personal/agency communication plans.

#### Phase 1 Assignment:

#### Managing the Message Scavenger Hunt

During Phase 2 of the training at the NIC Training Academy, in one of the lessons you will be learning about what is involved in creating an overall communication plan for your agency. You will also discuss how you can craft a message to be more prepared when dealing with the media or when you need to make a point to some other entity about your needs (e.g., funding or policy stakeholders).

This Phase 1 assignment is designed to help you identify resources, tools, and templates the American Probation and Parole Association has on its website to help community corrections agencies in the marketing their site and when talking with the media.

## Phase 1 Assignment:

- Go to the following link to answer questions 1-9: <a href="http://ccmarketingstrategies.org">http://ccmarketingstrategies.org</a>
- Follow the instructions to locate the answers to questions 10-12.

Estimated time to complete this assignment: one hour.

Write or type your answers on this form. Print out and bring a copy of the completed activity form to the onsite training. We will refer to and use the results of this activity during the onsite training.

Using the CC Marketing Strategies section of the APPA website (<a href="http://ccmarketingstrategies.org/">http://ccmarketingstrategies.org/</a>), find the answer to the following questions:

1.	What is the primary purpose of the CC Marketing strategies website?
2.	What four interest groups are represented on the interactive map?
3.	What is represented in the center of the interactive map?
4.	List four of the resources provided in the media section of the site.
5.	List three of the resources provided in the policy makers section of the site.
6.	List four of the resources provided in the public section of the site.
7.	List three of the resources listed in the community groups section of the site.
8.	What does Mary, a probationer from Arizona, say probation did for her?

- 9. What does Nicole, a probation/parole officer in Oklahoma, say is one of the most difficult parts of being a p/p officer?
- 10. Did you know that the American Probation and Parole Association undertook a National Branding Initiative to help your department and our field clearly and consistently communicate our collective new brand identity in communities across the country? Information on the National Branding initiative can be found on the APPA website (www.appa-net.org). Search and find the Overview page of the National Branding Initiative on the APPA website. Copy and paste the URL for that page here:
- 11. As part of the Branding initiative, APPA created a Media Interview guide that public information officers, community corrections executives, etc. can use to prepare for and provide more effective interviews with the media. Search and find the Media Interview Guide (hint: it will be a link to a PDF document) in the National Branding initiative section of the APPA website. Copy and paste the URL here:
- 12. How do you think you could use some of these or other resources you noticed in these sections of the APPA website to improve your messaging, marketing, and communications with stakeholders about community corrections?

#### **REMEMBER:**

Once you complete the scavenger hunt activity, print this sheet with your answers and bring a copy of your completed activity sheet to the onsite training at the NIC Training Academy. We will refer to this activity sheet during the lesson onsite.

# **Types and Roles of Media**

- Local or regional newspapers, television, radio stations
- Wire services, such as the AP, Reuters, Bloomberg News, Dow Jones Newswire
- National publications (e.g., Time, Newsweek, US News and World Report)
- National newspapers (e.g., The Wall Street Journal, USA Today, The New York Times)
- Radio or television networks or news services (e.g., CNBC, CNN)
- Trade publications (e.g., Perspectives, Journal of Offender Monitoring, Federal Probation)
- Social media (e.g., Facebook, Twitter, LinkedIn)

Some probation and parole departments/agencies have Public Information Officers (PIO) or their equivalent to handle the majority of the media inquiries and to promote the department/agency through various media outlets.

Does your agency have a public information officer (PIO)?

If so, what role has the PIO had in supporting the agency's position?

If not, who is responsible for handling media inquiries?

Who is responsible for talking with key stakeholders that provide needed resources to your department/agency (i.e., funder) about the department/agency's needs?

# **Key Components of a Strategic Communication Plan**

- 1. Establish the goal you are trying to achieve through a communication plan
- 2. Identify and profile specific audiences to target with your communications initiative.
- 3. Develop messages (which we will be talking about more in a few minutes) that will provide information about the issue you are addressing and compel the target audience to think, feel, or act.
- 4. Select communication channels through which you can convey your message to the target audiences.
- 5. Choose activities and materials that will carry your methods (e.g., news conference, news release, radio talk show, op-eds, web pages, social media, etc.).
- 6. Establish partnerships with groups, organizations, or businesses that may exist that would aid you in reaching your goal by providing funds, expertise, support or other resources.
- 7. Develop an action plan for implementation (e.g., activities, steps/tasks, staffing/resource needs, target completion dates or benchmarks)
- 8. Develop a method for measuring the results of your communication plan. Evaluate and make midcourse corrections, as needed.

Notes:		

# **Developing a Single Overriding Communication Objective (SOCO)**

## **Key Elements of a SOCO**

- Identify what you want to accomplish through the outreach (key point or objective).
- Choose 3-4 facts or statistics that you want people to remember that support your message
- Identify the main audience that you want your message to reach.
- What is the ONE thing (message) you want the audience to know about your agency, program or initiative.
- Name and contact information for person in your office who will be the contact for media (e.g., PIO).

Notes:	

Source: cdc.gov website

#### Sample Single Overriding Communications Objective (SOCO)

Worksheet

In one BRIEF paragraph, state the key point or objective you want to accomplish by doing the interview. This statement should reflect what you, the author or speaker, would like to see as the lead paragraph in a newspaper story or broadcast report about your topic.

National surveillance data show that the rate of active TB cases fell to an all time low in 2004 to 4.9 cases per 100,000 people, or 14,511 total cases.

However, decline in the national TB rate was only 3.3% from 2003 to 2004 - one of the smallest declines in more than a decade

- May suggest slowing in our progress towards eliminating TB in the U.S.
- Overall slowing, combined with disproportionate impact on several populations, especially racial/ethnic minorities and foreign-born individuals, are reason for concern
- · Have learned from the past that TB must continue to be taken seriously

What are the three or four facts or statistics you would like the public to remember as a result of reading or hearing about this story?

Foreign-born persons accounted for more than half of TB cases and had a case rate 8.7 times higher than U.S. born (22.5 v. 2.6/100,000)

CDC is working to strengthen global partnerships in areas hardest hit by TB by:

- Improving overseas screening for immigrants and refugees and testing recent arrivals from highincidence countries for latent TB infection
- Strengthening the notification system that alerts local health departments to the arrival of immigrants who are known or believed to have TB
- Improving coordination of TB control with Mexico

Rates for Hispanics 8x higher than whites, 8 times higher for Blacks, 20 times higher for Asians

CDC is working on an ongoing basis with state local health departments to ensure adequate local resources in communities facing burden

 Funded demonstration projects in Illinois, Georgia, and South Carolina to help address TB among African Americans

Who is the main audience	or population seg	ment you would	l like this me	ssage to reach?
Primary: General public		Policy makers		_

₩ What is the ONE message you want the audience to take away from this interview/report? Latest data show that TB was at an all time low in 2004, but progress to eliminate TB in the U.S. may be slowing.

Who in your office will serve as the primary point of contact for the media?

Name: Phone: Email: Date(s) and time(s) available: Date: Time:

		nunications Ob	,	Worksheet
n one BRIEF paragraph, state sterview. This statement shou aragraph in a newspaper story	ıld reflect what	you, the author or sp	eaker, would like to see	the as the lead
That are the three or four facts earing about this story?	or statistics yo	ou would like the pub	lic to remember as a res	ult of reading or
Who is the main audience or p	opulation segn	aent you would like t	his message to reach?	,
Primary: Secondary:				
What is the ONE message you	want the audie	ence to take away fro	m this interview/report?	
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Who in your office will serve	as the primary	point of contact for the	ne media?	
Name: Date(s) and time(s) available:	Phone:	Email: Time:		
Jaiels cand differ a cavallacie	Date.	Time.		

Sample Single Overr			• • •	Worksheet
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augusta and accordance of the	, 01 0104444	post about your top.		
Vhat are the three or four fact	s or statistics yo	u would like the pub	lic to remember as a re	sult of reading or
earing about this story?				
Who is the main audience or	population segn	aent you would like t	his message to reach?	
Primary: Secondary:				
-			a	
What is the ONE message yo	u want the audie	ence to take away iro	m this interview/report	(
			ha madia?	
Who in your office will	on the primare:		ne media:	
Who in your office will serve	as the primary [	point of contact for t		
Name:	Phone:	Email:		
Who in your office will serve Name: Date(s) and time(s) available:	Phone:	-		

# **Delivering Your Message**



**Dyad Activity: SOCO Role Play** 

For this activity, you will work in pairs. You will do the role play twice so that both participants can practice using their SOCO in a mock interview. You will be using the SOCO that you developed in the previous exercise.

Proactive Scenario: As part of a comprehensive incentives and sanction program, convince a stakeholder to embrace and apply rewards such as gift cards.

Reactive Scenario: A parole officer is found to have been engaged in a sexual relationship with an individual on their caseload, and then falsifying documents in order to shorten their probation period.

For both of these scenarios, consider who the potential stakeholders are and what possible challenges may arise.

Instructions for the Role Play: One person should be the stakeholder (this should be decided jointly) and the other be the person communicating the SOCO (agency representative). The role play should be conducted as an interview. As the agency representative relays the message, the stakeholder should ask clarifying or follow up questions that they think might be asked in a real situation. The person communicating the message should remember to continually refer back to their SOCO when answering questions. Then you will switch roles and possibly partners and repeat the exercise.

You will have five minutes for each role play. The facilitator will let you know when your time begins/ends.

# **Conclusion**



# Individual Activity: Action Plan

Identify 3 things you need to do when you return home to either create a communication plan (if you don't have one) or refine a communication plan (if you do have one).

1.

2.

3.

## **Supplemental Resources**

- American Probation and Parole Association. A Force for Positive Change: Turn Key Kit. Lexington, KY: Author. Available at http://www.appanet.org/eweb/Resources/National Branding/AFORCE TurnKeyKit.pdf.
- American Probation and Parole Association. Community Marketing Strategies Website. Available at http://ccmarketingstrategies.org/.
- American Probation and Parole Association. National Branding Initiative. Lexington, KY: Author. Available at

http://www.appa-

net.org/eweb/Dynamicpage.aspx?webcode=Announcement Resources&wps key=8df8d74da9e3-4356-8454-e02ac1361354.

- American Probation and Parole Association. Media Interview Guide: http://www.appanet.org/eweb/Resources/National Branding/AFORCE MediaInterviewGuide.pdf.
- Coombs, W. T. (2012). Ongoing Crisis Commmunication: Planning, Managing and Responding. Thousand Oaks, CA: SAGE Publications, Inc.
- Fearn-Banks, K. (2010). Crisis Communciations: A Casebook Approach. New York, NY: Routledge.
- Fehr, L. (2008). Case Study in Crisis Communications. Handout used in Being Ready to Battle Bad Publicity Arising from Community Reentry Incidents. Workshop presentation at the American Correctional Association Conference, August 9, 2008. Available at http://www.appanet.org/CCMarketing Strategies/resources/Case Study Crisis Communications.pdf.
- Fink, S. (2013). Crisis Communications. New York, NY: McGraw-Hill.
- Mancini Billson, J., Cebula, N., Lantz, T., Ritter, E., & Ward, T. (2012). APEX Resources Directory Vol. 2: (see Chapter 3: Communication Plans), Washington, DC: National Institute of Corrections. Available at <a href="http://nicic.gov/Library/025303">http://nicic.gov/Library/025303</a>. (consider including as a handout?)
- National School Public Relations Association. Sample Outline for a Strategic Communication Action Plan. Available at http://www.nspra.org/files/docs/Sample%20Communication%20Plan.pdf
- Oregon Department of Transportation. News Media Workshop: The Basics of Building Good Relationships with the Media. Available at https://www.oregon.gov/das/HR/Documents/newsmedia handout oct09.pdf
- W.K. Kellogg Foundation. Template for Strategic Communications Plan. Available at http://www.wkkf.org/resource-directory/resource/2006/01/template-for-strategiccommunications-plan

# Module 5: Leading Teams and Other Collaborative Efforts

#### Introduction

Probation and parole professionals engage in a wide range of working relationships with other individuals and agencies. In this module, we will be focusing on issues around interagency and intraagency collaborations, as well as teams.



# Learning Objectives

- Identify why collaboration is important.
- Use a mapping tool to identify and prioritize stakeholders for an initiative
- Identify when to use a team approach
- Classify the stages of team development to assess current conditions
- Define the five dysfunctions of a team
- · Describe techniques for building successful teams
- Create a strategy to problem-solve team building
- Describe barriers and strategies to effective intra- and inter-agency collaboration

# Why Collaborate?

As a leader of a department or agency, why is it important to effectively collaborate?

Do you think the level of collaboration expected in today's work environment has increased or decreased in the last 10-15 years? Why?

votes:

### The Leader's Role

if you are leading some type of collaborative or other stakeholder partnership, what do you think your role would be?

# **Establishing and Maintaining Stakeholder Relationships**

#### **Identify Stakeholders**

What are some of the key questions you think about when identifying key stakeholders?

#### **Understand Your Stakeholders**

Make sure that you know how each stakeholder is likely to feel about and react to your project. You also need to know how best to engage them in your project and how best to communicate with them.

Be able to articulate:

- The benefits of the program/service to them
- The benefit they offer to the program/service

This needs to be considered individually for each stakeholder. When communicating with them you want to make sure you talk in terms that are going to be meaningful to them.



# Large Group Activity : Stakeholder Analysis

Your agency is leading an initiative in your community to improve reentry practices. As a group, we are going to walk through a stakeholder analysis together to see who we should have involved and why. For the sake of time and for the purposes of this exercise, we will only identify 4 key stakeholders. This will allow us to go through the exercise more quickly and will give you an example of how you can use this type of process when conducting a stakeholder analysis for an initiative at home.

Stakeholders	Benefits to Stakeholders	Benefits to Initiative	Method of Invitation	Method of Engagement

# When to Use a Team Approach



What's the Difference?

Workgroups:

Teams:

Are there advantages to using workgroups rather than teams or vice versa?

### **Types of Teams**

- Working Teams: Perform the activities that are basic to the operation of the organization. Team members are assigned on a permanent basis.
- Project Teams: deal with a specific situation or analyze a problem and make recommendations to resolve it. Members may be fully dedicated to the team, or assigned for a specific purpose/time while continuing normal work duties.
- Multidisciplinary Teams: Members comprised from several different disciplines and may serve on a permanent or temporary basis.
- Self-directed Teams: Members share leadership; team doesn't have a permanent leader. Members agree upon assignments and performance standards, serve to motivate each other, and are not dependent on being directed routinely by a supervisor.
- Management Teams: Make management decisions, and the team members reach consensus on major decisions affecting the organization. When a team is first established, the chief or executive needs to provide input on the purpose, objectives and expectations of the team and how it will support the agency/department.

### **Traits of Members of Successful Teams**



Other traits?

#### Phase 1 Assignment

#### **Assessing Your Team's Effectiveness**

\*\*\*Bring a copy of this completed activity sheet with you to the onsite training. You will be asked to refer to this activity sheet during the onsite training phase.\*

Historically, it has been common in correctional organizations for top management to make all the decisions and then filter decisions down through layers to the rank and file workers. However, that hierarchical management structure or style is changing in many agencies and being replaced by a more collaborative model in which people at all levels are able to contribute to various aspects of their organization's activities. When done well, this collaborative approach through the use of teams can increase productivity, provide a sense of ownership among staff, and improve creativity and innovation throughout the agency. However, building and sustaining effective teams is not always easy.

To prepare for the Leading Teams module during the onsite session, please complete the following Phase 1 assignment and bring a copy of the completed activity sheet with you to the onsite training.

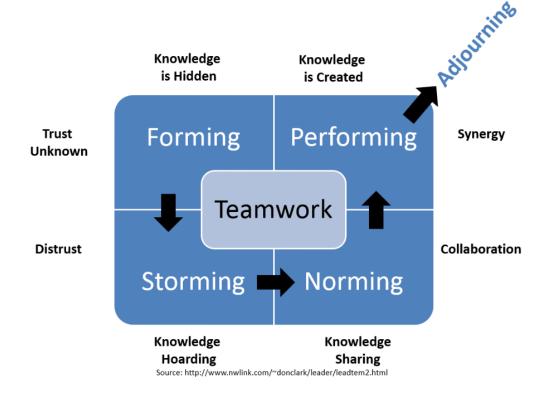
1. Go to the following web page: http://www.mindtools.com/pages/article/newTMM\_84.htm

3. Answer the following questions after you complete the survey:

2. Identify a team within your department/agency that you participate in and take the brief survey (15 questions) to assess the identified team's effectiveness. If you do not use teams within your department/agency, think of a team you have led or had a significant role in with another agency at which you worked or that you participated in as a community member.

	, , ,
a.	What was your score on the survey?
b.	Where you surprised by the results? Why or why not?
c.	What area did the assessment identify that your team needed to improve?
d.	When you read through the feedback on your results, what resources did you identify that may be able to help you improve your team's effectiveness?

# **Stages of Team Development**



**Forming** 

**Storming** 

**Norming** 

**Performing** 

**Adjourning** 



# Small Group Activity: Forming, Storming, Norming, Performing, Adjourning

#### **Instructions:**

As a group, identify 3-5 ways that administrators support teams and team leaders in the stages of team development your group is assigned. The facilitator will come around and tell you which stage of team development you are to focus on. You can take notes on this page, but assign one person in your group to chart the group's ideas on a piece of chart paper. Assign someone from your group to be the reporter

for your group during the activity debrief.				
You will have five minutes to work on this activity as a group.				
Assigned Stage of Team Development:				
Ways administrators can support teams and team leaders during this stage of team development:				
Notes from Activity Debrief:				

STAGE ONE: FORMING			
Characteristics Within the Team	Tips for Mangers		
Forming: "Trying to find their place."	Forming: Observe, Involve		
Team begins to experience: Feelings of excitement, anticipation, and optimism; also feelings of suspicion, fear, and anxiety about the job ahead Identification of the task to be accomplished As the team forms and matures, natural leaders will emerge. Look for and encourage them.	Observe your team so you can help move the energy within it toward building a strong team; you can't control it, but you can make sure it stays positive.  Involve yourself; involve others Keep communication lines open Develop a climate of respect and trust Encourage open dialog		

## **Forming Guidelines**

Observe the team in action as much as possible. Observe how some people lead and some follow. Notice how members interact, the social skills they use, their mannerisms - all tell a story.

Be patient - it's a virtue

Be prepared - a good leader always is

Be a team - the example you set as a leader will influence the members

Develop a common vision and mission

STAGE TWO: STORMING				
Characteristics Within the Team	Tips for Managers			
Storming: "Hey! I've got something to say!"	Storming: Build, Bridge, Understand			
Some team behaviors and attitudes: Negativity	Be a motivator! Someone is always in need of some building up			
Dissatisfaction Hostility; crisis mode	Involve team members in problem-solving Keep focus on the goals			
Adjustment anxiety Conflict	Know the issues before expressing your opinions, and then voice your thoughts clearly			
Differences and suppressed tension begin to surface. Members further define the energy level they dedicate to the task or project at hand.	Be aware of others' feelings, listen to others, and leave the personality clashes at home			
Storming Guidelines				
Arrange for meetings with venting sessions - allow members' voices to be heard				
Set and maintain a positive tone for the team				
Make sure ground rules are understood and observed				
Break workloads into manageable steps				
Take time for fun activities				
STAGE	THREE: NORMING			
Characteristics Within the Team	Tips for Managers			

Norming: "We're all in this together!"	Norming: Motivate, Collaborate, Create
Some team behaviors: Cohesion around shared goals	Be a motivator and watch your own motivation; maintain your sense of humor and be a positive force
Resolution of conflict  More acceptance of diversity in the team	Collaborate - assist each other to complete a goal or solve a problem
Reconciliation; show of affection Re-evaluation	Talk openly about issues and concerns  Delegate to team members as much as possible

### **Norming Guidelines**

Members have seen the coming together (forming), the semi-separation (storming), and now they have reconciled themselves to working together (norming) despite their differences with a new definition of purpose. Members are trying out how they can best work together; more solid leaders emerge and must be nurtured and encouraged. Make sure that these leaders have the skills to lead, and also that they have the respect and approval of the other members.

STAGE FOUR: PERFORMING			
Characteristics Within the Team Tips for Managers			
Performing: "Getting Things Done"	Performing: Focus, Produce		
Cohesiveness	Involve yourself and others		
Teamwork	Be a positive force		
Leadership	Enjoy the laughter		
Performance	Encourage ongoing self-assessment		
De	orforming Guidelines		

#### Performing Guidelines

As the team enters the phase of creative and constructive service, be aware and attentive toward keeping them on track and productive. Let the team assume more responsibility, but remain available for problems that might arise. Members will emerge more and more as leaders and as a team.

The team is starting to utilize its newly found "norms of trust," and can begin focusing on the service to be done; there should be enough drive, creativity, and cohesiveness to take on most tasks.

Help members evaluate the team and realize that the team is not an end in itself - that most of the work takes place outside the team

STAGE FIVE: ADJOURNING		
Characteristics Within the Team	Tips for Managers	
Adjourning: "Wrapping Things Up"	Adjourning: Celebrate, Appreciate	
Acknowledgement Transition	Honor yourself and others	

### **Performing Guidelines**

This stage takes place when the project is complete or when the team has fulfilled its purpose. This can be a sensitive time if the group has bonded significantly, and the role of the leader in is to pay attention to how team members are reacting to the transition and end on a positive note, making sure people feel their efforts were honored.

There is a Teamwork Survey (below, also available online) that can help you determine which stage of the teamwork model your team is presently operating in.

### Teamwork Survey<sup>3</sup>

### **Objectives**

To identify the present stage of the teamwork model that your team is presently operating in.

### **Directions**

This questionnaire contains statements about teamwork. Next to each question, indicate how often your team displays each behavior by using the following scoring system:

Almost never - 1 Seldom - 2 Occasionally - 3 - 4 Frequently Almost always - 5

### Questionnaire

1.	We try to have set procedures or protocols to ensure that things are orderly and run
	smoothly (e.g. minimize interruptions, everyone gets the opportunity to have their say).
2.	We are quick to get on with the task on hand and do not spend too much time in the
	planning stage.
3.	Our team feels that we are all in it together and shares responsibilities for the team's
	success or failure.
4.	We have thorough procedures for agreeing on our objectives and planning the way we
	will perform our tasks.
5.	Team members are afraid or do not like to ask others for help.
6.	We take our team's goals and objectives literally, and assume a shared understanding.
7.	The team leader tries to keep order and contributes to the task at hand.
8.	We do not have fixed procedures, we make them up as the task or project progresses.
9.	We generate lots of ideas, but we do not use many because we fail to listen to them and
	reject them without fully understanding them.
10.	Team members do not fully trust the others members and closely monitor others who are
	working on a specific task.

<sup>&</sup>lt;sup>3</sup> Clark, D. (2010). *Teamwork Survey*. Retrieved from <a href="http://www.nwlink.com/~donclark/leader/teamsuv.html">http://www.nwlink.com/~donclark/leader/teamsuv.html</a>

11.	The team leader ensures that we follow the procedures, do not argue, do not interrupt,
	and keep to the point.
12.	We enjoy working together; we have a fun and productive time.
13.	We have accepted each other as members of the team.
14.	The team leader is democratic and collaborative.
15.	We are trying to define the goal and what tasks need to be accomplished.
16.	Many of the team members have their own ideas about the process and personal
	agendas are rampant.
17.	We fully accept each other's strengths and weakness.
18.	We assign specific roles to team members (team leader, facilitator, time keeper, note
	taker, etc.).
19.	We try to achieve harmony by avoiding conflict.
20.	The tasks are very different from what we imagined and seem very difficult to
	accomplish.
21.	There are many abstract discussions of the concepts and issues, which make some
	members impatient with these discussions.
22.	We are able to work through group problems.
23.	We argue a lot even though we agree on the real issues.
24.	The team is often tempted to go above the original scope of the project.
25.	We express criticism of others constructively.
26.	There is a close attachment to the team.
27.	It seems as if little is being accomplished with the project's goals.
28.	The goals we have established seem unrealistic.
29.	Although we are not fully sure of the project's goals and issues, we are excited and proud
	to be on the team.
30.	We often share personal problems with each other.
31.	There is a lot of resisting of the tasks on hand and quality improvement approaches.
32.	We get a lot of work done.

### Part 2 - Scoring

Next to each survey item number below, transfer the score that you give that item on the questionnaire. For example, if you scored item one with a 3 (Occasionally), then enter a 3 next to item one below. When you have entered all the scores for each question, total each of the four columns.

Item Score	Item Score	Item Score	Item Score
1	2	4	3
5	7	6	8
10	9	11	12
15	16	13	14
18	20	19	17
21	23	24	22
27	28	25	26
29	31	30	32
TOTAL	TOTAL	TOTAL	TOTAL
Forming Stage	Storming Stage	Norming Stage	Performing Stage

This questionnaire is to help you assess what stage your team normally operates. It is based on the "Tuckman" model of Forming, Storming, Norming, Performing, and Adjourning.

The lowest score possible for a stage is 8 (almost never) while the highest score possible for a stage is 40 (almost always).

The highest of the four scores indicates which stage you perceive your team to normally operates in. If your highest score is 32 or more, it is a strong indicator of the stage your team is in.

The lowest of the three scores is an indicator of the stage your team is least like. If your lowest score is 16 or less, it is a strong indicator that your team does not operate this way.

If two of the scores are close to the same, you are probably going through a transition phase, except:

- If you score high in both the Forming and Storming Phases then you are in the Storming Phase
- If you score high in both the Norming and Performing Phases then you are in the Performing Stage

If there is only a small difference between three or four scores, then this indicates that you have no clear perception of the way your team operates, the team's performance is highly variable, or that you are in the storming phase (this phase can be extremely volatile with high and low points).

### **Reliability and Validity**

Since this survey is a learning tool used in training programs such as leadership development, rather than a research tool, it has not been formally checked for reliability or validity. However, since I have received feedback from various sources and has been updated numerous times, I believe it to be a fairly accurate tool.<sup>4</sup>

<sup>&</sup>lt;sup>4</sup> Please note this is a direct quote from the author of the survey from the website the survey was accessed.

### **Five Dysfunctions of a Team**

Lencioni identifies these five dysfunctions of teams:

- Absence of trust: When team members fear being vulnerable with each other; trust cannot be built.
  To overcome the dysfunction of trust, recognize that building trust takes time. Team members need
  to take time to learn more about each other. Profiling tool like Myers-Briggs or Real Colors are
  sometimes used to help team members learn about each other. To overcome problems with trust,
  leaders need to lead by example and demonstrate vulnerability.
- 2. **Fear of conflict:** When individuals avoid conflict to protect a sense of harmony it stifles productive ideological conflict. Conflict is not always destructive. At times, conflict can be productive. Team members need to learn to recognize the differences and be willing to voice differing opinions, yet be willing to work towards resolution. Conflict can quickly become destructive if issues are left to linger and build and carry over into the next situation. Leaders should refrain from resolving conflict. Rather, they should facilitate the team members through their resolution process.
- 3. Lack of commitment: If there is a lack of clarity of buy-in, team members will be less likely to stick to the decisions they make. For teams to function effectively, team members need to agree to disagree and rely on the collective wisdom and input of the team.
- 4. **Avoidance of accountability:** the need to avoid interpersonal discomfort prevents team members from holding one another accountable. Leaders need to set timelines on decision-making and push team for closure around issues. Peer pressure can be used to help maintain a high level of accountability. Team members need to have clearly delineated tasks and responsibilities. Leaders should create a culture of accountability where the leader, not the disciplinarian.
- 5. **Inattention to results:** pursuit of individual goals and personal status erodes the focus of collective results. If you want members to pay attention to results, you need to know what drives your team. Set team goals and engage all team members. As a leader, you need to make the message clear about the results you expect and what benchmarks you want to be hit.



#### Small Group Activity: Addressing Dysfunction in Teams

#### Instructions:

- Review the scenario that is assigned to your group by the facilitator.
- Identify the primary type of dysfunction (i.e. trust, conflict, commitment, accountability, or results) that is occurring in the scenario.
- Discuss ways to overcome the challenge to become more effective as a team. Have someone from your group chart your responses and be prepared to report out to the larger group.

#### Scenario #1:

You are a new administrator coming in from outside of the agency. Within the agency, there is a small working group that was assigned to review the policy and procedures for responding to critical incidents in the department/agency. Policy states that this needs to be done every four years. The group has been working together for nine months and has an additional three months to complete their draft revisions for submission to the policy unit. The project is behind schedule and you are being asked to step in and facilitate completion of the revisions. The group members are in disagreement over several components of the procedures. Each attempt you have made to resolve the disagreement has been met with negativity and skepticism; clearly, the group members do not trust that you understand what the issues are and what is needed to resolve the situation and come to consensus. What can you, as the new administrator do, to gain their trust and meet the pending deadline?

#### Scenario #2:

You are a new administrator who was promoted from within the agency. Another senior employee also applied for the position, which was ultimately given to you. The disgruntled senior employee is working craftily behind the scenes to undermine your position and divide team members in a plot to undermine your position/authority. As this employee has been at the company a long time (several years longer than you have been there), there are many who will readily follow his lead. What can be done to help resolve the damage to the working relationship with your former peer? What can be done to bring the other team members around to accept you as the new administrator?

### Scenario #3:

A multi-disciplinary team was established to review the procedures for the probationers assigned to the drug court. While this involves only two members of your probation staff, the drug court team members have a broad reaching impact on many aspects of your department's relationships and operations. The two team members assigned from your department have not been attending the meetings and are behind on their assigned projects for the drug court team. You met with them and were told there is not time to do this work and cover the heavy caseload that is assigned to them. Furthermore, they indicated that they didn't feel their ideas were taken seriously by the other members of the drug court team.

What can you do to work with the team members and assure that your department demonstrates a commitment to the drug court team?

#### Scenario #4:

You are a new administrator who came to the department from outside of the state. There are three midlevel managers in the department who are struggling with the same performance problems over and over with a few staff: tardiness, failure to follow procedures, failure to follow through and complete tasks, failure to meet deadlines, lack of attention to details. The supervisors are frustrated because the employees know what to do and how to do it - but still the problem persists. Furthermore, highperforming employees are extremely de-motivated seeing repeated poor performance that is not addressed by the supervisor. So the poor performers infect the workplace with low morale, and harm the performance of good workers. What can be done to provide support and guidance to the mid-level managers? What is the administrator's role in helping resolve these accountability issues?

#### Scenario #5:

You have been in your current position as the department administrator for six months and while you set high goals/expectations for yourself when you came to the position, you are feeling like you are not moving as quickly as you would like toward those goals. While staff initially indicated they supported your ideas for change within the department, their behavior gradually returned to the original ways of doing things, with new concepts and recommended changes going by the wayside. What can be done to keep motivation up and to maintain support for the changes you want to make within the department?

Notes from Group Discussion:
Your team's assigned scenario #
Which dysfunction is being displayed?
What can you do to assist them team overcome their challenges?

## **Challenges and Strategies for Overcoming Barriers in Collaborative Efforts**



What are some of the barriers to collaboration?

Notes:		



### Small Group Discussion: Overcoming Barriers to Collaboration

#### **Instructions:**

Each group will be assigned **one** of the following scenarios. As a group, you should briefly identify the barriers to collaboration and then brainstorm strategies for overcoming the barriers identified in your assigned scenario. After time is called, groups will report out to the larger group.

Scenario #1: Core Planning Team: You are the new administrator and have come to the agency from another state. One of your core planning team members had anticipated being promoted internally for the position you hold. This mid-level manager uses every opportunity to undermine the new administrator's efforts to start a new initiative. The other core planning team members are split between those who align with the new administrator and those who align with the mid-level manager. The project has a 6-month timeline for completion. What are three strategies the administrator can use to neutralize the negative member and bring the planning team together to meet the deadline?

Scenario #2: Internal stakeholders: You are the new administrator and have been promoted from within the agency. Several of your former co-workers want to maintain the same relationships they had with you when you were their peer instead of their boss. One seems to take advantage of the previous relationship and assumes an "insider knowledge" that is perceived by other staff as showing favoritism. What are three strategies the administrator can use to establish new boundaries around the established relationships with co-workers who are now subordinates?

Scenario #3: External stakeholders: You are the new administrator and came to the agency from another state. The agency has a long-standing informal relationship with the city for parolees to perform community service. While the relationship is beneficial for both the city and the parole agency, the Mayor is pushing the new administrator to no longer work together, as they are nearing election and the mayor wants to use "getting tough on crime and keeping criminals off the streets" as his election campaign. What are three strategies the administrator could use to help maintain the volunteer program and keep the city administration engaged in the agency's program?

Notes:			

### Conclusion



## Individual Activity:

1. If you use teams in your agency, think about their current functioning. What are current dysfunctions; what strengths do they see, what needs does it have? Write down what is making the team successful or identify what dysfunction the team may be struggling with. Write down two things that you can do to encourage and support their current success; or two things you can do to help resolve their dysfunction.

2. If you are not using teams in your agency, identify and jot down ideas about a team-based new project that you may be able to initiate.

### **Supplemental Resources**

- APPA's C.A.R.E. Model: A framework for collaboration, analysis, reentry, and evaluation: A response to street gang violence 1st edition. Available at http://www.appanet.org/psn/docs/PSN\_CARE\_Model.pdf
- Audio Tech, I. (N/A, N/A N/A). Business book summaries: Leadership. Retrieved from Audio Tech: http://www.audiotech.com/business-summaries/book-summaries/leadership
- Butterworth, B. (2006). Building successful teams. Colorado Springs, CO: Waterbrook Press.
- Center for Community Corrections. (1999). Partnerships in corrections: Six perspectives. Available at http://www.communitycorrectionsworks.org/steve/ourresources/ publications/partnerships.pdf
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# Module 6: Strategic Planning

### Introduction

Strategic plans help you determine how you get from where you are (current state) to where you want to be (future state).

In this module, we are going to delve into aspects of the strategic planning process. Identify the four components of the APEX Model for strategic planning.



### Learning Objectives

- Identify the key components of a strategic plan
- Identify stakeholders: internal and external
- List ways to engage staff and stakeholders in the planning process
- Outline next-steps for creating and implementing a strategic plan



### Four Components of the APEX Model for Strategic Planning

Strategy Development

**Notes** 



### Implementation



### Engagement



### **Communication**



### Notes:

#### **Strategic Planning Task Priority Debrief**

1.

2.

3

4

5.

6.

7.

8.

9.

10.

11.

12.



### Small Group Activity: Practicing Aspects of Strategic Planning

In this activity, you will have an opportunity to practice a few of the tasks associated with strategic planning; specifically, identifying stakeholders, developing goals, establishing measurable anticipated outcomes, and setting evaluation/assessment measures. You will undertake these tasks within the context of succession planning, which is an issue that many probation agencies/departments across the country are having to address due to the numbers of baby boomers aging toward retirement.

#### Instructions:

Choose a topic around succession to work on. Be prepared to briefly describe it to the group. You will then break up into small groups and use what you have learned about strategic planning to start working on your topic. You will have 15 minutes for your small group work. Then be prepared to answer the questions below.

#### **Questions to Answer in Your Group Discussion:**

 Who would you involve in the strategic planning process around the issue of succession planning?

- Identify at least two goals for addressing the issue of succession planning.
- Identify at least two objectives (must be measurable) for each of the goals you identified.
- Describe how you would assess/measure your success in meeting your identified goals and objectives.

Select someone to write your goals and objectives on a piece(-s) of chart paper. Select someone from your group to serve as the "reporter." This person will describe your group's response to the above questions during the debrief.

Notes:		

# Individual Activity: Strategic Planning Next Steps

Outline next-steps for creating and implementing a strategic plan

1. What will you do with this information?

2. What next-steps will be needed within your agency?

3. What else do you want to pursue about planning?



### Small Group Activity: Identify Current Personal/Agency Change Issues



Using the 1-3-6 process and the 3x5 cards at the tables:

1 – Independently jot down change initiatives you are implementing or hope to implement, as well as any changes in the approach you plan to use as a result of what you learned during this module. Use the index cards on your table to write down your ideas. Write one idea per card. This will make it easier when you work in your small group for the next step of this activity.

Time allotted for this stage: two minutes

3 – Break into groups of three and place all index cards from the three people on the table. As a group, sort the index cards into common themes. Then chart the common themes that emerge on a piece of chart paper.

Time allotted: four minutes

6 – Find another group of three people (to make a group of six people) and share your combined lists on the chart paper. Cross out any duplicates or add new ideas and create a new chart paper with the final list of change initiatives and areas of improvement. Once your group of six has finished the activity, post the final chart paper with the combined ideas on the wall. During the next break, walk around and view the results from other groups.

*Time allotted: four minutes* 

Notes:		

### **Supplemental Resources**

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### **Action Plan** You can use your own format to create an action plan if you prefer. This sample is provided for your convenience.

Email Address:	

I intend to work toward making the following changes based on information learned at the NIC Probation and Parole Executive Orientation...

Issue to Address	Tasks	Expected Target Date for Implementation	Notes
Complete an action plan as a phase 3 assignment	Draft my action plan and identify issues that I want to address immediately, within 60 days, within 6 months, and long term (1+ years)  Use link the link that I received to upload my action plan	Two weeks from the last day of the onsite Executive Orientation Session	Contact the NIC Correctional F have any questions about the