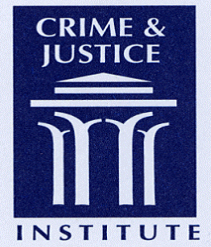




Implementing Evidence-Based Principles in Community Corrections: Leading Organizational Change and Development



Project Vision: To build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.

Changing the Way We Do Business: The Integrated Model

States across the nation are struggling to manage burgeoning offender populations in the face of major budget cuts. Prisons and jails are operating at or over capacity and the offender population continues to grow. Policy-makers are focusing increasingly on community corrections, recognizing the need to rely more heavily on less expensive and more effective methods of supervising offenders.

Community corrections leaders are being called on to alleviate system pressures by supervising increasing numbers of offenders more efficiently and effectively: maintaining public safety with a larger population of offenders and a smaller budget.

Meeting this challenge requires community corrections leaders to rethink how they do business and to lead their organizations through rapid change

and innovation. Change is needed because traditional methods of offender supervision will not meet the current challenges facing community corrections agencies.

To improve supervision effectiveness and enhance the safety of our communities, agencies must adopt evidence-based principles of supervision -- principles that have been scientifically proven to reduce offender recidivism. Our budgets can no longer support programs and supervision practices that are not proven effective.

Shifting the way community corrections agencies do business is no easy task. It requires energetic leadership with a willingness to place equal focus on evidence-based principles in service delivery, organizational development, and collaboration.

An Integrated Model



These three components form an integrated model for system reform. Each component of the integrated model is essential. Evidence-based principles form the basis of effective supervision and service provision. Organizational development is required to successfully move from traditional supervision to evidence-based practice. Organizations must rethink their missions and values; gain new knowledge and skills; adjust their infrastructure to support this new way of doing business; and transform their organizational culture. Collaboration with system stakeholders enhances internal and external buy-in and creates a more holistic system change.

Successful implementation of evidence-based principles can be achieved when equal emphasis is placed on organizational development and collaboration.

Organizational Case Management

The organizational development concepts and strategies presented here mirror the evidence-based principles of effective offender supervision. The same principles used to manage offender cases and change offender behavior can be used to manage organizations and change organizational behavior. These principles include: *assessment, intervention, and monitoring / measurement*. These concepts are broad enough to fit most in-progress organizational development efforts and yet sufficiently simple and direct to allow for guided implementation in community corrections agencies.

Shifting to an evidence-based agency management approach may require significant changes in the way business is conducted. Some changes may include: how staff are recruited and hired; conduct their job duties; receive performance feedback, and interact with each other, offenders, and system stakeholders. While the strategies that follow will help guide leaders toward the goal of implementing evidence-based practices both in offender supervision and organizational management, leaders must be prepared for the inherent challenges of conducting such a transition process.

Assessment/Diagnosis:

Assessment determines the existing status of an individual, organization, and/or practice by providing information on the potential and options for change. Assessment strategies include:

- ❖ Surveys (Gather information either through self-report or third party reporting. Survey designs can either be used *off the shelf* or customized to fit specific organizational needs.)
- ❖ Interviews
- ❖ Observation
- ❖ Data review and analysis

A Search Conference helps to create a shared future vision.
(See Appendix B.)

Intervention:

Intervention activities are designed to respond to the needs/issues identified in the assessment/diagnosis process. Intervention strategies include:

- ❖ Strategic planning
- ❖ Systems restructuring
- ❖ Change management
- ❖ Facilitation
- ❖ Team building
- ❖ Coaching and mentoring
- ❖ Education/training
- ❖ Skill building activities & competency development
- ❖ Solicit and use input from across the organization to create a sense of ownership
- ❖ Feedback activities (Designed for individuals and/or groups. Strategies include 360° feedback tools and feedback intensive programs.)
- ❖ Performance measurement
- ❖ Succession planning

Monitoring and Measuring Performance:

Monitoring and measuring performance on both a short and long-term basis provide data on changes in knowledge, skills, attitudes, and behavior. Types of measures include:

- ❖ Process measures: Provide feedback throughout change process.
- ❖ Outcome measures:
 - Individual: Measure actual change in knowledge, skills, attitudes, and/or behavior. Measurement tools include surveys, performance evaluation, and data analysis.
 - Organizational: Measure improvement in productivity as well as progress toward organizational goals. Measurement tools include surveys and data analysis.

The concept of *providing value* should drive decision-making in the public sector.
(See Appendix A.)

The same principles used to manage offender cases and change offender behavior can be used to manage organizations and change organizational behavior.

The Leadership Challenge

Leadership is the art of mobilizing others to struggle for shared aspirations.

~ Kouzes & Posner,
the Leadership Challenge

The artistry of leadership exists in choosing the manner by which one will influence people. Different situations require different leadership styles and strategies. Leaders are most effective when they create a *shared desire* by a group to attain a goal or to move in a particular direction.

In the public sector, leaders are expected to articulate the values that drive their beliefs about needed change. Reiterating those values throughout the

change process helps to institutionalize them.

Strong and flexible organizational leadership is key to the success or failure of any change effort. It is especially true when implementing evidence-based practices in community corrections due to the complexity of implementing change in the public safety system.

The systemic nature of the public safety system requires that leadership identify, create, and show value to internal and external stakeholders. In Mark Moore's *Creating Public Value*, he emphasizes a key assumption for any service provided by the public sector: the service or product provides value for a variety of constituents.

Public sector leaders must focus on: defining the value their organization provides to the public; building support for the organization and its services as they align with that value; and ensuring the necessary organizational capacity exists to achieve that value.

Leaders of community corrections organizations interested in building value through implementing this level of systemic change must evaluate their readiness to lead this intensive transition.

Developing and leading an organization that not only provides public value, but also functions as a learning organization, requires the capacity and willingness to practice outcome-oriented, collaborative leadership styles instead of more traditional, authoritarian styles of leadership.

The Influence of Infrastructure

Advancing the implementation of evidence-based principles in the supervision of offenders requires contemporaneous changes in the structure of human resource management systems, policies and procedures, and operational standards.

Combining this fundamental organizational change with the philosophy and policy shift of evidence-based principles enhances the opportunity to more effectively institutionalize changes. Managing this type of transition involves relentless attention to detail to advance implementation and prevent individuals and entire systems from sliding back into the comfort zone of the old ways.

Changes in hiring, training, and performance measurement will,

over time, produce a critical mass of employees well-versed in the tenets of a non-traditional mindset which will signal the change from the old dispensation to the new.

Achieving and sustaining organizational change requires the realignment of organizational infrastructure. All systems and policies, particularly those within the human resources management system (HRMS), must be consistent with and supportive of the new way of doing business.

Policies for recruitment and hiring, training, job descriptions, performance measurement, promotional decisions, and reward systems must be aligned with the new models and this alignment must be circulated throughout the organization in written documents and practice.

Aligning the organization's HRMS and other infrastructure systems clarifies the commitment to organizational change and facilitates implementation of evidence-based principles.

The subsequent transformation of organizational culture relies upon this alignment of tasks, mission, and goals, and a clear nexus throughout the organization's practices. (Baron and Kreps, 1999) Failure to create this alignment can have a detrimental impact on the implementation of new operational philosophies.

Healthy organizations are more successful at achieving their goals.
(See Appendix C.)

Successful leaders have a clear vision and strategy for change.
(see Appendix D.)

Understanding how humans change their behavior is critical to managing successful transitions.
(see Appendix E.)

Step by Step

This paper is not intended to serve as a definitive treatise on organizational change, but rather as a starting point or refresher for jurisdictions working to implement evidence-based principles in community corrections.

The goal is to stimulate questions and discussion about the change process and how it might play out in different organizations.

Organizational leaders willing to undertake this level of systemic change should begin by asking themselves the questions outlined in the appendixes.

Leaders of community corrections agencies, who want to implement evidence-based principles, must be

Infrastructure systems must be in step with evidence-based principles.
(see Appendix F.)

willing to extensively evaluate their own strengths and weaknesses as well as those of their organization. They must also be willing to accept the challenges of changing organizational culture in order to achieve the full benefits of the increased public safety and reduced recidivism possible by implementing evidence-based principles in community corrections.

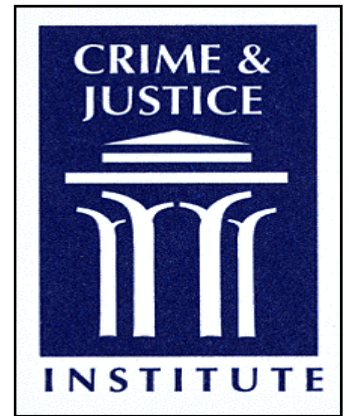
The project team is committed to enhancing community corrections systems to better reduce recidivism using research-supported principles.

The project model will assist leaders to:

- develop the *highest productivity climate* for implementing evidence-based principles at the organizational level;
- provide a *positive learning environment* and a focus on improving organizational capacity; and
- focus on *systemic change* versus single events.



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Supporting the effective management and operation of the nation's community corrections agencies

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Creative, collaborative approaches to complex social issues

Special recognition and deepest thanks go to the following project team members who contributed to these documents:

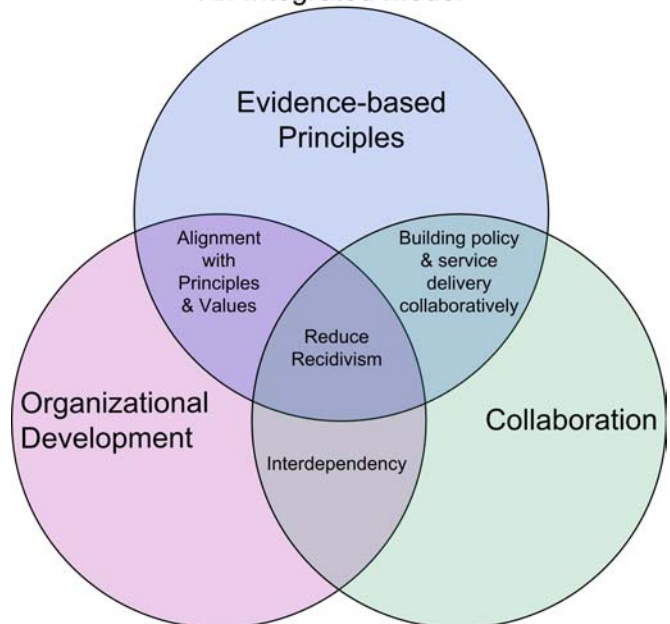
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Implementing Effective Correctional Management of Offenders in the Community:
An Integrated Model



Appendix A: The Literature

The organizational development component of this project relies heavily on Peter Senge's *The Fifth Discipline* and Mark Moore's *Creating Public Value*. Senge's and Moore's models provide a framework upon which organizations can begin their internal work. In Senge's *The Fifth Discipline*, he introduces the concept of a *Learning Organization* – an organization that is continually aware of and working to implement evidence-based principles, develop corresponding organizational capacity, and develop collaborative relationships with public safety and community partners. The learning organization strives for alignment and parallel development in all three areas to better achieve the outcome of reduced recidivism. The alignment or intersection of these three components is the creative zone where it is most possible to reduce the recidivism of offenders and minimize the number of new or repeat victims in our communities.

The Fifth Discipline - Peter Senge

Senge highlights five disciplines as the keys to achieving the capacity of a learning organization, emphasizing the fifth discipline, *systems thinking*, as the most important:

1. **Personal Mastery:** Continually clarifying and deepening our personal vision, focusing our energies, developing patience, and seeing reality objectively;
2. **Mental Models:** Understanding the deeply ingrained assumptions, generalizations, or mental images that influence how we understand the world and how we take action (manage offenders);
3. **Building a Shared Vision:** Collaborative creation of organizational goals, identity, visions, and actions shared by members;
4. **Team Learning:** Creation of opportunities for individuals to work and learn together (collaboratively) in a community where it is safe to innovate, learn, and try anew; and
5. **Systems Thinking:** View of the system as a whole (integrated) a conceptual framework providing connections between units and members; the shared process of reflection, reevaluation, action, and reward.

A Learning Organization is continually aware of and working to implement evidence-based principles, develop corresponding organizational capacity, and develop collaborative relationships with public safety and community partners.

Also emphasizing the importance of systems thinking, Mark Moore focuses on the leader's ability to identify, create, and show value internally and externally. A key assumption for any service provided by the public sector is that the service or product provides value for the variety of constituents. Just as in the private sector, where the goal is to provide value to the shareholder, the public sector attempts to provide value to its stakeholders. The concept of providing value should drive decision-making in the public sector.

The question that then arises is *what do citizens want or value of the services corrections has to offer?* Citizens often see the value of corrections systems as limited to confining those convicted of a crime. Many citizens are not familiar with the complexity of corrections systems or the various options available for supervision. Neither are they familiar with the research that documents that community-based sanctions are more effective than prison in reducing recidivism. While it is clear that some offenders must be incarcerated depending on the seriousness of the crime, in the interest of public safety, and as a consequence for their behavior, research indicates that most offenders can be more effectively and efficiently managed in the community. Clearly citizens want recidivism reduction, but they do not understand how best to achieve this goal.

Appendix A: The Literature (con't.)

Creating Public Value - Mark Moore

What would it take for citizens to see community-based corrections as the preferred option for recidivism reduction?

What would it take for citizens to see community-based corrections as the preferred option for recidivism reduction? To be taken seriously, the field must measure results in a way that helps citizens to understand the value of the service. Community-based corrections agencies must operate as learning organizations, constantly measuring themselves and their ability to enhance public safety and reduce recidivism. They must measure how well they are assessing and delivering *what works*, how productive the organization is, and how well it is collaborating with stakeholders.

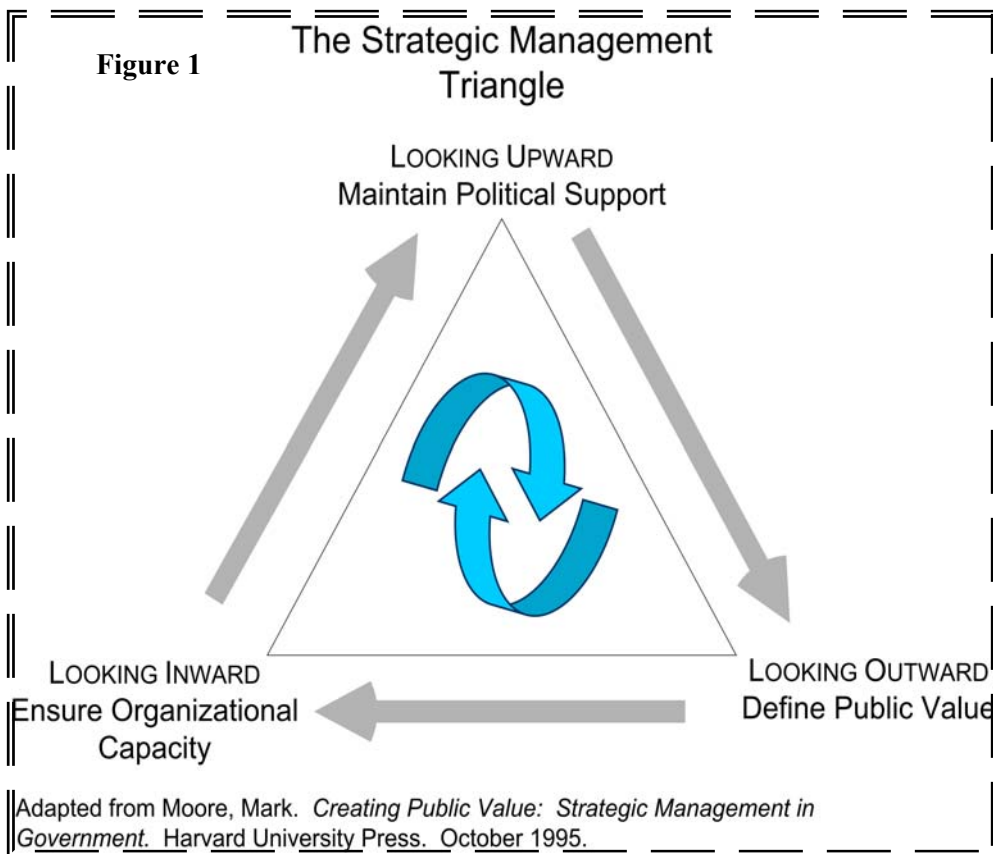
In his book, *Creating Public Value*, Mark Moore's framework, the Strategic Management Triangle (Figure 1) provides a simple yet powerful framework that helps leaders to ensure that their organizations are *creating public value*. Public sector leaders must focus on defining public value, building support for the organization / services as they align with that value, and ensuring the necessary organizational capacity exists to achieve that value.

Moore argues that the first job of any public sector leader is to *define the value* of the services provided to key stakeholders. Unless authorizing bodies, i.e., legislative and judicial bodies, funding entities, and citizens, see the value in the services provided, they won't support the agency's efforts to acquire the resources and / or the legislative or executive mandates to support the services. This means it is important to define for authorizing bodies why a service should be provided and funded. Collaboration and partnership building with stakeholders ensure that those entities understand *and support the organization's vision and incremental efforts*.

Second, the agency must produce the services in a way that *builds political and legal support* for the service. The service must be evaluated to ensure that it meets the interests and concerns of the citizens and their representatives. The strategic manager is adept at developing an organizational strategy that addresses the often conflicting concerns of many stakeholders. The leader must build political support for the service.

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

The *Strategic Management Triangle* framework reminds practitioners that to achieve the goal of reduced recidivism requires not only the implementation of evidence-based practices, but also the ability to develop the requisite organizational capacity, to build and maintain collaborative relationships with stakeholders, and to demonstrate the value of evidence-based practices to those stakeholders.

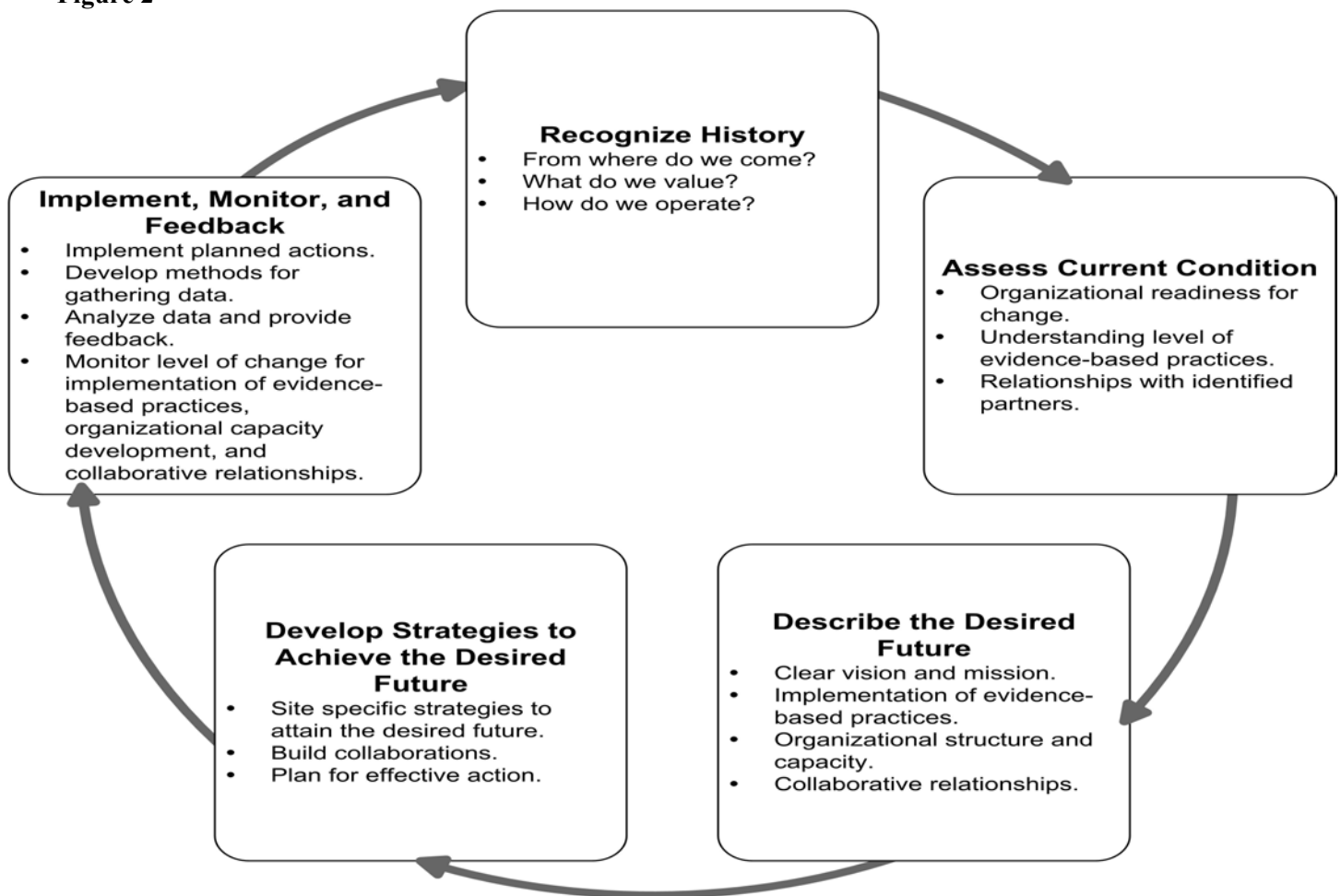


Appendix B: An Integrated Organizational Change Process Model: *Using the Search Conference*

Organizational change in public safety organizations requires a complex systemic transformation. No agency operates in isolation; therefore, the inclusion of system stakeholders is critical to the success of any such change effort. The organizational change process model in Figure 2 assumes that all stakeholders have a voice in the change process. It is based heavily on the *Future Search* model of Marvin Weisbord and Sandra Janoff. Their model uses a large group planning meeting that brings together all system stakeholders to work on a task-focused agenda.

In a future search, people have a chance to take ownership of their past, present, and future, confirm their mutual values, and commit to action plans grounded in reality.

Figure 2 The Integrated Model Organizational Change Process



Organizations implementing significant systemic change will benefit from considering each of these phases and by asking themselves the related questions prior to beginning and throughout the implementation process.

Appendix B: An Integrated Organizational Change Process Model: *Using the Search Conference* (con't.)

❖ Recognize History:

Organizational members must reflect on *where they come from as an organization, where they have been, and what they have experienced during that journey*. This reflection enables organizations to clarify and articulate a collective narrative and shared vision of history. This shared history can then become a launching pad for change rather than a warehouse for an uninterpretable array of artifacts and anecdotes.

Questions to Ask:

- *How did we, as an organization, arrive at our current structure, technologies, and culture?*
- *What do we value?*
- *How do we operate?*

❖ Assess Current Condition:

Assessment and documentation of the present condition assists the organizational members in determining *where they are at the current time and what gaps remain*. Participants must assess the degree to which the organization's beliefs, operational systems, technologies, policies, and practices are consistent with, and supportive of, evidence-based practices. Participants must pay attention to the organizational culture, as well as the quality and types of existing collaborations and partnerships with internal and external stakeholders.

Questions to Ask:

- *What is our organization's level of change readiness?*
- *How well are evidence-based practices understood and implemented in our system?*
- *Who are our partners?*
- *How well are we working with them?*

❖ Describe the Desired Future:

In expressing a vision for the future, the organizational members describe their ideal picture of the changed organization. The participants, along with leadership, articulate a vision for organizational change at all levels. By creating a vision of a learning organization, members become committed to the journey of change that provides value to employees, clients, and stakeholders.

Questions to Ask:

- *What do we want our organizational future to look like?*
- *What is our organizational vision and mission?*
- *At what level do we envision the implementation of evidence-based practices?*
- *What type of organizational structure is needed to best support evidence-based practices?*
- *What collaborative relationships need to be developed to strengthen implementation?*

Appendix B: An Integrated Organizational Change Process Model: *Using the Search Conference* (con't.)

❖ **Develop Strategies to Achieve the Desired Future:**

- Build collaborations of mutual interest. Correctional organizations relate to and are dependent on many partners throughout the public, private, and community-based sectors who share a commitment to achieving the outcomes of reduced recidivism and increased public safety.

Questions to Ask:

- *With whom does the organization partner and collaborate?*
- *How do partnerships and collaborations help members successfully achieve their goals and further their unique corporate mission?*

- Plan for effective action to reach the desired future. Develop a detailed, concrete plan of action that is time phased, measurable, politically and culturally competent, and includes effective, sustainable accountability and feedback loops. Clearly define the multiple roles of participants.

Questions to Ask:

- *What steps does the organization need to attain its goals?*
- *What are the specific activities needed to ensure an equal focus on evidence-based practices, organizational development and capacity building, and collaborative relationships?*

❖ **Implement, Monitor, and Provide Feedback:**

- Carry out the implementation: Planning without action often leads to desperation and hopelessness for staff and stakeholders. Successful implementation results from a broad and deep commitment throughout the organization, relentless attention to the vision, support for the change process, removal of barriers, and careful monitoring and adjustment of the change process.

Questions to Ask:

- *How will we gather data?*
- *What types of feedback are needed by which groups?*
- *How will we monitor progress and make adjustments when necessary?*

- Feedback: Gathering, sharing, assessing, and constructing a valid and shared interpretation of the information. Successful implementation results from the availability and management of information that is meaningful, timely, and accurately represents the progress made on the change plan within the unique cultural and political context of the participating site.

Appendix C: The Importance of a Healthy Organization

A healthy organization forms the foundation for an effective change process. One of the first steps in the change process — and one that must be maintained throughout the process — is ensuring the health of the organization.

The organization can survive -- and thrive -- if it can sustain itself through the inevitable ups and downs experienced during change.

Mark Carey, an expert on community justice, defines the characteristics of communities that are ready for significant change and community building. The components he describes are the same characteristics that mark a healthy organization and are critical to the success of any change effort. Leadership must foster these characteristics within the organization at all times.

- ❖ Trust among diverse groups
- ❖ Shared meaning
- ❖ Meaningful work for members of the organization
- ❖ Respect
- ❖ Commitment to the change process
- ❖ Clear communication
- ❖ Social cohesion
- ❖ Leadership and continually emerging new leadership
- ❖ Widespread participation
- ❖ Simultaneous focus on the purpose, process, and product
- ❖ Building organizational development skills
- ❖ Appropriate decision making

Appendix D: Leadership Styles and Leading Change

Leadership Style

Traditionally, public safety agencies have relied on para-military or other highly stratified command and control management models. These models hinder the successful implementation of evidence-based practices, and require significant changes in organizational structure and leadership philosophy. Changes are also required in practice, supervision, recruitment, hiring, training, work plans, and rewards systems. The illustration below (based on the work of Douglas McGregor and James Burns) highlights the shift in leadership style necessary to successfully implement this type of organizational change.



Leading Change

The role of leadership in the implementation of this level of systemic change is key to its success. Leaders must be willing to commit to the following process steps:

1. Create the vision.
2. Identify partnerships.
3. Develop strategies for achieving the vision.
4. Seek agreement with partners regarding vision & strategies.
5. Utilize process improvement strategies.
6. Identify and collect outcome data.
7. Review and refine processes and outcomes.

Appendix D: Leadership Styles and Leading Change (con't.)

Create the Vision

Before the change process begins, there must be a clear vision of what the changed organization will look like. This vision should be articulated in a concise statement describing the changed organization and how it interacts with others, including service recipients, system partners, and employees.

Strong, visionary leadership is a must. The vision for change can be formed in numerous ways by various groups, including the leadership of the organization, policymakers, or diagonal slice groups (Figure 3). No matter how the vision is formed, leadership must embrace it and take responsibility for charting the direction and change process for the organization.

Once the leadership has crystallized the direction of change, it needs to look broadly throughout the organization and consider the many layers of change that will occur as a result of the process. The most progressive public policy direction for an organization is meaningless at the line staff and client level without leadership and strategic action to cultivate the change at all levels. True change happens at the top, at the bottom, and in between – it's up to the leadership to consider each of those layers.

Communicating the Vision

Once the leadership clarifies the organizational goals for change, the next step is communication of the vision. Involving staff in the development of the vision leads to greater commitment from and more effective communication with those staff. Effective communication is a critical ingredient to achieving successful and long-lasting change, and leadership must model openness and ongoing dialogue. **Communication is key.** The clearer a leader communicates the goals of organizational change, the more helpful staff, community, clients, and policy makers can be. Once they understand what leadership seeks to accomplish, they can assist in reaching those goals.

How an idea or goal is communicated can be as important as the goal or idea itself. **Leaders attend to both process and outcomes.** People will draw conclusions from how the message is communicated as well as from the content of the message. For example, if a leader directly and personally communicates an idea to the organization, the message has more impact and meaning than if it comes down to line staff through *channels*. If a leader convenes a focus group of staff to discuss an issue, the importance of the issue is heightened, simply by the fact that the leader cared enough to gather a group to address it.

Leadership must also tailor communication strategies to the groups they seek to reach. Leaders need to think about their audience in advance, consider how they receive information, and strategize about how to best reach them. Communication must occur continually throughout the organization – both horizontally and vertically.

Leaders also need to pay close attention to the collective impact of seemingly minor decisions during the change process. For example, if leadership determines that those employees who actively participate and cooperate with the change process will be rewarded, that strategy must be consistent throughout the organization, even in seemingly minor decisions. One act, in one part of the organization, such as the promotion of a line staff person who is still doing business the *old way* might not seem like it could affect the change process. However, if it happens several times in different parts of the organization, these independent, unrelated decisions can collectively send a message that undermines the change process.

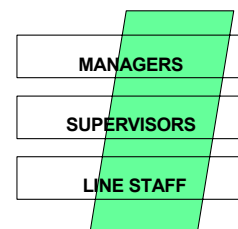
Trust and confidence in the organization's vision and leadership is built through understanding and awareness of how decisions are made. Decisions and the process by which they are reached should be transparent to the members of the organization. Good leaders seek broad input into decision-making and encourage consideration of different perspectives. **Diverse perspectives build strength.** Good leaders also ensure that decisions support the stated vision, values, and direction of the organization. This requires the leader to stay in touch with decision-making at many levels in the organization in order to ensure that the organization walks its talk.

Questions to Ask:

- *Is there a story or a metaphor for what the organization is trying to become? Can you draw a picture of it?*
- *If the organization achieves its goals for change, what will a client say about their experience of this organization?*
- *What will a member of the public say?*
- *What will staff say?*
- *What facets of the organization will be affected by the change?*

Figure 3

The Diagonal Slice Group



Questions to Ask:

- *What is your personal communication style?*
- *What are your strengths and weaknesses in this arena?*
- *How is information communicated in your organization?*
- *Are there more effective communication strategies for reaching multiple audiences?*
- *What are the greatest communication challenges for the organization?*
- *What leadership, management, and staff behavior supports the vision?*

Appendix D: Leadership Styles and Leading Change (con't.)

Identify partnerships

Leaders seeking change must work closely with organization staff, other government entities, and service providers. **Collaboration with partners is critical and powerful.** The partners, both internal and external, can be identified using several methods. Leadership can identify partners in consultation with others. Staff can conduct system mapping to identify unusual partners. The organization can hold planning circles where partners come and identify more partners, who identify more partners, etc. All of these strategies can be effective ways to identify important stakeholders in the change process.

Internal Stakeholders: Internal stakeholder groups will be affected by organizational change, some more than others. It is important that those groups most affected have a voice in the process. **Broad participation creates commitment.** Leaders should consider the multiple levels of authority in the formal chain of command and classifications of employees, and then ensure that all of these groups understand the vision of change, have a voice, and a means to communicate their opinions. Diagonal slice work groups can help to achieve this goal by providing representation from throughout the organization.

Leaders should also consider more informal networks as they identify internal partners. While the organizational chart of an agency may show a vertical hierarchy, organizations are rarely so cleanly defined. Instead, organizations are webs, with informal leaders and power brokers throughout the organization. Leadership should think beyond the formal hierarchy to ensure they reach out to all key partners.

Diagonal slice work groups can serve a variety of roles -- as sounding boards, transition monitoring teams, steering committees with decision-making power, and implementation teams. Leadership must clearly define the roles and authority of each group, and charters should be developed upon convening work groups.

Chartering will help guide the group's efforts, provide structure, describe outcomes, clarify decision-making authority, and codify organizational and leadership support for the group's work. Communication is a key function of these workgroups and should be highlighted in their charter. A large part of their responsibility is ongoing communication with the larger organization about the change process. To enhance productivity and efficiency, all groups should be provided with a trained facilitator or be trained in the basics of group process and facilitation prior to beginning work.

Questions to Ask:

- *What diverse groups are represented in your organization?*
- *Who are the natural leaders in the organization?*
- *What groups are forgotten or feel excluded?*
- *Who can help create a buzz about the change process in your organization?*

External Stakeholders: The changes your organization undergoes will also affect external partners.

Community corrections agencies are intertwined with a host of other criminal justice, social service, and community organizations and systems. This means that any significant, long-lasting change in your organization requires the participation of and acceptance by external entities. These organizations will need to be collaborative participants in this process every step of the way.

Partner organizations need to understand the value that participation in this change process has for them. Their leaders should know how supporting your change aids them in accomplishing their organizational mission. The impact that specific changes will have on their service delivery must be completely clear. Leaders need to consider these issues and craft specific plans for engaging their partners.

Questions to Ask:

- *What partnerships currently exist in your system?*
- *Where do new partnerships need to be forged?*
- *How does participation in this change process assist partners in accomplishing their mission and/or vision?*

Appendix D: Leadership Styles and Leading Change (con't.)

Develop Strategies for Achieving the Vision

The development of strategies moves the vision from concept into action. While strategies must be broad enough to encompass the work of many parts of the organization, they must also be specific enough that objectives, outcomes, and work plans can be developed to achieve the strategies. Leaders can use many different processes to develop strategies. Tools for developing strategies must balance broad participation in decision-making with the creation of the most innovative strategies infused with best practice knowledge. The relative importance of these two issues in an organization's change process will drive the selection of the tool for strategy development.

Engaging the broadest number of internal and external partners in the development of the strategy is essential, and a system- or organization-wide development conference can be a helpful tool. This type of conference is a day- or more-long meeting where the participants gain understanding of the vision and then in smaller groups develop the strategies to accomplish this vision. Conference techniques often result in maximum participation and buy-in, and allow participants opportunities to understand best practices and expand their thinking in order to create an innovative new direction for the organization.

The diagonal slice group from your organization can also be charged with creating strategies. This method provides opportunities for input from a variety of levels and perspectives in a more controlled process. It also provides an opportunity for alternative perspectives to weigh more heavily in the process. In the conference model, minority voices may not be heard.

In another method, the management team can use stakeholder groups to review and refine strategies - including the diagonal slice group. This method does not allow for as much diverse input into the strategies. However, if the management team has been intensively schooled in innovative new practices, they can still create effective strategies that are informed by the literature. The strategies must be approved and supported by the policy makers in your jurisdiction, regardless of the method chosen.

Questions to Ask:

- *How much participation is required to build maximum trust in the organization?*
- *How much do various stakeholders know about best practices in order to incorporate them into strategies?*
- *How can you best incorporate diverse perspectives into the strategies?*
- *How involved do policy makers wish to be in the strategy development process?*

Overcoming Resistance:

Leadership and work teams need to plan strategies for overcoming resistance to change. Resistance of employees may stem from the organization's failure to consider and eliminate barriers with changing work conditions, a lack of tools to do the new job, or an inadequate understanding of the need for change. Leadership must assess worker needs in relation to the strategic implementation of change, structure the work, and provide the tools and the information required for success. For example, if leadership asks officers to spend more time out in the field and less time in the office, providing tools such as laptops, personal data assistants, and cell phones will facilitate that transition. Leadership must be empathetic and create a climate for success for workers to do their job. Culture changes are difficult for workers to accommodate but can be made easier with responsive, responsible leaders.

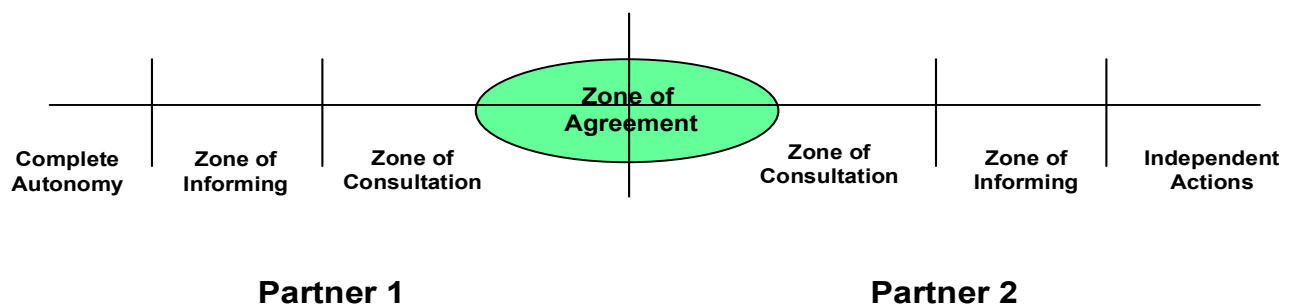
Appendix D: Leadership Styles and Leading Change (con't.)

Seek Agreement with Partners about Vision and Strategy

Relationships among partners must be based on mutual respect and understanding of the opportunities and constraints each partner faces. One tool partners can use to work on their agreements is the Zone of Agreement model (Figure 4). Groups of internal and external partners can use this model to clarify their decision making process. Partners must have a clear and common understanding of the decisions that: complete agreement is necessary; consultation with other partners is sufficient; and can be made solely by one organization, independent of their partners.

Figure 4

Zones of Agreement



Sustaining collaboration and agreement between partners

The change process can be slow and may alter direction mid-course. Given the importance of partnerships and the challenge of maintaining them, leadership must take specific steps to sustain collaborations. Some suggestions include:

- ❖ ***Build upon small wins:***
Identify steps that a collaboration can take together. Seemingly minor change can reward partners and solidify their commitment to the process. These wins can also persuade other partners to join and support the change process.
- ❖ ***Create incentives for collaboration and change:***
Align rewards, including public recognition, with the collaboration. Take time to understand the needs of internal and external partners and develop ways to meet some of them.
- ❖ ***Address leadership changes:***
Leadership will change during the change process. It is important to bring new leaders into the change process, share the vision and the history of the change with them, and invite and incorporate their fresh perspectives.
- ❖ ***Maintain the momentum for change:***
Key players and/or groups may stall changes through diversions or suggesting far-fetched scenarios. If changes can be institutionalized quickly, with some details worked out later, the system change can maintain momentum.

Appendix E: Managing Transitions

Changing an organization is complicated business and understanding how transition occurs is critical to effectively implementing change. Leaders must understand the emotional process of change and must be comfortable with working through the various stages, including the end of the old, the chaos of transition, and the new beginnings. Moving through these stages often does not occur in a linear progression. Guiding an organization through this process takes patience and perseverance.

In *Managing Transitions: Making the Most of Change*, William Bridges offers an excellent analysis of organizational change and provides concrete suggestions for helping people and the organization cope with change. Bridges describes the opportunities and challenges inherent in the change process and describes three zones of transition: endings; the neutral zone; and the new beginning. He offers the following strategies for moving through each zone:

As in substance abuse recovery, organizations can *relapse*, returning to old ways and cultural norms.

Endings:

This stage is characterized by loss: loss of comfort and security in operations; loss of practices; and possibly loss of history. Leaders can effectively manage this transitional state by addressing the following issues:

- ❖ Identify who is experiencing loss and what they are losing.
- ❖ Accept the reality and importance of subjective losses.
- ❖ Don't be surprised at *overreaction*.
- ❖ Acknowledge the losses openly and sympathetically.
- ❖ Expect and accept the signs of grieving.
- ❖ Compensate for the losses.
- ❖ Give people information, and do it again and again.
- ❖ Define what is over and what is not over.
- ❖ Mark the endings.
- ❖ Treat the past with respect; let people take a piece of the old way with them.

The Neutral Zone:

This stage follows the ending stage prior to the new beginning stage. It is in this stage that workers can slip back to the old ways or veer off the path of change. Relentless attention to details and ongoing feedback of data to management and those closest to the work can help prevent this tendency. Leaders can creatively manage the neutral zone by strengthening group connections, redefining the zone as a creative period, and focusing on the following issues:

- ❖ "Normalize" the neutral zone.
- ❖ Redefine the neutral zone.
- ❖ Create temporary systems for the neutral zone.
- ❖ Strengthen intra-group connections.
- ❖ Implement a transition monitoring team.
- ❖ Support creativity in the neutral zone.

New Beginnings:

Finally, re-visiting the purpose, providing a clear vision of the outcome, and making sure all players have a role consistent with the vision can ease the transition to the new beginning. During this period of new beginning, leaders must focus on the following:

- ❖ Clarify and communicate the purpose.
- ❖ Provide a picture of the outcome.
- ❖ Create a transition plan with specifics (a transition plan is different from a change plan – the transition plan focuses on the *process* of change, rather than the change itself).
- ❖ Give people a part to play.
- ❖ Reinforce the new beginning.
- ❖ Be consistent, ensure quick successes, symbolize the new identity, and celebrate success.

Appendix F: Structural Supports for Change

Aligning the organization's infrastructure with an intended change is essential to successfully transition an organization to a new way of doing business. In community corrections agencies, all infrastructure systems and policies, particularly those within the human resources management system (HRMS) must be consistent with evidence-based practices. Implementation work groups should be assigned the responsibility of developing or modifying the organization's HRMS to meet needs identified through organizational assessment. Policies regarding activities such as recruitment and hiring, training, job descriptions, performance appraisals, promotional decisions, and reward systems must be aligned with the new models. This alignment must also be promulgated throughout the organization in written documents and practice. Alignment in policy and practice must occur in the following areas:

- **Recruitment and Hiring**– Organizations must rethink and revise recruitment efforts, candidate screening processes, minimum criteria, and other standards. All new employees must be knowledgeable about the new vision and have appropriate skills sets for a changed work environment.
- **Training** –The importance of investing in training at all staff and management levels cannot be overestimated. Failure to provide comprehensive training can undermine even the most well conceived implementation plan. Throughout the implementation process, internal and external stakeholders should be apprised of the principles of evidence-based practices. Recruit academy, orientation, and ongoing training curricula must be restructured and infused with the philosophies of evidence-based practices. Training supports the notion that change is warranted and desirable. Training on evidence-based practices, their efficacy, philosophy, and work expectations must be part of any ongoing training curriculum.
- **Job descriptions** – Workers' tasks, skill sets, and responsibilities should be clearly linked with evidence-based practices and the agency mission and goals.
- **Performance appraisals** – Individual performance plans, appraisals, and reviews should be informed by outcome data and connected to the mission, job description, skill set requirements, and training. The use of technology to create automatic feedback systems facilitates this process by providing staff and supervisors with accurate performance measurement data.
- **Promotional decisions** – The promotional system must be structured to value organizational goals and reward desired performance. Promotion should occur when behavior is consistent with organizational goals; individual goals are achieved; and when evidence-based practices are embraced.
- **Reward systems** – Rewards can be separate or linked with promotions and appraisal systems. Publicly recognize and celebrate behavior that is desirable and refrain from the reverse.

This alignment of HRMS with evidence-based practices will ease implementation, minimize pitfalls, and create a climate that supports the new philosophy and changes in worker behavior. Failure to create this alignment can have a detrimental impact on the implementation of new operational philosophies.

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