

BECOMING AN EVIDENCE-BASED ORGANIZATION

DEMONSTRATING LEADERSHIP AND ORGANIZATIONAL
GROWTH



David L. Myers, PhD

Joyfields Institute for Professional Development

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Preface

Increasingly, policy-makers, funding agencies, and the general public are demanding greater accountability from justice system agencies and social service providers. As the work of these agencies and organizations grows more complex and receives greater scrutiny, and strains on public resources continue to grow, stronger attention is being paid to methods and techniques for effective leadership, planning, and evaluation. Overall, it has become more and more important for justice system leaders to think, plan, and manage strategically, while being guided by evaluation strategies and data that facilitate organizational growth and sustainability. In addition, evidence-based policies, programs, and practices have emerged as expected (and sometimes required) approaches to processing and treating juvenile and adult offenders. The use of evidence-based interventions, however, must be incorporated effectively into justice system operations and services for successful outcomes to occur.

Most justice system agencies and organizations have been feeling the effects of these trends, and many struggle to implement and integrate evidence-based policies, programs, and practices as they manage their operations and services. Historically, justice system administrators and practitioners have relied greatly on intuition and personal experience to guide their work and decision-making. In recent times, however, strategic planning and evaluation have merged with the evidence-based movement to produce an environment where administrators are advised to lead through collaboration and performance management, and practitioners are asked to deliver services that are guided and supported by scientific research. Despite the promise of these techniques and strategies, it is apparent that many modern justice system expectations are not being met.

This monograph and subsequent expected publications are meant to aid those persons who work in and around the criminal and juvenile justice systems and are interested in improving the efficiency and effectiveness of their individual agencies or court system. This initial offering focuses on demonstrating leadership and understanding organizational culture and growth as key initial aspects of becoming an evidence-based organization. Future publications will examine the topics of strategic planning and action planning; preparing for successful implementation and monitoring; and evaluating and sustaining organizational services and innovations over time. Essentially, this comprehensive strategy is based on the premise that current justice system operations are flawed, but they are redeemable through enhanced leadership, planning, and evaluation approaches that can be integrated effectively with evidence-based policies, programs, and practices.

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Chapter 1

The Need for Evidence-Based Approaches

There is no shortage of criminal and juvenile justice system policies, programs, and practices. Billions of dollars are spent each year on new and existing interventions thought to prevent, reduce, or control crime, yet we often know relatively little about the implementation and impact of these approaches. In some cases, what we do know is not good, as a number of popular and expensive strategies (e.g., juvenile transfer to adult court, D.A.R.E., gun buy-back campaigns, military-style boot camps) have been revealed through research to be ineffective in dealing with crime.¹ While various reasons might be suggested for why these efforts fail to live up to their expectations, poor planning, flawed implementation, and weak evaluation appear to be some common factors.

During the past 40 years, at the same time that many new justice system initiatives emerged, our country has greatly increased its reliance on incarceration as a major response to criminal and juvenile offending. To illustrate, from 1973 to 2009, our nation's prison population grew by over 700%, resulting in more than 1 in 100 adults being placed behind bars.² The United States currently leads the world in incarceration rates, with more than 2.26 million adults confined in prisons and jails.³ Furthermore, nearly 100,000 juvenile delinquents (under the age of 18) are housed in some form of public or private custody at any point in time across America today.⁴

In addition to these incarceration figures, nearly 5 million criminal offenders are under some form of community corrections supervision in America.⁵ About 500,000 of the 650,000 inmates released from prison each year are placed on parole, while the rest of the 5 million offenders who are under community supervision are serving sentences of probation. In combination with the 2 million-plus offenders who are incarcerated, the 7 million adults who form the total US correctional population represent a tripling of the size of this group since 1980.⁶ On the juvenile side, juvenile courts handled nearly 1.7 million delinquency cases in 2008, as compared to just over 1 million in 1985.⁷ The number of female cases doubled during this time, while the number of male cases increased by 29%.

Not only have we incarcerated and supervised an ever-growing number of adult and juvenile offenders, but we also know that a substantial portion of these individuals will be rearrested and often sent back to prison as repeat offenders. Adult recidivism data from the past 20 years suggests that about two-thirds of all inmates released from prison are rearrested within 3 years

for a new offense; almost half are reconvicted for a new crime; and about 45% are returned to prison.⁸ Although national juvenile recidivism data is harder to come by, available research indicates that over half of all youth released from state incarceration are rearrested within 1 year; one-third are reconvicted; and about 25% are returned to confinement.⁹

In sum, after several decades in which a variety of new, costly, and (in many cases) questionable policies and programs have emerged, and correctional populations have increased tremendously, the American system of justice stands at a crossroads.¹⁰ On one hand, we can continue to spend billions of dollars on efforts and interventions that may not be needed and may not work. On the other hand, we could heed recent calls for improved justice system leadership, stronger strategic planning, more rigorous evaluation, and greater use of evidence-based policies, programs, and practices. The latter approach is based on the belief that what we truly need is not more programs and new interventions. Rather, we need better designed and implemented strategies that are managed by collaborative leaders who rely upon sound planning, data-driven evaluation, and evidence-based decision-making.

The purpose of this monograph and subsequent expected publications is to help readers create justice system agencies and social service organizations that value strong leadership, collaborative learning, and proactive planning and evaluation in fulfilling their vision, mission, goals, and objectives. This initial offering is designed specifically for justice system administrators and practitioners who want to learn more about effective leadership and organizational growth as key aspects of becoming an evidence-based organization.

Why is This Book Needed?

During the past 25 years, I have been fortunate to be a student, practitioner (a probation and parole officer), teacher, researcher, and consultant in the field of criminal and juvenile justice. I have taught numerous undergraduate and graduate courses; conducted a variety of research projects; and have interacted with hundreds of justice system administrators and practitioners who provide valuable work and services on a daily basis. Through my teaching, research, and consulting, one thing I have noticed (and have been told on a regular basis) is that few professional-oriented books exist that provide practical guidance to those who are responsible for leading and managing contemporary justice system agencies and organizations, particularly with regard to leading, planning, implementing, and evaluating evidence-based policies, programs, and practices.

Based on my experience, I also believe a number of reasons exist as to why the topics covered in this monograph and subsequent publications are not only important today, but will become increasingly important in the future. In general, we have not yet been successful in determining “what works” in preventing, reducing, and controlling crime.¹¹ Many policymakers, academics, practitioners, and citizens disagree profoundly about the desirability and effectiveness of justice system operations and services. Unfortunately, there often is little hard evidence available to help

settle various policy and program debates. There are, however, signs that this situation is changing, and there are at least five major trends that have sharpened the emerging need for more effective leadership, planning, and evaluation throughout the American justice system.

Increasing Offender and Client Populations

As discussed earlier, juvenile and adult offender populations surged dramatically in recent decades. Public policy reforms such as “zero tolerance” arrest and prosecution, the decline of discretionary release and diversionary programs, juvenile transfer to adult court, “get tough” sentencing, “three-strikes” and “truth-in-sentencing” laws, drug laws and associated mandatory sentencing, greater surveillance activities and enhanced offender supervision, and rising probation and parole revocation rates all have resulted in steady growth in the number of individuals coming into the criminal and juvenile justice systems, while simultaneously increasing offenders’ lengths of stay.¹²

The impact of these changes on corrections is most striking. In 1980, there were less than 2 million adults incarcerated or under some form of state or federal supervision; since 2006, this number has been above 7 million.¹³ While our reliance on incarceration has fueled much of this growth, the probation population also has risen dramatically, from around 1 million in 1980 to over 4 million today. Large scale increases in incarceration also have resulted in growing numbers of ex-inmates returning to the community. Of the 2.26 million adults currently incarcerated, we can expect that around 95% eventually will be released back into society.¹⁴ Most will be under some form of parole supervision, but up to perhaps 25% will not.

In short, America currently faces a situation where ever-growing numbers of offenders are being processed in the criminal and juvenile justice systems, and they are requiring facilities and services not only within the system, but outside the system as well. For example, most juvenile and adult offenders are in need of one or more of the following services: mental health treatment, substance abuse treatment, housing assistance, job training, educational programming, and/or family counseling. Moreover, most social service providers have experienced similar types of increases in client populations as exhibited in the criminal and juvenile justice systems. Based on the available recidivism data mentioned previously, we know that if the needs of these offenders and clients are not met, we can expect that a large majority of them will reoffend.

Increasing Costs and Declining Resources

In addition to increasing offender and client populations, and the threat of recidivism posed by those individuals who are processed through the justice system and returned to their communities, another important trend is the rising economic costs associated with crime and delinquency. Given the growth of the criminal and juvenile justice systems, it should come as no surprise that associated costs and expenditures have surged dramatically as well. Furthermore, this has taken place in a larger overall environment of declining physical, human, and monetary resources, particularly within social service programs and organizations.

In the field of corrections, the average annual cost to incarcerate an adult offender is nearly \$24,000, and for juveniles it is \$43,000.¹⁶ Moreover, aggregate correctional costs are projected to increase \$2.5–\$5 billion per year in the foreseeable future, due to continued prison expansion and rising operational costs. These high prices could be justified if they produced corresponding and proportionate improvements in public safety. In fact, crime and victimization rates have fallen since the early 1990s, and prison expansion and tougher sentencing policies have undoubtedly contributed to these trends.¹⁷ During the past 10 years, however, all 19 states that cut their incarceration rates also experienced a decrease in their crime rates, and research shows that our tougher incarceration policies passed the point of diminishing returns long ago. Despite the fact that prisons may have helped cut crime by around one-third in recent decades, they are also the most expensive option available. If other less expensive and more effective approaches to crime prevention and reduction exist, both our reliance on incarceration and overall justice system expenditures could be reduced substantially.

In addition to rising justice system expenditures, there are a variety of other costs to consider, along with cuts in social services spending and resources that have taken place outside of the criminal and juvenile justice systems. Although nationwide crime victimization rates (as measured through the National Crime Victimization Survey) have decreased steadily since the mid-1990s, economic costs of crime for victims have been estimated at over \$15.5 billion per year.¹⁸ This does not take into account the psychological and emotional costs of victimization, or the social costs of crime on future generations. A majority of all inmates, for example, have children under the age of 18. This is extremely important because having an incarcerated parent is a well established risk factor for delinquency and future criminal behavior.

Finally, “since 1980, there have been huge cuts in social services spending, especially programs affecting the poor and minorities (e.g., subsidized health care, welfare, daycare for working parents, school lunches, and after school programs).”¹⁹ These cuts can be greatly explained by public concern over high taxes and the recent slashing of local, state, and federal budgets during tough economic times. Tax and budget reductions mean cuts in services somewhere, and declining social services spending likely has increased existing inequalities and magnified social problems experienced by those who are at the greatest risk for criminal and delinquent behavior. Moreover, social service workers are left to try to do more with less, as positions are eliminated, benefits are reduced, and demands on time and occupational stress both are increased.

Increasing Accountability

In the aftermath of increasing offender and client populations, rising justice system expenditures, and declining social service resources, policymakers, funding agencies, and the general public have been calling for greater accountability by justice system agencies and organizations.²⁰ As demands on public resources continue to grow, and suspicion exists that public money is not always being well spent, these agencies and organizations are likely to experience even greater pressure to produce meaningful information about the work they do and the effectiveness of their services.

Overall, many struggle to produce evidence about their actual performance, often due to inadequate planning and/or poor implementation and evaluation of their programs and practices.

In response to this situation, a number of authors have promoted the use of **performance measurement and monitoring** in criminal and juvenile justice, as a way to increase accountability in systems operations, improve implementation efforts, and assess outcomes expected from policies, programs, and practices.²¹ Although definitions of performance measurement vary, most descriptions emphasize the use of mission-based outcome measures that can be used to assess an organization's ability to provide anticipated programs and services and achieve the expected results.

When done well, the use of performance measurement for monitoring purposes is built into an agency's ongoing operations and is used for management activities and decision-making. It also can show that an organization is operating and providing programs as intended, and that desired changes or reforms are being implemented as expected. In addition, performance monitoring can help identify problems as they arise and allow for corrective actions to be taken, and it even can be used to determine if policies or programs under consideration are likely to be effective. Finally, performance measurement and monitoring can be used to assess whether specified goals, objectives, and outcomes are being achieved, along with facilitating more scientifically rigorous process evaluations and impact assessments.

Using performance measurement for planning and monitoring policy and program implementation is a particularly useful function, as most strategies and services are likely to be ineffective if they are poorly planned and implemented. Furthermore, utilizing performance measurement in combination with sound strategic planning allows for policy and program goals and objectives to be both specified and assessed. Subsequently, results can be used to improve agency operations, evaluate staff, inform stakeholders, and enhance the sustainability of the organization. In sum, performance measurement and monitoring have the potential to produce critical information for improving the operations, efficiency, and effectiveness of justice system agencies and organizations.

Despite the promise and potential benefits of performance measurement and monitoring, most criminal and juvenile justice system agencies and organizations tend not to measure performance.²³ Rather, case-processing data typically is produced that describes and summarizes work being done, but in a backward-looking manner that reveals little about the quality of program implementation or the effectiveness of services being provided. Given the growing demands for justice system accountability, along with the substantial economic and social costs associated with rising offender and client populations, systematic implementation of more effective performance measurement and monitoring appears essential for 21st century justice system agencies and organizations.

Enhanced Technology

At the same time that calls for greater justice system accountability and stronger evidence of performance have increased, technological advancements also have exploded. Enhanced technology has created both new opportunities and new problems, however.²⁴ Improvements in computing technology, for example, have dramatically increased our capabilities to collect, store, retrieve, and analyze data. This can mean that our ability to study specific problems, needs, and solutions has improved, but this is no easy process that is guaranteed to produce beneficial results.

Many justice system agencies and organizations have automated at least some of their data collection, but it often exists in multiple locations (e.g., different offices or divisions) and formats (e.g., different databases, spreadsheets, or software packages). This makes retrieving and analyzing the data more difficult, and employees within the same organization may not even know what data are available, where it is, and how to access it. Furthermore, there may be issues with the reliability and validity of the data, in terms of how consistently and accurately data are collected and processed. Finally, increased data collection and wider access to this data brings about greater concerns over confidentiality, particularly when dealing with criminal and juvenile justice data that may include information on such topics as prison sentences, substance abuse history, and mental health treatment.

The potential problems associated with greater use of technology and justice system data point to the need for staff training on when and how data are to be collected and utilized; supervisory review of data collection processes and procedures; and an organizational investment (in terms of time, money, and other resources) in developing an effective Management Information System (MIS). An effective MIS is one in which reliable and valid data are entered only once and can be efficiently retrieved and analyzed to assess problems, needs, and solutions. Potentially, this type of MIS also can enable data to be linked across agencies within the same system. When running well, an efficient MIS facilitates data-driven decision-making and immediate feedback being given to staff and other stakeholders. It also is useful for generating organizational reports, funding applications, and fact sheets or “report cards” that summarize the productivity and performance of an agency or larger system.

In addition to improvements in computing technology, other technological changes have enhanced our ability to detect crime and monitor offenders.²⁵ Examples here include computerized fingerprint identification systems, DNA testing and analysis, electronic monitoring, and drug testing. Although these types of technological advancements have assisted with solving crimes and convicting offenders, they also have made it possible to more often uncover minor or technical violations of probation or parole and detect smaller amounts of drugs and alcohol in an individual’s body. These latter results have contributed to large increases in the number of probationers and parolees who fail to complete their supervision periods successfully and subsequently are placed in or returned to prison.

Finally, as various technological advancements have been made, a whole new field of “cybercrime” has emerged, with computers and cell phones specifically being targeted by

individuals seeking to illegally obtain classified or personal information, money, or both. Securing individual and corporate computer systems, and detecting, investigating, and prosecuting cybercrime, presents a unique set of challenges for agencies and organizations both within and outside the criminal and juvenile justice systems. Some may not only be involved with preventing and responding to cybercrime, but they also may be victimized themselves.

Expanding Evidence-Based Knowledge

During the past 15 years, there has been a growing belief that the criminal and juvenile justice systems should implement policies, programs, and practices that are supported by rigorous scientific research findings.²⁶ In general, the evidence-based approach stresses the use of sound research and evaluation to analyze problems and needs; assess ways and methods to address them; and establish the probable impact of available prevention and intervention efforts. Anecdotal evidence and political ideology, which traditionally have driven crime policy agendas, lie outside the scope of evidence-based methods and solutions. Instead, emphasis is placed on careful data collection, strong research design, appropriate data analysis, and the utilization of both quantitative and qualitative findings to form conclusions about what “works” to prevent and reduce crime.

Definitions of the term **policy** vary, but a simple one states that a policy is “a rule or set of rules or guidelines for how to make a decision.”²⁸ In general, both administrative and legislative policies are common throughout the criminal and juvenile justice systems, and they vary in their complexity and the amount of discretion afforded to those who apply the policies. Requiring police to read *Miranda* warnings to suspects they have arrested; providing judges with sentencing guidelines or requiring mandatory sentencing; transferring juveniles to adult court through waiver laws; regulating and controlling guns; and requiring sex offenders to be registered are all examples of justice system policy initiatives.

In comparison to a policy, a **program** is “a set of services aimed at achieving specific goals and objectives within specified individuals, groups, organizations, or communities.”²⁹ Examples of programs thought to prevent, reduce, or control crime include neighborhood watch, mentoring, job training, drug and alcohol treatment, prison-based therapeutic communities, intensive correctional supervision, and “hot spots” policing. Contemporary support for evidence-based policies and programs in criminal and juvenile justice can be traced to 1996, when Congress required the U.S. Attorney General to provide an independent review of the effectiveness of state and local crime prevention assistance efforts funded by the U.S. Department of Justice.³⁰ The resulting report, produced by researchers at the University of Maryland’s Department of Criminology and Criminal Justice, was entitled *Preventing Crime: What Works, What Doesn’t, What’s Promising*.

Evaluation research on over 500 crime programs and policies was reviewed, covering the seven specified institutions of families, schools, communities, labor markets, places, police, and the criminal justice system. Although a number of interventions were determined to work, and others were found to be promising, many were not supported based on the research examined. Perhaps most importantly, the authors pointed out that the number and scientific rigor of available

evaluations generally was insufficient for providing adequate guidance to the national effort to prevent and reduce serious crime.

Since that time, increasing emphasis has been placed on conducting evaluations and utilizing the findings of experimental and quasi-experimental research in the pursuit of evidence-based crime policies and programs.³² In addition, evidence-based **practices** increasingly have been advocated in both criminal and juvenile justice, with an emphasis on improving the chances of offender success by applying empirical research findings during the processing, treating, and sanctioning of offenders.³³ Focusing on successful offender outcomes has brought greater attention to such evidence-based practices as offender risk and needs assessment, inmate classification, enhancing intrinsic motivation, targeting effective interventions to appropriate offenders, improving inter-agency collaboration, and using the findings of research and evaluation to guide program selection and implementation, as well as improving agency operations and staff performance.³⁴

In spite of these modern evidence-based advancements, the quest for determining “what works” in criminal and juvenile justice has not yet been fulfilled, as too little evidence still exists to support many (of not most) of the policies, programs, and practices that constitute the American justice system.³⁵ Furthermore, the evidence-based approach is not without its limitations. Evidence gained through scientifically rigorous research and evaluation takes time to produce, and the findings can be complex or difficult to interpret. In some cases, enough of a body of research exists to enable meta-analyses and systematic reviews that can be used by policy-makers to guide legislative and funding decisions.³⁶ In many other cases, much more research needs to be done to establish which “promising” approaches actually “work,” and to identify which policies, programs, and practices should be abandoned.

Despite these limitations, when compared to the traditional alternatives of political ideology, anecdotal evidence, and untested hunches, evidence-based strategies are the best option available. Unprecedented growth in offender and client populations, corresponding surges in justice system expenditures, and unacceptable recidivism rates all point to the need for basing our policies, programs, and practices on stronger scientific evidence. Moreover, greater demands on public resources, increasing accountability, and expanding technology further support the use of evidence-based approaches, while we continue to build a larger and more diverse body of scientific research that can be used to guide criminal and juvenile justice system operations and services.

Becoming an Evidence-Based Organization

In order to deal with the challenges and issues (as well as the opportunities and potential benefits) presented by the five trends discussed above, this book considers effective leadership and understanding of organizational culture and growth as key initial steps for becoming an evidence-based organization. Future anticipated publications will examine strategic planning and action planning; preparing for successful implementation and monitoring; and evaluating and sustaining organizational services and innovations as additional key components of the evidence-based movement. Other publications exist on these individual topics, but few sources are

available that are directed at a professional audience, seek to integrate the various areas, and apply the information specifically to the field of criminal and juvenile justice.

A word of warning – if you are looking for a quick fix to improving your agency or larger system, this approach is not for you. However, if you want to challenge yourself and others you work with to be better leaders; to understand and improve organizational culture and collaboration; to think and plan strategically; to build effective policies, programs, and practices; and to monitor, evaluate, and sustain successful interventions and innovations, then I believe this book will set the stage for what you want to accomplish.

Chapter 2 begins with a focus on what constitutes effective leadership and how it can be demonstrated. The basic premise of this chapter is that strong leadership is necessary (but not sufficient) for justice system agencies and organizations to excel. Chapter 3 then examines organizational culture and how it can be assessed and prepared for growth. Characteristics of effective organizations also are discussed, with an eye toward what it takes to become an Evidence-Based Organization. Both chapters (as well as the current chapter) conclude with a set of discussion questions that I hope you and your organization find useful in reflecting on and applying the covered material.

Discussion Questions

1. Have you or your agency been involved with a policy, program, or practice that failed to live up to its promise or expectations? If so, why do you think this occurred?

2. Review the five justice system trends discussed in this chapter. Which of these trends have had the greatest impact on your work or the work of your agency, and why? Have any of them not had an impact?

3. What are the risks associated with adopting unnecessary or ineffective criminal and juvenile justice policies, programs, and practices? How can these risks be reduced?

4. How can greater justice system accountability and reliance on evidence-based policies, programs, and practices be achieved? What can you do to help?

Chapter 2

Demonstrating Leadership

“Change” is a common desire and occurrence within the criminal and juvenile justice systems.¹ Sometimes justice system change is proactive and well planned, through policies, programs, and practices that are directed at specific problems and are intended to have a beneficial impact on those problems. Change of this type tends to be focused and limited in scope, directed at attaining specified goals and objectives, and cooperative and collaborative in nature. Unplanned change, in contrast, typically is reactive, not well thought out, and often is conflict oriented. Unfortunately, much of what has passed for justice system change in America has been of the unplanned variety, greatly contributing to at least several of the trends discussed in Chapter 1.

To achieve proactive and planned change in criminal and juvenile justice, agencies and organizations working in this arena need strong leadership. A major question for leaders to address is not so much whether change will occur, but rather, will change result in desirable organizational growth and successful offender/client outcomes? Under this approach, leadership is much more than just filling a position at or near the top of an organizational hierarchy and reacting to problems as they arise. Instead, justice system leaders must be willing to demonstrate specific leadership qualities; understand, assess, and positively influence the agency’s culture; and appreciate the implications that changes have on staff, offenders/clients, and external stakeholders.

Most people know a good or great leader when they see or work with one, but many people also have a difficult time defining effective leadership and understanding how it is developed and demonstrated. In general, leaders often are viewed as “lone trees in a field of followers,” standing out in a crowd and easily identifiable as strong and formidable individuals.² Leaders of this type traditionally have been thought to exist only at the top of organizations and in certain management positions. In most modern and complex organizations, however, this view of leadership is insufficient and unrealistic. To facilitate higher performance in today’s criminal and juvenile justice systems, for example, leadership should be promoted and valued at every level of an agency or organization.

The goal of this chapter is to help readers better understand and contribute to the leadership of their agency, organization, or larger system within which they work. Although this is an important topic for those serving in positions typically thought of in the context of leadership (e.g., commissioners, chiefs, captains, supervisors, etc.), the underlying premise is that leadership can be promoted within every employee to produce significant organizational growth and successful offender/client outcomes. In addition, it is not assumed that leaders are born knowing how to lead. Instead, many people have a potential for leadership that is undeveloped, but can be

realized through learning, thoughtful reflection, and applying their emerging qualities and talents for the good of the organization.

Defining Leadership

A number of authors have provided various definitions and descriptions of leadership, and during the past few decades, leadership has grown from a topic area into a distinct discipline. Many complex definitions of leadership focus on articulating particular actions, methods, and attitudes that can be displayed by individuals.³ Ronald D. Sylvia, however, in his book *Leadership through the Ages*, makes the simple distinction that a leader is someone whom followers follow.⁴ Conversely, followers follow where a leader leads. The question, then, is why do some would-be leaders get followed and others do not? In other words, how do effective leaders persuade others to follow, while ineffective leaders have great difficulty in this area?

A key starting point for answering these questions is to understand that leadership is not a particular position or place; rather, it can be exhibited by anyone who possesses the skills and abilities that enable them to persuade others to follow. It is not necessary to be a top manager in an agency to be a leader, and in fact, many top managers have difficulty getting agency employees to follow. Rather than being tied to a particular position, then, leadership is a way of behaving that motivates and enables others to contribute to the effectiveness of an agency.⁵

Within virtually any criminal or juvenile justice agency or organization, there are individuals at various levels and positions who are either considered to be leaders by their fellow employees, or have the potential to be leaders. This could be based on their experience; credibility they have built; their ability to see the broader picture and future of the agency; or their willingness to be innovative and try new methods or approaches.⁶ In some cases, these individuals are so effective at demonstrating leadership that others may not realize it until they step back and see the influence that “hidden” leaders have on the agency and those working in it.

If it is accepted that many people have the ability to demonstrate leadership, despite whatever position or rank they occupy within an agency or organization, then what is it about these individuals that stands out and makes others want to follow them? In other words, what makes a good or great leader? With the understanding that leadership is a way of behaving, and not the holding of a particular position, it is useful to think about the key traits and characteristics of those who are effective at getting others to follow.

Qualities of Effective Leadership

A good place to start in any discussion of effective leadership is the need for ***maintaining absolute integrity***. Integrity involves aligning one’s words and actions with a set of inner values, and sticking to those values even when an alternative path might be easier or more advantageous.⁷ Great leaders recognize the importance of morality and steadiness of character, and they are able to teach and inspire others to pursue strong ideals and principles.⁸ A leader with integrity also can be trusted, because they are honest, keep their promises, and stick to strong inner values.

Moreover, they serve as distinct models for others to copy, which facilitates building an entire organization around positive cultural values.

In addition to acting with integrity, great leaders also **display uncommon dedication and commitment**. Dedicated leaders are willing to spend the time and energy required to achieve organizational success.⁹ This goes well beyond just providing time as it is available; it means giving one's whole self to the good of the organization and participating in the hard work that needs to be done. Effective leaders both see what must be done and are committed to making it happen, particularly in times of uncertainty.¹⁰ Being able to show courage, commitment, and composure in the face of adversity helps steady one's followers, and serves as another powerful way to lead by example.

Through interacting with their followers, effective leaders also are able to **say and do things in ways that build trust**. Being magnanimous, for example, means giving credit where credit is due, along with accepting personal responsibility for failures.¹¹ Great leaders are happy to not only share credit for organizational successes, but they take every opportunity to recognize and promote the good work of their followers. In tougher times, they readily accept responsibility for resolving problems and issues, while limiting blame and fault directed at others.¹² When there is a need for disciplinary procedures, strong leaders are able to carry them out while allowing staff members to retain their dignity.

Although some leaders enjoy a high profile existence, many of the best leaders **exhibit humility and a lower-key approach**. Humble leaders recognize they are not inherently superior to others, but they also do not diminish or debase themselves.¹³ Rather than being arrogant or narcissistic, they believe in the special talents and abilities of their followers, and they realize that what truly matters is the advancement and success of the agency.¹⁴ Great leaders therefore know how to put their egos aside and let others receive attention or acclaim, rather than exalting themselves.

Effective leaders also know when to step up and be heard, but before doing so, they are **eager listeners and are open to new ideas and viewpoints**. Open leaders listen to their followers without trying to shut them down early, and they do not dismiss new ideas as being far-fetched or unformed.¹⁵ Instead, great leaders seek out multiple sources of input and treat the ideas of others as potentially better than their own. Being able to listen to the viewpoints of others not only allows for various alternatives to be considered, but it also helps demonstrate humility and build trust.

Along with being open to new ideas and viewpoints, great leaders tend to be **creative, flexible, and willing to take calculated risks**. Creativity means being able to think differently and see things that others have not seen, thereby providing reason for followers to follow.¹⁶ Effective leaders also know they need to be flexible in creating the best methods for implementing ideas and involving others in the process. Rather than telling others exactly how to do something, flexible leaders provide direction, while limiting criticism, and encourage discussion from their followers about the best ways to get things done.¹⁷ In encouraging others to develop new ideas and solutions to problems, great leaders also are willing to take risks that hold the promise of positive change.

They understand that the benefits of success achieved through taking calculated risks will outweigh the setbacks that are encountered along the way.

Although it is not necessary for leaders to be the most intelligent member of an organization, effective leaders do need to **possess a certain amount of knowledge and skills, and be bright enough to share and communicate what they know.**¹⁸ Fully understanding what staff members do and deal with on a daily basis can be a daunting challenge, but great leaders are able to develop and enhance their substantive knowledge, in order to be able to guide and support the work of the organization. While deferring to the expertise of others often is appropriate, effective leaders typically serve as organizational spokespersons, so having a command of substantive knowledge and issues is essential.¹⁹ In addition to being highly knowledgeable, these leaders also possess the interpersonal and communication skills necessary to get their followers and others to listen. In other words, great leaders not only “know their stuff,” but they also possess the charisma required to communicate in an inspiring and compelling manner.²⁰

Building on the qualities of charisma and inspiring communication, effective leaders typically are **passionate, energetic, and enthusiastic.** One of the most visible characteristics of great leaders is a passion for their cause, and energy and enthusiasm are essential components for stimulating confidence in others and building organizational success.²¹ These leaders present optimistic and positive attitudes, and they look for hidden opportunities in challenging times and periods of conflict. Through their actions and words, they also exert a personal magnetism that naturally pulls people toward them. Rather than having to coerce their followers, passionate and optimistic leaders make others comfortable in their presence and create a natural desire to follow.

In generating a desire to follow, effective leaders maintain a **forward and future-thinking perspective.** In other words, they are committed to what has yet to happen, and they are able to both imagine things as they could be and guide the necessary changes to help an organization modify its course.²² Great leaders are consistently proactive (rather than reactive); are willing to question the status quo; and they often speak of intended destinations for the organization. In doing so, they think about what an agency could be accomplishing, the direction it could be pursuing, and the outcomes it could be striving to achieve. They also are able to express their thoughts about the future in a clear and consistent way, both verbally and in writing.²³

While demonstrating a forward and future-thinking perspective for the organization, effective leaders are capable of **empowering others and encouraging their followers to excel.** People often are capable of achieving at a much higher level of performance than they exhibit, and great leaders are able to provide the opportunities and encouragement necessary to bring out the best in their followers.²⁴ Empowering others can be accomplished through delegating authority; sharing control of organizational processes and decision-making; and providing opportunities for staff to develop and demonstrate leadership and other professional skills. Followers also are encouraged to excel when leaders recognize the unique contributions of staff members and draw upon them regularly, and when leaders are willing to say “I don’t know” and ask for assistance in finding answers and determining the best course of action.

Another way that great leaders create a desire to follow and encourage others to excel is through their **personal warmth and concern for followers**. These leaders “take care of their people” and show an interest in them that goes well beyond what is necessary to complete the work of the organization.²⁵ Effective leaders are able to move through their organizations knowing that others are attuned to their presence, and they use these situations as opportunities to make appropriate and positive remarks, single out individuals for praise, and inquire about personal and family circumstances. Through warmth and concern, great leaders are able to build trust and cultivate team spirit. They also avoid bad-mouthing their rivals and are mindful of the old adage, “keep your friends close and your enemies closer.”

Finally, the most effective leaders are willing to **stand out in front and offer a command presence** that is sometimes motivational and at other times calming. These leaders expect positive results, and they are willing to show the way by modeling hard work and utilizing sound organizing skills that provide definition and structure to the roles and responsibilities of their followers.²⁶ They are also purposeful in their actions, providing steady guidance and conviction while promoting a “fighting spirit.” In times of stress, however, they are calm, assured, and in control. Their tone and manner leave no doubt in followers’ minds as to who is in charge, and such a presence inspires confidence and unity, rather than fear and uncertainty.

Distinguishing Leadership from Management

When discussing the topic of leadership, sometimes the terms “management” and “leadership” are used interchangeably.²⁷ At other times, however, a strong distinction between good management and good leadership is made. Warren Bennis and Peter Drucker, for example, distinguish these terms by noting that management has to do with “doing things right,” while leadership is “doing the right things.”²⁸ In other words, managers make sure tasks get done correctly, while leaders ensure their followers are focused on the right things and are moving in the correct direction. Bennis further distinguishes leaders from managers in the following ways:

- Leaders ask what and why. Managers ask how and when.
- Leaders focus on the horizon. Managers focus on the bottom line.
- Leaders are willing to challenge the status quo. Managers accept to status quo.²⁹

Overall, then, leaders can be viewed as being responsible for developing new strategies and partnerships, while managers employ chosen methods and practices, and ensure staff members do the same. In a strict sense, managers could be thought of as the budgeters, organizers, and controllers, while leaders are viewed as charismatic visionaries who inspire followers to do great things. This level of distinction, however, can mistakenly imply that leaders do not manage, and managers cannot lead. In reality, many individuals in leadership and management positions have traits in both areas. Most often, those who are the most effective tend to be both good managers and leaders at the same time.

Major Approaches to Leadership

Another way to think about leadership is to consider the major approaches to leadership that have been demonstrated over the years. Within this context, there are at least three major strategies that have been identified: personal dominance, interpersonal influence, and collective leadership.³⁰ These ways of thinking about leadership build on each other sequentially, with the third way typically allowing leadership to be developed to the greatest extent within and throughout organizations, in turn generating the most organizational success.

The **personal dominance** approach essentially views leadership as something a person possesses because of individual traits exhibited, his or her position within an organization, or both. In addition, leaders from this orientation tend to influence followers in a downhill fashion, based on the idea that leadership does not flow uphill. From a personal dominance perspective, leaders are born with characteristics that allow them to fulfill positions of leadership, and the qualities or traits of these individuals are fundamentally different from those of followers. The defined leader, then, is the source of leadership, and followers are the receivers of leadership. Historically, leadership has been most often viewed from this perspective.

The **interpersonal influence** approach holds that leadership is a process of influence between leaders and followers. Here, effective leadership depends on the agreement of followers to be led. In contrast to the personal dominance model, where leadership can result from exhibiting authority over someone, the interpersonal influence approach generates leadership through interpersonal skill and charisma. Followers are involved in decision-making processes, thereby encouraging more people to engage in leadership themselves. Ultimately, though, formal leaders under this model maintain final decision-making authority, and they use their influence to guide the process. This strategy of interpersonal influence is a more modern view of leadership, and it has set the stage for a third and currently preferred approach to leadership, including within the criminal and juvenile justice systems.

The **collective leadership** approach is based on the belief that modern organizations are too complex and demanding for a single or small number of leaders to handle, which points to the need to build an organization-wide process and culture of leadership that includes greater follower involvement. Through this strategy, leadership is a group effort that emerges through collaborative interaction. As compared to the first two approaches, collective leadership is a shared responsibility of organizational members and involves more people in the leadership process. Formal organizational structures are not eliminated, however, because they typically are necessary for many organizational functions and procedures.

Within an organizational structure that is employing collective leadership, each member is expected to share in the process of identifying and defining organizational needs, along with developing solutions to problems. The benefits of this approach are numerous:

- The work required to achieve organizational goals and objectives is distributed more evenly, which reduces the burden on senior management;

- The shared process of contributing to organizational initiatives and solutions creates buy-in among staff members and generates dedication and commitment to organizational success;
- Valuable input and perspective is provided by staff members who typically are the organizational members encountering problems on a regular basis and are the most responsible for implementing programs and practices;
- By empowering all staff to share leadership responsibilities, professional development occurs more naturally and individuals are prepared to take on higher positions and responsibilities within the organization.³¹

As stated earlier, the three approaches to leadership noted above can be thought of as a sequential process. Most organizations have a traditional history of leadership based on personal dominance, with interpersonal influence and collective leadership being more recent developments. Furthermore, effective leaders who are able to embrace collective leadership typically are able to employ personal dominance can interpersonal influence when necessary, depending on the situation. On the other hand, if personal dominance is the primary leadership orientation, it is virtually impossible to utilize interpersonal influence and collective leadership.

The Importance of Communication and Collaboration

If a collective approach to leadership is going to be adopted and flourish, the importance of communication and collaboration cannot be emphasized enough. Effective collective leaders are able to communicate in ways that are sometimes meant to inspire, but more often are used to solicit advice and feedback, as well as to provide direction and guidance.³² Leadership communications are also most effective when they are based on mutual trust and a shared commitment to organizational success. In the absence of consensus about what constitutes organization success, power issues are common and collaboration is rare.

As the complexities of organizations and the issues they address increase, so do the requirements for effective communication. Face-to-face interactions, group dialog, public speaking, and various forms of written communication all are required of virtually all leaders today. Moreover, strong communication skills and abilities are necessary for such purposes as making one's intentions and purposes clearly known, managing and negotiating conflict, listening to the ideas and positions of followers, providing feedback and encouragement, and creating shared meaning and understanding. Leaders who are able to facilitate listening and communication among staff and stakeholders are particularly valuable for their ability to enhance trust, promote respect, and create a participatory team environment based on shared responsibility and information sharing.

In addition to being effective communicators, leaders in all fields today (including criminal and juvenile justice) are increasingly required to collaborate, both internally and externally to their organizations. Internally, collaboration is necessary to empower followers and have them believe they can make an important contribution to the organization.³³ In organizations where people are

empowered, staff members feel significant and believe they make a difference to the organization's success. Learning and competencies matter, as both leaders and staff members value learning and mastery of job skills. People also feel they are part of a community; through collaboration, leaders are able to help develop an organizational culture in which there is a sense of being part of a team. Finally, work is challenging, yet exciting. Leaders and staff members work to create an environment where work is stimulating, and collaborative successes are shared.

Externally, contemporary leaders are frequently required to think and work across disciplinary and jurisdictional boundaries. Being able to organize stakeholders, set and enforce group norms and ground rules, celebrate group successes, assist with the negotiation of difficult issues, and keep stakeholders at the table during periods of skepticism and frustration are all characteristics of sound collaborative leaders. Overall, this type of collaborative leadership requires an ability to shift from a vertical or hierarchical way of organizational thinking, toward a more horizontal vision of sharing information, resources, and power. This involves the capacity to trust the perspectives of others, have confidence in their competencies, and make a commitment to shared planning, training, and organizational goals and objectives.

Developing Leadership

This chapter has been based on the premise that leadership is not dependent upon being in a certain designated position; rather, it can be promoted and cultivated within every employee to produce significant organizational growth and success. In addition, leaders are not typically born knowing how to lead. Instead, a potential for leadership exists within many people and can be realized through learning and professional development. We turn now to thinking about how leadership can be grown within organizations and individuals.

Organizations that foster leadership do not emerge overnight. Instead, a commitment to leadership development needs to be embraced over time, with conditions in place that promote collective or collaborative leadership and assist with handling impediments to this approach.³⁴ In general, growing a leadership organization that encourages leadership at every level and cultivates the development of individual leaders is ideally comprised of four steps:

- Defining and understanding leadership inside and outside of the organization;
- Assessing current “in-house” leadership practices;
- Developing leadership through training; and
- Monitoring leadership performance.³⁵

To begin, **leadership must be defined** both inside and outside the organization. The information covered in this chapter should provide a good framework for internal and external discussions of how leadership can be demonstrated and the major approaches to leading an organization. A variety of additional sources also can be consulted, such as those cited throughout this chapter and other available literature from professional organizations and governmental agencies. The

goal here is to use this information to generate discussion and understanding among staff and stakeholders concerning the definition of leadership and how to move toward growing a leadership organization. A common understanding of leadership will set the stage for organizational growth. In addition, for collective or collaborative leadership to occur, staff and stakeholders must feel empowered in the process, which can begin to be established at this definitional stage.

Second, current **leadership practices must be assessed**, to reveal common leadership qualities and approaches used by individuals and the organization as a whole. Assessment helps determine both strengths and weaknesses in current leadership, and can identify areas where training is needed. Both organizational and individual leadership should be evaluated. From an organizational perspective, training practices and leadership messages (both written and verbal) provided to staff and stakeholders can be assessed. At the individual level, leadership styles and practices can be evaluated, to allow leaders to understand their own styles, along with their strengths and weaknesses. Although leadership assessment can be conducted within an organization, without external assistance, an outside evaluator can provide a more objective and in-depth assessment that can be very beneficial to an organization. Joyfields Institute for Professional Development (<http://www.joyfields.org>) is an example of an agency that provides evaluation services in this area.

After leadership has been defined and assessed, appropriate **training must be identified and completed**. Because effective leaders do not typically develop on their own, training opportunities must be provided to foster strong leadership qualities and a more collective and collaborative style. Both internal and external training opportunities are valuable. Internal training provides the opportunity for growing the culture of an organization toward a leadership orientation, while external training enables current and future leaders to learn from a more diverse set of organizations and trainers, and at the same time interact and network with other professionals working in the same or similar fields.

Finally, it is important to **monitor leadership progress**, in order to ensure individual and organizational leadership is developing and evolving as anticipated, and to determine if the outcomes expected of training programs are being achieved. This monitoring essentially involves an ongoing assessment of leadership practices and styles, at both the organizational and individual levels. The overall goal is to use this monitoring to create a culture of continuous learning, information sharing, collaborative decision making, and professional development. Again, leadership monitoring can be conducted internally to an organization, but an outside evaluator or consultant can enhance the process by assisting with or providing a more objective and in-depth monitoring approach.

Articulating a Leadership Philosophy

As a final point to consider, many effective leaders today are guided by a well-articulated and communicated leadership philosophy. This is a written document (typically 1-3 pages) that identifies what the leader believes in (e.g., values, attitudes, and leadership approaches) and how

they view themselves as a leader. In developing a leadership philosophy, information contained in this chapter and the entire book can be considered, along with other available literature. Once a statement of leadership philosophy is developed, it should be shared with trusted colleagues for feedback and revision. When finalized, a leadership philosophy should then be shared with staff and stakeholders, and also should be revisited and reflected on regularly by the leader to guide his or her leadership practices and interactions with staff and stakeholders.

Summary and Conclusions

Criminal and juvenile justice system agencies and organizations often are engaged in change. Sometimes change occurs through policies, programs, and practices that are well planned and directed at specific problems, but more often change occurs through an unplanned process that is reactive and conflict oriented. For proactive, planned, and sustained change to occur, strong leadership is necessary. This chapter has covered the definition and qualities of effective leadership; the difference between leadership and management; major approaches to leadership; the importance of communication and collaboration; how to grow a leadership organization; and articulating a leadership philosophy.

It is an understatement to say that justice system leadership is difficult, even under the best of circumstances. Politics and differences among staff and stakeholders are two of the most common impediments encountered by leaders, both of which can make empowerment and growing a leadership organization a difficult process. Pursuing the type of leadership discussed in this chapter takes perseverance and a commitment to organizational and professional development. Resources and opportunities must be provided; expectations must be set and communicated; and successes must be recognized and celebrated. It is worth the time and effort, however, if an organization and its leaders are seeking to grow and thrive in an evidence-based environment.

Discussion Questions

1. Think of someone who you believe is an effective leader. What makes this person an effective leader? What does being an effective leader mean to you?

2. How do you distinguish between being an effective manager and being an effective leader? How do you view yourself as a manager and/or leader?

3. What do you see as the key areas for leadership improvement at your agency? What can you do to contribute?

4. Complete the leadership assessment checklist on the following page. What do your responses indicate about the strengths and weaknesses of the leadership at your agency? This exercise also can be used to further assess employee perceptions of leadership at your agency.

Check the appropriate box; record corresponding score in the right-hand column; total score.

Statement	Strongly Agree (5)	Agree (4)	Maybe/ Don't Know (3)	Disagree (2)	Strongly Disagree (1)	Score
Leaders at my agency:						
Work collaboratively with staff to develop and assess agency vision and goals						
Encourage staff to be creative and excel in their work						
Provide future-oriented direction and limit backward-oriented criticism						
Are optimistic and passionate about their work and the work of the agency						
Are willing to take educated risks						
Are accessible to staff and are "good listeners"						
Openly share power and credit, while taking responsibility for challenges and failures						
Possess ample knowledge and skills in the work of the agency						
Are able to effectively share their knowledge and skills, both internally and externally to the agency						
Have strong interpersonal skills and are "good communicators"						
Exhibit integrity by aligning their words and actions with their inner values						
Exhibit dedication, or the time and energy to get the job done						
Exhibit humility, by treating others as equals and not acting superior						
Exhibit creativity, by thinking of and considering new and different viewpoints						
Work with managers to promote both "doing the right thing" and "doing things right"						
Seek to empower employees and build a strong organizational culture						
Are guided by a well-articulated and communicated leadership philosophy						

Total: _____

Chapter 3

Organizational Culture and Evidence-Based Growth

As discussed in the previous chapter, effective leadership is imperative for organizations that wish to pursue proactive and planned change that is sustainable over time. Leadership alone, however, will not guarantee organizational growth and success. For this type of change to occur, leaders need to understand, assess, and prepare the organizational culture for advancement. The culture of an organization exists at both the formal and informal levels, and as we shall see, the informal aspects of an organization are every bit as important as the formal aspects in determining what gets done and how and why things occur in the ways that they do.

When new employees are hired, they very quickly experience things that tell them about how work gets done within the organization. For example, a new employee may initially be told by a supervisor that a strong culture of teamwork and collaboration exists, but in reality, the new hire sees people working in isolation, ignoring each other, and talking about each other in negative ways. Early impressions that are formed by new employees typically are based on observations about the culture of the organization, and these impressions have a lasting effect on the attitudes and behaviors of new hires.¹

Within virtually all justice system agencies and organizations, formal policies and procedures exist, and staff members must interpret and carry them out in order to fulfill their job responsibilities. How these policies and procedures are interpreted and services are provided, however, are driven greatly by the attitudes and norms embraced by employees. Leaders who desire to advance an agency or introduce significant changes in work requirements and expectations must have a strong understanding of the culture of the organization in order to be successful. This is particularly true when a desired goal for the agency is to become an Evidence-Based Organization. This chapter will focus on why it is important for leaders to develop an understanding of organizational culture and how agencies can pursue evidence-based organizational growth.

Defining Organizational Culture

Organizational culture is the prevailing norms, values, attitudes, assumptions, traditions, customs, and practices of employees that become engrained over time, greatly in response to work conditions, external forces, and particular problems and challenges that arise.² Once these cultural aspects are embraced by a majority of the employees within an organization or unit, they are passed along to new employees, who in turn are expected to think and behave accordingly. In addition, workplace culture shapes the reactions of all employees to issues or changes that arise. If staff members generally believe that policies and procedures tend to make their work more difficult, for example, then any new policy or procedure likely will be treated with suspicion.³ In

contrast, other organizations might respond to the same new policy or procedure with acceptance and even enthusiasm, if the culture supports an interest in change and growth.

Overall, organizational culture dictates such matters as the type of people who are hired; how they are trained; how and which things get done; who exercises authority and decision-making; how staff members view their roles and responsibilities; and what types of behaviors get rewarded (and punished). Furthermore, the strength of informal and often hidden cultural aspects of organizational life can be just as powerful as more formal mechanisms that guide how an organization operates and changes over time. In distinguishing between formal and informal cultural elements of an organization, it might be useful to picture an iceberg, as discussed below.⁴

To begin, only a small portion of an iceberg is visible above the waterline; most of it exists below the water and is unknown to those who do not know the tip is all that is visible. The formal aspects of an organization's culture (e.g., written policies and procedures, training manuals, hiring and retention guidelines, strategic plans, physical facilities, budgets and financial resources) represent the tip of the iceberg. These formal elements are seen and generally known to both internal employees and external stakeholders of an organization. However, these individuals may not consider what lies below the waterline, which includes the informal and human cultural aspects that shape and often control the organization.

Below the water lies the norms, values, attitudes, traditions, stereotypes, language, and interpersonal aspects of the organization that largely shape agency operations and the behavior of employees. To illustrate, work tasks can be accomplished in various ways and still be in compliance with formal policies and procedures.⁵ An offender assessment could take place through a rigid and sterile question and answer session with brief yes or no answers and little interest expressed by the staff member completing the assessment. In the alternative, an assessment could occur with more extensive dialog and active listening expressed by a staff member, with more open-ended questions and probing used to elicit more detailed responses from the offender. Both of these approaches may be in compliance with the same formal policy on offender assessment, but it is typically the informal cultural aspects of an organization that determine how something like an offender assessment is carried out.

Finally, the waterline of an iceberg represents the inter-organizational aspects of an agency, which has to do with how people outside of the organization view it. This would include staff and stakeholders from other agencies, community members, government officials, and individuals associated with current and potential sources of funding. External perceptions of an agency may be based on both the formal and informal aspects of organizational culture, but the key point is that these perceptions are also important to consider and assess when planned change and organizational growth is desired.

The Culture of Evidence-Based Organizations

As discussed in Chapter 1, during the past 15 years there has been increasing emphasis on the use of evidence-based policies, programs, and practices across the criminal and juvenile justice

systems.⁶ Evidence-based strategies utilize sound research and evaluation to analyze problems and needs; consider available and research-supported methods to address them; and establish the expected and actual impact of chosen prevention and intervention efforts. Although many justice system organizations have adopted various evidence-based approaches, most criminal and juvenile justice agencies have not developed the culture necessary to be considered an Evidence-Based Organization (EBO) and to thrive in an evidence-based environment.

What Does an Evidence-Based Organization Look Like?

Becoming an EBO is not as easy as adopting a program or practice that is supported by research and implementing it. Rather, the path from gaining some evidence-based knowledge to program implementation and eventually becoming a full-fledged EBO is long and complex, and presents cycles of understanding, implementation, assessment, and evaluation that repeat themselves and become engrained into the culture of the organization. When this process is adopted and sustained, clients, staff, stakeholders, and community members all benefit. Furthermore, research has begun to identify the characteristics of organizations that have committed to evidence-based policies, programs, and practices and have developed a culture to sustain them over time.⁷

To begin, in EBO's everyone shares a **common vision and mission**. Vision and mission statements are more than things that exist on written pages or hang on the wall. Rather, they are known and understood by employees; are part of their daily work; and reveal the evidence-based orientation and commitment of the agency. Vision and mission statements also are discussed regularly and are used to make decisions. When a new opportunity for work or funding presents itself, for example, an EBO will consider how the opportunity will support the vision and mission of the organization. Through a process of communication and understanding, an agency can weed out possible courses of action that do not fit its stated purpose, functions, or desired future of the organization.

Next, in an EBO, **offenders or clients are held accountable**. They are expected to be active participants in their treatment and work to improve their chances of law-abiding and healthy behaviors. If violations or issues arise, staff members respond with swiftness and certainty, and with actions or sanctions that are appropriate to the negative behavior that occurred. Although accountability is emphasized, staff members also work to reinforce and reward the positive behaviors of offenders or clients, in order to increase the likelihood that positive behaviors will continue and successful outcomes will be achieved.

Third, EBO's use **data to drive decisions, and learning and innovation are welcome**. EBO's collect, analyze, and discuss data in order to make informed decisions, rather than relying on gut feelings, anecdotes, or doing things the way they always have been done. Data and corresponding reports are used as learning tools that are regularly produced, distributed, and discussed. Moreover, EBO's do not simply replicate what has been done within the agency or elsewhere. Instead, data, available research, and ongoing assessment and evaluation are used to develop and refine innovative approaches to behavioral change and improve community safety. Expected outcomes

are specified, measured, and reviewed, and employees are encouraged to be both informed and creative in working with their clients.

Fourth, EBO's emphasize **internal and external communication and collaboration**. Historically, criminal and juvenile justice system agencies have not operated in a cooperative manner, and many organizations have not experienced open communication and teamwork. In EBO's, staff members are encouraged to share their experiences and information with others, and leaders promote and engage in active communication both within and outside of the agency. Collaboration is sought in order to integrate policies, programs, and practices and achieve the greatest public safety and security. This requires a great deal of talking, finding common ground, and group decision-making, both within the organization and across the system in which it operates.

Finally, in an EBO, **resources are used efficiently and effectively**. Tough economic times, increasing costs, and declining resources have combined to create an environment where policy-makers, funding providers, and the general public are demanding accountability and documented results from justice system agencies, and virtually all organizations are being asked "to do more with less." When scarce dollars are directed toward proven programs and practices, available staff are trained and assessed in an evidence-based manner, and services and innovations are studied and refined based on evaluation findings, employees, stakeholders, and taxpayers can be much more confident that maximum benefits are being achieved from the funds that are being invested in the organization, system, and community.

Pursuing Evidence-Based Growth

There is no single or guaranteed way to become an EBO, or an organization that consistently exhibits the characteristics discussed above and is able to effectively implement and sustain evidence-based policies, programs, and practices. Administrators of justice system agencies may expect that adopting specific evidence-based approaches will improve the culture of the agency, along with generating more successful outcomes for offenders and clients. Research has shown, however, that this is often not the case. Rather, it is organizations that have an established level of efficiency and effectiveness that typically experience the greatest benefits in organizational performance as a result of evidence-based methods.⁸

Within the criminal and juvenile justice systems, services are provided by agencies and organizations that vary in their efficiency and effectiveness. In order to adopt, implement, and sustain evidence-based policies, programs, and practices, providing training to staff on treatment modalities alone most often will be insufficient. Instead, effective services require effective organizations, which tend to share some common traits.⁹

Overall, **effective organizations** are those that have committed staff with low turnover. Morale and job satisfaction generally are high. In addition, these organizations support and promote internal and external collaborations and relationships. These relationships are formed between and among staff members, other service providers, stakeholders, and community members. Finally, in effective organizations, serving clients is given high priority. In other words, the organization does

its best to ensure the availability of services, responsiveness to offender or client needs, and a continuity of care and supervision designed to produce successful outcomes.

Importantly, effective organizations do not happen by chance. Many factors, such as federal and state regulations, funding, and resource limitations, influence organizational effectiveness. These types of factors, however, fail to explain why some organizations are more successful than others that operate in the same policy, financial, and service environments.¹⁰ These factors also come up short in explaining why programs and services implemented by service providers are often less effective than the same programs and services that are implemented and researched through controlled clinical trials and experiments.

The Importance of Social Context

Research indicates that agencies and organizations establish a social context for the way they operate, and this context significantly affects the quality and outcomes of their programs and services in a variety of ways.¹¹ For example, an organization's social context affects whether evidence-based policies, programs, and practices are adopted, how they are implemented, and whether they are sustained and are effective. In short, effective organizations have social contexts that support their programs and services in a positive manner, and two major aspects of the social context to consider are organizational culture and climate.

As discussed earlier in this chapter, organizational culture refers to shared norms, values, attitudes, assumptions, traditions, customs, and practices of employees that drive behavior and establish the way things get done within an agency. Although organizational climate is sometimes used interchangeably with organizational culture, recent literature proposes that climate has more to do with the way people perceive their work environment, including their perceptions about how their organization affects them.¹² There is growing evidence that organizational culture and climate both affect the effectiveness of organizations and their ability to advance and grow, and there also is evidence that the culture and climate of organizations can be improved through enhanced leadership, collaboration, and planning efforts.

In general, organizational culture provides a social context that invites or rejects innovation; complements or inhibits productive activities that are required for attaining organizational and individual success; and promotes or limits adherence to methods associated with the organization's core technology.¹³ Organizations that are effective in establishing and maintaining evidence-based approaches tend to stand out in three areas of organizational culture: they are high in proficiency, low in rigidity, and low in resistance.¹⁴ **Proficiency** means that the agency expects its staff members to be competent, utilize up-to-date knowledge, and give the well-being of clients highest priority. Concerning **rigidity**, effective organizations provide employees with flexibility in their work. Although policies and procedures are in place, staff members are not required to closely follow extensive bureaucratic rules and regulations. Finally, agencies that are low in **resistance** hire and retain staff members that are open to change and new ways of providing services.

Organizational climate exists at both an individual's psychological level of perception and functioning, as well as at an organizational level when perceptions are shared.¹⁵ At the individual level, it is the employee's perception of the psychological impact of the work environment on his or her own well-being, while at the organizational level, it represents individuals' shared perceptions of how their work environment affects them as individuals. Similar to organizational culture, effective organizations have been found to be characterized by three climate traits.¹⁶

First, in organizations that are able to adopt and sustain evidence-based strategies, **engagement** is high. Staff members experience a sense of accomplishment, involvement, and concern in working with clients, and they believe they are able to accomplish many worthwhile things through their work. Second, **functionality** also is high. This means that staff members perceive that they receive the proper cooperation, support, and recognition needed to do their jobs, and they have a clear understanding of how they fit in and can work successfully within the organization. Third, **stress** is low. Although stress is common in most justice system agencies and organizations, low stress means that employees do not feel emotionally exhausted or overloaded in their work, and they are able to get necessary things done.

Overall, organizational culture and climate have been linked to such things as staff morale and turnover, job satisfaction and commitment, work attitudes, service quality, service outcomes, and the ability to implement and sustain evidence-based policies, programs, and practices.¹⁷ Justice system organizations differ substantially in their social contexts (i.e., culture and climate), and these differences greatly explain why, among other things, some agencies eventually are able to become EBO's and many others are not. Leaders who wish to establish an evidence-based working environment must first understand the importance of organizational culture and climate, and then work to prepare and assess the organization for evidence-based organizational growth.

Preparing the Organization for Change

Transforming a justice system agency into an EBO requires strong leadership, as discussed in Chapter 2. In addition, leaders of the agency must work to understand the culture and climate of the organization, and typically guide or facilitate efforts toward improving the culture and climate while supporting the implementation of evidence-based policies, programs, and practices. Preparing the organization for change is an important step in the process for leaders to address.

To begin, leaders need to recognize that **significant change does not happen overnight**.¹⁸ In many justice system agencies and organizations, employees have seen various policies, programs, and practices come and go, perhaps with corresponding changes in leadership. Staff members may be resistant to change, and based on the organizational culture and climate, they may not have norms, values, attitudes, and beliefs that support evidence-based approaches. Leaders, then, must recognize that change can be slow and may take consistent and continuous effort over a substantial period of time.

Next, **leaders are integral in getting change started**, and they need to be prepared to both be a champion for evidence-based strategies and model the way for others to follow.¹⁹ Open

communication, discussion, and debate are imperative, along with providing support and positive reinforcement when employees eventually take action. At the same time, leaders must recruit a working group or team that will be committed to the process of becoming an EBO. One or two people will not be enough; rather, a number of representatives should be included from across the agency. This team initially will participate in discussing opportunities and barriers to becoming an EBO, brainstorm about subsequent steps, and begin the process of education and communication within and outside the organization.

Third, leaders and their collaborative teams should **review their existing policies, programs, and practices; learn about evidence-based policies, programs, and practices; and discuss similarities and differences in what they find.**²⁰ Are current strategies, methods, and services in-line with research findings on “what works?” To answer this question, group members need a strong understanding of where the agency stands and a sound knowledge of the relevant evidence-based literature. In addition to reading articles and other available documents, information and understanding can be gained through attending conferences and training, as well as talking to colleagues in other jurisdictions and making site visits to locations that have had success with evidence-based approaches.

Finally, leaders and team members must **share information and talk about becoming an EBO with the larger organization.**²¹ This is crucial for building support and reducing resistance. Opportunities should be created for employees to hear about research findings, examine relative data, and eventually contribute to strategies that will be critical to becoming an EBO. Information sharing and ongoing discussion will be necessary for securing internal consensus and cooperation, and involving as many individuals as possible provides the opportunity to identify issues, explore possibilities, and develop ownership of future products and initiatives. Furthermore, hearing about evidence-based approaches once or twice is not enough. After a basic introduction period, such practices as article and newsletter sharing, discussion groups at staff meetings, internal training, and holding conferences will encourage learning and send a message that becoming and maintaining an EBO is a high priority.

Organizational Assessment

In addition to the preparation activities discussed above, **engaging in organizational assessment is a key early step in the process of becoming an EBO.** In order to develop a plan for achieving desired change, a full picture must be attained of where the organization currently stands.²² A comprehensive assessment combines professional experience, objective data, and input from employees, clients, and stakeholders to describe the current organization, identify strengths and weaknesses, and assess readiness to implement desired change. In many ways, organizational assessment is similar to getting an initial physical, identifying health characteristics, issues, and needs, working to resolve problems and improve overall health, and monitoring changes through annual appointments.

Organizational assessments can be conducted internally, by capable staff members, or by external researchers or consultants with expertise in this area. The decision about who will conduct

the assessment should be based on such factors as the internal expertise available, complexity of the assessment(s) desired, levels of anonymity and confidentiality ensured, and data collection and statistical analyses to be performed. Although an internal assessment may provide cost benefits and can advance knowledge about the organization, an external assessment generally will produce a more objective and comprehensive view of the agency and will lessen concerns about anonymity and confidentiality. Moreover, developing a working relationship with an external researcher or consultant can assist with growing an EBO that embraces the use of data and evaluation to guide its decision making and achieve its goals and objectives. Again, Joyfields Institute for Professional Development (<http://www.joyfields.org>) is an example of an agency that provides assessment services.

Both formal and informal procedures and information typically are part of a comprehensive organizational assessment. Formal assessment methods commonly include surveys and a review and analysis of organizational data, while informal techniques often include interviews and focus groups with agency employees and stakeholders. Information obtained from all of these procedures can be valuable in assessing the current state of the organization and readiness for change. In order to successfully begin and complete the assessment process, however, six specific steps are essential:²³

1. **Decide what you want to know:** At the outset, engaging in organizational assessment requires a commitment to collect information from all agency employees regarding such things as their attitudes, knowledge, and beliefs about the organization; use and support of evidence-based approaches; and collaboration within the organization and with external stakeholders and partner agencies. Initially, leaders and collaborative teams (perhaps assisted by a consultant) must consider what topic areas will be considered and what types of questions will be asked of employees, and priority questions must be clarified through a review and discussion process.
2. **Determine the right assessment methods and tools:** Once overall questions have been identified and clarified, consideration must be given to how information (data) is going to be collected. This commonly would include the formal (surveys and reviews of agency data) and informal (interviews and focus groups) methods mentioned above. In general, multiple approaches are best, in order to encourage greater participation and more thorough answers to questions. For example, some employees may prefer the anonymity and individual ability to complete a survey, while others may be more comfortable with the informality and interactive nature of a focus group.

Depending on the methods employed, appropriate assessment tools or instruments then must be identified to actually collect the data. Many tools are available through the academic literature, professional organizations, the internet, or research consultants; consideration should be given to tools that will answer previously identified questions and are supported by research. One example of this type of tool is the Evidence-Based Practice Skills Assessment for Criminal Justice Organizations, which is designed to gauge the extent to which agency staff members demonstrate the skills necessary to successfully

implement evidence-based practices.²⁴ Many other instruments exist, however, and are tailored to various areas of assessment interest.

3. **Develop data collection methods and timelines:** After assessment methods and tools have been determined, a plan should be developed for collecting the data and eventually sharing the results with the organization. For example, surveys could be administered to all members of an organization, or a sample of staff members could be selected. Focus groups could be open to volunteers, or participants could be selected based on specified criteria. In addition, decisions must be made about such things as whether to administer an online survey or hardcopy questionnaire, and who will record interview or focus group data. Again, an external researcher or consultant can be very useful in assisting with this process.

Once data collection methods have been established, a timeline for data collection should be specified. Consideration should be given to the length and depth of the assessment, the workload of the agency, and the level of investment staff members have in the assessment process. In addition, written and oral communication must be provided to assessment participants about the nature of the assessment, how and why data will be collected, assurances of anonymity and confidentiality, and how the results will be used and shared.

4. **Prepare the data for analysis:** After data are collected, it will need to be prepared or coded for quantitative or qualitative analysis. Various types of generic or specialized software packages are available to assist with this step. Depending on the analysis to be performed and the ability of agency personnel to work with data, decisions must be made about who will prepare and eventually analyze the data. If the organization does not have research staff available, this is another step where an external consultant will be helpful.
5. **Break down the results:** Once data are prepared and coded for analysis, decisions must be made about how to produce results and present findings in a way that is useful to the organization. This will determine the level of detail in the analysis and how the findings are eventually presented to the organization. For example, response frequencies or percentages typically are calculated for questions that are asked on surveys. Comparisons also can be made across different questions or across various employee groups, such as males versus females or management versus line staff. Are supervisors more supportive of evidence-based practices than line staff? Do more experienced staff members view the organization in a more favorable way than less experience staff members? Do male staff members perceive more or less collaboration than female staff members? These are just a few of the types of questions that could be answered through the assessment process.
6. **Summarize results with presentation(s):** Finally, once data have been analyzed and results have been generated, findings should be presented to the organization in ways that are easy to review and understand. This could include both written documents and verbal presentation and discussion of the findings. In general, tables, figures, and graphs are

very useful for summarizing results and providing points for presentation and discussion. The findings should be disseminated throughout the organization, and in some cases, to external stakeholders as well. Communication about assessment results is important in further establishing the legitimacy of the process and setting the stage for subsequent topics presented in this book (e.g., enhanced collaboration, strategic and action planning, performance measurement and program evaluation).

Levels and Elements of Organizational Change

Effective leadership, understanding of organizational culture, preparing the organization for change, and thorough organizational assessment all set the stage for proactive and planned change, including a desired move toward becoming an EBO. It should be recognized, however, that change affects people in various ways.²⁵ For some, change creates opportunities and challenges that renew energy, generate insights, and promote reflection and self-awareness. For others, change can be threatening and fear-arousing, and may appear to negate the value of past accomplishments. Leaders and collaborative team members involved in any major change process should expect different personal reactions and realize that working to cultivate a sense of optimism and shared responsibility is part of the “dance of change.”²⁶

It pursuing planned change, including evidence-based organizational growth, it is useful for organizations to think about the kinds of change they need and are willing to make. This can be framed in terms of three levels of change:²⁷

- **Developmental change:** a small level of change that typically is not overly difficult and does not get to the heart of an organization. Sometimes called *transactional* change, this level of change is motivated by a desire to improve some aspect of work and often is focused on the acquisition of new skills or knowledge. An example would be staff skill development, such as improved interviewing techniques, that is attained through attending training.
- **Transitional change:** a medium level of change that often occurs because a problem has been identified that needs to be fixed. As with developmental change, transitional change does not require employees to change their attitudes, values, or beliefs about their work or the organization in which they operate. Instead, it most often involves some change in work structure, practices, or systems. Examples could be changes in work hours, overtime procedures, office filing systems, staff meetings, or hiring criteria.
- **Transformational change:** the deepest level of change that commonly requires a conscious, collaborative, and planned process. As compared to developmental and transitional change, transformational change involves more time, effort, and, in some cases, pain. This level of change, however, also provides the potential for bringing about deeper and more profound shifts in organizational culture and climate. Becoming an EBO would be a prime example of transformational change.

All three types of change discussed above may bring beneficial results, but this monograph is based on the belief many modern justice system leaders would like to pursue transformational change and could use some guidance in how to do it. Moreover, through transformational change, both transitional and developmental change also can occur. The key point here is for organizational leaders and collaborative teams to think about the kind of change that is desired and ensure that the necessary tools, skills, and resources are available for carrying it out.

Finally, it should be acknowledged that as hard as it might be for some people to change, it is even more difficult for entire organizations. For example, while various individuals may have different opinions and attitudes toward adopting evidence-based approaches, developing and maintaining an EBO is a more difficult task than getting an individual employee on board with a particular evidence-based practice. On the other hand, organizational change is inevitable, whether it is planned, unplanned, or somewhere in the middle. Research shows that conscious and successful organizational change, through a planned and proactive process, requires certain essential elements:²⁹

- ***Dedicated leadership and commitment throughout the organization:*** This is particularly important when there is a desire for transformational change, such as becoming an EBO. Transformational change first requires the kind of leadership discussed in Chapter 2, and people in leadership positions must model the attitudes and behaviors that will make the change effort successful. Communication and collaboration are equally important in building support and commitment throughout the organization, and influential people (both potential proponents and opponents of change) must be included in the change process for large scale commitment to be achieved.
- ***Coaching and mentoring:*** Skilled leaders are able to provide coaching and mentoring, either directly (by themselves) or indirectly (by ensuring that it takes place within the organization). Many employees will require coaching and mentoring throughout a major change process, and they will expect leaders to be focused on meeting staff needs during this time. If leaders fail in this capacity, both their credibility and staff morale and commitment will suffer, diminishing the chances of success for the change effort. Employees also want to feel safe in their work and know they will be respected and valued for what they know and what they have accomplished. Proper coaching and mentoring can help build trust in the leadership and a positive organizational environment.
- ***Individual understanding of “what’s in it for me?”:*** Change will occur more readily when employees and stakeholders understand the benefits and relevance of the change, both to the organization and themselves. Providing incentives to encourage changes in attitudes and behaviors can be very effective in building support and commitment. Although formal recognition and rewards are prime examples in this area, many individuals can be motivated simply by the potential for challenging and interesting work, as well as opportunities for career growth. Evidence-based approaches, for

example, can provide these latter incentives if proper communication about their benefits occurs.

- **Conflict resolution and caution in labeling people “resistant”:** Change often involves conflict that must be identified and resolved by leaders in a skilled and timely manner. Conflict is not always a bad thing, however, as it can produce new ideas and reveal issues that need to be addressed. This is also why simply labeling people as “resistant” is not useful; there may be various reasons for their resistance and important issues to resolve before change can be achieved. On the other hand, it may not be possible to bring everyone along through the change effort. If appropriate leadership, commitment, communication, coaching, mentoring, and conflict resolution are not effective, then those who cannot be brought on board might have to consider other alternatives outside of the organization.
- **Prioritization and measuring progress and outcomes:** Work activities and time involved should reflect the most important priorities of an organization. Effective change generally requires prioritization of activities and services that align with the broader goals and direction of the agency and the elimination or reduction of work that holds little or no priority. When priorities are identified and duties are readjusted or properly aligned with organizational goals, plans can be made for measuring progress and important outcomes of the change effort. This requires thinking about what success will look like, how it will be measured, and how the results will be utilized. These topics will be explored in much more detail in Section III of this book.
- **Hiring, training, and retaining staff:** During the process of proactive and sustained change, staff typically will need to be hired and trained, and retention and promotional decisions will need to be made. Hiring qualifications and employment decisions should be based on the desired future of the agency, and training is essential for staff to develop and maintain the necessary skills and abilities to successfully complete their work and enhance the culture of the organization. If an EBO is desired, for example, then the expectation and use of evidence-based policies, programs, and practices should be built into the hiring process, training schedule, employee evaluation procedures, and retention and promotional decisions. This approach not only assists the agency with identifying and developing those individuals who are capable of meeting the demands of their positions, but also contributes to enhancing and sustaining the culture of the organization.

Summary and Conclusions

Leaders who desire to advance an organization must have a strong understanding of organizational culture, how to prepare for change, how to assess the organization, and the requirements for effective change to occur. This is particularly true if transformational change is to occur, such as becoming an Evidence-Based Organization. To assist with this process, this chapter

covered such topics as the definition organizational culture; cultural aspects of Evidence-Based Organizations; the process of pursuing evidence-based growth; engaging in organizational assessment; and levels and elements of organizational change.

Enhancing the culture of an organization and pursuing evidence-based growth takes time, effort, and commitment. Even under the best of circumstances, people and organizations change and grow at different rates. Patience is essential during transformational change, and leaders need to allow time for followers to build understanding and commitment to the process. As with building leadership throughout an organization, building an Evidence-Based Organization requires resources and opportunities for involvement; expectations to be set and communicated; and successes to be recognized and celebrated. I hope you find the information and exercises contained in this book useful as you and your organization pursue evidence-based growth.

Discussion Questions

1. How is your organization perceived internally (by employees) and externally (by other agencies and the community)? Are the formal and informal cultures of your organization consistent with each other? Why or why not?

2. Is your agency perceived internally and externally as an Evidence-Based Organization? Why or why not?

3. How “effective” is your organization, in terms of its proficiency, rigidity, and resistance? How do staff at your agency rate on such things as engagement, functionality, and stress?

5. Complete the organizational assessment checklist on the following page. What do your responses indicate about the organizational culture of your agency? Is your agency in need of further assessment and positive change? This exercise also can be used to further assess employee perceptions of leadership at your agency.

Check the appropriate box; record corresponding score in the right-hand column; total score.

Statement	Strongly Agree (5)	Agree (4)	Maybe/ Don't Know (3)	Disagree (2)	Strongly Disagree (1)	Score
At my agency:						
We have a great staff and strong programs, and want them to be better						
Staff morale is high						
Leaders and managers are thinking about both the long-term and short-term future						
The quality of work-life is high for staff						
Staff are treated fairly, justly, and with respect						
Staff clearly understand their roles and responsibilities						
Staff feel comfortable speaking out, offering new ideas, and being creative in their work						
Leaders, managers, and staff share common values and expectations about their work						
Negative attitudes and inappropriate stereotypes and jokes are not tolerated						
Individuals are hired and promoted who are committed to helping clients achieve behavioral success						
Training is provided that facilitates the development of skills necessary to assist clients with achieving behavioral success						
Incentives are offered to recognize and reward staff members who support client success						
Formal policies and procedures are consistent with informal human aspects and interactions						
Internal perceptions about the agency are consistent with external community perceptions						
External organizations and community members have a positive view of my agency.						
External organizations and community members perceive my agency as being committed to offender/client success						

Total: _____

Notes

Chapter 1

1. Mears (2010); Sherman, Farrington, Welsh, & MacKenzie (2002); Sherman et al. (1997); Welsh & Harris (2008).
2. Pew Center on the States (2011).
3. Carter, Gibel, Giguere, & Stroker (2007); Glaze (2011).
4. Snyder & Sickmund (2006).
5. Glaze (2011).
6. Carter et al. (2007).
7. Knoll & Sickmund (2011).
8. Langan & Levin (2002); Pew Center on the States (2011).
9. Snyder & Sickmund (2006).
10. Mears (2010).
11. Mears (2010); Sherman et al. (2002); Sherman et al. (1997); Welsh & Harris (2008).
12. Carter et al. (2007); Mears (2010); Snyder & Sickmund (2006).
13. Glaze (2011).
14. Carter et al. (2007).
15. Mears (2010, p. 17).
16. Carter et al. (2007).
17. Mears (2010); Pew Center on the States (2011).
18. Carter et al. (2007).
19. Welsh & Harris (2008, p. 8).
20. Mears (2010); Mears & Butts (2008); Pew Center on the States (2011); Welsh & Harris (2008).
21. Bazemore (2006); Boone & Fulton (1996); Garcia (2004); Geerken (2008); Harp, Bell, Bazemore, & Thomas (2006); Heck (2006); Mears & Butts (2008); Thomas (2006, 2008).
22. Harp et al. (2006, p.3).

23. Bazemore (2006); Boone & Fulton (1996); Garcia (2004); Geerken (2008); Harp et al. (2006); Heck (2006); Mears & Butts (2008); Thomas (2006, 2008).
24. Welsh & Harris (2008).
25. Welsh & Harris (2008).
26. Carter (2011); Domurad & Carey (2009); Farrington & Welsh (2001); Guevara, Loeffler-Cobia, Rhyne, & Sachwald (2010); Lipsey, Howell, Kelly, Chapman, & Carver (2010); Mears (2010); Sherman et al. (1997, 2002); Welsh & Harris (2008).
27. Domurad & Carey (2009, p. 5).
28. Welsh & Harris (2008, p. 5).
29. Welsh & Harris (2008, p. 6).
30. Sherman et al. (1997).
31. Sherman et al. (1997, p. 10-1).
32. Farrington & Welsh (2001); Lipsey et al. (2010); Mears (2010); Sherman et al. (2002); Welsh & Harris (2008).
33. Carter (2011); Domurad & Carey (2009); Guevara et al. (2010); Lipsey et al. (2010).
34. Christensen (2008); Fahey (2008); Guevara & Solomon (2009); Scott (2008); Serin (2005); VanNostrand (2007); Warren (2007); Weibrecht (2008).
35. Mears (2010); Welsh & Harris (2008).
36. Farrington & Welsh (2001); Lipsey et al. (2010); Sherman et al. (2002).

Chapter 2

1. Carter et al. (2007); Welsh & Harris (2008).
2. Cronin, Hiller, & Smith (2006).
3. Carter et al. (2007).
4. Sylvia (2010, p. 5).
5. House, Hanges, Javidan, Dorfman, & Gupta (2004); Kouzes & Posner (2002).
6. Carter et al. (2007).
7. Bennis (2003).
8. Sylvia (2010).
9. Bennis (2003).

10. Sylvia (2010).
11. Bennis (2003).
12. Carter et al. (2007).
13. Bennis (2003).
14. Carter et al. (2007).
15. Bennis (2003); Carter (2006); Carter et al. (2007).
16. Bennis (2003).
17. Carter (2006); Carter et al. (2007).
18. Sylvia (2010).
19. Carter (2006).
20. Sylvia (2010).
21. Carter (2006); Carter et al. (2007); Sylvia (2010).
22. Carter (2006); Carter et al. (2007).
23. Sylvia (2010).
24. Carter (2006); Carter et al. (2007).
25. Sylvia (2010).
26. Sylvia (2010).
27. Carter et al. (2007).
28. Bennis (2003); Drucker (1999).
29. Bennis (1997).
30. Drath (2001); Cronin et al. (2006).
31. Cronin et al. (2006).
32. Sylvia (2010).
33. Bennis (2003).
34. Carter (2006); Carter et al. (2007); Sylvia (2010).
35. Cronin et al. (2006).

Chapter 3

1. Carter et al. (2007)
2. Schein (1992); Kania & Davis (2012).
3. Carter et al. (2007).
4. Mellow, Christensen, Warwick, & Willison (2010).
5. Carter et al. (2007).
6. Carter (2011); Domurad & Carey (2009); Farrington & Welsh (2001); Guevara et al. (2010); Lipsey et al. (2010); Mears (2010); Sherman et al. (1997, 2002); Welsh & Harris (2008).
7. Guevara et al. (2010).
8. Aarons, Hurlburt, & Horwitz (2011); Collins-Camargo & Royse (2010); Hovmand & Gillespie (2008).
9. Glisson (2007); Glisson, Dukes, & Green (2006); Glisson & Green (2011); Hemmelgarn, Glisson, & James (2006).
10. Glisson (2007).
11. Hemmelgarn et al. (2006).
12. Glisson (2007); Glisson et al. (2006); Glisson & Green (2011); Hemmelgarn et al. (2006).
13. Hemmelgarn et al. (2006).
14. Glisson (2007).
15. Glisson et al. (2006).
16. Glisson (2007).
17. Aarons et al. (2011); Collins-Camargo & Royse (2010); Glisson (2007); Glisson et al. (2006); Glisson & Green (2011); Hemmelgarn et al. (2006); Hovmand & Gillespie (2008).
18. Kempker (2010).
19. Guevara et al. (2010).
20. Carter et al. (2007); Guevara et al. (2010); Kempker (2010).
21. Carter et al. (2007); Guevara et al. (2010); Kempker (2010).
22. Flaherty-Zonis (2007); Guevara et al. (2010).
23. Guevara et al. (2010).

24. Ameen & Loeffler-Cobia (2010).
25. Flaherty-Zonis (2007).
26. Senge et al. (1999).
27. Anderson & Anderson Ackerman (2001); Flaherty-Zonis (2007).
28. Flaherty-Zonis (2007, p. 41).
29. Carter et al. (2007); Flaherty-Zonis (2007); Guevara et al., (2010); Kempker (2010).

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