RESOURCE GUIDE

for Newly Appointed Wardens

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Foreword

Wardens are the Chief Executive Officers of their institution. As leaders, they are accountable for the full range of executive responsibilities to include institutional operations, guiding staff, creating policies, providing services for inmates, and interfacing with the central or regional office and the local community. Although not the sole source of administering operational tasks, wardens are held accountable for the success or failure of an institution by the general public, the media, and the legislature. To say the least, wardens have their work cut out for them.

Assuming new responsibilities for the first time can be a daunting task. In preparing this Resource Guide for Newly Appointed Wardens, it is our hope that the information provided here will serve as a stepping stone to enhance the leadership skills and effectiveness of today’s wardens.

Morris L. Thigpen
Director
National Institute of Corrections
The Resource Guide for Newly Appointed Wardens is the result of the knowledge, experiences, and perceptions contributed by a myriad of corrections' professionals working in today's environment. Shortly after we received our cooperative agreement to produce this manual, NIC funded a project with the Arizona Department of Corrections and Arizona State University to develop a curriculum for the new wardens' training program. By working collaboratively with the Arizona Department of Corrections, we were able to produce a more relevant document with a direct application to the newly developed curriculum.

The commitment of the National Institute of Corrections (NIC) to improve the professional development of wardens, superintendents, directors of jails, prisons, half-way houses, and other corrections institutions, inspired this work. The support of the state directors of corrections, and their staff, was also instrumental in completing this resource guide.

Special thanks are extended to the NIC staff members for their support, encouragement, and guidance: Dick Franklin (retired), BeLinda Watson-Barney, Project Manager, and Susan Hunter, Chief, Prisons Division. Additionally, special thanks to Larry Meachum, Director, Corrections Program Office, Office of Justice Programs, for his willingness to provide suggestions along the way, and review the results.

Thanks are also extended to the Arizona Department of Corrections and Arizona State University for their collaborative effort and sharing their information: Meg Savage, Assistant Director, Carl Nink (retired), Mary O'Connor, Eva Reynolds Martony, and Sandra Walker of the Training Division. At Arizona State University, thanks to Peggy O'Sullivan-Kachel and Richard Bowers.

Special appreciation is extended to the wardens who participated in the focus groups, as respondents to the surveys, as participants in the telephone survey, and/or as reviewers of the draft document.

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Additionally, the assistance we received from Sharon English was invaluable to the production of the section on Victims and Victims' Services. Her dedication to crime victims and their survivors serves as an inspiration for all corrections professionals.

And finally, we wish to acknowledge the consultants who worked with the authors in all phases of this project: David Crist, Warden, Minnesota Department of Corrections, Stillwater, Minnesota; Dr. Jeanne Stinchcomb, Florida Atlantic University, Davie, Florida; and Charles Jakway, Fort Lauderdale, Florida. Thanks also to JoAnne Boggus for editing this guide.

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The explosive growth of the incarcerated population has dramatically increased the number of administrators required to operate our nation’s prisons, jails, and community correction facilities. The warden, superintendent, or director is expected to manage these institutions in a manner to ensure public safety, the safety of the facility’s staff and offenders, and effectively use the taxpayer’s dollar. A warden opens new facilities, and manages other facilities which may be older, critically overcrowded, lacking in preventive maintenance, and understaffed. Many new wardens do not have the depth of correctional leadership experience as did their predecessors.

Today’s wardens are the Chief Executive Officers (CEOs) of multi-million dollar enterprises. Their job is more difficult than most private sector CEOs. The corrections field, as a profession, is little understood by law makers and the public. Salaries are low, stress is high, and the consequences of failure are dramatic and potentially catastrophic. A CEOs toughest customers are the offenders incarcerated there, and the facility’s staff.

Purpose

The purposes of this guide is to assist you with developing a personal learning plan. It is designed to put forth the knowledge and wisdom of experienced leaders working in the corrections’ field to enhance your professional development. The journey may at times be a roller-coaster, but the rewards of having a successful career are great.

General Terminology

In this Resource Guide, the term warden is used to identify individuals with the authority and responsibility to operate a prison, jail, or community correctional facilities. State and local governments may have numerous titles for these positions. The term warden is not meant to be exclusionary. It is used as a term to include all professionals working as facility administrators.

The term institution refers to prisons, jails, community correctional facilities, halfway houses, juvenile detention homes, or any other facility in which offenders are incarcerated or under community supervision. This Guide was initially developed to address the specific needs of individuals promoted to a key leadership position in a state prison. However, the information contained in this Guide is relevant to corrections’ leaders working at all levels of government corrections and community-based facilities.
Topics and Chapter Overviews

As subject matter experts, the wardens we surveyed identified critical topics that they felt needed the most attention. In reflecting on their careers, they identified six key areas—culture, internal environment, external environment, self management, the first 90 days, and preparing to be a warden. Appendix B contains the methodology and summary results used in developing this Guide.

Culture

It is critical for a new warden to understand and appreciate the importance of the institution's culture. The culture found within an institution or organization is formed by the institution’s history, staff, inmates, community, and past leadership.

Internal Environment

Leadership skills and knowledge create the institution’s internal environment. These include strategic planning, fiscal decision-making, human resource management, and a leader’s relationships with staff, volunteers, and unions.

External Environment

The importance of working effectively with the institution’s external environment, the media, and the community to make positive changes are an important part of the new warden’s world. Also included in the external environment are state and local governments and other stakeholders, including crime victims. Experienced wardens emphasized the need to build a positive rapport with the central or regional office as vital to a new warden’s success.

Self Management

The need for wardens to maintain balance in their lives as they strive for leadership success was emphasized by their experienced peers. New wardens need to recognize the power of their position, how that power impacts the life of the institution, and the lives of their family members.

The First 90 Days - Putting it All Together

Advice from experienced wardens on how to approach the important and vital first three months on the job is included in this Guide.
Preparing to be a Warden

What do both experienced and new wardens wish they had done better or differently? These are insights that will help you to prepare for this important job. Information and perspective are delineated for those who may consider becoming a warden. New wardens, and those who aspire to this career, will find a list of suggested readings in the areas of corrections and general leadership in Appendix A. One strategy to improve professionalism and prepare for future promotion is to develop a personal learning plan. The suggested readings can be an integral part of that personal learning plan, along with the wisdom of some of the leaders in the field of corrections.

Format

No single document or training program can fully prepare a manager to become a warden. The intent of this Guide is to highlight the critical issues identified by wardens and directors. Each section in this Guide includes:

• An introduction to the topic;
• A checklist that previews the critical issues and provides a focus for the reader;
• Discussion of the issues including recommendations;
• Observations from wardens; and
• Resources that can be used by the reader to find more information.

With few exceptions, the gray boxes located in the margins of this document contain the insights and expressions of the many directors, deputy directors, and wardens surveyed for this project. For the purpose of this document, they have been quoted anonymously.

Inmates/Offenders

The experts we interviewed believe that sound inmate management skills are a critical subject matter. However, in developing this Guide the assumption was made that a new warden has already demonstrated proficiency in this area. The survey of wardens promoted between 1996 and 2000 confirmed this. They indicated that they were prepared to handle the mechanics of security operations and inmate management before they became new wardens. Therefore, inmate management issues were not included in this Guide.

The information included on leadership and communication relates to the offender population, as well as, the staff and the community. New wardens seeking information about inmate management issues should refer to the NIC web site www.nicic.org for additional resources.
In the Know

Each organization or agency has its own rules and regulations regarding the topics discussed in this Resource Guide. As a new warden, you need to know the directives and guidelines applicable to your institution. Your role in any specific area may be limited, e.g., in media or legislative relations. However, it is in your best interest to be equipped to evaluate the significance of all areas in relation to your career.

Resources


What Does the Boss Want?

Overview

In a survey of 31 new wardens, 28 (90%) reported that they received no special training or orientation in their new warden job responsibilities prior to, or just after they received the assignment. Three (10%) reported that they received orientation to the department as they started their new jobs. Sixteen (52%) reported no formal mentoring program was available as they came up through the ranks; three (10%) reported they had participated in a formal mentoring program, and 12 (39%) reported they received informal mentoring to help them with their job responsibilities.

Twelve state and deputy directors lent their observations on new wardens. What makes some new wardens successful while others fail? Additionally, 40 wardens who successfully completed the National Institute of Corrections’ Executive Training Program for Newly Appointed Wardens, contributed their insights on the challenges a new warden faces, the advice they received as wardens, and given the opportunity, the advice they would give to a new warden today.

In spite of the overwhelming and critical responsibilities facing a new warden, few are fully prepared to manage the wide range of new responsibilities. While most new wardens felt competent in correctional operations and management, few reported feeling prepared for their new role as a leader even though state directors cited management programs within their agencies as training for new wardens. Among the issues reported as most troubling were budget and fiscal affairs, institutional culture, human resource management, and labor relations.

Preparing New Wardens

Experienced wardens reported that no matter how prepared you think you are, the job is full of surprises and new challenges. The preparation new wardens receive for their awesome responsibilities is at best, erratic and random. Some states have programs to train and promote corrections leaders, beginning with staff members who are promoted to manager. Other states rely on the promotion process to give managers insight into what they need to do to become effective leaders. With new correctional facilities opening each month, and with the retirement of baby boomers, many states face a crisis in correctional leadership. While talented staff work in the institutions, state directors observed that they are often promoted too quickly, and are poorly prepared to make a successful jump from manager to leader.
For those who are able to attend, state directors cited the New Wardens Training Program offered by the National Institute of Corrections (NIC) as the avenue by which most of their staff receive training to become wardens. However, some new wardens never attend NIC’s training.

NIC offers the program twice a year with 24 seats available per session. Therefore, the timing leaves some wardens with well over a year in their new position before they are able to attend. A summary of the responses from directors and deputy directors can be found in Appendix B.

**Challenges for the New Millennium**

When the state directors were asked what they consider to be the critical challenges facing a new warden, their responses fell in 5 main areas - culture, leadership, skills, inmates, and general concerns. A brief outline of these challenges within these 5 key areas follows.

1. **Culture**

   Separating from old friends can be difficult. Avoid being captured by the status quo, learn the history of the institution, and an understanding of the organization.

2. **Leadership**

   Earn the loyalty, respect, and support of the staff; develop sound political and community relations, and where applicable, shift public opinion on the role of corrections to a more positive one. Learn to make difficult decisions, and to cope in a world where the warden does not have control.

3. **Skills**

   Listen to staff, inmates, and victims. Everyone has something worthwhile to say. Listen to the facility’s staff. Learn about budget issues.

4. **Inmates**

   Offender gangs, drug trafficking, and contraband; violent offenders; aging inmates; and changes in sentencing laws are definite challenges.

5. **General Concerns**

   General concerns, issues that did not fit neatly into any one category, included officer safety, technology, managing older institutions, and victims rights.
What Makes a Superstar?

Directors were asked to identify the personal traits, professional experience, and educational background that, in their experience, best described the superstar wardens. Admittedly, some of these traits are subjective and difficult to reduce to specific behaviors. Given that as a qualifier, the directors were often unanimous about the traits listed below. They are not listed in any order of priority.

- Smart, Intelligent;
- Balanced;
- Leader - A leader is defined as being accountable, charismatic, a motivator, one who delegates authority, who is respected by staff and offenders, a decision maker, a problem solver, assertive, insightful, focused, can set priorities, self motivated, desires to excel, creates and enacts a clear strong philosophical mission statement or vision, and one who is self empowering;
- Resourceful - Resourceful is defined as one who is always learning, can manage up and down the organization, innovative, organized, a pro-active thinker, and entrepreneurial;
- Interpersonal Skills - Interpersonal skills are defined as a good listener, willing to work with others, good verbal and written communication skills, good common sense, level headed, and mature;
- Models ethical behavior on and off the job;
- Thinks through the problem, does not rush to answers;
- Sees the "Big Picture" - The big picture is defined as a person who is knowledgeable about other facilities, had department wide experience, shows insight into state government, a person who understands his/her role in the larger organization, and one who works effectively with the legislature and the public;
- Hard working; and
- Committed to the institution and to the department.
Professional Experience

What professional experience most often resulted in becoming a successful warden? Unlike the older model of correctional leadership, which required institutional and security management as the staples of experience, the directors identified a much wider range of experience essential to the success of a new warden.

The successful warden appears to have a variety of experiences in various roles and functions within the agency. Among the job experience associated with successful wardens is a balance that includes security, programs and administration; supervisory experience, but not necessarily coming up through the ranks; management experience, and experience with labor relations.

As anticipated, the directors’ view of what was lacking in the professional experience of the new warden who did not succeed included too few years in the business, no management experience, and not enough exposure to the different disciplines within the corrections’ field.

The New Warden’s First Year

What did new wardens say that they should have done to better prepare for their new responsibilities? The job experience and professional skills that would have better prepared them from day one were in the areas of business administration and fiscal management, personnel and labor relations, legislative issues, and media and public relations. Overwhelmingly, new wardens surveyed believed that they needed a much greater background in business administration than they ever anticipated.

Education and Training

The state directors identified three areas of education and training associated with wardens who were successful. They are: a bachelor’s degree, master’s degree preferred; training in cultural sensitivity, management, and/or leadership; and experience as a deputy warden having worked in several facilities.

The directors’ were almost unanimous in their view that a bachelor’s degree helps a new warden. The bachelor’s degree was viewed as an indication of the person’s commitment to self-improvement. It was also noted that unsuccessful wardens were unable to communicate effectively with the public, the legislature, and the media. Some directors expressed concerns about the future success of a warden promoted too quickly, without sufficient supervisory experience.
Best Advice for New Wardens

What is the best advice new wardens received from colleagues and friends? In a survey of participants in NIC’s Executive Training Program for New Wardens, the following was some of the best advice the participants believed they received on becoming a new warden.

• Keep the job in perspective, don’t let it go to your head;
• Remember where you came from;
• Have faith in yourself;
• Balance your professional life with your personal life, don’t shut out your family;
• Have courage, don’t panic;
• Prepare to be lonely;
• Don’t sweat the small stuff;
• Seek additional training opportunities;
• Be fair and consistent with inmates and staff;
• Surround yourself with good staff;
• Do business the way you’ve always done it;
• Think before you speak. Your every statement is subject to scrutiny;
• Don’t let the job change you;
• Protect and support your staff;
• Make decisions and stick to them;
• Be positive;
• Watch your back;
• Remain calm, walk slow, and drink lots of water;
• If it’s not broken, don’t fix it;
• Take your time, go slow, and make the best decisions you can;
• The job is a marathon, not a sprint; and
• Call me if you need help.
On Selecting a New Warden

The directors reported that in the year 2001, the agencies in the states they represent will promote at least 46 new wardens. What will the directors look for in a pool of candidates? In addition to what makes a superstar warden, the directors look for someone who is a good listener, honest, and has integrity. The person should work hard, be a motivator, recognize the importance of the team, be creative, be a good people person, show a commitment to the profession, and be able to see the big picture surrounding the profession and the organization.

How Not to Succeed

What makes some new wardens succeed while others fail? The state directors offered the following traits found in new wardens who were not successful.

- Indecisive;
- Not confident;
- Can't take advice;
- Doesn't listen;
- Lacks problem-solving and negotiation skills;
- "Knows it all;"
- Out of touch with their own abilities;
- Only focused on their facility;
- Unmotivated;
- Eight hour a day person;
- Lazy;
- Lack of job commitment;
- Too aggressive;
- Autocratic;
- Rigid, inflexible;
- Egotistical;
- Doesn’t grasp the concepts of power and authority;
- Self important;
- Reacts rather than thinks;
- Poor leader;
- Not prepared to make unpopular decisions;
- Doesn’t pay attention to the real issues or doesn’t understand what the real issues are;
- Lack of empathy for subordinate staff;
- Hides in office; and
- Doesn’t communicate with staff or inmates.
Conclusion

As a new warden, where do you learn to do the things you have only watched others do? It is understood that a warden knows the mechanics of how to run an institution – security operations, inmate classification, programs, support services, and inmate culture.

Today much more is expected of you. Within the first week, a new warden must be able to cope with the budget, staff shortages, comply with state and federal laws, face a hostile media, assess and improve staff morale; and interface with contract administration, and elected officials. This guide provides an overview of the issues, offers advice from experienced wardens, and points towards resources for self-improvement.

Resources


Assessing Culture in the Institution, Agency, & Community

Overview

There are many environments in which a new warden must lead effectively. Managing the institution is the first priority. To successfully lead an institution requires an accurate assessment of its culture, a solid understanding of policies and operations in the central or regional office, and knowledge about the surrounding community.

Understanding and appreciating how the institution's culture influences daily operations will help you to succeed. Institutional culture is deeply rooted. It encompasses the institution's history, staff, and inmate characteristics, past leadership styles, past practices, and ethical dimensions of management. If you move forward to achieve a revised mission and goals without taking the time to understand the culture, you are headed for trouble.

Culture extends to your relationship with the central or regional office. The agency's rules and regulations define the formal relationship but it is the culture that shapes how these interactions will actually transpire. Culture also defines the informal system that guides how communications occur, dictates the process of information-sharing, and determines how the real work of the agency is accomplished. New wardens are understandably nervous about how to establish an effective relationship with the central or regional office, a relationship that will benefit the institution and your new career.

Corrections is an integral part of the community. The community provides the work force and the accompanying values. As you scan your new world, the community cannot be overlooked. The culture within the community is significant to the institution.

The checklists in this section are intended as a guide to help you assess what you know, and what you need to learn in your new role. The Resource section provides ideas for learning more about these topics as you develop a personal learning plan.
Institutional Culture

Institutional culture will have a direct influence on your success as a warden. It is a synthesis of the institution’s history, and moral and ethical leadership. It encompasses the institution’s values and norms, its connection with the community, inmate and staff behaviors, and the leadership of the management team. Culture can embrace change, or defeat it. Your first task is to accurately assess the culture within. The following checklist is designed to assist you with your initial assessment.

✔ Critically and personally observe daily operations, attitudes, body and verbal language, dress, and behavior;
✔ Assess whether operational practices follow written procedures;
✔ Learn the history of the institution by reviewing documents, listening to the staff and inmates, and talking with community representatives;
✔ Know the inmate population - demographics, program needs, and attitudes;
✔ Identify the formal and informal power structure in the institution for both the staff and inmate populations. Identify individuals who positively influence, and who negatively influence, the staff and inmates;
✔ Review the outcomes of past efforts to reform or change. Analyze why the efforts were successes or failures;
✔ If possible, talk to your predecessor. Learn what went well, and what didn't go well in the life of the institution; and
✔ Listen.

Discussion

The institution's culture is the sum of its attitudes, mores, beliefs and prejudices of the staff. It also includes the character of the surrounding community, the history of institutional operations and events, and the personalities and practices of past wardens. These factors combined create the institutional culture.

Institutional culture can be positive, or it can be negative. It will differ among institutions in the same state and in the same region. Culture can resist change, or embrace it. It will allow you to move forward, or will fiercely hold onto the status quo. In order to change the institution's culture, you must first recognize, understand, and appreciate the existing culture. Observing relationships within the institution -- staff to staff, inmates to inmates, and staff to inmates will provide insight.
**Traditions, Rituals, and Symbols**

Each institution has a unique set of traditions, rituals and symbols. You will be challenged while learning the features of the culture - features which may not be apparent, and may be held very closely. While doing this, you are trying not to violate any unwritten traditions. Are you expected to attend the funerals of the family of staff? Should you acknowledge staff birthdays? Who is responsible for arranging retirement parties? What are the rituals surrounding promotional ceremonies? What is the symbolism connected with the make and year of the cars assigned to supervisors or managers?

How can you learn the traditions, rituals, and symbols inherent to your institution? Listening to staff and observing how different issues are handled will give you some clues. You may want to identify a person to trust you to navigate the culture. You must be aware that these traditions, rituals, and symbols are most likely very important to the staff, and violating these, even if through ignorance, might start you out in a hole.

**Staff Characteristics and Behavior**

Ironically, some managers know more about the inmate population than they do about the staff. Experienced wardens reported that the staff culture was more critical to their success than the inmate culture. Staff members are the heart and soul of the institution. They are the ones who must buy-into the changes a new warden believes are necessary. The actions and attitudes of the staff set the tone for the actions and attitudes of the inmates.

How do you begin to identify and assess the culture? Important aspects of facility operations are shown in the figure below.

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**Figure 1: Institutional Culture**

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**Hiring Process**
What qualities are sought in applicants? Is the selection process well planned and fair? What is the level of professional experience and education of the staff?

**Promotional Process**
How are promotions determined? Is the process perceived as fair? Which staff are likely to be promoted and why?

**Daily Operations**
Do staff take their job seriously and professionally, or are they overly-relaxed, overly-tense, too casual, too complacent, or careless? How closely does practice match policy? What is the staff’s longevity? Do inmates, on an average, have more time in the institution than the staff?

**Middle Management**
What role does middle management play? Do middle managers see themselves as part of the “administration”? Do they support you or are they engaged in subtle, or not so subtle, sabotage? Are facility rules enforced for all staff, including middle managers?

**Accepted Behaviors**
What behaviors, appropriate or inappropriate, are accepted among staff? How do they treat one another - do they gather in cliques, socialize on or off the job, accept cultural diversity, readily assist fellow staff members?

**Dress**
Do staff members comply with the dress code? Are they dressed inappropriately or unprofessionally? Is the dress code enforced? How do they dress when they attend training? Are they missing parts of their uniforms, name tags, rank insignia, etc.?

**Quality of Supervision**
Are supervisors doing their job? Do staff members show respect for their supervisors? Are supervisors respected by subordinates?

**Language**
How does the staff converse with each other? Are they respectful, courteous and professional, or is foul language, street slang, open complaining, and disrespectful talk accepted? What is the body language of staff-to-staff interactions?

**Staff Complaints and Grievances**
Are there an unusual number of particular complaints, or are the majority of complaints from specific persons or groups? How are staff complaints handled by supervisors and the management team? Are issues settled, or do they fester?
**Sexualized Work Environment**

Are jokes, comments, or pranks containing sexual innuendos accepted? Are comments made about personal appearance, sexual preference, or other non-work related issues? Is there gossip about staffs’ off-duty activities? What cartoons or photos are posted in staff areas?

**Attitude**

Is there a pervasive attitude of distrust of the administration by the line staff? What is the staff’s level of satisfaction with their work? Do staff members excel above and beyond their job requirements, or do they rush out the door at the end of their shift? What is the level of sick leave taken?

**Staff/Inmate Dynamics**

How does the staff treat the inmates? Are non-verbal interactions between staff and inmates appropriate? Are appropriate actions taken if an inmate treats a staff member disrespectfully? What overall relationship does the staff have with the inmates? Are inmates aware of, and talking about, the staffs’ personal business? Are staff relationships with inmates based on race, sex, or other factors?

**Relations with Organized Labor**

Do leaders of collective bargaining units have a positive or negative relationship with you? Are the unions part of the solution or at war with the administration?

**Inmate Dynamics**

The inmate culture also contributes to the success of a new warden. It reflects the way the institution operates, how inmates are treated, to what extend policies and procedures are enforced, and the actions and attitudes of the staff. How do you begin to identify and assess the inmate culture? Important aspects of inmate dynamics are listed below.

**Demographics**

What are the specific needs of the inmate population? What are the differences between male and female inmates’ attitudes and behavior? Where does the inmate population come from, the local community or from locations throughout the state? What are the custody levels for the inmates?

**Program Availability and Relevance**

Are there sufficient programs available to engage inmates in constructive activities and to serve the specific needs of the institution’s inmate population?

**Physical Structure**

How does the physical structure affect the safe movement of inmates and keep staff safe? Are there any remote or unsupervised areas where inappropriate activity can occur?
Inmate/Staff Dynamics

How do the inmates treat the staff? What language is accepted among the inmate population? How do inmates behave when staff members are present versus when they are not present? Are the communications between inmates and staff respectful and professional or, overly-familiar and inappropriate? How do inmates respond when interviewed during investigations? What is the hierarchy among the inmate population?

Diversity

Is there a disparity between the staffs' ethnic and racial make-up and the inmates' ethnic and racial make-up? Are there barriers to communication? Is cultural sensitivity demonstrated?

Staff Morale

Fifty-six (56%) percent of the new wardens surveyed reported that they could have used assistance with addressing staff morale in their institution. To effectively alter the institutional culture, you must also address the morale of your staff.

Staff morale has its own history in the institution. It is influenced by the ethics and leadership quality of the management team, and the respect the management team shows for the work performed by the line staff. Even if the previous wardens did everything by the book to keep morale high, they may not have been successful.

When a facility's operation is managed by fear and intimidation, when overtime is mandatory, when staff members cannot take time off to address their personal affairs without calling in sick, when a lesser standard of behavior for supervisors is permitted, then you have a challenge. Individuals treated disrespectfully by their supervisors have long memories.

The culture in the institution and the agency significantly impacts staff morale. For example, if the promotional process is perceived as unfair, inconsistent, or corrupt, the staff may be resentful, distrustful, and cynical. They may do only what is absolutely necessary and be unwilling to volunteer, or to work as a team.

Cultural Change: Establishing Your Vision

How can you change the institution's culture? As one experienced warden said, "Changing the institution's culture is like navigating a large ship. You can only turn the ship a few degrees at a time." Experienced wardens offer sage advice, agreeing that developing a plan to establish a vision using input from your management team and line staff, begins the change process. Staff and managers cannot work effectively without both a clear understanding of your expectations and inclusion in the change process. Additional suggestions for a cultural change are addressed in Section 3, Working Your Plan.
An experienced warden’s recommendation was to "slowly bring about change, one issue at a time. It's just like peeling an onion." Once the mission has been established, listen and then talk to your staff, inmates, volunteers, contractors, labor unions, and to the community. They too have a stake in the institution.

Be clear about your plan for the institution. How will the institution get there, and how will the changes benefit the staff? Ensure that your staff has an investment in the mission of the institution.

Everyone is accountable for their actions. Set zero tolerance for violating ethical standards. Ensure that your staff follow the rules, and require that the managers enforce them. Strive for consistency, but start small. In the words of one warden: "How do you eat an elephant? One bite at a time."

“Beware of ghosts.” What behaviors are accepted, and where did they start? Where do new staff learn about the institution and acquire their attitudes? A significant influence on behavior is an employee's peers. Bad behaviors inherent in the institution can be slowly undone, new ones started.

Attempts to change the culture of an institution may have both adverse and positive effects. Staff need time to adjust, and even longer to realize the benefits of the change. Staff who have become accustomed to certain behaviors may resist change and demonstrate an even greater dissatisfaction with the administration. Anticipate resistance as part of the plan, and include options to overcome it. The key is to have a clear plan, educate your staff about the plan, and the reasons for the changes. Include your staff in the planning and implementation process. Then, demonstrate your personal commitment through example and encouragement.

Talk with staff who are not willing or able to comply with the new standards. Problems in a facility are not merely a reflection on the warden. Sometimes a new warden has to acknowledge that the management team is part of the problem. Those who cannot accept change may have to be moved to a different position. As changes occur, and policies, practices, and procedures progress, staff who are willing and able to comply will appreciate the improved working conditions.

Remain focused and committed. Realize that adjustments to your plan may have to be made along the way. Stay open, flexible, confident, and committed. Demonstrate confidence in your decisions. As you change the institutional culture, be sure to acknowledge and recognize staff who assist you in moving the process forward. A sincere "thanks" can go a long way. It will also make the changes seem less threatening.
Opening a New Facility

New wardens can create the culture in a new institution. Staff may start or continue their careers in a new facility. Opening a new facility can be as rewarding as it is challenging. You are the focal point for staff and inmates alike, particularly when a new facility begins operations.

The warden of a new facility can create policies and practices to establish a desired level of professionalism and consistency. If you have the opportunity to select your staff, select individuals who are willing to be innovators. This added strength may assist you in avoiding a duplication of some ineffective operations from other institutions. Staff should be oriented immediately to the institution's policies and practices. That way, they know what is expected from the beginning. If you display leadership, consistency, and confidence from the start, setting and enforcing policies that will influence the culture will be far more effective, and much easier, than adopting an existing facility and trying to change the long held attitudes of your staff.

The same principles of leadership needed to change culture apply when opening a new facility. They are:

• Be open and flexible. Balance confidence with consistency in your decisions and actions;
• Set the vision for the facility early. Market it vision to the staff;
• Consider input from all stakeholders. Make them part of the process;
• Don't keep secrets as you develop new policies and procedures. Keep staff informed;
• Make sure your staff know exactly what is expected; and
• Allow everyone time to make adjustments, including yourself.

Conclusion

Your first step toward success is to recognize and understand the institution's culture. If you fail to accurately assess the culture, you may never recover. Culture is complex. It did not develop overnight, nor will it change overnight. You gain insight into culture by listening.

What's next? Develop a plan, share it, follow it as closely as possible, and allow room for adjustments.
Central and Regional Office Relationships

You may be responsible to a central or regional office. This relationship is different in each state, and may change with a new governor or director. Some central or regional office administrators see their role as someone who will help you succeed, while others may be part of a less-than-helpful bureaucracy. A portion of your success may come from understanding where you fit in, and how you can effectively work in the hierarchy. The following checklist will help you to assess central and regional office relationships.

✓ Talk with the central or regional director to understand their view of your institution. What does the director expect? What does he/she want changed?
✓ Keep the boss informed of your plans to address pending issues;
✓ Learn who has the answers you need at the regional or central office;
✓ Compare notes with other wardens. How did they work best with the central or regional office?
✓ Analyze how the central or regional office functions;
✓ Meet all the players. Support staff are often the most vital to making things happen;
✓ Be clear with the central or regional office about what you need from them to get the job done;
✓ Determine whether an administrator may be a mentor for you. If so, seek to develop this relationship; and
✓ Review who appears to have influence in the agency. What does that say about how the organization is managed?

Discussion

Understandably, you will be initially uncertain about how to relate to the central or regional administration. Each state agency has different organizational challenges and issues to consider as you establish and maintain a relationship. Your relationship with the central or regional office is fluid. It will change depending on the current issues and events.

“Failure to understand the relationship with the central office or with the community can end a career.” There will be good weeks, and there will be bad ones. This relationship is also shaped by whether you are new to the system, or have been recently promoted from inside the organization.
Getting Along

As you consider how best to work with the central or regional office, the following may be of help deciphering the clues. It is in your best interest, and in the best interest of the institution to establish a solid relationship with the central or regional office.

Lines of Communication

Identify the different ways that the central office communicates information. Are different types of information communicated in the same way? Is the information transmitted through informal channels more or less valid than when included in a memorandum from the boss?

You need clarity from the central or regional office about what they want to know, and when they want to know it. Define what the boss wants, and under what circumstances. Some bosses want telephone calls, some want memos, and some want to receive information via e-mail.

Institutional Operations

You may be asked to spend a lot of time, or no time, at the regional or central office attending workshops or meetings. In some states, a ranking person from the central or regional office frequently visits facilities. These visits may, or may not, be announced in advance. Identify whether the central or regional office will closely monitor your activities, or if you have broad discretion in institutional management.

The Institution's Role

If the institution has a unique role in agency’s operations (e.g., providing mental health or medical services, close/protective custody units, gender-specific services, etc.) the central or regional office may have more interest. Identifying the stakeholders from the central or regional office may provide insight on the level of interest from the central office, and how they may treat your facility differently.

Leadership Models

Identify the leadership qualities at the central or regional office. Identify the formal and informal leaders within the organization and assess how they became part of the leadership structure. Assess whether innovation is rewarded, whether taking risks is an accepted agency norm, or if creativity is endorsed. Allow these insights to guide you on how to best work with the central and regional office.

Formal and Informal Power Structure

Review the official organizational structure. Determine who has the "real" power. Who really has the power to impact your career and your institution?

The Warden’s Input

Each state’s bureaucracy treats wardens differently. The organization may solicit your views when policy and procedural changes are underway, or your input may not be requested or welcomed. You may be involved with setting the organization’s mission and
strategic plan, or you may not. If asked to participate, accept the extra work and get involved. This is one way to see the big picture and gain the perspective necessary for your leadership development.

**Managing Up The Chain-of-Command**

You will have to worry about your constituency both up and down the chain-of-command. Paying attention to managing your boss, as well as his/her subordinates, is on your agenda. “Attend to the staffers in the central office, and they will attend to you. Ignore them and you’ll wonder what happened.”

**Delivering Bad News**

Department leadership can accept bad news, if it is delivered in a timely and calm manner; with honesty, full disclosure, and suggestions on how to solve the problem or repair the damage. Placing blame may come later. If you see that there is a potential for bad news, prepare the central office in advance. This may help to cushion the news.

When delivering bad news anticipate the questions of the central or regional office. Be prepared to respond. The questions asked will most likely be the same ones you first asked. Be thorough when you deliver the information. Offer ideas for handling the situation, and then be open to suggestions. Your boss (or bosses) will appreciate being prepared, especially when they must respond to the media, make public announcements, or report the information further up their chain-of-command.

**Asking for Help**

Your worst response when facing an emergency, or a crisis in daily operations, is to fail to recognize when it is time to ask for help. During normal operations, there may be time to research and prepare options to discuss with the central office. But in a crisis, you must consider the potential consequences of waiting before asking for resources, or direction.

As with delivering bad news, when you ask for help, ask openly, armed with sufficient information. Ask with confidence, accept direction gratefully and gracefully, and listen to suggestions. Learn from the experience, and demonstrate improved skills at the next opportunity.

**Living Through a Change of Administration**

Changes in top department leadership are unsettling, particularly to a new warden who may be just getting settled in the job. “A change at the top assumes change; therefore, it is expected and will be tolerated more than at any other time.”

During the transition, anticipate that changes will occur, and prepare your staff. Act confidently, even if not feeling confident. Demonstrate support of the new administration, and staff will generally follow your lead. Demonstrate negativity and fear, and staff will reflect the same attitude. Seek out wardens who have been through upheaval in the top ranks, and listen to their experiences and advice.
**Feedback from the Boss**

Many supervisors are often too busy to give feedback to their staff. Without feedback, you may have incorrect assumptions about how your work is perceived and whether it is accepted.

Performance evaluations are only one way to receive feedback. You should not rely solely on the feedback from evaluations. It may be appropriate to ask for feedback after a specific situation has concluded. Asking for feedback can also be done informally by requesting a five minute conference at the boss' convenience, or through an informal memo or e-mail. Be specific. Rather than ask, "how am I doing?", ask questions such as:

- Do you have any suggestions for where I can improve?
- Are there specific areas where I should be paying more attention?
- What skills do you feel I need to strengthen?
- Are there specific expectations that you have of me that I am not meeting?

Do not ask a question if you are unprepared for the answer. And, do not ask too often for feedback. Too many requests may appear as a lack of confidence or independence.

**Conclusion**

Your relationship with the central or regional office evolves over time. You need to know whether the central or regional office will be a help or a hindrance to your leadership. Experienced wardens agree that you must seek a positive relationship, even if you are wary of trusting the central or regional office. Leadership is about taking risks. Learning to work in a political environment is essential. As a warden, politics are now a part of your life.
Community Culture

The community is part of the institution and as such, contributes to the institution's culture. In some communities, the institution has been an integral part of the community for more than a century. Generations of citizens, many from the same families, have worked and continue to work in the institution. The institution is, in some places, the economic engine that drives the community. The following checklist will assist you with assessing the community culture.

- Get to know the community - demographics, history, and attitude toward the institution;
- Understand how the community affects the institution, and vice versa;
- Identify the community stakeholders and who has power and influence;
- Assess whether the institution has been a good or bad neighbor, and how issues have been addressed in the past;
- Join. Become involved in the life of the community. Be sure your management team shares this participation;
- Volunteer. Insure that the prison's resources are applied to help the community, whether through staff initiatives or inmate labor; and
- Subscribe to the local newspaper(s). Follow the events that are important to the community.

Discussion

Many experienced wardens compared a warden's position to that of the mayor of a town or city. Wardens have the responsibilities of public safety, feeding and clothing residents, meeting the payroll, and ensuring no damage is done to the environment. Thinking about your role in this way may help you to appreciate the community.

The local community has a vested interest in the work force. On institutional issues, particularly officer safety, the local community may take sides with the work force, not necessarily with the warden. Understanding the concerns of the community can help you stay clear of difficult political situations.

Through reading and listening, you develop a clearer picture of the relationships between the institution, the staff, and the community. Once this picture is formed, examine the details required for it to remain healthy and cooperative. The relationships between the institution, the staff, and the community should progress toward an end beneficial to the institution and to the community in which it serves.
Community

You will reap many rewards from appreciating and respecting the community. In getting to know the community, the following can be considered:

**Geography**

How close to the institution are homes and businesses? Is there an emergency notification procedure? What are the plans to expand the community? Will new homes and businesses be built near the institution?

**Economics and Demographics**

What is the population of the community? What are the socioeconomic, religious, and political environments within the community? Have there been socioeconomic changes in the community within the past 10 years? If so, what are these changes? Where do most wage earners work?

**History**

What is the community's history? How has the institution been an integral part of shaping the history of the local community?

**Central Office Attitude**

Does the central or regional office consider the community when making changes or operational decisions? Has the institution encouraged community input? Is there a process for the community to express concerns? Is the community regularly invited to tour the facility?

**Community Attitudes**

Does the community support the institution? Does the community have significant concerns? If so, who listens to their concerns? Are they ignored?

**Prison Advisory Board**

Is there now, or has there ever been a formalized advisory board? What was the outcome? See Section 4, Media and Public Outreach.

**Local Government**

Does the local government express concerns about the institution? If so, do they receive sufficient attention and response from the agency? What is the relationship between the agency/institution and local law enforcement? Is it cooperative, hostile, or is there no relationship at all? What are the agency’s and institution’s relationships with the local prosecuting authorities, the local judges, and victim services coordinators?

**Community Involvement**

Does the community provide volunteers for the institution? How does the community participate in the life of the institution? See Section 4, Local Government.
**Staff Involvement**

Are staff involved with the local community as members of service organizations? Do staff appear as speakers before community groups? Are the staff positive ambassadors for the institution?

**Conclusion**

You do more than work and live in the community. The community is an extension of your family. How the community is treated by the institution will affect you at some point in your career. Staff are part of the community, and return there after each end-of-shift. What goes on in the institution is no secret. You can enhance your career by reaching out to the community. Ensure that the institution’s vision is known. Listen to, and learn from, the needs and views of the community.
Overview

Wardens are leaders. To accomplish your mission, you need to develop a workable plan for moving the institution into the future. Progress in an institution is not haphazard. Your management team, with input from your line staff, develops a mission, sets a vision, and identifies the values for the facility.

Your staff must work together to design and implement a strategic plan to establish measurable objectives. The strategic plan is not a static document. It is a fluid document, one that evolves. The plan should be workable, realistic, and attainable, and have the buy-in of the stakeholders required to implement its objectives.

To shape the internal environment requires resources. You must competently manage financial and human resources, in addition to contract administration. These resources are not merely the monies required to operate the institution. They are the human resources, staff, contractors, and volunteers, as well. As a warden, you are the chief operating officer of a multi-million dollar entity. It is understood that you know inmate management. You now need to have business administration skills to accomplish your mission.

You set the tone for how staff, volunteers, contractors and unions work together in the facility. Respecting staff, and creating a work environment that empowers employees, contractors, and volunteers to achieve the institution's mission is your job.

The checklists in this section are intended as a guide to help you assess what you know, and what you need to learn in your new role. The Resource section provides ideas for learning more about these topics as you develop a personal learning plan.
Leadership

The transition from managing to leading an institution is a challenge. Leading the institution requires the ability to create a vision, establish the mission, and communicate clear values. Your success depends upon your ability to inspire your staff to achieve the mission. You will need to call upon your managerial skills as part of your leadership style, and allocate resources to accomplish your mission. The following checklist will help you to identify the various elements of being a leader.

- Be clear on what makes you a leader;
- Involve staff with setting and carrying out the institution's vision, mission, and values;
- Ensure your management team, including the middle management staff, are clear about your expectations for their individual job performance. Be sure that management staff model the behaviors which are part of the institution's values;
- Determine if line staff can succinctly tell you the prison's mission;
- Be visible. Frequently walk through the institution so staff and inmates know who you are; and
- Don't kill the messenger. Encourage the management team to tell you what you need to hear, rather than what they think you want to hear. Identify the extent to which information is filtered before it gets to you.

Discussion

When agency directors and deputy directors were asked to state the most important factor to consider to ensure your success as a warden, leadership was the most frequent response. Individuals promoted to warden demonstrated job knowledge, good management skills, and the confidence of their boss that they could lead.

Before becoming the warden, you were successful in a task-driven management role. Can you distinguish the difference between being a manager and being a leader? As your career as a warden evolves, less time should be spent on the tasks of running the prison. These can be delegated to the staff. Within the first few weeks, the staff will know based on your actions and the projects you delegate if you intend to manage the institution, or lead it.

New wardens are less likely to take a risk than experienced wardens. These risks involve trusting the staff, learning from the history of the institution, acting on the external expectations of the new warden, and the desire to prove themselves.
Making the Transition

Wardens stated that the transition from manager to leader was the hardest to make. Here are some aspects of management and leadership to assist you in making an assessment of whether you are still a manager, or whether you have become a leader.

Managing the Institution

Managers are administrators, the backbone of an organization. Managers are the people to whom you delegate increasing levels of responsibility. You coach and mentor managers to develop leadership skills. Many of these managers will be the next wardens. As you consider your new role as the institution's leader, assess how you are using your management skills in a different way and at a different level. Tasks and actions of a manager are:

- You look at the bottom line and focus on systems and structure;
- You look for pieces of the puzzle;
- You are concerned with efficiency and the why and how of things;
- You ensure that things are done correctly, that policies and procedures are followed;
- You have a short term view of how to most efficiently achieve a specific goal or goals;
- Your staff works for you;
- You keep the train from jumping the track and make day-to-day things happen;
- You are in control of tasks and maintain the organization; and
- You are the one who cleans off the bulletin board in the staff lounge.

Leading the Institution

Leaders use their management skills. Excelling in management is part of why you were promoted. Staying within management strengths allows you to expand into the leadership role. As the leader moves forward, the management skills are always in the background, but are used less frequently as leadership skills move to the forefront. If your management team needs improvement or mentoring, you will use your management skills more than if you were taking over an institution with a competent and experienced management team. Tasks and actions of a leader are:

- You mentor your staff to do the job instead of doing it yourself;
- You are creative and original;
- You are team oriented, a facilitator, a motivator, and people work with you, not for you;
- You have passion, purpose, and a strong sense of mission that you freely share with others;
• You make your decisions with an eye on a vision of success;
• You promote risk taking and are not afraid to admit your own errors;
• You realize you do not know it all and are constantly learning;
• You are a value driven principled person with personal and professional integrity;
• You have the courage to allow staff to learn by failure if they have taken intelligent and appropriate risks;
• You listen more and talk less;
• You are focused on the big picture; and
• You do the right thing, not necessarily the popular thing.

Creating and Working Your Plan

How do you move forward, obtain the commitment and support of your staff, create a new culture, or overcome a negative one? The following are some key elements that experienced wardens identified to help you achieve your objective.

• Create a vision;
• Develop a mission statement;
• Identify and serve as a role model for important organization values;
• Listen to staff and inmates;
• Set clear and measurable expectations for the management team.
• Communicate clearly; and
• Set measurable objectives and outcomes based on your objectives.

There are different kinds of plans, each with a place in your tool kit of management options. A plan might be an effective way to address the installation of a security system, implement a new classification program, or open a new housing unit. Whether your objective to complete your plan takes two weeks or five years, the plan elements remain constant.

You must define the plan's objectives, evaluate what is needed to accomplish your objective, allocate the appropriate resources, and communicate clearly the expected results. The more staff you involve in the process, the greater likelihood that your staff will fully support and remain committed to achieving the objectives.
What is a Vision of Success?

A vision of success is a statement of what organizational success will look like, and how it will be achieved. It clarifies the purpose, direction, and standards of the institution, and offers specific guidance to inspire the organization. The vision should be attainable by the staff and management team, yet a challenge to accomplish. See Resources at the end of this section for suggested readings.

Sharing Your Vision and Inspiring Your Staff

As a leader, you will set the example for your vision and model the way. Decisions are made based on accomplishing the objectives that will best move the institution forward. You will constantly be challenged to communicate clearly your mission and vision to your staff. It is important for staff, especially for those opposed to change, to be involved at all levels of the change process.

Staff must be encouraged to identify issues that need to be changed, and work as a team to make the change happen. Staff can be motivated to accomplish your goals by encouraging them to be self-starters. By empowering your staff to take the appropriate risks required to meet the objectives of the institution, they will better be able to identify and resolve obstacles standing in the way. Provide guidance so your staff understands how to accept responsibility for their decisions, and to take the appropriate risks. Once empowered, staff are able to see that they are an integral part of the institution's success.

What is a Mission Statement?

Developing a mission statement is the first part of creating and working your plan. You must bring the management team and line staff together to develop the facility's mission.

A mission statement is not developed exclusively by the warden. It is a collaborative effort and is developed by the management team and line staff. In short, it is developed by those who will live by it, enforce it, and ensure its success. How the mission statement is developed is as important as the statement itself. The process seeks inclusion, values all input, and works by consensus building. The mission belongs to all employees, not just the warden.

The mission statement of an organization is normally short, to the point, and contains the following elements:

- Provides a concise statement of why the organization exists, and what it is to achieve;
- States the purpose and identity of the organization;
- Defines the institution's values and philosophy; and
- Describes how the organization will serve those affected by its work.
What if you choose to adopt the mission statement, vision, and values used by your predecessor? Perhaps the staff was involved in the past with developing these statements. You must assess how relevant the existing statements are to where you believe the organization needs to go. Acknowledging the past, even if the past was not good for an institution, is part of recognizing its culture. If you inherit a mission statement, you may wish to establish a process to modify or update the statement, rather than appear that you are rejecting the work.

For a sample of mission statements, check the web sites for several state departments of corrections. Web sites are listed under Resources.

**What are Organizational Values?**

An organization's values are what it regards highly and holds as its ideal. Values are the ethical standards used to measure the performance quality of the institution. Values guide how business is done. Values can include such things as fairness, respect, commitment, and embracing diversity. As a team, management and line staff work together to identify the values of the organization. These values are then incorporated into the institution's mission. You and your management team are expected to serve as role models for these values.

The importance and integrity of values dissolves when there is a discrepancy between the values of the organization, and the actions it practices. If respect is an organizational value, and supervisors are repeatedly disrespectful toward one another, then the staff can legitimately question the validity of that value. It is your responsibility to ensure that this incongruity does not develop. If it does, correct it.

**Setting Expectations**

Your management team must know your specific expectations with regard to their professional behavior and performance. Team members must understand their role in the mission of the organization, and how their performance will be measured. Previous administrators may not have had the time, or taken the interest in, communicating expectations to each individual. As one warden surveyed said: "I tell my management team, my job is to prepare you to take my job."

Once you assume your new responsibilities, you may discover that some managers have been maintaining the status quo throughout their career rather than acting as change agents. Setting expectations is not punitive. It seeks career growth and helps to develop your management team. You must have allies to support you in your efforts to manage the institution. Your allies will support you when they see the vision and aspire to achieve it, not because they were directed to participate.

As you assess the strengths, talents, and level of commitment of your management team, you may decide to make changes such as rotating assignments, emphasizing mentoring or coaching, providing frequent feedback, or scheduling additional training. Management team members may not have the skills needed to be an integral part of these changes, or may believe that being innovative and creative will only get them into trouble.
Through the process of establishing your vision, mission, and values, you and your management team establish measurable objectives. Participation, buy-in, and accountability may be facilitated through strategic planning and management staff workshops. Here, you can collectively develop and establish guidelines, and agree upon what constitutes excellent work, and how it will be measured. As a result, the institution's efforts will be not only directed toward the mission, but each step along the way will be quantified and measured, ensuring the outcome you desire.

**Listening to Staff and Inmates**

A leader listens more, and talks less. State directors indicated that among the personal traits of a superstar warden was the ability to listen. Often new wardens are anxious to display how much they know. The subordinate staff, in most cases, already believes that the warden knows the job. They want a leader who will listen to what they have to say.

As you listen to inmates, it is important to ensure that the staff do not feel you are devoting more time to the inmates then you are to them. Interactions with inmates by the warden have the subtle effect of empowering inmates. Your interactions with inmates must support staff, and not elevate inmate issues above staff issues. However, inmates need to know that, even if you do not agree with their views or grievances, they will be heard.

**Stakeholders**

Leaders involve the facility's stakeholders in establishing the mission. "A stakeholder is defined as any organization, group or person who can place a claim on the organization's attention, resources, or output or who is affected by that output."  

Today, there are more stakeholders in corrections than ever before. Your sphere of influence extends beyond the media and community groups. Ignoring other stakeholders creates a potential danger for a warden's career. Who are these other stakeholders?

- Families and loved ones of inmates;
- Public defenders;
- Inmate advocacy groups (local, national and international);
- Local law enforcement;
- Local and/or state prosecutors;
- Treatment providers;
- Private defense bar;
- Victims and their survivors;

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Advocates of private corrections;
Local elected officials;
Employees;
Families of employees; and
Contractors and vendors.

Determine which stakeholders should be involved in the various issues confronting the prison. While different stakeholders may come together as members of a prison advisory board, not all stakeholders are appropriately involved in every issue. Good relationships with the various stakeholders will prove to be beneficial, provide a sounding board for community wishes, and ensure that differing points of view are heard.

Conclusion

Leadership skills can be learned and practiced. Successful wardens constantly evaluate their performance to see where they can improve their leadership skills, and how they can develop their staff. They take the steps necessary to become a better leader. This may include finding a coach or mentor, or taking leadership courses. Successful wardens leave a legacy at the facility. They do not just pass through it on their way to somewhere else.

Resources


http://leadership.wharton.upenn.edu/digest/index.shtml

Wharton School at the University of Pennsylvania dedicated to building basic and practical understanding of leadership and change publishes the Wharton Leadership Digest.

www.ideashape.com

Consultants who coach executive and other leaders.
www.cdaconsulting.com

Research and collected data site that provides a variety of helpful tips and techniques to improve your communication. Includes making decisions, gender issues, interviewing, leadership, listening, presentations, problem solving, risk taking, teams and quick thinking. Includes a collection of published materials that can be accessed online and printed for use and distribution to staff, etc.

www.esuccessbooks.com

Online bookstore of business books with a free newsletter to keep you informed.

www.leadershipnow.com/leadership/

Online site of leadership books and information with a "what's new" section.

**Additional Resources for Mission, Vision, Values**

www.adc.state.az.us/Mission.html

Arizona Department of Corrections web site with Mission, Vision, Guiding Principles and Goals statements.

www.state.ar.us/doc/

Arkansas Department of Corrections web site with Mission, Vision, Values, Principles and Goals statements.

www.corr.state.mn.us/

Minnesota Department of Corrections web site with mission and vision statement.

www.corr.state.id.us

Idaho Department of Correction web site with mission and vision statement.

www.dpscs.state.md.us/doc

State of Maryland Department of Public Safety and Correctional Services web site with Mission, Vision and Goal Statements.

www.wi-doc.com

Wisconsin Department of Corrections web site with mission and vision statements.

www.wa.gov/doc

Washington State Department of Corrections web site with mission and authority statements, and a strategic plan.
Working Your Plan

After you have established (or updated) the institution's mission, vision, and values; the next step is to get staff buy-in and implement. To be successful, the planning and implementation of measurable objectives involves both the managers and line staff. Periodic evaluations should be made to determine if the objectives of the strategic plan are being met. The plan can always be modified depending on the results of the evaluation.

Essential elements to ensure your strategic plan will be effective are your communications during staff meetings, employee newsletters, bulletin boards, and e-mail. The following checklist will help you with the planning and implementation process.

- Review the facility’s strategic plan. What progress has been documented toward achieving the goals?
- Discuss where the facility needs to go to meet the expectations of staff, central office, inmates, the community and other stakeholders;
- Identify competent staff who can help lead the planning process;
- Set a specific deadline for completion of the planning process so there are defined boundaries and time limits;
- Commit the time and effort necessary to provide your leadership to, and involvement in, the planning process;
- Insist that staff meetings are held at all levels, and in all sections. Ensure that all shifts have the opportunity to participate. Require that minutes be maintained, and posted for staff to read; and
- Assess how the employee newsletter meets the needs of staff and the warden. How is information, both formal and informal, transmitted?
- Check out the facility's staff bulletin boards. What is posted, and what does it say about the facility and its culture?

Discussion

Planning gives the organization its direction. It is a necessary process to formulate goals and implement decisions to determine how the institution will function in the short and long term. It allows the organization to adapt to a changing environment, makes certain the institution's activities are directed towards achieving the vision, ensures resources are budgeted to achieve facility objectives, and ensure consistency between the mission of the agency, and the institution.

It is imperative to involve staff in the planning process so they have both a share in the vision, and a stake in the future. The future of the institution includes the future of the staff, as well.
What is a Strategic Plan?

The strategic plan is the facility’s road map. It acts as a rudder to steer the institution toward its objectives during a daily crisis or distracting incident, when under political pressure, and when staff resist change to the status quo. You, as a leader, are responsible for keeping the strategic plan on course, and navigating the organization to the desired destination.

Communicating with staff about the strategic plan is as important as its development. Assessing the current level of communications, both formal and informal, should be one of your top priorities. How do staff find out what is going on in this prison? Are formal meetings held to transmit information to all sections and all shifts? Do employees look forward to receiving their newsletter? Is the prison run by rumors? Your effort to change will be hindered if there is not effective communications throughout the institution.

Creating the Strategic Plan

You can use the process of creating the plan as a tool to the enhance the career development and morale of managers and line staff. If you, as the warden, present a strategic plan for how the institution will run for the next five years that you alone developed, no one, least of all you, should be surprised when it fails. Strategic planning is a process, not just a document.

Creating a strategic plan is a coalescence of many factors. These factors include the culture, community, resources, mission of the department and the facility, and acknowledgment of what needs to be addressed to achieve the vision. Strategic planning actively involves stakeholders in the phases of issue identification, review of options, and development of specific action objectives. The process helps staff to learn skills such as respect for diverse ideas, that all ideas are worthy of discussion, and that all parties will make suitable compromises to arrive at the plan.

The idea of developing a strategic plan is daunting to many. Too often managers have been involved with strategic planning which was irrelevant and cumbersome, or had a strategic plan imposed on them without their input. Leading the strategic planning process requires you to systematically think through the process. The process is not random, nor can it be disorganized.

Introducing the Planning Process

Staff should understand the process of creating the plan. They will appreciate being a part of the planning, especially when their input is invited, welcomed, and used. To ensure relevance and buy-in, the team developing the plan is ideally drawn from all operational divisions. Staff will need to be oriented to the planning process. A staff retreat, when appropriate, can be educational, motivating, and steer the team in the right direction. Communicating what is happening to the rest of the staff and highlighting ways they can participate or provide input is also essential.

Resources that can assist you with your strategic plan include wardens from other institutions, central or regional office staff, community leaders, and educational leaders from the
local community college or university. These individuals can act as facilitators or resources to help staff step outside the status quo during the development process.

**Building the Team and Identifying the Stakeholders**

Without the buy-in of your staff and stakeholders, even the most extensive strategic plan will fail. One way to gain support is to form a core committee of staff that will listen to their peers, and work together on the plan. Set boundaries and time limits so the planning process does not get bogged down. Informal staff leaders and staff most opposed to change must be actively involved in the process.

**Information Gathering**

During the plan’s preparation phase, clarify the institution's legal mandates, budget, and other resources. Review the various options available to get the job done. This may introduce alternatives or create new ways of doing business. This process allows staff to see their activities in a broader perspective and encourages global thinking. Encourage visits to other facilities, in other states if possible. Allow this process to broaden your staff’s horizons.

**The Plan Comes Together**

As the planning process unfolds, the list of issues might be long. The process of prioritizing issues will identify the objectives to be addressed by the strategic plan. The issues, stated as measurable outcomes, can be broken down into short and long term objectives with specific activities and tasks. The plan will clearly define the issue, set measurable objectives, and list the steps to reach the objectives. Timetables and resources can also be included. [See Resources.]

No matter how worthy each objective, priorities must be established. The team should identify what can realistically be accomplished within a six-month to one year time frame. Meeting the plan's objectives will require everyone to stretch to reach new goals. However, do not expect staff to stretch to a point where accomplishing the objectives will frustrate and defeat them. Remember, the plan must be workable and attainable.

**Adopt and Work the Plan**

Key decision makers in the institution must review and support the plan. Implementation must be purposeful and deliberate. It involves managing the budget, human resources, and other support functions required to complete the plan's established objectives.

Your role is to keep the plan on course, and ensure the required resources are available. You can mentor and assist subordinate staff to identify sound options for achieving their goals. As a result, your management team will be better prepared to duplicate the planning process in the future, substituting new issues and challenges for the ones they are faced with now.
Continue to Work the Plan

The planning process is dynamic. The plan and the process must be regularly revisited to make any needed mid-course corrections and to celebrate accomplishments. This reassessment ideally coincides with the budget preparation process.

Getting Feedback on Plan Implementation

Your management team needs to periodically assess whether the plan is meeting the facility's objectives. If not, a mid-course correction to the plan may be necessary. One thing to remember, the plan should remain a current and relevant document. If a change is made, an update or revision to the plan should be formally made.

Communications

Internal communications should be a priority. Ensure your staff, on all shifts and in all sections of the organization, receives the correct message. This can be done by requiring your staff to hold meetings, and keep a record of what was discussed (minutes). Posting the minutes will invite further communication and feedback.

Many organizations have an employee newsletter. If this is the case, critique the newsletter, identify the editor, and ask your staff if the newsletter meets their needs. Make it clear what is acceptable, and what is not acceptable in the newsletter. [See Resources.]

In this day of e-mail and computer access, a printed employee newsletter can be updated and distributed electronically, provided staff have access to e-mail. If you determine that your facility newsletter needs to be redone, you may find valuable resources already available on your staff, or in the graphic art department of a local high school or community college. Collecting copies of other institutions' newsletters may provide additional ideas. The central or regional office may also have specific ideas or guidelines for producing a newsletter.

Evaluate all means of formal and informal communications within the institution. Staff bulletin boards provide insight. They include formal notices, informal announcements, items for sale, and cartoons or jokes. Each item posted sends a message about staff culture. E-mail is also an important form of informal, and formal communications. Most organizations have guidelines on what is permitted, and what should be excluded from official e-mail. These informal communications are cultural indicators.

You must be visible to the staff and inmates. A new warden may consider having an "open door policy." Before implementing an open-door policy, consider the positive and negative implications. An open-door policy can be a double-edged sword. However, interacting with the staff helps you know whether your vision is being successfully communicated at all levels.

Your ability to shape the future is based on having an effective plan and excellent communications. Assessing the existing formal and informal communication are the first steps toward improvements and enhancements.
Conclusion

Successful wardens will remain in a planning mode during their entire career. The planning process is an opportunity to motivate and reward your staff. The plan challenges your staff to see the big picture. Find new ways to conduct business, and acknowledge the successful completion of activities. Keep the planning and implementation processes moving forward.

The plan is a living, breathing, and viable document. Staff morale will improve as they realize that the plan is designed to make their jobs easier, and to increase safety. The plan is a living, breathing, and viable document.

Resources


*American Correctional Association - Standards for:*

- Administration of Correctional Agencies
- Adult Community Residential Services
- Adult Correctional Institutions
- Adult Local Detention Facilities
- Adult Parole Authorities
- Adult Probation and Parole Field Services
- Certification Standards for Food Service Programs
- Certification Standards for Health Care Programs
- Correctional Industries
- Foundation/Core Standards for Adult Community Residential Services
- Foundation/Core Standards for Adult Correctional Institutions
- Foundation/Core Standards for Adult Local Detention Facilities
- Juvenile Community Residential Facilities
- Juvenile Detention Facilities
- Juvenile Probation and Aftercare Services
- Juvenile Training Schools
- Small Jail Facilities.
www.state.in.us/cei/news/strategic.html
State of Indiana, Planning Checklist

www.state.az.us/ospb
Strategic planning materials, budgeting information, Arizona Planning Handbook.

www.city.grande-prairie.ab.ca/webs_sbp.htm#State
Strategic Planning Links.

www.npr.gov/library
Customer driven business, planning and leadership information.

www.nhq.nrsc.usda.gov/STRAT_PLAN/stratind.html
USDA Strategic Plan.

www.owt.com/users/cecrouch/Planning.html
Planning Model.

www.allianceonline.org/faqs/sp_main.html
Planning frequently asked questions (FAQs).

www.whitehouse.gov/OMB/mgmt-gpra/gplaw2m.html#H3
Government Performance Results Act of 1993 (GPRA).

www.opm.state.ct.us/mgmt/busguide.html
State of Connecticut, Strategic Business Planning.

www.doc.state.ia.us
Iowa Department of Corrections web site with the Five Year Strategic Plan with annual updates.

www.osti.gov/visnmisn.html
U.S. Department of Energy, Office of Scientific and Technical Information, vision and mission statements

www.nara.gov/alic/.
Planning Bibliography.

**Employee Newsletters On-Line**

www.dc.state.fl.us - Florida Department of Corrections Correctional Compass.

www.corr.state.mn.us/ - Minnesota Department of Corrections.

www.state.mi.us/mdoc - Michigan Department of Corrections.

www.doc.state.ok.us/- Oklahoma Department of Corrections.
Fiscal Decision Making

Achieving the mission requires establishing priorities and devoting the necessary resources. New wardens indicated they were either unprepared, or needed help with fiscal management. As budgets are cut and privatization looms on the horizon, wardens are asked to do more with less.

Managing an inherited budget is a big challenge. Many older correctional facilities suffer from inadequate maintenance while an increasing inmate population strains already overcrowded facilities. Even so, wardens are expected to find ways to fund new programs. The following checklist will help you to assess your institution’s fiscal resources.

✓ Know the approved facility budget and itemized up-to-date expenditures, obligations and available balances;

✓ Learn about the budget process in your state and in your agency;

✓ Determine whether the facility was above or below budget in the last fiscal year and why. Be familiar with the number of funded staff positions;

✓ Learn if, and under what circumstances, funds can be moved between budgeted line items;

✓ Request an audit of the institution’s budget, and inmate funds;

✓ Be aware of staff vacancies by position, and employees on leave by type of leave;

✓ Read the latest facility fiscal audit, the facility's response to that audit, and know when the next audit is scheduled;

✓ Meet with your fiscal officer to determine issues, priorities, and the budget history of the facility; and

✓ Ascertain the physical needs of the facility and the state of maintenance of the facility's major equipment and infrastructure.

Discussion

Every new warden inherits a budget prepared by someone else. Your job is to gain control of the fiscal activities to effectively work on your priorities and critical facility needs. Some wardens will have their budgets prepared by the central or regional office and handed to them. Others may receive specific guidelines from the central or regional office within which the budget must be prepared. No matter what the level of your involvement, you are ultimately accountable for how funds are spent.

To establish fiscal control, you can review the information used to prepare the existing budget, a monthly overview of expenditures, an assessment of the condition and repair history of critical equipment, expenditures for overtime, and agency rules governing budget management. While budget monitoring may be delegated to a business manager, you cannot delegate the authority and responsibility for the fiscal management of the facility.
The Budget Process

A budget is prepared for a specific year (or in the case of some states, a two-year period). A government budget has two major components -- revenues and expenses. The revenue (funds projected to be brought in) side of the budget is expected to balance with the expenditure (expense) side. When expenses exceed revenues, adjustments must be made. These are usually in the forms of decreased spending or increased taxation, which is clearly beyond the control of the warden or the director. The preparation, approval, execution, and evaluation of a budget usually takes place over a period of time, in some states over several years. The phases of the budget preparation and approval process may involve attending workshops and hearings, completing forms, and preparing data to justify every request.

While the specifics of the budgetary process vary from state to state, the budgetary process can be divided into four general phases.

**Budget Preparation**

Specific direction on budget preparation is usually provided by the central or regional office. In some states, the central or regional office may also keep the records of expenditures, depending on whether the facility or centralized authority pays the bills. In general, the following must be taken into account during the budget preparation phase.

- Analyze what was spent in the current year;
- Project what is needed in next year's budget;
- Assess the condition of equipment and facilities; and
- Identify ways to better manage and control expenditures.

**Executive and Legislative Review**

After a warden prepares a budget, it will be the subject of extensive review inside the agency before it is combined with the agency's total budget, forwarded to the governor, and then to the legislature. At the executive level, or during legislative hearings, you may be challenged to justify the request, develop alternatives, or find a way to manage the institution if budget cuts are imposed.

**Execution and Reinterpretation**

When approved by the legislature and signed by the governor, the budget becomes operational.

**Evaluation/Audit**

Near the close of each year, fiscal management involves the closing of accounts and the evaluation and audit of programs. This process can occur during the budget year, or one or more years after the end of the fiscal year.

You must quickly learn about the budget, procurement, and monitoring processes in your state and region. Identify the local and state legislators who are involved in, or can be helpful to, the process. Be proactive in developing working relationships to educate elected officials about correctional issues and needs.
It is imperative to understand and monitor the current facility budget. You must know where there are dollars that are not firmly obligated in the event of unanticipated expenditures. You must know the facility budget well enough to avoid over-dependence on the business manager to identify funds that can be used elsewhere.

Facility Budget Preparation

If you are responsible for the preparation and submission of the facility budget, the preparation process should involve the management team, both to receive their input and to promote their career development. The budget is linked to the institution’s mission, vision, and values. It supports the operations and programs that are determined to be priorities.

To prepare a facility budget, you should have available the information about the current and past years’ expenditures. The proposed budget is usually prepared based upon the previous year spending patterns. Many budget items will increase (or decrease) by some percentage, the percentage being predetermined by central office fiscal staff. For example, salaries will increase as individuals receive raises during the year, and benefit costs will increase as a percent of salary. Not all positions will be filled for the entire budget year and adjustments are usually made for this factor.

An analysis of past spending practices often provides ideas for cost savings. Cost implications associated with the weather, increasing or decreasing numbers of inmates, and costs for food, clothing, and medical care are a part of the analysis. Cost projections should be realistic and fully justified. Capital expenditure requests to repair poorly maintained major infrastructure items, e.g., sewer or water lines, can be accompanied by an analysis to demonstrate the cost savings of preventive maintenance versus the cost of emergency repairs. To adequately plan and budget for repair and replacement, review an up-to-date inventory of all major equipment. The inventory should include the purchase price, purchase date, all scheduled and completed preventive maintenance, all repair costs with the dates completed, and the current condition of the equipment.

Justifying, Defending, or Presenting the Budget Request

You will be asked to justify and defend a budget request. Data is the key to budget justification.

While preparing a budget, you should challenge the management team to ensure that the basis for the budget requests is sound. Budget requests may be justified in terms of cost saving strategies, safety issues, legal requirements, importance to the managing the facility, workload data, or community benefit. Many legislative committees are enlightened by information such as the number of inmate meals the facility served in the last year, the unit cost, the number of inmates who received a GED, or the number and dollar value of community projects completed by inmate work crews.

Occasionally, a budget will be presented to legislators, agency executive staff, governor's staff, or at a public hearing. A budget presentation may include a summary of the facility's mission, why specific funding is needed, benefits of the request, cost savings initiated, and a comparison to past years expenditures. Budget presentations must be accurate, professional, short, and relevant.
Monitoring the Budget

Your real chore begins with the monitoring of the approved budget, dealing with unexpected costs, and curbing out-of-control expenditures. Budget management is not a monthly event, but an everyday task. You need to have a process to ensure that the appropriate personnel are involved, and that a crisis doesn't appear at the end of a fiscal year, a crisis that could have been handled with better fiscal management. As part of budgeting monitoring, some states include compliance with performance-based standards. If so, be sure that the data documenting compliance is maintained and reported.

Budget monitoring can involve a simple straight-line method where expenses equal .083% or 1/12 of the total budget. Or, it may be a more advanced level taking into consideration factors affecting the revenue/expenditure stream, such as a seasonal increase in utility costs. You may consider placing spending controls on the budget, or require managers and department heads to manage and monitor their own expenditures. In the end, you cannot delegate the responsibility for fiscal management.

In monitoring the budget, focus on the following three areas:

**Personnel**

Personnel costs include wages, benefits, overtime, insurance, etc. These costs represent the largest share of the total budget, approximately 75% or more. Controlling these costs will significantly affect operating expenses. Evaluating these expenditures can be accomplished through roster management, staffing analysis and management of overtime, absenteeism, productivity, and staff turnover.

**Materials**

Materials required to operate the facility include expenses for electricity, gas, water, telephone, food, medical services, office supplies, uniforms, maintenance, insurance, transportation, legal, and major contracts. Controlling these costs includes analyzing patterns in utility and equipment usage, long distance telephone controls, food service expenditures, and medical contracts and controls.

**Capital**

Capital expenditures include vehicles, computers, and the computer infrastructure, furniture, major mechanical items, e.g., air conditioners, boilers, elevators, gates, fences, pumps, security systems, kitchen equipment, etc.

Jurisdictions define capital expenditures differently. Cost controls in this area involve preventive maintenance, and the developing and monitoring of a capital replacement plan based on the life expectancy of equipment and vehicles.

Software programs are available to help you with budget preparation and monitoring. These programs can generate periodic reports to compare the overall expenditures to date, the expenditures for the current month or quarter, expenditures compared to the monthly or quarterly allotment, and expenditures compared with the budgeted amount. In addition, funds budgeted for the previous year and the amounts actually expended can be compared. If the agency doesn't have software for budget preparation or monitoring, or if it is not available to you, user-friendly spreadsheets are a part of some word processing software, e.g., Excel or Microsoft Works.
In the event of significant unforeseen expenditures, a budget amendment may be submitted, requesting funds that were not requested in the regular budgetary process. Usually, the central office will attempt to locate the resources within the agency budget before they will prepare and submit a budget amendment.

**Evaluation and Audit**

Audits may encompass record adequacy, an appraisal of the condition of accounting and controls, the integrity of financial information, administrative compliance with rules, procedures and policies, or the efficiency and effectiveness of operations and programs. Audits may be internal to the facility, or external and completed by an outside independent organization or state agency.

You should review the most recent audit reports as well as the facility’s response. Previous audits will highlight the weaknesses in the facility’s fiscal management. You must be certain deficiencies are permanently corrected. Continuing audit deficiencies are unfavorable and must be accompanied by a plan for resolution.

Consider requesting a formal audit to find out how previous budgets were allocated and managed. Even if the audit does not take place for months, the request will be on file, indicating your concern. An audit should also be requested of inmate funds.

**Conclusion**

Your role in the preparation of the facility budget will vary depending on your state. You cannot afford to be distant from the fiscal management process. The total agency budget is often influenced by political agendas. The budget represents policy decisions and what can be accomplished during the budget year. The central office may control allotments to the facility, and can retain a portion of each facility budget as an agency "reserve" for unanticipated expenses. Whatever the process, you must stay actively involved, documenting needs, and lobbying for funding your facility’s objectives.

**Terms Used in Fiscal Management**

**Allotment/Allocation**

Funds that may be expended or obligated over a specific time, i.e., monthly or quarterly.

**Appropriation**

Funding approved for the agency or the institution by the state legislature.

**Audit**

Formal review and verification that funds reported as expended for a particular program were actually spent for that program, and that programmatic results were obtained. May include a cost benefit analysis to determine relative value to the agency or facility.
**Budget Year (BY)**

The period of time during which funds are to be spent, or obligated. See Fiscal Year.

**Budget Cycle**

The budget cycle includes the preparation, approval, execution and evaluation of a particular budget. It usually takes place over a period of several years.

**Capital Budget**

A portion of a budget that addresses the acquisition, construction, improvement or replacement of long life items that have significant one time costs. Usually includes buildings, tractors, elevators, repair and/or replacement of sewer or water lines, industrial equipment, vehicles, etc. These replacement items should be part of the capital replacement plan.

**Capital Replacement Plan**

A multi-year planning and management tool that links the long range capital needs of a facility or agency with the annual budget process. Long range capital needs include the acquisition, construction, repair, improvement or replacement of items that have a long useful life, are very costly major investments and are not likely to be funded again in the short term. This document details the expected life of capital items and determines an improvement or replacement schedule over a period of 5-6 years. Example: if a vehicle's life span is three years, and the cost of a new vehicle is $60,000 in three years, the capital replacement plan will set aside $20,000 each of the next three years to purchase the new vehicle.

**Cost-Benefit Analysis**

Cost-benefit analysis determines the value of a program by comparing how much money or resources were used for the program against the dollar value of benefits received by the agency, inmate, staff, etc.

**Encumbrance**

Dollars specifically set aside or earmarked (obligated) to be spent on a particular item or group of items.

**Expenditure**

Expenditures are monies in the process of being spent or have already been spent on a specific item or group of items.

**Fiscal Year (FY)**

The FY is an arbitrarily defined budget year that varies among jurisdictions. For example, the Federal fiscal year runs from October 1 - September 30. Many states' fiscal year runs from July 1 - June 30; and others from January 1 - December 31.

**Line Item Budget**

A budget that identifies allotments or appropriations in detail within broad categories of personnel, operating and capital such as such as wages, insurance, travel, office supplies, etc.
Management by Objective (MBO)

A budget development technique that proposes expenditures based on achieving an objective. For example, rather than compiling staffing costs associated with security operations in a line item budget, MBO focuses on achieving a particular objective, e.g., improving facility cleanliness, and the associated costs with achieving that objective.

Operating Budget

The spending plan used by a warden during the budget year.

Obligation(s)

Funds targeted or promised to be spent on a specific item or in a specific manner.

Procurement

The process by which goods and services are purchased.

Program Planning and Budgeting System (PPBS) or Program Budget

The program budget focuses on valued societal outcomes rather than control of expenditures. Requires the articulation of substantive policies and the request of resources to accomplish those ends.

Performance Budget or Performance Based Budgeting

Budget format in which program information is developed in terms of the cost per unit of service delivered. This usually includes performance measures to determine if production processes are efficient.

Results-Oriented Budget or Outcome Based Budget

A budget process that attempts to improve the agency's ability to address its public mission by relaxing input controls, e.g., fewer line items, additional discretion in moving funds between line items, and streamlined procurement procedures.

Target-Based Budget

A variation of the zero-based budget in which agencies assume that their budgets have been reduced to a base more than zero, e.g., 80% or 90% of the current allocation. Competition among programs is paired with a mechanism for reallocation.

Zero-Based Budget

A budget format that reviews all programs from the ground up, not just in terms of changes proposed for the budget year. Each year, a warden starts planning the budget building from zero dollars and justifying every expenditure. Requires agencies to rank in order their programs by priority.
Resources


- Good budget theory discussions including Line Item, Performance Budgeting, Planning Programming Budgeting System, Zero Base Budgeting, Policy and Expenditure Management System and Target-Base Budgeting (US application of PEMS).


www.aaas.org/international/eca/present/PropWrit/tsl058.htm

- Offers an example of a budget justification.

www.state.hi.us/budget/statefin/statefin.htm

- A budget preparation and definitions site.

www.gpi.missouri.edu/dissemination/bhtguide.html


www.statelib.wa.gov/refdesk/today/ti_budg.htm

- Budgeting for Public Managers: A Basic Reading List

www.josseybass.com/catalog/isbn/1-55542-336-1/


www.aabpa.org

- American Association for Budget and program Analysis. Contains information and guidelines.

www.oecd.org/puma/budget/index.htm

- Information on budgeting in the Public Sector.

www.gfoa.org

- The Government Finance Officers Association (GFOA) with links to many other sites.

www.state.il.us/budget

- Illinois Bureau of the Budget Information Center with links to other similar sites.
RESOURCE GUIDE FOR NEW WARDENS

www.nasbo.org
   National Association of State Budget Officers.

www.gasb.org
   Governmental Accounting Standards Board.

www.access.gpo.gov/usbudget/index.html

www.access.gpo.gov/usbudget/fy2001/maindown.html
Human Resources Management

Managing human resources is critical for an institution to achieve its mission and ensure your success. As a warden, you are often faced with a multitude of human resources related issues, regulations, and mandates. Hiring staff can be frustrating; and keeping good staff is a significant challenge. Employees are the most expensive and valuable resource in the organization. The following checklist will assist you with the human resource management aspect of being a warden.

✔ Understand why employees are leaving.

✔ Become familiar with the employee hiring process, including screening standards, pre-employment testing (physical and psychological), know who has final authority to hire personnel, and the length of time from application to hire.

✔ Review the status of employee training. Which employees received training in the past year? What is the training plan for the upcoming year? Who is to be scheduled to attend, and what are the subjects, locations, and training dates?

✔ Learn the staffing plan by position, when it was last reviewed, and last updated. What are mandatory posts, by your definition?

✔ Know the number of security posts necessary for each shift as a means of controlling overtime.

✔ Review employee grievances for the past year and determine if there is a pattern to the complaints, as well as, how managers responded.

✔ Review reports of employee discipline for the past year and determine if there are behavior patterns. Know the organization's staff discipline procedures.

Discussion

You are faced with managing human resources in a complex world. As the warden, you need to be aware of the state and federal mandates that address all phases of human resource management. These include:

• Managing a diverse workforce;
• Addressing absenteeism;
• Handling staff turnover;
• Rewarding and praising staff;
• Correcting and disciplining staff;
• Staffing, roster management, and vacancy factors;
• Providing appropriate staff training;

"In my experience, 75% of the warden's time is spent dealing with personnel issues; 15% is spent dealing with budget and management issues, and the rest of the time, if you have any, is spent dealing with inmates."
• Working with labor-management relations; and
• Ensuring compliance with equal opportunity, ADA, Family Medical Leave, substance abuse and workers’ compensation.

Workforce Generations - Veterans, Boomers, and Generation X

Each generation believes that the next generation is not as good as they are, are sometimes difficult to manage, and will never amount to much! While much is said about the current mix of several generations in the work environment, you should consider the apparent inter-generational conflict as nothing new. In fact, excessive labeling of any of the current generations is detrimental to all.

Diversity in the workforce means more than leading and managing persons of differing sex, national origin, race, creed, sexual orientation, and disability. Inter-generational issues pose new challenges for wardens. Within your facility, you may have three distinct worker categories. Each group provides a unique challenge to the organization. They are:

• Veterans - individuals born between 1922 and 1943;
• Baby Boomers - individuals born between 1943 and 1960;

Inter-generational conflict can become a major organizational issue. Born in the decade following World War II, many of the top leaders and managers are veterans preparing to retire. Many new wardens, and most mid-level managers, are boomers born during the unprecedented "good times" of the 1960s and 1970s.

Veterans

Traditionally, veterans are viewed as solid, practical, no-nonsense performers. They are characterized as individuals who are dedicated, sacrifice for their job and families, work hard, respect authority, adhere to rules, value honor, stability and loyalty, and who seldom disagree with or challenge the system. Organizations recognize veterans as the "Elder Statesmen" of the organization. In general, veterans see boomers as too open to discussion of private matters and very self-absorbed. They see Generation Xers as undereducated, with no respect for experience, unable to follow orders, and individuals who do not understand the value of hard work.

Baby Boomers

Boomers are generally energetic action-oriented team players. They are involved with the spirit of the workplace and are optimistic, driven and willing to go the extra mile. They are seen as reluctant to challenge peers, overly sensitive to feedback, judgmental, and self centered. Boomers, who are mostly in roles as managers, view veterans as narrow, dictatorial, inhibited, rigid, and technologically primitive. Boomers view Generation Xers as

self-serving, cynical, technologically over-dependent, rude, and individuals who lack social skills, want to do everything their own way, and are impatient.

**Generation Xers**

The line staff are likely to be Generation Xers, born in the era of working parents, explosive advances in technology, corporate downsizing, and subsequent job loss. Generation Xers view the world of work quite differently from their parents and older co-workers. Generation Xers are generally not conscious of class or social status, and are likely to relate to inmates on their own terms. They may have difficulty being objective, firm, and consistent with inmates. Supervisors must reinforce the "why" of healthy boundaries between staff and inmates whenever the opportunity arises.

Organizations see Xers as clever, technologically literate, and multi-taskers. They are viewed as individuals who think globally, are informal, and independent. Generation Xers always ask "why?". Generation Xers see veterans as set in their ways. They are individuals who can be ignored because many will soon be retired. They see boomers as dictatorial, obsessive, self righteous, technologically challenged, too serious, and workaholics.

Successfully integrating Xers into the workforce involves educating supervisors about Xers strengths and the best methods to motivate and involve them in the life of the institution. If supervisors not only give Xers assignments, but in the process, teach them "why" it needs to be done what way, the Xers will see assignments as learning experiences. Frequent feedback is necessary to give them the desire to perform.

In corrections, with its paramilitary structure, it is difficult to attract and retain Generation Xers. The successful warden will look for ways to draw and retain these potentially creative employees by implementing work practices that promote their selection, retention and advancement. In addition, the warden must help more senior key supervisory staff understand and deal with this unique generation. Effective utilization of the workforce is a critical issue.²

**Absenteeism**

Absenteeism, defined as unscheduled leave from work, is a significant issue in the U. S. economy and in corrections. An Internet search revealed over 17,000 sites dealing with workplace absenteeism. Absenteeism is estimated to involve more than 6% of the workplace daily, and 75% of unscheduled absenteeism is attributed to stress.³ Unscheduled staff absences creates overtime, lowers staff morale, and makes supervisors scramble to ensure security posts are staffed.

Wardens struggle to determine what is "legitimate" sick leave. Some staff members believe that they are entitled to use sick leave as it is accrued. Staff may be worn out from job stress and overtime demands, and use sick leave as a result. Employee morale is often


³http://sharingvillage.com/Pages/EmployeeAssistCenter/DealingWAbsentWrkplc.html.
tied to high levels of unscheduled leave. The issue is exacerbated when understaffed facilities use mandatory overtime to cover posts, adding additional stress in the workplace. In turn, this leads to more illness and sick leave.

Managing absenteeism involves careful monitoring of data to identify employees who are absent frequently, and work units that have a higher than average absenteeism. Absenteeism issues can be made worse if individuals regularly absent are supervisors or managers. Once you assess whether there is a problem, and to what extent, it is then time to act. Involve managers and operational staff in developing solutions. Role model the desired behavior, and require management’s commitment to lead the way in addressing absenteeism.

Policies on absenteeism should be communicated to all employees and highlighted by supervisors and managers. Possible approaches to absenteeism include eliminating the organizational conditions that contribute to absenteeism, employee counseling, employee discipline, a reward system for positive behavior or a combination thereof.

Consider what you may be adding to the organization's stress. Assess the sources of organizational stress and plan to alleviate as much of them as possible. Working hard to achieve a mission takes its toll.

Reducing absenteeism is often an issue of changing the institutional culture, e.g., counseling staff about expectations, reducing organizational stress, and ensuring that legitimate sick leave is accommodated. Cooperation and buy-in by the collective bargaining unit(s) are necessary to achieve this cultural change and reduce absenteeism. A combined approach to address absenteeism involves role modeling, counseling, removing organizational causes, disciplining negative behavior, and rewarding positive behavior.

**Turnover**

Turnover occurs when employees leave an organization and have to be replaced. Turnover is expensive as it involves all the costs associated with hiring the former employee, as well as, the cost of recruiting, screening, hiring, and training a new employee. Newer employees are more likely to leave than employees who have been on the job longer so efforts at staff retention can start by improving recruitment, selection, orientation and training of employees.

Turnover can be simultaneously addressed on several fronts. During the recruitment process, the job must be presented in clear and unambiguous terms. Work site tours or a realistic video may be presented so that individuals can see what the work entails and opt out of the process if the job is not suitable. Pre-employment psychological screening can help to identify individuals who are not compatible with corrections work. Pre-employment background investigations must be done to determine work history. While former employers are reticent to give information, they may provide the number of days an individual was absent or arrived late during the prospective employee's term of employment.

Careful evaluation of the possible reasons for a high attrition rate may indicate the need for additional staff training, greater in-depth pre-employment investigations, enhanced
policies and procedures to specifically address workplace stress, changes in supervisory or managerial practices, communications to inform employees of the expected behavior and the consequences of failure to follow the rules, and, most importantly, rewards for excellence.

**Rewarding and Praising Staff**

Most government personnel systems have far fewer procedures in place to reward and praise staff, than to discipline them. For this reason, actively seek ways to acknowledge and reward staff for a job well done. Staff ideas of rewards are not necessarily the same as administrators. Input from staff allows you to determine what is important to them. Identify their good ideas, which may not necessarily be costly.

Rewards for positive behavior can include being acknowledged for perfect attendance, best maintained housing unit for the period, greatest improvement in the appearance of their assigned work area, or other achievements. The most difficult employee can often become productive through praise and reinforcement of desired behavior. When touring the institution, you should make it a point to notice positive staff behavior and comment on it to both the employee and the supervisor.

It may be possible to provide a cash bonus, paid time off, or other fiscal reward either through the established budget or an employee fund. Internal rewards may be instituted to reward positive behavior, e.g., a free on-duty meal, a premium parking space for a period of time, a picture and description of the accomplishment on the employee bulletin board or in the institution newsletter, purchase of unused sick leave, or allowing the employee to convert some sick leave to annual leave. Or, it may be a special assignment for a period of time.

**Correcting and Disciplining Staff**

Although a major goal of staff discipline is to correct future behavior, the immediate impact is usually negative. Employee rights are frequently an issue in employee discipline. These rights may be guaranteed by specific laws at the federal, state and local level, and/or contractual rights in collective bargaining agreements. Employee rights vary from state to state, and you should be well versed in the employee rights affecting your jurisdiction.

Because the consequences of mistakes in corrections are potentially catastrophic, disciplinary systems establish a range of sanctions. Discipline should usually be progressive and must always be aimed at the behavior rather than the employee. Discipline must be consistent within the organization, timely, impersonal, and based on objective and accurate written records.

You also need to know the history of staff discipline in the institution. How staff perceive the discipline process is as important as how the system actually works. Listening to staff will reveal whether the staff discipline process is a source of low morale, or conflict between staff and supervisors. Assess whether the process really corrects behavior and prevents mistakes.
Staffing, Roster Management, and Relief Factors

Since staffing costs represent the largest percentage of your budget, efforts to impact the budget start here. You must be satisfied that the existing staffing plan is appropriate and correct. Minimum staffing plans can be developed using this information.

Staffing will most likely be related to collective bargaining agreements in states where public employee unions are permitted. These agreements may specify the number of individuals who can be on vacation at any one time, and how vacation dates are designated. Collective bargaining agreements may also address whether posts are "bid," or if the number of assignments may be determined by management.

The relief factor is an institution-specific number to identify the number of staff required to fill one post. The relief factor includes the number of hours taken during the last full year for the following:

- Sick leave;
- Training;
- Vacation and compensatory leave;
- Military leave;
- Temporary duty re-assignments;
- Workers' compensation leave;
- Family Medical Leave Act (FMLA);
- Suspensions; and
- Absent Without Official Leave (AWOL), or no just cause.

The relief factor identifies the number of hours personnel were not on the job or available to work a post during the year. To obtain a percentage, this number is divided by the total number of hours required to cover the facility, assuming the facility was fully staffed. This percentage can then be applied to determine how many staff are required. For example, a facility calculates its relief factor at 1.7. To determine the number of employees required to cover a post for 3 shifts per day and provide 24 hours per day, 7 days per week coverage, the formula is: 3 shifts * 7 days * 1.7. The result is 35.7 staff are required to work this post. It is necessary to compute the relief factor each year, as it can dramatically change based on the longevity of the work force.

A staffing plan can be used to support budget requests. The management team can use the data to consciously determine the facility's activity level each day and each hour. This is known as roster management. A review of the post descriptions may reveal that certain jobs can be combined or performed during a different time of day, or a different shift must be established to cover some assignments.
Developing and Training Personnel

Most wardens agree that one of their primary functions is to train and mentor the next generation of wardens and managers. This is an important legacy, not only to the individuals involved, but to the future success of the organization. Staff training represents a significant impact on institution resources both in terms of the hours spent away from work, and the training costs of the instructor and materials. Well planned and delivered training, relevant to the tasks at hand, will also improve employee job satisfaction.

You need to know how training and staff development has been accomplished in the past. Unfortunately, training is often one of the first things to be cut in stressed fiscal times. The quality of training also affects the ability of your staff to accomplish the mission. Poor training does not add to the skills, safety, or morale of staff. Staff development focuses on refining knowledge to do their current job, and acquiring skills to perform future jobs. Training to achieve job proficiency is essential in corrections, where mistakes are potentially catastrophic.

Diversity, EEO, ADA, FMLA, Substance Abuse, Workers Compensation

You will face some hard issues. Some wardens feel that inmate management is much easier than workplace management. This is because they have sound experience in managing inmate related conflict, but almost no experience in managing workplace conflict. The following will require your attention.

Diversity and Equal Employment Opportunity (EEO)

Effective leadership allows a diverse work force to flourish and emphasizes the strengths of diversity. As noted in the discussion about inter-generational work conflict, diversity is more than age, race, sex, national origin and creed. Diversity includes sexual orientation, disabilities, and non-traditional families. You should be prepared to lead in the new work place. Successfully leading a diverse work force means improved job satisfaction for workers and a more attractive work place for potential applicants.

EEO requires equal treatment of all qualified individuals in work matters such as hiring and promotion. Federal, local and state laws provide that persons cannot be discriminated against based on race, religion, age, nationality, sex, disability, and in some states or localities, sexual orientation. Two Federal civil rights acts define many of the EEO principles: The Civil Rights Act of 1964, also known as Title VII, and the Civil Rights Act of 1991.

ADA (Americans with Disabilities Act)

The 1990, Americans with Disabilities Act (Title I) prohibited discrimination against qualified individuals with disabilities. Accordingly, a qualified person with a disability is someone who has a physical or mental impairment that substantially limits major life activity, a record of such an impairment, or is regarded as having such an impairment. The Act prohibits discrimination against individuals with disabilities who can perform the essential job functions, and requires that the employer make reasonable accommodations so the individual can successfully perform the functions of the job. This accommodation must be made unless the organization can document undue hardship, or the person poses
a direct threat to the safety of self, and others. In addition, preemployment physical examinations are prohibited until a conditional offer of employment has been made.\(^4\)

As a result of *The Board of Trustees of the University of Alabama v. Garrett*, in 2001, the Supreme Court changed the ADA’s relationship with state employees by exempting them from Title I of the ADA. This change does not relieve the state of compliance with the Rehabilitation Act of 1973, Section 504. This law applies to employers who receive Federal funds.

Section 504, as it is commonly referred to, was the first civil rights law to protect people with disabilities. It prohibits discrimination, requires reasonable accommodation, provides for program accessibility of existing facilities and new construction, mandates free appropriate public education, health, welfare, and social services for eligible individuals.

Title II of the Americans with Disabilities Act applies to inmates, inmate programs, and inmate access to different parts of a facility. Title II addresses disabled inmates, access to programs, accommodations such as sign language interpreters, and providing basic health needs such as dentures, eye glasses, and prosthesis. The ADA also applies to inmate visitors.\(^5\)

You need to know how these laws relate to your facility. You should have a contact person within your agency who can help with interpreting the ADA and Section 504 regulations that involve staff, inmates and inmate visitors.

**Substance Abuse**

Substance Abuse is defined as the use of illicit substances or the misuse of controlled substances, alcohol or other drugs. Substance abuse can be suspected when there is increased absenteeism, tardiness, higher rates of mistakes or changes in work-related behavior.

Substance abuse in public safety professions is a significant concern. In a national survey, 7.7% of U.S. workers reported current illicit drug use. This figure remained stable during the years, 1994 -1997. Eight percent of workers reported current heavy alcohol use. Workers between the ages of 18 - 24 years old were more likely to report illicit drug use than workers who were 25 - 29 years of age. In organizations employing over 500 employees, 5.4% of employees reported illicit drug use, and 7.3% reported heavy alcohol use.\(^6\)


Review the facility's Drug Free Work Place policy. It should outline how the agency will maintain a safe working environment. This policy often addresses random and for-cause drug testing of employees and identifies resources for employee assistance and related services. You may wish to meet the agency personnel involved with the employee assistance program. Having a personal relationship with these professionals may offer additional insight into the best ways to refer staff and to obtain help for supervisors struggling with a substance abuse problem, or identifying one in a subordinate.

**The Family and Medical Leave Act (FMLA)**

The 1993 Family and Medical Leave Act (FMLA) provides that employees who have worked 1,250 hours in the previous year for up to 12 weeks of unpaid leave for the birth or adoption of a child; to care for a family member with a serious health condition; or for the employee's serious medical condition. The FMLA has created a more “worker-friendly” environment, but has also strained resources. With more women in the corrections profession, child birth and care for chronically ill children have made FMLA a staffing factor. With more older workers needing to care for aging parents, the FMLA will continue to have an impact on staffing.

**Workers' Compensation**

Workers' compensation laws exist in all states. They provide benefits for individuals injured on the job, including cash benefits, medical care, and rehabilitation services. Under these provisions, employees are entitled to prompt and definite payment from the system without proving that the employer is at fault, and in exchange, employees give up the right to pursue legal action and resulting awards.

You need to ensure information on workers’ compensation claims is used to help make the institution safer. Reviewing worker compensation records helps to identify potentially hazardous working conditions.

**Conclusion**

As the warden, you will be faced with an alphabet soup of mandates, ADA, FLMA, EEO, etc. While wardens can surround themselves with trained staff, and delegate operational details, there are few substitutes for knowledge and learning about the complex world of human resource management.

**Resources**


Information and books about workplace absenteeism.

//sharingvillage.com/Pages/EmployeeAssistCenter/DealingWAbsentWrkplc.html
Dealing with absenteeism in the workplace for employers.

www.dol.gov
U. S. Dept. of Labor, Small Business Initiatives substance abuse database.

www.workplace.ca
Workplace topics and issues.

//xgeneration.virtualave.net
Search engine for Generation X sites.

www.eeoc.gov
Equal Employment Opportunity Commission home site that provides management directives, interpretive final rulings, jury determinations and guidelines on discrimination.

www.eeoc.gov/facts/fs-sex.html
EEOC online document regarding sexual harassment.

www.employer-employee.com
Labor resources for employers and employees.

www.equalopportunitynews.com
Tips on documentation necessary to avoid an unlawful discriminatory act.

www.governmentguide.com
Click on officials or agencies to find links to government and independent agencies.

www.dol.gov/dol/esa/fmla.htm

www.pueblo.gsa.gov
General Services Administration publications. Search "FMLA."

//janweb.icdi.wvu.edu/kinder
Americans with Disabilities Act document center.

www.usdoj.gov/crt/ada
US Department of Justice site resource page for ADA.
//janweb.icdi.wvu.edu/links/adalinks.htm

Links to materials, enforcement and technical assistance for ADA.

www.robson.org/capfaq/ada.txt

Full text of the Americans with Disabilities Act.

www.naric.com/search/dbtac.html

Information on the Rehabilitation Act of 1973. Provides assistance, training and resources to business, agencies, etc. Re: ADA.
Contract Administration

Over half of the new wardens surveyed indicated they were unprepared to handle contract administration when they assumed their new position. Today, most corrections facilities contract for some services and goods. The objective of contracting is to save time, money, and reallocate resources. Contract administration poses challenges for a new warden to ensure that the goods and services are delivered, that the contract is managed appropriately, and that vendors are performing to contract specifications. (See Section IV, Privatization). The following checklist will help you to assess what you know, and what you need to know, about contract administration.

✔ Review state laws and agency procurement regulations, determine when competitive bids are required;

✔ Assess when the agency legal staff can help you develop requests for proposals, analyze bids, and develop contract language;

✔ Meet your facility vendors, learn what goods or services they provide, at what cost, and under what performance requirements;

✔ Be aware of the expiration date of contracts and whether extensions can be granted, or when a new bid process is required;

✔ Review contract monitoring reports for all your facility's contracts. Determine if vendors had cost overruns, or delivered sub-standard services;

✔ Regard monitoring of contractors' performance as part of fiscal management. Consider designating a position as responsible for monitoring contracts;

✔ Know the physical needs of the facility and the state of maintenance of the physical equipment in the facility; and

✔ Determine whether there are contract services provided in your institution under an agency-wide blanket contract. Review performance criteria.

Discussion

There are valid reasons why governments purchase goods and services from the private sector. These include cost savings, avoiding start-up costs, the ability to provide highly technical services, and the flexibility of the private sector.

A contract is only as good as the procurement process. A well thought-out Request for Proposal (RFP), specific qualifications for bidders, objective performance measures, and an analytical bid evaluation process are essential.

You may be faced with contracts having few, if any performance standards. The services provided may not meet the institution's needs, and there may be potential conflicts-of-interest. Contracting in some states also has political overtones that may present a challenge for the new warden.
Understanding the Procurement Process

The procurement process in most states is guided by specific laws, rules and regulations designed to encourage private sector participation, protect the state agency, and insure a scrupulously fair and open process. The organization's procurement officer can be a valuable resource with insights into how the process works, and the qualifications of current and previous contractors.

Most states' contracting procedures include a specific time frame within which a request for goods and services is open for public bidding. Other states regulate where the request must be advertised, and for how long. Some states have contracting guidelines specifically for corrections related services. Most states have dollar thresholds that determine when a competitive bid is necessary, as low as $500, or as high as thousands of dollars. Each state has rules governing when a contract can be awarded without a competitive bid through a sole source designation.

Finally, most state regulations address when an existing contract can be renewed or continued, and when a re-bid is required. You need to be aware of your state's procedures.

Developing Solicitations or Requests for Proposals (RFPs)

The more definitive and specific the request for proposal to perform a service or purchase a product, the more likely the end product will be provided satisfactorily. Time spent developing the details is essential. These details include the following.

- Budget allocated for the service or product;
- Number of times a week, month, or year, the service is to be delivered, to what location, and at what time of day;
- Response time required when the facility calls for service;
- Qualifications and certifications of the persons who will actually deliver the service;
- Requirements that the provider meet all relevant industry and professional standards, e.g., ACA or NCCHC;
- Requirement that the providers pass background checks if working inside the security perimeter;
- Specifications for the product to be used;
- Training or orientation to the facility required of providers before they can begin work;
- Facility or the provider to pay for spare or replacement parts;
- Vendor's supervision of on-site work; and
- Use of inmates to assist the provider.
Preparing a request for service is a process, not just a document. The more complex and costly the goods or services, the more detail is needed. In developing an RFP for inmate food services, or inmate medical services, help from food and medical professionals may be necessary. Reviewing contract language from other facilities, or using a template developed by the organization or state procurement agency may help with the RFP development process.

The RFP's standard language in most jurisdictions addresses the following:

- Minimum qualifications to bid on the contract, e.g., length of time delivering the goods or services, financial capacity, history of contract defaults or terminations, legal corporate status, past bankruptcies, etc.;

- Bidders' past history of providing the same service;

- List of current contracts with contact information to be used as references;

- Process by which the bids will be evaluated, either through a committee, by individuals, or through oral presentation;

- How the list of providers will be narrowed;

- Proposers' appeal process;

- How the agency will respond to questions from bidders during the process and how that information will be transmitted to all potential bidders; and

- Criteria that will be used to rate the bids, including whether the lowest cost is the single determinate of contract award.

Evaluating the Responses to Requests for Proposal (Bids)

In some states, the bids will be received by the central procurement office. The office will verify that the bidders are qualified and that all required information has been provided. The qualified bids will then be forwarded to the warden for evaluation. If the RFP language was carefully prepared, the bid review process should go smoothly. Each state has different rules about how the evaluation will occur, who may participate, if the meetings must be recorded, and whether meetings to discuss bids are open to the public.

Most evaluation processes rely on a committee to rate each proposal using the criteria included in the RFP. Depending on state law, these evaluations may be written or oral, and may be a public record. The evaluation process may also include interviews or oral presentations. If oral interviews are used, a rating tool is needed so that this process can also be objectively evaluated by the committee.

Most states delineate the process by which the recommendation to contract with a specific vendor is finalized. Often the recommendation from the warden and the committee will be reviewed by the central office or procurement office prior to actually awarding the contract.
Developing Contract Language

Most states have standard language for contracts. You need to ensure that the performance standards included in the RFP are incorporated into the contract. You can only hold the contractor accountable for what is in the final contract.

Holding Vendors Accountable

Most corrections administrators at some time in their career have been frustrated by a contract service or product that does not perform to expectations. To achieve a high performing contract requires monitoring and communication. Ensure that the concerns are communicated, in writing, to the vendor.

All monitoring must be objective and documented. Monitoring of the contract service can be the basis for excluding a vendor in future years, or for cancellation of an existing contract. Most contracts have clauses specifying what notice is required to be given to a vendor for unacceptable services or goods. Remedies and time lines are also usually specified in very large, first-time contracts. It is usual for either party to use this procedure to come to mutual levels of agreement.

The resources you choose to allocate to monitor contracts may be based on the cost and complexity of the contracts. Many costly inmate foods or medical services contracts may be so detailed that a medical or food service professional is necessary to manage the contract. Many times, the salary of this agency employee can be reimbursed to the agency by the contractor, if specified during the RFP and contracting processes.

Managing Existing Contracts

How do you manage an existing contract for goods or services when you are dissatisfied with the services and the contract has no enforceable standards? Start with checking the procurement rules of the agency to see if there are procedures to address unsatisfactory service. Check to see what specific documentation has been developed, in writing, by the staff detailing the shortcomings of the contract. A fast track to finding a solution is essential if the contract is for critical services such as food or health care.

Depending on the state's rules, the procurement or legal staff may need to be involved, or perhaps you can meet directly with the providers to communicate the dissatisfaction. If a meeting is held, you must be prepared to tell the provider specifically what has to improve and by when. Follow-up, in writing, is crucial to documenting the provider's willingness to meet the warden's requirements.
Conclusion

Contracting for goods and services can be mutually beneficial for government and private business if both parties in the contract receive what they need and expect from the relationship. Documenting that you have received exactly what you have paid for is good business. You should ask "Would the president of General Motors accept this level of service from a vendor?" If the answer is "no," you should not accept it either. If the answer is "Yes," both you and the vendor should preserve the relationship.

Resources

www.ip3.org/

www.gmu.edu/gmu/PTAP/calendar.html
   Government procurement related networking and training programs.

www.piperinfo.com/state/states.html
   State by state breakdown of government links. Some multi-state organizations and federal links.

www.naspo.org/
   Home page for the National Association of State Procurement Officials.

www.fedmarket.com
   Free and subscription services related to selling to the federal government.

www.gsa.gov
   General Services Administration home page. Information about government procurement.

www.pronet.sba.gov/
   Services provided by the U.S. Small Business Administration's Office of Government Contracting.
Relationships with Staff, Volunteers, and Unions

More than half of the new wardens surveyed for this project indicated they needed help with labor relations in their first year. As noted by one experienced warden, the staff will have more to do with whether the warden succeeds than the inmates will. A change in administration is stressful for staff. They want to know how the change will affect them personally, and what the new priorities will be. To move your agenda forward, you must build relations with everyone who works in the institution.

The following checklist will help you to assess your relationships, where they stand, and where they may be headed, with staff, volunteers, and unions associated with your new facility.

- Assess the nature of the staff’s relationship with previous wardens and if the institution is employee-friendly;
- Determine the level of stress in the organization. Identify what is causing the stress;
- Read the labor agreement(s). Meet the union’s representative(s);
- Review the minutes of past labor/management meetings. Identify if there are any outstanding issues;
- Learn if there are active employee committees, their history and purpose;
- Review the policy regarding contractors, volunteers and vendors;
- Evaluate policies and procedures regarding how contractors, vendors and volunteers are screened, trained and supervised. Know who monitors this process; and
- Analyze the substance of employee grievances for the past two years and how the grievances have been resolved.

Discussion

You have inherited a staff that has a history with previous administrators. Sometimes, that history will involve past abuses of power or authority; or perhaps your predecessor had an inclusive leadership style. You set your own tone by working with staff in a fair, open, and honest way. It is important for staff to see that accountability is expected throughout the chain of command, with the overall goal of operating safely and objectively. Included in your tone are participatory management and the delegation of appropriate responsibilities.

"Rely on your intuition about whom to trust. Those on your side will not always bring you good news or agree with you."
Labor and Management Relations

New wardens often find themselves in the middle of long-standing labor and management issues. In many organizations, there is a traditionally adversarial relationship between the collective bargaining unit(s) and management. In most organizations, both collective bargaining units and management are recognizing that to compete against privatization, improve safety and working conditions for line staff, and solve problems, cooperation is essential.

In non-union organizations, you may wish to consider establishing an employee committee to assure you are hearing, unfiltered, issues of staff concern. Staff committees can also be part of the change process in the institution, assuring staff input and helping staff gain skills and new insights into facility operations.

You must be aware of the labor laws in your state. Usually, each state has a Department of Labor that has an Internet site. Information on these laws can often be located there. These laws have a direct effect on whether there is a union, non-union, or mixed work force, how dues are paid, and other related work-site issues.

Regular labor/management meetings are a place to start reaching toward shared goals. No matter how busy you are, these meetings should not be delegated to management staff. Labor/management meetings are an opportunity to listen to the concerns of union members. This is an opportunity for you to find out if the institution’s vision and values are reaching all levels of staff. During regular labor/management meetings, ideas can be explored and suggestions for the resolution of issues discussed. You can provide an overview of pending policies and procedures, and solicit feedback.

When addressing union grievances, look carefully at the process of grievance resolution. Some grievances, when carefully reviewed, are symptoms of underlying problems. The grievance may be addressed, but the real issue remains unsolved. Failure to resolve the underlying problem wastes valuable staff and management time, undermines working relationships, and promotes additional grievances.

Anticipating and Addressing Staff Issues

If there is no union at a facility, there may have been another process used by the previous warden to ensure that staff issues were heard and addressed. For example, committees representing staff in different units, or on different shifts, may have periodically met with the previous warden.

If you choose to continue these meetings, or initiate meetings, you may wish to establish clear ground rules about their frequency, who may attend, how issues are raised, and how they will be discussed (respectfully). Regularly scheduled discussions are a good place to gain staff input about new procedures, solicit ideas to improve morale, and identify meaningful ways to reward staff.
Achieving Involvement and Commitment of Line Staff

The management team is responsible for communicating the vision and values of the institution to the line staff. If the line staff does not receive the message, look to the management team for the answer.

Communicating the values, vision, and proposed changes for the facility can be done through formal and informal channels. Identifying the informal leaders, the people staff really listen to, is one of the new warden's biggest challenges. The next challenge is to gain the support of these leaders as an integral part of your team.

Gaining the cooperation of your staff begins by disseminating information on why changes may be necessary, and how the proposed changes will benefit your staff. Once your staff understands the changes, they will be more likely to respond positively.

There will be individuals who respond negatively to any proposed change. Even if the changes include an across-the-board raise, for negative staff members the amount will not be enough. Negative individuals can sometimes be turned around when they are actively involved with the committees or task forces designed to address various facility issues. By participating in the process, staff members are better able assume ownership for the proposed solutions.

Contractors, Vendors, and Volunteers

Contractors, vendors, and volunteers must be cleared and trained prior to entering the facility. Background checks are needed to eliminate individuals with a criminal background or other factors which might be a concern or pose a threat to the safety and security of the facility.

In a large facility, basic services such as food or health care may be contracted. Contractors who feel like "outsiders" will not be high performers. You should ensure that the vendors are part of the institution's life, respected, and held to the same level of accountability as the staff. You or your designee should meet regularly with the contractor. This will allow you to stay informed on the issues before they become problems.

Volunteers are an enormous resource. They bring services to inmates that no prison could ever afford. They are the institution's ambassadors to the community. Meet as many of the volunteers as possible, learn how they contribute, hear about any obstacles they may face in the institution, observe how the staff interacts with them, and become familiar with their links to the community. Volunteers are one source of political clout that will hopefully have a positive impact on the institution. Inappropriate recruiting, screening, and orienting of volunteers can have serious consequences. Volunteers, for their own protection, need to have the rules made clear, and be under consistent supervision.

Because volunteers so generously give of their time and talent, they should be acknowledged for their contributions. This can be accomplished at a banquet, articles in the facility newsletter, pictures on the bulletin board, volunteer recognition week/month, or other rewards that are considered meaningful by the volunteers. In fact, just a simple "thank you" each day as the volunteer heads home can be immensely rewarding.

When staff point out a "problem" for the warden to solve, it is helpful to have an informal policy that "problems" must be accompanied by several reasonable solutions.
Conclusion

The time you spend developing positive relationships with staff, volunteers, and contractors and improving strained relationships is as important as learning how to get around the facility. You cannot hope to succeed without the respect and trust of the staff, union or non-union. Also, contractors and volunteers are valuable resources for the warden. Everyone has a stake in the institution’s success.

Resources


Labor-Management Relations Act of 1947

Amendment to the National Labor Relations Act of 1955 designed to create a more balanced relationship between labor and management. For additional information, refer to: http://www.princeton.edu/hr/policies/appendix/a302.htm.

Labor-Management Reporting and Disclosure Act of 1959

Also known as the Landrum-Griffin Act. Enforces certain democratic rights for union members.

National Labor Relations Act of 1935.

Commonly known as the Wagner Act. Designed to protect worker’s rights to form a union. Refer to: http://hcl.chass.ncsu.edu/garson/dye/docs/wagner.htm for additional information.

www.bpubs.com

Business publication search engine with a collection of articles and publications devoted to labor relations.

www.ilr.cornell.edu/library/

Catherwood Library of labor relations, Cornell University. Check electronic archive for documents and reports re: labor relations and related information.

//Socrates.berkeley.edu:3333/

Information on unions and labor law, e.g., union strategies, law, controversies, etc.
//nav.webring.yahoo.com/hub?ring=unionring&index

Web site listing hundreds of union and labor related sites.


   Bureau of National Affairs web site. A publisher of print and electronic news on labor relations and other issues.

www.merrimack-films.com

   An award winning producer of videos on labor and management relations.

www.ilir.uiuc.edu

   Information about the library containing online resources.

www.nlrb.gov

   National Labor Relations Board with information about national labor laws and compliance.
Influencing the External Environment

Overview

Wardens are expected to work competently in the external environment. Performing well in the external environment is as key to your success as performing well in the internal environment. Components of the external environment include the media, local governments, state agencies, the legislature, victims of crime, advocacy groups, private sector companies, and current technologies.

In many communities, the public's perception of corrections is formed by the action and personality of the warden. If you are active in the community, participate in civic associations, speak at community affairs, and encourage the staff to do the same; the net result will have a positive influence on this perception. Wardens must effectively address community concerns, manage media relations in emergency situations, and respond appropriately to elected officials at the national, state and local level.

Privatization is an issue that has galvanized the corrections profession. You need to know how privatization influences your operation, and how to adapt business strategies to insure effective and efficient management.

Depending on the political environment and structure of the central office, your ability to influence the external environment will vary. You should seek to clarify the scope of your potential influence to avoid a collision with central office policies, or the informal culture of the organization.

The checklists in this section are intended as a guide to help you assess what you know, and what you need to learn in your new role. The Resource section provides ideas for learning more about these topics as you develop a personal learning plan.
Media and Public Outreach

As the warden, you are the leader in the prison community, a community that extends beyond the prison boundaries. The public and the media are involved with the prison -- and just how this involvement occurs is largely determined by you. Endeavor to be proactive, stay involved with the community, and keep pace with the media, will have a positive influence on your ultimate success. Effective community and media involvement offers greater opportunities to recruit the best staff, highlight the positive work of employees, gain public understanding and support, and earn respect for corrections in the community.

The following checklist will assist you in developing a sound relationship with the local community and media.

- Have handy the names and telephone numbers of the reporters who cover the institution from the daily and weekly newspapers, radio and TV.
- Know the names and telephone numbers of the local community groups and organizations for example, the Rotary, Kiwanis, civic associations, Chamber of Commerce, and other business organizations.
- Review the minutes of the most recent community-based prison advisory committee meetings. Who was present? What was accomplished?
- Review the institution’s information package for the media and the community. Is it complete and up-to-date?
- Meet with the designated public information officer. Does the person have the necessary skills and training?
- Review your written procedures on how the media covers routine and emergency situations.
- Read the news stories and media reports about your prison for the last several years.
- Maintain a list of names and telephone numbers of the elected officials currently serving the citizens of the local community.
- Define the list of stakeholders who can help you achieve your mission.

Discussion

More than half of the new wardens surveyed indicated that they needed help with the challenges presented by the media during their first year. Additionally, 55% of the new wardens surveyed required assistance with community relations as they began their new job. Wardens often feel like victims when dealing with the media and are frustrated when their side of the story is untold or distorted. Wardens who understand the importance of gaining support from the local community are better equipped to cultivate this resource to their benefit.
Local News Media

Wardens who know the reporters who cover the institution, and the editors who assign the reporters, have an opportunity to educate them and influence reporting. Wardens who wait until an emergency to try to develop relationships with reporters will end up being part of the story. Newspapers have editorial boards which meet periodically to discuss the newspaper's editorial positions and direction. You should ask to be included in an editorial board meeting in order to hear what the newspaper thinks about the prison, to provide information about prison operations, and most important, to improve future relationships. Editorial boards are most often comprised of the newspaper's editorial writers, columnists, and heads of various news sections.

TV stations have assignment editors and producers who influence what is reported. You can meet with these professionals to establish ground rules and listen to any concerns. A "media" day to which all local news outlets are invited is a way for you and your staff to highlight all the positive aspects of your institution. Talking to a reporter about a story when the reporter has seen the inside of the facility is a tremendous help in getting an accurate story. During a media day, TV stations can take "file footage" for any future stories, under your guidance, avoiding the demands for footage during an emergency.

With the turnover of reporters - both TV and newspaper - your job of education, trust building, and mission clarification is never done. A successful warden knows this, and builds this constituency into their routine.

Here are some other proactive ideas for experienced wardens. Every town or city has local community newsletters that provide information to neighborhoods. These newsletters and newspapers represent resources to help you educate the community. Community access to locally owned and managed cable TV provides another opportunity for an appearance on a program to talk about issues, or to allow the institution to produce and air its own news and features program. You may wish to consider a rumor control hotline for the use of both the media and citizens as a way of building trust.

Prison Advisory Committee

Gaining local support is essential for your success. A prison advisory commission helps align the prison’s mission with the local citizenry, demystifies corrections, helps to build trust, educates the community, forms partnerships, and gives an element of control back to the community. If the prison has a community-based advisory committee, work with the committee to identify outstanding issues, accept suggestions on how the prison can be a better local partner, find resources for the prison, and possibly recruit new employees. Most citizens are able discern if their participation in an advisory committee is merely window dressing or sincerely appreciated. If you embrace and respect the community, you will find partners to help the prison achieve its mission.
Public Information Officer (PIO) and Resource Materials

You need to designate a PIO (full-time or part-time depending on the facility's size) and ensure that the person is properly trained. Designating a PIO does not relieve you of the leadership responsibility to promote the mission of the institution within the community. In smaller institutions, the warden may decide to be the PIO. The resources for a PIO include an up-to-date information package about the institution, presented in a professional manner. The PIO should also retain and file news articles and video clips about the prison.

Citizens, elected officials, and the media may also learn about a prison from the organization's Web site. Knowledge about what to present on the Web site, and how to update the information, are essential tools in the information age.

Community Involvement

Successful wardens report that they, and their staff, are vital participants in the life of the local community. This involvement is through memberships in business and professional organizations, attending public events, communicating with the elected officials in the neighboring cities and towns, and finding effective ways to learn about and address community needs. Inmate workers are an invaluable resource to many communities for road improvements, constructing playgrounds, ball fields, and other public projects. You are the broker of these services, and ensure public safety while adding value to the community. Refer to Section 3 - Shaping the External Environment.

Just as you might sponsor a media day, local officials and citizens can be invited to a prison open house, security issues permitting. This is an opportunity to focus on the prison's mission, highlight the prison's staff, and address citizens' common fears and misconceptions. Once having visited a prison, a citizen's view of, and support for, corrections is more likely to be positively.

Policies and Procedures

An institution seen as "open" by the media and the public will be an asset to your career. But opening the doors means that all staff have to understand what is expected. Topics for review include: written procedures delineating the media's access during routine and emergency situations; as well as the information which can be released during and after an incident and by whom. These procedures can also describe how tours are scheduled and conducted. Listening to staff fears of biased coverage, or negative consequences because the media or community is involved in the life of the prison gives you the opportunity to teach and lead by example.

Policies and procedures need clarity in terms of when staff speak to the media regarding official institution business. Staff have a right to speak to whom they wish, but the organization can limit some speech if it poses a potential security threat to the safety of staff and inmates.
Conclusion

As the warden, you have a tremendous opportunity to shape the community’s and the media’s perceptions of the institution, and influence how they interact with the prison. The successful warden will move confidently into the community, talk about the prison’s mission, listen to the concerns of its’ citizens, and work to achieve partnerships that will benefit both.

Resources


www.fgca.org

Florida Government Communicators Association, an alliance of public relations practitioners from state and local government throughout Florida. Networking and professional development opportunities.

www.prsa.org/prpubs.html

Public relations periodicals.

www.prplace.com

Internet source on public relations with free U.S. Media Guide, PR Organizations, PR Publications, news sources and services on the Web, and interest groups on the Internet.

www.nioa.org

Web site of the National Information Officers Association (NIOA), an organization of government and emergency services spokespersons from across the U.S., Canada and Australia. Provides education, networking and training opportunities.

www.cdc.state.ca/us

California Department of Corrections with specifically articulated Media Policies.

www.state.hi.us/mediareleases.htm

State of Hawaii with media releases.

www.state.ma.us/doc/Media

Massachusetts Department of Corrections News Releases.

www.corr.state.mn.us/

Minnesota Department of Corrections with active press releases.

www.wa.gov/doc/menu.htm

Washington State Department of Corrections with active press releases.
**Corrections Technology**

Incorporating technology into correctional operations and management is a challenge. The lure of technology as a potential solution to staffing and safety issues can be expensive, difficult to maintain, and deceptive in its impact. To make good financial and safety decisions, you need to be able to accurately assess sophisticated technology. Knowing the benefits and drawbacks of the available technology allows you to determine how it can best supplement existing operations. The following checklist will help you to assess the current technology, and how it is used, in your institution.

- Assess the technology used in the facility, when it was installed, the cost, existing service contracts, and any operational issues;
- Investigate whether problems with the prison’s current technology are the result of equipment failure, staff training, sabotage and/or equipment maintenance;
- Review written procedures to see what back-up systems are in place if the technology fails or is being serviced;
- Understand your organization's policies on how and when you can personally view and evaluate new technologies proposed for purchase;
- Stay up-to-date on new technologies by attending professional conferences, reading journals, and visiting Web sites;
- Work with the management team to ensure that staff are not overly reliant on technology to the extent that they abandon security procedures; and
- Define and monitor appropriate use, and misuse, of technology. This includes e-mail, Internet access, use of chemicals, and stun guns.

**Discussion**

Taxpayers and legislators look to technology to help slow the growth of corrections' expenditures, and to increase public safety. Technology vendors advertise their products as the answer to many security and staffing issues. You will receive a lot of attention from vendors as they demonstrate and try to sell you their new technology. Successful integration of new technology into correctional operations remains a challenge. Over-reliance on technology has resulted in security breaches in several facilities around the country.

Technology can include information services (computers and software) supporting administrative functions, operational hardware (security systems, perimeter security, identification confirmation, retina scanners, fingerprint confirmation, bar codes, non-lethal use of force strategies), and communication (telephone, radios) systems.

Newer facilities have the advantage. They are more likely to be designed with staffing efficiency in mind and equipped with modern technology. You may be faced with staff concerns about how well some technology operates, or with purchasing decisions about upgrading and improving operations.
New technology can be intimidating, especially when not explained clearly. Your insistence that vendors explain their equipment in plain language is as essential as seeing it demonstrated before purchase. The costs associated with most new technologies are staff training and maintenance. These require careful identification and analysis. How you evaluate and purchase technology will be guided by the organization's contracting procedures. See Section 3, Contract Administration.

In evaluating technology, you may need to seek expert advice. You should always discuss potential purchases with several people who actually use the product to determine if, in similar environments, the product meets the needs of the facility. Product performance, hidden costs, maintenance issues, the availability and response of technical support, and whether the product is user-friendly must be considered.

Some technology may have been developed by other facilities or agencies and may be available at no cost. It always pays to check around before purchasing.

The proliferation of technology also means opportunities for misuse. Defining what is acceptable use of technology, including e-mail and Internet access, is necessary. Many agencies have already defined appropriate use and misuse, and you should have access to that information.

**Impact of Technology on the Institution**

Corrections' technology has grown prolifically. It has enhanced security operations, improved perimeter security, used word recognition to identify illicit activities discussed during inmate telephone conversations, added non-lethal options to help prevent injury, and introduced innovations such as metal detectors, perimeter sensors, surveillance equipment, ion mobility spectrometry drug detectors, iris and hand print recognition technology, and x-rays to detect contraband. In California, new products under development include a backscatter x-ray system to detect nonmetal objects, a non-lethal water restraint system, and a radio-frequency pager (wrist monitors) to identify the location of every officer in the facility to the central control staff.

Advances in technology can enhance security, but cannot be expected to completely replace human talent. No electronic or other monitoring system is foolproof, and staff cannot rely on technology as the sole means of security. Staff must continue sound security practices and adhere to established policies and procedures. Facilities must continue to have back-up plans with appropriate procedures in the event critical security systems are being repaired or are not operational.

**How Wardens Can Shape Technology**

Check with the central or regional office to see if there are technology gurus in the agency. They may be able to help you assess new technologies as they become available. Review the information technology plan for your agency or facility. If there is no plan, consider contracting a specialist to produce a prospective plan or proposal.
Wardens can also influence the technology used in the institution by contributing their ideas, or by sending succinct problem statements through the appropriate channels so that new innovations can be developed to address common corrections' issues.

The National Law Enforcement and Corrections Technology Center will assist you in identifying and evaluating new technologies specific to corrections. Larry Kathryn, Executive Officer of the California Department of Corrections Technology Transfer Committee, identified the following 3 principles for corrections technology in the Winter 2001 issue of *TechBeat*, a publication of the National Law Enforcement and Corrections Technology Center.

1. It must meet sound engineering principles;
2. Its merit should be evaluated by a committee of corrections experts; and
3. It should be reviewed by a committee of practicing corrections officials who can assess the technology on a political, legal, financial and medical basis.

You may want to be involved in testing new technologies currently under development. Wardens interested in such should stay actively involved in the conception, development, evaluation, and testing phases. If you are not conversant in technology, you place the facility at risk of potentially missing an important innovation. If you are indifferent to technology, the staff will be indifferent as well.

**National Law Enforcement and Corrections Technology Center (NLECTC)**

In 1979, the National Institute of Justice (NIJ) established the Office of Science and Technology. Through the Office of Science and Technology, the National Law Enforcement Technology Committee was later established.

By 1995, the increased need for technology specific to corrections became so apparent that NIJ renamed the committee the National Law Enforcement and Corrections Technology Committee (NLECTC) designed to offer support, research, and technological expertise to help state and local law enforcement and corrections' personnel perform more efficiently and safely. In 1997, the executive committee of NLECTC consolidated its corrections and law enforcement activities and became the NLECTC Centers System.

The function of the NLECTC is to perform product research for the law enforcement and corrections' community, and to provide these professions with independent and objective information to assist in procuring safe and reliable equipment. Additionally, it ensures that advances in the defense industry relevant to law enforcement and public safety are shared. Consisting of nine interacting facilities, each has a distinct technological focus. Each of the nine regional centers also has an advisory board. Check to see who in your state or agency is a representative on the regional board.

Additional information on the NLECTC can be found on their Web site, www.nlectc.org. See Resources for a list of the nine centers and their specialities.
Conclusion

The wise purchase and use of technology in corrections have the potential for a safer institution and community. Demanding technology proposals presented be in user-friendly language will allow you to better analyze the product, and the long-term costs of both maintenance and staff training.

Reliance on technology alone does not replace skilled correctional staff. Networking with your peers about available technology, working effectively, and utilizing available resources like the NLECTC will help you to be a better informed buyer, and end-user of technology.

Resources


Available on this site is the current catalog that lists various publications, videotapes, CD-ROMs and disks created on a variety of subjects. These subjects include communications, computers and software, forensics, non-lethal technologies, protective equipment, security equipment, surveillance and sensor equipment, vehicles and equipment, weapons and ammunition, newsletters and other publications. Also available are past editions of TECHBEAT, a newsletter with corrections and law enforcement news. Sign up to receive TECHBEAT on this web site.

Nine NELCTC Regional Centers

California

NELCTC West, El Segunda, CA - Focuses on the ability to analyze and enhance audio, video and photographic evidence, data processing, communications systems, and computer architecture. It also contains an array of instrumentation to aid in criminal investigations that can process trace evidence.

Border Research and Technology Center (BRTC), San Diego, CA - Works with a variety of agencies to facilitate control of the southwestern U.S. border, and on technologies to stop fleeing vehicles.

Colorado

NELCTC Rocky Mountain, Denver, CO - Focuses on communications inoperability, crime mapping and analysis; and conducts research on ballistics and weapons’ technology.

Florida

National Center for Forensic Science, Orlando, FL - Focuses on arson and explosives research.

Maryland

Office of Law Enforcement Standards (OLES) Gaithersburg, MD: Develops minimum performance standards for law enforcement equipment and technology. Produces technical reports and user guides. Focuses on areas of clothing,
communications systems, emergency equipment, vehicles, weapons, security systems, investigative aids and protective equipment.

**NLECTC National Center: Rockville, MD:** Provides information and referral services to anyone with questions about law enforcement or corrections technology, research or equipment. Tests and verifies the performance of police vehicles and tires, shotguns, body armor, and metallic handcuffs. Also, operates JUSTNET, an Internet Web site that provides links to the entire NLECTC system.

**New York**

**NLECTC Northeast, Rome, NY** - Sponsors research and development efforts for technologies that can be used to detect concealed weapons, through-the-wall sensors, secure communications, image and audio processing, and computer forensics.

**South Carolina**

**NLECTC Southeast, Charleston, SC** - Studies the needs of correctional agencies and focuses on corrections technologies. Educates law enforcement and corrections agencies on the federal surplus property and purchase programs. Also, focuses on information management and technologies, and simulation training. Under development is crime mapping for corrections.

**West Virginia**

**Office of Law Enforcement Technology Commercialization (OLETC), Wheeling, WV** - Works with industry, manufacturers, and laboratories to facilitate the commercialization of corrections and law enforcement technologies.

**www.usdoj.gov**

United States Department of Justice with corrections information and links. Includes list of state prisons, other facilities, and county sheriff’s and jails.

**www.cjresearch.com**

Justice Policy Research Corporation publications.

**www.tbcnet.com/~salsberry/**

Privately run Web site, and other links with lists of correctional equipment suppliers.

**www.correctionsdrugtesting.com**

Drug testing product information.

**www.lib.jjay.cuny.edu/ctt/**

John Jay College corrections telecommunication and technology site.

**www.ctmmag.com/index2.html**

Corrections Technology and Management magazine online with continually updated news about corrections and new products in the corrections industry.
State Government

An important component of the prison’s external environment is state government. You and your institution must ultimately operate within the budget constraints and legal requirements established by the state legislature. You help to determine how the legislature and state bureaucracy perceive the entire corrections system. The legislative process provides a window to current and future trends in the state. The national scene is as important to gaining perspective, learning about innovations, and anticipating the next "hot" issues that will become of interest to the state legislature.

The following checklist will assist you with your relationship with state government.

✔ Keep handy the names and contact information of the state legislators from the area in which the prison is located. Also, keep contact information for the state legislators who sit on the committees that oversee the agency;

✔ Keep posted on key legislative calendar dates, e.g., when the legislative session begins and ends, when legislative committees begin meeting, and the deadlines for submission of proposed statutory changes;

✔ Be familiar with the name of the person(s) on the Governor's staff responsible for corrections issues;

✔ Track the status of corrections-related bills during the legislative session;

✔ Know your state's budget cycle (annual, biennial, etc.) and the process for budget approval, both in your department and the state government;

✔ Meet the person in your department responsible for legislative affairs;

✔ Be familiar with your department’s legislative agenda; and

✔ Keep a perspective about what is happening nationally in corrections.

Discussion

Eighty-one percent of new wardens surveyed for this project reported that they were unprepared for dealing with legislative issues. New wardens are often unfamiliar with the workings of state government, having generally not been involved with legislative and bureaucratic issues. The state directors of corrections value wardens who understand and can work within this system. If you understand the workings of the legislative process and the state bureaucracy, you are a tremendous benefit to the agency and your institution. Within the agency's allowable framework, you need to be proactive with legislators, legislative staff, and the bureaucracy.
The Legislative Process

Legislators are the state's policy makers. The laws they enact are far reaching and in some states, the legislature has more power than the governor.

You must understand the basics of how the state's legislative process works, the dates the legislature is in session, and the political environment. Knowing the history of past legislative sessions regarding corrections issues is key to determining future trends. This history includes who sponsored what bills, the votes in committee, and the votes by the legislature. This is important even if a bill was defeated, as it can indicate a trend for the following year. Often the department's legislative liaison has this information readily available.

An excellent way to become familiar with the legislative process is to attend and observe committee hearings and/or full legislative sessions debating corrections or crime issues. Listen to the testimony of peers or other representatives of the department. Talk with these individuals and find out how they prepare for their presentations and how they handle questions.

Legislators and Staff

You should have a list of names and contact numbers for the legislators who represent the area where the prison is located. Legislators' names, numbers, and addresses can be found in the phone book, in a legislative guide published at the state capitol, and on the Internet. State government Web sites and other independent government-related sites are excellent sources of information. A Web site containing information on each state legislature is listed under Resources.

Understanding the political backgrounds of the legislators who represent the constituents near the prison can help you predict the issues that will be of concern to the local community and to the legislature. This proactive style may prevent you from being blind-sided by an issue from an external source such as the media.

You may be contacted by state officials concerning an inmate whose family has been in touch with their legislative offices. If you are prepared to respond appropriately and promptly to these communications you will create a cooperative working relationship with the official which can be of benefit in the future.

Each legislator or state official has a staff person who serves as the first point of contact. This staff generally briefs the official on all issues, determining whether some information even reaches the legislator. It is, therefore, important for you to have a good working relationship with the legislator's staff.

Wardens can be a tremendous source of information for legislators and state officials by educating them on prison operations and the requirements for a facility. Department policy will determine your role in this process. Legislators and state officials can be invited to tour and visit an institution, thus providing them with first hand information on operational needs and concerns. Wardens who develop a working relationship with these officials can have an impact on legislation that affects the whole department.
Educating legislators is different from "lobbying" legislators, and a warden must take care to be an educator and not a lobbyist. If you are permitted to be part of the process, there are potentially down sides. Some legislators might resent a warden taking a position against a measure. Making enemies of legislators might not enhance your career.

**Legislative Committee Members and Staff**

While each state has its own unique rules for the legislative process, the legislative committee is the heart of the drafting process. Through the committee, ideas become bills, and budgets are approved. Bills are born, and a bill can die in a committee. Before a proposed bill reaches the floor of the legislature for a vote, it first passes through the committee process. Legislative committees generally meet prior to the official start of the legislative session, and continue to meet to debate and amend bills throughout the session.

You should be familiar with the committees that impact the department's operations, such as appropriations and budget, corrections, law enforcement, and criminal justice committees. You will be able to track the progress of bills by finding the web site for your state. Some states provide telephone recordings that track the daily progress of bills.

**Governor's Staff**

Governors depend on their staff to brief and advise them concerning legislation and other issues of concern. In most states, the Governor proposes the budget for the fiscal year using the direct input from the state's departments. Once passed through the legislature, the Governor signs the budget. Some Governors propose and introduce bills directly to the legislature.

You need to know when and if you will be involved with the Governor's office and staff. As with legislators, the Governor's staff is usually the first point of contact for wardens. Staff members review, analyze, summarize, and compile information to be presented to the Governor. Usually, there is a specific staff person in the Governor's office assigned to corrections and/or law enforcement issues.

**The Budget Process**

Become familiar with the state budget process, beginning with the internal agency review. Frequently, the legislative staff conduct budget meetings to prepare materials for the legislature. The state budget office generally provides written guidelines to the institution to assist with the preparation, and designates a contact person who is available to answer questions and offer assistance. See Section 3, Fiscal Decision Making.

**Procurement Practices and Contracts**

Some legislation does not directly mention corrections, but may still affect corrections' daily operations based on their decisions. For example, new laws or regulations to determine how the state purchases equipment and completes capital building may affect corrections. See Section 3, Contract Administration.
State Bureaucracy

Corrections are just one of many state agencies included in the state's bureaucracy, and one of the numerous priorities to be addressed by the Governor and by the legislature. Attention to other issues such as education, health care, or the environment, may take precedence over corrections. The better informed you are about the legislature's priorities, the better prepared you will be to understand the realities of budgeting and policy-making.

Make it a priority to understand the state's legislative structure and find ways to peacefully coexist when corrections are not the number one (or two, or three) issue. You can build cooperation with other state agencies that can help support the corrections' mission – such as education, public health, victims' services, and transportation. These sister agencies need help from the prison and in return can supply services.

The National Scene

The scope of your concerns and information should include the national scene. Paying attention to what is happening in the U. S. Congress and elsewhere throughout the country, helps to predict what will happen at the state level and vice versa. While the U. S. Congress cannot pass laws that directly mandate a state corrections system to perform specific tasks, Congress can create policies to generate change at the state level. Congress can pass laws that link federal funding for some state correctional systems to comply with certain mandates. The recent "truth in sentencing" initiatives, for example, ties a state's receipt of federal funds with passing specific laws regarding sentencing.

The United States Supreme Court has historically influenced corrections based on the outcome of some major court cases. Following cases from Federal district courts to the Supreme Court allows you to anticipate changes. The Supreme Court's Web site provides links to other state and federal courts. Refer to Resources for Web site listing.

Members of Congress from your state may contact you for information about inmates, issues, or events. Get clear guidance from the central or regional office on how to respond to these queries. Having the names of the elected national office holders who serve the areas near the institution is helpful. You can also be part of the process and influential in a national debate by inviting members of Congress to tour the facility, or attend town meetings.

Web sites link you to what is happening in other states. Attending national professional conferences also provides valuable information on the growing trends, state to state. The Resource section lists the association of wardens around the country.

Looking Ahead, Preparing for the Future

Eighty percent of new wardens reported the need for assistance with anticipating future trends in their state. The road signs are there once you begin to understand what you are seeing. Legislative agendas, including budgets, are often determined months ahead of the legislative session. Wardens are valuable assets to achieving the department's mission if they think ahead to the next fiscal year.
Most agencies prepare annual reports and strategic plans. Read these reports thoroughly as they provide information on the direction of the agency and trends in the state. Other state agencies' operations also impact state priorities and spending. Awareness of issues within these agencies, such as probation, parole, state law enforcement, human resources, and information management can provide indicators for the state's future priorities.

**Conclusion**

Your success is linked to your knowledge and appreciation of an environment wider than just your facility. The state legislative process and bureaucracy are part of that environment. If you appreciate and understand the workings of the political process, you will be a valuable asset to your organization. Keep in touch with the regional or central office concerning legislators and legislative initiatives. Staying in touch with the national scene will assist you as a leader, with your peers, and with being an asset to your boss.

**Resources**

www.loc.gov/global/state/stategov .html

This web site is sponsored by the Library of Congress and provides information and links to states' information including state statutes on the web, each state's own web site, and some local government links.

www.piperinfo.com

This is the site of the independent organization Public Information in a Digital Age, and is a source of various links to state government information.

www.yahoo.com

Use this web site's search engine by entering "[your state] government" and check out all the available related links to the various state government agencies and information sites.

www.ncjrs.com

Provides the national data base about what is happening in Federal government agencies, availability of grant funding, access to research, and links to other dates.

www.corrections.com

Provides a gateway to information about corrections and corrections organizations.

www.supremecourtus.gov

Connects to the United States Supreme Court

www.senate.gov

Provides a link directly to the United States Senate.

www.house.gov

Provides a link directly to the United States House of Representatives.
www.doj.gov

Provides a link to the U. S. Department of Justice.

www.stateside.com/index.html

A Web site containing information on each state legislature, when sessions begin and end, state representation broken down by number in each party, and gubernatorial election.

Professional Associations

American Correctional Association
4380 Forbes Boulevard
Lanham, MD  20706-4300
(301) 918-1800
www.corrections.com

American Jail Association
2053 Day Road
Hagerstown, MD  21740-9795
(301) 790-3930
jails@worldnet.att.net
www.corrections.com/aja/

New Jersey County Jail Wardens’ Association
Theodore J. Hutler, President
George Wagner, Vice President
(201) 788-1213
www.corrections.com/njcjwa

North American Association of Wardens and Superintendents
Art Leonardo, Executive Director
P.O. Box 11037
Albany, NY  12211
elart@aol.com
www.corrections.com/NAAWS

West Central Warden’s Association
Connie Roehrick, President
1101 Linden Lane
Fairbault, MN  55021
Local Government

Although state government plays a significant role in the external environment, the local government and community can have a greater immediate and intimate effect on an institution. You may create the first indelible impression of the state's correctional system for local government officials. You must be aware of the local and community concerns and needs, and be available to listen and help solve these issues. The following checklist will assist you with your relationship with the local government.

- Know the names and contact information for locally elected officials;
- Be familiar with the local governments' perceptions and attitude about the institution;
- Determine what local agencies can contribute to the institution's operations and develop a working relationship;
- Create an informal process for local officials to express their concerns and needs directly to you;
- Invite community participation in activities within the institution, such as volunteers and volunteer services;
- Include in the emergency plan how information is disseminated to the local community;
- Be familiar with local ordinances and other governmental requirements that apply to the institution; and
- Encourage staff participation in local activities, clubs, and other organizations that enrich the staff and educate the community.

Discussion

The directors and deputy directors of corrections surveyed for this project considered political and community relations as one of the top challenges facing new wardens. As an official member of the community, you will be seen as a powerful person whose influence extends beyond the institutions' walls.

In many communities, the institution provides a substantial base of employment, purchases goods and services from local industry, is responsible for the presence of school children, and is a user of the sewer and water resources. The institution is part of the local environment in more ways than one.

The previous section discussed state government, bureaucracy, and how you can work within that framework to affect legislative and governmental issues. Similarly, cultivating a relationship with local officials and the community will enhance the image of the institution, and allow you to provide resources for community improvement. Community meetings help to prioritize which officials or community groups to work with first.

"When I realized the amount of money the prison's bi-weekly payroll introduced into the surrounding community, I clearly understood how important and influential the prison is to the community."
Local Government Officials

Know the names and contact numbers for the local officials who represent the community where the prison is located. In most cases, this is available from the local government public information officials, the local library, or the Internet. You should meet local officials during community events so you can put a face with a name, and they can get to know you. This proactive leadership style helps keep you on top of issues.

You are the source of information for the local community about the prison, making the warden a community educator. Educating officials and the community about the facility can allay many unreasonable and unrealistic fears and concerns. Local officials can be invited to tour and visit the facility to provide them with first hand information on operational needs and concerns.

When establishing contacts with local government officials, you should include other agencies, such as local law enforcement, the courts, the local prosecutor and public defender, local bar association, and victim groups. Having a working relationship with the local criminal justice system before an emergency arises will help to ensure their cooperation when one does.

History

Ask questions. Educate yourself on how the institution impacts the community. Knowing whether the institution is perceived as a good or bad neighbor will help guide you in building your relationships.

Prison Advisory Boards

An effective way to insure community input and address concerns is through a prison advisory board. Some states mandate these boards to ensure that the community is heard. An advisory board can be an asset for the new warden. See Section IV, Media and Public Outreach.

The Warden in the Community

Regardless of precisely how it is done, it is important for you to become known in the community. Whether the prison has been perceived as a good or bad neighbor helps to determine your agenda. Fear and hostility toward the institution may be the result of a lack of information or a series of events negatively affecting the community. While you will not look forward to facing a community group during or after a crisis, inevitably you will. How you are received may be the result of how well you are known in the community, and your reputation for honesty.

As time permits, arrange community meetings with local government officials, community representatives, and local criminal justice system representatives. Listening to their views and concerns on the community, and inviting their input is one way to gain community support.
The Staff and the Community

Staff members are familiar with the community in which they live. Many institutions have staff drawn from several generations. A working relationship with the community is an important tool in managing the community's perception and any prejudicial attitudes about prison personnel.

Even in the most remote locations, residents may be affected by the daily operations at the facility. For example, traffic along certain roadways may be congested with staff commuting to and from the facility at odd hours of the day and night. It is important for your staff to understand that this type of facility-related event may have an effect on community life.

The human resources department should be able to provide staff personnel transferring to the area information on local schools and services. Employees who are longtime local residents may also be able to assist new staff members with information on housing, schools, doctors, and becoming familiar with their new community.

Zoning and Local Ordinances

Although the corrections' facility itself is probably located on state-owned land, local zoning requirements and ordinances may have an impact on facility operations. Some of these issues include facility access roads, classroom overcrowding, the housing supply, and recreation. You need to gain an appreciation for how everything done at the institution is a plus or minus for the community.

A resource for researching local and municipal codes and ordinances can be found online at www.municode.com. This web site can be searched by state, and then by the local county or city for online county, city and municipal codes.

Conclusion

In part, your success will be measured by how well you are known and trusted by the community. No longer are prisons functioning outside the public's awareness and support. Wardens are ambassadors for corrections, and are on the front line to gain public support for corrections' mission.

Resources

www.municode.com
  Site to review local and municipal ordinances.

www.usmayors.org
  Site for the U. S. Conference of Mayors, one of two major lobbying groups for mayors. Look on the site for web links to organizations in your state.

www.naco.org
  National Association of Counties. Represents county government before Congress. Check the site for links to state associations of counties.
Victims and Victims' Services

All states have enacted legislation to ensure rights for crime victims, including specific rights within the corrections system. You may be the primary contact for victims of crimes committed by inmates at the institution. It is critical that you know all state statutes and laws concerning victims, and establish a consistent policy and practice for managing victims’ services. Staff must be educated about these requirements and restrictions.

- Ensure that the facility is following state laws regarding victims' rights and services;
- Introduce yourself to your department’s victims' services coordinator;
- Designate a staff contact to coordinate and oversee victims' services relating to institutional operations;
- Educate staff on how to assist victims and victims' families;
- Determine if any internal policies or procedures require updating based on the state’s statutes;
- Keep abreast of changes in state statutes regarding victim rights and services; and
- Ensure that appropriate procedures are followed when staff and/or inmates are victims.

Discussion

Forty-seven states now have corrections-based victim services coordinators. These coordinators provide policy direction and direct assistance to crime victims.

You have a unique obligation to victims and their survivors. These citizens may have been victimized by an inmate held in the facility, or a staff member who has been a victim of an inmate assault. Each victim has needs that must be addressed by the system and by the warden.

Some states have begun "restorative justice" initiatives. Restorative and community justice programs work many times with youthful offenders so they can see the impact of their offenses, and work to repay a victim and/or the community. The new warden should know whether his/her state has, or will implement, a restorative justice program. If so, how does the program impact the institution? For additional readings, see Resources.
Victim Notification

All corrections' agencies are required to notify the crime victim before the release of, or after the escape of, the offender. The method of notification may vary, but it will generally be done by letter. Each warden must know the state's procedures for victim notification. In the event of an escape, prompt communications may be essential to ensure the victim's safety. You should designate a specific staff member to be the coordinator of this service. It should be a requirement that notifications are done in a timely manner, and that the designated staff member is available to respond to questions and concerns from the victim.

Victim Contacts and Questions

Victims may contact you directly. The response from your institution, and the language you use, should not "revictimize" victims. Sensitivity is essential. The facility should have a specific procedure to address how victims and victims' families are treated. Assistance from each state's victim's services coordinator can be of great assistance. Staff who work with victims or survivors should be trained to do so. Resources to provide this training are through the state, or national victims' networks. See Resources for additional information.

Victims' Statutes

You must ensure that your staff is educated about the type and amount of information that can and must be released based on statute, policy and procedure. It is critical that you and your staff become familiar with all statutory requirements and restrictions concerning the names of victims, contact with victims, and services provided to victims. This can be found in each state's statutes and rules. See Section 4, State Government for state Web sites.

All states have statutes that require corrections agencies to forward court-ordered restitution payments to victims in cases where inmates receive pay for their employment within the institution, e.g., work-release centers, work camps, restitution centers, etc. In some states, an offender's assets, including trust accounts (commissary accounts), can be garnished for restitution payment. Even inmates who receive inheritances, deposits from relatives, winnings, or lawsuit settlements may have these assets used as part of court-ordered restitution payments. Knowing the state law is imperative. For instance in California, an offender cannot be paroled to another state until their restitution is paid.

In addition to the department's victim services coordinator, most prosecutors' offices will have a victim's services coordinator available to respond to concerns and questions from victims of crime. The warden and staff should be familiar with this office, and be prepared to make a referral when the situation relates to an issue that should be addressed by the court.
Victim Groups Inside the Institution

There is a wide range of support from crime victims regarding inmate programming. The victim impact/victim awareness educational efforts are often cited by offenders and staff as important additions to traditional inmate programs. While other inmate programming focus on the inmates' needs, victim related programming examines how inmates can right the wrongs they committed. Victim/offender mediation or meetings are an additional way for offenders and victims and/or survivors to air concerns and, perhaps, plan for a future.

An emerging trend is a desire by some victims' advocate groups to bring group members into prisons and jails to meet face-to-face with inmates. These citizens are not necessarily the same victims of a particular inmate. You need to be prepared for the possibility that you may have to facilitate this practice. Obviously, wardens should first establish procedures and guidelines. Then, monitor the results to ensure the absolute safety of all participants.

Conclusion

During the past quarter century, victims' rights have become guaranteed by federal and state laws. Assisting crime victims is no longer just handling an occasional phone call or letter. Victims and their survivors are a large, organized, and committed group of people. It is your responsibility to be familiar with the mandated protections for the crime victims of your state, and to consider how to address victim issues in offender programming. You can and should ask for help from the victim services coordinator.

Resources

The Association of State Correctional Administrators (ASCA) has a document offering sample policies, the Policy Manual for Victim Services Programs in State Correctional Agencies, December 1999. The recommended policies presented include the following areas.

- Establishing an office or division of victim services;
- Victim advisory councils;
- Restitution;
- Protecting victims from intimidation, harassment or harm;
- Victim confidentiality;
- Responding to workplace violence and staff victimization;
- Child victim visitation restrictions;
- Impact of crime on victims classes or programs for offenders;
- Executions;
- Crime victim involvement;
- Policy or mission statement on victims of crime; and
- Victim and community outreach plan.

For more information, contact:

www.ojp.usdoj.gov/ovc/

*Office of Victims for Crime* - a Federal agency under the Department of Justice's Office of Justice Programs that provides information, training, technical assistance, resources, grants and other funding.

www.try-nova.org

*National Organization of Victim Assistance* - a non-profit organization providing information and support to victims, agencies, individuals and organizations. Web site contains a detailed explanation of the basic rights of victims.

www.nvcan.org

*National Victims Constitutional Amendment Network* - private organization that supports the adoption of a Constitutional amendment to ensure consistent victim rights in the state and federal systems, both at the adult and juvenile level.

www.ncvc.org

*National Center for Victims of Crime (NCVC)* - excellent web site providing information, resources, assistance. Also has excellent list of links, including links to each state's victims' offices and web sites. Look here to find links for your state and other national sites. NCVC has administered the ten-year Victims and Corrections Project funded through the Office for Victims of Crime.
What Is Restorative Justice?

The following article, Conferences, Circles, Boards, and Mediations: Restorative Justice and Citizen Involvement in the Response to Youth Crime, was part of the Balanced and Restorative Justice Project conducted by the Office of Juvenile Justice and Delinquency, U. S. Department of Justice, 1999.

"Restorative justice is a new way of thinking about and responding to crime. It emphasizes one fundamental fact: Crime damages people, communities, and relationships. If crime is about harm, then the justice process should emphasize repairing the harm. As a vision for systemic juvenile justice reform, restorative justice suggests that the response to youth crime must strike a balance among the needs of victims, offenders, and communities, encouraging each to be actively involved to the greatest extent possible in the justice process. Restorative justice builds on traditional positive community values and on some of the most effective sanctioning practices, including victim-offender mediation, various community decision making and conferencing processes (for example, reparative boards, family group conferencing, and circle sentencing), restorative community service, restitution, victim and community impact statements, and victim awareness panels.

The most new and important ideas in restorative justice are expressed in a set of principles that redefines the way justice systems address public safety, sanctioning, and rehabilitative objectives. Specifically, when crime is understood as harm and justice is understood as repair and/or healing, and when the importance of active participation by victims and community members in response to crime is emphasized, basic community needs are understood and addressed in a different way.

Today, when a crime is committed, most juvenile justice professionals are primarily concerned with three questions: Who did it? What laws were broken? What should be done to punish or treat the offender? Although questions of guilt, law breaking, and appropriate intervention are certainly vital to prosecutors, these questions alone may lead to a limited range of interventions based solely on treatment and punishment, which cannot meet the complex needs of the community, victim, offender, and family.

Viewed through the restorative lens, crime is understood in a broader context than what is suggested by the questions of guilt and how to punish or treat the offender. Howard Zehr (1990) argues that in restorative justice three very different questions receive primary emphasis: What is the nature of the harm resulting from the crime? What needs to be done to "make it right" or repair the harm? Who is responsible for the repair?

Defining the harm and determining what should be done to repair it are best accomplished with input from crime victims, citizens, and offenders in a decision making process that maximizes their participation. The decision about who is responsible for the repair focuses attention on the future rather than the past and also sets up a different configuration of obligations in response to the crime.

No longer simply the object of punishment, the offender is now primarily responsible for repairing the harm caused by his or her crime. A restorative juvenile court and justice system would, in turn, be responsible for ensuring that the offender is held accountable for the damage and suffering caused both to victims and victimized communities by supporting, facilitating, and enforcing reparative agreements. But, most important, crime
victims and the community play critical roles in setting the terms of accountability and monitoring and supporting completion of obligations.

If crime victims and the community are to become fully engaged as active participants in the response to youth crime, juvenile justice professionals must begin to think about these stakeholders in different ways. To move forward with this new agenda, it is very important to understand the potential role of crime victims as key stakeholders in the response to youth crime. In addition, the role of the professional and the mandate of the juvenile justice system are likely to change.”

Privatization

Perhaps no other issue in corrections produces more strongly expressed emotions than the concept of the operation of a correctional facility by a profit-making corporation. Only 10% of new wardens surveyed said they were ready to address privatization. Surprisingly, 40% of new wardens thought privatization was not applicable to them. The decision to privatize all or part of correctional operations is often political, made in an arena beyond the influence of wardens and even agency directors. You might have an opinion about privatization, but you must also develop an objective understanding of the issues so you can educate yourself and operate your facility in a competitive manner.

- Assess the current "climate" and status of privatization efforts in your state;
- Be aware of the local and national corporations that operate correctional facilities, provide corrections services and programs, and lobby elected officials;
- Learn about previous efforts at privatization in your state, the outcome of those efforts, and why the results occurred;
- Learn how and why private corporations are seen as operating in a more cost efficient or effective manner than public or government operations;
- Identify what factors besides cost are important to effectively operating a correctional facility or program;
- Review your facility's costs to identify and act upon areas of potential savings; and
- Identify ways local business groups and leaders can help you operate in a competitive manner.

Discussion

The warden is the chief operating officer (CEO) of a multi-million dollar business. As a business leader, the CEO must safely and effectively provide a service. One view of privatization is that the public sector has been unchallenged as to the quality of the services delivered, and taxpayers and legislators want to be sure they are getting their money's worth. Privatization is the public sector's way of providing competition to maintain or improve quality and at the same time reduce cost to the taxpayer. Privatization is the application of the economic principles of capitalism to the process of corrections, arguably one of the most rapidly increasing costs for government today.

Privatization does not have to include the operation of entire facilities. Many of today's correctional systems contract with private vendors for maintenance, food service, inmate health care, delivery of programs, transportation, and computer services. This discussion primarily addresses privatization of the entire operations of a facility.

Privatization puts the factors of cost and quality into the public safety equation, and forces correctional administrators to respond to those market forces. The lesson of privatization is that correctional facilities must be managed and operated like a business, with a strong
understanding of the bottom line. If there have been unsuccessful attempts to cut costs or improve quality, the need to consider privatization may be a sound business decision. The resulting improvement in quality or cost saving may allow for reallocating resources to another area to make it more competitive. Regardless of personal beliefs about whether a private correctional system is good or bad, you as CEO must be informed about the issues and options.

**History and Current Status of Privatization - Whole Facility**

Modern privatization of correctional facilities began more than 17 years ago. In 1984 Corrections Corporation of America (CCA) was awarded a contract to operate the adult jail facilities in Hamilton County, Tennessee, and Bay County, Florida, making them the first local jails to be privately operated in recent times. In that same year, the U.S. Immigration and Naturalization Service entered into a contract with CCA to operate the Processing Center in Houston, Texas, becoming the first federal facility to be privatized. A state facility followed in 1985 when the Commonwealth of Kentucky entered into a contract with the United States Corrections Corporation to operate the Marian Adjustment Center, a minimum security adult facility.

By 1998, Corrections Corporation of America proposed to privatize the prison system throughout the State of Tennessee on the premise that they could save the taxpayers up to $100 million a year. After a long legislative debate, the proposal was rejected. (National Conference of State Legislatures Criminal Justice Letter, May 1998, www.ncsl.org).

Those who have publically opposed privatization include the American Civil Liberties Union (ACLU), the American Federation of State, County and Municipal Employees (AFSCME), and by inference the AFL-CIO as the parent body of AFSCME, and the Corrections and Criminal Justice Coalition (CCJC), an organization of smaller labor unions specifically created to represent the interests of public employees in the criminal justice field. Labor unions traditionally oppose privatization because of the potential loss of members and the assumption that wages and benefits will be lower in the private sector. Various citizen groups oppose the privatization of prisons, and many have Internet sites to promote their views.

The debate to privatize public functions does not just include prisons. It extends to public schools, health care, human resource management functions, auto licensing, drivers' licensing, and any other public service where there are opportunities for taxpayer savings.

**Pros, Cons, and Difficulty of Generalization**

Discussions surrounding the issues of privatization often focused on how to determine actual costs, legal issues, ethics, and the impact it would have on public policy and correctional practice. In reality, the costs are difficult to determine and compare. Sometimes privatization requires the passage of enabling legislation. The ethics and benefits to corrections and society continue to be debated.

The 1996 Koch Report on the feasibility of contracting the prison system in Kansas identifies several reasons that states may contemplate privatizing prisons. They include economic efficiency, fiscal and legislative constraints, court orders, critical need to increase capacity or to enhance programs and support services.
On June 8, 1995, before the subcommittee on crime of the U.S. House Committee on the Judiciary, Charles W. Thomas, Director of the Private Corrections Project at the University of Florida, cited reasons for privatization. These reasons included:

- Private sector fringe benefits, particularly retirement benefits are less than the traditional government benefits;
- The private sector has different standards and rules for hiring, firing, promotion, and procurement of goods and services. Facilities are designed to require less staff to operate;
- Contracting speeds up new construction, decreases construction costs, generates more efficient designs, has more flexibility to add or modify services and decreases the growth of bureaucracy;
- Government red tape undermines innovation; and
- Government pays too much attention to cost and too little to quality.

How Privatization Affects Wardens

Privatization increases the pressure on wardens to operate their facilities in a cost effective and competitive manner. This includes using tactics of successful corporations such as strategic planning and decision making, careful monitoring of contracts, motivating and improving staff performance, demonstrating positive program outcomes, reducing liability and litigation, and continual quality management and innovation.

You must look for ways to change government practices that make privatization so attractive, such as providing additional latitude in procurement and purchasing, so that government can be more competitive.

Privatization will continue to be a factor in corrections. Corporations are taking their business to economically depressed local communities and the overburdened taxpayer. This makes your role in the community critical.

Conclusion

The debate over privatization continues, and the privatization scene constantly changes as new facilities are contracted and some are returned to government control. Additional correctional services, such as inmate transportation, food service, inmate medical and mental health care and facility maintenance, are being contracted in larger numbers throughout the U.S., largely due to cost savings or greater efficiency.

Wardens, new or experienced, must develop a "product" that is acceptable and even appealing, before they can "sell" it to the taxpayers, the ultimate decision makers. You must review the costs and performance measures associated with every aspect of the correctional facility. All staff must be involved in the effort to remain competitive with the private sector. Where internal effort to reduce costs or improve performance fail, contracting for the service may produce the desired results.
Resources


www.ncsl.org
Report by the National Conference of State Legislatures on the decision by Tennessee not to privatize its prisons. Search by state name.

www.kci.org/

www.oregonafscme.com/corrections/private
American Federation of State, County and Municipal Employees site with references, articles and reports about private prisons.

www.crim.ufl.edu/pcp/html/links.html
Private Corrections Project at the University of Florida research by retired Professor Charles W. Thomas. Contains links to other sites.

www.ucc.uconn.edu/~logan/
Selected research and facts about privately operated prisons by Professor Charles H. Logan.

www.privatemanagement.com/
News, events and information about firms doing business in corrections.

www.corpwatch.org/feature/prisons/a-friedmann.html
Corporate Watch site covering media coverage and political debate concerning prison privatization.

www.geocities.com/CapitolHill/Lobby/6465/topic.html
Explores the issue of prison privatization, contains references.

www.theatlantic.com/issues/98dec/prisons.htm
Article from Atlantic Monthly examining the economics of public and private prison systems.

www.oppaga.state.fl.us/reports/crime/r96-69s.html
Information brief comparing costs of public and private prisons by the Florida Office of Program Policy Analysis and Government Accountability.

www.kci.org
Link to publications - see private prisons.
Charles W. Thomas, former Director of the Private Corrections Project at the University of Florida, Gainesville, before the subcommittee on crime of the U.S. House Committee on the Judiciary, June 8, 1995
Managing Yourself

Overview

To be successful, a warden must have balance between work and personal life. Creating a balance will influence your ultimate ability to effectively lead the institution. Your career can impact your family, spouse and children. You need to be assured that family members are safe, and are able to cope with their new status as the “warden's family.”

Self-awareness can help balance your life. You must keep in touch with the impact your leadership style has on your management team, and on the institution. Your drive to succeed and the resulting stress may have an effect on both. One way to keep in touch with the impact you have is by soliciting feedback from your management team. The perceived power of your new position can also reshape your self-concept. For some, it is an additional investment in their ego, for others it is arrogance.

Your influence on the facility management team and operational staff is tremendous. Unconsciously and consciously your actions lead the way. You have an obligation to mentor and coach subordinates. The management team should also mentor and coach their subordinate staff.

The checklists in this section are intended as a guide to help you assess what you know, and what you need to learn in your new role. The Resource section provides ideas for learning more about these topics as you develop a personal learning plan.
Balancing Work and Personal Life

Your appointment as warden will change your life, and the life of your family. Change, whether positive or negative is stressful. Maintaining a balance is critical to your success. Know what is important and make a firm commitment to your priorities. This will help you maintain a healthy balance between your work and personal life. The following checklist will help you in balancing your professional and personal life.

- Schedule personal time with your family and honor the commitment;
- Talk with your spouse and children about their experiences as “the warden’s family;”
- Clearly understand what is important in your life. Be aware of your priorities. Be sure your actions are consistent with your priorities;
- Remember that you are never really "off the job" and that your personal, as well as professional actions, will constantly be observed and judged;
- Make a contingency plan with your family in the event of an adverse situation;
- Schedule time for yourself. Frequently take stock of how you are using your time and if you need to make adjustments;
- Try to learn something new every day; and
- Practice what you preach. Model the behavior that you expect from your management team.

Discussion

Your work is not your life. For the new warden, it may seem that there is not anything but work. Your success depends on creating a balance. Experienced wardens report that the absence of a well-rounded life is not only hazardous to family relations, but ultimately a hazard for a warden both personally and professionally. State directors want wardens who have a balance to their lives.

Preparing Your Family

Experienced wardens note that family support is essential to professional success. Being named a warden may be a professional and personal highlight. How your family makes this transition to the new status has a direct impact on your future.

New wardens report that they "lived at the job" for the first three to six months. During that time, they learned how the institution really worked, attempted to imprint their leadership style, and made essential changes. They admit they were stressed out, and emotionally and physically exhausted. Their spouse and family saw them very little, and when they were home, the pager or telephone was a constant interruption.
Prepare your family for the long hours and the new commitments that are required of you in your new job. Of particular importance is the fact that the community will view your family differently. Even if they are new in the community, the expectations will be different now that they are the warden's family.

You may be working in rural or suburban communities, where the "family" of the institution is woven into the neighborhoods. Your family will be seen as an extension of your organizational power. As a result, they will be observed closely by the community.

Whether to live on prison grounds, if the option exists, was a subject of debate among more experienced wardens. Some reported that it was a great experience, and others reported problems. Where to live is a delicate choice based on the family structure, number and ages of children, and the nature of the community. Some isolated prisons may have no other suitable or nearby-by housing. If that is the case, acknowledge that housing is an issue. Talking about it with the whole family may be the best approach.

Many wardens make contingency plans in the event of a facility emergency or a personal or family threat. The family purposely varies the route they travel to school or work and avoids a predictable routine for reasons of personal safety.

Experienced wardens were divided on how much they should reveal to their spouses and family members about what goes on in the institution. Some reported that they didn't want to worry their spouse, while others reported that they deliberately wanted not to think about problems while they were at home. As with other issues in a family, communication about this decision is essential. Each choice is based on the dynamics of the family.

The unmarried warden faces another entire set of issues. Staff and the community will be intensely interested in anyone that the single warden dates, spends time with, and where that time is spent.

Many wardens have had a promising career cut short because of improprieties, or perceived improprieties, in their personal life. You are constantly being observed and judged. Do not make the mistake of thinking otherwise.

### Balancing Work and Personal Life

Even if you could work 24 hours-a-day, 7 days-a-week, not everything would get done. Accept this as a fact of life. It will be tempting to "throw more hours" at the resolution of a difficult issue, but those hours will be taken from the time you committed to your family or personal life.

As one warden said: "Find a hobby, recreation, something to take you away from your work." Experienced wardens offer the following sage advice to maintain a balance between your professional and personal life.

- Acknowledge that work is not life;
- Encourage staff to work regular hours, and do that yourself;
- Establish boundaries, and keep commitments;

"Not many moms wanted to drive their kid onto prison grounds to attend my son's birthday party."

"We had a family password. My children did not go with anyone who did not know the password. Some viewed this as unnecessary. We viewed it as a matter of prudent family safety."

A good friend told me, you are a mother first then a warden. Your daughter should remember and know you as her mother, not as ‘Warden.'"
• Cultivate friendships with people outside of corrections;
• Acknowledge that corrections' leadership is potentially addicting;
• Define the danger signs – too many hours at work, thinking about work during "off" hours, too much ego investment;
• Have positive self-talk; and
• Keep promises to yourself. If you promise yourself that you are going to do something, do it.

Defining Your Personal Values

As a leader, your professional and personal values will be challenged. In considering how to respond, experienced wardens say to soul search your personal values as you begin your new job. What are your personal values? What is important to you? How would you rank in order your personal values? Do you value honesty, work ethic, fairness, compassion, and truthfulness? Do you value a contribution to society, helping others, knowledge, learning, moral standards, or family values? Do you value others' opinion of you, being right, honor, financial reward, or recognition? Once you define your personal values, you will be less stressed.

You must know what is important and valuable to succeed. It is helpful to assess where you are and where you want to go. Identify your personal goals and values. Write them down and reassess them on a regular basis to ensure that you don't get consumed by the job, your career, and family responsibilities.

Conclusion

You must make a conscious effort to maintain a healthy balance between your job and your personal life. No matter how balanced, there will still be issues that wake you in the middle of the night. It is important to be able to maintain balance, care for your family and keep healthy.

Resources

www.adm.uwaterloo.ca/infocecs/CRC/manual/values.html

Web site offering a free test to determine personal values.

//od-online.com/webpage/self.htm

Web site offering a free test of work and personal life balance.

www.2h.com

Web site offering a number of free tests of personality, values, self esteem, power and stress inventories.
www.queendom.com
Web site offering more than 200 online tests of various aspects of personality.

www.apollocareer.com
Provider of online guidance to career planning, development and management. References on self assessment, self development and career enhancement.

www.ballfoundation.org/ci/careervision.html
Web site Ball Aptitude Battery of tests to determine skill areas.

www.discoverme.com
Web site with personality assessment tools.

www.jobshark-profile.com
Web site with a popular assessment technique.

www.selflook.com
Online personal assessment service.

//content.workplace.aol.monster.com/tools/personality
Web site with personality tests.
Self-Awareness

It is difficult to accurately assess how others perceive you, both personally and professionally. Identifying and overcoming ineffective behaviors is critical to your success. It is important to get feedback about how you are doing. Following is a checklist to assist you with identifying your level of self-awareness.

- Identify your leadership style. Would you follow a leader like you?
- Watch yourself react to bad news. What behaviors are you role modeling?
- Listen when you receive feedback from your boss, staff, inmates, the community, or your family, even if you don't want to hear it;
- Find a network of peers from whom you can receive feedback, ask for advice, and safely blow-off steam;
- Don't kill the messenger;
- Learn to say "I don't know," then find the answers;
- Get comfortable with not being in control of everything.
- Don't take yourself too seriously. The organization is able to survive without you. Learn to recognize when you are stressed;
- Think about the best boss you ever had, analyze his or her traits, and try to emulate those behaviors;
- Give up activities that are not appropriate for a warden;
- Frequently re-assess your personal and professional motivations for doing this job. Keep focused on your personal goals and how to reach them.

Discussion

The position of warden carries substantial positional power - authority that comes with the title. Some leaders take this authority and turn it into personal power. An autocratic warden who does not grasp the concepts of power and authority was identified by the state directors as one way for the warden to fail at his/her new responsibilities. State directors also site egotistical wardens, lacking in compassion for their staff, as headed for failure. You can change something just because you say the word, but the future costs of this behavior can be high.

Staff, inmates, and the community tend to see the warden as "omnipotent," believing that every aspect of the facility is completely controlled by the warden. You quickly learn this is not true. Because of this perception, you must be fully aware of the impact that you have on others. What you propose as a suggestion may be interpreted as an order. This "aura of power" will be a constant issue for you. You must know how to express your ideas so you will not be misinterpreted. How can self-awareness help construct a healthy, positive, institution?
Let go of activities that are not appropriate. Don't manage a caseload, don't continue to be the point person for security operations, and don't meet with inmate groups. Reconsider being a volunteer in the facility. Keep a perspective of how the staff views such activities. While some new wardens may think this keeps them "in touch" with operations, they may be, in fact, usurping the authority of their staff and placing themselves and the institution in danger.

Knowing Yourself

Self assessment is the process of gathering information about you. Critical assessment allows you to make meaningful decisions about your life and career. Identifying your personal and behavioral characteristics, and your personality and value, will confirm some of the things that you already know about yourself. This may also offer new information. It may identify weaknesses of which you were not aware, or strengths that you have not realized.

As one warden surveyed said: “Set aside your ego; it is not about you, it's about the organization.” There are a number of ways that you can find out about yourself. A variety of self assessment and personality tests are available. If you are rigorously honest, personality assessment will tell you who you really are, not who you want to be, or think you should be. Some of these tests can be purchased, and some are free on the Internet. Some assessments are scored by machine, and some by experts. Sources are listed in the Resource section of this chapter.

Finding Out How Others See You

"You need to recognize how your personal style may be adding to the stress of the organization. Your drive to succeed will have a significant impact on your management team." There are many people in your life who can provide valuable input, but you must ask. You also need to be ready to hear what you don't want to hear. Family, friends, peers, mentors, teachers, supervisors, religious advisors, and subordinates can provide information. It is important to remember that not all the input that you receive will be accurate, and you may be overwhelmed by what you think are a gale of negativity.

One process of receiving information about yourself from many individuals surrounding you is called a 360-degree evaluation. There are professional consulting firms that will assist in structuring the process, and receiving and correlating the feedback not only for you, but also for your management team. You can perform your own 360 degree evaluation.

To learn more, structure specific questions about issues or areas of concern. The questions should be designed to elicit helpful information, not bolster your ego. You should select evaluators who have worked with you enough to be able to provide you with accurate information and whose opinion and advice you value. It is helpful to structure the process so that their response will be anonymous. This can be done by having a third party collect the responses and transpose them onto another form so that you will not be able to identify the respondent.
While the results of a 360-degree evaluation can be disheartening, it is also possible to learn very positive things. Listen to what is being said to you and go beyond justifying your behaviors to yourself.

**Conclusion**

You have positional power and authority. What you want is overnight respect. Defining a sense of self, gathering and assessing feedback is part of the growth process of a leader. Review the list of what the state directors indicated makes a warden a superstar. Critically assess your growth areas. The easiest person to lie to is you.

**Resources**


www.three-sixty.com

Tips and suggestions for administering 360 degree multi-rater feedback surveys.

www.Keirsey.com

Questionnaires which help you understand your personality.

www.adm.waterloo.ca/infocecs/CRC/manua-home.html

Web site with a personality and attitude exercise that helps assess your feelings and actions in different situations.

www.kolbe.com/all_kolbe_indexes/all_kolbe_indexes/all_kolbe_indexes.cfm

Helps you measure what you will and will not do.

www.queendom.com/test-junkie/tj-personality4.html

Leadership style test.

www.marksman.co.il/public

Low cost personality assessment tool.

www.personalitytype.com

Free online personality quiz based on Myers-Briggs Type Indicator.

www.careerlab.com/assessment.htm

Web site offering the Myers-Briggs Type Indicator, Myers-Briggs Type Indicator Step 11 and the Sixteen personality Factor Questionnaire.
Warden as Teacher, Coach, Mentor, and Role Model

You are extremely influential with your staff and should be prepared to enthusiastically share with them your knowledge and experience. You have an obligation to prepare the next generation of corrections leaders. Whether consciously or unconsciously, you are always teaching and mentoring staff. Your actions will be scrutinized, and the management team will learn from your words as well as your deeds.

☑ Be generous in sharing your knowledge and work experiences. Someone was generous with you;
☑ Be alert to opportunities for staff to learn;
☑ Check your body language, eye movements, and gestures. Your body language may be speaking louder than your words;
☑ Be aware of the power of your position and the ability of your words to damage, encourage, and influence;
☑ Require your management team to coach and mentor employees;
☑ Don't be critical of peers and predecessors. Learn from their mistakes and be grateful that you are not the warden making that mistake; and
☑ Remember you meet the same people on the way up, and on the way down.

Discussion

Many of the new wardens surveyed expressed gratitude to individuals who had taken the time to either formally or informally act as a mentor for them. Several new wardens reported that they had many mentors during their careers who were very generous with their time, talent, and experience.

Role Model, Mentor, Coach, Teacher

You critically impact the staff. Identifying this impact and assuring that this is positive is an enlightening experience for you.

Role Model

Role modeling involves emulating the behavior of another individual. Role modeling can capture both positive and negative behaviors. Your behavior is always being observed by others. How you dress, speak, write, and act are all critiqued and copied or rejected by others. You need to role model the behavior you expect of others. This does not infer that the management team imitates your way of dressing, talking, and walking. Rather, their desired behavior conforms to your values. Respect for staff and inmates, thoughtful problem-solving, cool responses during emergencies, public praise for those who have excelled, and private discussions with staff who have not met expectations are a few examples.
**Mentor**

Mentoring involves managers, formally or informally, assisting individuals who are just beginning their career. Technical, political or interpersonal skills may be involved. Mentoring can be beneficial to both parties, as the person with experience can reflect on their career while listening to the person coming up through the ranks.

Formal mentoring is a structured program, often involving setting regular times to meet. In some formal mentoring programs, the mentors received training prior to accepting "mentees." Documentation is prepared to identify goals, and progress notes are made about how the person being mentored is reaching the goals. Many corrections' agencies adopted formal mentoring programs in the late 1980s and early 1990s. The NIC Information Center has descriptions of many of these programs. But, it appears that these formal programs were not long lasting. Many experienced wardens reported that the formal mentoring programs stifled the intended relationship as the process of documenting growth became a mini-performance appraisal. Formal mentoring became more of an evaluation of how the person was progressing, than an atmosphere where mistakes could safely be made.

Informal mentoring takes opportunities as they arise to share knowledge or experiences. Wardens mentor subordinates when they take the time to talk about their own careers, mistakes and learning opportunities. Wardens can also share how they achieved some of their goals, listen to the career goals of the subordinate staff, and offer advice. For example, informal mentoring can take the form of discussions with a staff member about how to interpret signs from central office or how to deal with a problem employee.

There are many models for mentoring programs. You need to decide what approach best fits the institution's culture. If mentoring has not been a part of the agency culture, having mid-managers begin to trust the management team enough to discuss career issues is a first step.

**Coach**

Coaching is daily feedback to individuals by their immediate supervisors. Wardens may coach by a progressive assignment of greater responsibilities. The warden should encourage management staff to coach their staff. Coaching helps assure that the subordinate staff can do the job the next time with less intervention, and that they feel comfortable asking for help.

**Teacher**

Teaching involves the traditional classroom transmission of information. Wardens occasionally have opportunities to teach staff during training sessions or other situations. When asked to "teach," remember that the message delivered is as important as how it is delivered. Whatever the warden chooses to teach will take on added significance to those in the class. A warden taking time to teach is a powerful statement for the attendees.
Who Mentors the New Warden?

Where do you turn for help when you are the "boss?" While one new warden remarked that you should prepare to be lonely, there should be resources available for you to use in the good times and in the bad times. Look around and determine who in the organization, the community, or even in another state might be a good mentor for you. This person should agree to be available and know that they are mentoring you. You should consider selecting someone who others, as well as you, respect. This mentor doesn't have to be in corrections. CEOs of both public and private organizations face very similar issues to you. Of course, they aren't dealing with inmate emergencies or failures of security systems, but the skills needed to deal with these situations are comparable.

Don't just call your mentor when things are going from bad to worse. Make a commitment to keep in touch at regular intervals, and do it! Unless you are in a formal mentoring program, no one but you and your mentor need to know about the arrangement.

Conclusion

Your best legacy may be that the institution continues to excel after you leave. Whether you deliberately set out to coach, mentor, or teach, you do so every minute of the day. Understanding the impact of leadership and using it positively, reaps rewards for you and the profession.

Resources


www.mentorsforum.co.uk/  
UK Internet interactive mentoring site.

www.deliveringthepromise.com/  
Yellow brick web site offering online courses in mentoring, coaching, employee retention strategies.

//mentors2000.o7.net/  
Corporate site that offers consumer friendly advice and information about mentoring skills.

www.mentoring.org/  
Web site of The National Mentoring Partnership that includes a quiz to assess your mentoring skills and gives mentoring tips that can be adapted to any situation.
www.rctm.org

Corporate site offering a coaching and mentoring video and media training directory.
The First 90 Days: Putting It All Together

Overview

Taking over as a warden is an exciting time. You strive to make a positive first impression with your staff, and the inmates. How you proceed in the first few months is critical to your future success, and to the success of the institution. There is no one way to proceed that is better than another. However, there is advice about what worked well for experienced wardens as they assumed their new job.

The learning and listening that will transpire within the first few months of your new job responsibilities should not be a random activity. Make it a priority to assess the institution and the community in a deliberate manner.

Putting It All Together

You want to present a positive first impression, and move confidently to establish leadership. Some new wardens know about their promotion for weeks, and can give thought to what they are going to do from the very beginning. Other new wardens may be assigned to a facility on a moment's notice, and immediately face some serious leadership challenges.

The following checklist will help you to assess what you know, and what you need to know, in your new role.

✔ Walk around, a lot. Don't be afraid to say "I don't know." Don't make promises you may not be able to keep.
✔ Listen. Walk with a pad and pen. Keep notes.
✔ Identify your legal representative; meet and discuss current issues.
✔ Review the current budget. Is the budget on track for an overrun?
✔ Review the current staffing plan and staff turnover.
✔ Compile a "to do" list consisting of issues that your boss has mentioned, or ones you have identified. Review and re-prioritize the list weekly;
✔ Set up meetings with local community leaders and media representatives.
Review emergency procedures. What can go wrong, might go wrong, tomorrow;

Schedule individual meetings with management team members and staff leaders
to determine what they see as issues that need to be resolved, or problems about
to happen; and

Don't forget your family.

Discussion

You will have a honeymoon period, even if it only lasts a few weeks. After that time the
expectations of staff, inmates and the boss will increase daily. During this transition
period, identifying issues must not be left to chance. Some new wardens don't get any hon-
eymoon, as disruptive inmates and staff see this period as the time to test limits.

Before determining what changes need to be made, you must understand the culture and
the history of problematic issues. During the initial 90 days, unless there is a facility emer-
gency, it is good to get back to basics and concentrate on the primary mission. During this
time, you will want to compile a list of issues to be addressed and have staff gather the
information necessary to evaluate options. During this period it is also good to ask some
hard questions about your new role.

Why Are You the Warden?

New wardens, presumably, have successfully demonstrated the qualities necessary for
leadership. Promotions are based upon past performance and the anticipation that leader-
ship skills are present. If you can determine exactly why you have been named the
warden of a specific facility, this might help guide your focus. Is everything at the
facility perceived by the staff or central officer to be going well, or are there acknowl-
edged problems?

Inside/Outside - Does it Make a Difference?

Often new wardens are promoted to lead the institution in which they have been part of
the management team. Sometimes new wardens are selected from other institutions, or
from other correctional systems. The dynamics of each situation are unique.

If you are now leading the institution from which you were promoted, you are usually
expected by the management team to know all the answers. Your former peers may seem
puzzled when you question why things are the way they are. You may want to challenge
the status quo which you helped to establish. Some staff might feel that they have an "in"
because you were, or still are their friend. Conversely, those who were at odds with you
in the past may feel vulnerable.

You may have the option of bringing in members of your management team from other
institutions. If you were promoted from within, bringing staff on board from the outside
might be one way to overcome the issue of why things aren't good enough anymore. The
aura of a new person in the institution allows more flexibility in asking questions and assessing why things are done a particular way.

A warden who comes from outside the institution has a host of issues, but in most cases staff polarization is not one of them. You will not owe anything to anyone in the institution, giving more latitude to shake things up. In assessing how to approach the first months of your administration, you need to figure into the equation the impact of whether you were promoted from within, or are new to the institution.

**Qualities for Success**

When agency directors cited the qualities, they saw in successful wardens, and the qualities most desirable for potential wardens, they identified several. Agency directors want the warden to be visible in the facility and someone who listens to staff and inmates. They expect the warden to set clear expectations and hold staff accountable for quality performance. They prefer that a standard be set for a management performance and then, modeled to staff. They want the warden to invite staff participation and to provide opportunities for team problem solving. They want common sense.

**How to Prioritize**

As two of the wardens who were surveyed said: "Taking over a prison is like jumping on a moving train. It takes a while to get your balance, and resist the urge to delegate areas that are your weaknesses. If you do, you really will not know what is going on."

During your first 90 days, you have many things to learn. If there are no major issues, making decisions that radically change things should be postponed until you have a good grasp of the larger picture of the facility, and the history of the issues. Issues, like the budget, staffing, media, and contract administration are likely to be significant in the first 90 days so you will want to quickly gather information.

The daily paper flow and routine work will continue during this learning period. Paperwork that reaches your desk should be evaluated to determine who should handle it. Delegate whenever possible! It can be useful to select one qualified and competent staff member to screen the mail, research issues, handle special projects, and review your e-mail for priorities. On the other hand, it will be necessary to meet with key management staff to determine which issues they are routinely handling to determine if delegation is appropriate. In general, "tasks" should be delegated to appropriate competent staff and management and leadership issues will come to you. Delegation is not abdication.

Do not be afraid to move people around; shake it up; but be sure that people are trained to do their jobs.

Learn to delegate, then follow-up.

Do not allow subordinates to dictate your day; or allow staff to ask for a decision from the warden that should have been made at a lower level.

Resist the urge to delegate areas that are your weaknesses. If you do, you really will not know what is going on.
Developing a Personal Learning and Growth Plan

During the first ninety-days on the job, you will quickly find out things you don't know. It is important to make a list and prioritize so you can make a personal plan to learn and grow. Each day, set aside time to learn about one thing on the list. It is good to get into the habit of maintaining a list during your entire career. Regularly set aside time to review personal and professional goals help keep you on track.

Emergency Procedures

You need to be confident that the staff and the institution are ready for an emergency – fire, disturbance, mass illness, flood, loss of water or sewer services, tornado, hurricane or an earthquake. You need to quickly establish who you can turn to in an emergency for resources and advice.

You must also be familiar with critical incident stress management, and just how supervisors and managers will respond if staff are injured, or involved in an incident. It is an unfortunate aspect of corrections that staff become victims of inmate violence, are exposed to pathogens, or witness the aftermath of violence. A warden's obligation to keep the staff safe should insure these incidents are reviewed and any changes, if needed, made immediately.

Reviewing emergency procedures, determining that staff have been trained, the age and condition of emergency equipment, the status of special response teams, and critiquing the adequacy of existing plans will help you be prepared. A conference with the first responder organizations - fire and emergency medical services - will further help you sleep at night.

Damage Control and Recovery

Every new warden will make a mistake, the consequences of which may be major or minor. Be prepared to address the first mistake. The mistake can be a private one, or a public one. Even if the decision seemed the best at the time it was made, it can blow up. You should think about how you will respond when the mistake occurs.

The Image of Warden: What Your Staff Expects From You

Staff usually sees the power of the position of warden as awesome. Past experiences may tell them that "The warden can do anything." Of course, that is not the case, but the perception remains. As a leader, you will make unpopular decisions and be required to handle a matter at the specific direction of central office, with no input or discussion. Complaining to the management team or offering excuses is not leadership. You must remain a team player, even if the game plan is going in an unfamiliar or undesirable direction.
Gaining Historical Perspective

To gain a historical perspective of your job and your new institution, it was recommended by Mr. Larry R. Meachum, Director, Corrections Program Office, Office of Justice Programs, U.S. Department of Justice, that you read the following materials. It was also suggested that you read away from the office, and early in your tenure.

- The last twelve months in/out files;
- Investigation reports – internal and external;
- Twelve months of media coverage;
- Planning and research reports;
- Budget submission, governor's recommended budget, and appropriations for the last three years;
- Applicable legislation;
- Performance appraisals - what do they tell you about who was appraised and who did the appraising?
- Criminal code;
- Internal policies and procedures;
- Governmental regulations – personnel, purchasing, etc;
- Governor's position papers;
- History of the facility/agency; and
- Minutes of last twelve months' staff meetings.

The New Warden and the Inmate Population

No matter how much you have worked with or supervised inmates in the past, your new role has transformed that relationship. While establishing sound relationships with the staff comes first, accessibility to the inmates is also important. This accessibility can be gained through regular facility tours, meeting with formal inmate leadership along with appropriate staff, assuring that there are investigations and responses to inmate concerns, and talking with inmate families. In working with inmates, if you don't know the answer, admit it.

When communicating with inmates be extremely clear, make sure everyone knows where you stand and what you will do in a given situation.
Women and African-American Wardens

Women and African-American wardens report that they had different issues to address when they became a new warden. While it is true that the field of corrections has more diversity than all other criminal justice profession, issues remain. The culture of the institution will confront any new warden with challenges and obstacles.

Women in leadership roles had to move their homes more frequently than males (44% as compared to 20%), and women had to work harder and longer hours (78% of female directors worked more than 56 hours per week, compared with 44% of male directors) than males with similar responsibilities. Women wardens note that they finally came to the recognition that they cannot be a "normal" mother or spouse in their community. They are the wardens. They are unique and will not fit into the community as inconspicuously as they might wish. This fact has implications for family life for the woman warden.

Differences have also been identified between white and African-American wardens, including: African-American wardens had less experience in their present positions, but were almost identical to white wardens in terms of "the number of overall years working in corrections"; African-American wardens had high job satisfaction levels; African-American wardens were "somewhat more likely to accord importance to community volunteers in their institutions," and African-American wardens reported "experiencing more social support." New wardens are "tested" by staff and their management team. Women and African-American wardens often had job experiences to prepare them to be in the spotlight. It is important to acknowledge these issues and use the leadership practices that have worked in positively in the careers of experienced wardens.

Conclusion

You may work the hardest you ever worked in the first sixty to ninety days as the new warden, as you listen and learn. The bad news is that these first months may be the easiest, as you will not be expected to know everything all at once. Careful preparation during this initial period will help you "hit the ground running" once the "honeymoon" is over and the real job begins.

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Resources


Preparing To Be a Warden

Overview

Arriving at any goal involves planning and execution of the plan. For those who wish to be a warden, director, or superintendent, this planning involves preparing more than an impressive resume. To ultimately be a successful warden includes improving skills, enhancing knowledge beyond the facility, preparing your family, and gaining competency in the critical and subtle world of politics and the external environment.

Most wardens will honestly say that you cannot really know what being a warden is like until the day you begin the job. As true as this may be, a person can put together a personal plan, hone their skills, and know to whom they can turn to help them through the rough times. This is not a matter of chance or luck. Success is a matter of deliberate and dedicated work, an honest appraisal of personal skills, and communication with your family.

Advice is offered in this Section from directors, experienced wardens and instructors from NIC's Executive Training for Newly Appointed Wardens. These professionals provide insightful observations about how a career-minded person can prepare, and, perhaps, how current wardens can improve their work and personal lives.

The Checklist in this section is intended as a guide to help you assess what you know, and what you need to learn in your new role. The Resource section provides ideas for learning more about these topics as you develop a personal learning plan.
Preparation

The intent of this Guide is to provide you with an idea of what is expected of a new warden, and the strategies and skills required to accomplish these expectations. There is a lot more to being a warden than can be anticipated in the trip up the chain-of-command. This section is designed to help you develop the knowledge and skills necessary to do the job, if becoming a warden is your career choice. The following checklist will help you to assess whether you are prepared to be a warden.

- List your work experience and the skills you mastered in each previous position. Honestly compare the skills you have to the skills necessary for the position of warden;
- Compare your formal education to the wardens in the system. What additional courses could you take to round out your education?
- Volunteer to be on task forces and committees at the facility or agency level. Volunteer to do research. Visit other facilities;
- Identify managers and administrators you most admire and define why;
- Consider the impact of becoming a warden on your personal life and your family. Are you willing to make personal sacrifices to be a warden? Does your spouse know about your career goals?
- Be involved in your community. Notice how the institution is perceived by the community;
- Take advantage of all opportunities offered by the department to improve management and leadership skills;
- Recognize that your institution's way of doing things, or that your organization's way of doing things is not the only way. Expand your horizons and explore operations in other facilities and in other states.

Discussion

Throughout this Guide, corrections' professionals have provided insight into what a new warden needs to be successful. Additionally, wardens have candidly shared their experiences, their failures, and the challenges they faced as new wardens.

The primary theme woven throughout this Guide is that you must be competent in the "nuts and bolts" of this profession - security operations, staff supervision, and programming - before you begin your career in the warden's arena. In the warden's arena, technical competence is a given. You must be able to demonstrate leadership, vision, ethics, motivation, and compassion. You must be able to listen.

How can managers structure their personal and professional goals to become a warden? What are the things that provide the warden-to-be with the greatest opportunities?
Assessing Your Strengths and Weaknesses

It is important to assess your strengths and weaknesses before, during, and after you accept your responsibilities as a new warden. To truly be successful, you should monitor your progress as a leader, and be willing make the adjustments necessary to ensure your success, the success of your staff, and the success of the institution.

Work and Life Experiences

Assembling a range of experiences is part of getting ready to be a leader. A person is the sum total of their work and life experiences. Many times life experiences teach more than work or formal education, developing wisdom, patience and the ability to overcome obstacles. Experienced wardens say that they learn more during a few hours of a crisis than in several months of work.

Increase chances for success by learning about other facilities in your state or region. Find out how others solve problems. Keep up-to-date about national corrections' issues. Join local, state and national professional associations. Attend national conferences, even if the department doesn't reimburse your travel.

The state directors are almost unanimous that a bachelor's degree makes a warden more successful. With Internet-based college education more widely available each day, few excuses remain for not having a college degree.

Successful new wardens have worked in a variety of assignments in corrections. While it is tempting to stay in a comfortable and routine work assignment, preparing to be a warden involves looking for opportunities to learn and gain experience in security, programs and administration. Preparation also means learning to take calculated risks, and getting used to working in a new environment.

Performance Evaluations - Formal and Informal

Formal performance evaluations offer the opportunity for you to identify your strengths, weaknesses, and measure your improvements. Review your previous performance evaluations and identify the skills you have mastered, and the skills you need to improve. Consider how to improve your weak areas. In what areas can more done to improve weaker skills?

Informal evaluations, such as oral feedback from supervisors, identify areas of improvement. Seeking progressively more responsible assignments or volunteering for committees or task forces, with the objective of learning new skills, will provide areas for growth. Listen to what your supervisors, and your peers, are really telling you.

Seeking Honest Appraisals

Discuss your goal of moving up in the organization with your supervisors. This will give them the opportunity to assist you with learning new skills and expanding your responsibilities. Request feedback from managers and supervisors. When a supervisor or manager has reviewed your work, ask for their honest opinion along with concrete suggestions of how to improve. Seek feedback from both individuals you admire, and those you do not. Both are invaluable opportunities for learning.
Honest appraisals of your skills can also be requested from professors or teachers. If involved in a bachelor's or master's degree program, tell professors about your career goals. Let them help you to improve your writing, research, and speaking skills. The classroom is generally a safe environment, where experimentation and practice will lead to improvement.

**Personal Qualities**

In various sections of this Guide, personal qualities that will help you to be a successful warden are noted. These qualities can all be learned. Family and friends can provide perspective about personal qualities. Practice improvements and ask for feedback.

Consciously increase your exposure to different cultures. This will better prepare you to manage a diverse work force. To confirm your objectives, review the list of personal qualities in Section I, What Does the Boss Want?

**What Do the People in Power Tell You About Your Organization?**

Who is in power in the organization? What does this tell you about the organization? Are they the same type of leader as the last administration? Notice the characteristics of the most recently appointed decision makers. What is their age, sex, ethnicity, education level, and professional experience? What does this tell you about what you need to do to become part of the management team? Your personal environmental scan, conducted every few years, will help you better to understand your organization.

**Developing Your Future Leadership Style - Knowledge to Do the Job**

It is important for you to develop your leadership style and ensure you have sufficient knowledge to perform well in your job responsibilities. The following questions will help you to assess both.

**Where Do I Want to Go with My Career? Is Becoming a Warden the Right Choice for Me? Why?**

Consider why you want to be a warden. Make a list. Is it for the money? Is it the power? Is it an ego boost? Experienced wardens admit that most of them did not start their careers wanting to be wardens. As with many corrections professionals, they did not intend to work in the field for more than a few years. Why then did they stay and seek positions of influence? Some reported that they landed in the warden's job because they were "there" at the time of a crisis, but most reported they accepted the position because they truly believed they could make a difference in that institution.

Becoming a warden will involve personal sacrifices. These sacrifices may take the form of additional education, accepting assignments that require relocation, or taking time away from personal or family life. You must consider just what you are willing to pay, personally and professionally, to become a warden.
**How Will I Prepare to Handle Stress?**

Corrections' professionals are skilled at working in stressful environments. But the stress of management cannot compare to the stress of leadership. If managers are stressed, their subordinates are stressed. If a warden is stressed, the organization is stressed.

Attaining balance in personal life prepares the warden for the stress of the job. If you have no friends outside of corrections, if your hobby is doing paperwork at home, and if you cannot leave your pager or cell phone for a few hours, you may be headed for trouble. Successful stress management in your personal life will lead to professional success.

**Is my Family Prepared?**

Your family must be supportive of your goal to become a warden. That means that you must discuss it with them and consider how they will fit into that plan. They must be prepared for the issues that will affect them as the family of "the warden." It may be possible for them to meet the family of other wardens and talk about how life changed for them.

**Is There a Mentor (formal or informal) Who Can Help Me?**

It is almost impossible to become a warden without asking for formal or informal help and advice from more experienced corrections' professionals. Look around and see who has the skills, experience, and commitment to help. Ask them to help you and give you advice. Talk regularly to them to help you move forward to your career goals.

**Practicing Skills**

Practice skills that you will need as a warden.

- Write reports, correspondence, letters, directives. Hone your writing skills so you can write clearly and quickly;
- Research a pending issue. Develop arguments both for and against the issue;
- Listen to family, friends, peers, subordinates, and inmates. Keep quiet and just listen. Practice interpersonal communication skills;
- Read about leadership. Practice the leadership skills you have read about;
- Speak publically in the community;
- Volunteer for work, projects, task forces;
- Reduce and manage stress in your life;
- Elevate your personal and professional life decisions. Walk the talk; and
- Achieve excellence.

There are opportunities on the job, as a community volunteer, in a classroom setting, and in other places where you can practice the skills you will need as a warden. If you are enrolled in college or post-graduate work, ask a professor to critique your writing. Ask your boss if you can help with researching or writing reports. Volunteer to speak at
community meetings. Help produce the employee's newsletter. Work with updating the institution's web site. The opportunities are almost endless if you choose to seek them out.

NIC Program Instructors’ Recommendations

As you prepare to be a warden, the following are additional insights for you to consider. Based on their involvement with the NIC Executive Training for Newly Appointed Wardens’ Program, professional instructors offered ideas on how wardens can better prepare themselves for the challenges of being a warden.

Greater Exposure to the Literature on Empowerment of the Workforce

How the corrections' workforce is managed and lead has changed dramatically in the last twenty years. Gone are the days of the omnipotent warden, who had far-reaching power and the ability to dictate the workings of the institution. Many current managers were "parented" by wardens who used a dictatorial style to maintain order between staff and inmates alike.

This generation of wardens will be successful if they develop and empower their subordinates. The complexity of corrections lies not only in the day-to-day management of the institution, but in juggling multiple and changing public priorities. A warden cannot manage or lead the institution with only a strong will.

Greater Exposure to Correctional Practices in Outside Jurisdictions

Many middle and top managers "don't know what they don't know." Unless managers are aware that their agency's or their institution's way of doing business is just one of many legitimate ways, tunnel vision will cripple the organization. Those wishing to become wardens need to expose themselves to other correctional systems, new and innovative ideas and programs, and engage in debates and discussion with professionals from other parts of the country. Isolation does not make for improvement in corrections.

Experience as a Change Agent - Use of Strategic Planning

This Guide has identified how creating and working a new warden's plan can lead to success if staff are involved and goals are realistic. Being a change agent is not in the zone of comfort for many middle managers. Those preparing to be wardens need to step out in their organizations and volunteer to be part of the next wave of change. This is risky behavior in some organizations, but for those who can assess appropriate risk, the rewards are great.

Extensive Interaction with the External Environment

The world inside a prison, for all its potential crisis and challenges, is "safe" for correctional managers – while the external world of community groups, business meetings, state legislatures, and the media can be frightening. Navigating in the external environment as a warden will be easier if you have previous experience. Learning how to read the political environment, speaking in public, and responding to elected officials are skills that can be acquired while moving up the ladder of responsibility, if sought out.
**Background in Legal Issues**

Wardens need to lead through strength, not through fear of being sued if they do, or do not do something. Knowing the status of legal issues in the state and in the country gives you the confidence to move ahead. Having resources to keep updated with current legal issues is a must.

**Experience in Problem-Solving**

Managers who learn how to solve problems are invaluable to their boss, and acquire skills for leadership themselves. In order to be effective, the problem to be addressed has to be accurately identified. Often what a manager or warden is seeing is a symptom of another problem. Their response is to address the symptom, and the problem remains. As managers grow, they become increasingly savvy in identifying the difference between the symptom and the real problem. This experience makes them not only good wardens, but effective mentors of their management team.

**The Voices of New Wardens**

When asked what they would tell a new warden, participants in the NIC Executive Training for Newly Appointed Wardens offered the following sage advice.

- You need to understand you own values, and live and demonstrate those for consistency;
- You can make a difference;
- Taking over a facility is like jumping on a moving train - it will take several months to gain complete balance;
- Build a strong support team and give them credit;
- The amount of power and authority of the position is immense. Be careful about thinking out loud;
- Be true to yourself;
- Do not neglect your family by letting the job consume all your time. Relax and enjoy life;
- You are always "on." Come to terms with that;
- Be kind. Be a listener. Do not breathe down their necks. Let them follow. Respect staff. They desire success as much as you do;
- People want to know where you are going and how you plan to get there. Emphasize responsibility and commitment to the objectives. Go out on a high note.
- Include staff input for ownership. Do not go in with a hidden agenda. Do not accept everything they tell you. Check the history of an issue before you make a decision;
• Set up a network with other wardens for professional advice and support;
• Have an open mind and give everyone a chance. Those you think will hurt you can sometimes do the best job for you;
• Be prepared for the bulk of your time to be spent on external issues;
• Be prepared for the fact that this is a very responsible and important position in which you will be very busy and stressed, and
• Think outside of the box.

Conclusion

This Guide contains information that can help a future warden, a new warden, and a warden with several years of experience, to excel. Advice given by experienced wardens, and the thoughts of state directors, add up to the same theme - wardens are leaders. Learning to lead is the result of an amalgam of many things, education, training, work experience, culture, and personality. The road map to success is here.

Resources

www.aca.org
   Web site of the American Correctional Association.

www.nicic.org
   National Institute of Corrections Web site.

www.ncjrs.org
   National Criminal Justice Reference Services - a source for research, grants, and data about the criminal justice system.

www.corrections.com
   A gateway to corrections related vendors and information.
The suggested list of references for new wardens was prepared by Jeanne B. Stinchcomb, Florida Atlantic University.

General Leadership Literature


A “tongue-in-cheek” look at managers and leaders from the employee’s perspective, this light-hearted guide to what not to do uses sarcasm and humor to package some powerful messages, and potentially relieve some stress along the way.


A classic work that focuses on what distinguishes leaders from managers, with liberal use of one-liners to clarify more complex concepts (e.g., “The manager relies on control; the leader inspires trust.” “The manager does things right; the leader does the right thing.”)


Emphasizing the importance of passionate commitment, character, and credibility, these authors discuss specific strategies for leading through vision, communication, empowerment, and self-development.


While seemingly out of place on the list, this brief profile of courageously determined leadership examples is inspirational to anyone who doubts the capacity of one person to create change—or who fears the consequences of raising a voice against popular opinion.


Illustrated with case studies contributed by dozens of government officials across the country, this book explores how public agencies have responded to the challenge of developing and implementing performance measures in a non-profit environment. Pay special attention to Chapters 2 and 3, “Effectiveness, Efficiency, and Other Forms of Measurement,” and “Using Measurement to Improve Decision-Making.”

Filled with relevant case illustrations, this book presents systematic, step-by-step approaches for engaging teams in problem-solving, decision-making, and conflict resolution, with emphasis on the leader's role as group facilitator.


Although clearly oriented toward profit-making business firms, much of this book's advice, systematic change process, and case histories of successful change strategies apply equally to changing organizational cultures in the public sector.


Taking the discussion of leadership vs. management to the next level, this book specifically describes the task-oriented differences between them--distinguishing, for example, the leader's role in establishing direction, motivating, and inspiring from the manager's planning, controlling, and problem-solving functions.


Based on information gathered from thousands of leaders of successful companies, these authors describe the attitudes, traits, and behaviors that distinguish effective leaders, which are summarized in ten commitments that are discussed in detail throughout the book.


Using many real-life examples, these best-selling authors show how leaders can enhance worker motivation--and replace compliance with commitment--by creating more opportunities to intrinsically reward their employees.


Although leaning at times toward a more theoretical orientation, both of these sources provide not only an overview of the essential functions of leadership in terms of creating cultural change, but also an assessment of the feasibility of doing it, along with related strategies and action plans.

Focusing on the reduction of culture-related stress in the workplace, a multicultural model of pluralistic leadership is presented that is sensitive to the needs of all workers and designed to improve organizational performance by balancing a multicultural workforce.


While the liberal use of stories, checklists, anecdotes, and poetry makes this book both user-friendly and somewhat superficial, it does provide the new leader with down-to-earth coverage of such topics as prioritizing, problem-solving, staff development, self-discipline, integrity, and change.


Presenting a somewhat unique perspective on leadership development, this chapter explores how facing and dealing with life's hardships (e.g., professional mistakes, career set-backs, personal trauma) can actually be positive experiences that teach lessons which enhance growth and improve leadership skills.

Corrections Related Leadership Literature

The following recommended literature includes resources specific to corrections, as well as, related literature.


Illustrating the role of quality leadership in the success of an organization, this article borrows from established practices of successful military leaders and sports figures to emphasize the importance of integrity and moral courage.


Based on the new leadership demands created by a changing correctional environment, this article discusses a new style of leadership that includes being a visionary, a continual learner, a creator of culture, and a developer of people.


Based on both his own research and that of such groups as the National Performance Review Commission, this article offers advice on how correctional managers can enhance the quality of life in their institutions.
A brief but compelling article that describes how to recognize “learned helplessness” at the workplace, what organizations do to promote this dysfunctional condition, and what might be done to overcome it.

This comprehensive overview of the warden’s job provides brief insights and practical advice from experienced wardens on topics ranging from ethics to technology, fiscal management, accreditation, public speaking, employee relations, politics, and vicarious liability.

Building on an overview of the works of major scholars and practitioners that have pointed management in new directions, public sector examples illustrate the essentials of reinventing government—cutting red tape, empowering employees, prioritizing customers, and doing more with less.

Although oriented toward community-based corrections, in its analysis of the leadership strengths and weaknesses of former presidents Reagan, Carter, and Bush, this article contains lessons that are applicable to any correctional executive.

While written from the perspective of how leadership can work toward improving the image of probation and enlarging its share of correctional resources, this article is relevant to any leader who is faced with developing measurable performance indicators in an era of increased accountability.

A short (204 page) book of advice to administrators on the challenges of managing a correctional facility that covers everything from developing a vision and supervising staff to teamwork, strategic planning, time management, morale, and prison violence. Effective Prison Leadership is also available through the American Correctional Association.
Appendix B includes the methodology and summary of results used in developing this Guide. It is intended to help new wardens to be successful and prepare those who may wish to pursue this career. The guide was developed by gathering input from experienced wardens, newer wardens promoted between 1996 and 2000, state directors, and deputy directors of corrections. The enthusiastic participation of these individuals is a testament to both the need to assist new wardens and their willingness to assist colleagues. The topics initially proposed to be included in this Guide were lengthy. Selected for inclusion are those topics identified by the subject matter experts as priorities.

Assistance in developing this Guide came from these sources:

- Participants in the National Institute of Corrections' "Executive Training Program for Newly Appointed Wardens" between 1996-2000 were invited to participate. Of the 76 program participants, 75 were located and were sent project information, in addition to, a survey designed to identify the issues that concerned them most during their first year as warden. Forty surveys were returned. Thirty-one participants (41%) agreed to be interviewed by telephone. A summary of the telephone interview results is included in Appendix C.

- The Arizona Department of Corrections' (ADC) cooperative agreement with NIC was to develop a curriculum for the new wardens' training program. The agreement provided access to two focus groups of experienced wardens. Sessions were held in September and November 2000 in Phoenix, Arizona. Each one and 1/2 day discussion identified the most critical issues facing wardens, and explored how best to prepare wardens for these challenges. Fifteen experienced wardens from 13 states enthusiastically and candidly shared their experiences and recommendations. Many of these same wardens served as reviewers of the final draft of this Guide.

- Twenty-nine agencies from states and territories volunteered to help with the development of this Guide. Twelve state directors, or deputy directors of corrections provided their insight.

- Forty-six states provided information about their current training and development efforts to prepare new wardens.

- Five instructors in the NIC's Executive Training for Newly Appointed Wardens program responded to a written survey and offered their opinions about the needs of new wardens based on their observation of the programs' participants.
Resource Guide for New Wardens

- Larry R. Meachum, Director, Corrections Program Office, Office of Justice Programs, U.S. Department of Justice, provided his professional insight and ideas. Mr. Meachum has been a leader in the development of corrections' executives.

- Art Leonardo, Executive Director of the North American Association of Wardens and Superintendents’ (NAAWS), provided advice and support.

- Sharon English, NIC Advisory Board member, retired Deputy Director of the California Youth Authority, Office of Prevention and Victim Services, and a victim advocate, assisted in the development and review of the section on victims and victims’ services.

The final draft of this document was reviewed by 14 of the individuals who assisted as subject matter experts in the project's development, and also were instrumental in defining the topics to be included. Their reviews were comprehensive and aimed at ensuring that this Guide was relevant and user-friendly.

States Departments' of Corrections Survey

In preparation for the Guide’s development, a survey was conducted to determine how states prepare new wardens. This survey was not meant as an exhaustive analysis of executive level training, but rather to gather a snapshot of the current state-of-the-art in state-level training. Depending on the person who responded to the survey, the state's information may, or may not, be complete. There appear to be gaps in some states' information.

Initially, each state department of corrections was sent an e-mail that briefly described the project and requested information on training currently being provided in that state for newly appointed wardens. Several states responded to the e-mail, and the remaining states were targeted for telephone calls. Four states did not respond.

In most cases, the information was obtained from a director of training or a director of executive training. An effort was made to differentiate between training that was specifically targeted to new wardens, in-service training delivered annually, or to an executive group that might include newly appointed wardens.

States Departments' of Corrections Survey Results

Of the states responses received, (N=46) none reported having specifically developed training for newly appointed wardens either before, or immediately following the warden’s appointment. A majority of the states reported ongoing training programs for supervisors, managers and/or executives that are available to all employees. Many states noted that most of the individuals appointed to the position of warden would have attended such training prior to appointment. Only Alabama and Arkansas reported that completion of specific training is mandatory prior to being considered for appointment to a warden.

The training most often identified by respondents as relevant to new wardens was training the department had designed as the route to promotion and professional development. This training had a target audience of supervisors, department heads, lieutenants, and captains/majors. The supervisory, management or leadership training was usually provided by the corrections'
department. In several states an umbrella agency such as a state department of personnel or human resources provided the training for employees of all state agencies. An umbrella agency provided management/leadership training for corrections personnel in Indiana and Washington.

A typical example of training was in the Virginia Department of Corrections where all new supervisory staff completed a course in Basic Management Skills. The 80-hour program included leadership, performance management, mediation, and conflict resolution. Virginia reported that the program is in the process of being expanded to 160 hours. In addition, the annual in-service training, which exceeds the American Correctional Association mandated 40 hours, was entitled Comprehensive Strategic Planning and Management and Leadership.

In the Alabama Department of Corrections, all supervisors received training in a management curriculum that included styles of leadership, problem solving and decision making. Once appointed, all wardens/superintendents received annual in-service training that might include Best Practices, speakers from NIC, and other outside speakers. A majority of the states reported that many of their newly appointed wardens attended NIC’s Executive Training for Newly Appointed Wardens. Some states reported that their staff also attended the Correctional Leadership Development or Executive Excellence courses offered by NIC. Some states reported assistance from professional consultants to develop the executive leadership development materials used in their in-house training programs.  

Several departments indicated that they were in the process of developing management, leadership, or executive training. Other states reported that they had provided such training in the past, but that it was been discontinued. A few states, such as Massachusetts, were in the process of establishing mentor programs to develop their management and executive level staff.

In Texas, Idaho, and Arizona there was a formal relationship between the corrections’ agency and a state university. Most often, it was with a public management/administration office or a government department. In these states, the executive/leadership training is provided by the university. Newly appointed wardens might attend this executive level training at some point in their career, possibly prior to appointment. Delaware reported a state management fellowship program in which participants choose an agency and assignment designed to develop a statewide management level pool of qualified staff.

Both the Correctional Service of Canada and the South Australian Corrections Service reported no specific training for new wardens or superintendents. The Correctional Service of Canada reported that they are in the process of establishing a Correctional Management Learning Centre where each successive level of management will receive orientation and training appropriate to their position. This training will be mandatory within six months after appointment or while they are on an eligibility list waiting to be appointed. The initial effort will be directed toward Correctional Supervisors, then extended to Unit Managers, Deputy Wardens, and Wardens.

**Telephone Survey of New Wardens**

Appendix C provides the summary of the responses of the 31 respondents

*Note: End Notes (1-4) are provided at the end of this Appendix.*
Instructors' Comments

Five out of the 11 instructors who regularly worked with the NIC Executive Training Program for Newly Appointed Wardens completed surveys. The survey was intended to solicit their views on the training needs of their students. The instructors identified the top three areas of concern for new wardens as: leadership, the external environment to include the legislature and the media, and human resources issues relative to managing the workforce, challenging employees, labor relations, staff discipline, and staff wellness. Based on class discussion and observation, additional critical issues were identified as:

- Technology and information systems;
- Managing fiscal resources while staying within budget;
- Legislative issues;
- Internal politics, dealing with the boss;
- Inmate advocacy;
- Writing and public speaking;
- Legal issues; and
- Managing major emergencies.

What topics appeared to produce the most anxiety for the participants?

- Managing up the chain-of-command and related central office issues;
- External environment;
- Legal liability;
- Emergency response; and
- Staffing, recruitment, problem resolution, discipline, and unions.

What are considered to be top survival skills for new wardens?

- Managing by walking around (MBWA);
- Empowering the workforce, including Generation X;
- Establishing a monitoring system for critical issues;
- Understanding the political environment;
- Strategic planning;
- Ability to communicate, interpersonal skills;
• Openness and willingness to listen;
• Time management;
• Seeing the big picture;
• Knowledge of security and emergency management; and
• Ability to stay within the budget.

**How can new wardens better prepare to take on this challenging career?**

• Greater exposure to the literature on empowerment of the workforce;
• Greater exposure to correctional practices outside their jurisdiction;
• Experience as a change agent - use of strategic planning;
• Extensive interaction with the external environment;
• Background in legal issues; and
• Experience in problem-solving.
Comments of the State Directors/Deputy Directors

Twelve responses were received. The respondents are identified by number.

1. Approximately how many new wardens will be appointed in your state (agency) during 2000?

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<th>Respondent</th>
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2. Is there specific training provided to individuals before or after they assume their role as new wardens?

- **R1**  Before: Management Development, After: NIC New Warden.
- **R2**  No.
- **R3**  No, try to send to NIC and link to more experienced wardens for mentoring.
- **R4**  No.
- **R5**  Receive majority of training during regularly scheduled wardens' meetings, and NIC.
- **R6**  Minimal training. The department has a 40-hour program for new wardens, but it is presented sporadically and needs improvement. Most do not receive the training in a timely manner.
- **R7**  Not currently, but planned.
- **R8**  NIC New Warden Training.
- **R9**  No, must prove themselves as a deputy warden before being promoted.
- **R10** No.
- **R11** Executive Leadership training for new deputy wardens and managers training when appointed managers.
- **R12** Only on-the-job training, as well as utilizing NIC and the Wardens Forum Peer Group Interaction.
3. **What makes your newly appointed wardens superstars?**

**Personal Traits**

R1 Smart, balanced, decisive, charismatic, entrepreneurial, innovative, resourceful, self-empowering.

R2 People person, an effective communicator, good common sense.

R3 Maturity, a commitment to modeling ethical behavior both at and away from the workplace, ability to delay acting until thinking things through, ability to look beyond their facility to the needs of the larger organization and state.

R4 More than an 8-hour a day person, people skills, a great decision maker, creative, a problem solver, motivator.

R5 Assertive, insightful, common sense, level headed, intelligent, willing to work with others, always learning, desire to excel, ability to stay focused.

R6 Good communication skills, strong commitment to the institution and to the department, good work ethic, ability to visualize, create and enact a clear, strong philosophical mission statement emphasizing firmness and fairness. Ability to establish priorities, good organizational skills. Ability to properly delegate authority is critical.

R7 Honesty, integrity, proven work ethic.

R8 Proactive thinker, good manager, hands on performer, respected by staff prior to appointment.

R9 Leadership, decisive, management skills, human relations skills.

R10 Interpersonal communication skills, understanding his/her role in the Department of Corrections, ability to interact with the legislature and public.

R11 Good communication skills, listening, MBWA, easily grasps tasks, innovative, responsive inside and outside the facility, professional presence, leadership image to set tone and philosophy of facility.

R12 Accountability, honesty, self-motivation, being a good listener, confident, has a grasp of the "big picture," able to communicate effectively, both written and verbal, ability to deal effectively with subordinates and inmates, able to manage both down and up the organization, high level of integrity, commitment to the mission of the Department, understand that people are human and make mistakes.
**Job Experience**

R1  Varied posts, various locations, security, program and administrative mix.

R2  Multi-component experience, correctional institution experience.

R3  Corrections facility experience or strong corrections background. A thorough understanding of all elements of correctional operations and the ability to balance the needs of the various disciplines.

R4  Eight years (average) of full time, wage-earning experience in the correctional custody/law enforcement field. Five years (average) full time, wage-earning experience supervising employees, one which must have been in criminal justice.

R5  Should come from ranking managers with strong personal traits, ability to communicate and listen to staff, an excellent team player.

R6  Promoted through the ranks is not necessary, but could be of benefit. More critical are basic management experiences involving managing diverse groups in a complex work setting.

R7  Security experience, managerial experience, policy knowledge.

R8  Promoted through the ranks but not necessarily as an officer, extensive labor relations experience.

R9  Comprehensive and progressive, experience in the type of facility to which the warden is appointed.

R10  NA

R11  State and Corrections experience, 8-10 years of service, promoted through ranks, but with a variety of program, security and administrative experience, progressive experience, inclination for leadership, interest questionnaire submitted to potential staff.

R12  Promoted through the ranks, whether security or programs, with at least 8 years of progressive supervisory experience and having attained the level of Captain, Major or Associate Deputy Warden. It should be noted, within the state prison system, a Deputy Warden manages a "unit" and a Warden manages a "complex" consisting of several units.

**Education/Training**

R1  College/advanced degree preferable.

R2  Minimum of some college. B.A. or work experience equivalent.

R3  B.A. minimum. Masters preferred.

R4  Bachelors Degree/equivalent experience. Training in cultural diversity and sensitivity preferred.

R5  Strong background in correctional training and higher level of education helpful.
R6 Bachelor's degree minimum.
R7 B.S. degree, management development program, leadership programs.
R8 On-the-job experience in several different facilities.
R9 Previous deputy warden.
R10 Education helps. Should know about various forms of communication.
R11 Must be working on Bachelor’s degree to become an acting deputy warden. Must have degree to become a deputy warden. Regional administrator must assess and recommend warden candidates.
R12 Preferably a college graduate, or must be actively enrolled in a bachelor's degree program.

4. Why do some new wardens fail?

**Personal Traits**
R1 Indecisiveness, self-disempowerment, will not listen to their people, does not understand or employ basic security practices.
R2 A person who thinks they know it all.
R3 Myopic, focused only on their own facility or on one aspect of corrections, excluding others.
R4 No motivation, 8- hour a day employee, does just enough to get by.
R5 Too aggressive, egotistical, not willing to take time to think, more political than qualified, lazy.
R6 Does not see the "big picture" of the department as a whole, inability to grasp the concepts of power and authority specifically as they relate to empathy for subordinates, perceptions and ego. Lack of visibility and communication with staff and prisoners.
R7 Lack of commitment
R8 Autocratic, poor listener, "thin-skinned," and reactive.
R9 Not decisive, poor leader, not prepared to make unpopular decisions, does not pay attention to the issues internal and external to the facility, wrong personality to do the job.
R10 Inflexible, watched too many prison movies, indecisive, slow thinker.
R11 Rigid approach to management and decision making, unable to work with Generation X, ineffective communication, does not listen, not visible, not responsive to inmate or staff issues, poor labor relations, inability to negotiate successfully.
R12 Lack of confidence, inability to be a good listener and to take advice, thinks they have the answers and/or has an inflated view one’s own abilities and self-importance

**Job Experience**

R1 Too few years.

R2 A person who cannot see the big picture on institutional operations.

R3 Not an issue.

R4 Promoted too fast, meets the minimum qualifications.

R5 No upper management experience, less than a broad correctional background.

R6 Lack of variation and diversity. Only worked at one prison. Has not benefited from multi-institution experience.

R7 Inability to foster a cooperative attitude among subordinates, other agencies, or with other divisions within the agency.

R8 Little line level experience.

R9 Insufficient experience, or did not learn from the deputy warden experience.

R10 NA

R11 No progressive experience, no diverse experience, not able to be out and about the facility.

R12 Lack of experience in different custody levels.

**Education/Training**

R1 No apparent correlation.

R2 A person who has no command sense.

R3 Lack of education prevented communicating effectively with the public, legislature, media, etc.

R4 Promoted too quickly without enough supervision experience.

R5 Less than normal

R6 No valid correlation with training. All have Bachelor’s degrees.

R7 NA

R8 NA

R9 Not important. This is a job you learn by doing.

R10 NA

R11 Not sought to improve self beyond that which is required.
5. **What are the specific qualities you look for in someone you wish to appoint as a warden?**

R1 Bright, decisive, articulate, good listener, attentive to their people.

R2 Hard working, honest, able to communicate effectively.

R3 Maturity, models ethical behavior, thinks things through before acting, sees the big picture.

R4 Motivator, trainer, knows policy but has common sense, gets along with people, fair and consistent, outgoing, good communicator and listener, problem solver, proactive.

R5 Broad background in corrections with increasing levels of responsibility, willing to go the extra mile, approachable and not just out to be the "warden," able to deal with details and concepts, creative, knowledgeable, common sense, treats employees as important part of team, able to handle stress, good health.

R6 Management skills, leadership, communication skills, commitment, knowledge.

R7 Thorough understanding of all aspects of the facility’s internal environment, ability to communicate with all levels of the organization and outside entities, well rounded with excellent organizational and leadership skills, with outstanding policy knowledge.

R8 Leadership, strong self-image, knowledgeable, respected.

R9 People skills, flexibility, able to think on one's feet, sufficient experience as a deputy warden, community relations skills, administrative knowledge, i.e., human resources, physical plant.

R10 People person, decisive, common sense, listens to staff, takes direction from superiors.

R11 Progressive and varied career track, this is their chosen career, strong problem solving skills in areas of staff, medical services, labor relations, willing to meet with bargaining units regularly, responsive and effective grievance handling, innovative, will think outside the box.

R12 Self-motivated, a good listener, confident, has a grasp of the "big picture," able to communicate effectively, both written and verbal, ability to deal effectively with subordinates and inmates, able to manage both up and down the organization, high level of integrity, committed to the mission of the department, understands that people are human and humans make mistakes.
6. What, in your opinions, are the three greatest challenges facing new wardens?

R1 Separating from old friends, learning to make the really hard decisions, avoid "capture" by the status quo.

R2 History of the department or institution, budget, staff personnel issues.

R3 Increasingly limited fiscal resources, legal issues and mandates, i.e., labor and personnel issues, religious issues, ADA etc., and shifting perception of what the "goal" of corrections is.

R4 Shortage of staff and retention of experienced staff, violent offenders, budget restraints.

R5 Staff issues - Generation X, Federal guidelines, ADA, civil service, turnover, listens and communicates with staff, inmate gangs, drug traffic issues, technology, budget constraints.

R6 Establishing, enacting, and maintaining a positive, safe and secure climate between staff and prisoners that epitomizes honesty, fairness and productive change; handling the stress of being totally responsible for something that you can not completely control; maintaining a positive approach and acting as the institution's main "cheerleader" on a continuous and regular basis regardless of the many difficult times that prisons that all involved inevitably experience.

R7 Managing a constantly changing inmate population to include younger and more violent offenders, managing aging institutions with a growing and aging inmate population with fewer resources and tight budget constraints, and maintaining and supervising a qualified security workforce with an agency turnover rate of 32% within the security ranks.

R8 Establishing a good relationship with organized labor, managing outside bureaucracies, e.g., OSHA, FMLA, etc., winning over staff loyal to past administration.

R9 Staff management, budget management, political/community relations, litigation issues.

R10 Lack of public support for professional corrections mission, grasping what a warden really does, i.e., budgets, unknowns, human resources, personnel issues, not really understanding the role of the chief executive.

R11 Budgets, staff concerns to include, single parent professionals, child care, different values, working at home, etc., inmate issues, sentencing issues, public reactions.

R12 Officer safety, the changing inmate population, prison gangs, age and maturity of line staff, inability to have time to bring staff along in an organized fashion - our business is dynamic that experience is lacking, staff morale, understanding the political climate.
7. **Any other information or insight you'd like to share for this Resource Guide?**

R1  Manage by walking around, recruit good subordinates, make expectations clear and known.

R2  A class peer support group to share experiences.

R3  Wardens need to be generalists who surround themselves with "experts" from various disciplines. Not try to manage all the details. Help staff and their "experts" see, understand and support the larger organizational needs. Understand and stay current with the constantly changing correctional issues.

R4  Be very visible on their units, be great listeners and communicators with staff and offenders.

R5  None

R6  Inherent in prisons is the paramilitary subculture which has discouraged independence and leadership. Need strong leadership (not management) training, and training to learn to delegate.

R7  None

R8  Get trained in human resources, budget, labor relations, outside bureaucracy, etc., *before* your appointment to warden.

R9  Wardens spend 70% - 80% of their time on personnel issues, 15% of their time is spent on budget management issues, and the rest of the time, if there is any, is spent dealing with inmates. This is not something that you really can teach.

R10 Really understand how people view you. The job has to fit your philosophy. "The buck really stops here...you got to get that. Once you get that, I think you'll be okay."

R11 Always ask, "What if?" "Do your staff know why we do what we do?" All new wardens should read *A View from the Trenches.*

R12 Although our job is a very serious one, we must ensure that a Warden or Deputy Warden is able to create balance in life. The old adage, "Don't take yourself too serious," is an important aspect in corrections, especially from a management level.
Conclusions

The topics included in this Guide were selected by subject matter experts. As a point of historical reference, these topics are different from warden competencies developed in 1988. In that year, NIC asked 7 experienced wardens to develop a competency profile. Among the competencies included were the management of human resources, the external environment, and the budget, developing short and long term goals, and the management of litigation, security processes, emergencies, and inmates. As a measure of how the role of a warden has changed since 1988, state directors and experienced wardens clearly see wardens as "leaders," not as managers.

Leadership has emerged as a clear mandate in addition to the expected competencies in correctional operations. There appears to be a gap in what is seen as important – training specifically to help new wardens succeed -- and what is actually occurring for new wardens. The question to be resolved by state directors of corrections is whether the career development programs appropriately prepare individuals to become successful wardens. It is clear that states cannot rely solely on NIC's training programs to provide warden-specific training for their newly promoted employees.

Endnotes

1. Participants were:
   Alaska  Indiana  Nebraska  South Dakota
   Alabama  Iowa  Nevada  Tennessee
   Arizona  Kansas  New Hampshire  Texas
   Colorado  Maine  New York  Utah
   Connecticut  Maryland  North Carolina  Vermont
   Delaware  Massachusetts  North Dakota  Virginia
   Florida  Michigan  Oregon  Washington
   Georgia  Minnesota  Oklahoma  West Virginia
   Hawaii  Missouri  Pennsylvania  Wisconsin
   Illinois  Montana  South Carolina  Wyoming

   Correctional Service of Canada
   Correctional Services of South Australia.
2. **Participants were:**

3. **Participants were:**
   Delaware, North Dakota, Texas.

4. **Participants were:**
   Texas, Arizona, Florida.
Appendix C includes a summary of the telephone interviews compiled from graduates of NIC’s Executive Training for Newly Appointed Wardens. To conduct these interviews, the 76 graduates between 1996 and February 2000 were identified. One participant had retired since that time, and the addresses of the remaining 75 participants were confirmed.

Each participant was mailed a survey to solicit his/her views on topics considered to be critical during the first year as a warden. In addition, the survey asked if the participant would be willing to participate in a telephone survey concerning their first year as a warden. Thirty-one participants (41%) agreed to be interviewed. The questions were then sent to each participant so that he/she had an opportunity to formulate his/her ideas before the interview. One condition of the interview was that the data would be used in aggregate form only, and that the individual participant would not be associated with a particular observation or comment.

The results of these interviews became part of the process of not only determining the topics to be included in this Guide, but also is the source of many of the insightful quotes used throughout the document.

**Telephone Survey Results**

There were 31 telephone interviews conducted. Sixteen of the participants were male, and 15 were female.

**How much time lapsed between when you were named warden and you attended the NIC program?**

- Average = 8.7 months
- Range = 0 months - 24 months
- Average Male = 9.7 months
- Average Female = 7.6 months.
How many years have you worked in corrections?

Average = 20.6 years
Range = 3 years - 34 years
Average Male = 20.3 years
Average Female = 21 years.

Comment:
The respondents' aggregate years working in corrections are an impressive 638.5 years. The average number of years is skewed by 2 respondents who had less than 10 years of corrections experience. One respondent had 3 years, and the other had 8 years experience. If the average was recalculated without these 2 cases, the average number of years working in corrections would be 21.6 years. Similarly, the average for females would increase to 22.25 years and the male average years would increase to 21.06 years.

How many years have you worked in prison administration at a level of assistant warden or equivalent?

Average = 7.5 years
Range = 0 years - 20 years
Average Male = 8.9 years
Average Female = 7.2 years

Comment:
The average years at the level of assistant warden or equivalent is skewed by 3 individuals who were appointed from either another field, or who did not have assistant warden experience. If the average was recalculated without these 3 cases, the average years spent as an assistant warden or equivalent rises to 8.3 years. Direct responsibility for a small specialized facility, usually 150 beds or less, or a large program of 300 beds or more, or a subsection of a larger facility containing 300 beds or more, with total supervision of operations and programs was considered experience equivalent to that of a warden.

What are your educational and professional backgrounds in corrections?

High School - 3 (10%)
Bachelor’s degree - 21 (68%)
Master’s degree - 7 (23%)

Security background only - 4 (13%)
Program background only - 6 (19%)
Administration background only - 3 (10%)
Some combination of security, programs and/or administration - 18 (58%)
Are you currently working in a degree program?

Yes = 1 (3%)  No = 30

What specific training or education do you wish you had before you accepted your position as a warden?

Business administration/fiscal/budget (13), no additional training (7), personnel and labor relations (5), Master’s degree (2), legislative issues (2), media and public relations (2), operations training, security/emergency response training, Bachelor’s degree, legal issues; training in correctional leadership, how to manage difficult people, changing the organizational culture, strategic planning, and physical plant and construction/contracts.

Comment:

Budget and fiscal issues were mentioned by 42% of the respondents as areas where they had little or no previous experience and where they felt most vulnerable, regardless of their correctional backgrounds. Respondents most likely to indicate "no additional training" were generally individuals whose backgrounds in corrections included security and programs, or security and administration. Respondents who had the most varied backgrounds in corrections clearly felt most prepared for the position of warden. Personnel and labor relations issues were mentioned by even those with varied backgrounds because their previous experience was not at the level of involvement that allowed them to become familiar with these matters.

When you were appointed warden, did your department provide any orientation or training prior to, or just after, you assumed your duties?

None = 28  Orientation to the department = 3

Comment:

The process described by the respondents was categorized as an orientation because it involved a series of presentations by various department or division heads who articulated the functions of the departments.

Did you participate in a mentorship program? If yes, was it a formal department program, or an informal mentorship relationship?

None = 16  Formal = 3  Informal = 12

Comment:

Thirty-nine (39%) percent of the respondents participated in at least one informal mentoring relationship during their career. Several respondents indicated that they had participated in more than one mentoring relationship, and this was usually with a previous supervisor.
What specific work or job experience do you wish you had before you accepted your appointed to warden?

No additional experience needed (9), more fiscal and business experience (8), more security background (5), labor relations (3), more counseling/program experience (2), media (2), equipment, maintenance, safety and construction (2), assistant warden (2), strategic planning, critical incident management, institution activation, "job shadow" a warden.

Comment:

Twenty-nine (29%) percent of the respondents who reported "no additional experience needed" were generally those with some combination of operations/security/programs background. Those individuals who expressed a desire for "more security background" or "more counseling/program experience" were most likely to have had a less diverse corrections background and did not have a period of time spent in the area for which they expressed a desire for more experience.

What were the external land mines you anticipated when you were appointed that did not happen?

None (13), community relations (8), political/legislative interference (7), media attention/interference (2), sexual harassment, not one of the "good old boys," reduction in funds and programs, micromanagement from central office.

Comment:

It should be noted that almost invariably when a respondent indicated "none" it was followed by the comment that "everything I thought would happen did happen" so the "none" response should not be taken to mean that no external land mines were present. The issues mentioned by these respondents most often included community relations and political or legislative interference.

What were the internal land mines you anticipated when you were appointed that did not happen?

None (16), staff resistance to change (10), labor management issues (3), lack of support from competitors for the position, micro-management from central office, facility history of inmate disturbance potential, gang reaction.

Comment:

Once again, the response “none” was sometimes followed by “everything I thought would happen, did happen.” When the new warden had previously worked at the facility, “none” usually meant no internal landmines happened because they knew the staff well, had good staff and inmate relationships, and knew what to expect. Staff resistance and other employee related issues were most frequently anticipated.
What were the 3 major issues with which you were confronted during your first 6 months as a warden?

Lack of resources, i.e., equipment, funding (10), labor management issues (8), staff vacancies (6), poor staff morale/skills (5), inmate escapes (5), opening new facility(4), inappropriate staff-inmate relationships (3), overcrowding (3), gangs (3), turnover of top staff (3), reorganization (3), external audit (2), major construction or repairs (2), community/media issues (2), internal audit (2), segregation unit with no due process, sexual harassment, inmate food strike, series of inmate on inmate assaults, rebuilding medical staff, interference from old boss, unnecessary inmate death, former security peers, cleaning up the facility, learning specifics of operation, Y2K, changing some policies, establishing credibility with other top managers, female inmate equity issues, food service contract, facility inconsistencies, change to no smoking facility, DNA testing of all violent offenders, medical co-pay for inmates, limitation of inmate property, move family, establish healthy institutional culture, loss of administrative control of warehouse operation, staff corruption, idle inmates, personal political attack.

Comment:

The most frequently reported issue (32%) was a lack of resources and having to live with priorities that were established by a predecessor. That, coupled with a self-reported difficulty on how to manage an established budget, was reported as the most frustrating. Labor management issues, reported by 26% of the respondents, included some perceptions of unions or employee groups "trying out the new person" with issues previously resolved in a less than satisfactory manner or serious or important issues that should have been raised by the predecessor but were not, such as termination of staff, etc. The third most reported issue, staff vacancies, represents an issue for 19% of the respondents. The majority of issues raised in response to this question were management and staff issues rather than inmate precipitated issues.

What events, situations, etc., challenged you the most during your first six months as a warden?

Personnel issues (2), inadequate, "bare bones" budget (2), communicating expectations to staff, reorganization of segregation unit, inmate suicide, medical unit restructuring, death of an inmate, assessing on-going projects, no one to bounce ideas off of, labor management issues, understanding role, opening a new facility, departmental internal audit during first two weeks on job, personal political attack, undermining from key subordinate staff, total inmate hurricane evacuation, death of a staff member, personal negative media focus with little support from central office, five day inmate disturbance, staff reduction and labor management response, handled staff misconduct issue with little support from supervisors, centralized warehouse with no control, sexual staff misconduct and discipline issue, inmate escape, gaining recognition as the warden from staff who used to supervise me, three inmate escapes, state comptroller audit with negative fallout continuing to this day, death of staff member following verbal altercation with inmate, staff turmoil, staff fallout continues after change to no smoking facility.
Comment:
While thirty-two percent (32%) of the respondents indicated that funding and budget issues were one of the major issues confronted in the first six months, only two, or 6% of the respondents considered it the most challenging issue during that time. Reasons given for challenging events or situations were largely because of the "first" and at times, the emergency nature of the event. Since the situation was not a recurring event, it was difficult, if not impossible, to have obtained experience at the highest decision making level. In many of the issues raised by the respondents, there are many variables and no one best way to manage the issue. Experience could be a deciding factor in the successful resolution of the matter. In this question we see an increase in the inmate related problem issues, but management and staff issues remain the most frequent.

What skill or personal trait helped you the most during your first six months as a warden?

Listening to others (9), communication skills (5), humor (3), self confidence (3), honesty (3), experience (3), openness (4), calm and easygoing (3), patience (2), don't hold things against people, self awareness, organizational skills, flexible, decisive, acceptance, perseverance, strong work ethic, solid managerial reputation, honest expression of care and confidence in staff ability, good judgement, can say "I don't know," ability to work under stress, ability to evaluate leaders and key staff and use them effectively, loyalty, mission driven, extrovert, strong leader.

Comment:
The most frequently mentioned traits are easily included in the larger heading of communication skills. Except for those individuals who were promoted from within the facility, most respondents commented on the intense learning period during the first six months. Learning the facility, staff, institution culture, community, etc. is an intense experience and good communication skills are most helpful. Respondents frequently mentioned that it is necessary to pay attention to what is said, and what is not said, to understand the entire picture and keep from responding inappropriately during the initial six month period. Many described personal traits related to leadership behavior and effectively setting the tone and expectations to staff.

Knowing what you know now, what would you have done differently to prepare to be a warden?

Spend more time on the business and fiscal operations (8), nothing (6), spend more time learning from other wardens (5), spend more time on personnel and labor management issues (3), spend more time in security area (3), pursue a Master's degree (2), learn more about critical incident command, public relations training, learn more about "big picture" of agency, 4 year college degree, classification experience, learn more about administrative issues, would have "shut up" sooner, and not been so outspoken in the department.

Comment:
Almost all of the 26% of respondents who indicated a desire to have more business/fiscal preparation indicated that little, if any, of their previous correctional experience involved fiscal or budget matters, no matter how varied the experience. For this reason, they found budgeting and fiscal matters time consuming. Many of the respondents who replied that they would
have done nothing differently were those with a combination of previous work experiences in corrections, including security, programs and administration.

**What are the top three things you would recommend to, or tell, a newly appointed warden?**

Be visible, approachable and communicate with staff and inmates (12), don't make major changes right away (5), know every aspect of the physical plant (5), learn staff strengths and weaknesses (4), don't act or react too quickly (4), ask questions and give yourself time to listen (4), check and recheck (3), talk to staff one on one (3), use your boss (2), delegate and don't micromanage (2), it is ok not to know (2), encourage the staff and give them credit (2), do the right thing for the right reason (2), be flexible (2), communicate your direction, vision and philosophy to staff (2), surround yourself with good people that you trust (2), know current and past budget (2), be well trained in security, look at the big picture, set the tempo for your tenure, be yourself, establish your credibility, be straightforward with staff, cement your support from supervisors, find a friend to bounce things off, there are always two sides to every story, review policies, lead by example, don't take it too seriously, pay attention to detail, don't try to do everything at once, don't have favorites, keep your supervisor informed, get a mentor, relax, have respect for the history of the facility, focus on security first, think critically and understand why it is the way it is, seek out peers, get refocused by attending conferences and training, choose confidants carefully, be passionate and enthusiastic about accomplishing your goals, insist on a positive work culture, be forgiving and reward risk takers if they tried for the right reason, review evaluations of department heads, create and maintain relationships system wide, get a baseline audit, read all incident reports, get to know informal facility activities and traditions and support them, be open, upbeat and positive every day, don't create or allow an "out-group" to develop, know the rules and be a role model of integrity, have compassion for staff and inmates, check the entrance because first impressions are lasting.

**Comment:**

Thirty-nine percent (39%) of respondents stressed the importance of getting out of the office, being visible, walking around the facility getting to know staff and inmates. They commented that there is usually a large volume of paperwork and it is sometimes difficult to get out of the office but it is essential to function effectively. In addition, many of the respondents reflected that it is important to not make changes too quickly because the issues can be complex, have a "history" and may have several facets to consider. Learning all aspects of the physical plant was also mentioned and the respondents stressed that the new warden should be cognizant of the fact that every square foot of the property is their responsibility. A few respondents mentioned the value of talking with staff on a one-to-one basis. They suggested that you were much more likely to see the person as they really are, and that staff appreciate the time you take with them individually.
What was the single best piece of advice you received at the time you were appointed warden?

Call me if you need help (2), don't let it go to your head (2), have faith in yourself because you can do this (2), don't shut out your family, have courage, prepare to be lonely, don't beat yourself up over small things, seek additional training opportunities, don't panic, be fair and consistent with inmates and staff, surround yourself with good staff, don't sweat the small stuff because you will have enough big stuff, do business the way you have always done it, keep it in perspective, your every statement is subject to scrutiny, don't let the job change you, this job is a marathon—not a sprint, maintain balance in your life, protect and support your staff, make decisions and stick to them, be positive, don't forget where you come from, don't forget the little people, watch your back, the staff will know that you are the warden before you do, never ever get excited and remain calm, walk slow and drink lots of water, you are the appointing authority and for that reason never let anyone else sign documents that appoint staff or spend money, if it's not broke don't fix it, take your time and go slow and try to make the best decisions that you can.

Is there anything that we have not asked you that you think is important to include in a Resource Guide for Newly Appointed Wardens?

- Need to understand your own values and live and demonstrate those for consistency;
- You can make a difference;
- Taking over a facility is like jumping on a moving train - it will take several months to gain complete balance;
- Build a strong support team and give them credit;
- The amount of power and authority of the position is immense. Be careful about thinking out loud;
- Be true to yourself.
- Don't neglect your family by letting the job consume all your time. Relax and enjoy life (3);
- Dealing with Generation X;
- Leadership vs. management vs. administration;
- You're always "on." Come to terms with that;
- Be kind, be a listener. Don't breathe down their necks. Let them follow. Respect staff. They desire success as much as you do;
- People want to know where you are going and how you plan to get there. Emphasize responsibility and commitment to the objectives. Go out on a high note;
- Include staff input for ownership. Don't go in with a hidden agenda. Don't accept everything they tell you and check the history of an issue before you make a decision;
• Set up a network with other wardens for professional advice and support;
• Have an open mind and give everyone a chance. Those you think will hurt you can sometimes do the best job for you;
• Be prepared for the bulk of your time to be spent on external issues;
• Be prepared for the fact that this is a very responsible and important position in which you will be very busy and stressed; and
• Think outside the box.
About the Authors

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Susan W. McCampbell is the President of the Center for Innovative Public Policies, Inc., (www.cipp.org) a not-for-profit company specializing in public policy consulting. Before starting the Center for Innovative Public Policies, Inc., Ms. McCampbell was the Director of the Department of Detention and Community Control for the Broward County, Florida, Sheriff's Office for four years. During that time, Ms. McCampbell oversaw the daily operations of a jail system with 4,200 inmates, 3 facilities, a staff of 1,600, and a budget of $110 million. During her tenure, the agency received its initial ACA accreditation, and re-accreditation. It was the largest agency of its kind to receive simultaneous accreditation for all facilities. Other highlights of her term as Director include introduction of an objective classification system, dramatic improvements to the management of the mentally ill in the jail system, and planning a new 1,000 bed direct supervision facility for male offenders, and a 1,000 bed jail for female offenders. While serving with the Broward Sheriff’s Office, Ms. McCampbell was Acting Sheriff for six months following the death of the Sheriff.

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Marie E. Hall was the first female assistant warden in the history of Illinois for a maximum custody prison for male offenders. Ms. Hall has 30 years of experience working in prisons and jails. In particular, her management experience includes the Broward County (Florida) Sheriff's Office, the Florida Department of Corrections, the Florida Parole Commission, and the Illinois Department of Corrections.

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