

REENTRY EDUCATION AND PROGRAM DEVELOPMENT: PHILOSOPHICAL
APPROACHES OF SENIOR ADMINISTRATORS TO REDUCE RECIDIVISM RATES IN
CORRECTIONAL INSTITUTIONS

By

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ABSTRACT

The ways in which modern civilizations have addressed crime and sought solutions to promote public safety is ongoing and ever changing. Over the years, efforts to marginalize criminal activity have included major legislative changes, local policy changes, increased regulations, and restrictions on those who have committed crimes. Effective corrections administrators are having a positive impact by reducing recidivism rates and promoting public safety. Successful corrections administrators are reducing recidivism, reducing the effects of collateral consequence, and promoting growth of social capital (e.g., social skills and relationships), human capital (employable skills), and cultural capital (e.g., community and public safety). Effective corrections administrators not only manage their facilities' daily operations, they also provide effective reentry programming to help provide criminal offenders a strong chance of success once they return to their communities. A current challenge facing the criminal justice arena is that many corrections administrators are retiring, prompting a predicted fear of a correctional administrator shortage. The purpose of this case study was to determine the attributes, philosophical perspectives and operational methods of corrections administrators producing successful reentry results. Four state prison wardens participated in this study, each of which are wardens of facilities producing recidivism rates far below the national statistics. Data was collected via a three-part series of semi-structured interviews. Four themes emerged during data analysis: (1) Emphasis on safety (2) Education and training (3) Rehabilitate and habilitate inmates as a whole person (4) Commitment to the profession and advocacy. The findings of the study produced a potential blue-print for the hiring process, as an exceptional amount of experience, foresight, and wisdom was shared by the participants.

CHAPTER 1

INTRODUCTION

The U.S. Department of Education (USDE), reported in 2016 that 70 million Americans have been involved, in the criminal justice system; 6,741,400 were incarcerated, and 4,650,900 were supervised in 2015 (Bureau of Justice, 2016). Convictions produce direct consequences as well as potential collateral consequences. Additionally, convictions rapidly produce a negative effect on an individual's social capital, human capital, and a community's cultural capital (Bouedieu, 1986; Lederman, Loayza, & Menendez, 2000; Macoinis, 2014). Direct consequences of committing a crime are managed through the corrections and criminal justice system. Collateral consequences are civil laws and regulations, which were created to promote public safety by restricting the ability of former inmates to share space with the law-abiding public (Caporizzo, 2011; Delisi & Conis, 2010; Macolm & Seibler, 2015). Collateral consequences are encouraging recidivism (Malcom & Seibler; Pew, 2011; Uniform Law Commission, n.d.). Corrections administrators are required to protect public safety by managing the products of adjudication, providing reentry programs, and developing relationships with the community (Erisman, 2015; Harper, 2015; Stinchcomb, 2011; Tolbert, 2012; Tolbert & Rasmussen, 2016).

Statement of the Problem

A current challenge facing the criminal justice arena is that many corrections administrators are retiring and prompting a predicted fear of a correctional administrator shortage. Additional concerns have been raised regarding the lack of research on how to replace equally effective corrections administrators (Harper, 2015; Harper, 2016; Smith, Stinchcomb, McCampell & Mancini, 2011; Stinchcomb, 2011). The ways in which modern civilizations have addressed crime and sought solutions to promote public safety is ongoing and ever changing.

Over the years, efforts to marginalize criminal activity have included major legislative changes, local policy changes, increased regulations, and restrictions on those who have committed crimes. All the efforts claim to be a force of positive impact. Despite attempts to reduce crime and promote public safety, citizens and community leaders, including corrections administrators, continue to face criticism, for their efforts (Caporizzo, 2011; Federal Interagency Reentry Council (FIRC), 2016; Swanson, Rohrer, & Crow, 2010). Corrections leaders are criticized, in the sense, that more and varied efforts are being requested. Reentry programs are showing promise, when administered effectively (Erisman, 2015; Harper, 2015; Stinchcomb, 2011; Tolbert, 2012; Tolbert & Rasmussen, 2016). Successful corrections administrators are reducing recidivism, reducing collateral consequence, and promoting growth of human capital (e.g., employability), social capital (e.g., social skills and relationships), and cultural capital (e.g., community and public safety), (Hoge, Andrews, & Leschied, 1996; MacMillan, & McMorris, & Kruttschnitt, 2004; Moore, & Recker, 2013). Effective corrections administrators not only manage their facilities daily operations, they also provide effective reentry programming to help provide criminal offenders a strong chance of success once they return to their communities.

The main goal of correctional reentry programs is to increase public safety and reduce the impact of collateral consequences by focusing on the whole person (Davis, Bozick, Steele, Saunders, & Mile, 2013; Erisman, 2015; FIRC, 2016; Second Chance Act, FY 2013, n.d). The scope of reentry programs for criminal offenders includes secondary and post-secondary education, vocational/technical training, mental health services, substance abuse recovery, as well as, approaches to further connections of individuals within their community (Caporizzo, 2011; Preparation prisoners for reentry, n.d.; Reid, 2012; Siegel, 2016). Reentry programs promote system-wide adjustments, which work to affect the operating procedures in areas such

as community policing procedures, daily operations, in correctional facilities, courtrooms, and pre/post-release supervision (Caporizzo, 2011; FIRC, 2016; Office of Justice Programs (OJP), 1999; Swanson et al, 2010). Additionally, the criminal justice reentry programs focus on public safety by promoting the inmates' workability, and mental stability. While many still consider incarceration rates high, criminal reentry education programs are demonstrating success in reducing recidivism (Davis et al, 2013; National Institute of Justice, n.d.).

The success of any crime reduction strategy is measured by the recidivism rate or frequency in which criminal offenders continue to engage in criminal activity. High recidivism rates are considered an additional threat to public safety. Each new criminal offense creates a new victim, which in turn, can overburden the criminal justice system producing additional strains on the available resources (Caporizzo, 2011; Davis & Bozick, n.d.; Department of Justice (DOJ), 2013; Malcom & Seibler, 2016). The Bureau of Justice (BOJ) Statistics (2016) investigated recidivism rates from 2005-2010, by following prisoners released in 30 states. More than 404,638 were released in 2005; 299,430 (56.7%) of the released prisoners were rearrested within the first year, 274,345 (67.8%) within three years, and 313,999 (76.6%) within five years (Durose et al., 2014). Kaeble & Glaze (2016) documented 700,000 of the 6,741,400 individuals supervised, by the United States adult correctional system were released, in 2015. Applying Durose et al. (2014) findings to the 2015 statistics, 396,900 former prisoners would be expected to be back in the criminal justice system within the first year, 474,600 within three years, and 536,200 within five years. Additionally, ninety-five percent, of the 700,000 state/federal prisoners, reenter society unprepared, amplifying the need for effective reentry programs (Bureau of Justice Assistance (BOJA), 2013; Davis & Bozick, n.d.).

Successful reentry education programs push the inmates toward becoming productive, autonomous, and contributing members of their community (Erisman, 2015; FIRC, 2016; Second Chance Act, FY 2013; USDE, n.d.). Criminal justice reentry education programs are designing methods to improve the relationship an inmate has with themselves, their families, their community, and their culture (Davis et al, 2013; FIRC, 2016; Lederman et al, 2000). Research supporting reentry program development has determined that the criminal justice system benefits from engaging in purposeful activities, such as high-school equivalency completion, vocational training, technical training, college courses, drug rehabilitation, and supplemental courses for self-improvement (Crabtree, Ohm, Wall, & Ray, 2016; Delisi & Conis, 2010; Davis et al, 2013; Erisman, 2015). As with all new programs and initiatives, effective leadership is critical, for success.

The successful leaders of reentry education programs are effectively shifting the direction of the offenders' attention away from criminal behavior, and towards becoming law-abiding citizens (Davis et al, 2013; Second Chance Act Public Law 110-199). Participants in criminal justice reentry education programs, while incarcerated or recently released, have 43% lower chance at re-entering the criminal justice system as compared to those not participating in a reentry program (Davis et al, 2013; Durose et al., 2014). Successful criminal reentry education programs involve federal and state correctional programs working, side-by-side, with organizational agencies (FIRC, 2016; Halkovic & Fine, 2013; Prison Fellowship, n.d.; USDE, 2016), and community outreach programs, such as coordinating access to post-release education and employment opportunities (FIRC, 2016; OJP, 1999, Rosenthal, NaPier, Warth, & Weissman, 2015, Tolbert, 2012). The federal government officials have promoted research, collected data, and provided a reentry model for others to follow, in order to assist with such programming

(Erisman, 2015; Davis et al, 2013; Tolbert, 2012). Such efforts provide curriculum expectations, and specific methods for implementation. The number of professional positions involved in reentry efforts is expanding (Davis et al, 2013; Erisman, 2015; Federal Interagency Reentry Council, 2016).

Importance of Reentry Programs

Crime is considered an injury to society (Reid, 2012; Siegel, 2016; Macionis, 2014). The criminal justice system was originally designed to punish an adjudicated individual equally to the harm caused by the crime committed (Reid, 2012; Speige, 2016l, Delisi & Conis, 2010). Most unfortunately, the United States adult incarceration rate has experienced a 700% increase, within the past 20 years, not including those “under supervision” within the community (Scott, 2016; Kaeble & Glaze, 2016) Ninety-five percent of incarcerated individuals will be released and reenter the community (Scott, 2016). Unfortunately, reports reveal 56.7% of released inmates were rearrested within the first year of release, 67.8% of released inmates are rearrested within three years, and 76.6% of released inmates are rearrested within five years (Durose et al., 2014; National Institute of Justice, 2014;). The most highly recognized prospects for rearrests were property offenders at 82.1%, drug offenders at 76.9%, public order offenders at 73.6%, and violent offenders at 71.3% (Durose et al., 2014). The pattern of recidivism reflects further injury to society and poor reintegration preparedness (Scott, 2016; Swanson et al, 2010). Each new offense creates another victim, and reduces public safety. The rate of prisoner release and rearrests, has negative effects on the population, at multiple levels, and includes the inmate’s children.

It can be helpful to consider that inmates are not the only ones affected by incarceration, their families are highly affected as well (CAC, 2011; Delisi & Conis, 2010; Wright & Seymour,

2000). In 2010, it was reported that 2,700,000 children had an incarcerated parent (Pew Charitable Trust, 2010; Wright & Seymour, 2000). These children also have a higher chance of being suspended or expelled from school, than children without an incarcerated parent (Pew Charitable Trust, 2010; University of Pittsburgh, 2001; Congressional Advisory Committee (CAC), 2011). Additionally, the children are 75% more likely to become involved in the criminal justice system themselves (Delisi & Conis, 2010; Huebner & Gustafson, 2007). Wright and Seymour (2000) emphasize the importance of recognizing effects on the family experience and how it is interrelated social, cultural, and familial factors. The children's development in areas of forming attachments, developing trust, developing autonomy, and developing initiative (Delisi & Conis, 2010; Wright & Seymour, 2000). The University of Pittsburgh added that school drop-out rates are lower when there is increased contact with an incarcerated mother, via phone, contact visits, and mail. Children benefit from reentry programs, as their parents learn better parenting skills, communication techniques, and workable skills (Swanson et al, 2010; Wright & Seymour, 2000). The children's experience further demonstrates the broadening need for criminal justice being connected to community professionals with a reentry education focus.

Reentry programs work within the criminal justice system and community in order to promote positive change and positive reintegration of convicted persons (Duncan, Berry, & Keenan, 2009; Halkovic & Fine, 2013; Public Law 110-199; Second Chance Act of 2007; Tolbert, 2012). Communities are becoming more involved voluntarily, or because of new laws and policies that are looking to bring agencies together, for a common cause (Davis et al, 2015; FIRC, 2016; Tolbert, 2012). The reentry education leaders work to improve the lives of inmates through education and training (Duncan, et al., 2009; Tolbert, 2012) all while maintaining a balance of crime reduction and public safety. There is a need for interdisciplinary input (Davis et

al, 2013; Duncan et al., 2009) on the reentry education programs, which have proved to be successful. There is an exceptional amount research about reentry education programs and program development, but there is very little research on the qualities of the leaders who run these programs (Blumstein & Nakamura, 2010; Crabtree et al., 2016; Davis et al, 2013; Halkovic & Fine,2013; Swanson et al, 2010;). Much can be learned by asking how effective reentry education program leaders manage such a difficult balance, between low recidivism rates and increases in public safety.

It is important to note that most state and federal prisons provide reentry programs of one type or another, but often do not keep pace with the increasing prison population (Davis et al., 2013; Erisman, 2015; Western, Schirladi, & Ziedenberg, 2003). The increase in prison population over the last 50 years, and the ongoing cycle of catch-and-release, also produced a 500% increase in state spending, to \$52 billion (BOJA , 2016). Davis et. al. (2013), found that inmates who participated in reentry education programs had 43% lower odds of recidivating than inmates who did not participate, producing a 13% drop in the overall average recidivism. The expansive efforts have worked to improve public safety, for the reentry education participants and their community (Davis et al, 2013; Caporizzo, 2013; Free Reentry that Works, 2013).

Need For Effective Reentry Programs: Collective Efforts Needed

The number of professional positions related to the criminal justice system has greatly expanded in recent years (Beck & Mumola, 1999; Berry, & Keenan, 2009; CAC, 2011; DOJ, 1991; Duncan et al.,2009; Erisman, 2013; Halkovic & Fine 2013;Lingston, 2011; OJP,1999; Scott, 2016; Swanson et al, 2010). These professional roles include police officers, jail/prison intake officers, jailors, pre-release educators, reentry courts, counselors, probation/parole officers, and other community entities. The leaders that are hired may be rich in subject matter

knowledge, but are often lacking the skills, to work with the corrections population (Price, Martin, & Robertson, 2010). They may, also, lack the basic understanding of the implementation and management of criminal reentry education programming.

Both pre-release and post-release criminal justice and community professionals need to include academic, behavioral, and social education (Scott, 2016; OCCSSA P.L. 90-351, 82 Stat.197; Price et al., 2010; Swanson et al, 2010). Reentry education efforts work best when interdisciplinary practices are developed (FIRC, 2016). Developing a varied skill set is advised and enables leaders of correctional and alternative schools to be more effective. Exploring the leadership practices of successful, upper-level corrections professionals would benefit the professions and professional educators in the areas of management style, leadership practices, and curriculum development. For example, there is an absence of relevant student curriculum, effective instruction, appropriate school management, and comprehensive collaborative efforts, with community or agency partners (Davis et al, 2013; Erisman, 2013; Lingston, 2011; Price et al., 2010). However, interdisciplinary efforts, by reentry education leaders, can work to produce exceptional improvements.

This study seeks to research the qualities of the highly successful corrections administrators. Harper (2015), completed a study that identified the traits of emotional intelligence and self-efficacy, to be very important qualities for successful leaders in the corrections industry. Additionally, Harper (2015) points out that correctional leadership is “virtually unexamined” (p. 1). There is a shortage of literature regarding the executive positions in correctional settings (Harper, 2015). The industry is losing executives to retirement at a rapid pace (Harper, 2015; Stinchomb, 2011). The industry is concerned about its retention and replacement of successful leadership. There is an increasing concern for how to attract quality

people, to the industry that will be effective, in the executive positions (Harper, 2015; Harper, 2016; Stinchomb, 2011; Tossi, 2012). Competency models have been created and are used for assessments (Smith, Stinchcomb, McCampbell, & Mancini, 2011). Unfortunately, the qualities of the successful corrections administrators have been shielded from research (Harper, 2015; Stinchcomb, 2011). There is no shortage of conversation regarding the professional development of correctional administrators, but no one entity responsible for training and development. These facts compound the lack of focus on leadership and/or administrative qualities that promote success (Harper, 2015).

Purpose

Given the wide-ranging success of reentry programs across the United States, the purpose of this multiple case study is to determine the attributes and philosophical perspectives and operational methods of corrections administrators within successful reentry programs.

Research Question

What are the philosophical perspectives and operational methods of senior administrators at correctional institutions whose leadership results in low recidivism rates?

Significance of the Study

Harper (2011) discussed the increasing rate of retirement for corrections in top administrative positions and the lack of research regarding effective leadership qualities, when hiring their replacements. This study will respond to the void in the current research as discussed by Harper (2011) and Stinchcomb (2011). Additionally, this study worked to offer the successful strategies and/or mindsets that produce success in the field of corrections. Current research demonstrates reduced recidivism rates as a consequence of participating in reentry education programs with effective leadership. Current assessments of reentry education programs and

staffing are limited to types of program, and education/training/certification requirement, but they do not address traits of the leaders. This study provides new insights regarding the shared traits of reentry leaders and the types of leadership methods they are practicing. Society as a whole is the beneficiary of this research because effective corrections administrators produce more law-abiding citizens and increase public safety.

Conceptual Framework

Reentry education programs have positive effects on the inmates' social, human, and cultural capital (Bales & Mears, 2008; Davis et al, 2013; Department of Education, n.d.; King, 2016; Lindquist, Hardison, Rempel, Shannon, 2003). When successfully implemented, reentry programs can also have a positive effect on public safety, recidivism, and working to reduce the collateral consequences associated with incarceration (Caporizzo, 2011; Davis et al, 2013). Consequently, there are fewer dollars spent on incarceration, and more importantly, there are fewer victimizations taking place in society (Davis et al, 2013). Individuals that had become a burden to themselves, their families, and communities are now more positively contributing members of society (Delisi & Conis; Free Reentry that Works, n.d.; Lingston, 2011; Preparation Prisoner for Reentry, n.d). Correctional and civilian administration leadership is making a positive difference, promoting an expansion correctional and civilian employee expectations, with regard to the corrections process. (Davis & Bozick, n.d., Swanson, Rohner & Crow, 2010; Swanson et al, 2010). Corrections administrators/executives are consistently expected to produce positive outcomes and use a variety of practices to achieve their desired ends.

This study employed consequentialism as the conceptual framework. Consequentialism is an approach to ethics that bases morality of an action on the outcome (Mastin, 2008). Consequentialism is a form of normative ethics that determines right and wrong

by subjectively interpreting behavior (Gowdy, 2013). Normative ethics considers it is a sign of weakness to “(1) observe the result of an action, (2) to then place it a name upon the end-product, and (3) to then believe that the end-product is a singularity that is self-defined by the name given to the action” (Gowdy, 2013, para 3). In other words, an action is not labeled right or wrong. Actions are determined right or wrong based on the results. For example, cutting someone with a knife is not always wrong. Instead, it should be scrutinized based on intent and outcome. A surgeon is praised for cutting someone with healing intentions and proper education. A criminal cutting someone with malicious intent is not proper action. Consequentialism functions opposite of contractarian thinking with labeled items and behaviors, then declares them to be good/moral or not, resembling Kant’s metaphysics (Beck, 1990). Consequentialism can also be identified as teleological ethics (Van Huyssteen, 2003). Teleology traces back to Aristotle, and focuses on the base Greek words, telos, meaning “end”, and logos, meaning “end” (Johnson, 2005). According to Johnson (2005), Aristotle considers nature itself as an internal principle of change and as an “end”. The focus of teleology is to investigate the end results of actions (Van Huyssteen, 2003). Teleology should not be confused with the duty-based deontology that evaluates the character (duty) of an action (Van Huyssteen, 2003).

The teleological ideology focused on the final cause, design and purpose of an action and worked with two basic assumptions; final causes exist, and have a design or purpose (Mastin, 2008). There are many types of consequentialism, many of which apply to both the reentry education leaders, and to their followers, as well. There are many types of consequentialism, but only four types were chosen for this study. The four types of consequentialism reviewed for this study are described in the following paragraphs.

Types of Consequentialism

Agent-based consequentialism can be either neutral or focused. Agent-neutral consequentialism does not consider a current state of affairs for an individual. Individual goals are not considered when evaluating what action to be taken (Mastin, 2008). In other words, no matter a “person’s status”, a person is treated equally. Agent-neutral consequentialism would align with an older mindset of corrections, which would simply determine if inmates served their assigned sentence. Agent-focused consequentialism addresses the particular needs of the individual, while keeping general welfare in mind, the welfare of the individual is the focus, along with friends and family (Mastin, 2008). Nagel (1986), referred to agent-focused as agent-relative in discussion on principle-based decisions. Nagel (1986) discussed the value of being able to exist alongside internal perspectives that cannot be either discarded or objectified. This focus coincides with the shift in correction’s mindset that focused more on how an inmate leaves the facility rather than just serving a sentence within the facility. Parfit (1984) research also expands on Nagel’s ideas. Parfit (1984) believes that any subjective decisions being made are in relation the decision maker, agent-relative. According to Parfit (1984), agent-neutral decisions can be made when there is a common goal. However, it is not agent-relative as it does not give every agent a common aim. Therefore, agent-neutral creates a transactional relationship, agent-neutral focuses on a common goal, and agent-focused is transformational. Each agent-based is more outcome-driven, while altruistic consequentialism focuses more on the motive of the participants.

Altruism prescribes that people take actions that have the best consequences for everyone in mind, while not being selfish (Bourdieu, 2014; Mastin, 2008). In other words, the self should not benefit. Altruism is based in Latin, meaning “alter” and “other” (Bourdieu, 2014; Mastin, 2008). Comte is a contributor to the understanding of altruism and his mantra was “Live for

others” (Mastin, 2008). Comte is a heavily published author on many subjects and was the father of positivism and sociology (Bourdieu, 2014; Macionis, 2014). Altruism is a form of consequentialism that demands good outcome for others, a selfless concern for the welfare of others. Altruism expects decisions to be made in order to benefit society. It is easily compared to utilitarianism.

Another form of consequentialism is utilitarianism, which focuses on the usefulness of action and the amount of happiness results from the usefulness (Rowan & Zinaich, 2003). Reentry programs have proven to be useful to society. Utilitarianism is one of the most powerful and persuasive approaches to normative ethics in the history of philosophy, as reported in Stanford Encyclopedia of Philosophy (Driver, 2014). Utilitarianism has not been free from criticism over the years, but is exceptionally fitting for this research because Bentham’s work continued and his work led to the development of the United States criminal justice system via classic school theory. Bentham (1781) published *To the Principles of Morals and Legislation*, discussing utility, the value of pleasure and pain, and how it can be measured. Utilitarianism shifted the debate further toward practicality to the usefulness of an action. Bentham (1781) focused on individual and aggregate utility. Rather, the largest amount usefulness for the largest number of people. The utilitarian theory assumes people are rational beings. Human welfare is the fundamental goal. Welfare is determined by the overall happiness of a person. Bentham was a hedonist and created the hedonic scale and the felicific scale.

Hedonism is another form of consequentialism and promotes pleasure as the most important search. According to Bentham “happiness is a hedonic notion, founded on the natural state of humankind, and the function of achieving pleasure and avoiding pain” (Rowan & Zinaich, 2003). Ancient hedonism was centered on desiring the “good life”. Over time, the

concept of hedonism was simply not defined by everyone in the same way. Perhaps the correctional executives are performing their duties simply because they enjoy it; they believe the goals are desirable and rational. There are three types of hedonism most commonly discussed; psychological hedonism, ethical or evaluative hedonism, reflective, and normative or rationalizing hedonism. Psychological hedonism promotes the opinion that a human always seeks pleasure and avoid pain. Of course, the trick is determining what someone may consider pleasurable. What does the individual perceive as the greatest pleasure, or protect him from undesirable pain? Additionally, it has been addressed in culture with a more deep-seated altruistic approach. This usually contends with religion and culture.

Ethical or evaluative hedonism is very important to criminal justice, because constructing the most efficient set of ends or goals as desirable (pleasure). The immediate benefit is found when a community member will determine following rules is more desirable than immediate gratification. There are several easy examples; a person may decide to stop at a stop sign knowing that being late somewhere will cause pain. Finally, reflective, normative, or rationalizing hedonism, promoting human rational capabilities but has no efficient sense of measurement for pleasure within any give act. In other words, not all acts provide the same sense of pleasure for each person making policy construction very difficult.

Bentham created a hedonic calculus to measure pain and pleasure based on purity, duration, intensity, successes (further pleasures), certainty, remoteness, and extent of the effect. Bentham created the felicific calculus, as well (Mitchel, 1918). "Felicific" has a Latin background and means, "causing or intended to cause happiness" (Merriam-Webster, n.d.). The felicific calculus had seven components to determine if something was a good decision; intensity of pleasure or pain, duration of any pleasure or pain, the certainty of the effect of pleasure or

pain, how long it will take to experience the effect, the chances of the same good thing to be repeated, chances of the opposite effect, and the number of people affected. For instance, Bentham writes:

In in the social sciences we are suffering from a curious mental derangement. We have become aware that the orthodox doctrines of economics, politics, and law rest upon tacit assumptions that man's behavior is dominated by rational calculation. We have learned further that this is an assumption contrary to fact. But we find it hard to avoid the old mistake, not to speak of using new knowledge. (Mitchell, 1918, p 161-162)

Bentham researched criminal law, evidence, procedure, codification, international law, and constitutional law. His work also extended into economics, psychology, penology, pedagogy, ethics, religion, logic and metaphysics. Bentham's works apply the principles of utility (usefulness) to the classifications of the sciences, the crimes of judges, and the reformation of criminals (Mitchell, 1918). Bentham joined with Cesare Beccaria to influence the United States criminal justice system. They created classic criminology (Brown, Esbensen, & Geis, 2015; Siegel, 2016). Beccaria (1764) authored *On Crime and Punishment* detailing his enlightenment approach to crimes and types of punishments. Beccaria is considered a father of law and economics. He believes in incentives and behavioral economics. Both Bentham and Beccaria assumed that people were rational and would rationalize the amount of pain they were willing to risk compared to the pleasure of committing the crime. Beccaria discusses many types of crime and what type of disincentive to participate in criminal activity. The assumptions of classic school theory are that a person has free will and will use their free will to choose the

behavior with the most favorable consequences (Brown et al, 2015; Newman & Marongiu, 2009; Siegel 2016).

Positionality

Researchers that have an etic, or independent position, bring questions from outside the case (Salmons, 2015; Creswell, 2013). Salmons (2015) points out that the researcher may have both a formal and informal connection to available information online (*e.g.*, social and professional networks). The researcher must consider his or her own role in the research process. Researchers must address their personal history, including their view of history, traditions, and conceptions of self, ethics, and politics (Creswell, 2013). I have limited connections to the corrections profession. I worked for a Sheriff Department, as a 911 Tele-communicator and an Office Manager/Clerk. The county jail is part in the law enforcement center, where I occasionally assisted in the in-take procedures of female inmates, and managed the jail doors. Administrative duties connected to the jail were limited account and budget items. My additional connection to the topic is instructing criminology and juvenile delinquency courses at a community college, within the past 10 years.

An emic, or insider position, is used when a researcher immerses themselves into the study. Conversely, I used an etic position, use literature, and look for a larger context. Creswell (2013) emphasizes the obligation of the researcher to acknowledge and respect the power the interviewer holds. The position of power creates an, “undeniable responsibility” for conducting an ethical and productive interview” (Salmons, 2015, p.46). The researcher is able to create a sense of collaboration in a shared task by working to minimize the asymmetrical power relationship (Gubrium & Holstein, 2003).

Definitions

Andragogy- Adults are expected to be independent, autonomous and self-directed. Adult learning draws on their own and other's experiences. The adult's motivation usually comes from internal drives for knowledge, increased self-esteem, confidence, and recognition. An instructor's role becomes more of a facilitator, director, and enabler. The instructor is more of a collaborator encouraging respect and openness.

BOJ- Bureau of Justice

BOJA- Bureau of Justice Assistance

BOJS- Bureau of Justice Statistics

CAC - Congressional Advisory Committee

Criminogenics – Causing or likely to cause criminal behavior (Delisi & Conis, 2010).

Cultural capital - cultural capital is the collective equivalent of each members' social and human capital. Cultural capital can be analyzed by collective ethos (ethics), logos (logic), and pogos (character) of the population. Cultural capital consists of formal structures that are purposefully manufactured in the four dominant institutions: education, religion, politics, and economics (Macionis, 2014). The controllers of the four institutions attempt to guide and control the will of the people functioning within the culture. Yet, in the end, it is valued by the willful actions of the participants (Bourdieu, 1986). For example, the governance may desire and promote a healthy population, but it is up to each individual to become physically and nutritionally fit (Bouedieu, 1986).

Collateral consequences- Collateral consequences exist outside of the prison system and are civil restrictions outside of prison, as a result of arrest or conviction (Berson, 2013). Criminal records effect employability in unforeseen areas. This moves the punishment of committing

crimes far past jail time and monetary fines and are consider hidden penalties (Berson, 2013).

Justice Center, The Council of State Government (n.d.) provides a current database providing the “triggering offense category”, consequence types”, and “duration category.”

DOJ – Department of Justice

Dramatization of evil - A person becomes a thing, in the eyes of law enforcement agencies, parents, friends, teachers, friends, teachers, and others that force the original label of offenders, as their identities.

Distributive Leadership Theory- Distributive leadership theory hold educational leadership is often not held in one person (Robert, n.d.; Timperley, 2005). Success is found with education leadership is spread out among multiple educators. Distributive leadership, otherwise known as team leadership, expects a collection of leaders who have a variety of tools and skills to contribute and are on varying levels of authority. For instance, upper-level management has specific duties, and lower-level people have different expectations (Robert, n.d.; Timperley, 2005). One downfall of distributive leadership is that changes affect the entire system.

Human capital - Human capital is the collection of one's competencies, knowledge, habits, social and personality attributes, creativity, cognitive abilities, and the embodiment of the ability to perform labor (Wright, 2014). Human capital focuses the human as a commodity and resource that functions in transaction with the economic system (Wright, 2014)

HUD – Department of Housing and Development

FBOP - Bureau of Prisons

FIRC - Federal Interagency Reentry Council

OCE – Office of Correctional Education

OJP – Office of Justice Programs

OCTAE - Office of Career Technical and Adult Education

OPM - Office of Personnel Management

Recidivate - when a previous offender commits an additional crime that forces a return to the criminal justice system (Siegel, 2016).

Reentry Education - Reentry education is design to offer tools and training to promote a successful transition from life in jail or prison to life in their communities. Reentry education is not limited to people who have been adjudicated.

Rehabilitation - programs designed to reforming the offender, in order to promote public safety (Siegel, 2016).

Shared values - values are one element of the six elements that define a culture; language, symbols, folkways, beliefs, values, and mores (Macionis, 2014).

Social capital - Social capital is the collection of a person's experience, education, and exposure. According to Falk (2000), social capital is the cement of society's goodwill. It creates a cohesive society. Social capital results from effective communication and "provides social infrastructure support for our lives in the web of elastic networks related to home, work learning, leisure and public life" (Falk, 2000). The development of social capital supports conventional behavior and influence a person's trajectory (Siegel, 2016).

Self-efficacy- is the extent of an individual's belief in their own ability to complete tasks and reach goals (Christensen, 2009)

Self-reliance - According to Beck (2009), we become self-reliant through obtaining sufficient knowledge, education, and literacy. A person should learn to manage money and resources wisely, be spiritually strong, and prepare for emergencies.

Servant Leadership - Servant leadership focuses on serving before leading. Greenleaf (1990) adds that great care must be taken by the servant. The servant leader focuses on the highest priorities are being served. According to Greenleaf (1990), the best test is to examine if the followers grow as people, becoming healthier, wiser, freer, more autonomous, and perhaps more likely to become servants. The ten characteristics of servant leadership include; listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, commitment to the growth of others, and building communities (Crippen, 2005).

Transactional Leadership - Transactional leaders give something to the followers and receive something from the followers. A transactional leader usually holds power and control followers. For example, the employer/employee relationship. The employer holds power over the employee and incentivizes the followers with payment or other incentives (Ingram, 2017). A participant example for this research project, is the warden in control of the inmates, who are incentivized to do “good time.”

Transformational Leadership - Transformational leadership is designed to promote or inspire positive change, focusing on purpose, values, morals, and ethics. Popper, Maysel, and Castelnovo (2011) advise transformational leadership is more focused on missions and goals, releases human potential, and aligns overarching values and goals.

USDE –United States Department of Education

Summary

A current challenge facing the criminal justice arena is that many corrections administrators are retiring and prompting a predicted fear of a correctional administrator shortage. Additional concerns have been raised regarding the lack of research on how to replace equally effective corrections administrators. Corrections leaders are criticized, in the sense, that more

and varied efforts are being requested. Corrections administrators are required to manage a highly complex infrastructure. This study utilized a consequentialist conceptual framework to examine the leadership qualities of correctional administrators, and how they work to promote public safety and reduce recidivism. The next chapter will provide a literature review that offers an historical review of corrections, reentry programs, and correctional administration.

CHAPTER 2

LITERATURE REVIEW

The concepts of law, crime, and sanctions continue to be examined and reshaped over time. The criminal justice system reflects changing traditions, political trends, and economic conditions (Delisi & Conis, 2010; Federal Bureau of Prisons (BOP), n.d.; Seiter, & Kadela, 2003; Siegel, 2016). The many historical trends and criminological influences continue to create boundaries for acceptable behavior, sanctions for regulated behavior, and a promotion of public safety (Delisi & Conis, 2010; Federal BOP, n.d.; Seiter, & Kadela, 2003; Siegel, 2016). The developments have traveled from physical punishment to focusing on rehabilitating the convicted in order to promote the reduction of recidivism and an increase in public safety (Siegel, 2016). Punishments began with vigilante justice, corporal punishment, expulsion, and traveled to marginalization (Delisi & Conis, 2010; Lynch, 2011). There are important trends to follow in regards to the management of citizens and the promotion of public safety. Strategies for punishing crime have slowly moved from a punishment model to an approach that focuses on correction and reentry.

Historical Trends in Corrections

The Code of Hammurabi was the first set of written laws and was created by the sixth King of Babylon, Hammurabi (1792-1750 BCE). The Code of Hammurabi was based on physical punishment (Siegel, 2016). The code is preserved on basalt stone pillars (Siegel, 2016). The physical punishments included the removal of the tongue, hands, breasts, eyes, and/or ears (Roffler, 2015). The code is one of the earliest examples of due process, of being innocent until proven guilty (Roffler, 2015). Class standing affected the severity of punishment, for example, a

freeman may lose a limb for unproved assault, and a slave would be killed (Siegel, 2016). The Mosaic Code followed, 1200 BCE (Siegel, 2016).

The Mosaic Code of the Israelites (1200 BCE) connected God to the tribal law (Siegel, 2016). The Mosaic Code consisted of 613 laws, throughout the Old Testament and is the foundation of the Judeo-Christian moral teachings (Siegel, 2016). The Dark Ages of Western Europe (450-1000 AD), part of the Middle Ages (450-1450 AD), followed the fall of the Western Roman Empire (Nelson, 2002) and brought the end to the ancient formal codes (Siegel, 2016). Guilt was determined by compurgation and trial by ordeal (Siegel, 2016). Compurgation is an acquittal from a charge or accusation, obtained by statements of innocence given by witnesses under oath (Merriam-Webster, n.d.; Siegel, 2016). Compurgation is the early version of the United States jury of an accused's peers. The trials by ordeal would include placing hands in boiling water or forcing a person to hold a hot iron. Innocence or guilt was determined by the person's ability or inability to heal with divine assistance, implying a person was good (innocent) or evil (guilty). Another trial by ordeal was an accuser challenging the accused to a duel (Siegel, 2016). Punishments were physical and public. The Dark/Middle Ages system changed with the Norman Conquest of England, in 1066 (Siegel, 2016).

The common-law era resembles the more modern criminal justice system and came into existence during the reign of Henry II (1154-1189) (Siegel, 2016). The common-law era included judges that would travel, relied on precedence, and accommodated local customs (Siegel, 2016). The courts would follow the established outcomes of previous case, but the sitting authority could overrule the previous judgement. Judges produced written decisions and were used to determine similar cases, then becoming "common laws". Particular crimes were labeled inherently evil and depraved, also known as "*mala in se*", and included murder, burglary,

arson, and rape (Siegel, 2016). Other items were considered less evil and more social issues, *mala prohibita* (Siegel, 2016). The number of crimes that deserved the death penalty increased between the years 1688-1815 from roughly 50 to more than 200 (Siegel, 2016). Punishments were harsh and involved causing pain or death, corporal punishment, and capital punishments. Many continued to believe the harsh punishments would prevent crime, restrictive deterrence (Siegel, 2016).

Physical punishment slowly shifted to psychological punishment, to physical imprisonment, transportation (deportation), and then servitude (The Transportation Act of 1718). In 18th century England, prisoners were deported to the British and to other countries (The Transportation Act of 1718). There was a continued focus on public safety through incapacitation. In other words, a person cannot harm society if they are removed and do not have access to the public. The Transportation Act of 1718 allowed the judges to remove criminals from the streets but didn't crowd their own community jails. Decommissioned naval vessels were used as "prison hulks" to house those sentenced to transportation (Rowland, n.d.). Hard labor and penal servitude became more popular as well (Wallick, 2017). The guilty would be sentenced to a workhouse plantation labor or periods of military service. (Wallick, 2017). Imprisonment later became the most common form of punishment.

Houses of correction were also used to marginalize the guilty from the rest of society (Delisi & Conis, 2010). Of course, they did not start out as the complex system of today. All levels of criminals were housed together in one room and many died from. Focus gradually shifted to become houses of correction, with higher levels of security and organization. The United States corrections systems evolved to separate levels and ages of criminals. Local law enforcement manages jails, designed to house those awaiting trial and those given short-term

prison sentences (BOJS, n.d.). Prisons were managed by individual states and the Federal BOJ to house felons with sentences longer than one year (BOJS, n.d). The now-famous philosopher John Howard (1726-1790) was a prison reformer and Christian activist (West, 2011). He began to inspect prisons to ensure humane treatment (West, 2011). In 1777, John Howard believed that prisons only promoted idleness and vice (West, 2011). Jeremy Bentham fought for safe and sanitary conditions and strict treatment (Cooper, 1981). Bentham believed that prisons infect the body and mind. Bentham considered prisons as schools of wickedness and promote individuals rising to the highest evil (Reid, 2012). The Age of Enlightenment shifted the view of a person and their behavior, a person could now be rehabilitated (Siegel, 2016). The rehabilitation ambitions continue today. Corrections in the United States of America followed a very similar path, as the English trends.

Correctional Practices in the United States of America

The concepts of law, crime, and sanctions continue to be examined and reshaped over time. The United States corrections practices mimicked England's practices as the colonies were controlled by England. The criminal justice system adjusted to changing traditions, political trends, and economic conditions (BOJ, n.d.; Delisi & Conis, 2010; Seiter, & Kadela, 2003; Siegel, 2016). The many historical trends and criminological influences continue to create boundaries for accepted behavior, sanctions for regulating behavior, and a promotion of public safety (BOJ, n.d.; Delisi & Conis, 2010; Seiter, & Kadela, 2003; Siegel, 2016). The developments of correctional policy and programming have traveled from physical punishment, to focusing on rehabilitating the convicted to promote the reduction in recidivism and an increase in public safety (Siegel, 2016). The trends represent the slow shift in the value of a human being in congruence with their use of free will and the aggregate effects on society (West, 2011; Reid,

2012; Siegel, 2016). Punishments began with public shaming, public flogging, economic sanctions, expulsion, to marginalization (Delisi & Conis: Barnes, 1921).

The United States of America typically held people awaiting trial, political prisoners, and as high-ranking prisoners of war in jail (Lynch, 2011). Debtors were also imprisoned until 1732. The New York legislature determined that imprisoning debtors was not only punishing the debtor, but also damaging families, and burdening the public (Lynch, 2011). For example, Christian charities were heavily burdened because they were required to assist the families. Debtor prisons were slowly eliminated starting in the 1830's (Lynch, 2011). Shaming was one of the most common methods of punishment in the 1700's until cities grew too large for the punishment to be effective (Lynch, 2011). Physical punishment also became popular and included flogging, branding with an iron, and the loss of ears (Dugger, 2017). Physical punishments fit the adjudication process of the times. It was very swift and was deemed as a just cause of punishment. People were tried and punished very promptly (Dugger, 2017). The death penalty was heavily used until the late 1800's but had been under scrutiny since the late 1600's (Dugger, 2017). The death penalty became less attractive, as the reformers became more popular.

John Howard, Jeremy Bentham, Benjamin Rush and even some religious organizations were adverse to harsh punishments (Cooper, 1981; Lynch, 2011; West, 2011). Howard promoted the notion that convicts are more valuable than their crime (West, 2011). Bentham worked with Elizabeth Fry, a Quaker, to promote prison reform in England and effected change in the United States. Rush, composed a pamphlet condemning prison servitude in Philadelphia (Lynch, 2011). Reformers had a positive impact on the use of the death penalty (Lynch, 2011). In 1776, efforts to restrict capital punishment to only murder and treason, failed by one vote in the United States Congress (Lynch, 2011). Later, the death penalty was restricted to in murder cases (Lynch,

2011). Changes continued at the federal level. However, small communities continued to patrol with local repercussions for criminalized behaviors, such as social shaming and trials by ordeal. Gradually, the work of Bentham and Baccaria continued to become more popular and widespread (Brown et al., 2015). The notion that convicts are more valuable than the negative effects of their crime continued to effect change.

The Federal Prison System was not established until 1891 with the passing of the “Three Prisons Act” which included USP Leavenworth (Kansas), USP Atlanta (Georgia), and USP McNeil Island. (Washington). Attention to particular issues promoted a variety of policies, laws, and practices. In the 1900's the administrators' and lawmakers' focus was on prison time and public safety (Seiter & Kadela, 2003). From this point on the BOJ expanded. The Federal BOJ was established in 1930, with the first BOP Director, Stanford Bates, named, in 1930 (Federal BOJ, n.d.). The first BOP penitentiary was constructed and named “USP Lewisburg” in 1932, featuring new design and a variety of security levels (Federal BOJ, n.d.). A relationship with the U.S. Public Health Services was established, in 1933 (Federal BOJ, n.d.). The Federal Prison Industries and the first maximum security prison were established in 1934 (Federal BOJ, n.d.). The system continued to expand prompting a second director, James V. Bennett, in 1937. By the 1940's, the more “modern” practices began including; unit management, programming, classification, and decentralized housing (Federal BOJ, n.d.). The prison system continued to expand and adapt to population changes and social trends by offering other types of social controls (Federal BOJ, n.d.; OCCSSA, P.L. 90-351, 82 Stat.197).

The Omnibus Crime Control and Safe Streets Act of 1968

May 1965 was the first time that nationwide polls showed that crime was the most important problem facing the nation. During this time, there had been in marked increase in civil

disobedience such as marches, bombings, and murders. A few of the most famous events included the Birmingham protest of 1963 and in the Watts section of Los Angeles riots, of 1965 (OCCSSA, P.L. 90-351, 82 Stat.197).

The Omnibus Crime Control and Safe Streets Act of 1968 (OCCSSA) was a response to these issues and worked to address the increased rate of crime and to promote the security and general welfare of the United States citizens (OCCSSA, P.L. 90-351, 82 Stat.197). There are several key features to the OCCSSA. This act created the Law Enforcement Assistance Administration (LEAA) which included provisions regarding the admissibility of confessions in criminal trials. Procedures were also constructed to allow wiretapping by law enforcement authorities. Firearm sales and possession provisions were regulated as well (OCCSSA, P.L. 90-351, 82 Stat.197). Overall, President Johnson's anticrime policies were to offer grants to support local and state coordination for fighting crime, educating, and training law enforcement. As time passed, the LEAA was dissolved in 1981, having 70% of the LEAA-sponsor adopted by the states. The LEAA created the National Institute of Law Enforcement and Criminal Justice that is now the National Institute of Justice. The focus shifted again, and now looked at retooling sentencing practices.

Sentencing Reform Act of 1984

In the 1900's prison terms were paired with strict parole guidelines and remained a standard practice (Seiter & Kadela, 2003). The Sentencing Reform Act of 1984 (DOJ, 1991) created a reduction in parole which in turn led to an increase in prison populations. By 1998, prisoners were released on a zero-tolerance parole, in turn, 23% of new prison admissions were parole violators (Seiter & Kadela, 2003). The revolving door of prisons was not having a positive effect on the communities or the convicted (Beck, & Mumola, 1999). There have been many

reform bills over the years that varied in strictness and focus. There had been reductions in programs and parole opportunities one year and then big swing in corrections ambitions in other years (DOJ, 1991). By 1991, populations continued to grow and programs continued to adjust. For instance, drug offenses almost double from 1988 to 1991. This led to an increase correctional policies related to substance abuse. The Sentencing Reform Act demonstrated the political will to more effectively plan an inmate's time through programming, work opportunity, education and training (DOJ, 1991).

At this same time, there was a growing interest in the inmate as a whole person. Expectedly by 1991, the staff focus and construction were adjusting to the new expectations. Unit teams comprised of a unit manager, case manager, counselor, education representative, psychologist, and correctional officers. The team works to develop the most comprehensive programming for the inmate and is expected to track process (DOJ, 1991). The pendulum continues to swing to and away from mandated harsher punishments, to more local discretion (S.R.A., 1984, 1994, 2015, 2016, 2017), most recently promoting more local discretion and leniency on nonviolent crimes. There is reinforced emphasis placed on the "whole person" approach at the time of sentencing (S.R.A. 2015). The increasing efforts to increased public safety effect the policy development and practices of parole administrators (Beck & Mumola, 1999).

The United States DOJ BOJS issued a report discussing prisoners in 1998 (Beck & Mumola, 1999). The report stated that parole administrators were not comfortable risking the community safety by allowing for even minor technical violations. The concern was that those minor violators would later commit serious crimes and deciding to allow them to stay in the community could have a devastating effect (Beck & Mumola, 1999). The parole administrators

were in control of the risk-resisting policies. They were not law, they were trends and practice policies (Beck & Mumola, 1999). Corrections administrators shifted gears and became highly focused on the prisoner's reentry into the community (Beck & Mumola, 1999). The beginning of a reentry process is now considered the point of admittance, intake, into the prison. The focus during intake contains classifying the prisoner, program participation, and prison to community transition programs (Beck & Mumola, 1999). Goals have been slowly shifting from doing time, too successful post-release behavior; by offering is educational, occupational, mental health, and family counseling (Beck & Mumola, 1999). The next development designed to manage the post-release experience was Reentry courts (OJP, 1999).

Reentry Courts

Reentry courts manage the post-release experience returning to the community. Attorney General Janet Reno called for the proposal to create new reentry partnerships and reentry courts around the country, to improve the parole experience (Travis, 2007). Reentry courts can use the authority of the courts to orchestrate services and programs in the community, offer positive feedback, and declare any sanctions if needed (OJP, 1999). Reentry courts are different from the standard parole experience. A single parole officer would have connections, ways to connect a client to a service, and would report any violation that requires a sanction (OJP, 1999). However, the reentry courts have community and program representatives available in the courtroom that are able to assist, as needs are identified (OJP, 1999; Reid, 2012). Additionally, a reentry court sees groups of people, creating more of a peer support system (OJP, 1999). The inmates are screened for their readiness, to be on the community's doorstep. Parole officers working inside the correctional facilities (prerelease) are expected work with prisoners to match them up with employers in the community, contact family members on their behalf, and line-up mental health

and other health related services (Delisi & Conis, 2010; Reid, 2012). The Model Penal Code considers a judge responsible for a case, for the entire sentence of the convicted. A judge may revisit a case and has the ability to "resentence" it (OJP, 1999). The reentry court model involves a judge from initial sentencing to having a judge overseeing the transition, of the offender becoming a productive member of society. Reentry courts have five key elements.

The five reentry court elements are assessment and planning, active oversight, management of support services, accountability to community, and graduated and parsimonious sanctions (OJP, 1999). Assessment and planning take place prior to release (OJP, 1999). Correctional administrators state corrections agency, and parole agency, that would work to identify the release needs. The reentry courts would then build necessary connections such as; social services, family counseling, health and mental health services, housing, job training, and work opportunities (OJP, 1999). Active oversight includes the reentry court determining the level of frequency the offender needs to be seen. It is important to stay in communication during the transition. The judges remain involved with a parole officer and/or supervising authority and the community-policing officer responsible for the parolee's neighborhood innocence in progress (OJP, 1999). Management of Support Services includes the reentry courts managing access to the many support resources including; substance abuse treatment services, job training programs, private employers, faith institutions, family members, housing services, and community organizations. The reentry court's brokerage function requires the development of a case management function icon will report (OJP, 1999).

Reentry courts not only provide and manage transitions back into the community they, also address accountability. Accountability to community is the fourth element, and is focused on accountability to the community begins with communicating with the community. The OJP

(OJP) suggests the creation of a citizen advisory board to connect community services and support opportunities to the reentry court (OJP, 1999). OJP suggests crime victims and victim's organizations can be included in the reentry process. "Graduated and Parsimonious Sanctions" involves the reenter accord would reevaluate the types of sanctions for parole violations. It is suggested that sanctions recommending a return to jail, only be used for new crime war and for egregious violations. The relatively low-level sanctions could be applied quickly, demonstrate predictability, and become universal. Jurisdictions will be expected to clearly outline their graduated sanctions that would be imposed (OJP, 1999). The Administration continued the push for new and increased approaches to reentry, in 2004, which led to the Second Chance Act of 2007 (Travis, 2007).

Second Chance Act 2007

The Second Chance Act (Pub.L 110-199) encourages mentoring programs, education, substance abuse assistance, and the collaborative efforts of corrections and communities (FY 2013). The Second Chance Act continues to be funded and promoted (BOJA, FY 2013). The purpose of the Second Chance Act is to "break the cycle of criminal recidivism, increase public safety, and help states, local units of government, and Indian Tribes, better address the growing population of criminal offenders who return to their communities." (BJA, 2013; Pub.L 110-199, para 2). The Second Chance Act Law is also designed to rebuild families while the offenders are incarcerated. The target population is 18 years of age and above and imprisoned in a state, local, or tribal prison or jail, and are parents of minor children. The Second Chance Act promotes support for groups/organizations that demonstrate successful reentry assistance (BJA, 2013).

The goals, objectives, and deliverables for the mentoring programs are to recruit pre-and post-release participants, and create mentoring relationships. The eligible programs must seek to

improve the administration of mentoring programs, expand mentoring efficiency, improving the cost-effectiveness of mentoring programs, and improving the condition of the participants (BJA, 2013). The Second Chance Act, Section 211 seeks to promote public safety through the funding of programs working for the successful transition from prison to the community (BJA, 2013).

Second Chance Act (FY 2013) Mentoring is a developmental relationship focused on personal development and enhancing a self-worth and specific knowledge and skills. Second Chance Act (FY 2013) Programs are measured for performance in the following ways:

- Percentage of participants who were enrolled in the program
- Percentage of participants who successfully completed the program
- Percentage of participants who unsuccessfully completed the program
- Percentage of program incompletes
- Recidivism rate for program participants
- Recidivism rate for participants who successfully completed the program
- Recidivism rate for the participants who have exited the program unsuccessfully

In 2013, the Second Chance Reauthorization Act (S. 1690, 2013; S.1513, 2015; H.R.2899, 2017), has been introduced, but not currently made into law. The efforts of the Second Chance Act brought attention and funding to the issues of reentry programs. The continued interest and success rates of reentry programs encourage potential expansion.

Explanation of Reentry Programs

The main goal of reentry programs is to increase public safety and reduce the impact of collateral consequences by focusing on the whole person (Erismann, 2015; FIRC, 2016; Davis et al, 2013; Second Chance Act, FY 2013; USDE, n.d.; Tolbert, 2012). The scope of reentry programs, for criminal offenders, includes secondary and post-secondary education,

vocational/technical training, mental health services, substance abuse recovery, as well as, approaches to further connections of individuals within their community (Caporizzo, 2011; Preparation prisoners for reentry, n.d.; Reid, 2012; Siegel, 2016). Reentry programs promote system-wide adjustments, which work to affect the operating procedures, in areas such as, community policing procedures, daily operations in correctional facilities, courtrooms, and pre/post-release supervision (Caporizzo, 2011; FIRC, 2016; OJP, 1999; Swanson, Rohrer, & Crow, 2010). Additionally, the criminal justice reentry programs focus on public safety by promoting the inmates' workability and mental stability. While many still consider incarceration rates to be high, criminal reentry education programs are demonstrating success (Davis et al, 2013; National Institute of Justice, n.d). Supporting efforts continued the push for new and increased approaches to reentry, in 2004, which led to the Second Chance Act of 2007 (Travis, 2007).

Education and Vocational skills

Participants in the corrections educational programs reduce the probability of re-incarceration, increase public safety, reduce the cost of incarceration, and improve the state budget (Davis et al., 2013; Lingston, 2011; Tolbert, 2012). According to the USDE (n.d.). Education has become a fundamental component of rehabilitative programming in justice confinement centers and most United States prisons. Education, while incarcerated, can help prepare for success upon release, by taking many educationally below average and making them more competitive in the workplace (Davis et al., 2013; Lingston, 2011; USDE, n.d.). Education is provided by a wide variety of organizations (USDE., n.d.). The Office of Career Technical and Adult Education (OCTAE) Division of Adult Education and Literacy (DEAL), resides in the Office of Correctional Education (OCE), created in 1991, by the Carl J. Perkins' Vocational and

Applied Technology Education (USDE., n.d.). OCE coordinates with Department of Education to support and oversee programs in correctional facilities. USDE's (n.d.) OCTAE provided a one-million-dollar grant titled "*Promoting Reentry Success through Continuity of Education Opportunities*" (PRSCOE) in support of partnerships offering education and workforce training for incarcerated individuals which produced the Reentry Education Model (USDE., n.d.).

Improved Reentry Education (IRE) works to demonstrate that high-quality, appropriately designed, integrated, and well-implemented educational and related services (USDE., n.d.). IRE's purpose is to "support demonstration projects in prisoner reentry that develop evidence of reentry education's effectiveness." (para 2). IRE provided nine grants in 2015 and the recipients were community colleges and corrections facilities: grant recipient programs varied from boot camp style programs to community-based support.

OCE staff assist the grantees throughout the process. OCE provides technical assistance through an agreement Jobs for the Future. OCE assists with evaluation techniques and data analysis, facilitating conferences, and establishing online communities of practice. USDE.'s (n.d.), Improved Reentry Education (IRE) program adds to the success and lessons learned by the OCTAE investment into their working Reentry Model (Erisman, 2015; Tolbert, 2012). Tolbert's (2012) and Erisman's (2015) reentry education model depicts the intake to the facility, education services, outcome, pre-release practices, release, and intake to community corrections (e.g., parole or other means of supervision) as the effective path for inmates. The USDE created the Reentry Framework, in 2016, in order to resolve a discovered disconnect with community-based education services offered by correctional facilities and other support entities (Tolbert & Rasmussen, 2016). The *Reentry Education Framework: Guidelines for Providing High-quality Education for Adults Involved in the Criminal Justice System* was released, in January of 2016,

(Tolbert & Rasmussen, 2016). The Reentry Framework designed for reentry education providers and includes program infrastructure guidelines, developing strategic partnerships, education services, transitions processes at intake and pre-release, and sustainability advice (Tolbert & Rasmussen, 2016).

Erisman, (2015) and Tolbert (2012), Davis et al. (2013) found that low-skill inmates need access to further their education and employment prospects. Many are arriving at prisons with a great educational deficit (Westervelt, 2015). Items that deterred inmates from participating in programs varied. Some claimed differing standards for curriculum and the lack of articulation agreements (Erisman, 2015). Duncan, Berry, and Keenan (2009), also discuss the importance of connections with the community. Erisman (2015), identified the perception of correction staff, as a hindrance to participation in programs. Additionally, the correctional staff may have inadequate training (Crow, 2010; Duncan, Berry, & Keenan, 2009; Erisman, 2015; Swanson, Rohrer, & USDJ, 1991). The Reentry Model maps out the variety of expectations for correctional administrators. Figure 2.1 displays the Reentry Model infrastructure expectations for corrections administrators to produce and includes resources, developing strategic partnerships, maintaining electronic data system, staff management expectations, policy, and evaluation (Erisman, 2015; Tolbert, 2012; Tolbert & Rasmussen, 2016).

PROGRAM INFRASTRUCTURE				
Resources				
	Funding sources: Federal and state funds, public high school charter grants, student tuition/fees, and private and other innovative sources.	Community support: Peers and alumni, families, volunteers, and community organizations.	Program capacity: Program reputation, staff expertise, and online, evidence-based tools and resources.	
Strategic Partnerships	Electronic Data System	Staff Training	Policy	Evaluation
Partner with departments of Corrections, Community Corrections, Education, Labor, and Health and Human Services; postsecondary institutions; community and faith-based organizations; employers and industry associations; and others.	Keep accurate, complete, and timely data on program participation and short- and long-term outcomes via centralized, electronic data system. Establish data-sharing agreements with partners.	Train all staff using motivational interviewing, risk-needs responsiveness, and cross-training. Periodically evaluate staff performance.	Inform policy-makers about the need for strong correctional education and reentry policies; use data to make the case.	Develop an evaluation plan, collect and analyze data, and use data for program improvement

Figure 2.1. Program Infrastructure (Tolbert, 2012)

The Reentry Model works toward strengthening and aligning education services, establishing a strong program infrastructure, ensuring education is well integrated into the correctional system (focus on intake and prerelease processes), and encouraging individuals to identify and achieve education and career goals. Erisman (2015) Tolbert (2012), Duncan, Berry, and Keenan, (2009), and OJP (1999) advise aligning programs with the labor markets and jobs without criminal history restrictions. Programs should provide flexibility with a program schedule to accommodate jobs, apprenticeships, or other work opportunities (Duncan, Berry, & Keenan, 2009; Erisman, 2015; Tolbert, 2012).

Efforts have rapidly turned into collective efforts, and the FIRC was created, in 2010 (FIRC, 2016). FIRC, (2016) has been working to reduce recidivism and improve employment, education, housing, health and child welfare outcomes. The FIRC is comprised of 20 federal agencies, and works to dispel reentry myths and reduce policy barriers. A few examples follow. Equal Employment Opportunity Commission provides guidelines about suitable uses for arrest and conviction records during employment decisions. The Department of Housing and Urban Development (HUD) issued guidelines for fair housing and detailed the barriers to housing and the Fair Housing Act. The Small Business Administration extended the eligibility for microloan rules. The Office of Personnel Management (OPM) has promoted a campaign, “Ban the Box”, that would remove the box on a job application where a person is expected to self-identify as a convicted felon. Work continues in USDE (2016) and DOJ to promote a more positive in education, as well.

The USDE worked in conjunction with the DOJ and loosened the restrictions on Pell grants by implementing the Second Chance Pell pilot (Rosenthal et al., 2015). The goal was to offer more support for the incarcerated student in postsecondary education, and training programs. USDE worked in conjunction with the DOJ and released “joint guidance” for correctional education (FIRC, 2016). The USDA has been invested in reentry efforts, for institutions and community-based education and support services. FIRC (2016) create a new Veterans Reentry Search Services to identify incarcerated individuals with military service records, into to connect efforts with the Department of Veteran Affairs. The VRSS was active in 218 jurisdictions, in 28 states, as of December 2015. FIRC works for inmate awareness of Social Security benefits, child support modification and the National Reentry Resource Center (FIRC,

2016). As demonstrated in this discussion, many presidential administrations have been actively working on reentry program approaches.

Communities are safer and taxpayer dollars are saved by promoting successful reentry and reducing the collateral costs of incarceration (Caporizzo, 2011; Davis, et al.,2013). The federal government's policies included assistance with job placement, facilitating access to drug-free housing, and other supportive services (Caporizzo, 2011; Office of the Press Secretary, 2015). The National Drug Control Strategy planned to reduce recidivism, by reducing drug use before post-incarceration reentry efforts including; job placement assistance, access to drug-free housing, and other support services (Caporizzo, 2011; Gaebler, 2013; Tesfai & Gilhuly, 2016). United States Secretary of Housing and Urban Development Shaun Donovan urged legislative leaders to revisit the legal collateral consequences of their state laws. Collateral consequences have a direct impact on the successful reentry by limiting employment and housing (Caporizzo, 2011; Gaebler, 2012). Secretary Donovan adjusted the eligibility for public housing among those with criminal records and encouraged Public Housing Authorities (PHAs) to work on the ability of ex-offenders to rejoin their families in public housing for use of Housing Choice Voucher programs (Caporizzo, 2011; Tesfai & Gilhuly, 2016).

The National Reentry Resource Center provides helpful and researched information to state and local leaders, community and faith-based organizations, and people returning from jail or prison (Caporizzo, 2011, NRRC, n.d.). The federal government encouraged state Attorney Generals to review the fatal collateral consequences of their state laws and focus on reducing unnecessary burdens placed on reentry offenders (Caporizzo, 2011). Collaborative efforts continued with the DOJ commissioning a meta-analysis of programs that provided education to incarcerated adults (Davis et al, 2013; DOJ, 2013).

The RAND Corporation was awarded (Grant No. 2010-RQ-BX-001) by the BOJA, a component of the OJP, which includes the BOJS, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, the Office of Victims of Crimes, and the Office of Sex Offenders Sentencing, Mentoring, and Apprehending (Davis et al., 2013). Davis et al (2013), performed a comprehensive literature search for published and unpublished studies released between 1980 and 2011, regarding a correctional education and inmate outcomes. After reviewing high-quality research studies regarding corrections education, Davis et al (2013), concluded inmate's pre-release participation in education programs produced 43 percent lower odds of recidivating than inmates who did not participate, meaning a 13% drop in the overall average recidivism. Inmates who completed the high school/GED programs had 30% lower odds of recidivating than those not participating in a program. (Davis et al, 2013; Drake, 2006; MacKenzie, 2006; Wilson, Gallagar, & MacKenzie, 2000). The odds of obtaining post-release employment increased by 13%, for those who participated in correctional education.

Davis et al (2013), proved correctional education to be cost-effective, by analyzing a hypothetical pool of 100 inmates and the three-year re-incarceration rate and found the cost of re-incarceration was \$2.94-3.25 million dollars for those not receiving correctional education and \$2.07- 2.28 million dollars for those who participated in such program. The re-incarceration costs are between \$870,000 and \$970,000 less for those who participate in correctional education. Davis et al (2013), points out that this is a conservative estimate, as it does not include the financial and emotional cost of victims of crime. Additionally, Davis, et al (2013), determined that the cost of providing correctional education ranges from \$140,000-\$174,400, for the hypothetical pool of 100 inmates, and must reduce the re-incarceration rate by 1.9-2.6% to be considered cost-effective. Davis et al (2013). Fortunately, participation in correctional education

produced a 13% reduction in re-incarceration within three years of release (Wilson et al., 2000; Drake, 2006; MacKenzie, 2006). The reentry programs provide a greater chance of not returning, but there are additional hurdles. Unfortunately, punishment for participating in criminal behavior does not end when an individual is released from correctional facilities. DOJ and HUD are revisiting collateral consequences, removing old restrictions and/or creating new policy.

Collateral Consequences and Reform

Collateral consequences are impediments to employment, licensing, housing, and education; limitations on voting and civil rights, registration and residency restrictions, and ineligible for government benefits and opportunities (National Inventory of Collateral Consequences of Conviction, n.d.). Travis (2007) states that parole is a shadow of its formal self and not all philosophies are alike. Collateral consequences originated to promote public safety, but have created a back-ended jail situation (Travis, 2007). Collateral damage and “invisible punishments” have been established by State Legislatures (Delisi & Conis, 2010; Travis, 2007). Collateral consequences are accused of causing *civil disability* (Malcolm & Seibler, 2017), or cause *civil death* (Delisi & Conis, 2010). Additionally, inmates face *disintegrative shaming*, referring to the type of shame that stigmatizes offenders and their crimes, affecting their ability to work, live, and educate freely (Malcolm & Seibler, 2017; Travis, 2007). In addition to the stigmatization, supports their marginalization (Delisi & Conis, 2010).

According to Malcolm and Seibler (2017) of the Heritage Foundation, there are more than 46,000 collateral consequences, at the state and federal level. The effectiveness of collateral consequences has come under scrutiny. In response, governors created task-forces and cabinet-level officials including; secretaries of health, child welfare, workforce development, veteran’s affairs, public safety corrections, and education. They were tasked with developing new policies

to improve the reentry process (Travis, 2007). The efforts then moved to the local levels, involving mayors and county executives, to coordinate services and corrections (Travis, 2007). Attorney General Holder encouraged state Atty. General's to review the fatal collateral consequences, of their state laws, and focus on reducing unnecessary burdens placed on reentry offenders (Caporizzo, 2011). The collateral consequences interfere with the rights of full citizenship and many other aspects of their lives (ABA, 2004).

Laws continue to shift in levels of severity. Some states are lessening restrictions and others are strengthening restrictions. The Law Action Center (LAC) produced a report discussing the various laws, which updated in 2008-2009. The LAC (2008-2009) determined that all, but two states restrict a person's right to vote if convicted of a felony. The American Bar Association (2004) reports that all but two states place restrictions on voting. Twelve states have lifetime bans, five states ban voting for life for convictions of certain crimes; seven states allow the state to grant a formal "restoration of rights". Additionally, 18 states prohibit voting while in prison or under supervision (parole/probation), six states are restricted while in prison or on parole, and 12 states only restrict voting while incarcerated (ABA, 2004). Collateral consequences not only restrict participating in civic duties, it further restricts a person from certain living situations (ABA, 2004, LAC, 2008-09). More recently, the American Bar Association (ABA) was awarded funding to create a collateral consequences database, interactive website (Berson, 2013).

The BOJA, OJP, DOJ supported the *National Inventory of Collateral Consequences of Conviction* (Berson, 2013; Justice Center, n.d.). The database allows a person to search by jurisdiction, the category of consequence, the category of offense, and duration of consequence. It may come as a surprise to the general public that there are 48,229 total entries in the inventory,

with Iowa having 651 collateral consequence items (JC, n.d.). The inventory is an asset to the general public, attorneys, and judges because it allows quick access to decision-making information, especially in a plea deal (JC, n.d.). The categories include; employment (358 line items), occupation and professional license/certificate (216 line items), business license and other property rights (244 line items), government contracting/program participation (26 line items), government loan and grant (3 line items), judicial rights (11 line items), government benefits (12 line items), education (4 line items), political and civic participation (52 line items), recreational license (including firearms) (19 line items), registration/notification and residence restrictions (43 line items), motor vehicle licenses (46 line items), general relief provision (22 line items), housing (24 line items) , and family/domestic rights (51 line items), (JC, n.d.). The restrictions are extensive and have a negative effect on reentry success. One initial roadblock is that recently released have a difficult time finding access to food and shelter.

Food and Shelter

The marginalization of the adjudicated population brings comfort to the citizenship of communities, because of a sense of public safety (2004). Most states ban a person from federally funded public assistance if they have a felony drug conviction (ABA, 2004). The majority of states restrict housing eligibility for federal housing assistance based on an arrest, regardless of obtaining a conviction (ABA, 2004). Unfortunately, the collateral consequences regarding public housing are actually making the situation worse (ABA, 2004). The restrictions not only affect the justice-involved, but their families suffer, as well. The families may be forced to stay apart post-release if the family is in need of federal assistance.

Family

The inmates are not the only ones affected by incarceration, their families are highly affected as well (CAC, 2011; Delisi & Conis, 2010; Wright & Seymour, 2000). In 2010, it was reported that 2,700,000 children had an incarcerated parent (Pew Charitable Trust, 2010; Wright & Seymour, 2000). The incarceration and reentry process is very damaging to the development of children and adolescents (Delisi & Conis, 2010). Children may suffer because of the separation from their parents. Also, they may be separated from their siblings in the process of finding safe living arrangements. The separation may create fear for the future, social challenges because of the incarceration stigma. Wright and Seymour (2000) point out those children are diverted from development tasks when they experienced trauma, and the response to trial will vary by age at the time of separation. Wright and Seymour (2000) state that the children are always traumatized by separation and their ability to cope may be deterred because of the uncertain future.

These children also have a higher chance of being suspended or expelled from school, compared to children without an incarcerated parent (CAC, 2011; Pew Charitable Trust, 2010; University of Pittsburgh, 2001). The children's development in areas of forming attachments, developing trust, developing autonomy, and developing initiative is stunted (Delisi & Conis, 2010; Wright & Seymour, 2000). Depression, aggression, withdrawn behavior, truancy, poor education performance, psychological problems, and delinquency are some of the negative responses to having an incarcerated parent (Delisi & Conis, 2010). Wright and Seymour (2000), state that poverty is a big concern, along with substance abuse. Additionally, the children, of incarcerated parents, are 75% more likely to become involved in the criminal justice system themselves (Delisi & Conis, 2010; Huebner & Gustafson, 2007). Wright and Seymour (2000) emphasize the importance of recognizing negative effects on the family experience.

It is difficult to effectively bond with children while incarcerated (Delisi & Conis, 2010). The children and adolescents have increased negative reaction when the mother is incarcerated (Delisi & Conis, 2010). The University of Pittsburgh added that the school drop-out rates lower when there is increased contact with an incarcerated mother, via phone, contact visits, and mail. Communication increases the value of many actions and creates a more positive effect on children. Communication lessens the feelings of abandonment. For instance, the Office of Justice's (1999), first of five core elements for Reentry Courts states;

Assessment and Planning-prior to release correctional administrators state corrections agency, and parole agency, that would work to identify the release needs. The reentry courts would then they may build a linkage is to be a necessary, social services, family counseling, health and mental health services, housing, job training, and work opportunities. (OJP, 1999, p. 7).

Children benefit from reentry programs, as their parents learn better parenting skills, communication techniques, and workable skills (Swanson, Rohrer, & Crow, 2010; Wright & Seymour, 2000). The children's experience further demonstrates the multi-generational effects of incarceration. The children's experience emphasizes the broadening need for criminal justice and community professionals' attention to the issues at hand, with a reentry education as the focus. Wright and Seymour (2000) recommend that reentry leaders would benefit highly from investigating the parent/child relationship, encouraging visitation, and transition reentry positions. In addition to the parole and probation officers should be mindful of the children's needs. The CAC (2010) recommends training at all portions of the relationship with the criminal justice system. The recommendations are not limited to the following examples. Training for criminal justice agency professionals should develop a protocol for the proper way to address

children, proving evidence-based best practices (CAC, 2010). Judicial leadership should recognize childcare needs, work with other agencies regarding the welfare of the child, and utilize a more comprehensive during a pre-sentencing investigation (CAC, 2010).

Probation/Parole officers should have mandatory training regarding the issues of children with incarcerated parents. In addition, the probation/parole agencies should update their Standard Operating Procedures to be mindful of the children, when on field visits, noting the condition of the home and their safety. Employment is another area of concern for probation and parole supervisors.

Employment

The majority of the collateral consequences are related to employment (60-70%), (Malcolm & Seibler, 2017). Blumstein and Nakamura (2010) authored the *Potential of Redemption in Criminal Background Checks*, for the DOJ (2013), National Institute of Justice. Blumstein and Nakamura (2010) studied how much time people with criminal records need for redemption, and used the information to employers and created an actuarial model providing scientifically based guidance for employers and others to help them determine the point of which a former offender poses no greater risk of recidivating than any other demographically similar person. They believe that when the point is reached an employer should no longer consider the ex-offenders record as relevant. Blumstein and Nakamura (2010) also determined the age of first offense contributes to the time it takes to gain redemption. The younger the person is, the longer it takes. In recent years, an international campaign began to adjust hiring practices to benefit ex-offenders.

The OPM are promoting a campaign, “Ban the Box”, that would remove the box on job applications, where a person is expected to self-identify as a convicted felon. The “ban the box”

movement is slowly gaining acceptance. Local policy-makers are working to pass legislation removing the criminal history question from job applications. Other efforts have been in the private sector to make the change without the need for legislation. The Fair Chance Business Pledge was established in 2016 and included 19 companies. Two weeks later, 93 companies and organizations (Office of the Press Secretary, 2016). The pledge included removing some of the barriers in the Second Chance Act, such as “banning the box”. The “ban the box” motive is for employers removing the portion of the job application that requires self-identify as a convicted felon (Office of the Press Secretary, 2016). The “ban the box” motive is for employers removing the portion of the job application that requires self-identify as a convicted felon. Employers are asked to pledge to hire and support formerly incarcerated people and work to remove restrictions on formerly incarcerated individuals (Ban the Box Campaign, n.d.). Lawmakers around the country continue to work on legislation in this area.

According to Avery and Hernandez (2017) of the National Employment Law Project, advise that over 150 cities and counties, and 29 states have adopted hiring policies known as “ban the box.” The policies promote the message that a candidate’s qualifications be considered first, before criminal record. The process does not remove a criminal background check but pushes further into the hiring process. The policies also encourage employers to consider time passes, job-relatedness of the conviction, and mitigating circumstances or rehabilitation evidence (Avery & Hernandez, 2017). Please remember, 70 million adults in the United States of America have an arrest or conviction, plus 95% of the currently incarcerated will be released (Durose et al., 2014). Hiring practices can have a very strong impact on communities. The “ban the box” efforts are attempting to increase public safety by encouraging the public to be more welcoming. The removal of barriers helps increase the previously incarcerated possibility to become

autonomous and less likely to re-offend (Avery & Hernandez, 2017). Similar reforms are being requested in higher education outside of the prison system, by the name “beyond the box” (USDE, 2016)

Education and Skill Development

The popularity of the educational provisions has varied, over the many decades. A few items paved the way to the practices of today. The Carl D. Perkins Vocational and Technical Education Act of 1998 (P.L. 105-105-332), is a renewal of the 1984 Perkins Act and defines vocational and technical education as organized educational programs offering courses, directly related to preparing individuals for current emerging occupations, that require education other than a baccalaureate or advanced degree. The Perkins Act allows a variety of programs including; competency-based applied learning which contributes to academic knowledge, higher-order reasoning, problem-solving skills, and the other occupational-specific skills necessary for economic independence, as a productive and can to being a member of the society. The Perkins Act is the administered through the Office of Vocational and Adult Education.

Financial aid is not available for students that have been convicted of drug-related offenses (ABA, 2004). The Higher Education Act of 1998 denies eligibility for any grant, loan or work assistance for drug offenders (ABA, 2004). No other class of offense provokes the denial of federal aid including; violent, sex, alcohol-related, and/or repeat offenses, at the federal level (ABA, 2004). However, Iowa Code § 261.93 has a mandatory loss of grant qualification for conviction of any felony, along with the denial of admission to nursing school (Iowa Code §152.5) or health care program (441 IAC 119.2) (JC, n.d.). The suspension of financial eligibility varies in length, depending on the crime. The suspension for drug cases can be achieved by completing a Secretary of Education approved substance abuse treatment program and passing

two random drug tests (ABA, 2004). Policy and practice continue to be reviewed and a new movement, “beyond the box” has emerged. The Adult Education and Family Literacy Act of 1998 (P.L. 105-220), went further to protect the adjudicated guilty person’s rights to Job Corp, while on probation or parole. The tides continue to shift in favor of promoting a person’s future, and less focus on or condemnation for their past mistakes. The effects of higher education on the convicted and the justice-involved person’ effect on higher education continues to be evaluated, as community colleges have been very active, both in and out of prisons.

In 2005, the Institute Higher Education Policy (IHEP) did an analysis of postsecondary corrections education policy in 50 states and determined that 68% of the postsecondary correctional education is provided by community colleges (Duncan et al., 2009). Community colleges are the most welcoming because they offer open access admission, therefore not prohibiting students with criminal records (Duncan et al., 2009). Most classes are taught at correctional facilities; however, video and satellite instruction is becoming increasingly popular (Duncan et al., 2009). Both in-house staff and outside providers, such as the community college faculty (Duncan et al., 2009), offer on-site education. Instructors participating in a partnership between prison and community college are required to participate in an instructor training by the state. The state has separate policies determining the length and content of the training. Some are, as short as, a few hours and others are six weeks long. The instructors must learn to be prepared to experience frequent lockdowns, strict routines, and conflict with the educational culture (Duncan et al, 2009). The largest education programs are literacy and adult education (Duncan et al., 2009). Correctional education training for jail staff and administrators is increasing including; academic timelines, college enrollment processes, assessments, support services, and academic timelines (Duncan et al., 2009). The additional training is designed to

improve the working relationship between jail staff and educators. Overall, states identified the following reasons for this success; willingness to compromise, good communication, trust, buy-in from top to bottom in each partner agency, shared leadership, a flexible framework to guide partnership, and services provided (Duncan et al, 2009). Education outside of prison has been a challenge because of federal policies regarding types of crime restricting access to universities, but that is slowly loosening its stronghold on the system.

The “beyond the box” movement is pushing to have the applications for acceptance into a post-secondary learning institution process to not include criminal histories. The USDE (2016) is urging colleges and universities to remove the restrictions placed on citizens with criminal records. The application process could be eliminating the possibility of pursuing a higher education for 70 million people, because of the inquiry of criminal records (USDE, 2016). The USDE (2016) published new recommendations that encourage adjustments to the admissions process titled, *Beyond the box: Increasing access to Higher Education for Justice-Involved Individuals* (King, 2016). According to King (2016) colleges and universities can help reduce collateral consequences for the “justice involvement” by allowing the previously convicted opportunities to earn postsecondary degree or training certificates. King (2016), advises that 66 % of postsecondary institutions collect criminal justice information.

The Center for Community Alternatives and Education recommended that colleges and universities participate in self-assessments that the two would determine a necessity of criminal history has a part of the admissions process (Rosenthal et al., 2015). It is also recommended that staff are trained on the proper means to review criminal justice information (Rosenthal et al., 2015). In July of 2015, financial support was announced by the Educational Department, as the Second Chance Pell pilot program, dedicating eight million dollars to support educational

attainment and reentry success for individuals who have been incarcerated. US Secretary of Education John B. King stated:

We believe in second chances and we believe in fairness. The college admissions process shouldn't serve as a roadblock to opportunity but should serve as a gateway to unlocking untapped potential of students. As [a] nation, we must work to make that commonplace. We must ensure that more people, including those who were involved in the criminal justice system in their past but paid their debt to society, have the chance at higher education opportunities that lead to successful, productive lives, and ultimately create stronger safer communities. (USDE, 2016, para 3)

The Second Chance Pell Pilot program was processed through the FIRC as well as My Brother's Keeper Initiative (MBK) (MBK, 2014; USDE,2016) . The Ban the Box guide was a result of the recommendations of the My Brother's Keeper Task Force (Rosenthal et al., 2015). Exposure and participation in higher education for incarcerated or formerly incarcerated people continue to prove successful. There is a positive effect on income, civic engagement, family and personal health and markedly reduced recidivism rates (Halkovic & Fine, 2013).

King (2016) advises that there is no evidence of an increased threat to student safety when students with criminal history attend. The Center for Community Alternatives (Rosenthal et al., 2015) study demonstrated the application process that requires a potential student to self-identify as previously convicted deters potentially well-qualified applicants from participating in postsecondary education. Attorney General Loretta E. Lynch stated:

Too many Americans are denied opportunities to lead fulfilling and productive lives because of a past arrest or conviction - including opportunities to access a quality education. Expanding access to higher education for justice-involved individuals can help

them step out of the shadow of their pasts and embark on the path to a brighter future. I commend the Department of Education for its commitment to expanding opportunities for returning citizens, and I look forward to continuing to work with them - and with our partners across the Obama Administration - to give every deserving American a meaningful and fair second chance (USDE, 2016, para 4).

The Department of Justice and Education continue being committed to ensuring safe learning environments at the same time as creating new postsecondary opportunities for previously convicted applicants (Rosenthal et al., 2015).

In 2016, The USDE provided the *Beyond the box: A U.S Department of Education Resource Guide for Increasing Access to Higher Education for Justice-Involved Individuals*, as a collaborative effort with the U.S. Department of Employment Opportunity Commission, U.S. Department of Housing and Urban Development, and the U.S. Department of Equal Opportunity. The State University of New York conducted a study of those seeking higher education and were previously convicted which revealed two-thirds stop the application process when they are accessed about their criminal history (USDE, 2016). However, businesses, communities, and learning institutions are becoming more involved with the support of previously incarcerated individuals promoting more secure future (USDE, 2016). The Beyond the Box offers support for higher education practices (USDE, 2016), which has been shielded from the topics regarding reentry programs.

Gaps exist in two areas of higher education; administration and criminal justice/corrections education. Colleges and universities are encouraged to identify and assess the admissions process and their views on the importance of criminal justice information (Halkovic & Fine, 2013; King, 2016; USDE, 2016;). According to Halkovic and Fine (2013), exposure and

participation in higher education for incarcerated or formerly incarcerated people continue to prove successful. There is a positive effect on income, civic engagement, family and personal health, and markedly reduced recidivism rates. Therefore, the admissions process traces barriers for previously incarcerated when it includes criminal justice information (USDE, 2016). The Beyond the Box program encourages modification to the admissions process to address campus safety issues by conducting holistic reviews of the candidates (USDE, 2016). The Beyond the Box office supports the unique needs of previously incarcerated students in higher education institutions (USDE, 2016). The program is designed to reduce one of the many collateral consequences of being incarcerated. The previously convicted are able to be a more positive influence on their community if they are allowed to participate in higher education were and training certificates (USDE, 2016). Both the “ban the box” and “beyond the box” campaigns are slowly informing the general public, employers, and admissions staff about people reentering society. Research reveals that educating the corrections staff and police officers is another area to be investigated (Swanson, Rohrer, & Crow, 2010).

Corrections in post-secondary education and training. Reentry education is an important topic to policy-makers at the federal and state levels because released offenders are likely to re-offend lessening public safety, and burning already stretched correctional budgets (Swanson, Rohrer, & Crow, 2010). However, it is often a very small part of criminal justice education programs, if discussed at all. The demand for programs, practices, and strategies that target the successful reentry of prisoners back into the community has been growing, with minimal coverage for the staff that will be implementing programs. As an example, Delisi & Conis’s (2010) text is a college-level textbook used by criminal justice students, regarding corrections, and only contains one chapter discussing reentry topics. Brown, et al. (2015), Reid (2012), Siegel

(2016), and are criminal justice student textbooks that limit their discussions to criminological theory and do not discuss reentry issues. The Swanson et al. (2010), study exposed the minimal amount college educators discuss reentry and that they do not devote much time to reentry topics. This study indicates reentry issues are addressed, but lacking time, depth, and comprehensive attention (Swanson et al., 2010). Those devoted to the subject of reentry are encouraging additional efforts in postsecondary education to increase their focus on reentry, within multiple categories of coursework (Swanson et al., 2010). Reentry has slowly become a more popular focus in higher education.

In the 1970's, Law Enforcement Assistance Administration (LEAA) was sponsored by the federal government to promote criminal justice programs at the university level to focus social problems and influence public policy (Swanson et al, 2010). Working with offenders requires specialized skills in case management, substance abuse, mental illness, housing, job training, official training and educational opportunities within a community (Swanson et al, 2010). The Academy of Criminal Justice Sciences and adopted its Minimum Standards for Criminal Justice Education in 1995 (ACJS, 2016). Swanson et al. (2010), state that reentry education can be incorporated into the administration of justice, corrections, criminological theory, law adjudication, law enforcement research and analytic methods.

Swanson et al. (2010) offer the following examples of how reentry issues can be broadly addressed, within criminal justice education and provide a more comprehensive vision of all aspects that were tested for, including; drugs, medical issues, mental issues, community impact, employment issues, educational issues, victim issues, trends in reentry, family home reintegration issues, housing, health, parenting, case management, literacy, and anger management. Swanson et al. (2010) stress how important it is to educate and incorporate reentry

ambitions, and how the specialized skills could easily be incorporated into the community policing and problem-solving models. Swanson et al. (2010), discuss the need for extensive pre and post-release case management-minded staff, prompting new staff recommendations to include reentry coordinators in each county, sufficient prison staff to develop plans for each inmate and the hiring of transition coordinators at each prison. Therefore, corrections education should address challenges that impede successful reintegration, including; legal and financial barriers, counseling and family support (Swanson, 2010). The continuous push for reentry education and programs has broadened the expectations for all areas of corrections and broadened the expectations for correctional administrative staff.

Correctional Administrative Staff

Correctional executives are responsible for promoting the physical and fiscal well-being of the inmates, staff, and the outside community, and are expected to function with self-efficacy, integrity, and leadership skills (Harper, 2015; Stinchcomb, 2011; Stinchcolm, et al., 2011). The correctional executives are expected to provide leadership and oversight in a variety of areas including; probation supervision, pretrial release, community service monitoring, work release programs, global positioning system monitoring, including collecting court fines, and restitution payments.

Additionally, the corrections executives are responsible for the provision of the education programs, life skills, substance abuse assistance, mental health services, and medical services for the inmates, while functioning according the Code of Ethics (Deputy Warden, 2017; Loudoun County, 2013; Nebraska State Government, 2017; State of Illinois Employment Opportunities, 2017; Stinchcomb et al, 2011; The Corrections Certificate Program, n.d.; Wyoming Department

of Administration and Information, 2017). Warden County, NE (2017) lists specific leadership styles and more specific personal qualities stating:

[They] are seeking a transformational leader who brings performance-based management skills, a commitment to servant leadership, and a drive to inspire a culture of trust, creativity, and commitment to critical work of [this] agency and those it servers. (para 1)

Stinchcomb's, et al. (2011) research identified core competencies for correctional executives:

The top four competencies are the ability to communicate effectively, “obtain and manage fiscal resources” obtain, align, and manage human resources”, “develop and sustain organization vision/mission”, and “maintain personal integrity and ethical standards”. A few correctional executives have been celebrated on the public stage and demonstrating success with a variety of programs.

Leadership Mindset

The historical timeline demonstrates the evolution of the incarceration experience, and a gradual shift, of the mindset of the general public and correctional administrators. Public safety is still the top priority, but the methods of achievement have been changing (Davis et al.; FIRC, 2016; Lingston, 2011; Gregg, 2013; NWCD, 2013). Success is still measured by the reduction of recidivism, but the tools used to achieve reduced recidivism rates are changing (Beck, 1999; Davis et al; DOJ, 2013; Pew, 2011). According to the many state and federal agencies, work must be done to shift the mindset of all corrections employees towards preparing individuals to reenter their community, in a positive law-abiding way (FIRC, 2016.) The current director of the Iowa Department of Corrections, Jerry Bartruff stated, “We really believe we can move the needle in terms of recidivism reduction,” while discussing the State Recidivism Reduction Strategy (Iowa SRR, para 1). Bartnuff (Iowa SRR), also stated that all levels of staff needed to

“buy-in” to the need for collaborations, program implementation, and a focus on recidivism reduction (Iowa SRR, para 1). Corrections executives demonstrating the most success have done so by shifting the inmates’ mindset, as well. The corrections executives are working to adjust the blame-game and promoting the autonomy of the people under their supervision (FIRC, 2016). The correction administrators’ attention has been moving from the criminality of an inmate, towards how an inmate walks out the door. In other words, how a person ends up in the corrections system (past-tense criminality), does not define how they walk out (future-tense self). The corrections administrators are responsible for coordinating efforts, within their communities, to enhance the value of inmates, as a “whole person”; whole with self and family (social capital), workability (human capital), in order to promote the improvement of the whole community (cultural capital).

German Franco is the current warden of the New Mexico Penitentiary (KRQE, 2015). He works on keeping the inmates busy and productive while doing their time (KRQE, 2015). The inmates are encouraged to participate in crafts, including building furniture, creating art projects, etc. The items are sold at an annual NMCD Craftsman Trades Fair. The profits are used to benefit victims, the inmates’ children, programming, and some money is set aside for the artist when they are released. Franco believes that the process can help give the inmate a sense of pride when they share their work with the public (KRQE, 2015). NWCD offers another program for inmates that leave their gang. The more dangerous inmates are offered another path.

The Restoration Population Program allows violent drug offenders the opportunity to choose to remove themselves from gang life (NWCD, 2013). Inmates gain access to various programs and eventually get moved to a lesser security detention center, where they regain access to their families (with contact visits), the ability to go outside, the ability to work, study,

and only be on lock-down at night (NWCD, 2013). The inmates that were interviewed by the NMCDPIO expressed how their mindset has changed and that they feel like a new person (NWCD, 2013). The mindset of the corrections experience is becoming more positive and is demonstrating positive results. New Mexico Secretary of Corrections' Gregg Marcantel expressed his mindset behind developing his programs, stating:

Crime can be viewed like a disease. We know, for example, an inmate's access to family and work are the two ways to keep he or she healthy, and on the path when they leave prison. They are, essentially, like flu shots for crime. This is why our work must be based upon these principles, but if all we do is provide them an education and do not truly change their hearts, all we will wind up with is smarter criminals. That's why it's also going to be our mission to help folks find a way to break the chain of pride and selfishness that got them into prison in the first place (NWCD, 2013, 00:23 -00:55).

Many corrections facilities have to access education providers and vocational training providers from the outside. This practice is very popular. Many institutions truly feel that it is important to focus on the outcome. Leaders and participants embrace the statistic that 95% of the inmates will eventually be released (French, 2016). Therefore, the focus is on preparing the participants to be competent and contributing members of their community.

Hudson Link combined offerings NIACC's and then Mercy College and is based on private funding and provides the education for college degrees while they are in prison. Sing Sing Correctional Facility Superintendent Brian Fischer is a strong supporter of the educational program, as well as employees, and inmates. The local news station reported a graduation ON A day for the Hudson Link Program at Sing Sing Correctional Facility and Fischer stated:

You know, you've been in this business for as long as I have been in it, you find out what works and what doesn't work. We have a responsibility. We have 1700 guys here and most of them are going to go home. What we do with them while they're here makes a big difference on the safety of the society. It also makes an impact on these guys, their lives, their families' lives. We can make an impact here in this facility level that turns a lot of people, a lot of lives around, [and] makes a positive impact on people. (French, 2016, 06:37-07:24)

Each level of involvement in the education program appears to be focused on how valuable it is. The inmates recognize the need for the program and become peer leaders in the facility. The employers recognize an improvement in moral and mindset of participants and other inmates (French, 2016). The programs appear to be elevating everyone involved.

Conclusion

The ways in which modern civilizations have addressed crime and sought solutions to promote public safety has experienced a lot of transitions. Efforts to marginalize criminal activity have included major legislative changes, local policy changes, increased regulations, and restrictions, on those, who have committed crimes. The efforts to have reentry mindsets claim to be a force for positive impact. Successful corrections administrators are reducing recidivism, reducing collateral consequence, and promoting growth of human (e.g., employability), social (e.g., social skills and relationships), and cultural capital (e.g., community and public safety) (Hoge , Andrews, & Leschied, 1996; MacMillan, & McMorris, & Kruttschnitt, 2004; Moore, & Recker, 2013;). The current challenge, facing the criminal justice arena, is that many corrections administrators are retiring, and prompting a predicted fear of a correctional administrator shortage, without enough research regarding how to replace equally effective corrections

administrators (Harper, 2015; Stinchcomb, 2011). Exploring the leadership practices of successful, upper-level corrections professionals would benefit the professions and professional educators. The following chapter will discuss the methods proposed for this study.

CHAPTER 3

METHODOLOGY

A case study approach was the methodology chosen to investigate the philosophical and leadership qualities of corrections administrators and their successful reentry programs. According to Creswell (2013), a case study is “a good approach when a researcher inquirer has clearly identifiable cases with boundaries and seeks to provide an in-depth understanding of the cases or a comparison of multiple cases” (p.100). In this chapter, information for a case-study research process is presented including; details and expectations of qualitative research, philosophical assumptions, epistemological approach, methodological approach, participants and sampling, data collection procedures, ethical considerations, concluding with the delimitations and limitations.

The Qualitative Approach to Research

The aim of this study is to explore the leadership philosophy perspectives and operational methods of four correctional administrators, state prison wardens. According to Yin (2009), the strength of the case study method is its ability to examine, in-depth, a “case” within its “real-life” context. A qualitative method is appropriate to study leadership philosophy perspectives and operational methods because of the in-depth nature and real-life exploration (Yin, 2009). The perspectives and strategies of correctional administrators are paramount to understanding their leadership philosophy. Conversations (interviews) regarding their career paths provided additional perspectives on the role of corrections administrator, rather intensively explored their how and why (Yin, 2009).

Qualitative research requires preliminary considerations (strategies of inquiry) and ethical considerations (Creswell, 2003). Creswell (2013) suggests using methodological congruence,

providing the purpose, questions, and method, as an interconnected unit creating a cohesive whole. Creswell (2013) advises the use of prior theories, as a key element of rigorous qualitative investigations. The researcher should consider the writing format, from scientific approaches to literary storytelling (Creswell, 2013). Lastly, the researcher must consider his or her own role in the research process. Researchers must address their personal history, including their view of history, traditions, and conceptions of self, ethics, and politics (Creswell, 2013). In addition, the researcher must bracket their experiences (Creswell, 2013). “Bracketing” is suspending our understandings in a reflective move to cultivate curiosity” (Creswell, 2013, p.83).

Philosophical Assumptions and Research Design

Philosophical assumptions are an important foundation for qualitative research, as they represent the lens the researcher (Creswell, 2013). Philosophical assumptions may be absorbed through training, exposure to literature, advice, community participation, and become incorporated into the researcher’s work (Creswell, 2013). Philosophical assumptions inform choices and shapes how the researcher formulates the problem and research questions (Creswell, 2013). A social constructivist epistemology and a consequentialist theoretical perspective guided this study.

Epistemology: Social Constructivism

Social constructivism is the epistemology chosen to investigate the qualities of corrections administrators and their successful reentry programs. Social constructivism is a world-view that seeks to understand the world, by developing subjective meanings of experiences (Creswell, 2003; Creswell, 2013; Salmons, 2015; Berger & Luckmann, 1967; Morgan, n.d.). Berger and Luckmann (1967) argue that reality is socially constructed and that the sociology of knowledge must analyze the process. This implies that the existence of multiple

realities is most likely. Creswell (2003) points out that meanings are varied and multiple. The researcher must look for the complexity of views. The researcher must focus on the participants' views (reality). Creswell recommends broad and general open-ended questions. It is imperative that researchers recognize the impact of their own background, how it shapes interpretations, and position themselves (Creswell, 2003). The Interview Questions for this study are presented in Appendix F. Researchers are inclined to inductively develop an interpretation of the participant's worldview (Salmons, 2015).

Methodological Approach: Multiple Case Study

A case study requires the researcher to explore a case in its natural setting, in depth, within a program, event, activity, process or person/s (Creswell, 2003). A case study may involve multiple sources of information, such as documents, archival records, interviews, direct observations, participants' observation, physical artifacts, and audiovisual material (Bogden & Biklen, 2007; Creswell, 2013; Salmons, 2015; Yin, 2009). According to Bogdan and Biklen (2007), a case study works like a funnel, because the study starts wide with the researcher searching for places and people that might be a good subject or source for data. The researcher searches for locations they want to study and cast a wide net trying to judge the feasibility of the data source for their purposes (Bogden & Biklen, 2007). The process of identifying participants is discussed in the upcoming discussion on sampling and data collection.

Aligning Purpose and Design

In-depth interviews were conducted to promote the production of knowledge. The interaction between the researcher and the participant generates empirical data about the social world, in this case the world of corrections was chosen, specifically state prisons. It is the researcher's responsibility to gently guide the conversation and produce depth and detail (Rubin

& Rubin, 2005). The researcher is expected to encourage the participants to share perspectives, insights, feelings, behaviors, and experiences or phenomena that cannot be directly observed (Salmons, 2015). Salmons (2015) provides four factors involved in in-depth interviews:

- The researcher is responsible for the performing a respectful inquiry and accurate data collection, relevant to the research purpose and questions, in a scholarly context.
- The participant participates with the researcher in an honest fashion, offers insight, perceptions, understandings, experiences, and/or social or organizational dimension of the research subject.
- The research purpose and questions serve as a framework, for focus and boundaries to the interactions between the researcher and the participant.
- The research environment provides context for the research and can make a significant impact on the researcher's understanding of the participant.

It is important to focus on the purpose of the interview, the set agenda, and embrace the ethical boundaries of beneficence, justice, and respect for the participants (NIH Human Subjects Research Training. n.d; Creswell 2003; Salmons, 2015), (see Appendix F). Discipline and professionalism are expected and demanded (NIH Human Subjects Research Training; Bogdan & Biklen, 2007).

Forthright, the scholastic researcher is required to create an environment that promotes trustworthiness and credibility, and functions without any ulterior motives (Salmons, 2015; Bogdan & Biklen). Therefore, this study abided by of all the expectations of human subject research, in order to promote respect and a genuine appreciation for the participants' time and willingness to share their professional history, leadership mindset, philosophical approaches, program development and future expectations.

Choosing Online Data Collection Methods

Salmons (2015) offers three most common reasons for using Information and Communication Technologies (ICT); medium, setting, and phenomenon. An inquiry could deal with any aspect of the lived experience, and ICT's allow a researcher access to the participants' online existence, via texts, blogs, and multimedia tools. ICT's are considered any computer-mediated communications between the researcher and participant used to navigate the lived experience. ICT's as a physical or social setting, *milieu*, online or in person on social media sites, web conference, virtual world, or game. ICT's are a good tool for analyzing activities or behaviors of the phenomena being studied. Salmons (2015) points out that ICT's may offer a more relaxed setting for an interview.

Participants and Sampling

Recruiting participants followed the general guidelines of qualitative research, as well as, some guidelines specific to online interview research (Salmons, 2015). Sampling is the systematic process of determining who best fits the purpose of this study. The secondary data collection provided the information necessary to locate participants, as will be discussed in the data collection section. Qualitative researcher's use purposeful sampling and sampling decisions are made on a per study basis (Creswell, 2013; Salmons, 2015). Corrections administrators fit the empirical purpose and theoretical purpose of the study (Salmons, 2015). The researcher found participants that were willing to provide in-depth, robust information, and to participate in all levels of the study (Salmons, 2015). The participants were credible and very much enhanced the "truth-value" of the research study (Salmons, 2015; Lincoln & Guba, 1985). The secondary data collection identified successful corrections administrators of success correctional and reentry programs.

The participating corrections administrators met a certain set of criteria to create a homogeneous group of four participants. The criterion is two-fold. The participants must hold or have held corrections administrative positions and administered successful reentry programs. The participants must have earned credibility and validation within the corrections arena. The cases were further restricted to state prison wardens in the Midwestern US. Creswell (2013) advises not to include more than four or five cases, as this amount will provide the opportunity to identify themes and conduct cross-case analysis. An in-depth discussion of participants will be located in Chapter 4.

Once the participants for this study were identified via a solicitation and recruitment emails located in Appendix A and Appendix B. Initial phone contact followed the script located in Appendix D. Emails were used for scheduling purposes, as well. My participants were interviewed in their work environments following the acquisition of the participants' signed informed consent forms located in Appendix C.

Data Collection Procedures

There are a variety of data collection methods to be chosen from and Salmons (2015) separates them into primary and secondary data collection methods. Primary data collection method used in this study is Seidman's (2013) in-depth, three interview series. The secondary data collection process searched for artifacts that support the study. The primary data collection method was the online recorded interview, using freeconference.com. The Data Collection Protocol is located in Appendix E. The semi-structured interviews followed the Interview questions located in Appendix F. Email was used for follow-up communication, delivery of the transcripts, and the confirmation of the participants' transcript approval.

The Secondary data collection is mining for posts, sites, documents, images, media, and collected artifacts involving the participant. For this study, the secondary data collection was broader and focused on the successes of corrections facilities and was located in the many government studies and other organizational open-source data. Creswell (2013) points out one of the inherent challenges of qualitative is case selection, as discussed. The secondary data collection provided verifiable information allowing for the strict narrowing in scope and the participant criteria, identifying a pool of potential participants. Once identified, correspondence lead to scheduled meeting times, and signed informed consent was obtained the series of three interviews with each participant ensued.

Interviews

Interviews were used as the primary data collection method. Semi-structure interviews were conducted via freeconference.com and recorded. No in person interviews were conducted due to the geographic location of the participants (Salmons, 2015). Using an ICT was very cost-effective, with reduced time and travel expenses. The online interview was chosen over a telephone interview, because visual communication provides more observability. The researcher is able to observe nonverbal communication. The semi-structured interview process consisted of open-ended questions used in order to obtain narrative answers and not restrict the participant's elaboration (see Appendix F). Questions and follow-up questions were prepared prior to the interview.

Seidman (2013) advises using a three interview series. The first interview focused on the participant's educational and training history, career paths, and drives. The second interview "concentrate[d] on the concrete details of the participant's present lived experiences in the topic of the study" (Seidman, 2013, p.21). The second interview addressed the programs and practices

regarding education and reentry programs, effects on public safety, organizational structure, and leadership mindset. The third interview focused on the “intellectual and emotional connection” the participants’ have with their careers (Seidman, 2013, p.22). The third interview focused on points of pride, commitment, and the characteristics necessary for their position as a corrections administrator. Following Seidman’s (2013) advice I established conditions for reflection upon the participants’ experiences and outlook by means of exploring the past events that led up to where they are now. The interview process included three 60-90-minute interviews, spaced within three days to one-week apart, following Seidman’s (2013) recommendation. The Data Collection Protocol is listed in Appendix E and the interview questions are listed in Appendix F.

Rapport

Salmons (2015) advised the interview must remain flexible and create an interview environment that is based on trust, mutual respect. Rapport is a developed comfort level centered on an understanding of each other’s feelings or ideas (Seidman, 2013). Neutrality is of up most importance, according to Patton (2002) stating:

The person being interviewed can tell me anything without engendering either my favor for disfavor with regard to the content of their response. I cannot be shocked; I cannot be embarrassed; I cannot be saddened. Nothing if the person tells me while make me think more or less of the person (p.365).

Interviewers are expected to guide the participant’s story, not become part of the story. In essence, interviewers are “expected to leave their ‘selves’ out of the interview process” (Gubrium & Holstein, 2003, p.31), and mine for data (Salmons, 2013). According to Hyman, et al. (1954), the interviewer must be aware that sharing personal experience may help establish rapport. Given that my educational and professional background in human services and criminal

justice produced a high level of familiarity with their experiences, expectations, and common concepts/terminology, rapport was established rapidly. The purposeful interviews included established credibility, respect, active listening, logical thinking, attention, and good manners (Salmons, 2013; Seidman, 2013). Recordings of the interviews and transcripts were maintained in a password protect computer and safe.

Data Analysis Methods

Data analysis and interpretation had many components. Data analysis brings meaning and structure to the data (Anfara et al, 2002). The transcripts and other materials were coded, with an iterative coding method (Sage, n.d). Iterative coding is understood as a systematic, repetitive, and recursive process that involves a sequence of tasks carried out in exactly the same manner each time and executed multiple times (Sage, n.d.). Meaning is provided to this repeatable. Coding is the process of putting information in categories (chunks) and looking for underlying meaning. The chunks were evaluated and labeled, as codes. The coding process produced the “themes” presented in Chapter 5. Bogdan and Biklen (2007) have a list of eight possible codes: setting and context codes, perspectives held by subjects, subject’s process codes, activity codes, strategy codes, relationship and social structure codes, and preassigned coding schemes. The four participants were alike in processes, activity, strategy, relationship and social structures. Therefore, this study focused on an embedded analysis of the corrections administrator’s experiences, outlooks, practices, mindset, and outcomes (Creswell, 2013). Creswell (2013, p.101) advises producing the context of the case, cross-case analysis, and creating assertions (interpretations) for the meaning of the case/s. This study used Creswell’s (2013) *in-depth portrait cases*, which looks at case context, case description, within-case theme analysis, cross-

case theme analysis, and assertions and transferability (p. 209). Figure 3.1 demonstrates Creswell's (2013) in-depth portrait cases.

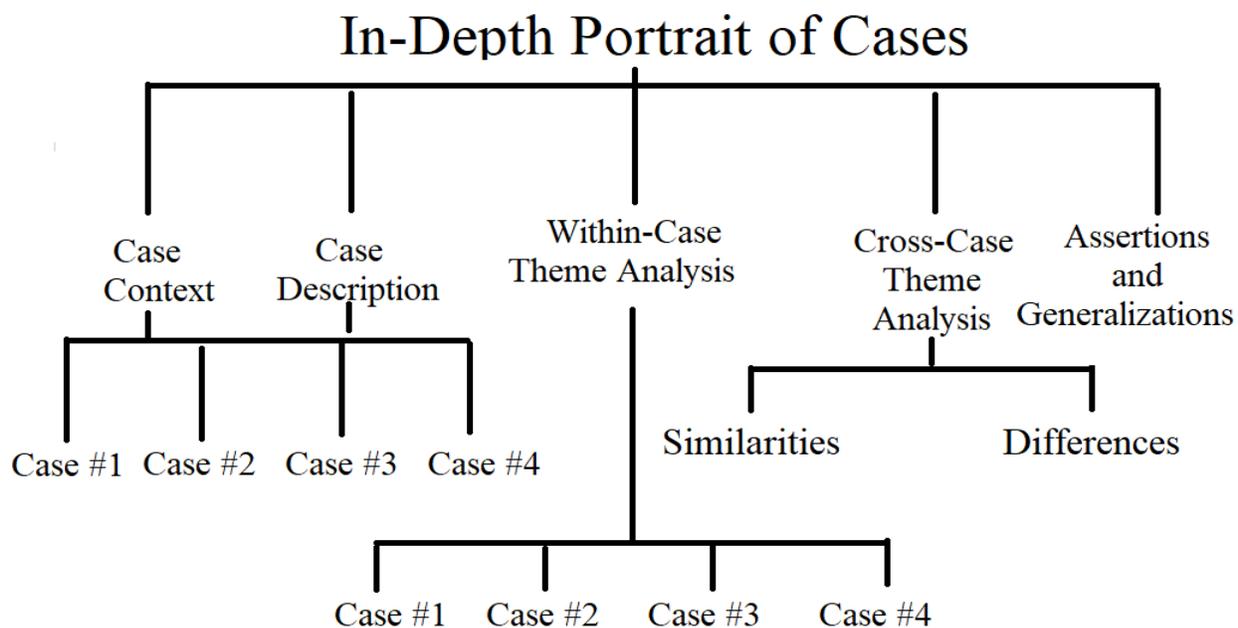


Figure 3.1 Template for Coding a Case Study (Creswell, 2013, p. 209)

Ethical Considerations

Ethical considerations are vital to the research process. First, the researcher must earn a certificate for human subject's research. An Institutional Review Board must examine the research proposal for ethical concerns. Bogdan and Biklen (2007) advise that there are two issues that dominate traditional official guideline for ethics, in research with human subjects. First, informants understand the nature of the study, potential dangers, obligations of the study, and enter into the study voluntarily. Second, the informants are not exposed to, "risks that are greater than the gains they might derive" (Bogdan & Biklen, 2007, p. 48). It is the researcher's responsibility to address respect, beneficence, and justice (NIH Human Subjects Research Training, n.d.). Respect requires the participant be treated autonomously. The participant must be

provided with an informed consent that includes; voluntariness of participation, purpose or the study, foreseeable risk, potential benefits, extent of confidentiality, compensation, contact information, conditions of the study and the right to refuse (see Appendix C). The researcher must consider the potential harms (NIH Human Subjects Research Training. n.d). Beneficence requires the researcher to analyze how the risks and potential benefits related to the goals and values. The researcher must take action based on said analysis. The researcher must protect those with diminished autonomy, e.g., age, cognitive impairment, illness and treatments (NIH Human Subjects Research Training. n.d.). Justice requires the fairness of procedures and outcomes are used to select research participants. Additionally, justice requires a fair distribution of benefits and burdens to the population who participates in the research. Individual justice requires everyone benefit equally, no favoritism (NIH Human Subjects Research Training. n.d).

Qualitative Research Methodological Approach

Anfara, Brown, and Mangione (2002) offer details on the struggles of qualitative research and ways to address rigor. They add that there is not a lack of standards, but a lack of consensus about them. In other words, there is a lack of commitment to uphold past or present standards (Anfara et al, 2002). The products of the coding process were examined for their trustworthiness and authenticity and were evaluated by examining the study for credibility, transferability, dependability, and confirmability (Creswell, 2013). Triangulation was performed and discussed in the data collection portion of this chapter. Member checking was be done by asking the participant to check/examine the transcripts from the interviews for accuracy and quality. Each participant approved the transcripts.

Credibility was established by the participants' prolonged commitment to corrections and the production of successful programs. The triangulation of data sources, methods, and

investigators intensifies the participants' input/output (Creswell, 2013). Thick description is provided in Chapter 4 and Chapter 5, in order to make the information transferable between the researcher and the participants (Creswell, 2013). The auditing process confirmed the value and dependability of the data (Creswell, 2013).

Anfara et al, (2002) provide information from many authors regarding validation. Creswell emphasized the use of the word, "validation" to emphasize the verification process and previously used words of "trustworthiness" and "authenticity". Creswell (2013) advises prolonged time in the field, with persistent observation. It will provide better opportunity to build trust with the participants and enhanced the learning of the culture. As previously stated, the researcher for this case study has an established exposure to elements at hand enhancing the validation, trustworthiness, authenticity of this study. Triangulation is the process of gathering information from, "multiple and different sources, methods, investigators, and theories to provide corroborating evidence" (Creswell, 2013, p 251). Anfara et al (2002) advise multiple sources of data can create of a chain of evidence, pattern matching, and replication logic, in multiple case studies.. Anfara et al, (2002), advises that the use of proper research protocol and member checking add to the validity and reliability of a research study. The presentation of validity and reliability of information presented within this case study were presented with the data collection procedures and analysis section.

Multiple sources of data collection can neutralize potential bias embedded in a single data source (Anfara et al, 2002). The rich, thick, discussion in Chapter 4, Chapter 5, and Chapter 6 allow the reader to transfer information (transferability) to other settings (Creswell, 2013). Finally, making all aspects of the research and analysis process available to public inspection, strengthens the dependability and reliability of the research (Anfara et al, 2002). As described

throughout this chapter, many qualitative research items must be addressed. The many authors cited remind the researcher of limited scope may safely extend and where it is prudent to restrict information or input. The delimitations produce a boundary.

Delimitations

This research project worked with boundaries, delimitations. The study was delimited to only four cases. The study restricted the ability to participate by profession, status, and ability. The study was further restricted to state prison wardens within the Midwestern US that promote and produce successful programs.

Limitations

Interviews are limited because they are opinions and understandings of the participants up until that moment, and not beyond that moment. The study was limited to the amount of time the conversation takes place, in this case three one-hour interviews per participant. The information provided is “indirect” because it was filtered through the views of the interviewee (Creswell, 2003). The use of web-conference communication restricted the “observation” of the participants. The researcher is not observing the participants in their “natural setting”, at the prison where they worked (Creswell). The researcher’s presence may bias responses, the Hawthorne effect. The Hawthorne effect is when people adjust the behavior because they are being observed (Macionis, 2014). Therefore, the research processes discussed above were designed to promote the most comfortable experience for the participants. Lastly, Creswell (2003) points out that people are not equally articulate and perceptive. However, the participants for this study were exceptionally qualified success professionals within their field.

Summary

A social constructivist epistemology and a consequentialist conceptual perspective guided this qualitative case study. In-depth interviews were conducted to promote the production of knowledge, using Seidman's (2013) three-interview approach. Sampling, participant choice, data collection and data analysis has been detailed, including transferability and dependability. Lastly, goodness, trustworthiness, and ethical considerations have been discussed, as well as delimitations and limitations.

CHAPTER 4

RESEARCH SETTING AND PARTICIPANT PROFILES

Given the wide-ranging success of reentry programs across the United States, the purpose of this case study is to determine the attributes and leadership philosophies of corrections administrators that manage effective, reentry programs. The qualitative research approach (Creswell, 2013) offers a platform to explore the experience and perspectives of four wardens working in four different state correctional settings across the Midwestern United States. Data collection utilized Seidman's (2013) in-depth three semi-structured interviews with each of the four participants (Creswell, 2013; Salmons 2015). The interviews were completed using the online communication tool, Freeconference.com. The participants were able to call in or log into a conference call for the duration of their interviews. The participants were interviewed at their individual workplaces.

This chapter delivers a detailed description of the four different correctional settings involved in this study. Descriptions of the four participants, who are the wardens of these four programs, will follow. The four participants' names and correctional settings are aliases. To further protect the identity of the participants, descriptive data has been generalized. All descriptive and personal data has been removed.

Correctional Settings

To complete this case study, four different prisons were selected. The correctional settings are located in the Midwestern United States. These four correctional facilities offer a range of features including: varying levels of security and the gender of offenders served in these facilities. All four prisons are state prisons, not county jails, federal prisons, or military prisons. Each of the corrections administrators are required to address three major factors: protect public

safety by managing the outcome of the adjudication process, providing reentry programs, and developing relationships within the community (Erisman, 2015; Harper, 2015; Stinchcomb, 2011; Tolbert, 2012; Tolbert & Rasmussen, 2016). Within these four settings, over 90 % of offenders will eventually be released back to their communities when their sentences are completed or parole has been granted. With such a high percentage of the offenders returning to their communities it underlies the importance of educational programming, vocational opportunities, treatment for mental and/or substance abuse conditions to successfully reduce recidivism rates and manage the collateral consequences (Davis, Bozick, Steele, Saunders, & Mile, 2013; Erisman, 2015; FIRC, 2016; Second Chance Act, FY 2013;, n.d).

Each of the four participants in this study provide varying levels of security, educational programs that focus on interpersonal growth, vocational training to help provide successful reentry into the community. Descriptions of these four settings will be discussed. These descriptions will include the process of receiving the offender into the facility (intake practices), the various programs offered, and reentry procedures utilized within the facility.

Setting One: Medium Security for Women

Setting One is a medium security state prison. Setting One is a correctional facility for women and serves under 1000 offenders. Prior to participation in any programming, the intake process evaluates the offenders' current positionality and needs. That information is used to develop the most effective educational plan. Setting One provides adult basic education, special education services and high school equivalency programs for each of the individuals. The offenders, with good behavior, earn the option of internal work assignments, vocational training, job skill assessment, and onsite vocational training. These additional work assignments and training can help the offenders be more successful upon release from the program. The

substance abuse prevention, assessment and referral programs provided are licensed by the public health department. The facility also provides assistance with employment options and other necessities such as groceries and living arrangements upon release.

Setting Two: Minimum and Medium Security for Males

Setting Two is a minimum and medium security state prison and is a corrections facility for men. Setting Two serves approximately 500 minimum security offenders and an additional 1000 medium security offenders. The intake process is completed at classification facility before an offender is transferred into Setting Two. Therefore, the intake procedures include risk assessment and custody assessment. This facility also provides educational and life skills programs. Additionally, vocational education and training, with apprenticeship opportunities, are offered. Cognitive-based therapy programs are available. Work opportunities for offenders are varied across Setting Two. The goal to assign offenders to jobs that utilize and enhance their skill sets and future needs. Offenders are assigned general janitorial work and maintenance jobs on and off the grounds. Similar to Setting One, this facility also provides assistance in locating employment, groceries and living arrangements upon release.

Setting Three: Maximum Security for Males

Setting Three is a maximum-security state prison and is a corrections facility for men. Setting Three serves approximately 1000 offenders. Intake procedures are completed at a separate classification center. Educational programs include high school equivalency courses. Apprenticeship programs are also available for these individuals. Setting Three offers cognitive-based therapy programs and related mental health services. The facility also provides recreational activities to promote physical well-being. The majority of the offenders in Setting Four are not released back into the community from the maximum-security prison. Instead,

offenders earn the ability to be transferred to a less secure facility. Because of this variable, fewer educational opportunities are offered.

Setting Four: Classification Center for Males

Setting Four is a corrections facility for men and serves approximately 1000 offenders. The facility performs many evaluations and determines needs for physical health, mental health, literacy, and security within the first 60 days. Substance abuse treatment programs are available through public health services, located at the facility. The facility also offers high school equivalency courses and basic adult basic education classes, English as a Second Language instruction, post-secondary educational programs, vocational training, and special education services. Offenders can earn the ability to participate in work release in the community in community service projects. The volume of offenders processed through the facility moving towards other facilities is substantial, but Setting Four also prepares individuals for reentry into the community.

Summary of Settings

The settings for this study uncover the various structural organizational setup found in four separate correctional settings. The differences between the settings and participants in this study were displayed through the gender of offenders and security requirements for offenders. Setting 1 is a medium security facility for females. Setting Two works with males and includes medium and minimum-security placements. Setting Three is a male, maximum security setting. Finally, setting four medium security facility serving male inmates. Each setting revealed both unique and similar features which will be discussed in future sections. Additionally, the participants for this study will show some unique and similar elements which allows for rich comparisons and programming recommendations.

Participant Profiles

The participants for this study, four wardens within a state prison system were selected. The educational background of the participants varied, however, all four participants have held several different jobs within the prison system before becoming wardens. A profile for each of the four participants will describe their educational background, training prior to becoming a warden and ongoing professional development. As previously mentioned, the four participants' names and correctional settings are aliases: Warden A, Warden B, Warden C and Warden D. Because of the potential vulnerability of these individuals, all descriptive data has been generalized and all descriptive and personal data has been removed. Table 4.1 offers further insight to the variety the four state prison wardens bring to the research.

Table 4.1
Descriptive Information for Participant's and Place of Employment

Name	Sex	Years of Experience	Security Level of Prison	Sex of Prison Inmates
Warden A	F	25+	Medium	F
Warden B	M	25+	Minimum/Medium	M
Warden C	F	25+	Maximum	M
Warden D	M	25+	Medium	M

Note; Each State Prison facility is located in the Midwestern US.

Participant One: Warden A

Warden A initially earned an Associate's Degree at a community college. Warden A's degree focused on Human Services and Chemical Dependency. Upon graduation, Warden A became a residential officer in a community-based correctional facility. Warden A moved onto earn a Bachelor's Degree and later received a Master's Degree. Following graduate school, Warden A became a substance abuse counselor at a state prison for male offenders. Warden A's first supervisory position soon followed. Warden A's career path involves a variety of settings

and job responsibilities in different correctional settings. In due time, Warden A became the warden of a 1,000-bed medium security prison. Currently, Warden A is the warden of a woman's correctional facility. It is worth noting that Warden A continually participates leadership trainings and continues to keep current with trends and correctional programming.

Participant Two: Warden B

Warden B completed a Bachelor's Degree in Sociology at a state university. Warden B's first job in criminal justice was as a correctional officer in the 1980's. Warden B's career path includes a variety of settings and job titles in different correctional settings. Warden B eventually became the warden of a 1500 bed medium and minimum-security prison. Warden B pointed out the value and importance of experiences in the variety of areas prior to becoming warden. Similar to Warden A, Warden B has participated in many leadership trainings throughout their career.

Participant Three: Warden C

Warden C has always had the desire to work in correctional settings. Warden C's education background includes a Bachelor's degree and a Master's degree. Warden C has been working in corrections since the late 1970's and has worked in different states. Like Warden A and Warden B, Warden C also held several positions before becoming Warden. Warden C in conjunction with Warden B, pointed out the importance of multiple experiences in a variety of correctional settings before becoming the warden. Similar to Warden A and Warden B, Warden C continually attends professional trainings and attends professional conferences designed for corrections employees.

Participant Four: Warden D

Warden D's completed a bachelor's degree in criminal justice. Warden D attended a state university and obtained a job for the department of corrections. Not long after graduation, Warden D was first hired as a corrections officer at a county jail. Warden D moved through a variety of positions and later became a warden. Of all for participants, Warden D has been in this leadership position the longest. Warden D also continues to attend professional training to keep current with the changing trends associated with the title of Warden.

Summary

This chapter discussed the four different settings included in this case study. Each of the four correctional settings is located in the Midwestern United States containing a variety of features including; level of security, health services, mental health services, educational services and reentry programming. This chapter also described the four wardens who are in charge of each of these four correctional settings. Background information such as education, professional experience, and leadership training for each participant was described. With the background of the four settings and four participants provided, Chapter 5 will uncover specific themes and patterns found during the interview process and how these themes relate back to the research question.

CHAPTER 5

FINDINGS AND CONCLUSIONS

The purpose of this multiple case study is to gather subjective and objective data from correctional administrators in order to determine the shared philosophical approaches, operational methods, and leadership mindsets. The corrections administrators' efforts work to improve social, human, and cultural capital. These improvements will be discussed in relation to agent-based consequentialism, altruistic consequentialism, hedonism, and utilitarianism. Therefore, this study focused on an embedded analysis of the corrections administrator's experiences, outlooks, practices, mindset, and outcomes. The data were analyzed using an iterative coding process.

The findings for this study were obtained via case study methods in response to the predominant research question: "*What are the philosophical perspectives and operational methods of senior administrators at correctional institutions whose leadership results in low recidivism rates?*" Responses to the question resulted in the appearance of four major themes.

The four main themes are as follows:

- (a) Emphasis on Safety,
- (b) Education and Training for Staff and Offenders,
- (c) Rehabilitation and Habilitation of the Inmate as a Whole Person and
- (d) Commitment to the Profession and Advocacy for Others.

These four themes and related subthemes provide a framework for understanding the leadership philosophies, and other characteristics of corrections administrators and educators.

A summary list of the four thematic findings is located in Table 5.1.

Table 4.1

Themes & Sub-Themes Answering the Overarching Question showing the connection to Consequentialism and Bordieu

Themes and Subthemes	AB	AC	HC	UT	SC	HC	CC
Theme 1: Emphasis on Safety	AB		HC	UT	SC		CC
• Staff Safety	AB					HC	CC
• Offender Safety	AB		HC		SC		CC
• Public Safety	AB			UT			CC
Theme 2: Education and Training for Staff and Offenders	AB	AC	HC	UT		HC	CC
• Staff	AB			UT		HC	CC
• Offender	AB					HC	CC
• General Public		AC		UT		HC	CC
Theme 3: Rehabilitate and Habilitate Inmate as a Whole Person	AB		HC		SC	HC	CC
• Physical and Mental health	AB			UT			CC
• Education and Vocation – Trade Skill	AB			UT		HC	CC
• Habilitate: “To make capable” with family and/or community connections	AB	AC		UT	SC	HC	CC
Theme 4: Commitment to the Profession and Advocacy for Others		AC	HC			HC	CC
• Earnest desire to help others		AC	HC		SC		CC
• Leadership Mindset and Perspective		AC	HC		SC	HC	CC
• Maturity	AB	AC	HC	UT	SC	HC	CC

Note. AB=Agent-Based, AC=Altruistic Consequentialism, HC=Hedonic Consequentialism, UT=Utilitarianism, SC=Social Capital, HC=Human Capital, CC=Cultural Capital

Chapter 5 will explore each of four themes and subthemes utilizing the words of the participants and summaries of the findings. Following the presentation of the four themes and subthemes, a summary of the findings in connection to the strategic elements of the research question will be discussed.

Theme 1: Emphasis on Safety

Theme 1, Emphasis on Safety, includes the subthemes of staff, offender, and public safety. The job of a correction administrator requires consistent attention to the safety of self and others. The subthemes focus on the nature of corrections and risk reduction. The participants discussed the importance of hiring for particular qualities and the need for creating a well-trained

staff. Staff are physically trained to promote safety for themselves, coworkers, and the offenders. Offenders are incentivized to create safer environments. Both Staff and offender behaviors effect the general public while interacting with volunteers on the prison campus, citizens during work release programs and upon offender reentry release to the community. Each participant for this study emphasized the importance placed on safety. As Warden C pointed out, “You know we are dealing with violent people and sometimes you have to make snap decisions that can affect your staff and their safety.” Each warden makes many decisions based on the promotion of overall safety. One of the operational methods is the emphasis on the hiring process. Each warden discussed qualities what they look for during the hiring process.

Staff Safety

Safety of staff is vital to the success of the prison experience for all who work and live in the correctional setting. According to the participants, staff are outnumbered in correctional settings. Therefore, staff must present themselves with strong positive leadership skills, creating an environment (atmosphere) of safety and respect. In addition, offenders must be protected from the violent acts of other offenders. Wardens focus on these skills and attributes during the hiring process. Warden A described the desire to have a safe working environment for everyone. “We are hiring staff that have pretty grounded emotional intelligence.” Similarly, Warden B stated:

My number one goal, as the warden of the institution...is that the guys go home safe to their families healthy and safe every day. The first thing I look for in leadership roles is if they listen. So, the biggest is willingness to work with others, the willingness to listen to others, the willingness to stand up for oneself.

Warden C shared a similar response:

I think you have to care about people. You know, I think you have to be open minded. I think you have to have good communication skills. I think you have to have the patience...be compassionate. You have to believe that people can change. You know, they have made mistakes sometimes terrible mistakes. You have to believe that people can be remorseful and can change.

Additionally, Warden D emphasized the need for communication skills and how it benefits the safety of the environment:

People that can communicate. I don't look for big strong people. I know people can talk their way off whole lot better than they can muscle their way through things. So that is a type of person I look for...Somebody who's open to different thoughts and ideas. The wardens need good, quick decision makers. The wardens address how the physical prowess is not always the tool to problem solving on the job, communication skills are the most important. Throughout the organizational structure the safety of the offenders is vital.

Good communication skills, patience, the ability to work with others, and the belief that people can change are the most sought-after skills during the hiring process, demonstrating the participants' own leadership philosophy and/or philosophical approach. The hiring process itself is a vital part of success as each participant begins a career as a corrections officer.

Not only does hiring the most effective staff benefit staff safety, training does, as well.

Each of the four wardens discussed staff training and how it relates to the physical and mental aspects of the job. Wardens consistently look to hire individuals with good character (high moral standards), good communication skills, and patience. More job specific training follows the hiring process and continues each year, through continued education and training.

Warden A recommends that the female correctional settings should promote trauma-informed and gender-responsive care training in addition to the standard training that is required. Equally important, Warden B discussed the ongoing staff trainings and the focus this training places on core correctional practices. Warden B noted these trainings provide an “overview of what we’re trying to accomplish here in corrections and how best to go about it.” In addition to leadership strategy and policy training, Warden C and Warden D stressed the importance of continued training, branching into new or enhanced interpersonal skills. Finding the time and funding, however, are ongoing concerns associated with staff development.

Collectively, the wardens concentrate on meeting the training requirements and work to incorporate as much additional interpersonal skill training as possible, demonstrating another operational method. They agree that a well-trained organization promotes safety by emphasizing problem solving skills and communication skills. These skills will prevent problems, thus creating a safer environment for the staff and the offenders.

Offender Safety

The wardens are very practical when discussing how they address the safety of the offenders entrusted within their care. They all know the person is there as a consequence of their actions and are being adjudicated while placed in the correctional setting. Instead of focusing solely on punishment, they also address the necessity of assisting the offender to see the benefits of safety and how it effects their future. Warden D explained practices used to help even the most aggressive and rejected offenders relearn how to socialize and become productive members of society. There are a large variety of programs offered within the state prison system. Warden B and D discuss a tiered incentive system used to create a safe and peaceful experience. Warden B expressed the genuine desire to help;

I am passionate about my profession which is corrections and I guess I always hoped that I would make the best decisions to help the people we want to help change. Help them make the better choices in their life so they can change and be pro-social members of society. And the other side of that I think I am an individual that is fair and understanding to those people who are under my supervision within the department.

Good behavior is rewarded. All the wardens understand that some inmates may not feel like they have anything to lose by not behaving, e.g. offenders serving life sentences. The wardens for this study discussed taking a different approach to “doing time”, and promote doing the time “wisely”.

Wisely using/doing time is about improving the offenders’ ability to participate lawfully upon release from the prison system. The participants work with the notion that “reentry” begins at “intake”. The programs offered across the various facilities allow offenders to take ownership of the past and their future. Cognitive behavior-based therapy programs also are offered in each facility. The programs are designed to adjust how the offender responds to conflict. The offenders are allowed to earn privileges and eventually release back into the community. According to Warden C, “Just under half of the offenders are serving life sentences and others have the potential to transfer to lesser security facilities. Therefore, the programs and assistance offered at the facility are designed to do the offenders’ time wisely.” Each warden has a healthy understanding the potential violence, but work to find a balance. The wardens’ efforts are designed to help offenders relearn how to properly socialize prior to having access to the general public.

Public Safety

The wardens within this study are very aware of the long term goal in the corrections process, and that is the offender rejoining the community. They work with staff to understand that the offender may someday be their neighbor. The offenders begin the process of reentering the community during the intake process. The intake process evaluates the offenders' physical health, mental health and literacy. Warden A stated, "It is about the little successes. We have people that have grown up in a system that has been full of trauma and a success for them might look different." In a similar fashion, Warden B stated:

We are not there to rehabilitate people we are there habilitate people, because we do not want to return them from hence they came because that is not necessarily good. That is the goal. I don't want to say it is a program. It is the whole systemic approach to corrections which is how we hope to change a life, but programming is a big piece of that absolutely.

Warden C added to the benefits of these efforts, and a connection to public safety, "Well, it is huge. I mean...If we can help these guys reestablish and get reentry into society again. It helps public safety by having these guys not committing crime". Finally, Warden D elaborated:

What we do is give them particular programs... What we've done is reassessed to their criminogenic needs and then put them in a program that meets that criminogenic need and we used to have probably 15 or 20 programs

Criminogenic is defined as the causing or likely to cause criminal behavior (Delisi & Conis, 2010). The offenders participate in programs to improve socialization skills and the ability to gain employment following incarceration. Prior to being released to the community the prison experience includes experiences as volunteers working within the prison, emphasizing focus on

public safety. These volunteers participate in a wide variety of items ranging from recreation to education. Therefore, it is vital to create an environment that is protected from or unlikely to cause danger, risk, or injury, as best they can

Summary

Theme 1, Emphasis on Safety, included the subthemes of staff, offender, and public safety. The correction administrators discussed the requirement of a consistent attention to the safety of self and others. They demonstrated their philosophical approach while discussing the processes in place to produce a safe environment. The subthemes focused on the nature of corrections and risk reduction. The participants discussed the importance of hiring for particular qualities and creating a well-trained staff. Staff are physically trained to promote safety for themselves, coworkers, and the offenders. As an operational method, offenders are incentivized to create safer environments. The importance on safety regarding the general public as the offender interacts with the general public via the volunteers on the prison campus, work release programs, and upon offender reentry release to the community. The wardens are all like-minded regarding the emphasis on the importance placed on safety. The wardens were also like-minded while elevating the importance of education and training.

Theme 2: Education and Training

Theme 2, Education and Training, includes the subthemes of staff, offender, and the general public. As leaders of their institutions, the correction administrator positions require onboard and continuing education for staff, provide educational opportunities for offenders, and inform the public of these programs via speeches, job fairs, and media outlets. The participants utilize programs provided by their department of corrections. In some cases, the participants had contributed to the development of those programs. The subthemes focus on the nature of

corrections and the skill sets necessary for the ongoing success of staff and offenders. The four wardens discussed the importance of the onboarding process and creating a well-trained staff. Staff are expected to function with a particular mindset, good communication skills and leadership practices. Offenders are expected to participate in literacy education, high school equivalence, and in some cases post-secondary education. Each participant for this study emphasized the importance placed on the general public being informed. As Warden C pointed out that part of the wardens' job is to educate the public. Each warden discussed various positions within their professional background and the training they have participated in and the importance of education and training of the staff.

Staff

Staff are expected to function with a particular mindset, maintain good communication skills and leadership skills. Each of the wardens expressed the importance of holding several different positions in correctional settings prior to becoming a warden. The gravity of this process must be emphasized because virtually all of those placed in correctional leadership positions began their corrections career as a correctional officer and worked their way up to the position of Warden. The hiring expectations revealed by the four wardens, expressed the importance of particular growth mindset when adding new staff members. The staff education and training are married to these growth mindset expectations. Warden A discussed an outlook to the corrections industry that is important:

[Our] philosophy....We are not criminal justice. That gets a little confusing. We are not criminal justice. People may think they have a criminal justice degree, I want to be in law enforcement. We are not law enforcement. We are really, and I keep on saying this,

human services, reentry, we are... it is counseling, it's role-modeling. We are not walking around here handling out tickets.

Other items of importance were explained by Warden A. Each person must be aware their own judgements, "I don't know what else to call it besides emotional intelligence. Or really diving into how you would treat somebody if they are less than you, which is the key...they shouldn't be less than you." Warden B emphasized the importance of learning excellent listening skills, leadership, and working with others as a team. Warden C correspondingly stated:

If you don't have care, compassion and empathy, but at the same time being firm in this environment... You're not going to make it...I can teach you to turn keys. I can teach you restraints. But I can't teach you to be a team player as much. We tried to teach communication skills...computer skills, open mindedness...the ability to communicate with anyone whether it is a mental ill person, a special needs person, or a person with a 145 IQ.

Warden D discussed how future staff, "would handle certain things." Warden D continued:

Somebody who's open to different thoughts and ideas... willing to think about things differently...People that can communicate. I don't look for big strong people. I know people can talk their way off [a] whole lot better than they can muscle their way through things. So that is a type of person I look for.

Each warden amplified the type of mindset they look for while hiring. Please note these qualities are, in a sense, prerequisites for the actual staff education and training processes.

As the staff move up the career ladder, there are particular training and education expectations for various departments of corrections and administrative services. The expected items allow the facilities and their practices to maintain compliance. Warden B advised:

The Department of Administrative Services, when you become a part of management, or when you become a supervisor ... there is a series of trainings that you go through that you attend through your first couple yea some of the things you are going to face and how you are going to have to address them, yes.

In addition to training for each new position, each Warden discussed the various leadership conventions attended over the years.

Continuing education is expected and the participants discussed their experience with leadership trainings. Warden B shared training presentations about a variety of topics through the years. Additionally, they have, “some very strategic items that we are working on like ‘train the trainers.’”. Which is leadership-based training for up and coming leaders and builds programs by promoting from within the organization. Warden D shared a similar experience:

Yes, you have so much annual training that has to be done. There is some mandatory training that everyone has to do. I wouldn't say that there is anything specific to the warden's position. However, we have different leadership trainings over the years.

Wardens A and C correspondingly describe the same experiences. The leadership trainings involve the myriad of topics over the years, and one item that is of upmost importance is the management of offenders. Within the previous discussion of Theme 1, the concept of offenders doing their time wisely was presented. Part of this process involves offender education programs.

Offenders

The wardens' philosophical approaches are very practical when discussing the value of offenders' educational opportunities and expectations. Each warden discussed the importance of addressing the offenders' literacy and status of a high school diploma, or the equivalent. Each of the four facilities provided literacy and high school equivalency programs. Education is an area

which will benefit the offender in the future. Whether in a more minimal secure facility or back into the community. Each warden discussed the variety of learning opportunities available that should produce more productive members of society. Therefore, literacy evaluations are a critical part of the initial classification processes.

Each prison assesses the literacy skills of the offenders as part of the intake process. Warden A and D work more heavily with the classification process and offenders may not stay long at these facilities. Warden A shared that when inmates first enter the facility, they do an assessment for literacy. Warden D advised that the prison process over 100 offenders each week, all of which participate in a literacy evaluation. Warden B shared the following:

Let's break this down. When it comes to the core programs – at the core programs need to be defined as in need and the classification process that we did and they would be prioritized on their release potential. Okay. So the guys getting out of the soonest of course for one to do those guys first and then we tried to identify and when it is good for each person to get them into the program. Education, yes it is a need to I think in which I'm getting into a program as quickly as we can. It all depends on the need in the space available.

Following the literacy review, offenders receive recommendations and are directed to the appropriate educational programs.

According to Halkovic and Fine (2013), exposure and participation in higher education for incarcerated or formerly incarcerated people continue to prove successful. There is a positive effect on income, civic engagement, family and personal health, and markedly reduced recidivism rates. Warden A, B, C, and D elaborated on the many education programs available in their facilities. All the participant's facilities provide high school equivalency programs.

According to Warden A, the women's facility offers college courses both on campus and through correspondence that are funded through a grant process. Warden B detailed:

Educational... Of course, they're going to be working on literacy and HSED (High School Equivalency Diploma), which is the high school equivalency. It took over for GED (General Educational Development) and that is a focus of the education. There is a life skills program that is coming up that I can focus on it now. It is a 12-week class and also focuses on jobs, interviewing skills, retention... Things of that nature... things of that nature. That is through the educational department.

Warden C added, "We have the HiSet which is a new high school equivalency. We have literacy programs and that is all we have a right here." Warden D concludes the examples with the following:

Well everybody who does not have a high school diploma, we contract with the community college and everyone is expected to go and try and earn their HiSET, which is the old GED equivalency. So, we do expect them to get the high school diploma.

In addition to the high school equivalency, each facility offers college level of classes with the assistance of community colleges and universities. Again, wardens are motivated to provide education because an offender has an improved resume upon reentry. In order to enhance the offender's employability further, the facilities offer vocational and or apprenticeships.

Successful reentry education programs push the inmates toward becoming productive, autonomous, and contributing members of their community (USDE, n.d.; Second Chance Act, FY 2013; Erisman, 2015; FIRC, 2016). The information provided by Wardens A, B, C, and D confirmed the provision of vocational programs and/or apprenticeship. Participants in criminal justice reentry education programs, while incarcerated or recently released, have 43% lower

chance at re-entering the criminal justice system as compared to those not participating in a reentry program (Davis et al, 2013; Durose et al., 2014). Warden D stated in regards to offenders taking college courses, “They’re starting to learn they have to do a whole lot of effort. It is helping themselves help the people and they are going to be able to get out because they’ve gained some educational knowledge.” Each warden shared information regarding the programs within their facility.

Warden A stated, “We have vocational training and [as with the] apprenticeships. Their working on one with IT (Informational Technology), office manager, secretary and housekeeping. Plus, we have many apprenticeships that we also offer.” Warden B offered further explanation:

The Second Chance Pell Grant, because of that Pell Grant we’ve been able to offer a number of vocational classes such as carpentry and welding and supply chain management. And there’s another one, a culinary class [also]. We have some other classes on the side, besides that Pell Grant. Sometimes there is some additional funds and we focus on some additional welding classes. We’re talking more about a turf management class. We’re always looking at what is a need out there in [our state]. What can we do in the prisons to match that need so these guys can put their best foot forward when they do get released? In the least, they’ve got a certificate of knowledge, some experience to bring forth to a job interview and hopefully be successful through that. We also have, which is huge in [our state] right now, is an apprenticeship program...[have] probably ½ dozen to a dozen in different types of classes the guys can get in. Not all of them are job training type, but a lot of them would be in the books learning some type of skill that they need for the apprenticeship program. And the other ones we can focus on

like the welding and culinary classes and things of that nature. They can also gain some credit for time on the job and certain standards that they meet.

As identified in Chapter Four, Warden D's facility is a maximum-security facility and there are very few releases to the public. Offenders moved from the facility are transferring to the medium and then, minimum security facilities. However, Warden A advised, "We don't have any vocational programs here right now but we do have apprenticeship programs and we do have about 37 guys in apprenticeship programs." Finally, Warden D's facility offers a wide variety of programs including and not limited to yoga, choir, guest speakers that come in with all different topics. The participating wardens shared a variety of items that will be presented in Theme 3. However, the processes of educating the public will dutifully not be overlooked.

General Public

Corrections administrators are also required to develop relationships with the community. (Erisman, 2015; Harper, 2015; Stinchcomb, 2011; Tolbert, 2012; Tolbert & Rasmussen, 2016). In response to these expectations as leaders, Warden A, B, C, and D work to inform and engage the local community and/or general public on the programs provided within their facilities. Warden A, B, C, and D participate by doing media (print, radio, and television) interviews, provide information within public forums (e.g. speaking engagements), offer tours of the facility, and invite the general public to particular events. Warden A, B, C, and D shared examples of very positive responses from participants in many of their programs. In contrast, the wardens shared some continued criticism from the general public, supporting the information discussed in Caporizzo (2011), Federal Interagency Reentry Council (FIRC) (2016), Swanson, Rohrer, & Crow (2010). The participants in this study shared examples of how they work to connect the

goals of the facility and the community along with the evolving nature of corrections programming.

The wardens work to inform and engage the local community and/or general with the use of media interviews. Therefore, the wardens each mentioned being interviewed by both local, national, and global media outlets. Warden A, B, C, and D shared their efforts to meet the expectations of the role, as it has been defined by many including; Erisman (2015), Harper (2015), Stinchcomb (2011), Tolbert (2012), Tolbert & Rasmussen (2016). While the media fairly reports the activities, the general public does not always respond kindly.

Warden A shared the following in regards to communication with the media and citizen response:

Yah, ...I don't want to do it. So, I said to my boss...I don't know if I want to do it because with any press comes the criticism. You know we have had lots of major news outlets out here. I have to start navigating some of that and getting myself right because I know that we are not perfect. We are not near where we want to be for gender-responsivity and trauma-informed. We are just beginning to break the outside of the crust. I don't want to ever say that we are perfect or that we are getting it right because we do make mistakes. It is also knowing when to say, "OK we need focus on the inside right now. We need to stay focused and sometimes that means saying to the media..."

Warden B also discussed media and shared how the Department of Corrections is making more information available to the public:

Department of Corrections is a lot more proactive. I think we try to put both positive information out there and then information about negative things when they happen [inaudible] so that the media can ascertain the information that they need. We strive to be

more forthcoming than we have in the past. Just telling our story. But the good things out there about the things we're doing in our institutions because a lot of people don't know what we're doing. Corrections is not in the fore...forefronts of everybody's mind. Pretty much the only think about corrections when they watch a movie or if ever relative that works there. We try and put up all the different things we're trying to do for people and when there's a problem we tried to be forthcoming and let them know what has transpired.

Warden C shared experience/s with the media and public perception:

You have some people out there saying that we are not tough enough. You have people out there, they say we don't care about the staff. I can choose to take the high road and sometimes I'll respond to that kind of stuff. It is just left out there, that sometimes, we don't care and that could not be farther from the truth. But you always have that slant out there because the media reports it and they use social media go off on slants... We see that. That stuff keeps me awake at night. But it is just something we have to deal with. I don't think everybody...I know law enforcement does. I don't think people in the private sector have to deal with that kind of stuff.

Additionally, Warden C shared experience with public radio,

I have done some radio interviews that I got a lot of positive feedback... You know putting out to people that it is not just about locking them up... Giving them an opportunity whether they're doing a life sentence or not to give back.

Warden C also shared positive exposure with local media and wellness program:

They did about 5 minutes of an exercise program that we did. It is still out there. They have done positive ones [stories] on landscaping [projects]. Some of them were positive.

Probably the best one was [a local channel] did one on the wellness programs about eight years ago. They interviewed [offenders]... they were doing these boot camps.

Warden C shared an additional positive experience:

It was a good plan and positive article. I have done some radio [interviews] that I was able to get out what I wanted to. There was no slant to it. It was just what we really do in the prison system

Warden D did not directly discuss public relations through media, but shared examples of very positive interaction with the community within the facility via volunteer and education programs which is another way Wardens can engage with the community. Warden D shared:

One of our classes is a choir class... which is Music Appreciation. [We] put on concerts, we probably have about 300 people come to our concert from the public. Then I have yoga teachers, [from the] University and she did a 2-hour class with our inmates. [That I think] I had about 20 students enrolled in that. And we had two classes, called it the "Speakers Series". So, what she did is go to the professors at the university and asked if anyone would like to come and teach their particular area. Because what we're trying to do originally was to see if there was any interest in college. To try to just pick what the inmates may like, we thought it would be really neat to bring in different professors. So we had about 20 different professors, anywhere from poetry, to apprenticeship, psychology, art... And all these professors would come in... They would come in and teach about a 2 ½ hour session, at them they also require 2 to 3 hours of homework. So, the inmates still had to do all the homework. The teachers all agreed to read their homework in turn of the papers back into the inmates. That lasted about 12 weeks. Once a week at night, that class would happen. Then Wednesday night and other class

happened. The first time we did it I think we have about 10 professors sign up. Last time we have about 30 professors sign up. Now there is an overwhelming response from those who'd like to come in and teach because they found out that the hour inmates are so motivated with wanting to learn it is fun to teach the hungry group of people that are really invested in wanting to learn about college life.

In addition to media interaction and outside volunteer experiences, the wardens also participated in public speaking events and job fairs.

Wardens commonly participate in forums and job fairs. Warden A and C discuss the occasional speeches designed to educate the general public about their goals at area Lion's Club and Kiwanis Chapters. Warden C stated:

I go out and do a lot of those just educate the public. They don't know (about corrections) whether it is a Rotary group, Lion's Club, Kiwanis or something like that most people have no idea what goes on in the prison system. They only know what goes on the TV shows, those aren't accurate. Part of my job is to educate the public.

Warden B discussed participating in Job fairs and talking in college classes to share the corrections experience as a profession. Again, each participating warden is clearly engaging with the general public via media interviews, public speaking, and directly engaging with the public via the volunteer programs.

Summary

Theme Two, Education and Training, included the subthemes of staff, offender, and the general public. The correction administrator positions require onboard & continuing education for staff, provide educational opportunities for offenders, and inform the public of programs via speeches, job fairs, and media. The subthemes focused on the nature of corrections and skill-sets.

The participants discussed the importance of the onboarding process and creating a well-trained staff. Wardens discussed how staff are expected to function with a particular mindset, good communication skills and provide leadership. Offenders are expected to participate in literacy education, high school equivalency course, and in some cases, post-secondary education classes. Each participant for this study emphasized the importance of the general public being informed. As Warden C pointed out, part of the wardens' job is to educate the public. Each warden discussed various positions within their professional background and the training they have participated in and the importance of education and training of the staff.

Theme 3: Rehabilitate and Habilitate Inmates as a Whole Person

Theme 3, Rehabilitate and Habilitate Inmates as a Whole Person, includes the subthemes rehabilitation, in the areas, of physical and mental health, education and vocational trade/skills, and habilitation regarding the family and community connections. The leadership mindset and philosophical approach regarding reentry is that the main goal of reentry programs is to increase public well-being and reduce the impact of collateral consequences (e.g., housing and work restrictions) by focusing on the whole person (Second Chance Act, FY 2013; USDE, n.d; Erisman, 2015; FIRC, 2016; Davis et al, 2013; Tolbert, 2012). The subthemes focus on the events and programming that happens throughout the inmate's incarceration. The four participants in the study all discussed the importance of addressing the physical and mental needs of the offenders. Theme One addressed the impact of the wardens' efforts towards public safety including; staff safety, offender safety, and public safety. As discussed in Theme Two, the educational efforts within the prison system, including the staff, offenders, and the general public are presented. Theme Three shares a separation of the wardens' rehabilitation expectations and the additional expectation of habilitation, (to make fit or capable). Finally, the habilitation

process involves the of offenders' ability to interact with citizens during work release programs and upon offender reentry release to the community. Another part of the habilitation process is interaction with family. Each warden works with the offenders as a whole person, in order to help the offender reenter society. The initial part of the process is addressing physical and mental health.

Rehabilitation: Physical and Mental Health

Addressing the physical and mental health needs of the inmates is also part of the corrections experience. Wardens A and D both utilize physical and mental health evaluations as a part of the intake and classification process, demonstrated within Theme One. Wardens A, B, C, and D all work to accommodate the needs defined in the classification process. All four facilities offer substance abuse assistance, cognitive behavior therapies, mental health, and physical health. According to Warden A:

At the time they come in they also get a mental health screening. They might get placed in acute special needs, or for outpatient special needs they might get placed separately from the general population. So that is the intake process...medically assessing them, dental wise, to date... Do they need detoxing? And [intake] is getting some preliminary paperwork, like a reception report... It is, the whole person concept in a short amount of time. So that is it for the intake process.

Correspondingly, Warden D detailed:

During that [intake] process, they are taking to the medical unit where they are given their blood work in a physical exam and some other things to deal with the medical intake. We then have our mental health team meet with them and we do with the modified minis which are nothing more than their psychological background. Make sure

the person walking in the door doesn't have any psychological issues or medical concerns like schizophrenia and bipolar those kinds of things. After we do that, if the individual does need some mental health, their medical needs we'll keep him at our facility them in the general population area for that particular of group

Again, each warden works to meet the needs of the physical and mental evaluations. Warden A also shared that the corrections' mindset should consist of human services, reentry, counseling, and role-modeling.

Warden B added to the other issues addressed during the intake process, and the manner in which they are addressed. Each warden discussed the following provisions for offenders.

Warden B specifically discussed this topic:

We focus on substance abuse. We focus on [program] which is like a wife batterers program. We focus on [a cognitive behavior therapy] which is basically having people look at their thoughts and how they can change those thoughts. We're moving into a new area...it is supposed to be the next best of the newest best approach that is out there now, as you know as well as I do, things evolve. We do things completely different than we did 25 years ago because we keep learning. We learn what works and we learn how to improve, hopefully, and get better and better through research. I think that is some of the things we're going to move to. So, batterer's education, which is [program], substance abuse, [cognitive behavior therapy]. That is probably our three core programs that we focus on as far as that goes.

Each warden expressed the addition of the programs for batterers (i.e. spouse abuse) and additional types of cognitive behavior therapies to help with the habilitation process. During the interviews, topics regarding physical and mental health were prevalent.

Warden C, added to the importance of addressing the physical and mental health of the offenders. Warden C offered insights into the future while addressing the aging prison population including the following statement:

Well, I hope we have a moral commitment to [improving] mental health. I mean [we are] getting there but the options are limited. I hope there are more mental health options in corrections and in the community. So some of these people can get out into the community and they can be successful because they have resources available for them. Today they do not have enough resources for them, so they come back. We're going to have to see changes in the elderly. When these guys are getting older and resources available is it a prison nursing home, those kind of things. So we're going to have to adjust the elderly dementia patients those kind of things sooner than later.

Another key point is shared by Warden D:

So it takes a while to turn the ship around, but what you are starting to see in the next five years... Is there going to be more emphasis on having fewer people in prison? More treatment-oriented programs? And more focused on the treatment aspect of the people that we incarcerate as opposed to the punishment aspect. And that will last for a while.

Progress towards creating a rehabilitative environment is demonstrated by the Wardens' elaboration.

The wardens also work to improve mental and physical health by identifying needs and providing necessary assistance in the areas of mental and physical health. The Wardens A and D shared practices at their facilities. Each facility offers programs for substance abuse, negative domestic behaviors, cognitive behavior therapies, and additional mental and physical services. Warden C expresses the need for an increase focus on mental health both within facilities and in

the community. While Warden D shared a similar expectation but cautioned that changes may come slowly. Participation in the mental and physical services may function in parallel to education and vocational programs.

Education and Vocation - Trade Skills

Educational programs for offenders reduce the probability of re-incarceration, increase public safety, reduce the cost of incarceration, and can improve a state's budget (Lingston, 2011; Tolbert, 2012; Davis et al., 2013). According to the U.S. Department of Education (USDE, n.d.), education has become a fundamental component of rehabilitative programming. The wardens are determined to support and enhance the educational opportunities as discussed in Theme Two. Additionally, Theme Two discussed the importance on education, vocational training, and apprenticeships. Education, while incarcerated, can help the offenders become more competitive in the workplace (USDE, n.d.; Lingston, 2011; Davis et al., 2013). Wardens A, B, C, and D discussed the value of educational and vocational training the effects on the recidivism rate. During the conversation regarding the types of programs offered, Warden A remarked:

So part of that is making sure that in their core, they are dealing with some of the things that might keep them going in cycles and then we put them in vocational and education programs. It is all outlined they get put on waiting lists. It is all done that way.

There is a connection to the rehabilitative programs and the attitude or outlook of the offenders.

Warden B added to the context of the process by stating:

For the guys who want to make the changes in their life and they want to do the right things and they want to be pro-social and they just want to live... we have active things for them to do when the windows of opportunity open... Let's break this down. When it comes to the core programs – at the core, programs need to be defined as “in need [of]”

and [during] the classification process that we did and they would be prioritized on their release potential...Education, yes it is a need...in which I'm getting them into a program as quickly as we can. It all depends on the need in the space available.

There are programs and courses offered for all offenders, even though the offender may not be released in the future. Warden C added to the value of education and the development of trade skills by stating:

They learn new skills even if they're not getting out of prison. If they are getting out it is a good reentry tool if they have the housekeeping certificate, a cabinetmaker, a baker, a cook, landscape manager. Those are some of the apprenticeship programs we allow.

Warden D offered additional perspective by sharing:

For that program they have to have high school, HiSET or GED equivalency. And then now what they have to do is be in our general population which all of the guys in the program are. Then they just have to maintain good behavior and meet the expectations of the school...Their guys that just got here that are in the program. I have guys that have been here for 20 years, that when we started this last semester, have enrolled. And I have a couple of guys that are doing life sentences with no hope of ever getting out in the class...Yup, I think you see the same thing at a lot of places. So. It just helps make people feel human for a little while.

The conversations with each warden demonstrated the gravity they place on the value of education and vocational or trade skills. The process allows them to connect with educational expectations of society and build workable skills. Warden B and D add that the offenders must maintain good behavior in order to participate. The additional expectations add to the offender's

ability to “fit” into society upon release. Most of the offenders with will be released into society elevating the importance of rehabilitating and habituating the offenders.

Habilitate: The Offender, Family and Community Connectedness

The wardens discussed the importance of addressing the offenders as a whole person and not just specific aspects of their lives. This is a contradiction to the former strategy of only addressing the offenders’ adjudicated crime. The literature review in Chapter Two noted that the Age of Enlightenment shifted the view of a person and their behavior, a person could now be rehabilitated (Siegel, 2016). Corrections administrators demonstrating the most success have done so by shifting the inmates’ mindset. The corrections administrators are working to promote the autonomy of the people under their supervision (FIRC, 2016). Not only do the wardens work to rehabilitate in the areas of mental health, physical health, literacy, and employable skills, the wardens work to habilitate the offenders in order to “fit” back in the community.

The efforts to assist offenders in the areas of physical health, mental health, educational training, vocational or trade skills are promoted in order to reduce recidivism rates and the “revolving door” the wardens identify. Warden A, B, C, and D work to connect the offenders with the community and their family, when available. Warden A shared the following statement in the discussion of intake practices and learning what the offender needs to become a more stable member of society, “Part of that is making sure that in their core, they are dealing with some of the things that might keep them [from] going in cycles and then we put them in vocational and education programs.” Warden A works with the women in to become stronger. Warden A elaborated:

It is about the little successes. We have people that have grown up in a system that has been full of trauma and a success for them might look different. What I would say...to

think that people are going to be 100% law abiding is probably something nobody should ever expect...But I say to someone in prison you should never do anything “bad” again when in reality we all do. And because someone is labeled, all the sudden we expect this 100% perfection...How they affect public safety would be how we all affect public safety. It is a decision made...Our main goal in corrections for my main goal here is to build a strong woman and sometimes strong women make mistakes. It is just part of life. I expect people to make mistakes. I expect staff to do it. I expect myself to do it.

Warden A also shared the influence of family connectedness. Currently, family may visit during the days, Warden A talked about working on more ways for the family members can stay connected.

Each warden discussed the combination of the prisons’ and communities’ efforts on behalf of the offenders which provides an additional way to address is the needs of the offender. The interview with Warden B revealed that the offenders need to “choose to heal”, and should be conscious decision on their part. Warden B addressed the need for the offender to want to change while discussing the previously presented opportunities at the prison:

Yeah... And another some states better than us. I know ours has crept up a little bit. [It] is still pretty good but we can do better. Those are some of the things we have to figure out...what is it that makes it better for these guys? What is [it] that may help these guys? How are they going to be successful and what do we need to do? I think some of these additional things we’re going towards are ...For the guys that want to make the changes in their life and they want to do the right things and they want to be pro-social and they just want to live... You’ve got to have things for them to do when the window of opportunity is open. ...So those guys that don’t make changes, it doesn’t matter. I mean I

tells guys that all the time.... “If you don’t want to make change in your life, I can’t make a change in his life. You gotta wanna do it ... When you’re ready, let me know and we will get you rolling...Until then, I guess you’ll have to sit in a corner and let the other guys move forward”

Warden B continued with a more direct statement:

We are not there to rehabilitate people we are there habilitate people, because we do not want to return them from hence they came because that is not necessarily good. That is the goal. I don’t want to say it is a program. It is the whole systemic approach to corrections which is how we hope to change a life, but programming is a big piece of that absolutely.

In addition to the approach, Warden B shared the practices of a reentry coordinator prior to release including and not limited to; working to find housing, providing 30 days of medication, set appointments if the offender is in need of mental health. Warden B stated, “We have [reentry coordinators] because we... release a lot of offenders every year. Part of what they do is assist the offenders with some of the items you just mentioned there.” Warden B continued:

For those individuals that say, burned their bridges, between the counselors and reentry coordinators, we try to find places in the community that will work with them and the supports are going to need and a chance to be successful. They are also going to have.. when they have, working through...They work on finding the jobs in the area that the guys are going to move into. And there is another.... [Workforce] is working with offenders with interviewing, not only getting a job, [but] in keeping a job, things like that nature. Men and finding employment in the area they are going to go back to.

Warden A and B discussed the importance of approach and the outlook of all involved. Warden C and D discussed additional methods to adjust an offender's outlook.

Warden C and Warden D continue to work on the social and work skills, no matter the length of sentence. The rehabilitative and or habilitative practices are not just designed for the outside community. The efforts are designed for the offender to function well within the facility. However, Warden C is in a unique situation, as most inmates are not exiting the facility in the same way. The connection is important and Warden C works for the family involvement, for those who have maintained connections with their family. Another unique experience is the aging population, hospice services, and allow the family to arrive at the time the offender is passing away. Warden C stated:

So I think those have been the biggest in the last 30 years... And mental health – to dealing with a mental health piece because it is so huge and really trying to decide was slower going to do with all the geriatrics so many were prison population are getting older. So those of the biggest things I've noticed since I started this...with geriatrics comes hospice, with so many people dying in prison and recognizing that the... You know, die with dignity. In fact, they have a family member coming in at 10:00 this morning to pick up the ashes of a guy that died here in hospice a couple weeks ago. We bend over backwards to try and include the family, if they have family left, not everyone dies between 8 and 4. So, someone is dying and the family wants to sit with them in the middle [middle of the night] then I can hold their hand with the knowledge that. We allow that.

Regarding the offenders that are not in the later stages of life, Warden C works to maintain the family connection for those who have one. Warden C stated:

As far as family, we do try to help them keep in contact with their family; through mail through visits, (e.g., o-mail), which is an email-like system found in correctional settings. So they can keep in touch with their family, but so many of our guys here have lost contact with their family based on their behavior, based on their crime, based on their addiction or whatever it is that the family no longer supports them. That it is a shame, but many of our guys get visits, but a whole bunch of our guys don't get visits and have no contact with their family. So, if they have the family component we do try and help them keep it. But some of them... That's just not an option anymore...

Family dynamics are different for everyone. Each offender may have a unique situation and the Wardens attempt to work with the variety of situations. Warden D offers additional examples.

Warden D discussed the complexity of the family dynamics:

... I wish there was an answer to how to develop family relationships and it's not about reading a book. It is about spending time together and raising kids together and a bunch of other things that go along with that... Then I have guys that sit in prison and tell me how many "baby-mamas" they have out on the streets. And I'd tell them these are real women, real kids, and real responsibilities and they'll still go and say to their babies "I got 13 baby-mamas out there" ... It is like ...oh man... And you'd like to kick them in the butt [chuckle].

Warden D also shared the difficulties when offenders request money from family and also the challenges when returning to the home. Part of the struggle is the mindset of the offender. Warden D supports dog training programs in order to shift the offender's focus off of themselves.

Warden D shared insights on dog training programs as a way of helping the offenders become less self-absorbed. Warden D elaborated on the principle behind the dog training program:

A lot of the programs that I try to have at the facilities ... Some people think it's just a nice thing for inmates to do, but what I've learned that I had not met too many that didn't think highly of themselves and they were usually pretty selfish about their life. They wanted to do drugs whether they kids are not. They wanted to go out and party whether they had kids are not. So it was mostly looking at themselves. When you take programs like dogs... Dogs have to go to the bathroom, they have to be groomed via the fed. Things like that. So it is not all about the puppy. It is about the responsibility of taking care of the puppy and realizing there helping a blind person down the road. That they're going to help the veteran who has PTSD down the road. Taking college courses... They're starting to learn they have to do a whole lot of effort. It is helping themselves help the people and they are going to be able to get out because they've gained some educational knowledge.

The wardens continue to work on the social and employable skills in order for the offenders to "fit" in the community within the facility and upon release. An additional area of concern is the offender connecting with family if that is a viable option. It is clear that the wardens are dedicated to managing the care of the offender and assisting the family. Additionally, they rise far and above the standard expectations and reach for the best consequences for everyone in mind.

Summary

Theme Three included the subthemes physical and mental health, education and vocational trade/skills, and making the offender fit or capable by addressing offender needs with the family and community connections. It is important to recognize the successes of the participants, as each of their facilities has a recidivism rate far below the national average. The subthemes focused on the areas addressed during the corrections' process. The participants discussed the importance of address the mental and physical needs of the offenders. Finally, the offenders are able to interact with citizens during work release programs and upon offender reentry release to the community. Another part of the habilitation process is interaction with family. Warden A, B, and D work with the offenders in all areas with the expectation of the offender returning to the community. Warden C also works with the offender's health, education/training, and family and community relations. However, the main community the offenders' may be socializing or working in are within the prison facility. Each warden works with the offenders as a whole person, in order to make them fit or capable to reenter society and an initial part of the process is addressing physical and mental health.

Theme 4: Commitment to the Profession and Advocacy for Others

Theme Four, Commitment and Advocacy, includes the subthemes of an earnest desire to help people, leadership mindset and expectations, and maturity. Another demonstration of the participant's philosophical approach, each participant elaborated on the need for having an open mind to change and the patience to be steadfast in reaching goals for staff and the offenders. Warden A, B, C, and D expressed their earnest desire and focus on helping people. The participants offer examples of a deliberate focus on patience, leadership, and dedication to corrections, correcting. Warden A, B, C, and D elaborate on leadership mindset and experience,

the effects of maturity on perspective. Each participant demonstrated a wholehearted, earnest, desire to create positive environments and supporting staff, offenders and community.

Earnest desire to help people

Focus and dedication was frequently mentioned during the interviews. Warden A, B, C, and D demonstrate the subtheme of an “earnest desire to help people. Each warden was asked about their points of pride. The wardens’ responses were not focused on themselves, but rather on how their efforts benefit others. Warden A stated:

[I] always felt in my soul that I have always wanted to help people. We believe we will help them, but they have helped me. We help each other. We can hope with them. We can keep faith with them...From “task-related” to “culture shaping”.

Warden A further discussed the value of conversations and how talking to people can influence culture change. The exchange included Warden A sharing a positive experience while walking across the yard, along with sharing personal perspective:

[Radio station] came out the other day and they said, “It just feels good in here. It feels like people can really talk in here.” Okay, that made me feel good because in some prisons it probably doesn’t feel like that. I think we have a culture where we try to have people across the level be respectful and be able to talk. So, I was walking out in the yard... And one of the woman came running up to me and asked if she could talk...She said, “I just wanted to thank you...You always, always talk to us.” It’s because there is no “us” or “them”. We are all just people. Perhaps that is a sense of pride. I try not to see that fine line even though I know there is one. I try not to see it. I try not to see an “us” and “them” or whatever that may be. There you go. That is what I would say.

Warden B shared thoughts regarding pride:

I think that I could put these are points of pride...I think I am a reasonable individual. When a person that has been committed to this profession since I started. I love my job I love the workflow. I pride myself in hopefully having made a difference in the lives of many people with both those working with me and those incarcerated. I have integrity...

Warden A and B discussed creating positive environments and the ability to help people.

Warden C has held the warden position in more than one facility. In a prior setting, Warden C was able to create a refreshed culture within the prior facility and how works to continue creating positive change. Warden C shared a professional accomplishment that effected positive change in the prison atmosphere and outlook for corrections. Warden C elaborated:

I think [location of another prison] and building a whole new institution. And especially an institution that looked so much different than the original institution. It is a beautiful, for lack of a better word, prison that really changes the concept of what the prison should be. Here? I am trying to push the boundaries of how we can have a safe maximum-security prison but still be more humane, not that they weren't humane before. Doing more family-oriented things... You know changing the culture here to be... More open instead of being so hard and maximum security. You know about 15% of our clients need that environment. The rest of them do not. So, I've tried to focus on the 80%-85% that do not need that hardcore environments. It is better for those don't follow the rules, and open for the ones to do. And getting the next generation ready to come up...

Warden A and C shared the outlook for the structural atmosphere of corrections. Warden B shared about (their) outlook and making a difference. Warden D discusses success with employees. Warden D stated:

Well, I can narrow that down in a nutshell...I...my biggest pride is...seeing a lot of the staff that have worked for me get promoted... and a lot of the inmates that I happen to see on the streets, that I can't even remember their names will come up and thank me for something that I've done that I don't even remember doing. So just realizing that I've made a difference in people's lives is the biggest point of pride I have.

Warden D appreciated enjoying the outcome of efforts for both employees and offenders. Like Warden A, B, and C, the focus is on how efforts benefit others.

The participants elaborate on their focus and dedication. Warden A, B, C, and D demonstrated being earnest (intense and serious mindset) by discussing items that produced pride (reasonable or a justified self-respect). Warden A discussed creating an environment where everyone feels comfortable and able to communicate. Warden elaborated on having a reasonable mindset, having integrity, and helping others. Warden C focused on prior success creating culture change with corrections and working to accomplish refreshed mindsets in the current setting. Finally, Warden D demonstrated an appreciation for the positive outcomes in relation to efforts. Deliberate efforts for positive change are also demonstrated by discussing leadership mindset and expectations.

Leadership Mindset and Expectations

A strong, leadership mindset was demonstrated during the interviews and involved a vision toward the participants job expectations, the staff, and the offenders. Each warden was asked to elaborate on their leadership mindset in regards to philosophies and strategies for success in corrections administration. Warden A, stressed the importance of grounded emotional intelligence and patience. Warden B discussed a leadership mindset in regards to governance and

staff. Warden C placed an importance on listening skills and being open-minded, not necessarily agreeable. Warden D shared a broader and more outcome-based mindset.

Warden A, stressed the importance of a grounded emotional intelligence and patience. Patience is necessary in the area of culture change. Culture change must be strategic and presented at a comfortable pace. Warden A is self-described as mission-driven. Warden A discussed participating in multiple leadership practices and programs and stressed the importance of grounded emotional intelligence, gender responsive and trauma-informed care. Not only does Warden A propose high expectations for self, but staff as well, noting, “We are hiring staff that have [a] pretty grounded emotional intelligence”.

According to Warden A, culture change is the greatest challenge as a corrections administrator stating:

Even with a fantastic executive team, it is best to know it is “going take time and [I] don’t want to rush it... Want to take it slow and strategic moves to make sure they look right.” They aren’t going to be flawless. So culture change is the hardest thing because corrections has evolved in the last 25 years that I have been into it. When we get a new director...it evolves as society evolves. So it is fluid. So that would be the hardest thing...Corrections does not have to be a negative place...Talk to officers about a culture of hope.

Warden A speaks to the gradual shift of correctional goals and acknowledges personal years of experience. The gradual shift accommodates the inhibition of all of the staff not always being, “on board with change.” Warden A added that patience is important in order for the staff to embrace a shift in mindset. Warden B discussed a beneficial leadership mindset and what to look for in good leadership.

Warden A elaborated on leadership roles and seeking candidates with strong listening skills when looking for new leaders. Warden B also looks for leaders that are willing to learn and work autonomously. Warden B shared:

First thing I look for is if they listen. It is important to listen not only up the food chain and down the chain. Second of all, I think it is important that they be allowed to operate as leaders. I think the best way for us to become better leaders is to grow and the one thing I cannot stand is micro management. I hold people accountable. I have expectations for people... I have expectations for myself, but I'm the type of individual that will allow the leaders of the respective the departments to run them... Within the guidelines are what we're trying to accomplish in the institution may be a departmental mission.

Warden B provides opportunities for the staff to be creatively effective. In other words, Warden B does not force each corrections officer to follow identical styles of communication with offenders. Warden B shared perspective and expectations:

I'm there to make sure we're going in the direction that we want to do and want to go for a change is needed. I'm there to instruct them on what changes are going to occur and again that lets them it developed and implement to attack that and that is through me and others. ...So the biggest is willingness to work with others, the willingness to listen to others, the willingness to stand up for oneself... They gave me this position to try and help others out and they have confidence in what I could do...

Warden B elaborated on leadership roles, listening skills, willingness to work with others, and willingness to learn. Warden B shared that the staff are able to have individual styles. Warden C discussed leadership style and functioning with a core set of beliefs.

Warden C- shared a point of view about leadership style and that it is not textbook style. Warden C function with core beliefs, open door policy, and a desire for a nice environment but not like a nice hotel. A warden should be respectful, empathetic, enforce rules and punish responsibly, and believe that most people can change. Warden C stated:

I like to describe myself as fair, willing to listen, very open, certainly inviting for people to come in. Like to encourage people to share their honest views. I don't like to surround myself with "yes" people. [I] surround myself with a balancing people. I think that would probably sum it up.

Warden C, like Warden A and Warden B, stresses effective communication. Warden D responded on a more personal level. Warden D self-reported the following description;

I am a flawed individual, working a flawed system, trying to make the best decisions I can... That I have a lot of beliefs and confidence in what I do and so... I'm willing to take risks that probably some other people aren't willing to take and fortunately for me it has turned out pretty well... My whole focus on prison life... I treat the people the way I expected to be treated. I do not think they're less than I am... I keep telling people to our job is not what happens on the inside but on the outside.

Warden D also shared how the focus should be on what happens outside the jail, as over 90% of people in the prison system are getting out. He works to create an environment that gives them the most tools to function in the real world.

The participants discussed leadership mindset and expectations. Warden A, B, C, and D each discussed the importance of effective practices within prison, the positive culture for staff and offenders. Warden A emphasized emotional intelligence and a patient approach to culture change. Warden B looks for future leaders that have good communication skills and a

willingness to learn. Warden B shared instruction and guidance as part of the warden's role. Warden C added the desire to be around balanced people. Finally, Warden D shared a pragmatic viewpoint of leadership. Each warden functions with a base recognition that 90% of the offenders will return to the community. Effective leadership involves effective communication, outlook, and is develop with experience and maturity.

Maturity

The participants shared the background within the corrections environment in Chapter 4, starting as corrections officers and working their way to the top positions. The participants' career development and maturation has produced professional philosophical approaches, operational methods, and leadership mindsets discussed throughout Chapter 5. Warden A, B, C, and D all demonstrated maturity in the discussion of experience and outlooks. Warden A shared the value of learning from others. Warden B shared that gaining knowledge and confidence through various roles, building maturity. On the same token, Warden C's shift in perspective over time and held positions and the learned importance of prioritizing goals. Finally, Warden D shared perspective and influence. Wardens A, B, C, and D each demonstrated a helping perspective.

Warden A was asked how maturity effects administrating practices. Warden A discussed perspective in relation to the offenders that speaks to the positive culture shift. Warden A stated:

Always felt in my soul that I have always wanted to help people. We believe we will help them, but they have helped me. We help each other. We can hope with them. We can keep faith with them...From "task-related" to "culture shaping".

Warden A discussed the value of conversations and how talking to people can influence culture change. Warden A mentioned superiors with positive leadership philosophies challenged her mindset on how to lead or influence staff the choice making and not power and control.

Warden B discussed maturity and the effects on administrating practices. Warden B identifies maturity and the ability of being a good leader. Warden B was asked how maturity effects administrating practices and stated:

I would probably say significantly as far as I am concerned. I just think with maturity comes knowledge and with knowledge comes, I don't want to say power, but comes confidence, you know?...I think...you get maturity with leadership too of course because you go and you are in that role, you learn and become more mature. The way I see the question reading...I think... I think a person... [there] has to be maturity about a person in order to be a good leader. Does that make sense?

Warden B discussed how he has grown as a leader stating that at first he was just focused on being a good supervisor, good in that role, tunnel-vision. As you grow, you develop the ability to see everything. Maturity allows the leader to not just see the questions, but the ramifications that may come along with them. "It is a lot broader and I don't think we see that to begin with. I think new supervisors are pretty focused on what they are trying to accomplish." Warden B shared a motto, "Ya know what, as long as I am giving the effort and I am trying to do the best at what I can do for the right reasons, then I can't fault myself for it. That has basically been my motto."

Warden B shared that he learned a lot from his [parent], [who] was an administrator in another arena.

Correspondingly, Warden C elaborated on perspectives adjust over the years. Experiences with a variety of positions and policies can provoke items to seek avoid. Warden C elaborated on experience and perspective:

Absolutely- I'm not the same person I was 30 years ago. We learn from experience and the things you see. What you've seen and you don't like in the things you've seen over the years that work. And you said yourself, if I ever get in that position and wanted this... I think over the years you learn to pick your battles. It is exhausting to fight every fight. You know there's a few things that I really fight for and the rest of the stuff... It is not that you don't care... It is just that it is not as big of a priority. I think you learn over the years what is a priority and what can become hot ticket items and what's not. You learn to delegate. You can't do it all... And then hope with maturity comes wisdom and you can share with the younger supervisors and leaders that [are] coming in to take over your place. We know how we'll leave the [prison setting] and [state] Department of Corrections in a better place, I hope, than when I came. You know I think is everybody's goal... but you also want to train people that come in and finish where we started so I think that maturity influences taking the people that are going to follow you and what your priorities are... And they changed from when you're 20 and almost 60.

Warden C expressed the value of maturity, prioritizing goals, working to assist new leaders, and retiring with the system a better place.

Warden D reflected on maturity and personal approach. Warden D discussed continuous efforts to create an effective system for the success of all involved. Warden D stated:

It is the one career that we're getting people probably at their lowest and we get an opportunity to try and make a difference in their life.... And it is not only the lives of the

inmates that you're dealing with, and also the people are going to be living with when they get out... That people are going to be there next-door neighbors when they get out. The maturity part of all that is starting to realize that you really do have a great deal of influence over people if you try to use it in a positive way.

Warden D echoed the people are still human being and some mad huge mistakes, but it is important to make a difference in their life. It is important to find out how they "tick". It is important to remember the potential of them becoming neighbor when they return to the community.

Maturity involves valuing people, developing productive perspectives, and understanding one's influence over others. Warden A, B, C, and D demonstrated maturity in the discussion of experience and outlooks. Warden A shared the value of learning from others. Warden B shared that gaining knowledge and confidence through various roles, building maturity. On the same token, Warden C expressed a shift in perspective over time through a variety of positions and the learned importance of prioritizing goals. Finally, Warden D shared perspective and influence. Wardens A, B, C, and D each demonstrated a helping perspective.

Summary

Theme four, Commitment and Advocacy, included the subthemes of an earnest desire to help people, leadership mindset and expectations, and maturity. Each participant elaborated on the need for having an open mind to change and the patience to be steadfast in reaching goals for staff and the offenders. Warden A, B, C, and D expressed their earnest desire and focus on helping people while discussing the many topics included within the limitations of this research endeavor. The participants offered examples of deliberate a focus on patience, leadership, and dedication to corrections (commitment). Warden A, B, C, and D elaborated on leadership

mindset and experience, the effects of maturity on perspective. Each participant demonstrated a wholehearted, earnest, desire to create a positive environments and support for staff, offenders, and community.

Summary of Themes in Connection to Conceptual Framework

Themes surfaced in response to the Conceptual Framework through data analysis. Consequentialism, as discussed in Chapter 2, promotes the notion that actions are determined as right or wrong based on the results. The efforts of the wardens are driven by behaviors that will produce positive outcomes for all those within their span of control. This connects to the leadership philosophy of the participants, as revealed within the themes. The themes demonstrated a dedication to the corrections system which by name promotes the expectation to “correct” or “improve.” There are many types of consequentialism, but this study emphasized four types: agent-based consequentialism, altruism, hedonism, and utilitarianism (Bentham, 1781; Mastin, 2008; Negal, 1986; Parfit, 1984; Rowan & Zinaich, 2003). The Purpose Statement for this research study also included the improvement of social capital, human capital, and cultural capital (Bourdieu, 2014; Falk, 2000; Macionis, 2014; Wright, 2014). Each theme also aligned with framework categories for this study and the types of capital. The following is a summary of their connections.

Agent-based Consequentialism

Agent-based consequentialism can be neutral or focused. Agent-based consequentialism was chosen because it works for the overall good by focusing on one person at a time or one program and time. Agent-neutral consequentialism does not consider a current state of affairs for an individual (Mastin, 2008). Each of the themes are in agreement with agent-based consequentialism. Theme 1 suggests that the participating wardens were highly focused on the

safety of their staff, the offenders, and the public. The participating wardens' focus on safety, no matter the status of an individual, aligns with agent-based consequentialism. There are a variety of safety measures, training, and incentives provided to all those involved in order to improve the overall safety for everyone. The warden's efforts in leadership practices align with agent-focused consequentialism was demonstrated by the specific attention towards the individual or groups' needs (e.g., safety training and incentives). The participating wardens' focus on safety, no matter the status of an individual aligns with agent-based consequentialism.

Along with safety, education and training is a prominent focus for the participants. Theme Two details the wardens' significant expectations for their own education, as well as managing the education and training of staff, offenders and the general public. In alignment with Theme 1, the wardens consider education as the main tool used in promoting safety. Theme 2 aligns with agent-based consequentialism as virtually all staff and offenders participate in education and training programs. Again, the focus on education benefit the overall goals while meeting the needs of each of those involved.

The wardens' focus on safety and education are part of a larger mission for improvement unpacked in Theme Three. Theme Three expressed the wardens' focus on rehabilitating the offenders by attending to the physical and mental health needs of every offender, beginning with the intake process. Additionally, Theme Three focused on education (high school equivalent and/or post-secondary), life skills, and vocational training. The participation in educational and vocational programs are determined on an individual basis. Furthermore, Theme Three discussed habilitating by reconnecting the offender with family and community. The habilitation process includes all offenders and the community and demonstrated agent-based consequentialism.

The driving force behind the efforts towards safety, education, rehabilitation is discovered in Theme Four by wardens explaining that they see their job is to improve the conditions for everyone. The wardens worked to create a safe environment for all participants in the prison system. The wardens' leadership mindset and expectations demonstrate agent-based consequentialism as the individual status and needs are addressed, e.g. staff are specifically trained for their current position, and the wardens participate in specific leadership trainings to embellish their professional practices.

Altruistic Consequentialism

On another note, altruism expects decisions to be made in order to benefit society (Bourdieu, 2014; Mastin, 2008). Altruistic consequentialism demands good outcome for others and a selfless concern for the welfare of others (Bourdieu, 2014; Mastin, 2008). Theme One discussed warden's selfless commitment to protecting the safety of staff, offender, and public safety, at length. Their efforts produced a recidivism rate that is roughly half of the national percentages.

The warden's devotion was demonstrated while discussing the amount of personal training acquired to improve their leadership skills. The warden's work on the continuous training of staff, and promotion of education and training programs for the benefit of the offender, also demonstrated dedication to this construct. A focus on consistent progress and not settling for the status quo in the areas of education and skills demonstrates a selfless motivation.

Theme Three shared the rehabilitation efforts that have expanded over the years, including practice policies and law. The wardens discussed rehabilitative and habilitation efforts of each facility. The wardens' all agreed on the need for the offenders to use their time wisely, not just "doing their time." This also demonstrates a selfless approach to their position.

Each warden shared a wholehearted (altruistic) desire to help others as presented as in Theme 4. The wardens discussed their commitment to the advocacy of others, the shared leadership mindset. These expectations provided evidence of altruism. While they do take pleasure in helping, they work diligently and selflessly to improve the culture of the facilities, as well as the lives of the offenders. Working with families and communities is also part of the process.

Hedonism

Hedonism is another type of consequentialism chosen for this study. Hedonism is the view that actions are good or right when they promote happiness (Bentham, 1781). The participants demonstrated a genuine desire to help and reported a great deal of pleasure gained by participating within their profession. The wardens discussed the pleasure of seeing people succeed, whether it is an offender earning release or staff earning promotions. Each theme presented in this study revealed an alignment with hedonism.

Each warden shared how they do not want to be surrounded by “yes” people. The wardens expressed a pleasure in learning new ideas, approaches, and or strategies. Each theme exposed the efforts wardens while work to construct the most effective goals and strategies for their staff, offenders, and the general public. The participants expressed the diligent efforts to change the offenders’ pleasure of rule/law-breaking and selfishness, towards a pleasure of rule following, producing a safer environment for the staff, offender, and general public.

The warden’s focus on good behavior or rule following is a very rational approach by promoting, human rational capabilities, as demonstrated in Theme Two. The wardens promote and construct education programs and include life skills. The life skills programs enhance the offenders’ ability to create problem prevention and problem solution. Improving the rational

leadership capabilities of staff positively effects their problem-solving skills. Educating the general public promotes the rational understanding of what those in corrections are looking to accomplish. Again, the safety and education practices are a part of Theme 3 and demonstrate ethical hedonism within the descriptions of the wardens' intake practices and programs within the facilities.

Hedonism promotes the opinion that a human always seeks pleasure and avoids pain. Hedonism is very important to corrections because constructing the most efficient set of incentives with safety, provokes pleasure. The challenge for the participants, as prison wardens is that the offenders are within the prison system for rationalizing the pleasure of breaking the law. The wardens' intake practices and programs within the facilities. Therefore, the rehabilitative programs and habilitative efforts are designed to provoke the offenders to rationalize pleasure of rule or law-abiding mindsets. Theme 3 demonstrates a rational approach by discussing the wardens' focus on offenders as a whole person, which includes family and community connections. The wardens focus on the pleasure/benefit of the offenders. The wardens take pleasure in providing necessary items to heal the offenders' mind, body, employability, and connections to family and community.

Finally, Theme Four discusses the warden's leadership mindset and expectations, and maturity displays hedonism. The wardens discussed how someone should get into corrections because they really want to make a difference and should really enjoy what they do. The wardens' shared their desire to help others and the benefits of maturity. Each warden discussed having a passion for corrections and really liking what they do. Each warden takes pleasure in promoting the improvement of others social and employable skills.

Utilitarianism

The final form of consequentialism included in this study is utilitarianism, which focuses on the usefulness of action and the volume of happiness produced (Rowan & Zinaich, 2003). Utilitarianism shifted the debate further toward practicality to the usefulness of an action. Utilitarianism is a very important to this discussion. Bentham (1781) published *To the Principles of Morals and Legislation*, discussing utility, or practicality, the value of pleasure and pain, and how it can be measured. Bentham joined with Cesare Beccaria to influence the United States criminal justice system. They created classic criminology (Brown, Esbensen, & Geis, 2015; Siegel, 2016). Beccaria (1764) authored *On Crime and Punishment* detailing his enlightenment approach to crimes and types of punishments. Beccaria is considered a father of law and economics. Free will is assumed and rules/laws and punishment need to be posted for the population to be able to make conscious decisions in regards to rule/law following and the potential pain of punishment. The utilitarian theory assumes people are rational beings. Human welfare is the fundamental goal.

As discussed in Theme 1, the warden's promotion of staff, offender, and public safety agrees with utilitarianism. The staff focus on the welfare of the individual offenders and coworkers. Communication skills are very beneficial when promoting the safety and welfare of others. In turn, the whole facility benefits demonstrating the usefulness of the safety practices in agreement with utilitarianism.

The warden's promotion of staff, offender, and public education and training demonstrates utilitarianism. Staff education involves both safety and leadership training. Safety training benefits the overall goals of the wardens and the corrections experience. Safety tactics have been developed over time and are based on evidence, practical, and discussed in Theme Two. Educating the offenders benefits the offender by acquiring more employable and life skills.

As previously mentioned, the programs are bolstering more rational decision making in regards to problem prevention and problem solution. In addition, educating the offenders benefits the whole of the facility, as the offenders must maintain good behavior in order to participate.

Theme Three moves past the rehabilitative efforts and supports utilitarianism by the additional focus on habilitation. The wardens shared that their efforts benefited those within the facility and the public. The practices are good for the public because fewer crimes are being committed when the programs are successful. The offenders are being release with less desire to get pleasure from unlawful behavior.

Adding to the discussion, Theme Four demonstrates utilitarianism. The wardens' earnest desire to help others, leadership mindsets, expectations were very practical and benefit not only the whole of the prison but society as well. The wardens' reflection on maturity involved valuing people, developing productive perspectives, and understanding one's influence over others demonstrating aggregate utilitarianism. Each area of consequentialism discussed in this section demonstrated the genuine and deliberate efforts of the participants. As a consequence of all their efforts is the positive effects on social, human, and cultural capital.

Social Capital

According to Falk (2000), social capital is the cement of society's goodwill. It creates a cohesive society. Social capital results from effective communication and "provides social infrastructure support for our lives in the web of elastic networks related to home, work learning, leisure, and public life" (Falk, 2000). The development of social capital supports conventional behavior and influence a person's trajectory (Siegel, 2016). Each Theme provides elements connected to social. Social capital is the collection of a person's experience, education, and

exposure and the participants work to enhance the abilities of all within their purview to successfully socialize with each other.

The wardens' emphasis on staff, offender, and safety is an example of the warden's efforts to positively affect social capital, as discussed in Theme One. The wardens discussed the importance of safety practices and communication in relation to creating a safe environment for the staff and offenders, benefitting the general public. The wardens discussed that learning how to create a safe environment benefits everyone's social capital. Additionally, the staffs' efforts are expected to demonstrate expected behaviors for the offenders emulate. In others words the staff are expected to lead by example. The wardens also discussed the evidence-based practices that work to provide an infrastructure of support for the staff and offenders. The wardens' efforts expand to the general public, e.g. volunteers, work release, and reentry.

The warden's promotion of staff, offender, public education and training agrees with social capital by continuing to build infrastructure. The staff are effectively trained upon hire and continue training throughout their career. The intake process tests for literacy and the wardens work to meet those needs. The wardens' work to educate the public through public speaking media, job fairs, and open houses, as discussed in Theme 2.

The wardens work to expand the rehabilitative process with physical and mental health, education and vocational trade/skills. In addition, the wardens focus on the offenders' ability to be fit or capable, is a direct example of the intentions of the wardens to positive effect social capital, and discussed in Theme 3. Finally, the offenders are able to interact with citizens during work release programs and upon offender reentry release to the community. The habilitation process includes interaction with family. The offenders are assisted in relearning how reconnect with family within the household.

The wardens are sincere and their leadership mindset, expectations, and maturity demonstrates their drive is discussed in Theme 4. The wardens discuss the need for having an open mind to change and the patience to be steadfast in reaching goals for staff and the offenders. The participants offered examples of deliberate a focus on patience, leadership, and dedication to corrections (commitment). Each participant demonstrated a wholehearted desire to create a positive environment and support for staff, offenders, and community. The wardens promote effective communication and provide the infrastructure to support for networks related to work, learning, and public life.

Human Capital

Human capital is the collection of one's competencies, knowledge, habits, social and personality attributes, creativity, cognitive abilities, and the embodiment of the ability to perform labor (Wright, 2014). Human capital focuses the human as a commodity and resource that functions in transaction with the economic system (Wright, 2014). Each theme illustrates focus on improving employable skills for the offenders and staff, hoping to create a positive effect for the general public.

Theme One demonstrates human capital by focusing on safety. The wardens address incentivizing good behavior. The wardens work with staff to create the safest prison environment with effective practice policies. Learning to be a rule follower is an employable skill and will benefit the offender upon release. The wardens contribute to the human capital of the public, as well. The safe environment promotes a more positive mindset for offenders who participate with the general public, e.g. work release, job fairs, and release).

Working to increase the knowledge, cognitive abilities, and the ability to perform labor improves human capital and is discussed in Theme 2. Wardens work to meet the education needs

of staff through initial training and continuous training promoting the productive work environment. The offenders are provided education, vocation training, and life skills programs increasing the offenders' employable skills.

Promoting the rehabilitation and habilitation of the offenders positively effects human capital and is presented in Theme Three. Wardens work to increase the offender's human capital via the education previous discussed, they include employable skills as well, e.g. resume building and job interview role play. The collection of rehabilitation and habilitation practices the increase of the ability to fit in the labor market and capable to perform labor.

Theme 4 demonstrates human capital by discussing the wardens' earnest desire to help people, leadership mindset and expectations, and maturity. The wardens discussed the qualities to work in the corrections environment. The expectations of human capital were discussed while the wardens discussed the necessary leadership mindset and expectations that go along with what they look for when hiring new staff.

Cultural Capital

Cultural capital is the aggregate of each members' social and human capital. Cultural capital consists of formal structures that are purposefully manufactured in the four dominant institutions: education, religion, politics, and economics (Macionis, 2014). The controllers of the four institutions attempt to guide and control the will of the people functioning within the culture. Yet, in the end, it is valued by the willful actions of the participants (Bourdieu, 1986). For example, the governance may desire and promote a healthy population, but it is up to each individual to become physically, mentally, and nutritionally fit (Bourdieu, 1986). Correspondingly, it is up to each individual to participate in society in a positive way. Each theme illustrates a connection to cultural capital.

The wardens purposefully focus on staff safety practice policies for the positive gain of all participants within the facility, as discussed in Theme 1. The offenders are incentivized to participate in programs within the prison culture and eventually into the community. The wardens attempt to guide and control the will of the people functioning within their facilities for the benefit of the general public.

The staff participate in specific training in order to produce effective practices in the corrections environment, as discussed in Theme 2. The offenders participate in purposeful education, vocation training, and life skill programs. The general public participates in purposefully manufactured practices such as volunteer programs, public speaking, media, and job fairs.

Cultural capital, is promoted further by the wardens' focus on offenders as a whole person, via rehabilitation and habilitation, as discussed in Theme Three. The efforts towards physical and mental health are purposely manufactured. The education practices for all involved are purposefully manufactured. The process of habilitation is to "make capable or fit" and directly correlates with cultural capital.

Theme 4 demonstrates cultural capital by investigating the wardens' fortitude, leadership mindset, expectations, and maturity. The wardens' efforts work to benefit the collective with their drive to increase in both social and human capital, as discussed above. The wardens discussed the desire to help and deliberate focus on patience, leadership, and dedication to corrections (commitment). The cultural capital is positively impacted by the leadership practices of the wardens. They demonstrated a wholehearted, earnest, desire to create positive environments by supporting staff, offenders and community.

Summary

The findings of the study were presented in this chapter and organized by the themes and subthemes of the conceptual framework as they work to improve social, human, and cultural capital. Chapter 6 will connect the finding of the study with current literature, as well as provide recommendations for practice and future research.

CHAPTER 6

DISCUSSION, IMPLICATIONS, RECOMMENDATIONS, AND CONCLUSIONS

Chapter Six provides a summary of the study, including a summary response for each theme (within cross-case theme analysis), addressing the overarching research question. This research study addressed the culture and administrative responsibilities found within the corrections field. Followed by a cross-case theme analysis, employing the conceptual framework and additional concepts of social capital, human capital, and cultural capital. Chapter Six concludes by presenting the connections of the study to prior research and provides recommendations for greater understanding of the leadership qualities of corrections administrators.

Summary of the Study

This study addressed the mutual leadership qualities of corrections administrators, in the areas of agent-based consequentialism, altruistic consequentialism, hedonism, and utilitarianism, as they work to improve social, human, and cultural capital. The information generated through this study has the potential to be valuable to the corrections environment. The findings function in response to the identified problem that there is a void in the current research regarding effective leadership qualities and an increasing rate of retirement for corrections in top administrative positions. This study will add to the understanding of the leadership mindset, expectations, and corresponding qualities of the successful corrections administrators. The findings of this study work to develop well-informed hiring practices to replace retiring correctional administrators. Society as a whole is the beneficiary of this research because effective corrections administrators who work to produce more law-abiding citizens and increase overall public safety.

The Literature Review, found in Chapter Two, explored the historical expectations of corrections. The literature presents the increasing demand for successful reentry practices in order to reduce recidivism rates (Beck & Mumola, 1999; CAC, 2011; DOJ, 1991; Duncan et al, 2009; Erisman, 2013; Halkovic & Fine 2013; Lingston, 2011; OJP,1999; Scott, 2016; Swanson et al, 2010). Current research demonstrates reduced recidivism rates as a consequence of participating in reentry education programs with effective leadership. Current assessments of reentry education programs and staffing are limited to types of program, and education/training/certification requirement, but they do not address traits of the leaders (Harper, 2011; Stinchcomb, 2011).

This research study exposed insights regarding the shared traits of successful corrections administrators by exploring leadership mindset and expectations. The industry is concerned about its retention and replacement of successful leadership. There is an increasing concern on how to attract quality people to the industry that will be effective, in the executive positions (Harper, 2015; Harper, 2016; Stinchomb, 2011; Tossi, 2012). Competency models have been created and are used for assessments (Smith, Stinchcomb, McCampbell, & Mancini, 2011). Unfortunately, the qualities of the successful corrections administrators have been shielded from research (Harper, 2015; Stinchcomb, 2011). There is no shortage of conversation regarding the professional development of correctional administrators. According to Harper (2015) their lack of focus on leadership and/or administrative qualities that promote success. Conversely, this research study proved otherwise. The participants were active in regular leadership training throughout their career. Perhaps, this is what separates the participants from the less successful corrections administrators.

The qualitative case study approach was the methodology chosen to investigate the qualities of corrections administrators and their successful reentry programs. The aim of this study was to explore the leadership philosophy of correctional administrators. According to Yin (2009), the strength of the case study method is its ability to perform an in-depth examination a “case” within its “real-life” context. A qualitative method is appropriate to study leadership qualities because of the in-depth nature and real-life exploration. The perspectives and strategies of correctional administrators are paramount to understanding their leadership philosophy. Conversations regarding their career experiences provided additional perspectives on the role of corrections administrator.

Social constructivism was the epistemology chosen to investigate the qualities of corrections administrators and their successful reentry programs. Social constructivism is a global-view that seeks to understand the world, by developing subject meanings of experiences (Creswell, 2003; Creswell, 2013; Salmons, 2015; Berger & Luckmann, 1967; Morgan, n.d.). Berger and Luckmann (1967) argue that reality is socially constructed and that the sociology of knowledge must analyze the process. This implies that the existence of multiple realities is most likely. Creswell (2003) points out that meanings are varied and multiple. The researcher must look for the complexity of views.

The four participants for the study were chosen using purposeful sampling. Each participant met the criteria of being successful corrections administrators. Four corrections administrators (prison wardens) participated in this study. Data were collected via semi-structured interviews, following Seidman’s (2013) in-depth 3-interview series. The participants were encouraged to share perspectives, insights, feelings, behaviors, and experiences or phenomena that cannot be directly observed (Salmons, 2015). Data analysis and interpretation

included many components to bring meaning and structure to the data (Anfara et al, 2002). The transcripts (data) was the coded, evaluated, and labeled (Bogdan and Biklen, 2007) Creswell (2013, p.101) advises performing/providing the context of the case, within the case, cross-case analysis, creating assertions (interpretations), of the meaning of the case. This study used Creswell's (2013) "in-depth portrait of cases" (p.209) and looked at case context, case description, within-case theme analysis, cross-case theme analysis, and assertions and transferability. The data analysis resulted from an iterative coding and produced four themes. Each participant has more than 25 years of experience working within the state prison system/s.

Profiles of the four participants and their prison settings were presented. All the participants were in the position of "warden". The settings ranged from minimum, medium, and maximum-security prisons. The wardens were responsible for approximately 1000-1500 offenders. The correctional settings are located in the Midwestern United States.

The coding and analyzing the transcript of the interviews four themes emerged, each with multiple subthemes.

Theme One: Emphasis on Safety

- Staff Safety
- Offender Safety
- Public Safety

Theme Two: Education and Training for Staff, Offenders, and General Public

- Staff Education
- Offender Education
- General Public Education

Theme Three: Rehabilitate and Habilitate Inmate as a Whole Person

- Physical and Mental Health
- Education and Vocation- Trade Skill
- Habilitate “To make capable” with Family and/or Community Connections

Theme Four: Commitment to the Profession and Advocacy for Others

- Earnest desire to help others
- Leadership Mindset and Perspective
- Maturity

After examining the data, the four themes were examined and thorough summaries of the data and direct quotes from the participants and the four themes were examined through the study’s conceptual framework, consequentialism. The four specific types of consequentialism included are agent-based consequentialism, altruistic consequentialism, hedonism, and utilitarianism and where the four themes were additionally examined the participants’ efforts to improve social, human, and cultural capital.

Summary Response to Research Question

The overarching research question for this study was: *What are the identifiable characteristics, philosophical perspectives and operational methods of corrections administrators who manage successful reentry programs across the United States?* The following is a summary response for each of the four themes that emerged from the data analysis (within-case analysis and cross-case analysis) and addressed the research question.

Summary of Themes

Theme One (safety) and Theme Two (education) contained very similar subthemes as they were broken down into the areas of staff, offender, and the general public. Both safety and education drastically effect one another. As the leaders of their facility, the correction

administrators discussed the requirement of consistent attention to the safety of self and others. Of course the more education and training provided to the staff promotes communication and leading by example. The offenders learn expectations from the corrections professionals. The participants demonstrated a philosophical approach to hiring and how their operational method is to hire for particular qualities and create a well-trained staff. Another operational strategy used is to incentivize offenders' good behavior to create safer environments. Each participant works with the public and encourages the well-behaved offenders to become involved with the general public via the volunteers on the prison campus, work release programs, and upon offender reentry release to the community. As leaders, the participants have developed programs that work to create a positive mindset, good communication skills, and staff leadership.

Theme Three broke down the areas of physical and mental health, education and vocational trade/skills, and making the offender fit and capable, by addressing offenders' appeals with the family and community connections. The participants discussed the philosophical approach to the reentry process, as it begins at the intake practices that follow adjudication. The intake evaluations produce an understanding of the offenders needs. Programs are developed to meet those needs. The rehabilitation process help the offender become more able to function independently within society. In addition the participants work to habilitate the offenders will fit in the community and their family, if possible. As leaders, the participants works with the offenders as a whole person, in order to make them fit or capable to reenter society.

Theme four demonstrated the participants' commitment. As part of the participants' philosophical mindset, they discussed an earnest desire to help people, leadership mindset and expectations, and maturity. Each participant elaborated on the need for having an open mind to change, patience to be steadfast towards goals for staff and the offenders. They also shared the

need for a commitment to corrections. The participants discussed how their perspectives have grown throughout their career and the earnest desire to create a positive environment and support for staff, offenders, and community.

Summary of Themes: Connections to Conceptual Framework

The data analysis process included coding in alignment with the conceptual framework, “consequentialism”, as discussed in Chapter 2. Consequentialism endorses the notion that actions are determined as right or wrong based on the results. As leaders, the participants’ efforts are driven by behaviors that will produce positive outcomes for all those within their span of control. This study included four types of consequentialism: agent-based consequentialism, altruism, hedonism, and utilitarianism (Bentham, 1781; Mastin, 2008; Negal, 1986; Parfit, 1984; Rowan & Zinaich, 2003). This study also produced a connection of the participants’ efforts on the improvement of social capital, human capital, and cultural capital (Bourdieu, 2014; Falk, 2000; Macionis, 2014; Wright, 2014). The following is a brief summary of the connections to consequentialism and capital.

Connections to Consequentialism and Capital

Agent-based consequentialism works for the overall good by focusing on one person at a time or one program and time. Agent-neutral consequentialism does not consider a current state of affairs for an individual (Mastin, 2008). This study produced themes that accommodate agent-based consequentialism. Theme 1 and Theme 2 suggested that the participating wardens were highly focused on the safety and education/training for themselves, their staff, the offenders, and the public. As leaders, the wardens’ philosophical approach and practices align with agent-focused consequentialism and is demonstrated by the specific attention towards the individual or groups’ needs (e.g., safety training and incentives).

Altruistic consequentialism expects decisions to be made in order to benefit society and demands good outcome for others and a selfless concern for the welfare of others (Bourdieu, 2014; Mastin, 2008). Their efforts produced a recidivism rate that is roughly half of the national percentages. The participants' altruist motivations is implicitly demonstrated throughout the data. The warden's work on consistent progress and not settling for the status quo in the areas of education and skills demonstrates a selfless motivation.

Hedonism is the outlook that actions are good or right when they promote happiness (Bentham, 1781). The participants reported a great deal of pleasure gained by participating within their profession, seeing people succeed. The participants' philosophical approach shared how they do not want to be surrounded by "yes" people and expressed a pleasure in learning new ideas, approaches, and or strategies. The participants discussed the value of people around them, a good team, and how they all work to construct the most effective goals and strategies for their staff, offenders, and the general public.

Finally, utilitarianism focuses on the usefulness of action and the volume of happiness produced (Rowan & Zinaich, 2003). Utilitarianism is directly connected to the criminal justice system and corrections, found in the contributions of Bentham (1781) and Beccaria. Free will is assumed and is vital to understanding utilitarianism. The participants work for the population to be able to make conscious decisions to participate in life in a positive and productive manner in order to improves the lives of those around them.

Social capital results from effective communication and "provides social infrastructure support for our lives in the web of elastic networks related to home, work learning, leisure, and public life" (Falk, 2000). The warden's efforts demonstrate a focus on the development of social capital for themselves, their staff, the offenders, and the general public.

Human capital is enhanced by social capital and focuses on one's marketable skills. It is collection of one's competencies, knowledge, habits, social and personality attributes, creativity, cognitive abilities, and the embodiment of the ability to perform labor (Wright, 2014). The participants' efforts illustrate their focus on improving employable skills for the offenders and staff, hoping to create a positive effect for the general public. The wardens expressed their desire to increase the knowledge, cognitive abilities, and the ability to perform labor for all of those in the prison environment, no matter the status. The participants' efforts towards human capital were revealed while the wardens discussed the necessary leadership mindset and expectations, along with what they look for when hiring new staff.

Cultural capital is the aggregate of each members' social and human capital and consists of formal structures (Macionis, 2014). The participants work on constructing the most positive and effective culture inside their facilities in order to positively affect the culture outside their facility. The wardens' efforts in this are demonstrated throughout each theme. In the end, it is up to each individual to participate in society in a positive way.

Implications

This study adds to the limited available research on the leadership qualities of those in correctional fields. The profiles of the participants provide information about the professional experience and leadership qualities of successful prison wardens. The expectations of the corrections professions is not for everyone as it is a difficult and potentially dangerous environment and that reality was not on my participants. Each has worked within the industry for over 25 years and started as a corrections officer. The hiring practices demonstrate that they are looking to hire their own, eventual, replacement. Specifically the expectations include, but are not limited to; open-mindedness, communication skills, mentoring skills, belief that a person can

change, positive mindset, willingness to participate in rigorous training throughout their career, willingness to start up for themselves, honesty, integrity, and mission-driven. This study is a useful addition to the body of literature relating to the leadership expectations for corrections administrators regarding the magnitude of responsibilities. The responsibilities affect everyone within the facility and the general public. Additionally, the leadership mindset and expectations of the participants provide a potential blue-print for potential candidates for the position of warden. Successful corrections administrators are reducing recidivism, reducing collateral consequence, and promoting growth and increasing public safety.

Recommendations for Field

The following recommendations were developed as a result of the research findings. The participants recognize that corrections is a unique field. Future staff will become future correctional administrators as they rise through the prison system. Therefore, the participants offered expectations and qualities they look for when hiring future staff. The participants recognize that some offenders within their facilities offer a very wide variety of safety needs and have a wide-range in intelligence. The participants view the hiring process as the potential of hiring their future replacement. Additional recommendations to the hiring process include:

- Future staff are expected to have desired traits including, but not limited to critical thinking skills, patience, interpersonal communication skills, open-mindedness, “real life” skills, and problem-solving skills.
- Future staff must be able to personally relate to others. It is extremely important to be able to relate to people. Corrections is not the place for someone that is thin-skinned. Staff are expected to practice conflict resolution. It is important to recognize the right to

hold an opinion, without conflict or confrontation. Staff are expected to model the conflict resolution they wish to see from the offenders.

- Future staff should work with emotional intelligence, coaching, and mentoring skills.
- Future staff must be willing to work with others, listen to others and a willingness to stand up for themselves.
- Future staff are expected to be compassionate, understand remorse, believe in forgiveness, and believe a person can change.
- Future staff are expected to be team players, mission-driven, and support a culture of change. Staff are expected to have the perseverance to focus on the direction you want to go. Compassion and empathy are a must.

Recommendation for Future Research

The findings of the study regarding the leadership qualities of correctional administrators lead to future research recommendations. The participants discussed many intriguing areas of the career and experience. Based on the wide-ranging findings of this study, the following recommendations for future research are made. Recommendations for future research include:

- Recommendation 1: Replicate this study with correctional administrators from another category of incarceration facility, e.g. federal prison or military prison.
- Recommendation 2: Conduct a qualitative study regarding the potential inclusion of more trauma-informed practice policies and training.
- Recommendation 3: Conduct a qualitative case study regarding the family and prison relationship during the end-stage of a life sentence. The study would include wardens of facilities housing a sizable population of life-sentences.

- Recommendation 4: Conduct a qualitative study regarding the correctional administrators' practices in regard to the children of offenders. The study could be based on the national numbers regarding children's 75% potential incarceration following an incarcerated parent.

Conclusion and Reflections

Conducting this research study has had a profound impact on my understanding of and appreciation for correctional administrators and the depth of their professional experiences. The process of this research study was profoundly eye-opening, thanks to the sincere willingness to provide me not only with their time, but also with genuine compassion towards my efforts. The participants opened my eyes to the culture they are working to create and the leadership mindset and philosophical approaches necessary to be successful. The participants are highly dedicated to the success of others for the benefit of society while working to improve the individuals no matter the status. They demonstrated a genuine compassion for the position they are in and a genuine respect for the responsibilities of their position as correctional administrators.

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APPENDIX A**SAMPLE E-MAL FOR SOLICITING PARTICIPANTS THROUGH THIRD PARTIES**

Dear _____,

I am conducting a dissertation study on the leadership philosophies of correctional administrators, specifically in the area of reentry programs.

The topic is of particular interest to me because of my experience instructing criminology and juvenile delinquency, and professional ethics in post-secondary education and working in the criminal justice area and my desire to educate in the area of corrections. Additionally, I am very interested in becoming a positive influence in the area of reentry programs.

This study seeks to explore corrections administrator's mutual qualities and experience with reentry programs.

Criterion for the participants includes:

1. Experience as a corrections administrator
2. Experience managing reentry programs and the expectations regarding reentry programs

APPENDIX B
SAMPLE RECRUITMENT E-MAIL

Dear potential participant,
My name is Susan Reutter. I am a doctoral student in Education Leadership at Drake University. I am conducting a study titled: Reentry Education and Program Development: Philosophical Approaches of Senior Administrators to Reduce Recidivism Rates in Correctional Institutions

I am conducting a dissertation study on the leadership philosophies of correctional administrators.

The topic is of particular interest to me because of my experience instructing criminology, juvenile delinquency, and professional ethics in post-secondary education and having worked in the criminal justice area. Additionally, I am very interested in becoming a positive influence, in the area of reentry programs and becoming an instructor, in the area of corrections.

To collect data for this study, I am seeking participants that have experience as a corrections administrator. Please contact me if you fall into this category and are interested in contributing to this study.

Your participation would consist of several points of contact (3 e-mails and 3 interviews):

- 1) Initial contact/introduction to the project and informed consent document (attached for your review and consideration).
- 2) Each interview will have a separate focus.
 - a. Interview #1 (semi-structured) will focus on your life experience, regarding the topics at hand.
 - b. Interview #2 (semi-structured) will focus on the corrections environment
 - c. Interview #3 is an open-ended reflection interview
- 3) I will be emailed a transcript of your interviews, which you will be able to check for accuracy and clarity
- 4) I will email a copy of the findings and discussion, which you will be able to check for accuracy and clarity

Interviews will be conducted by Skype or in person, depending on your location.

Please know that your participation in this study is voluntary, and you may withdraw from the study at any time.

Thank you for your consideration. I hope you are willing to participate in this study. I look forward to hearing from you.

Respectfully,
Susan Reutter
Drake University
515-230-0673
Susan.reutter@drake.edu

APPENDIX C

EMAIL TO PARTICIPANTS WITH INFORMED CONSENT

Title of Study: Reentry Education and Program Development: Philosophical Approaches of Senior Administrators to Reduce Recidivism Rates in Correctional Institutions

Investigator: Susan Reutter

Thank you for your consideration and agreeing to participate in this case study.

INTRODUCTION

This study is for a dissertation at Drake University, in partial completion of my doctoral degree in educational leadership.

Given the wide-ranging success of reentry programs across the United States, the purpose of this multiple case study is to determine the attributes and leadership philosophies of corrections administrators within successful reentry programs.

Please sign if you agree to participate in this case study project according to the above terms.

Researcher _____ Respondent _____

I (do/do not) grant permission to be directly quoted in the case study report.

Respondent _____

DESCRIPTION OF PROCEDURES

If you agree to participate, there will be three interviews that are employed as a part of collecting the data appropriate for a case study:

- 1) A semi-structured interview focused on life history, designed to provide information on your experience in corrections and reentry programs.
 - a. The interview will take place at the convenience of the participant, by phone, Skype, or In person, depending on the participant's location. This interview will take approximately 60-90 minutes.
- 2) A semi-structure interview exploring the corrections environment, designed to explore your leadership practices and mindset.
 - a. The interview will take place at the convenience of the participant, by phone, Skype, or In person, depending on the participant's location. This interview will take approximately 60-90 minutes.
- 3) A semi-structured interview reflecting on the meaning of you corrections experience.
 - a. The interview will take place at the convenience of the participant, by phone, Skype, or In person, depending on the participant's location. This interview will take approximately 30 minutes.

Your participation will last for three weeks and include six points of contact.

- 1) Initial contact/introduction of the project and informed consent document.
- 2) interview #1 (semi-structured) will focus on your life experience
- 3) Interview #2 (semi-structured) will focus on the corrections environment
- 4) Interview #3 is an open-ended reflection interview
- 5) I will be emailed a transcript of your interviews, which you will be able to check for accuracy and clarity
- 6) A member check for accuracy and clarity of the findings will entail an emailed copy of the findings and discussion

RISKS

It is highly unlikely that you will encounter physical or legal risk of any kind, while participating in this study, including giving up your time. Every effort will be made to keep risks minimal. Additionally, you are able to decline answering any questions or choose to exit the study at any time. If you are negatively impacted at any time during or after this study, please contact the Drake IRB at irb@drake.edu or (515)271-3472.

BENEFITS

There may be a direct benefit to you if you participate in this study. It is hoped that the information gained will benefit the corrections environment and reentry programs.

COSTS AND COMPENSATION

You will not have any costs from participation in this study. You will not be compensated for participating.

PARTICIPATION RIGHTS

Your participation in this study is voluntary. You may refuse to participate or leave the study at any time. If you decide not to participate in the study or leave the study early, it will not result in any penalty or loss of benefits to which you are otherwise entitled. You are allowed to skip or decline to answer any question.

CONFIDENTIALITY

Record identifying participants will be kept confidential to the extent permitted by applicable laws and regulations and will not be made publicly available. No participant will be identified or identifiable and only group information will be presented in any written report or publication.

However, federal government regulatory agencies, auditing departments of Drake University, and the Institutional Review Board (a committee that reviews and approves human subject research studies) may inspect and/or copy your records for quality assurance and data analysis. The records may include private (contact) information.

In order to ensure confidentiality to the extent permitted by law, the following measures will be taken.:

- Your identity will be kept confidential and identifiers (such as your name, corrections facility, or any names noted during the interview) will be replaced with pseudonyms in the interview transcripts.
- All documentation including; digital transcripts, provided documents, and researcher notes will remain in my direct possession in a password protected computer or locked cabinet.

- Parties likely to view the data include Dr. Couvillon, my Drake University dissertation chair.
- The data collected will be maintained for three years and subsequently destroyed, as they will be deemed no longer useful for research purposes.
- Your information will remain confidential if the results of the study are published.

CONTACT INFORMATION AND QUESTIONS

You are encouraged to ask questions at any time during the study.

- For further information about the study, please contact

Susan Reutter	Dr. Michael Couvillon
(515) 343-7758	(515) 271-4690
Susan.Reutter@drake.edu	Michael.Couvillon@drake.edu
- If you have any questions about the rights of research participants or research-related injury please contact:
 IRB Administrator
 (515) 271-3472
IRB@drake.edu
 Drake University, Des Moines, IA 50311

PARTICIPANT SIGNATURE

Your signature indicates that you voluntarily agree to participate in this study, that the study has been explained to you, that you have been given time to read the document, and your questions have been satisfactorily address. You may keep a copy of the written informed consent prior to your participation in the study,

Participant's Name (printed) _____

(Participant's Signature)

(Date)

APPENDIX D
TELEPHONE SCRIPT FOR INITIAL CONTACT WITH POTENTIAL PARTICIPANTS

Hello, _____. My name is Susan Reuter from Drake University. Thank you very much for your interest in my dissertation study about corrections administration and reentry programs. As my email the detailed, you were referred to me by _____ as a potential participant in my study. My study will explore how reentry programs are affecting the correctional administrator's professional experience.

In order to confirm whether you qualify for participation, please confirm you are a corrections administrator and do you administer reentry programs.

This study consists of three interviews taking place over three weeks, and each approximately 60 to 90 minutes. The interviews will be conducted via phone or on Skype.

Participation is completely voluntary, and you are allowed to withdraw any time. You are also able to decline to answer any questions.

If possible I would like to schedule our first interview today.

What method of contact works best for you?

Are you able to meet on the following days? _____, _____, or _____?. Are there other days that are more convenient for you? Is there a specific time of the day that works best for you?

Thank you very much for agreeing to participate. Of forward to seeing you on _____ at _____ o'clock. If your schedule changes are you have any questions, please feel free to contact me at (515) 230-0673 or at susan.reutter@drake.edu

APPENDIX E DATA COLLECTION PROTOCOL

Title of Study: Reentry Education and Program Development: Philosophical Approaches of Senior Administrators to Reduce Recidivism Rates in Correctional Institutions

Investigator: Susan Reutter

Interview Protocols

- 1) A semi-structured interview focused on life history, designed to provide information on your experience in corrections and reentry programs.
 - a. The interview will take place at the convenience of the participant, by phone, Skype, or in person, depending on the participant's location. This interview will take approximately 60-90 minutes.
- 2) A semi-structured interview exploring the corrections environment, designed to explore your leadership practices and mindset.
 - a. The interview will take place at the convenience of the participant, by phone, Skype, or in person, depending on the participant's location. This interview will take approximately 60-90 minutes.
- 3) A semi-structured interview reflecting on the meaning of your corrections experience.
 - a. The interview will take place at the convenience of the participant, by phone, Skype, or in person, depending on the participant's location. This interview will take approximately 30 minutes.

Participation will last for 3 interviews, in three weeks and include six points of contact.

- 1) Initial contact/introduction of the project and informed consent document.
- 2) Interview #1 (semi-structured) will focus on your life experience
- 3) Interview #2 (semi-structured) will focus on the corrections environment
- 4) Interview #3 is an open-ended reflection interview
- 5) The participant will be emailed a transcript of your interviews, which you will be able to check for accuracy and clarity, a member check of the interviews.
- 6) A member check for accuracy and clarity of the findings will entail an emailed copy of the findings and discussion

The researcher will contact third parties, who may know of participants that meet the criteria of the study. An email will be sent to potential participants detailing the study and providing the informed consent for review.

The researcher will communicate via, telephone, Skype, or in person if the participant if convenient. The interview will be recorded and transcribed later.

APPENDIX F

INTERVIEW QUESTIONS

Semi-Structured Life History Interview - INTERVIEW #1:

Thank you for agreeing to meet with me today. The purpose of the first interview is for me to get to know us learn about your general experience with the corrections administration and reentry programs. I would like to learn about your background and your general experience as a correctional administrator and your overall experience with reentry programs. The survey will last approximately 60 to 90 minutes. Please, and member you may decline to answer any questions or withdraw from the study at any time. Do you have any questions before we begin?

...Thank you very much for sharing your time with me today. I greatly appreciate your willingness to share your time with me. If you think of anything important between now and our next interview, feel free to jot it down and we can start our next conversation with anything I may have missed. In the next interview, I would like to learn about how reentry programs have affected your experience as a correctional administrator.

Semi-Structured Interview Regarding Details of the Corrections Administrator Experience – Interview #2

Thank you very much for coming to the second interview today. It is a pleasure to speak with you again. Since I last interview, have you thought of anything else you would like to tell me about your corrections experience? The purpose of the second interview is to discuss your corrections experience administering reentry programs, and how it has affected your professional experience. This interview last option only 60 to 90 minutes. Again, please remember you may decline to answer any questions or withdraw from the study at any time. Do have any questions before we begin?

...Thank you very much for sharing your time with me today. I greatly appreciate your willingness to share your time with me. Again, if you think of anything important between now and our next interview, feel free to jot it down and we can start our next conversation with anything I may have missed. In the final interview, I would like to reflect on our two conversations for accuracy and quality.

Semi-Structured Interview Reflection on Meaning – Interview #3

Thank you very much for coming to the second interview today. It is a pleasure to speak with you again. Since I last interview, have you thought of anything else you would like to tell me about your corrections experience? The purpose of the third and final interview is to reflect and review the information provided by your experience as a corrections administrator. This interview is expected to be 30-60 minutes. Again, please remember you may decline to answer any questions or withdraw from the study at any time. Do have any questions before we begin?

... Thank you once again for taking time to meet with me. I greatly appreciate your time and commitment to my study and getting to learn about your experiences. I will send you a copy of

the transcripts of the interviews, allowing you to check for accuracy. In the meantime, please feel free to contact me with any questions or concerns.

Interview one: Semi-structured focus Life History Interview

- 1) Please share information about your professional background.
- 2) Please elaborate on your educational and training background.
- 3) What is your experience with continuing education, which allows you to continue your work in the corrections environment?
- 4) How would you describe yourself to someone else?
- 5) What trends have experienced within your time working in corrections?
- 6) Potential maturity - How maturity influences your administrating practices?
What led you to this career? How did you become a corrections officer?
Why did you?
What drives you?
- 7) Do you have mentors?

Interview Two: Semi-structured focus Corrections Experience Interview

- 1) Do have you any additional thoughts regarding our first conversation?
- 2) Intake practices – Please describe your intake process
- 3) Reentry Courts – Do you have experience with reentry courts? If so, please describe your experience.
- 4) Reentry Programs –
In your words, how do reentry programs affect public safety?
What types of reentry programs are offered at your facility?
 - a. Education and Vocational Skills
 - i. What types of education and vocational programs do you provide?
 - ii. How do inmates qualify for your programs?
- 5) How do you address collateral consequences and reform -
 - a. Food and Shelter
 - b. Family – What practices do you have in place to help the inmates and their family stay in contact?
 - c. Employment – Do you have a process to assist inmates with finding a job before they exit the facility?
 - d. Education – Do you have a process to assist the inmates with enrolling in higher education when they exit facility?
- 6) Corrections Education – Are the items you would like post-secondary education to include their curriculum for your future employees?
- 7) Corrections Administrators – What do you think separates corrections administrators from other administrators?
- 8) Describe your organizational structure
- 9) Leadership Mindset or Philosophy?
 - a. What are the particular leadership strategies you would advise are best for the corrections administration positions?
 - a. Are their particular qualities you look for when you hire staff?

- b. Are their minimum education requirements?
- c. How is your staff trained for reentry programs?

Interview Three: Semi-structured focus Reflection Interview

- 1) Since our last interview, do have you any additional thoughts regarding our first conversation?
- 2) Largest challenges – For you, what has been the greatest challenge, as an administrator?
- 3) Retirement and Replacement:

I have searched for correction administration position advertisements online. One of the recruitment job postings asked for the following requirements (Nebraska State Government, 2017):

...[They] are seeking a transformational leader who brings performance-based management skills, a commitment to servant leadership, and a drive to inspire a culture of trust, creativity, and commitment to critical work of [this] agency and those it servers. (para. 1).

 - a. Do you find differences in the types of leadership expectations? If so, how would you describe the differences?
 - b. If you were going to retire, what qualities and qualifications would you look for the perfect person to hire?
- 4) There is the possibility that questions may be added based on the first two interviews.
- 5) What are your points of pride?
- 6) What do you know now that you wish you knew when you first started
- 7) Where do you see the profession in 5 years?
- 8) How do you stay committed? –
- 9) What are the characteristics the characteristics required to be successful in your position?