LEADCOR

LEADERSHIP DEVELOPMENT FOR OCCUPATIONAL
STRESS REDUCTION IN CORRECTIONAL SETTINGS

Assessment & Development of Leadership Competencies of Correctional Staff:

A Methodological Framework & Instruments

IPS INNOVATIVE PRISON SYSTEMS

www.leadership-corrections.org

This methodological guide was developed within the project framework Intellectual Output 3 ("Leadership training curriculum and programme").

Authors:

Ana Rita Pires, IPS_Innovative Prison Systems

Ângela Fernandes, IPS_Innovative Prison Systems

Catarina Abrunhosa, IPS_Innovative Prison Systems

Pedro das Neves, IPS_Innovative Prison Systems

Tiago Leitão, IPS_Innovative Prison Systems

Contributors:

Vítor Costa, Universidade da Beira Interior (UBI)

Isabelle Storme, Belgian Federal Public Service of Justice

Multimedia and Design

Sílvia Silva, IPS_Innovative Prison Systems

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About this guide

Welcome! You are reading this document because you work in **Prison Administration, Human Resources Management, Training, and other management positions** responsible for **leading and managing correctional staff**. This document is also intended for prison and probation staff trainers with **management positions or aspiring to have a management position.**

"Assessment & Development of Leadership Competencies of Correctional Staff: A Methodological Framework & Instruments" is a **methodological guide** produced within the **LEADCOR project**, which aims to provide the tools to **assess and develop correctional staff' leadership competencies** by professionals with leadership positions. For this purpose, in this document, you will find the following:

- A **leadership in correctional settings introduction and contextualisation** based on the literature review and other documents references produced in the LEADCOR project;

- The **Leadership Competencies Assessment** development (as part of the project methodology), namely the **Organisational Requirements Assessment** and the **Individual Competencies Assessment**. These particular assessments are the core of this document, given that they were developed to evaluate and improve leadership competencies.

The LEADCOR methodology was developed as part of a transnational project with **eight partners in four countries across Europe.** The **LEADCOR project** aims to reduce occupational stress levels inside prisons by enhancing the leadership skills of the frontline and technical staff. The partnership has worked together to develop an innovative methodological work (with theoretical and practical components) to implement in the training context with prison staff professionals.

If you wish to use this guide for learning purposes, be aware of other resources complementary and developed within the LEADCOR methodology:
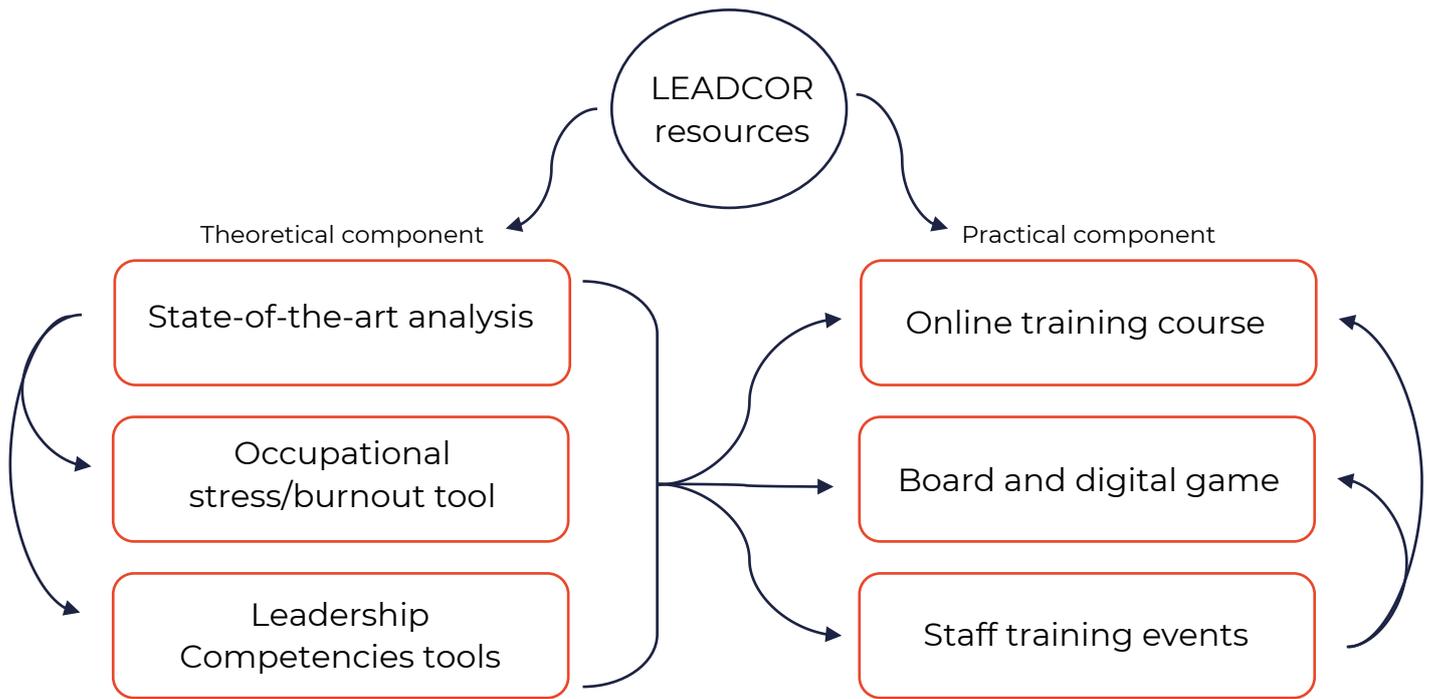
Figure 1. The LEADCOR resources overview

Theoretical component

o A **state-of-the-art analysis** focused on prison staff stress and burnout and their relationship with leadership (available on the LEADCOR website). This document consists of an overview of the previous and current knowledge about prison staff stress and its management, addressing the importance of leadership in this context. This theoretical content supported the development of the two tools described below;

o The **stress and burnout screening and assessment tool** (available here) aims to assess prison staff occupational stress and burnout levels. This tool is divided into two versions (for staff with higher contact with inmates and with lower contact) and was used as a base to develop the practical component;

o The **Leadership Competencies Assessment tools** provide staff in managerial positions with an understanding of the leadership competencies they need to develop. They were also used as a base to develop the practical component (more specifically, by identifying the leadership competencies, we developed the board and digital game and the theoretical contents for the staff training events).

Practical component

- o The **online training course** (available on the [Corrections Learning Academy](#) Platform) was designed to instruct prison and probation staff with leadership roles on lowering stress levels by enhancing inherent leadership skills. This course offers the opportunity to acquire knowledge and skills in the area of leadership, specifically: stress and burnout, conceptual leadership background, leadership competencies and leadership development plan. The course passed through a detailed analysis and improvement based on the prison staff feedback;

- o The **board and digital game** (you can play the digital game by accessing the [project website](#)) is an interactive and fun learning experience that aims to support prison staff in developing leadership skills and workplace stress reduction. The physical (board) game was played in the staff training events and improved based on the feedback received by prison staff;

- o **Staff training events** are training opportunities for prison staff professionals working in correctional settings to develop and enhance a set of specific skills. In this case, the training events aimed to educate and increase awareness of 105 prison staff on the leadership competencies potential in effectively managing occupational stress and burnout levels. During these events, the focus was also on developing their own leadership competencies in the prison work context. These training events contributed to improving the other two practical components of the methodology due to the feedback received by prison staff.

Leadership in Correctional Systems

The Importance of Leadership

In recent decades, the **leadership** topic has received attention from researchers and practitioners (Dinh et al., 2014) due to the belief that leadership is a **determinant factor in achieving success or failure within an organisation**. The definition of leadership has suffered changes throughout the years, currently focusing more on leaders' behaviours rather than personality characteristics (Sánchez, 2001). According to Yukl (2013), the **leadership concept** is defined as "the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives." In his analysis, Chemers (2000) addresses leadership as "the process of social influence that one can get the help and support of others to achieve a common objective." As described in the LEADCOR state-of-the-art analysis report (Costa, V., Cunha, A., I., Esgalhado, G., Monteiro, S., & Pereira, H., 2021), **leadership is vital for organisations and workgroups and is an important function of management that helps maximise efficiency and achieve organisational goals.** As such, at least two aspects of leadership stand out for its importance: leaders guide employees towards the achievement of a common goal and greatly influence their performance and motivation in regard to that common goal (Davis, 1986).

Studying this topic and understanding its implications for the functioning of **correctional systems** is crucial. Leaders with strong leadership capability understand the organisation they work for, identifying clearly and readily potential problems, situations and issues that require a solution or attention. In this way, they can assign specific tasks to each employee, inspiring them to commit to their work and the objectives and results the organisation wishes to achieve (Holmberg et al., 2016). With mindset and behaviour, the studies report an increase in admiration of the leader by the employees, which makes them try to "mimic" the values, beliefs, behaviours, and attitudes that the leader applies in daily work life (Hao & Yazdanifard, 2015; Ishaq et al., 2019).

Leadership and Management

The concepts of **leadership and management** and the respective roles of **leader and manager** can be misapplied. Despite the similarities, both pose differences regarding personality matters, attitudes towards the objectives to achieve, ideas and thoughts about work, and relationships maintained with those they work with (Wadji, 2017). **The**

manager contributes to solving problems through planning, organisation, and coordination skills. In this manner, the manager must ensure that the deadlines and budgets for accomplishing a specific task will be met, being also responsible for motivating the team and ensuring they remain focused on the task (Reynolds & Warfield, 2010). The manager must also continuously assess the team's performance, ensuring respect for quality standards and that the activity's results meet what was expected. **In turn, the leader inspires and motivates people to follow a specific path** (Nen, 2015). It is the ability to influence a group towards realising a goal. Leaders are expected to create future visions and motivate the organisational members to achieve the visions. As such, leadership is the human factor that binds a group together and motivates them towards common goals (Davis, 1968). Even though both concepts are similar, it does not mean a linguistic or organisational conflict is implied. On the contrary, both present strong points and areas in which they can add value and offer contributions, and constructive collaboration between the two, a possible form of complementarity, should take place (Li, 2016).

Some essential **characteristics of leadership** ought to be aware of (Davis, 1968):

- It is an **interpersonal process** where a person influences and guides employees towards goals achievement;
- It represents a few **qualities** to be present in a person, including intelligence, maturity, and personality;
- It is a **group process** that includes two or more people interacting with each other;
- A leader **shapes and moulds the behaviour of the group** towards the accomplishment of organisational goals;
- Leadership is **situation bound** - there is no best leadership style; it depends upon facing the circumstance.

Following the abovementioned characteristics, here are some reasons **why leadership is important** (Davis, 1968):

- **Initiates action** - leaders start the work by communicating the policies and plans from where the work begins;
- **Motivates** - leaders prove to be playing an incentive role that concerns working. They motivate with economic and non-economic rewards;

- **Provides guidance** - leaders must not only supervise but also play a guiding role. Guidance here means instructing the way how the work must be performed to be effective and efficient;
- **Creates confidence** - confidence is an important factor that can be achieved by expressing the work efforts, explaining clearly the team members' role and giving them guidelines to accomplish the goals efficiently. It is also crucial to hear their concerns and necessities;
- **Builds morale** - morale denotes the willingness to cooperate towards the work, building confidence and gaining trust. Leaders should be morale promoters by reaching full cooperation with team members for them to perform their skills the best possible as they work to accomplish goals;
- **Builds work environment** - an effective work environment helps in sound and stable progress. Therefore, human relations should be kept in mind by leaders. They should treat everyone on humanitarian terms;
- **Coordinates** - coordination is the result of reconciling personal interests with organisational goals. This synchronisation can be achieved through proper and effective coordination, which should be the primary motive of leaders.

Emotionally Intelligent Leaders

However, **what exactly distinguishes a leader from a manager?** From Goleman's perspective (2004), the answer to this question is having **Emotional Intelligence (EI)**. Despite being a relatively recent concept, several definitions are associated with EI. According to Mayer and colleagues (2008), one of the most current **defines EI as the "ability to execute precise reasoning about emotions and using emotions and emotional knowledge to improve the thought"** (Cf. Côté, 2014). Goleman (2004) does not want to deny the relevance of other more technical competencies but **considers EI the fundamental competence for a good leader**. It is crucial to mention that EI is not innate to the individual; it is acquired and built throughout life through socialisation processes and diverse experiences. Goleman (2004) presents the following **five components that he believes to be fundamental for someone to be considered emotionally intelligent:**

- **Self-knowledge** - implies that the individual knows how to recognise and understand his/her own emotions, moods, and motivations and how they can affect those around him/herself.

- **Emotion Management** - allows the individual to control and redirect his/her fewer good impulses, finding ways to channel them into something useful. This is of extreme importance for the exercise of leadership since a person with resilience (in various levels, such as communicational, organisational, emotional, and other) creates an environment of trust and justice, which can increase the organisation's productivity and, at the same time, decrease turnover and even absenteeism behaviours.

- **Motivation** - a factor that directs the leader to act and seek to achieve the goals based on his/her passion for work instead of being motivated by other factors (such as monetary rewards). Motivated leaders react with optimism in the face of adversity, affecting their employees with this spirit, encouraging them to achieve higher goals (Maamari & Majdalani, 2016).

- **Empathy** - is a fundamental component, translating a leader's ability to recognise and consider his/her employees' feelings (Holt et al., 2017). This component is becoming increasingly important due to the growing use of teamwork that naturally involves different personalities and emotions. The leader must learn to manage in the best possible way to guarantee the team's success.

- **Social Competence** - the individual's ability to properly manage his/her relations with others to ensure that everyone goes in the intended direction. Social competence then appears as the culmination of the remaining components of EI. The leader's role is to ensure that other people do the work, hence the high importance of this competence.

Leadership Styles

Naturally, not all leaders have the same characteristics and skills. These affect leadership in different ways since different personalities develop different leadership styles, which researchers have debated over the years (Day et al., 2014; Anderson & Sun, 2017). In this way, recent research has approached different **leadership styles**: **Delegative (*Laissez-Faire*) Leadership; Authoritarian (Autocratic) Leadership; Participative (Democratic) Leadership; Transformational Leadership; Transactional Leadership; and Situational Leadership** (Day et al., 2014; Anderson & Sun, 2017).

Let's explore each style in more detail:

- **Delegative (*Laissez-Faire*) Leadership:** this style combines a series of passive behaviours from leaders. They are characterised by the **absence of leadership and lack of intervention** (Skogstad et al., 2014). Consequently, adopting this leadership style reveals irresponsibility since the leaders are not doing what they are entrusted with (Tosunoglu & Ekmeci, 2016). This leadership style has negative consequences for the organisation, affecting employees' satisfaction in their workplace, leading to increased frustrations and stress in the workgroup and interpersonal conflicts (Skogstad et al., 2014). All of this leads to describing the *laissez-faire* style as a type of destructive leadership since it violates the organisation's (and employees') interests, harming the organisational goals and the well-being of its human resources. However, some authors argue that this style can bring some benefits, such as increasing employees' autonomy and independence (Yang, 2015).

- **Authoritarian (Autocratic) Leadership**: this type of leadership generates more criticism from authors (De Hoogh et al., 2015). In a situation of autocratic leadership, **leaders concentrate all the decision-making power**. Thus, through this centralisation of power, authoritarian leaders control all activities carried out by the employees, offering no opportunity to contribute with their input (De Hoogh et al., 2015). Autocratic leadership is considered detrimental to the organisation (Harrison & Klein, 2007; De Hoog et al., 2015), bearing in mind that centralising power makes employees feel undervalued and treated unfairly (Harrison & Klein, 2007), negatively affecting their morale and performance. However, autocratic leadership may positively affect certain circumstances (De Hoogh et al., 2015). Depending on the organisational culture, in which autocratic leaders establish what the employees should do and defines a hierarchy, they will provide a less stressed environment as they are more structured and organised.

- **Participative (Democratic) Leadership:** despite being responsible for decision-making, **democratic leaders include employees in the final decisions** (Amanchukwu et al., 2015). This active participation stimulates employees' creativity, promoting their involvement and commitment towards the organisation and its goals. These democratic leadership behaviours promote relationships based on mutual trust. They are essential to guarantee productivity, satisfaction, and organisational commitment (Bell & Mjoli, 2014). However, not everything is an advantage concerning democratic leadership. There are also some risks associated with this style; for example, considering everyone's involvement in the decision-making can lead to bad decisions if unaware of the task's specificities or problems (Aginah et al.,

2017). Also, sometimes there is a need for a quick intervention, and spending time collecting everyone's input can be detrimental (Amanchukwu et al., 2015).

Besides the *laissez-faire*, autocratic and democratic leadership styles, Burns (1978) refers to **transformational leadership** and **transactional leadership** as a dichotomy:

- **Transformational leadership:** transformational leaders can be distinguished from others by **making employees aware of the importance of the desired results** and the means to achieve them (Costa, V., Cunha, A., I., Esgalhado, G., Monteiro, S., & Pereira, H., 2021; McCleskey, 2014). In this case, transformational leaders take employees to the desired outcomes by attaching greater importance to the organisation's interests to the detriment of employees' interests. Considering the Maslow Needs Pyramid (Maslow, 1943), by guaranteeing the security needs of the employees, transformational leaders shift the focus from security needs to achievement related to their job function (Mencl et al., 2016).

- **Transactional leadership:** leadership style related to the leader's and employees' transactions. Through these **transactions**, leaders provide employees with **resources (such as rewards) that allow them to satisfy their interests** by alleviating anxiety in the workplace. Employees' payback through commitment and performance will enable them to achieve their goals and increase organisational effectiveness (McCleskey, 2014). In this way, transactional leaders transmit their expectations and goals to the employees, which leads them to demonstrate higher levels of commitment, satisfaction and performance, and organisational citizenship behaviours (McCleskey, 2014).

Although different leadership styles can be applied depending on each person's personality and responsibilities, one of the **keys to successful leadership is to combine the proper leadership style with the employees and the work situation**:

- **Situational leadership:** leadership type in which **leaders adjust, in a flexible way, their leadership behaviours and strategies to each situation, task and the employees' needs.** Situational leaders must be able to have **insight** (i.e., understand the needs of the employees and then adjust the leadership style to meet those needs); be **flexible** (i.e., move seamlessly from one type of leadership style to another); be **trustworthy** (to gain employees' trust and confidence); have **problem-solving** skills (resolve problems, for example, how to get a task completed using the

best leadership style); and be a **coach** (evaluate the employees' maturity and competence and use the proper strategy to develop their character). This approach to leadership indicates the necessity to properly **match two key aspects**: **the leader's leadership style and the employees' maturity or preparedness levels** (Cairns, T. D., Hollenback, J., Preziosi, R. C., & Snow, W. A., 1998).[1]

In sum, **the *laissez-faire* and autocratic leadership styles** can harm employees' well-being. **Democratic leadership** can translate into difficulties in developing this style, allowing everyone to participate in solving the problem. Conversely, **transactional and ethical transformational leaders** can positively contribute to employees' well-being. **Situational leadership** can benefit employees and the organisation since the leader is flexible and uses different leadership strategies depending on the situation/person.

Ethical Leadership & Employees' Well-being

The **well-being associated with work** is related to positive emotions of happiness and job satisfaction (Costa, V., Cunha, A., I., Esgalhado, G., Monteiro, S., & Pereira, H., 2021). Leaders play a vital role in employees' perception of their work experience. Many researchers characterise **ethical leaders** as fair and honest individuals who establish quality relationships with their employees (Kalshoven & Boonm, 2012; Rivers, Thompson & Jeske, 2018). Providing a work environment where they feel supported and stimulated creates conditions conducive to a positive emotional experience that culminates in employees' well-being (Bedi et al., 2016). Contrarily, **abusive supervision** (for example, verbal and non-verbal hostile behaviours displayed by the leaders upon the employees) is **associated with authoritarian leadership** but not **ethical leadership** (Tepper, B. J., 2000).

Thus, the **sense of trust** in leaders is one factor that proves ethical leadership's influence on employees' well-being. As mentioned, employees' confidence in their leader is one of the benefits of ethical leadership (Chughtai et al., 2015). In turn, this confidence reduces employees' emotional exhaustion (often associated with burnout in the workplace), providing greater employee involvement and dedication to their role and the organisation.

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[1] If you are interested in depth your knowledge about leadership styles and leadership, we welcome you to take our online training course available on the Corrections Learning Academy Platform.

Ethical leadership fosters an enhanced sense of well-being by reducing emotional exhaustion and increasing employee involvement (Bedi et al., 2016). In addition, ethical leadership also makes it comfortable for employees to use their voice, that is, to express their opinions, suggestions, or concerns. Ethical leaders encourage employees to express themselves freely and develop their ideas, which makes them feel more empowered, underlining that they are a valuable contribution to the organisation (Avey et al., 2012).

Employees are valuable resources, and an organisation without them will never achieve its proposed goals (Bello, 2012). Thus, the importance of **ongoing investment in promoting employees' well-being and satisfaction is provided through greater motivation, devotion, commitment in the workplace, higher productivity levels, and better organisational performance.**

The Proposed Assessment Methodology

Given the consequences of stress on correctional staff (for example, increasing medical problems, use of alcohol/drugs, turnover intention, inability to deal with daily work experiences, negative impact on job and life satisfaction, burnout, etc.), the **LEADCOR project commits to reducing occupational stress levels inside prisons by enhancing leadership skills** of the frontline and technical staff (for example, prison guards). Simultaneously, it intends to mitigate the tensions among management and staff, between staff, among staff and between staff and inmates, improve the prison staff's quality of work with inmates and, ultimately, enhance opportunities for rehabilitation, an essential aspect of prison life.

The methodology presented in this document aims to guide **Human Resources Managers, Training, and other Management professionals** responsible for the competence development of correctional staff in assessing and developing the **leadership competencies of prison management and frontline staff.** The project partnership has developed an innovative methodology that integrates **theoretical** (state-of-the-art analysis; a stress and burnout screening and assessment tool; and leadership competencies assessment tools) and **practical components** (an online training course; a leadership board and digital game; and staff training events), as mentioned in the "About this document" section.

Leadership Competencies Assessment

The **Leadership Competencies Assessment** provide the tools to **assess and develop leadership competencies for correctional staff** (prison governors/administrators, prison frontline staff, and prison technical staff). This assessment was supported by the theoretical content (i.e., the state-of-the-art analysis) and used as a base to build the practical component (i.e., the board and digital game and staff training events).

This assessment is divided into two tools:

- **Organisational Requirements Assessment** – provides the organisation with an understanding of the required leadership competencies, the ones that most need to be developed, and the predominance of the leadership style.
  This assessment **evaluates the organisation's requirements perspective** that results from a reflection process involving management representatives of the

organisation. After reflecting on it, the organisation is expected to establish a baseline assessment for each competence – explained further below.

- **Individual Competencies Assessment** – provides staff in managerial positions an understanding of the leadership competencies they need to develop, focusing on maintaining their strengths and improving their weaknesses.

This assessment evaluates the **individual's competencies perspective** through a questionnaire answered by correctional staff and management. The individuals are expected to rate each leadership competence – also elucidated below.
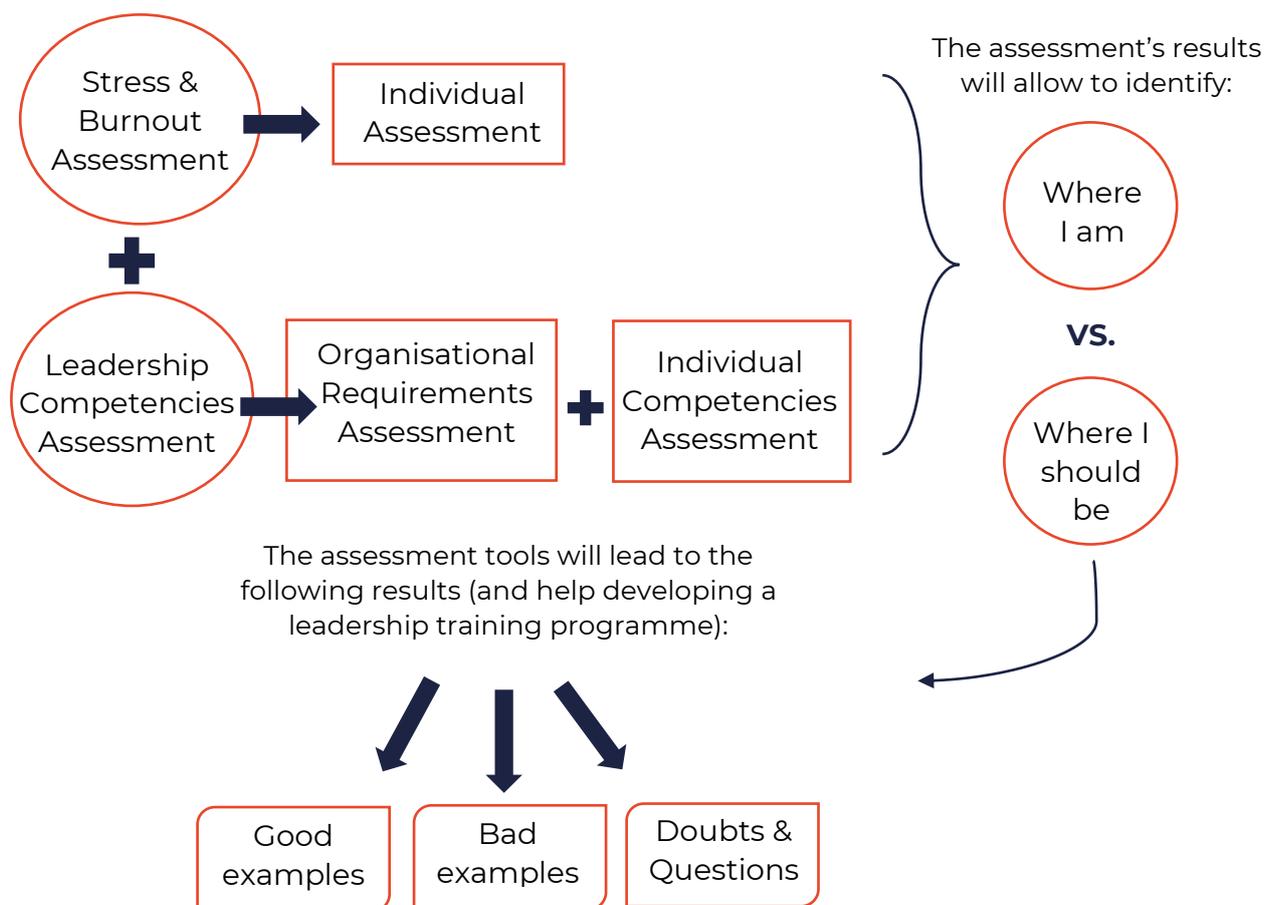
Figure 2. The Conceptualisation of the Leadership Assessment & Result Analysis

Hence, the Leadership Competencies Assessment tools **evaluate how the organisation and the individual perceive specific leadership competencies by analysing the attributed importance** (i.e., how important is that competence to perform the job/role with quality standards) **and proficiency** (i.e., the level of proficiency/competence of a specific job/role) **levels.** This means that the proposed methodology analyses the assessment results based on evaluating the competencies of the organisation and the individual. Both identify **competencies that need to be**

improved by the individual and organisation (figure 2). Crossing the two assessment tools results makes it possible to create a **comprehensive leadership training programme to develop/improve the identified much-needed leadership skills**.[2]

In case you are interested in sharpening your knowledge about these assessment tools, below we will showcase them in more depth and explain how you can implement them.

Organisational Requirements Assessment

The Organisational Requirements Assessment is an **organisational assessment tool** aiming to assess correctional staff leadership competencies **by prison system administrators**, **prison governors**, and **management teams** (i.e., with leadership positions). It defines the **level of competence and proficiency of each job function**. The results will then aid in identifying the strategies and action plans to be implemented in the leadership training programme.

How should this tool be used?

Now that you are aware of how this tool works, it's essential to know how it is applied. The Organisational Requirements Assessment is used in **two different sessions:**

1st session

The goal of the 1st session is to define a baseline (i.e., a reference used for comparison purposes) corresponding to the competence proficiency level and importance level **(appendix 1).** This means it refers to a high-level process reflection involving the organisation's management representatives, defining an **organisational baseline** for each competence.

We recommend that the preparation for the 1º session also starts with the **Prison Administration.** A letter to the prison administration and/or prison governors should be sent, informing them about the LEADCOR Organisational Requirements Assessment and its goals.

When possible, establish a preliminary informal meeting with the **prison governor** one or two weeks before the assessment session to:

- Explain the goals of the session;

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[2] These assessment tools are not independent of the stress and burnout assessment, as stressors can influence the individual and organisational results.

- Discuss the shared expectations (governors' and facilitator's perspective) about the outcome of the session;

- Agree with the governor to have the session in a room where the team – to the extent possible – will not have interruptions about the prison's daily operational issues (if the meeting is held online, please consider the time and date, for the same reasons);

- If possible, use the materials presented in the appendices section so that the answers can be registered during the session;

- Consider having another facilitator during the session (if possible, a second facilitator is important to support the session and to take notes about relevant observations);

- "Neutral facilitators" may have the advantage of asking questions and exploring answers without affecting the participants' responses.

There are also some **materials to consider:**

- A printed version of the matrix of competencies **(appendix 2)** is to be delivered to each participant (if the session is held online, share the matrix of competencies with the participants, so they can access it when needed);

- A brief PowerPoint presentation providing the session goals, the main concepts and some examples to facilitate the discussions;

- Printed handouts of the presentation to be delivered to each participant (if the session is held online, share the PowerPoint presentation with the participants, so they can access it when needed);

- Keep some space for additional questions that could arise.

Participants should be:

- Prison governors and their deputies and/or other professionals that have responsibilities in prison management;

- Directors and other professionals with management responsibilities at the central level of a prison service (if the exercise is performed considering the prison service and not an individual prison).

Session Plan/Agenda

- Explain what the goals and outcomes are and how the session will take place (approximately 10-15 minutes);
- Explain what leadership development is for occupational stress reduction in correctional settings and why it is relevant in the context (approximately 20-30 minutes presentation + discussion);
- Explain the assessment and action plan – the baseline assessment (approximately 2 to 3 hours);
- Use the **definitions** provided in the template of each competence **(appendix 3)** to reflect with the participants about the profile of the prison staff and the respective competencies needed to perform the role;
- Each competence will be assessed according to its **level of competence** (i.e., level of proficiency on a scale from 1 to 8) and **level of importance** (i.e., how important is that competence to perform the job/role with quality standards on a scale from 1 to 8) - **appendix 4**;
- According to the organisation's expectations, the **Assessment Matrix (appendix 4)** will be completed, and the baseline levels for each job function will be defined. Using this form as a template, develop a matrix for each competence identified through the assessment process. Modify the form as needed to fit your unique context;
- Next steps and conclusion;
- The **session duration** should take between 3 to 5 hours for the LEADCOR;
- Conclusion of the assessment;
- Dissipate all doubts and maintain contact with the participants.

2nd session

The goal of the 2nd session is to create a "script" for the prison system improvement efforts and support implementation (analysis of the results after gathering the individual assessments' data).

- Follow the steps to prepare for the meeting, similar to the 1st session;
- Present the results of the above-referred assessments and allow discussion about them;
- Focus on the organisational aspects that need to be changed/improved;
- Using this form as a template, develop a work plan for each goal identified through the assessment process. Modify the form as needed to fit your unique context;

- Distribute copies of each work plan to the participants.

This session should occur after gathering individual and organisational assessment tools data (anonymised aggregated results). This session will allow for a **constant comparison** between the organisational evaluation and the individual assessment. The analysis of results and the discrepancies between the baseline and the existing staff competencies will allow the development of an **Organisational Action Plan (appendix 5)** for leadership development.

Individual Competencies Assessment

The **Individual Competencies Assessment tool** aims to assess how the **individual perceives specific leadership competencies by analysing the competence** (i.e., the level of proficiency) and **importance** (i.e., how important is a particular competence to perform the job/role with quality standards). This assessment also measures some transformational leadership and abusive supervision dimensions due to their importance and relation to employees' well-being. The questionnaire items (**appendix 6**) were presented in random order (not according to the structure illustrated in this report).

This assessment's target group is **prison staff**, namely **prison governors/administrators, prison frontline staff, and prison technical staff**. The **leadership competencies** found in the literature that are evaluated in this assessment are the following:

Figure 3. Leadership Competencies

Conclusion

This methodological guide aimed to present the project methodology developed by the LEADCOR partnership. The methodology consisted of two interdependent assessments: the Organisational Requirements Assessment and the Individual Competencies Assessment. The **Organisational Requirements Assessment** aims to assess the organisation's evaluation (for example, prison professionals in management and leadership positions) in leadership competencies depending on the job function within correctional settings. The **Individual Competencies Assessment** aims to assess the leadership competencies evaluation by prison professionals (for example, prison guards, psychologists, administrative staff, etc.) according to their job competence and importance.

With these two assessment tools, our main goals are to:

- Provide the organisation with the knowledge of which leadership competencies are required and need to be developed and the ones that are in line with their needs;
- Guide the organisation to define where they are and where they should be according to their leadership competencies;
- Align the organisational assessment with the individual assessment, providing staff in managerial positions the knowledge about the leadership competencies that they need to develop, focusing on maintaining their strengths and improving their weaknesses;
- Validate both instruments to be further used in correctional settings across different European countries.

With the assessments' implementation in the partnership countries (Germany, Romania, Belgium and Portugal), the goal was to develop further trainings in all countries based on the leadership competencies that needed to develop. The assessments in all countries allowed us to develop a personalised **Organisational Action Plan** based on the data results.

The LEADCOR methodology, specifically the theoretical leadership contents, the board game, and the training course, were implemented in a **staff training format** with participants from the partners' countries, which contributed to improving the training and the materials.

Appendices

Appendix 1. Proficiency Levels Description

Proficiency Levels	Description
Level 8	Demonstrates substantial authority, innovation, autonomy, scholarly and professional integrity, and sustained commitment to developing new ideas or processes at the forefront of work contexts, including research.
Level 7	Manages and transforms work contexts that are complex, unpredictable and require new strategic approaches; takes responsibility for contributing to professional knowledge and practice and/or reviewing teams' strategic performance.
Level 6	Manages complex technical or professional activities or projects, takes responsibility for decision-making in unpredictable work contexts and manages professional development of individuals and groups.
Level 5	Exercises management and supervision in contexts of work activities where there is unpredictable change; reviews and develops the performance of self and others.
Level 4	Exercises self-management within the guidelines of work contexts that are usually predictable but are subject to change; supervises others' routine work, take some responsibility for evaluating and improving work activities.
Level 3	Takes responsibility for completing tasks; adapts own behaviour to circumstances in solving problems.
Level 2	Works under supervision with some autonomy.
Level 1	Works under direct supervision in a structured context.

Appendix 2. Organisational Requirements Assessment

Assessment Matrix: Interpretation Guidelines

LEVEL OF IMPORTANCE
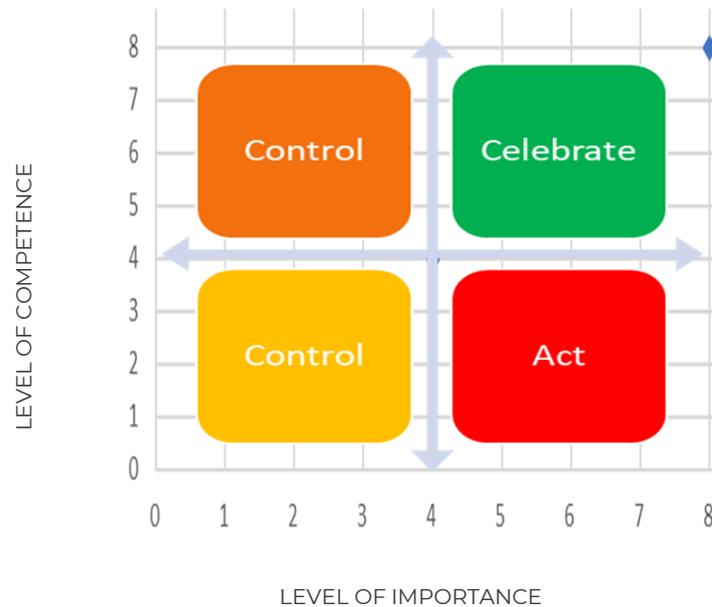
The results are read as follows:

- **Control:** The level of **competence is high** & the level of **importance is low**. This situation has two outcomes: **1. Training/education; 2. Assignment of tasks.**
- **Control:** The level of **importance & competence is low**. No need for immediate action until a reassessment of the situation.
- **Celebrate:** The level of **importance & competence is high**. No need for concern. Celebrate & keep monitoring.
- **Act:** The level of **importance is high**, but the level of **competence is low**. Consequences can be serious. Urgent action is needed.

Appendix 3. Leadership Competencies Definitions

Evidence of success: how will you determine the level of importance and competence of the defined competence? What are the definitions?

Leadership Competence	Definition
Emotional Intelligence	"A type of intelligence that involves the ability to process emotional information and use it in reasoning and other cognitive activities (…) it comprises four abilities: to perceive and appraise emotions accurately; to access and evoke emotions when they facilitate cognition; to comprehend emotional language and make use of emotional information; and to regulate one's own and others' emotions to promote growth and well-being." (American Psychological Association (s.d.).
Communication	The skills required to achieve effective communication. In addition to general language proficiency (adequate vocabulary and knowledge of syntax), effective communication involves the ability to listen and read with comprehension, to present one's thoughts clearly both in speech and in writing, to accept that the perspectives of others may differ from one's own, and to anticipate the effect of what one says or writes on listeners or readers." (American Psychological Association (s.d.).
Time Management	"(…) focuses on setting of goals and objectives and the evaluation of performance on the basis of their achievement. (…) [It] may also involve the introduction of new incentive systems, participative decision making, and a process of job design." (American Psychological Association (s.d.).
Conflict Management	"The reduction of discord and friction between individuals or groups, usually through the use of active strategies, such as conciliation, negotiation, and bargaining." (American Psychological Association (s.d.).
Team Management Skills	"(…) improve the effectiveness with which people in managerial or executive positions perform their roles. Management development can involve a variety of interventions, including (…) training, counselling, mentoring." (American Psychological Association (s.d.).
Emotion Management	"The ability of an individual to modulate an emotion or set of emotions. Explicit emotion regulation requires conscious monitoring, using techniques such as learning to construe situations differently in order to manage them better, changing the target of an emotion (for example, anger) in a way likely to produce a more positive outcome, and recognising how different behaviors can be used in the service of a given emotional state (…)." (American Psychological Association (s.d.).
Motivation	"The impetus that gives purpose or direction to behavior and operates in humans at a conscious or unconscious level. (…) The act or process of encouraging others to exert themselves in pursuit of a group or organisational goal. The ability to motivate followers is an important function of leadership." (American Psychological Association (s.d.).

Appendix 4. Assessment Matrix per Leadership Competence

JOB FUNCTION: _____

Emotional intelligence
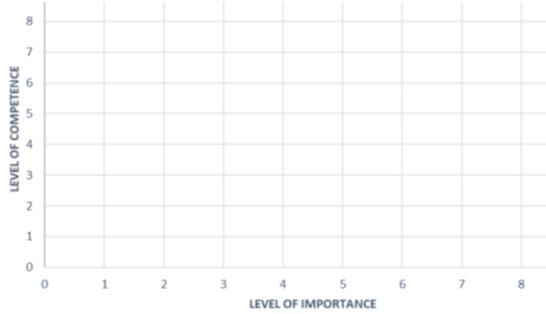
Communication
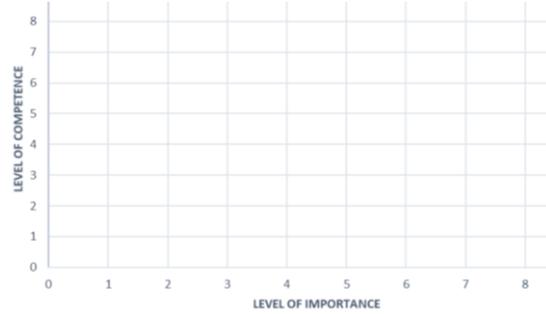
Time Management
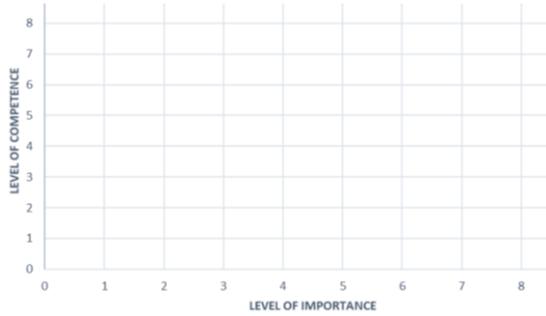
Conflict Management
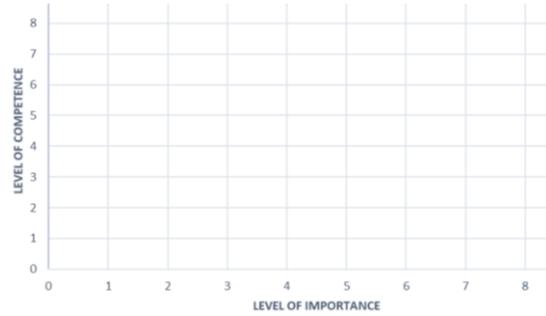
Team Management Skills
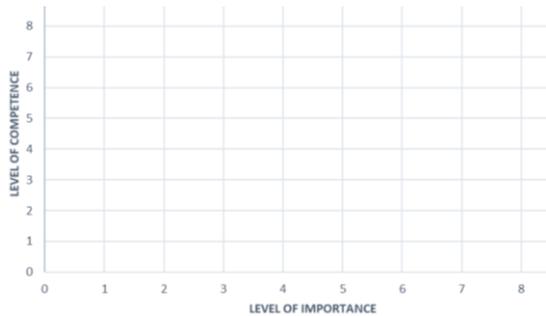
Emotion Management
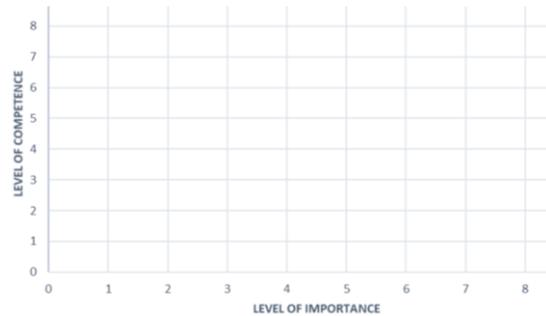
Motivation
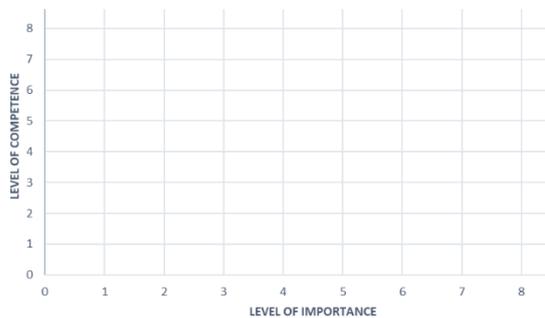
Observations:

Appendix 5. Organisational Action Plan

Q#	Action Steps *What Will Be Done?*	Responsibilities *Who Will Do It?*	Timeline *By When? (Day/Month)*	Resources A. *Resources Available* B. *Resources Needed (financial, human, political & other)*	Potential Barriers A. *What individuals might resist?* B. *How?*	Communications Plan *Who is involved? What methods? How often?*
Q1.1				A. B.	A. B.	
Q1.2				A. B.	A. B.	

- **Define the desired results/accomplishments.**

- **Define evidence of Success:** How will you know that you are making progress? What are the benchmarks?

- **Define the evaluation Process:** How will you determine that the defined goal has been reached? What are the measures?

Appendix 6. Individual Competencies Assessment

Informed Consent Form

We invite you to participate in **the "Competence Assessment Questionnaire", integrated into the LEADCOR - Leadership Development for Occupational Stress Reduction in Correctional Settings - project.** The goal of this research is to study leadership competencies and styles in the prison context.

The project aims to enhance the leadership competencies of staff, aiming to promote a safe and prejudice-free learning environment. This study is being conducted in Belgium, Germany, Portugal and Romania. The Erasmus+ agency has provided funding for this study.

Before consenting to participate, you must read the information below and understand the instructions presented. Should you have any questions, please feel free to contact the researchers conducting this study (Ana Rita Pires, ana.pires@prisonsystems.eu and Tiago Leitão, tiago.leitao@prisonsystems.eu).

The questionnaire's objective is to self-evaluate participants' behavioural patterns and attitudes regarding their leadership roles and competencies, and **its' completion will take about 15 minutes**.

Your participation in the study is entirely voluntary. If you decide not to participate, there will not be any negative consequences. Please be aware that if you choose to participate, you may stop participating at any time, and you may decide not to answer any specific question.

There are no expected risks associated with your participation in this study.

The data collected will be treated anonymously and confidentially. Thus, the data will be analysed for statistical and scientific purposes.

I have read and understood the explanation of the research project provided to me. I have had the opportunity to ask any questions, and they have been answered to my satisfaction.

I agree to participate in the research study. I understand the purpose and nature of this study, and I am participating voluntarily. I understand that I can withdraw from the study at any time, without any consequences.

I have read and understood that all data provided will be treated in strict confidence and that my name and organisation will be anonymised.

I give my permission for the data collected in this questionnaire to be used for statistical and scientific purposes.

By taking this questionnaire, I agree to participate in this research project and the above four statements. Any statements I have a concern with, I will discuss with the researcher before commencing.

Signature:_____

Date:_____/_____/_____

Sociodemographic Questionnaire

Name: _____

Age: _____ (in years)

Sex:

- o Male
- o Female
- o Other

Job position:

- o Central Services of Prisons

- o Prison Administrator/Governor
- o Prison Educator
- o Prison Officer
- o Other: _____

Institution where you work:

- o Prison Establishment
- o Central Services of Prison Administration
- o Other: _____

Academic qualifications:

- o Primary education (typical duration: 6 years)/6 years
- o Lower secondary education (typical duration: 3 years)/9 years
- o Higher secondary education (typical length: 3 years)/12 years
- o Post-secondary non-tertiary education (for example, vocational education)
- o Short term higher education (minimum duration of 2 years)
- o Bachelor's degree or equivalent (3-4 years of full-time study)
- o Master's degree or equivalent
- o PhD or equivalent

Competence Assessment Questionnaire

The questionnaire below is intended to self-evaluate your behavioural patterns and attitudes when performing your job. Please indicate to what extent you position yourself with each statement (level of importance and level of competence), using a **1 – minimum importance/competence** and **8 – maximum importance/competence.** There are no right or wrong answers.

Level of Importance 1 – Minimum Importance 8 – Maximum Importance								Leadership Skills (Miguel, Rocha, & Röhrich, 2014)	Level of Competence 1 – Minimum Competence 8 – Maximum Competence							
1	2	3	4	5	6	7	8		1	2	3	4	5	6	7	8
								Emotion Management								
								1. Understanding what others are feeling through their manifest/observable behaviour.								
								2. Understanding that thinking is affected by feelings.								
								3. Understanding the process of developing and changing emotions.								
								4. Understanding the cause of emotions concerning the environment.								
								5. Understanding clearly how I feel.								
								Emotional Intelligence								
								6. Anticipating possible risks.								

								7. Being responsible for meeting the objectives shared by my team members and me.											
								8. Be aware of the importance of my work for the organisation.											
								9. Feeling comfortable asking a direct supervisor for help.											
								10. Feeling confident when confronting the organisation's hierarchy in defence of the work and the team.											
								11. Regularly reflect on performance as a leader.											
								12. Communicating how people will benefit from the change.											
								Communication											
								13. Considering my speech (content, language) when communicating.											
								14. Be clear and concise when explaining something.											
								15. Presenting an idea that all intervenient understand.											
								16. Using different types of communication (visual, verbal, non-verbal).											
								17. Establish a positive relationship with team members.											
								18. Providing feedback, alternating positive points with negative ones.											
								Time Management											
								19. Establishing specific, realistic, measurable and concrete goals (SMART goals).											
								20. Planning the week workload.											
								21. Listing task by priorities.											
								22. Fulfilling tasks and responsibilities on time.											

							23. Multitasking.								
							24. Dealing with interruptions accordingly.								
							Conflict Management								
							25. Separating facts from emotions when working.								
							26. Considering the interests behind the job position.								
							27. Spending more time on finding a solution than justifying the conflict itself.								
							28. Listening to the opposing view.								
							29. Promoting problem-solving together.								
							30. Avoiding interrupting another persons' speech.								
							31. Maximising the common points rather than highlighting the points of disagreement.								
							32. Asking questions to clarify the other person's point of view.								
							33. Validating with if both parties' results' satisfaction.								
							Motivation								
							34. Identifying what motivates the different members of my team.								
							35. Adapting the motivation strategy based on verbal and non-verbal feedback.								
							36. Anticipating moments when my team members might feel demotivated.								
							37. Giving negative feedback with privacy.								
							38. Being specific when providing feedback.								
							39. Continuously analyse what a cause of demotivation is.								

40. Emphasising the solution instead of complaining about a particular situation.											

Team Management Skills

41. Developing the skills of a colleague.											
42. Talking with a colleague about a problem, emphasising the situation details.											
43. Questioning what has already been done to solve a situation/problem.											
44. Involving the team in setting common goals.											
45. Clear alignment between the goals of the team and the organisation.											
46. Clear definition of roles for each of the team members.											
47. Creation of synergies between the different personalities.											
48. Knowing the weaknesses and strengths of each of the team members.											

Articulating a Vision

49. Seeking new opportunities for the unit/department/organisation.											
50. Anticipating the future for the group.											
51. Have a clear understanding of where we are going.											
52. Inspire others with my plans for the future.											
53. Get others committed to my dream of the future.											

Providing an Appropriate Model

							54. Lead by "doing" rather than merely by "telling."								
							55. Providing a good model to follow.								
							56. Leading by example.								
							Fostering the Acceptance of Group Goals								
							57. Fostering collaboration among workgroups.								
							58. Encouraging employees to be "team players."								
							59. Getting the group to work together for the same goal.								
							60. Developing a team attitude and spirit among my employees.								
							High-Performance Expectations								
							61. Showing that I expect a lot from my employees.								
							62. Insisting on only the best performance.								
							63. Not settling for the second-best.								
							Individualised Support								
							64. Acting without considering others' feelings. (R)								
							65. Showing respect for others' personal feelings.								
							66. Behaving in a manner that is thoughtful of others' personal needs.								
							67. Treating others without considering their personal feelings. (R)								
							Abusive Supervision (Tepper, 2000)								
							68. Making negative comments about others.								

						69. Expressing anger at/towards others.								
						70. Telling my employees their thoughts or feelings are stupid.								
						71. Telling my employees they are incompetent.								
						72. Reminder my employees of their past mistakes and failures.								
						73. Breaking promises I make.								
						74. Being rude to others.								
						75. Giving the silent treatment.								
						76. Invading other's privacy.								
						77. Putting employees down in front of others.								
						78. Ridiculising my employees.								

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