On our side: A grounded theory of manager support in a prison setting

A dissertation submitted in partial fulfillment of the requirements for the Degree of

Master of Science in Applied Psychology

at the

University of Canterbury

by

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2010

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Abstract

This project explores the challenges of managing in times of organisational stress. The New Zealand department of corrections is facing multiple pressures which are only set to increase including: financial strictures as government funding is being highly scrutinised, greater demand as inmate numbers increase, and reduced capabilities as many staff lack experience.

A grounded theory in a case study setting (three prisons in Christchurch, New Zealand) was undertaken utilising repertory grid and semi-structured interviews to explore the ways in which managers cope during times of such stress. A total of 11 interviews were conducted. In the case, I considered what differentiates effective managers from those who appear less able to cope. It was found that effective managers are those who are able to build trust and respect with their constituents. When staff trust and respect their managers it is because they feel valued and perceive their manager to be on their side; they are then willing to reciprocate. Positive regard, demonstrations of support, and leading by example were found to be key factors leading to being perceived as being on the staff's side. The links between trust, respect and performance along with the valuation of staff wellbeing were examined.

Acknowledgements

This dissertation would not have been possible without the support of many people.

I am indebted to the participants who gave up their time and spoke openly about their jobs. I am especially grateful to Nicola at Corrections regional office for organising the interviews to my requirements. Thanks also to Paul, for allowing me the opportunity to use Corrections for the *case*.

Thanks to my supervisors: Steve Dakin and Simon Kemp for providing guidance right up to end. Special thanks to Steve, for your patience as I dealt with coming to grips with qualitative research; at times it was an uphill battle and I became quite despondent, but your encouragement came just at the right time. Also, thanks to Bindy for allowing me to borrow Steve on all those occasions.

To my classmates, the last two years were great. You even put up with my rants and raves (most of you). I wish you all the best for the future.

To my parents, thank you for your love and support over the last five years at university, especially with the arrival of George. I couldn't have completed this and been committed to him without your support.

To my beautiful wife Jo, I love you; thank you for supporting me over the past three years and appreciating the work I had to do. The last year has been an exciting and draining experience for us both as George entered the world. I am so blessed to have shared it with you.

Finally, to my son George, although you were the biggest distraction ever, you couldn't have done a better job at making me smile and keeping me going.

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Glossary

Acting up - the term used to refer to when a staff member is filling a position above what their job description requires. For example, a supervising corrections officer (SCO) would act up to the seat of a principal corrections officer (PCO) when on leave.

Corrections officer (CO) – the frontline, dealing with inmates.

Department of Corrections - "The Department of Corrections enforces the sentences and orders of the criminal courts and parole board. Corrections improves public safety by ensuring sentence compliance and works to reduce re-offending by providing offenders with rehabilitation programmes, education and job training." (Department of Corrections, 2010). References to "Corrections", "The Department", and "The Prison Service" are to be understood as referring to the New Zealand Department of Corrections.

Principal corrections officer (PCO) – the highest ranking officer. Works on the floor with corrections officers and inmates, but can be completely desk bound. Reports to their Unit Manager.

Prison services – the part of Corrections charged with running New Zealand's prisons

Staff coverage - the replacement of staff who are rostered to work but are absent due to sick leave, staff training etcetera. The Department has set prisoner/staff ratios in units (1:15, 1:20 or 1:25 depending on unit). This is what staff usually refer to as coverage or acceptable levels. Due to budget (managers are required to keep salaried hours to certain levels) and other pressures, managers will not always replace unplanned staff absences (e.g. caused by staff sickness) but instead will alter prisoner routines (fewer prisoners on the floor) or unlock hours. The Department has a protocol for unplanned absences which specifies how to work through non-replacement of shifts and consult with staff but this does tend to cause some tension. Staff and Unions prefer ratios/coverage levels are maintained at all times.

Supervising corrections officer (SCO) – works on the floor and in the office. Reports to their Principal corrections officer.

Unit manager (UM) – responsible for the overall running of their unit/s (can have up to three units – usually one or two). Tend to be office bound. Budgets, staffing and other administration part of this position.

On our side: A grounded theory of manager support in a prison setting

New Zealand has one of the highest rates of incarceration in the developed world. Recent figures show that as many as 8520 people are in prisons or police stations nationwide and this is only set to increase(NZPA, 2009a). The number has risen significantly from 1996/97 when the average prison population was about 5000. Musters rising at unprecedented and above forecast rates have put pressure on facilities as musters approach maximum capacity. It is predicted that an additional 3,500 beds will be required by 2018. Prisoners are spread across 17 men's and three women's prisons capable of accommodating 8631 prisoners in total (not including 500 emergency beds). To accommodate the prisoners, the Department received $886 million of government funding in the 2008-2009 financial year. Much of the funding pays the nearly 7,000 full-time equivalent staff, including 3,262 corrections officers (Department of Corrections, 2009).

A significant factor in the rise of inmates is the tougher sentencing laws introduced by successive governments. This has been brought about by social expectations for a tough law and order stance which has meant that increasing capacity is imperative. For example, the recently legislated 'three-strikes' law imposes the maximum penalty for violent offenders on their third conviction. The intent of the law is to deter criminals from further offending but it is also projected to increase prison musters because of longer sentences. Also, musters have increased due to increases in crime, especially serious drug offending and violent crime and the continuing impact of longer sentences. In response to the capacity shortfall, recent measures have been proposed to 'double bunk' prisoners (having two inmates per cell) (NZPA, 2009b), approximately 1000 additional beds will be added in this way (Department of Corrections, 2009). The use of old shipping containers made habitable to increase capacity have also been proposed.

At the time of writing, the prison officer's union (Corrections Association New Zealand) was in an industrial dispute with Government as they fought the introduction of double bunking. They posed that staff safety was at risk and that staff "would be killed" if inmate numbers increased in present facilities. Government had plans drawn to utilise the military were an agreement not reached. Furthermore, the three-strikes law has been criticised by the union. They propose it will increase violent attacks on officers because inmates have "nothing to lose".

Growth in inmate numbers, together with high turnover means that many officers employed have little experience - in one prison as many as 47% of officers had less than two years experience (Hubbard, 2009). The Public Service Association (PSA) - which also represents prison workers - has suggested that assault, threaten of harm, and workplace stress may be leading to high turnover. Also, it is suggested that corrections officers are being lured to more lucrative jobs offshore. A PSA survey of their members found that 91 percent of respondents had thought about leaving Corrections and 31 percent had applied for another job or approached a recruitment agency. Of the 11 percent who identified other reasons for seeking alternative employment, half referred to problems with management; job size, job satisfaction, and the work environment accounted for the rest (Public Service Association, 2008). Recruitment to fill vacant positions is slow and is highlighted by the decision to advertise offshore.

The current fiscal position of Government has meant that all government departments have been ordered to reprioritise spending, Corrections is no exception. Measures are being taken to cut costs and create a more cost effective service. During this research, one such measure

was implemented. Previously, Christchurch Men's Prison operated with two shifts; this was reduced to one eight hour shift. The implications of this change were that officers used to shift work needed to change their habits and prisoner unlock hours were reduced. However, payroll costs have been significantly reduced. Government has also suggested privatising some prisons.

The Corrections (Contract Management of Prisons) Amendment Bill 20-2 (2009) was passed allowing competitive tendering for contracts by private-sector organisations to manage prisons. It is suggested that funding private prisons is more cost effective for the tax payer than the traditionally publicly funded model (Kay, 2009). In fact, figures suggest that equivalent privately run services in Australia are up to 32 percent more cost effective than their public counterparts (New Zealand Parliament, 2009). The suggestion of private prisons has been opposed by the Opposition (Labour) and Corrections Association New Zealand - the union representing more than 3000 corrections staff (Migone, 2009). Government suggests that privatisation will provide a benchmark for state run prisons. Reduced costs and better inmate rehabilitation are among the reasons given. However, the Opposition suggests that officer to inmate ratios will decrease, along with pay rates, resulting in increased safety concerns and poorer worker conditions.

In summary, the Department of Corrections is in crisis faced with the triple challenge of: reduced cash (as financial strictures are imposed), reduced capability (as much of the workforce is inexperienced), and capacity shortfall (as muster increases).Those charged with translating government requirements into action are the managers in the prisons. Under tight budget restraints, they are under increasing pressure to reduce costs, in turn putting more pressure on frontline workers already in highly volatile and violent contexts. However, to

ward off even more drastic changes, managers must produce results in this constantly

changing organisation.

Current Research
An opportunity arose to conduct a research project examining the strategies prison managers

use to achieve the results they are accountable for. Qualitative methods were used for this

research. They allow the researcher to develop insights into actors' values, beliefs,

understandings and interpretations of events and other phenomena that would be difficult or

impossible using more conventional research methods (Strauss & Corbin, 1998). The

qualitative methods offered allow the substantive area of the prison setting to be studied and

provide for the garnering of data to develop theory.

This research focused on operational managers within the context of three correctional

facilities located on the outskirts of Christchurch, New Zealand. The case study facilities

employed approximate staff numbers of 56, 94, and 420.

Throughout the world, governments are struggling with the administration of prisons. There is

no consensus about how the problems of correctional management should be dealt with. The

debate is polarised between the zealots of the right (ACT party on penal reform) and the left

(Howard League for penal reform). In the middle are those professionals who must run the

prisons.

Research on the management of prisons focuses either exclusively on front-line officers

(Reisig & Lovrich, 1998), the management of inmates (Zhang, Roberts, & McCollister,

2009), or private prisons (Lambert & Hogan, 2009). There is little research on the reality of

managing these institutions. This project represents a first step in developing a good practical

theory to support managers charged with running the New Zealand Department of

Corrections

1.1 The Research Question

Given the economic, societal, and government pressures to perform, the fact that the single

largest cost to Corrections is staff, and managers are the ones responsible for staff

performance, the research question is: In times of organisational stress, what are the

differences between managers who deliver sound results and those who cope less effectively?

Figure 1 illustrates the hierarchical nature of prison services where the participants were

drawn from. The research focuses on the managers and officers within this hierarchy but also

extends to the wider Corrections Department in general.

Figure 1 Hierarchical structure of Corrections for Christchurch prisons (simplified)
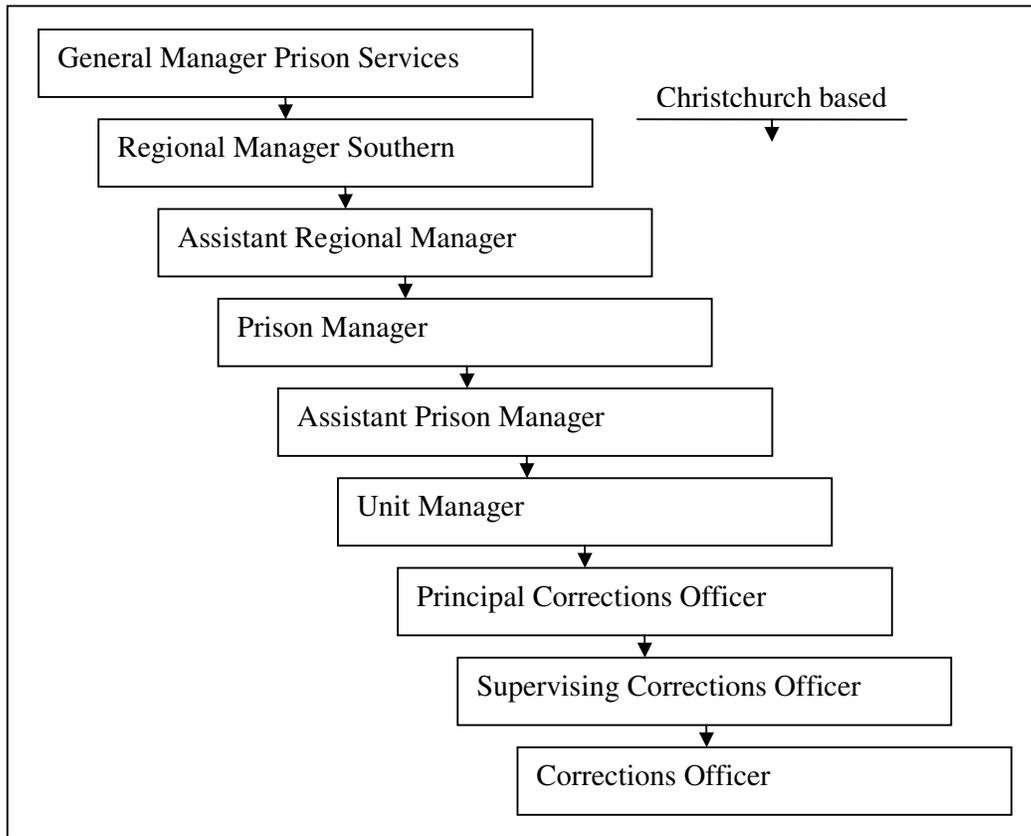
2. Methodology and Data collection

In this chapter I present the research methodologies used, I explain why they were appropriate for the research question, describe the data collection procedures and the coding processes used to analyse the data.

This is a qualitative project, and can be described as a case study (Yin, 2009), employing repertory grid technique, and using an over-arching grounded theory logic in its execution. In the following section I outline the methods involved in this research: case study (Yin, 2009), grounded theory (Glaser & Strauss, 1967), and repertory grid interviewing (Kelly, 1955). My research was conducted in two steps. In Step 1 I orientated myself to the field, utilising

repertory grid interviews to explore the research question: *In times of organisational stress, what are the differences between managers who deliver sound results and those who cope less effectively?* Analysis of Step 1 generated numerous codes and concepts related to effective and less effective managers and directed theoretical sampling for Step 2. In Step 2 I homed in on the social process of building trust and respect and their link to results utilising semi-structured interviews.

2.1 A Quantitative or Qualitative Approach?

Qualitative Data

Leadership and management research has historically been dominated by the quantitative methodologies of the social sciences (Alvesson, 1996). However, as one review of the leadership research concluded "the only point of agreement is that existing approaches have largely lost their usefulness for the further development of the field" (Andriessen, Drenth, Thierry, & de Wolff, 1998). This is primarily because with quantitative data (unlike qualitative data), one cannot be certain that they have captured the essence of the situation or context (Gephart, 1988). The use of quantitative approaches such as structured interviews, and questionnaires would pre-suppose that I knew the questions to ask about managerial behaviour in a prison context prior to beginning the research.

Qualitative research enables the researcher to gain insight into which causal events precede consequences and provide the researcher with the information necessary for good explanations (Miles & Huberman, 1994). Importantly, as put by Miles and Huberman, (1994), qualitative data can be more convincing to the reader because of the incidents/stories obtained through the various collection methods. There is some evidence to suggest that managers are

more likely to trust findings from qualitative research rather than quantitative surveys, partly due to the vividness of the data (Goulding, 2002). The data is collected in the natural setting allowing the researcher to get a handle on what *life* is really like. Exploring the context in this way enables the collection of non-obvious, latent, and underlying issues that would otherwise be overlooked. While quantitative methods allow the researcher to test hypotheses with increased accuracy and less researcher bias, qualitative methods provide for the opportunity to discover and explain phenomena. The present research was more concerned with "discovery and explanation"; with generating hypotheses, than with hypothesis testing, hence it lent itself to a qualitative approach.

Rationale for research

My interest in the research question, together with the interest of other stakeholders was the main driver behind the research. The exploratory nature of the research question prompted the choice of a qualitative genre. Because I was seeking to formulate theory from managers' views of the phenomenon; a priori hypothesising (a hallmark of quantitative approaches) was inappropriate. The lack of relevant theory, the complex nature of managing, the changing nature of the context, together with my inexperience with the context, meant that I was not able to identify the variables and constructs to measure before the project began. This research is intended to generate a meaningful theory that can be: 1) understood and acted upon by the relevant stakeholders with the knowledge that it is grounded in experiences germane to the prison setting, and 2) to provide a basis for more focussed subsequent quantitative research.

Case study

Yin (2009) proposes that a case study design should be considered when: (a) the focus of the study is to answer 'how' and 'why' questions; (b) one cannot manipulate the behaviour of

those involved in the study; (c) one wants to cover contextual conditions believing them relevant to the phenomenon under study; or (d) the boundaries are not clear between the phenomenon and the context. This research project met all these conditions for a case study design. In particular, it would have been difficult if not impossible to answer the research question were the context (prison setting in tough economic times) not taken into consideration.

Biases

I had the benefit of entering the domain with a reasonable degree of independence, in so far as I had no previous experience with the Department of Corrections. However, with qualitative research the researcher's biases can be a threat to the integrity of the research. Therefore it was important for me as the research instrument to be aware of the meanings being presented by the participants. This is what Strauss and Corbin (1998) describe as theoretical sensitivity. My own biases consisted of my personal view of Corrections and the role they play in society and my role as a student of applied psychology and subsequent interest in organisational development. My views stem from both working for a state concern (NZ Customs service) and from my experience with my family's business (aged care provider) an industry that was in the past primarily a public provision. Indeed, it still receives substantial public funding. Also, Corrections is the focus of much negative media attention, which has influenced my perceptions.

My initial views/biases of Corrections were that: 1) Private institutions could provide better value for taxpayer's money, 2) Promotions are often based on seniority rather than suitability, 3) Systems are not working to stop corruption (e.g. contraband), and 4) Recidivism is too great (rehabilitation not effective).

My position as a student and interest in organisational effectiveness meant that I held views on the way organisations should be run and psychological processes that occur. In acknowledging my biases, I approached this project not just as a research dissertation but as a learning experience and viewed what participants had to say appreciatively and non-judgmentally in both data collection and coding.

2.2   Case study method

A case study is an approach to research that allows investigation of phenomenon within its context (Yin, 2009).

The case study method was used because I investigated the role of managers in a particular setting. A case study approach was appropriate for this research because of its theory building ability (Huberman & Miles, 2002). Miles and Huberman (1994) define a case as, "a phenomenon of some sort occurring in a bounded context". By using qualitative methods in a case study setting, theory can be generated as to the causes of the research problem. The case study allows researchers to explore individuals or organisations, simple and complex interventions, relationships, communities or programs (Yin, 2009). A single holistic case study (Yin, 2009) considers the research question in the context of Christchurch prisons. The prisons and their approximate staff numbers were: Christchurch women's prison (56 staff), Christchurch men's prison (420 staff) and Rolleston prison (94 staff).

2.3   Step 1 data collection: The choice of repertory grid interviewing

As a neophyte investigator in a challenging setting, I sought a method to begin the research process that would enable me to combine some structure with the kind of "openness to experience" recommended by Glaser and Strauss (1967). I chose therefore, to use the repertory grid interviewing technique devised by Kelly (1955) as a way of easing myself into the research setting. Repertory grid technique is derived from Kelly's (1955) personal construct theory. The theory aims to identify the personally meaningful distinctions through which people *construct* their views of the world (Bannister & Fransella, 1986). Key points of the theory are: perceptions influence expectations and expectations influence perceptions; the medium through which this happens is known as a construct system; and construct systems are unique to the individual and developed throughout life (Stewart & Stewart, 1981). Kelly argued that people build construct systems from beliefs formed as a result of past, present, and potential future experiences and these constructs inform their theories and models about the world. The repertory grid interview is a technique that enables a person's construct system to be expressed so as to gain insight into to how they see a given problem. In this case, I explored the construct systems developed by prison managers and other staff, to account for the production of results in a prison setting.

The repertory grid interview is appealing as it leans towards an inductive approach, allowing the interviewer to obtain constructs while minimising interviewer bias, intervention and interpretation (Stewart & Stewart, 1981).

The triad method of construct elicitation is one form of the repertory grid interview and was used for Step 1 interviews. The method proceeded in two steps. First, interviewees were

encouraged to think of a set of *elements*, in this case, of prison managers fitting certain criteria. Participants wrote the initials of the managers on numbered flash cards. The criteria were:

A manager who they consider:

      1) to be performing

      2) to be struggling

      3) to have performed well but has since left the service

      4) to have performed poorly and has since left the service

      5) did perform well but has since struggled

      6) has improved from initially struggling

      7) that does or did cope well with crisis

      8) that does not or did not cope well with crisis

      9) is yourself.

In some cases participants used the same manager for more than one element when they could not think of any other manager. Initials were used to protect the anonymity of the managers used as elements.

The interviews continued using the triad elicitation method. The cards were presented three at a time with a total of nine sets. For example, cards 2, 5, and, 8 were presented first followed by 3, 6, and 9 (see). The nine sets allowed most combinations to be presented and were achievable within the time constraints.

The participants were asked: "Please tell me something that two of these people have in common which is different from the third".

Participants responded with constructs (often in the form of sentences which they then summarised for me). Where appropriate I *laddered* constructs to glean a better understanding. Laddering is a technique developed to elicit higher order abstractions of a construct (Hinkle (1965) as Cited in: Bannister & Mair, 1968). For example, a participant, in response to a triad, presented the construct "integrity". I laddered down by asking "what is it about integrity that makes them different from the third?" The response was: "they do what they say they will do*".* In this way the response of "integrity" was made more meaningful by the provision of examples. One can also ladder up by asking about the consequences of the construct: "Why is it important to have integrity?, What are the consequences of having/not having integrity?"

Constructs were elicited without leading or biasing the participants. Hence, the method provided structure, while enabling me to remain open. Constructs represent some form of judgement or evaluation; therefore it is necessary to obtain contrasts of the construct in order to understand it; they are unique to the individual. That is, for one person the concept *personal integrity* was understood in contrast to the concept *lazy*. One participant contrasted *still enthusiastic* with *going through the motions.* Another person may well develop different opposing constructs for the same idea. All participant quotes from Step 1 were obtained in this manner. presents an example of a participant's responses when presented with a triad of elements.

Table 1 Repertory Grid Construct Development

Participant 1 (participant responses in italics)	
(Interviewer) "Please tell me something that two of these people have in common which is different from the third"	
Elements presented: 1,2,3	
Elements 1 & 3	Element 2 (contrast)
Positive influence over others	*Reached plateau in career*
"What is it that gives 1 and 3 influence over others?" (laddering)	
Highly interactive *Visible managers* *Enjoy engagement*	| | |
Higher order Abstraction	Contrast
Highly interactive/visible	*Interested in the mechanics/process of job*
Elements presented: 4,5,6	
Elements 5 & 6	Element 4
Highly respected | *Trust is placed in them by their staff* | *Consistent in doing what they say* *Engage with others* *Deliver on what they say*	*Will change views depending on audience* *Inflexible – set in their ways* | | *Act independently* *Act without agreement* *Have own agenda*

Repertory grid makes it possible for researchers to quantify the construct space of respondents by having them rate elements in terms of constructs. I chose not to pursue this approach, instead, as a qualitative research piece I saw myself, the investigator, as the primary research instrument and coded and categorised the constructs into themes (discussed later).

Later interviews (Step 2) eschewed repertory grid interviewing in favour of more open interviewing based on the themes/categories/codes obtained in the first step. These interviews were focused on collecting data to further enhance the understanding of the themes and establishing a link between the themes and the research question.

2.4   Grounded Theory

To guide the direction of the research, a grounded theory (GT) approach was used. Grounded theory, developed by Glaser and Strauss (1967), is a methodology to assist in the development of an explanatory model grounded in empirical data. Grounded theory was developed to discover the social processes that account for the most variation in the area of concern, irrespective of context, change over time, and behaviour (Glaser, 1998). Strauss and Corbin (1998), argue that grounded theory is a scientific method that meets the criteria for doing ”good science”: significance, theory-observation compatibility, generalisability, reproducibility, precision, rigor, and verification.

Grounded theory promised to be an appropriate method for this research because it provided for theory to emerge out of the data as it guided the direction of the research. The research question guided the beginnings of the project, but GT was the process that brought the constructs to the fore. As is common in GT the research question was modified as the study progressed and became clearer (Goulding, 2002).

Fundamental to theory-building research is the absence of a theory and hypothesis to test; This has the dual role of building new theory and reducing bias in data collection. A grounded theory approach within the context of a case study allows this to happen by providing the tools needed to formulate theory and provide direction for data gathering. In order to maintain *an open mind* I did not formulate hypotheses prior to data collection and refrained from reading the substantive literature concerned with management effectiveness.

I realise that GT has been developed for the explanation of social processes, and that the intent of Glaser and Strauss was that the method should not be constrained by setting. Their concern lay with processes across a range of settings. In this sense, a case study; contained as it is within a particular setting, may appear to conflict with the requirements of GT. However, in reply I propose that 1) the research looked at different settings and cultures (prisons, units etc.) within the prison service. That is, the prison service contains a range of settings, and 2) I did not preclude the possibility of ranging beyond the prison service should theoretical sampling have dictated.

2.5   Theoretical sampling

Theoretical sampling is the purposeful selection of a sample according to the developing categories and emerging theories (Goulding, 2002).

Glaser (1998) proposes that theoretical sampling is the calculated decision to collect data from sources directed by the emerging theory. Unlike purposeful sampling which is decided on beforehand, theoretical sampling directs participant selection according to the needs of the emerging categories and the researcher's increasing understanding of the developing theory (Morse, 2007). As concepts emerge from the data, researchers can direct their attention to the places that will provide the most useful information. In using grounded theory and theoretical sampling, the researcher cannot know in advance what to sample for and where sampling will lead them (Glaser, 1992).

Initially for this study, Data was collected from informants who could provide an overall idea of what is occurring in the system. This is what Morse (2007) describes as convenience sampling. It allows for the boundaries and dimensions of the phenomenon to be determined,

as well as scoping the tentative trajectory of the project (Morse, 2007). An obvious starting point was to work with a senior manager (the Regional Manager) followed by subordinates (prison managers and unit managers) in order to provide data to direct further selection of informants. The project progressed in two steps. In Step 1, I worked with a group of five managers, chosen progressively in consultation with the Regional Manager to represent a range of experience, seniority and perceived effectiveness. I simultaneously collected and analysed the data in Step 1, and as constructs and ideas began to form, identified new people to interview. The attraction of theoretical sampling is that it is cumulative; Each group sampled builds upon previous data collection and analysis. This in turn contributes to the next stage of data collection and analysis. Importantly, sampling became more specific as the project progressed, and in Step 2, participants and questions were more specifically intended to *saturate* categories (Corbin & Strauss, 2008) before finally developing a theory.

The informants were staff from prisons in the Christchurch area across different organisational levels. Unlike random sampling, theoretical sampling does not require a large number of participants. Instead, the number of informants depend on the richness and quality of the collected data (Morse, 2007). Past research with grounded theory projects has shown 10 – 20 interviews to achieve saturation (Dakin, personal communication). This is because data need only be collected until new patterns or concepts emerge (Glaser, 1992).

2.6   Data collection

Prior to data collection, ethics approval was sought and obtained from the University of Canterbury Human Ethics Committee to conduct interviews as described.

2.6.1 Step 1 Interviewing

Five participants were invited to participate in Step 1. Participants consisted of: the regional manager, an assistant regional manager, an assistant prison manager, and unit managers. Interviews were arranged through the Southern Regional Manager and completed on three separate visits to the prisons. Interviews were conducted on site in the managers' respective offices. An attempt was made to keep interviews to 60 minutes. However with the interviewees' permission some interviews lasted up to 80 minutes. Interviews were recorded, and notes were taken.

Step One concentrated on obtaining constructs relating to the construct *effective managers*. Therefore, interviews were broad and participants were encouraged to express whatever came to mind.

Participants came to the interviews with an understanding of the research being conducted (an outline was emailed to them by the regional manager's office -). Prior to the interview they were informed of the need to record for transcription purposes and also of their right to withdraw at any time. Written consent was obtained.

Central concepts emerging from Step 1 interviewing were respect, trust and integrity (discussed later). Theoretical sampling dictated that Step 2 interviews proceed to focus on these concepts to investigate them more thoroughly.

2.6.2 Step 2 Interviewing

Step 2 consisted of six semi-structured interviews that focused on the central constructs from Step 1. In Step 2, I worked with the Regional Manager to identify people (or people who worked for people) who fit the following criteria: A manager who is highly respected and trusted, with a reputation for integrity; A manager who was slow to build trust and respect but it eventually came; and, A manager who lost the respect and trust of their staff, and their reputation for integrity. Interviewees consisted of prison managers, principal corrections officers, a supervising corrections officer and an executive assistant.

The interviews lasted between 40 and 97 minutes and were done on site at three Christchurch prison locations on three separate occasions (two interviews each day). Questions were directed at investigating how trust, respect and integrity facilitate achieving organisational goals and the outcomes of having/not having trust and respect. Questions included: What is it about integrity, trust and respect that make people willing to go the extra mile? If managers are not trusted, what impact does that have on people's willingness to perform? and, What are the results of having trust and respect for your manager? Interviews were recorded, and notes taken.

I was aware of the criteria that paricipants were selected for prior to the interviews. I realise this may lead to bias. However in grounded theory, the primary defense against bias is the awareness that it is inevitable, and in this I was clear about the potential for bias and my need to be *open* to whatever emerged from the interviews.

Data management

Interviews were recorded onto a handheld digital recorder. After each day of interviewing, audio files were transferred to a personal laptop computer and backed up to an external hard drive. Files were erased from the recorder after confirmation of successful file transfer. This was done to minimise the risk of any sensitive data being obtained were the recording device stolen or lost. Files were transferred directly into the qualitative data analysis software Nvivo. Interviews were transcribed. The transcriptions were numbered but not linked to the participant. Notes made during interviews and other thoughts about the research were recorded in Nvivo as memos and linked where applicable to the interviews or steps they pertained to.

2.7   Data analysis

2.7.1   Constant comparison

Grounded Theory is characterised by constant comparison. Glaser and Strauss (1967) proposed Grounded Theory as a "general method of comparative analysis". They suggest that this allows for the emergence of categories from data as an alternative to the hypothetico-deductive method common in social-research. As data is compared with other data, theories emerge and the data can be compared to theory. The task of the researcher is to code the data as links between categories, and central categories become apparent. As categories and properties emerge, they and their links to the core category provide the theory.

2.7.2   Grounded theory: An abductive method

Grounded theory is often proposed as an inductive method (Kelle, 1995b). That is, it is a form of theory building whereby observed specific facts (data) are generalised to predict future states, without bias on the part of the researcher. However, in a grounded theory, because the researcher brings with them all their prior knowledge and biases, they cannot approach the research area with the "blank slate" or tabula rasa required for "pure" induction (Richardson & Kramer, 2006). The construction of any theory must draw on some existing knowledge to form it no matter how unbiased the observer attempts to be (Kelle, 2007). This point has led to the originators of GT to divergent paths in their treatment of the specific uses of theoretical knowledge (Glaser, 1978) and in their coding paradigms (Strauss, 1987) as they develop descriptions into theoretical abstractions (Richardson & Kramer, 2006). Both theoretical knowledge and coding paradigms inevitably utilise the researcher's knowledge to code data into more abstract/higher level categories.

For Strauss and Corbin (1998) grounded theory is a process of induction, deduction and verification; the researcher derives concepts, their properties, and dimensions from the data, they hypothesise the relationships between the concepts and then verify their hypotheses through constant comparison to the data. However, because no researcher can enter the field with a completely open mind, for Kelle (2007) GT is abductive rather than inductive.

Reichertz (2007) describes abduction as an intellectual act, a mental leap, that enables the association of things never before brought together. Abduction is characterised by an inductive study of cases that on discerning a surprising finding, asks how theory can account for it (Bryant & Charmaz, 2007). According to Bryant and Charmaz (2007) abductive

reasoning is at the core of GT methodology 'it links empirical observation with imaginative interpretation, but does so by seeking theoretical accountability through returning to the empirical world.' GT of the Strauss and Corbin (2008) approach is an interplay of analysing inductive data, conceptualising them and gathering further data to check and support the concepts (Bryant & Charmaz, 2007).

2.7.3   Two approaches to grounded theory: Strauss and Glaser

The approach to Grounded Theory utilised for this project followed the Strauss and Corbin model more closely than Glaser's (Corbin & Strauss, 2008). Strauss's approach differs from Glaser's in that it offers a more prescribed, less open form for reaching a theory. At the outset of my research it was more suitable in that, as a newcomer to qualitative methods, it provided more structure and therefore more control over the project. However, as the project progressed it became apparent that both approaches were amenable to my research. Strauss's systematic approach provided structure and the use of knowledge to inform coding whereas Glaser's dictum of "all is data" allowed me to capitalise on information outside of the interviews such as informal discussions with interviewees and newspaper articles to help with concept formation.

2.7.4   Computer aided qualitative data analysis software (CAQDAS)

Data analysis began with the first interviews being transcribed into the Nvivo data analysis software and was repeated for the later steps. Nvivo enabled data analysis, first by the storage, manipulation and retrieval of transcriptions, and second by the creation of codes, known in Nvivo as nodes. The programme provides tools to search, model, link and compare

nodes to assist in the development of ideas about the data and the phenomenon under study (Hutchison, Johnstone, & Breckon, 2009).

Debate has surrounded the use of computer-assisted qualitative data analysis software (CAQDAS) and its impact on method (Hutchison et al., 2009). It has been suggested that the use of CAQDAS has the potential to limit the human role of interpretation and reflection by turning it into a rigid automated process (Kelle, 1995a). Glaser (1998) is opposes the use of even recording and transcribing interviews and proposes that the researcher delimits their data by field-noting interviews and writing up memos then sorting manually into categories and themes. Dick (2007) advocates a similarly informal approach. However, others agree that the capacity for computers to record, sort, match, and link data can greatly increase the efficiency of the data analysis process (Bazeley, 2007; Hutchison et al., 2009). For my research, the use of CAQDAS and transcriptions enabled me to 1) store information necessary for my dissertation (e.g. quotes), 2) provide a sense of rigor expected for a dissertation, and 3) due to this being my first experience with qualitative enquiry, it provided me with security knowing that I could always go back and check the data easily. Also, by using Nvivo it also gave me knowledge first hand of the issues surrounding the use of CAQDAS for research purposes.

2.8 Codes/coding/categories

The coding process consisted of open coding, axial coding, and selective coding which repeated for Step 1 and Step 2.

2.8.1 Open coding

An open-coding process began with a line by line analysis of the transcriptions, concepts were coded in-vivo as they became apparent (Corbin & Strauss, 2008). This process attempts to identify key words or phrases which connect the informant's account to the phenomenon under investigation. This process is associated with early concept development which consists of "identifying a chunk or unit of data (a passage or text of any length) as belonging to, representing, or being an example of some more general phenomenon" (Spiggle, 1994: 493 Cited in (Goulding, 2002)). Comparative analysis compared each incident for similarities. Incidents found to be conceptually similar to previously coded incidents were coded under the same conceptual label and given the same code, as recommended by Corbin and Strauss (2008).

An example of how I undertook the *open coding* process is provided below. In this example, the respondent was describing how a manager was easy to talk to and always gave time to their staff. The manager made others feel comfortable to go to them with concerns and problems.

> *… they are easy to ring up and chat to, and this is a wee bit*
> *around the personality but very approachable.*

The participant contrasted the aforementioned manager with a manager who was not as approachable and difficult to communicate with.

> *…hard work to deal with; approachable, but difficult*

I compared and contrasted these comments to codes already developed and determined that they were significantly different to deserve their own codes. I therefore coded them as *Approachable* and *Difficult to deal with.*

2.8.2   Axial coding

Axial-coding was performed simultaneously with open-coding. In open coding, many concepts are identified as their properties are discovered in the data (Strauss & Corbin, 1998). Whereas axial coding is the process of linking concepts at the level of their properties by putting the data back together by relating categories to their sub categories. A key facet of axial coding is the use of *memos* (described below) that discuss the relationships and delineate core categories or constructs around which the concepts revolve (Goulding, 2002). The categories serve the function of gathering together concepts with similar properties; they were not created for any function other than to provide a simplified view of the phenomenon in order to gain insight into what might be happening (see Appendix C for Step 1 codes and categories).

2.8.3   Saturation

When sufficient data had been collected to develop each category/theme fully it was considered conceptually saturated and that theme was no longer pursued for more information. Saturation occurs when no new codes emerge, that is, the compared data does not add to the developing codes. For example, after three interviews were conducted in Step 1; No new codes emerged from the following two interviews. That is, data was coded under

existing codes from the preceding three interviews and did not provide much, if any new information.

2.8.4 Memoing

Memoing is core to the grounded theory methodology (Glaser, 1998). Glaser describes memos as "the writing up of ideas as they strike the researcher, about the codes that have been developed and any relationships that they may have" (Glaser, 1978). Memos are important throughout the GT process to refine and keep track of ideas. I found myself writing memos at all times of the day as ideas came to mind and I saw how concepts related to each other. Below is a short memo of my thoughts about communication.

> *It appears that when a relationship of trust exists,*
> *communication is enabled. When staff trust that their managers*
> *have their interests at heart and that they will take their*
> *interests seriously, staff are more likely to approach their*
> *managers to discuss issues, problems and also ideas.*

2.8.5 Selective coding

Selective coding is the process of integrating and refining the theory (Strauss & Corbin, 1998). It is done after open and axial coding and is pivotal to selecting a core category. It involves thinking about all possible meanings of all the data. Selective coding is the final stage during which theory emerges.

2.8.6 Validity of the process

Judging the validity of qualitative research is quite different from quantitative research. Glaser (1992) notes that to be trustworthy, qualitative research must *fit* in the eyes of the participants, researchers, and practitioners. Furthermore, it should explain major variations in behaviour and finally, it is accepted that a theory is not concrete and can be modified to accommodate new concepts in other situations/timeframes. Quantitative research is judged on the criteria of: internal validity, external validity, reliability and objectivity. Lincoln and Guba (1986) propose alternative criteria for qualitative research: credibility, transferability, dependability, and confirmability. Credibility is how believable it is to participants; transferability is the degree to which the results can be generalised to other contexts or settings and is enhanced by giving a thorough account of the context and the assumptions central to the research; dependability is emphasised by the idea of the researcher being able to account for the ever changing context within which the research occurs; and confirmability refers to the degree to which the results can be confirmed by others – to mitigate personal bias.

In my research, I checked its credibility as it progressed by asking participants to confirm my hypotheses before proceeding to the next phase. Their agreement gave me the confidence to continue in the chosen direction. Confirmability was sought with close communication with my supervisor. It meant that the results of my research were confirmed as I proceeded. If there was contention on a point, I would go back to the data to clarify my findings.

2.9 Chapter Summary

In this chapter I have explained the methods used in this research and why qualitative methods were appropriate for the setting and research question. The use of grounded theory and repertory grid technique within a case study setting were explained and justified. I also provided an overview of the data analysis that was used, the collection of data, and the storage of the data using QSR – Nvivo. I present the research methodologies used and why they were appropriate for the research topic. I then describe how a total of 11 interviews were used for data collection followed by the coding process used to analyse the data.

3.   Data Analysis

This chapter contains three main sections. In Step 1, I identify the central issues regarding what it is that differentiates effective managers from less able managers. These findings directed my questioning in Step 2. This step involved interviewing theoretically sampled participants from a range of managerial levels to inform the developing theory. Finally, a core construct was developed to explain what effective managers do that enables them to produce results. The following chapter is based on this last section. The coding process consisted of open coding, axial coding, and selective coding which repeated for Step 1 and Step 2 as illustrated Figure 2.

Figure 2 Grounded theory process

Step 1	Convenience sampling Five repertory grid interviews
Open coding Axial coding Selective coding (central theme)	

Step 2	Theoretical sampling Six semi-structured interviews
Open coding Axial coding Selective coding (core construct)	
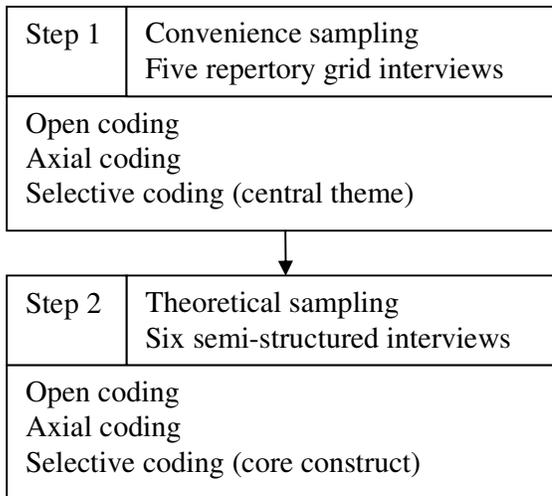
3.1   Step 1 Analysis

Step 1 consisted of the open coding of five interviews where transcripts were broken down into concepts and coded for meaning. At this stage codes were many and they lacked context. Axial coding proceeded to *reassemble* the open codes into categories before developing higher order themes that provided context for the categories in order to gain understanding of the process that was occurring. Finally, a central concept emerged that began to explain what was occurring that enabled managers to achieve results.

The first three interviews were very broad and elicited many constructs that were considered important tenets of effective managers. The next two interviews were more focused and concentrated on the constructs that affected the results in the organisation. When comparisons were made between interviews it was found that all interviews had similar constructs in common. No new constructs were obtained from the two further interviews.

3.1.1 Open Coding

Inherent in repertory grid interviews, participants provide constructs in their language in response to the questioning. Each construct provided was taken as representing a code and coded *in vivo* - Nvivo's function to code transcripts using participant's own words, on-the-go. By coding in this way, data was interpreted less and it minimised bias from interpretation.

In the early stages of open coding, codes grew rapidly in number as everything I coded seemed important and potentially relevant. This is in-line with grounded theory research (Corbin & Strauss, 2008). Not wanting to jeopardise the research, I kept an open mind and as a result, in excess of 100 codes were recorded. After further comparison, a reduced set of 80 codes remained (see for codes and sample quotes). Further comparison consisted of going through the developed codes and comparing codes again and determining that some of them were conceptually similar and deserved the same code all along. In the open coding process it was easy to occasionally overlook some already developed codes due to the large number of codes developed.

Table 2 Open coding - 10 of 80

No	Code Name	Sample quote
1	Know where they stand	*…reasonably firm individuals in terms of holding their position but they give you the feeling that people would know where they stand*
2	Competence	*He has made a couple cock-ups because of laziness*
3	Decision-making	*They are not clear in their decision-making*
4	Reliability	*…they say "yeah leave it with me" and it just gets left with them and it doesn't get done*
5	Approachable	*…their personality, they are easy to ring up and chat to, and this is a wee bit around the personality but very approachable.*
6	Consultation	*…reasonable facilitators and quite consultatory in their approach*
7	Familiarity of rituals	*…not familiar to the rituals and protocols of the*

		organisation and how it operates
8	Strategic vision	*…feed the progress that they can make in the way they shape parts of the organisation*
9	Coaching/mentoring	*…they basically do a coaching mentoring thing*
10	Innovation	*…level of innovation that would happen that they would think outside the square to solve problems*

3.1.2   Axial Coding

Glaser and Strauss (Glaser & Strauss, 1967) suggest that codes should be grouped in terms of the conditions that give rise to them. The mass of data collected and the multiple facets covered meant that initially codes needed to be separated into their respective area of investigation. In-line with the research question it was necessary to find out both what managers did that contributed to results and what the results were. Therefore, the eighty codes developed earlier were grouped into manager competencies that lead to results and the results that followed from them. Furthermore, a feature of repertory grid interviews is that multiple levels of concepts are abstracted and therefore codes of higher abstractions are inherent in the coding. For example the specific concept of *consistent in doing what they said they would* was preceded by the more abstract concept of *reliability* and finally preceded by *integrity*. In this way *Integrity* forms an overarching theme into which other concepts fall. Therefore, the initial 80 codes were broken down into three super-ordinate categories: 1) manager competencies, 2) results, and 3) higher order abstractions. The result of this categorisation meant that 35 codes were related to the process of influencing results (Appendix C).

Finally, I grouped the remaining 35 codes into ten loose categories representing competencies of managers (Figure 3). Putting codes into categories provided order to the codes. The categories were identified to have positive influence on the results required of managers and use headings from the data.

Figure 3 Manager Competencies affecting performance

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                    ┌──────────────────────┐
                    │ Manager Competencies │
                    └──────────┬───────────┘
        ┌──────────┬──────────┼──────────┬──────────┐
 ┌─────────────┐┌─────────────┐┌────────────┐┌───────────┐┌─────────────┐
 │Communication││ Confidence &││  Decision  ││ Integrity ││People Skills│
 │             ││ Competence  ││   Making   ││           ││             │
 └──────┬──────┘└──────┬──────┘└─────┬──────┘└─────┬─────┘└──────┬──────┘
 ┌─────────────┐┌─────────────┐┌────────────┐┌───────────┐┌─────────────┐
 │ Interaction ││ Knowledge & ││ Management ││Supporting ││    Other    │
 │             ││ Experience  ││   Skills   ││  Staff    ││             │
 └─────────────┘└─────────────┘└────────────┘└───────────┘└─────────────┘
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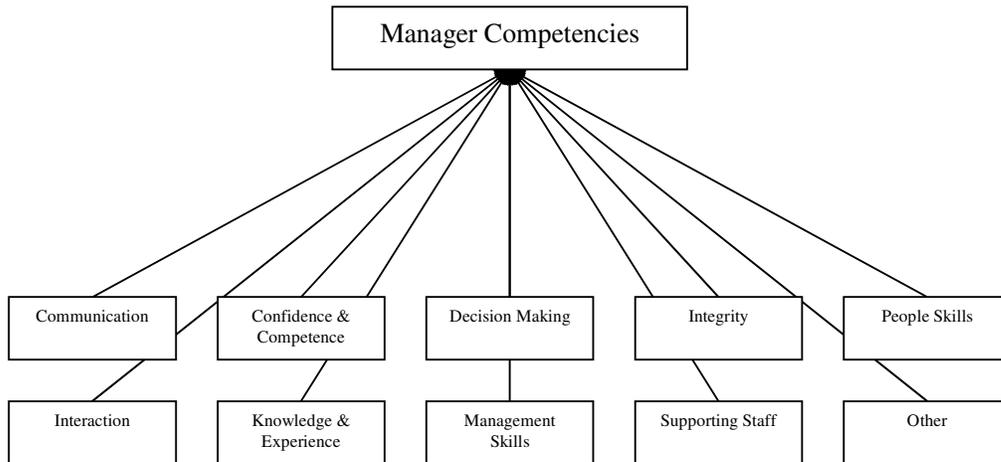
To develop the categories I used a combination of Nvivo's modelling function and pen and paper sorting to group codes having similar properties. To do this each code was selected individually and another code was compared to it, I then decided whether the two codes belonged together or if they were sufficiently different to warrant a separate category. This continued until all codes were accounted for. Below, an example of the process of *axial coding* is considered. First, I selected the code *Know where they stand.* Then, I selected a second code (*Coaching/mentoring)* and compared the two for similar properties. The codes were judged to be distinctly different from each other so they were used to form the basis of two developing categories. *Know where they stand* eventually formed part of the category *Integrity* and *Coaching/mentoring* came under *Supporting staff*.
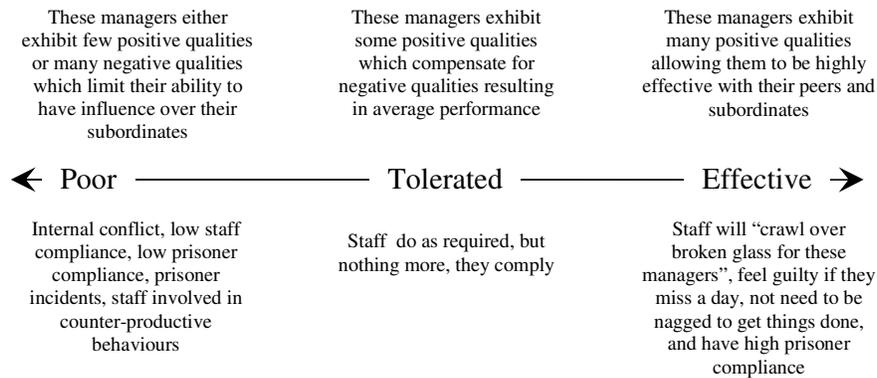
The coding process oriented me to the field. As categories developed I was able to gain a better understanding of what it was that managers were doing that made them perceived as effective. The ten categories cover a range of competencies exhibited by managers and are summarised in Table 3.

Table 3 Step 1 Categories and sample participant quotes

Category Name	Sample quote
Communication	*… you know where you stand, they are straight shooters, they say what they expect you to get results…*
Confidence & Competence	*…someone who is certainly in touch with their position, their role, who is absolutely in sync with it and can be relied upon to get any task done.*
Decision Making	*…he also will not make a decision; he mucks around and is not good at making decisions.*
Integrity	*He says he'll do it and he will do it.*
People Skills	*...genuine interest in others… others tend to respond to that and see that here is someone who has a genuine concern for people rather than worried about process walking around like some nodding stiff in the organisation.*
Interaction	*…they are able to work with people rather than at people, so they can... blend into a group quite well but still be the leader of that group…*
Knowledge	*…extensive custodial management experience and that experience is well known by others and relied upon at times by others.*
Management Skills	*All those things, he is a good strategic planner, he's a good timekeeper, time management…*
Supporting Staff	*…they are probably the best two staff to coach and mentor will staff, they personally spend a lot of time with staff, giving them feedback, coaching and mentoring them.*
Other Personal Attributes (accepting of criticism)	*Sit back, listen, takes it in and comes up with good reasoned decisions and doesn't take offence if someone tells them that they're wrong.*

At this point it appears that there is a link between manager competencies and effectiveness/results but at this stage it is unclear why. The proposed link between managers' competencies and results is outlined in Figure 4.

Figure 4 Results of managers' behaviour on staff performance

These managers either exhibit few positive qualities or many negative qualities which limit their ability to have influence over their subordinates

These managers exhibit some positive qualities which compensate for negative qualities resulting in average performance

These managers exhibit many positive qualities allowing them to be highly effective with their peers and subordinates

← Poor ———————— Tolerated ———————— Effective →

Internal conflict, low staff compliance, low prisoner compliance, prisoner incidents, staff involved in counter-productive behaviours

Staff do as required, but nothing more, they comply

Staff will "crawl over broken glass for these managers", feel guilty if they miss a day, not need to be nagged to get things done, and have high prisoner compliance

3.1.3 From categories to themes: change, decision-making, and integrity

Having developed categories from the codes, I then progressed to shift categories into themes which took the analysis to a higher level of abstraction. Several themes became apparent throughout the research process. Codes and categories represented specific abilities/characteristics (competencies) of managers whereas the themes selected were broader and reflected the contexts in which the competencies were witnessed.

With the research question in mind (In times of organisational stress, what are the differences between managers who deliver sound results and those who cope less effectively?) themes were developed so as to better understand what was happening and direct the research to begin formulating theory. For example, the category of *Interaction* was made up of codes of how managers interact with their staff. Whereas, the theme *Change* encompassed *Interaction* as an important aspect of what managers do when change is occurring. Likewise *Interaction* was also important in the other themes - *Decision-making* and *Integrity*.

Change

In order to cut costs, reduce reoffending, and accommodate increasing musters together with differing ideologies of new governments means that change has become constant in New Zealand's prisons. Change is most often initiated from head or regional office then passed down the line to be implemented with differing rates of success. In most cases, the corrections officers on the floor are the ones most affected by change and therefore the ones responsible for the success or failure of those change initiatives. How managers deal with their staff during these times is vital to the results that ensue. Therefore, change was selected as a theme because of its significant place in the day to day management of prisons.

Decision-making

Due to the ever changing environment within prisons and the unpredictable nature of some inmates, managers at all levels are required to make many decisions often without the benefit of time to consider all possible outcomes. How managers go about making decisions and the decisions they make have a large bearing on their staff's reaction to and respect for the decision and the manager.

Integrity

Integrity can be described as consistency between words and actions. Emerging from the data is the dominant impression that the characteristics forming this category-come-theme are necessary for managers to have influence over others. Integrity can make the difference between being liked as a person and trusted as a manager.

The themes, like categories were not to be considered as in their final form, they were simply working concepts/hypotheses to make the developing theory clearer. A core construct was not sought at this stage. It was important to keep the research open to other possibilities and ideas

that might be relevant to the developing theory. Also, the three themes selected are not

independent of each other; in fact they interact quite closely. *Change* is something that is a

fact of life in the prison environment but it does not happen without managerial de*cision-

making*. However, the impact decisions have on staff is related to the *integrity* of the

manager. Below, vignettes portray these themes.

Theme: Change

A dominant theme that emerged which is in line with an organisation under stress is the issue

of change and the different approaches and outcomes managers have towards it.

> *Unfortunately we live in a, especially in the prison service, we*
> *live in a time where change is constant. This is the only thing*
> *that is constant is change. So if you don't change, you're out by*
> *yourself, you're fighting a losing battle and you'll probably drag*
> *some of your staff with you.*

One aspect of constant change is how managers deal with it, some are able to frame it in a

positive manner and get buy-in, whereas others are resistant and negative towards it.

However, most do not appreciate the logic and motivation behind it.

> *You just accept changes, you know it has to happen so you just*
> *get on with it.*

And

> *You would find that one, that if there was change required you*
> *would have someone coming back to a unit, getting a staff*
> *meeting going, talking to the staff and selling it to the staff 'so*
> *these are the things we've got to do, these are the pitfalls, these*
> *are the good things, we know you're upset, however this is what*
> *we've got to do there is no way around it, lets work through and*
> *make the best of what we have got'.*

In contrast to:

> *…non-effective managers are those who are stuck in the past,*
> *they cannot move with the times and resist the change to the*

> *point that irks them, and it upsets them and they take it back to*
> *their staff and pass their feelings on to their staff.*

Effective managers must put their personal feelings aside in order to remain effective with their staff even when management decisions have not been well thought through. Here, a unit manager describes their frustration:

> *I don't think you enjoy the constant change… ten weeks ago I*
> *spent hours and hours and hours, coming in at the weekend*
> *putting rosters together to move all the staff out of the units into*
> *my unit and reassign them and get them going. Well, I spent*
> *seven weeks on leave and find out they're all going back to the*
> *units again… yeah… you come into the office and you kick the*
> *wall a few times and bang the desk, then open the door and put*
> *a smile on your face and go 'this is what we've got to do guys,*
> *how do we work through this'.*

Some managers appear to have the ability to shelter their staff from above, remain positive and get the buy-in from staff, whereas others appear to actively work against the system which in turn affects their staff's behaviour. Managers who deal with change well, achieve results with their staff better than those who do not.

Theme: Decision Making

Decision making is a central part of any manager's job. The ability to make good decisions can lead to staff respecting and trusting their managers. These unit managers speak of their peers:

> *…[staff] know that a good decision has been made, all the*
> *factors have been considered all the risks have been considered,*
> *everything has been mitigated and what comes out the end is*
> *the best possible outcome given the situation*

And

He is a very good decision maker, respect has been built up by staff when certain incidents have happened and he has made good decisions that are based on… he has factored in caring about staff and staff safety.

Below, a unit manager describes this respect-trust relationship.

Respect for the knowledge and the decision-making process in the job. I think in both cases that the staff actually respect the managers as well but you can't say that for all staff, but you certainly know that they trust their management skills and trust their decision-making and respect the person for that.

The ability of a manager to make good considered decisions seems to have a large bearing on how staff perceive them and it appears that how managers deal with specific incidents is instrumental in making or breaking trust and respect. The following narrative shows how two managers (upper manager and unit manager) responded to the same crisis, their actions having quite different consequences to the trust staff had in them.

I've [upper manager] only been here a month or something and they ring me up in the middle of the night and they say there has been this massive escape from one of the wings and these guys have got out because the staff have unlocked the cell - a double-up cell - and the prisoner has come at them with a bloody 12 inch bayonet, stabbed three staff - they are laying on the floor dying sort of style. He's taken a hostage and managed to get out, get a car – him and another guy -and they're off. Even though I have only been in the job a month I know how bad that is. So I jumped in my car and get out here in about 20 minutes, you know, there is blood everywhere and you don't even know what you can do but you support the staff. They rang the unit manager, he didn't even come out, he just went back to sleep… He could never be a manager again after doing that, the staff would never have forgiven him for that, it wouldn't have mattered what he did from then on, that was just a fatal flaw…That was a leadership moment, I knew that it was a leadership moment, I knew because I had only been in the job for a month that I couldn't really add a lot of value by going out there, but you go out and provide support to the staff and you do what you can do. But I wouldn't have much technical knowledge I'd only been here a month.

Making the right decision, often in times of crisis can significantly affect the trust and respect

staff have for their managers. Staff appreciate when managers make decisions taking into consideration the staff's needs.

Theme: ***Integrity – consistency of words and actions***

The following vignette is an example of how staff like a manager because of their people skills but do not trust the manager to fulfill certain duties because they are unreliable.

> *They [unit managers] both have a very strong empathy for people in general…for what they need and how to deal with them or how to help them with their jobs and in some respects their personal lives… so they are very good like that and I think that's probably why staff tolerate both of them to the extent because they are like that, cause staff realise that…it's all fine with me standing here and see a manager and say they're only doing what is barely adequate, staff realise that too. They go to their manager and say can I have this particular piece of uniform, can I do this, can I get this done and they say yeah leave it with me and it just gets left with them and it doesn't get done. That's really frustrating for staff, a little thing for us is a big thing for a staff member and even though these people are guilty of that they are still quite well liked by the staff…*

It suggests that having people skills is important, but without reliability their effectiveness is compromised. In contrast, the following is about the importance of going through with what is said.

> *…they tend to be consistent in doing what they say, there is not often a departure or if there is, the way they would go about it is to reengage with their staff, they are reasonably firm individuals in terms of holding their position but they give you the feeling that people would know where they stand.*

3.1.4   The development of a central concept

The impression left after reviewing the categories and themes developed was that a central concept/theme mediated between managers' behaviours and performance. The central concept

is that of staff's trust and respect for their manager. When staff trust and respect their managers they are more likely to perform and thus achieve results. Figure 5 illustrates this relationship. Integrity and its underlying concepts such as honesty, consistency of message, consistency of doing what they say (reliability) and standing for something are central to obtaining trust and respect. In times of change, the respect and trust staff have for their managers is paramount to getting buy-in and getting things done. Decision making plays a pivotal role in the formation of respect and trust, certain defining moments often in times of crisis can influence the respect and trust staff have for managers.

I have not separated the concepts of respect and trust because it is out of the scope of this research. If anything, respect is a precursor to trust but, for the purposes of this research they should be considered as one construct.

Figure 5 The Mediating Role of Trust & Respect on managers' and staff's behaviour
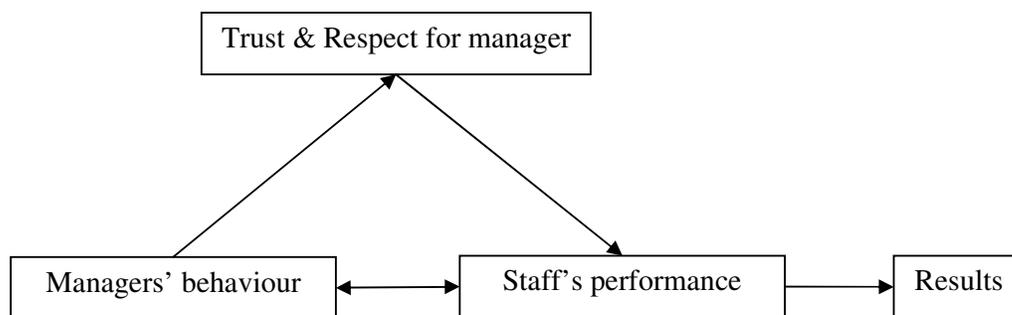
Trust as encapsulated interest

Hardin (2002) asserts that people trust in those whom they believe have strong reasons to act in their best interests; what he calls *encapsulated interest*. He proposes that the main incentive for those they trust is to maintain a relationship with them in order to share in the benefits, be it economic, love, or friendship. In the context of this research, Hardin would suggest that

staff will trust their managers when they perceive that they have their interests at heart

because both parties have a vested interest in the outcomes of the relationship.

3.1.5 The consequences of respect and trust

The vignettes below demonstrate the role of respect and trust in achieving results.

In contrast to an average performing manager, a manager who is very well respected can

achieve extraordinary results as in this case when a budget crisis was on the agenda.

> *I can think of one unit I went to and they have on their agenda [a budget crisis]…this manager who is no longer here sadly. He was highly respected by his staff, the staff are falling over backwards to come up with ideas themselves to save money, it was sort of bizarre. I went to this meeting and they said the staff and prisoners had got together - because the prisoners are part of us as well -, so they heard about the budget crisis, they want things to work between the prisoners and staff, and worked out that each group is getting two cartons of milk a day but actually the total usage is three. So they say 'we are happy to share' - the prisoners and the staff are happy to share each other's milk - and they save one carton of milk a day by sharing milk… It is a great example of how well respected he was. Because he was well respected he got the message clearly across to them so they understood the context and what needed to be done and they wanted to support him.*

The following vignette shows the value of being respected in terms of less absenteeism.

> *Well, [Fred] is a prison Manager here now, when he was a unit manager he always had the lowest sick leave in his units. I remember from one of the union guys from when I first started here… he said the reason he has the lowest sick leave in his units is because his staff have such respect for him and if a staff member is on a 6 to 2 shift and his kids are running in a school race at one o'clock in the afternoon that staff member can go to [Fred] 'can I go out an hour and a quarter early' and [Fred] will go 'I'll do your shift for an hour, you go to the school race' so rather than take a whole day sick leave which is what other people in other units would do, they would just say fine and they would feel guilty about not being there.*

Step 1 Summary

Step 1 consisted of the open coding process where many codes were developed. Axial coding focused on categorising the codes and developing themes to help give clarity to the research. Finally a central theme emerged which provided direction for further study. My central hypothesis after analysis of Step 1 is that a key difference between managers who achieve good results for the department, and those who do not, is that effective managers have the trust and respect of all their constituents. Respect and trust are gained through a range of behaviours/abilities. For example, managers who are respected and trusted are reliable, always available, and keep their word. The concept of integrity is central. Also, respect and trust are created (and lost) through certain defining *leadership moments*, you can think of these as crises. These are times when managers have made good decisions such as showing support for their staff, which can be as little as just being there.

The focus of the study is the production of results; it aims at identifying what it is that effective managers do to achieve those results. At this stage of the research a working hypothesis is that trust somehow operates to allow performance to be enhanced; that is, when managers are trusted and managers trust their subordinates, superior results can be achieved. In light of the developing theory, I refined the research question to reflect the role trust plays in aligning individual and organisational goals. It is posed that when conditions are such that people's needs are met through organisational processes they will be more motivated to work because they want to; therefore achieving not just the organisational objectives but their own. In essence the question asks: why is it that when staff respect and trust their managers, they produce better results? Therefore, the refined research question is: What is the role of trust in creating an environment in which individual and organisational interests are aligned to best achieve individual and organisational goals?

3.2   Step 2 Analysis

Step 1 found that the concepts of respect, trust, and integrity are central to mediating staff behaviour (performance) and manager behaviour. Where Step 1 was broadly focused, Step 2 interviews honed in on these issues. With Grounded theory, the goal is to discover the underlying social process that explains the phenomenon under investigation. With this in mind, Step 2 focused on discovering what it is that makes subordinates trust and respect their managers and when there is a trusting environment, why it is that subordinates produce better results.

As in Step 1, Step 2 consisted of open coding followed by axial coding in which higher order categories and themes were developed. Finally a core construct (category) was selected to explain the process of developing trust and respect leading to performance.

3.2.1   The core construct (theme)

The analysis has thus far drawn me to several hypotheses:

- A range of competencies and specifically integrity are important in managers being effective and lead to staff trusting and respecting them.

- Having the trust and respect of their staff differentiate between effective and less effective managers and have a significant bearing on staff performance.

- As part of gaining respect and trust in managers are managers' willingness to trust and respect staff which creates an environment in which staff can thrive.

- The consequences of having a trusting relationship with staff have many positive results, both directly and indirectly financially – better working relationships improve morale in-turn reducing costs in sick days.

- Respected and trusted managers know how to build relationships and maintain a connection with their staff.

In accordance with grounded theory methodology a unifying theme or 'core category' that accounts for a significant proportion of the variance in the data should be developed (Corbin & Strauss, 2008; Strauss, 1987). To this end I concluded that the core construct is that *effective managers work primarily for the wellbeing of their staff and are seen to be on their side.*

3.2.2 Selective coding: The emergence of the core construct

Following open and axial coding of Step 2, selective coding was completed to decide on a super-ordinate core construct to account for the variance in the data. As mentioned above, managers being perceived to be on the staff's side was the core construct selected because of its ability to explain the themes and in turn provide the best explanation of the research question.

> *They feel that they are on their side, there's nothing worse than not being able to trust your manager because you don't want to confide in them.*

When the core construct was selected, it was compared and contrasted with codes and categories to reinforce its selection. To be a core construct it should be able to account for a significant number of the codes and categories (Strauss & Corbin, 1998). By comparing the previously coded and categorized concepts with the core construct I was confident that my selection was appropriate. In earlier phases of the research, I was careful not to 'force' data into categories, instead loose categories and themes were developed to accommodate the data. However, in the selective coding phase, I actively sought to confirm the relevance of the core construct by comparing all previous data to the potential core construct. In doing so, it

became apparent that it was the obvious choice and little doubt remained as to its status; that is, it explained much of the data.

3.2.3   Chapter summary

In this chapter, two steps were completed. In Step 1 the central finding was that trust, respect, and integrity are key to the production of results. Theoretical sampling based on the results of Step 1 directed questioning in Step 2. It focused on what it is about trust, respect, and integrity that allow managers to produce results and how they gain trust and respect and a reputation for integrity. The construct of 'On our side' emerged as being core to managers gaining the trust and respect of their constituents and is the focus of the following chapter.

4.   On our side – The core construct

This chapter is divided into three parts. First, the core construct is introduced. Managers being perceived to be on the side of their subordinates was the construct that emerged as core to mediate the relationship between managers' behaviour and the performance of subordinates leading to results (Figure 6). Secondly, the gaining and losing of trust and respect is explored. This section delves into the processes of managers developing trust and respect; what it is that managers do. Finally, the consequences of trust and respect are put forth. This section covers results important to being a highly effective organisation and relates the role trust and respect have in achieving results. Throughout the research, a key result has been the effect that respect for superiors has on absenteeism. This can be used as a 'case within a case'. Many of the themes revolve around this relationship.

Figure 6 Causal model of how managers achieve results
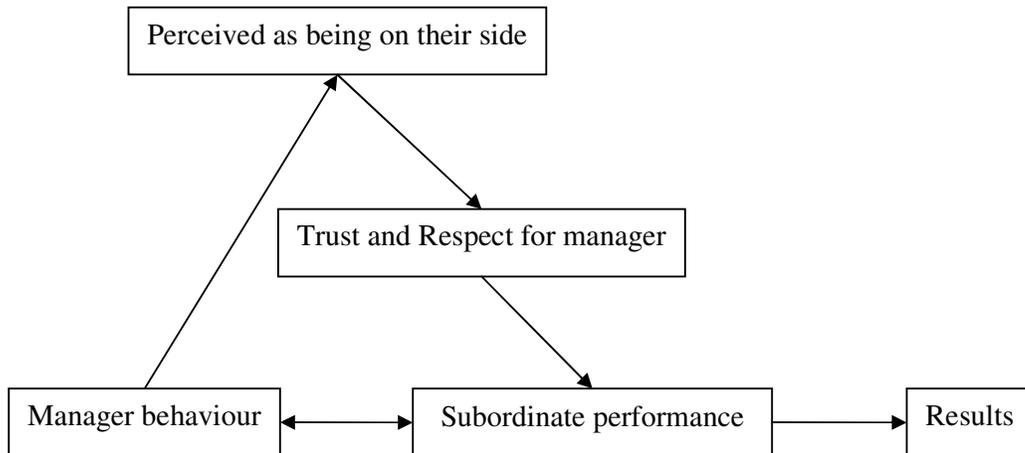
The core construct *on our side* was chosen for its ability to accommodate and explain the sub-categories below it.

4.1   Definition of 'on our side'

What it means to be 'on our side' is that managers respect staff for who they are, value their input, do not ostracise them for their mistakes and look after their safety and well-being. It does not mean to support staff's bad behaviour. When staff misconduct does occur, required disciplinary action should be taken, but it should be done respectfully and staff should not be "hung out to dry".

Managers who are able to exhibit these qualities are managers who staff want to work for because they see that managers have their interests at heart and are working for them as is illustrated in the following. This participant talks of how their manager approaches those below him.

They just feel that [he] understands them… so they are more
willing to do things that are requested of them

Managers show that they care by leading by example, managers who lead by example will not ask their staff to do something they are not willing to do themselves; it shows they are on the same team, on their side. Managers who are genuine (characteristic of being transparent, real and honest) and empathetic, make themselves available to employees because they are approachable, staff know that they will be taken seriously and non-judgmentally.

4.1.1 Organisational support theory

Eisenberger, Huntington, Hutchison, & Sowa (1986) developed organisational support theory to describe the relationship between perceived organisational support (POS) and organisational citizenship behaviours (OCBs). According to Eisenberger et al. (1986), "employees develop global beliefs concerning the extent to which the organisation values their contributions and cares about their well-being" (p. 501). Likewise, employees develop general views to which they believe their supervisors care about their wellbeing and value their contributions (Kottke & Sharafinski, 1988). As illustrated by a prison manager:

I think there are times when you just have to come over here
and give people five minutes and it is quality [time] for them. I
think the minute they feel that you are not interested in what
they have to say they feel that they are not valued and I think
you are on a spiral down after that.

Levinson (1965) and Eisenberger et al. (1986) suggest that because supervisors act as agents for the organisation, employees view supervisors' support as indicative of the organisation's support. Levinson goes further to say that employees transfer their views of the supervisor onto the organisation. So if, for example, a manager is not supportive of an employee with

regard to safety, the employee will view that as the organisation's position. In a meta-analysis of POS, Rhoades and Eisenberger (2002) found such support strongly affected employees affective commitment, job satisfaction, positive mood at work, desire to remain at organisation and turnover intentions. The study also found that absenteeism, tardiness and extrarole behaviour directed at the organisation were also affected by POS, however not as strongly. Moorman, Blakely, & Niehoff (1998) reported that interpersonal helping, individual initiative, personal industry, and loyal boosterism were also associated with POS and that POS fully mediated the relationship between those behaviours and procedural fairness. In a study of private prison management (Lambert & Hogan, 2009) the researchers found that both supervisory support and management support (the two dimensions of organisational support) have negative effects on job stress and positive effects on job satisfaction and organisational commitment among employees at a private correctional facility.

4.1.2   Significance of core construct in the prison setting

The prison setting is unique. Unlike most organisations, the clientele (inmates) do not want to be there. Also, the hierarchical nature of the organisation creates a large gap between top management and the floor (Corrections officer level), which has fostered a "them and us" attitude. One participant highlighted the symbolism of the new regional office being built outside the wire (providing physical separation), and contrasted it with the "old days" when the officers on the floor would see the superintendant every morning.

> *There is not a lot of trust and respect with managers, some of that is because… they have been out of uniform for quite some time, the people who are out of uniform they are missing the day-to-day stuff…Unit managers have been removed a little bit further away…and then we have people like... [upper*

*managers] who have never had anything to do with prisoners,
very difficult for them to get respect from rank-and-file staff.
They hardly ever see them… the mere fact that this building
[regional office] is outside of the wire… when I first started
all staff walked down the corridor past the superintendent's
office and the superintendent would come out and we would
have…a parade…everyone called him sir, everyone knew he
had worked 20 or 30 years on the floor…so there was
automatically respect for the position, possibly not the person
but certainly the position…*

This reflects an environment riven with conflict both between inmates and corrections staff

and staff and management. In this environment people need to know who they can trust; who

has their interests at heart. When dealing with inmates, staff need to be able to trust that their

superiors are looking out for them. Many decisions directly affect the safety of the staff. Staff

need to know that their superiors are concerned for their welfare.

4.1.3 Trust

The significance of managers being seen to be on staff's side is that it paves the way for a

trusting relationship. As mentioned earlier, Hardin (2002) describes a trusting relationship as

encapsulated interest. By showing that they are on their side, managers are showing that they

have a vested interest in the relationship. Where no such relationship exists, stakeholders are

at odds with each other, constantly fighting for control. Instead of pursuing common goals

and interests, they are torn in different directions.

4.1.4 Alignment

McGregor (1960) postulated that the primary task of management is to order/arrange

organisational conditions that individual interests can be fulfilled in the pursuit of

organisational goals; that is, the organisation's and the individual's interests are aligned. By alignment, McGregor suggested that individuals will *want* to pursue organisational goals because by doing so they satisfy their own needs such as satisfaction, achievement, growth and development.

The following vignette from a supervising corrections officer shows how they trust a corrections officer to "act up" into his position. Both the organisation's and individual's interests are achieved.

> *He gets it because when I'm not here he is sitting in my chair. Why? Because I know when I'm not here he is going to do it, I don't have to worry about it, I don't have to think about it. [The PCO] doesn't have to worry about it, doesn't have to think about. I don't have to keep on going down to make sure he's doing the job - or micromanage him. [The UM] knows she does not have to be on [the PCO's] back to keep an eye on him. The place will flow. So he gets the benefit of hopefully when it comes around to promotion time he will be higher up on the list and the unit gets the benefit because it is more stable.*

The conditions necessary for alignment to occur can be difficult for managers to achieve as it involves them relinquishing control. However, managers who are able to amalgamate autonomy and control simultaneously are able to reap the benefits of subordinates reaching their potential. To relinquish control necessitates that managers trust subordinates, but also, that staff trust their manager/organisation. Without both parties buying into a trust relationship, alignment cannot happen because one party cannot be sure the other will fulfil their part of the relationship.

Participants talk of when conditions are such that performance is enabled or hindered by the trust placed in them. In this vignette the informant describes the results of not having a relationship of trust with superiors.

> *… if you have a manager who doesn't trust you this is frustrating for both of you because they micromanage you a bit more and it saps morale…because you spend half your time... if the manager doesn't trust you, you spend half your time covering your arse, writing e-mails and putting everything in writing, and things. You shouldn't need to do that if your manager trusts you. You don't need all that back up you can just get in and get things done.*

One facet of having a trusting environment is that it allows staff to know where they fit and to appreciate the results of their actions so they can work towards organisational goals to their own benefit.

> *…probably a good example is of PCOs acting up to unit managers that they are aware of the workload that if it comes in today if we can resolve it today rather than wait until tomorrow there is less work for us all. [For example] An inspector rings up; the manager is not there and if the staff can deal with it straightaway, it doesn't become a big thing. If the manager has the rapport with staff, the staff are going to do that for them.*

Similarly, this participant describes a corrections officer who takes ownership of his position and works proactively at doing his job.

> *If the place is running well he gets that vested interest in it. He realises that if this place is ticking over and is always ticking over and we deal with these things as we go along rather than wait for them to become a serious issue… he's not dealing with s$%#.*
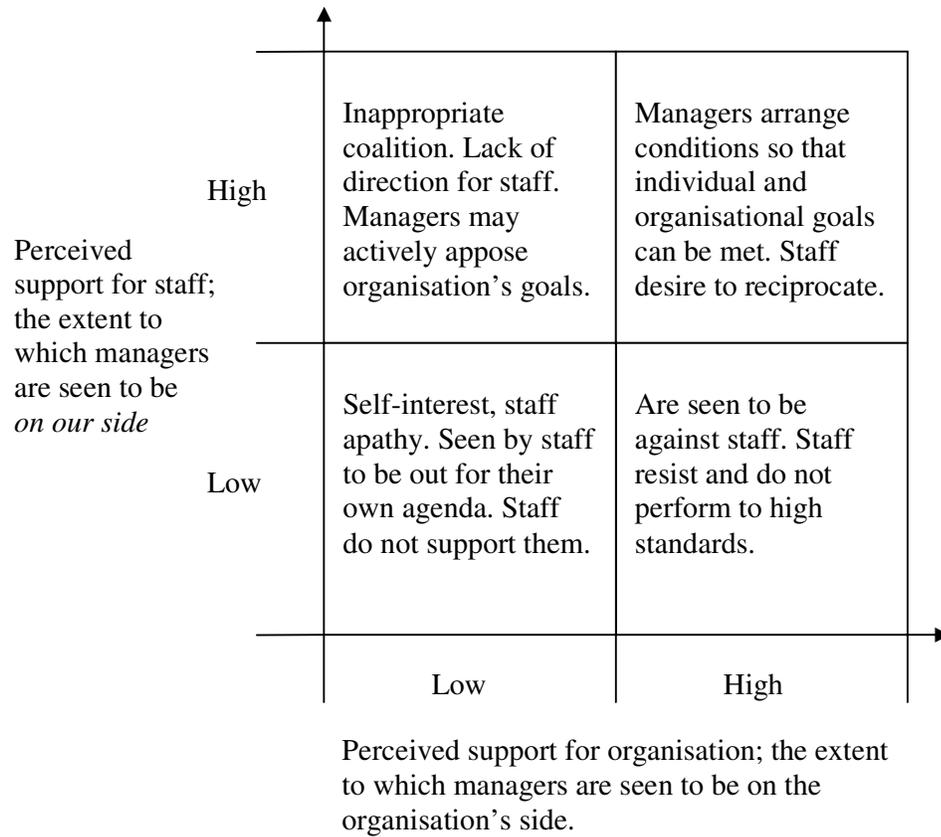
4.2 Overview of the model

The Department of Corrections has various stakeholders including: Management, staff, inmates, community, police, and government. The central challenge is to arrange matters so that all stakeholders perceive the manager to be 'on side'. In the following analysis, I consider only three stakeholder groups – managers, staff, and to a lesser degree, inmates. The construct *on our side* is in reference to managers being on the side of staff as opposed to being on the organisation's side.

Being seen to be on the staff's side is central to staff trust in managers, leading to trust in the organisation. When staff perceive their superiors to be on their side they are more willing to enter into a trust relationship and reciprocate by performing. By performing, they are able to satisfy their own interests/needs. In terms of the construct on our side managers fall into one of four categories to varying degrees: (illustrated in Figure 7)

1) High organisation support (the organisation's side) – High staff support (the staff's side)

2) High organisation support – Low staff support

3) Low organisation support – High staff support

4) Low organisation support – Low staff support

Figure 7 Model of staff and organisation support

High	Inappropriate coalition. Lack of direction for staff. Managers may actively appose organisation's goals.	Managers arrange conditions so that individual and organisational goals can be met. Staff desire to reciprocate.
Low	Self-interest, staff apathy. Seen by staff to be out for their own agenda. Staff do not support them.	Are seen to be against staff. Staff resist and do not perform to high standards.
	Low	High

Perceived support for staff; the extent to which managers are seen to be *on our side*

Perceived support for organisation; the extent to which managers are seen to be on the organisation's side.

The goal of a manager should be to achieve the position of being perceived to be on the staff's side while at the same time valuing the organisation's position (e.g. high on both axes, Figure 7). This is supported by research that suggests employees who work for a leader who is considerate of staff and focused on organisational tasks perceive the organisation to be more supportive of them, and they are more committed to the organisation (Hutchinson, Valentino, & Kirkner, 1998).

The following vignettes give a glimpse of the type of managers who might fall into each of the four categories.

High organisation support – High staff support

This Principal Corrections Officer, who is well respected, described his philosophy of having a balance between relationships with the staff on the floor whilst still maintaining his authority – and the requirements of the position - and realising the benefits of doing so.

> *…they have never actually separated themselves from the floor. You will hear a lot of the top managers say that there should be a definite gap between yourself and the floor… whereas I have a different way of thinking; I think there should be an authoritative side to you but also a camaraderie sort of side to you as well. You can actually... they are separate, but you can utilise those to your advantage as well.*

This Unit Manager shows that they have concern for the staff by explaining the organisation's position. By doing so they are able to satisfy the staff's requirement to be informed while also being committed to the organisations position.

> *If there are staff shortages they will sometimes say 'no' they can't cover but they will sit down with staff and tell them why, they will provide an explanation. They won't just sort of cut off and say 'no'.*

High organisation support – Low staff support

This Unit Manager, in contrast to above, does not show support for the staff and is just seen to be concerned with herself and the organisation's position. It especially highlights the consequences of not being seen to be on side.

> *…this particular manager is just going by the general ruling and not covering and so basically there the staff look at that as 'she is not looking after the well-being of the health and safety of staff, she is looking after her budget'… all of the staff sort of start questioning her, arguing with her rather than actually*

*respecting her and working with her and it just creates a whole
conflict, you know, they don't listen to what she has to say.*

Low organisation support – High staff support

This Unit Manager quite blatantly shows their view of the organisation and at the same time

influences the views of his staff. However, they still got on with their staff and they respected

him for his commitment to them.

> *So if you go to the other extreme you would have someone after
> being informed of change going back to the unit, going 'what a
> pack of %$#@!% dickheads, this is what they are trying to do
> now'…which then your staff buy-in to that type of attitude.*

Low organisation support – Low staff support

This unit manager was clearly out for themselves, and staff knew it. They did not gain the

respect of their staff or their peers.

> *I think they may have been a bit more self-centred perhaps … if
> we got underneath it all what really motivated him was not the
> work itself but personal ambitions for themselves that couldn't
> be filled, they felt that they might be able to get that from
> somewhere else rather they persevere within the organisation.*

4.3   Precursors to being seen as 'on their side'

Having identified the core construct, I then turned my attention to the question: How does a manager signal that he is on the side of the staff (while also holding the organisation's interests at heart)? As I returned to the data to identify constructs linked to *being onside* three concepts/competencies were seen as important. Emerging out of Step 2 were the concepts of positive regard, demonstrations of support, and leading by example (Figure 8).

Figure 8 Precursors to performance
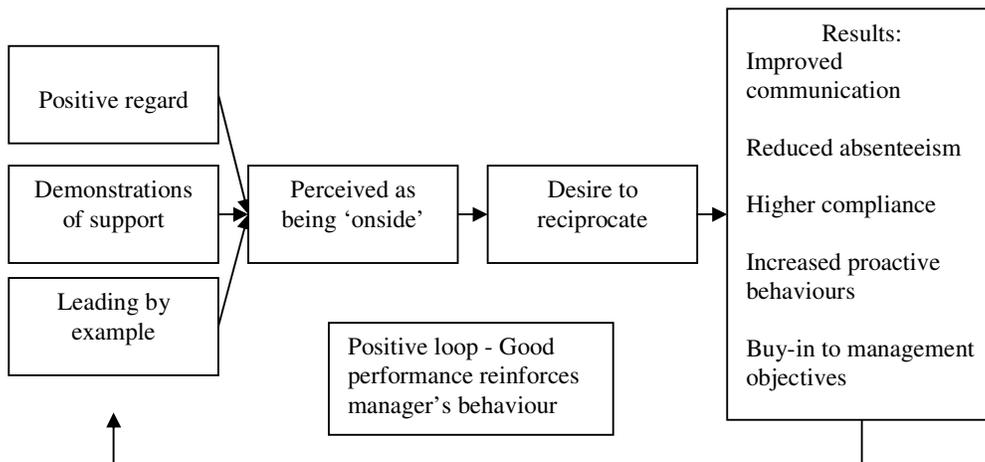
4.3.1   Positive regard

Difficult times for staff can be dealt with in many ways with different outcomes. Positive regard is the approach of being non-judgmental, empathetic and having genuine concern for people. Below, vignettes describe how positive regard is a facet leading to the perception that the manager is on their side.

Managers who publicly humiliate or discipline staff are seen to be against them whereas

managers who refuse to ostracise staff for failures are seen to be on their side. The following

describes how an effective manager is one who does not act out of spite.

> *You see [he] has never joked about that with me, he knew that I*
> *felt so bad about it. One of my previous bosses, when I*
> *accidentally crashed the car…never ever let me live it down and*
> *I just felt really bad …So I felt really bad and she kept bringing*
> *it up and I was quite embarrassed in the end.*

A manager's approach to discipline can have an adverse effect on both the member being

disciplined and the member's peers as described below.

> *But then there are other times where it is unprofessional, it's*
> *done in front of everyone else and I suppose some managers are*
> *guilty of that which is really a no-no because once again, it just*
> *gets the hackles up on the backs of staff.*

Unlike above, this manager knows how to discipline staff and at the same time gain their

respect.

> *He would kind of let them know they're wrong but in such a way*
> *that it is not a negative thing and also if you have done*
> *something really, really bad and there is a group of people*
> *around he won't single you out in front of that group.*

Carl Rogers (1956) believed that supervisors, like therapists, should exhibit high levels of

empathy, understanding, and unconditional positive regard. He proposed that supervision be

much like the psychotherapy process and that supervisors should demonstrate congruence and

genuineness as an individual. In support of this, Pierce, Carkhuff, & Berenson (1967)

assessed supervisors rated on dimensions of empathy, respect, genuineness, concreteness, and

self-disclosure (often called "facilitative conditions" (Schacht, Howe, & Berman, 1989)) and

found that supervisees assigned to high-functioning supervisors showed greater improvement in performance as compared to those assigned to low-functioning supervisors.

The vignette below describes how a corrections officer went through the disciplinary process and was treated respectfully throughout.

> *…the officer felt that he was very fairly treated throughout the whole process, obviously these things get out really quickly out here, but because he wasn't being bagged at a higher level, he felt that was important.*

The person-centred approach proposed by Rogers (1967) was initially formulated as the foundation for a system of therapy. He describes it as "…a relationship in which at least one of the parties has the intent of promoting the growth, development, maturity, improved functioning, improved life of the other." (p.39). As Rogers discovered, such a definition covers a wide range of relationships including that of the administrator and their staff groups (Rogers, 1967).

> *…he will try to understand why you have done what you have done and how that came about and then want to work with you to fix it.*

4.3.2   Demonstrations of support

The decisions of some managers to rely on general rulings to enforce compliance have the effect of disengaging staff because staff feel they are on the organisation's side or looking after themselves. Whereas managers who take the situation into consideration when making decisions or at least explain their decisions can maintain engagement. Schopler & Thompson (1968) describe how certain acts are more valued if they are specific to the recipient's need rather than universally rewarding, which suggests that some leadership behaviours will be

more effective at influencing perceived organisational support than static or impersonal

organisational policies. Also, the value of the benefit will be greater to the degree that the

donor does not appear to be motivated by personal gain from the recipient's resources (Jones

& Davis, 1965).

> *…here is someone who has a genuine concern for people rather than worried about process walking around like some nodding stiff in the organization*

In contrast to:

> *They become very robotic; instead of being personalised and human being they become in a sense…what's the word… insensitive…*

The following vignettes relate to how managers are often seen to be budget orientated and

that the staff feel they take second place; managers and the Department are not seen to

support staff.

> *It is the situation where they want to try and talk with the manager to try and get the best result for both sides but when they know that the manager is all budget orientated, they don't tend to follow that path.*

And

> *Therefore, you have got staff health and safety compromised with a lot of burnout going on for the staff… therefore I did lose, I suppose, a bit of respect for that unit [manager]… for their way of thinking for I know that when he was in the unit manager seat or even as a PCO a little while back, he was quite annually onto the um... onto the callback list, you know, covering callbacks himself, whereas when he jumped up a couple seats, it became a whole different focus and it was like, 'let's not go there -look after the budget'.*

Some managers are able to fulfill the technical requirement of managing the budget whilst

maintaining the human side by keeping their rapport with staff. Those who are overwhelmed

by budget requirements or who have developed "tunnel vision" towards the budget have lost

sight and neglected an imperative part of being a manager.

Valuing the floor starts at the top

The department overall has an effect on staff's perception of their value as illustrated by the following. In this vignette a SCO was not looked after when he needed support even though he had worked hard for the department. It did not appear that the department cared for him, so he in-turn reciprocated with a "stuff you" attitude.

> *…a certain acting PCO was continually doing a good job but was being lumbered with more and more work …and instead of being rewarded and just the common thing of saying thank you, was getting overlooked [for promotion] and when it came to this person having personal problems…, externally, they were not looked after in a sense even though they had done good for the Department and for their manager. They were sort of brushed aside I suppose, in the sense that they were not worried about the external personal problems… and that led to, basically, a 'stuff you' sort of attitude…um…well they stayed in the job, their manager went to higher levels and he sort of stayed in the unit he was in and refused to act up [to higher levels], just wanted to carry on with his SCO rank and do the basics and nothing more. He has since come around again, and taken on the acting role again, but there is quite a bit of…sort of… water under the bridge has gone by, yeah.*

This PCO felt that the Department had let him down when he needed medical attention.

> *Well I have had my nose broken from a blind hit from a prisoner, in terms of management involvement I can't really say much about it I was more annoyed with medical's involvement because they can't treat us. [I] had to go and use external treatment, so basically all I got from our medical was a towel put over my nose even though it was broken across my face. I was trying to follow up the $30 requirement, cos it cost me $30 to get a specialist to re-break it that day and I never got reimbursed for that and there was quite a process and annoyance as well going through that. It's not really an example I can use towards managers though, it's just the Department in general.*

All levels of the organisation are affected by the management approach of superiors.

> *In a way they [upper middle managers] don't trust their*
> *manager to do the job in some areas either, like we don't have*
> *the trust in the General manager a lot of time for the staff on the*
> *floor, so like he has pulled all the sponsorship for the staff this*
> *year.*

Gouldner (1960) posits that discretionary aid is valued more highly than aid that the donor is forced to provide because it indicates the donor is concerned with the recipient's wellbeing and reflects their positive valuation of the recipient. In one study it was found that perceived organisational support was six times more strongly associated with the favourableness of high-discretion job conditions as opposed to low (Eisenberger, Cummings, Armeli, & Lynch, 1997). In the following vignette, the participant describes how staff's respect was raised for a manager who went far beyond requirements to look after his staff.

> *…he halted operations on the site, in the areas that were*
> *involved [in a mini riot] to make sure the staff are okay before*
> *they went back to duty and also put on a lunch from the kitchen*
> *as well, which under tight budget constraints is a rare thing.*

The above vignettes suggest that when managers have the interests of their staff at heart they will be respected and trusted for that. This includes looking after their staffs' safety, genuine concern for them and their families, not viewing then negatively or humiliating them in front of co-workers and overall simply valuing them as human beings. When managers are able to do that, the likelihood is that they will be respected, trusted and have the loyalty of their staff, and the staff will want to work for them.

4.3.3   Leading by example

Leading by example is an important aspect of gaining the respect and trust of subordinates that leads to a reciprocal relationship. When managers are lazy or expect staff to do as they say not as they do, staff do not respect them and will not perform. When staff cannot trust that their manager will go through with what they say, or lie to them staff are more likely to mimic that behaviour than to aspire to some other ideal they have not witnessed.

Interviewees talked about one particular manager (a manager from outside of the prison) who "wouldn't ask you to do anything he wouldn't do himself" and of the respect staff had for him because of that. One described him as:

> *…probably the best front line manager here…he gets in and he does it himself. We had a staff assault, a staff member got stabbed in the neck. He is not a prison manager…and he is in the unit trying to help out, trying to help the bloody staff, helping with the menial tasks. He is there on the spot whereas other managers, who are below him - local managers - are nowhere to be seen.*

Another interviewee speaking of their own manager talks about how their manager undermined them and then lied to cover it up and the result that ensued.

> *That's it, straightaway, straight out the window. What else are you lying about?*

When asked what is it that make staff want to go the extra mile for respected managers the interviewee responded:

> *The manager is leading by example, therefore they want to*
> *follow the example, why fall short in your abilities and your*
> *presentation and demonstration of your work when your leader*
> *is doing high standards as well?*

A recent change in corrections has seen working hours reduced from two shifts to one.

Opposition to the change was widespread and staff buy-in was a must. The example below is

what two informants had to say about the example managers were setting.

> *An awful lot of PCOs come in at 7:30/7:45 have lunch and*
> *bugger off by 3:45. So they walk past the staff who are still*
> *going to be here for another hour or more having come into the*
> *place at the same time as them… How do you expect your staff*
> *to support you and have a bit of trust in you if you are basically*
> *rubbing your nose in it every day…*

And

> *…staff have resigned themselves to the fact that this is*
> *hilarious. What else can we do about it? …how can I make an*
> *issue about this when the person I would make the issue to*
> *higher than them - their manager - is just as bad, they are*
> *doing the same thing. Come in-late, take an extended lunch*
> *break, not really do that much, and then piss off early. If I want*
> *to complain about that person, let's go higher up, they are doing*
> *the same thing.*

The importance of role models to the development of talent

> *If you have a role model as a manager, then you aspire to that,*
> *you work towards that level and that is the sort of person in this*
> *job that... people with a career and mind in this profession will*
> *look towards and think 'I want to be like that'*

> *Well, a lot of people join this job for a career and they need*
> *role models in higher positions to aspire to and if they are not*
> *there it is sort of like the blind leading the blind I suppose.*

Section summary

In this section I have explored how three primary factors: positive regard, demonstrations of

support and leading by example create the belief that the manager is *on their side*. In the

following section I explore how the perceptions of the manager being onside results in

improved performance, mainly through the mechanism of reciprocation.

4.4   Consequences of trust and respect

The following section explores the consequences of having an environment of trust and respect. Primarily, reciprocation is a key mechanism through which results are delivered brought about by the desire of subordinates to reciprocate for being *on their side*. Reduced absenteeism and increased communication are two important results that are affected by the desire to reciprocate.

4.4.1   Trust and Respect foster Reciprocation

Georg Simmel (1950) proposed that social equilibrium and cohesion could not exist without "the reciprocity of service and return service," and that "all contacts among men rest on the schema of giving and returning the equivalence" – the norm of reciprocity. Few concepts are as ambiguous and obscure as reciprocity (Gouldner, 1960) yet, its importance to the functioning of society is undeniable.

Trust and respect facilitate a culture of reciprocity. Reciprocation, according to Gouldner (1960) is taught as a moral obligation that serves for a mutually beneficial exchange. Staff reciprocate because of felt obligation for the acts and concern afforded them by their managers in order to "discharge their obligations" (Blau, 1964).

> *Well, I guess a lot of them is that you have treated them pretty good... like they have come in wanting to go to the dentist or wanted to do this, wanted to do that and it is the good things that people remember when the chips are down. A) if you have not been good to them, if you are continually telling them no, when you ask them for something the likelihood is it is not what*

you want to hear either. So I think we have to be mindful of building that wee nest egg of favors up. Not to hold them over people, but it's a swings and roundabouts thing you know. If you want to work half an hour later today, you've got to be prepared when they are wanting to get away, to reciprocate on it... I think you tend to give them more than they give you but when you look at it across the board, you have got heaps back... And like, if I leave here at five o'clock, more so when the managers leave, their staff are running the units. What they need when they walk out the door, those work habits continue on. Otherwise they haven't achieved a thing. If those staff despise their manager, they are not going to do that.

Not only do staff produce better results when they respect their managers, but prisoners responsiveness to managers is also affected as in the following example in the toughest unit in the prison where the PCO was respected by the prisoner. It was a good result in the first sense, but also the respect for the PCO went up because he dealt with it so well.

So it is what they call a prop... you could see stuff happening all over the place. So there was like a big Mexican standoff, things were loud and kind of tense and I just went directly to the president and said 'hey look' ...cos it was the black power who were giving us the grief this particular day... I said, 'I'm not asking you to back down or anything like that but this is not a win, win situation, this... If you can just amble off to your cell now, you guys have still made your mark, you've still kept your head up but it's not going to cause any trouble for your boys and none of our guys are going to get hurt, let's just get on with it' and he just sort of puffed his chest out, got up and that's exactly what he did. Now, as soon as he moved towards his cell, the others just got locked up, no troubles at all...The staff on the day, all the staff that saw that happen, I got respect for that...

By fostering reciprocity, managers can achieve performance beyond formal obligations. Reciprocity is a key aspect of having staff go further than their job description prescribes.

In describing the employer employee relationship, Commons (1924) stated what the worker sells "when he sells his labour is his *willingness* to use his faculties according to a purpose that has been pointed out to him. He sells his promise to obey commands." As Commons

points out, the formal authority afforded to a manager is very limited in its application. Importantly, the employment contract requires only minimum standards be fulfilled, quite different from having staff strive for optimum performance. As Blau and Scott (1963) allude to, this type of relationship promotes compliance and discipline but does not encourage employees exert effort, accept responsibility, or to use initiative or creativity. The goal of managers should be to extend their influence over their employees beyond the scope of their formal authority. In order to do this, a manager must furnish "services that oblige subordinates to him" (Blau & Scott, 1963). Acts such as helping out subordinates when not required are appreciated and staff may reciprocate the favour. Below, a prison manager describes how he lightened the workload of his unit managers by doing what was a small inconvenience to him.

> *I sent out an email…[regarding some inmates]. I just opened the spreadsheet up and there were something like 10 names there. I quickly went through the system and found out what units they were in, listed the units beside them, and just put in my email 'I've quickly gone through to identify the units to save you some time'. That'll be appreciated because they think you're saving them work. Like, my view is while I was in there [the office], I may as well do all the units rather than each of them (6 people) go in and do the same task. I went and did it to save them time, but not only that they then look at that as I just haven't pushed it forward, that I've actually taken a bit of time and done a wee bit myself, because they just hate paper shufflers.*

Reciprocation is a result of building a trusting environment. However, Eisenberger et al. (1986) found that the norm of reciprocity differs in its acceptance by employees. Employees with higher exchange ideologies responded to perceptions of support more than those with low ideologies. Reciprocation therefore is only one motive for staff to increase performance. As mentioned earlier, the alignment of individual and organisational interests through the creation of trust means that staff are not just performing to "discharge felt obligation" in terms of reciprocation but, that staff also perform to satisfy their own needs for satisfaction and

growth. The result of having an environment where conditions are *aligned* and reciprocity encouraged is increased performance, areas such as absenteeism.

4.4.2   Trust and respect mediate absenteeism

A common finding thus far is the effect that trust and respect have on absenteeism. When managers are respected, subordinates do not take illegitimate sick days; a key result for the department. Sick days are easily measured and hugely costly to any organisation, the taking of sick days for other than what they are intended for is one area that staff's trust and respect for managers can have a huge impact; staff will reciprocate the favor of being treated well by not taking sick days. This finding is a useful "case within a case" that could be explored more and acted upon to realise the benefits of lower unwarranted payroll costs.

In Step 1 the data suggested that staff do not take illegitimate sick days because they actually care about/feel obliged to their colleagues and managers and feel guilty for not being at work. In this step, when asked what the results of not having respect for their managers were, participants responded:

> *…staff with no respect for the manager-sick. No interest in,*
> *don't care about it-sick, I couldn't be arsed about it, I couldn't*
> *be bothered.*

And

> *I know that staff talk about they want to take a certain day off*
> *and they will come out and say among their own peers…well, if*
> *I don't get it, I'm going to go sick anyway.*

One way in which absenteeism is reduced is when communication is enabled through having trust.

4.4.3 Trust and respect encourage communication

The result of managers not having the trust and respect of their constituents is average performance by staff – "*they won't excel themselves*". One of the core failures in this situation is communication. Staff do not approach these managers about concerns - from staff corruption and inmate problems to needing time off for childcare. Downward communication does not have the desired effect because staff do not want to listen to or act for their manager. Trust enables communication because individuals know that when they have something to say, they will be listened to and more importantly they know it will be acted upon. If a manager lacks integrity (consistency between words and actions) a staff member will learn not to trust them when they fail to deliver on their promises or puts concerns into the too hard basket. In turn, the manager will not be approached with future concerns and communication will suffer.

Reduced absenteeism is facilitated through communication.

> *They feel that they are on their side, there's nothing worse than not being able to trust your manager because you don't want to confide in them. A manager who is trusted and respected is looked upon as a true leader. The staff will be honest rather than dishonest they will completely confide in them and tell them truths about family life and they want to take a sick day because of this, whereas if they don't trust their manager/have no respect for them, they will just take a sick day regardless if it was for the use it was intended for.*

In the following vignette, it illustrates how a manager who is proactive and shares the interests of his staff can achieve multiple positive outcomes for both the individual involved but also the organisation, a recurring theme that emerged was staff's willingness to take sick days rather than approaching management to try and accommodate them.

> *He came to me and said 'I've got a problem with my child care on a certain day, it's organised and everything else and…' 'how*

can we cover it? Can we cover it over let's say you… somebody else covering you for that…' the other option was that the person would be so stuffed they would have to take the whole day off and go sick or domestic leave and we have already got a drop in productivity if you put it that way… so let's look at a different way of working it. So they came to me, I went to my manager about it ok, and I talked to him, I said 'we have a problem regarding…' just by moving things around and talking to staff members we were able to facilitate shift changes, we were able to get more open about it, shift changes that that person… they basically were able to organise themselves more that they were able to do shift changes on certain days that they would come in earlier and by coming in earlier and doing the eight hours they did changes with someone who was on a 6 to 2 and a person who was on a 6 to 2 did their 8 to 5. So we have lost nothing. We haven't pulled wool over anyone's eyes, we haven't done anything big, it's all cleared, control knows about it, managers know about it and everything else… we are able to facilitate them so that person was still able to do their eight hours work, still able to do their duties, and was still able to look after the kids on this one certain day.

The results were that the department did not lose any productivity because of staff shortages, they did not incur added costs of sick days and staff coverage and built the respect of the person involved and other staff, as the manager said "… we got the smiley-face that week".

Similarly, when the lines of communication are open due to the respect and trust involved staff are more willing to approach their managers with concerns, bring issues to their managers and provide input, but also staff are more likely to first, listen to what their managers have to say, buy-in to it and then respond. A prison manager describes people's motivation to work for a manager.

I think it comes back to that respect thing, if the people under you, around you, dislike you, whether that's through lack of respect or personality itself. There is just not going to be the same buy-in. A) they are probably not going to want to do it for you. B) when you are explaining to them they are probably not listening because they don't give a toss, because they don't want to do it for you.

Staff who do not respect their manager "don't feel a thing" whereas the ones who do will

approach their manager with concerns.

> *…let's look at the good aspect, people who buy into it, you know. That's what you're looking at. Straight away, the lower sicks. A horrible thing to say, some staff member comes up it's been a bad week 'I can't be bothered coming in'. Ring up the manager and 'I'm not coming in', whatever else, 'I'm not coming in'. Lie about it you know, what's the point… they don't feel a thing, rather than talk to the manager 'hang on I'm getting stressed by the situation we've had, or what's gone on' and deal with the… well maybe you do need a couple days off, 'you've got a couple of DIL days (days in lieu), I can accommodate them… let's get you some time off'. Be proactive about it, have a little common sense about it.*

In the following vignettes a prison manager speaks of the positive results of respect and trust and staff wanting to work for them. It shows how proactive conscientious behaviours can be the result when the conditions allow for them.

> *I think when people want to work for you they are actually coming up with ideas. If you are away that day in a meeting and something comes in, they've picked it up and started working on it without asking you, you know, they are looking at ways to help you out. They are more likely to cover for you than, 'well, he's away who gives a toss'.*

And

> *[A manager] …was filling in for me here and in my absence we had put out nominations for volunteer of the year you know… just to recognise the work they have done. So, he put all that out, I come back to work and took over-where we are up to. Well, [he] followed up the following week on e-mails where we are at, trying to see where we're at... when he didn't have to do that. But he was purely doing that, because I had come off leave and he knew I would have stuff on my desk and he did it to help my workload out. Now, if we didn't have a relationship built it wouldn't have happened like that. He would be thinking "I'm back to my old job now, leave it to you." So it's a little thing like that. They mightn't mean much but if you get ten of them in a day that can save you a huge amount of work. I guess it is like the pyramids, they couldn't build them by themselves it took thousands and thousands of people to do it.*

When a reciprocal/trusting relationship exists, staff are able to pursue the organisation's goals and at the same time satisfy their own individual interests. The consequences being that performance is lifted with results such as reduced sick leave, more staff buy-in to organisational objectives, willingness to take on responsibility (acting up to higher levels) and less need for micromanaging because staff are proactive, already doing what needs to be done.

A further result alluded to in the data is that inmate compliance is also facilitated through the same process. On the other hand when managers are concerned only for themselves and furthering their own agenda or who are overly concerned with system requirements at the expense of staff/inmate relationships are not respected or trusted by their subordinates. Staff see this as "*looking after themselves*" or "*looking after the budget*" and don't see why they should give anything more for them because they feel that their manager doesn't care about them.

4.5   Chapter Summary

This chapter explored the construct *on our side*. Managers who are perceived to be on the side of staff are respected and trusted. The three concepts: positive regard, demonstrations of support, and leading by example are important for managers to be seen as on the side of their constituents. Reciprocation is a key mechanism through which perceived support leads to results. Specific results include increased communication and reduced absenteeism.

5.   Implications of Research

The present findings are that (a) employees form perceptions concerning the extent to which their managers value their contributions and cares about their wellbeing, in particular the

perception of being on their side; (b) such perceptions lead to employees' levels of trust and respect being formed; and (c) when trust and respect are present, individual and unit performance can be increased and absenteeism reduced in reciprocation for their treatment.

Factors that mitigate against a manager being perceived to be on their side.
Aside from the individual characteristics of managers, other factors contribute to managers being percieved to be on the staff's side. Many managers are focused on budgets more so than on staff. This is from government and head office pressure to reduce costs. However, the emphasis on cutting costs has increased office work and reduced time for managers to be out with staff. Also, it has resulted in "tunnel vision" for some managers that may not have the desired effects. An unintended result of pressure to cut costs may be a downturn in performance from staff, which in-turn will push costs up. Cutting costs are a key objective of government, and in such economic times an affordable prison service needs to be maintained, but it may be that simply focusing on budgets is not the answer. Managers need to manage both the budget *and* the staff.

Also, as Eisenberger et al. (2002) have suggested, the wider organisation has an impact on how staff view their manager's intentions. As managers are seen as agents of the organisation, staff may project their perception of how the organisation values them onto their manager.

The implications for selection and training
The findings highlight the importance of selection and training. Both areas are significant to the running of any organisation and have the ability to impose substantial positive change if implemented correctly. Currently the selection of managers (within the prison) is primarily

promotion within the organisation. This has a major benefit of staff respecting managers for their knowledge and experience with actually having done the job they are asking others to do. However, promotion based on seniority and other criteria have not necessarily led to the appropriate people in the jobs. Furthermore, some staff are angry at management over some decisions to promote, which incidentilly, erodes perceived support, as illustrated in the following.

> *[He] came from an outside agency, so you'll have staff who will always remember that-he never came from the floor, he came straight in from somewhere else… [But] what you do when you are in a position is the answer, not how you got there, because we have some managers who have worked their way up from the floor who are not worth a S#$@ - excuse my French. They're not worth a S#$@ and you have got to question how the ^%$# they got promoted.*

In line with my findings, selection criteria should be focusing on qualities that are difficult to train (stable personality traits). Qualities such as the ability to approach people with positive regard, where it is required that people genuinely have concern for others and are empathetic. Integrity, as alluded to in Step 1 is an important trait required to facilitate trust and should be selected for. Polarised against these are the traits of self-centred, narcisistic managers who are not seen to support their constituents.

Where knowledge and experience are lacking, training and support should be given to bring them up to a higher standard.

With new and (promising) existing managers, training should be undertaken. Special focus should be put on teaching them how to manage both the technical and relationship sides of their jobs. That is, managers need to be aware of their role of commitment to their staff and the organisation simultaeneously. Training should focus on balancing responsibilities rather

than defaulting to managing technical aspects. Poor managers deemed unlikely to benefit from training should be reevaluated as to their position in the organisation because their being in that position undermines perceived organisational support.

Coaching in how to approach staff with positive regard should be considered to realise its benefits. Importantly, it should be reinforced that showing subordinates respect and dignity when (for example) disciplinary action is required, respect can be gained.

In conclusion, my findings indicate that achieving superior results is a consequence of managers being perceived by their staff to be *on their side*. Employees held beliefs concerning how their managers value them, formed by the approaches used in communicating with them (positive regard), demonstrations of their support, and leading by example. Such perceptions of *being onside* lead to reduced absenteeism, better communication (upwards and downwards), and other pro-social behaviours (e.g. self-directed work). Attention must be paid to help ensure that managers are in place who can manage both the organisations needs and the staff and inmates needs; who know how to be "on their side". Throughout the research, it has shown that some of the biggest gains in respect and trust are in negative times. Staff stabbings, prison riots, disciplinary action, and unwanted organisational change are unwanted circumstances but they are also when managers show how much they value their staff. Levels of respect and trust will ensue.

The use of QSR-Nvivo for a grounded theory project

Nvivo has been a useful tool to store and retrieve information easily, it allowed me to search vast amounts of transcribed data for words/themes that I sought to elaborate on. However, it was easy to get distracted from the main concern of the research and get caught up in

mindless coding instead of dwelling on the interrelationships of concepts. I see now why there is opposition to using CAQDAS for research but am still convinced of its value. The computer cannot do the research for you, it is up to the researcher to *discover* the emergent theory and although the program provides tools to help identify relationships, without the input of the researcher, nothing fascinating will eventuate. For me, one of the largest barriers to creative thought was the gargantuan amount of data at my fingertips what Sandelowski (1995) succinctly describes as word overload. The biggest breakthroughs in this research were away from the computer. Walking home from the office or waking at all hours in the night (to write memos) have provided more insight into the phenomenon than any amount of staring at the computer. In conclusion, Nvivo can be a powerful resource but in the end the researcher has to do the thinking.

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Appendices

Appendix A
Repertory grid interview schedule

I have nine cards; I would like you to write the initials on a card of a manager from the prison service that fits the criteria for each of the following manager types:

Order: 258   369   123   456   147   789   153   486   729

A manager who you consider:
1. To be performing well (present card # 1, retrieve card before proceeding)
2. To be struggling
3. To have performed well but has since left the service
4. To have performed poorly and has left the service
5. Did perform well but has since struggled
6. Has improved from initially struggling
7. That does or did cope well with crisis
8. That does not or did not cope well with crisis
9. Is yourself

Tell me something that two of these people have in common that makes them different from the third?

Feel free to move the cards around.

Laddering
> *Establish Preference*
> Which do you think is more important to be good at doing, activities which are *x* or activities which are *y*?

Or
> Do you prefer working with people who are *x* or *y*?

Ladder up - WHY do you think that is (your preference)? Why is that?
> (This should provide another Construct.)

(if constructs *x* and *y* are too global)
> Ladder down– can you tell me some more about HOW *x* and *y* are different?

Can you tell me anything else that two of them have got in common that they don't share with the third?

So if we were to summarise the similarity and difference what would we say?

How does ******* make them better at achieving the results required of them?

What are the consequences of poor ********* in terms of achieving the results required of them?

Why do you think that is?

Appendix B

Outlines and consent form
Outline of Step 1 forwarded to participants

Managing in times of organisational stress: a case study in the Prison Service

Preamble: This project explores the challenges of managing in times of organisational stress. With the current recession, many organisations are experiencing stress. This is particularly the case in the NZ Prison Service where a change in government, coinciding with a world-wide recession means that in the near future, New Zealand prisons will be faced with the triple challenge of:
- Greater demand (capacity shortfall) as musters increase
- Financial strictures (cash shortfall) as budgets are tightened
- Reduced capability, as many staff lack experience.

This project explores the ways in which managers cope during times of such stress; we consider the differences between managers who appear to be successful and those who have difficulty.

Research Question: In times of organisational stress, what are the differences between managers who deliver sound results and those who cope less effectively?

Method: I propose using a qualitative methodology (explained further in the appendix). The method involves sequentially interviewing participants (I leave open the issue of whether I may need to interview inmates) beginning with the broad question above, then narrowing the question down as themes and answers become apparent.

Details:
<u>Step 1.</u> To begin with 3 interviews. These would include the Regional Manager and two others selected by Regional manager as people he thinks we would find it profitable to talk to, given the question. The interviews would be unstructured, but guided by the research question, would be recorded, and then analysed for themes. This coding/analytical process will give direction for further interviews both in interview structure and interviewee selection.

<u>Step 2</u>. Next interviews (I expect *N*= 4-5). During this phase we would "tighten" the research question, homing in on issues that seem to be important, and exploring them in greater detail with appropriate respondents. As I progress, I would seek leave from the Regional Manager to conduct further interviews. As in Step 1, I would then analyse the interviews for themes.

<u>Step 3.</u> Further interviews (a further 2-12 interviews). I anticipate conducting 10-20 interviews in total. The final number depends on how quickly and efficiently I am able to distil the central themes. I will try to keep interviews to a maximum of one hour in duration, taking longer with the interviewee's permission. I would also like to keep open the possibility of returning to re-interview as needed. Follow-up interviews will generally be shorter in duration and may be handled by phone.

Outline of Step 2 forwarded to participants

"In times of organisational stress, what are the differences between managers who deliver sound results and those who cope less effectively?"

So far I have found that a key difference between managers who achieve good results for the department, and those who do not, is that the effective managers have the trust and respect of all their constituents. Respect and trust seem to be gained through a range of behaviours/abilities. For example, managers who are respected and trusted are reliable, always available, keep their word, etc. Also, it appears that respect and trust are created (and lost) through certain defining "leadership moments" - you can think of these as crises.

This probably sounds like common sense, but I want now to turn my attention to dissecting trust and respect a little further, asking the questions:

- How do managers build or lose trust and respect? What are the dynamics?
- What is the role of trust in helping to align individual interests and organisational interests? That is, how does trust operate to ensure that staff (and inmates) take on board the broader interests of the department, rather than rejecting or opposing them?

In the next phase of the research I would like to conduct a few more interviews to examine:

- Why people produce better results when they trust/respect their managers

- How people gain and lose respect and trust

- What is it that gives a person a reputation of integrity

- Why integrity is important

The interviews will be conducted as before (recorded, with a guarantee of confidentiality). However, as my questioning becomes more focused I expect that they will be of shorter duration.

Recorded interview consent form

My name is Brodie McMillan, I am a post-graduate student in the Applied Psychology program at the University of Canterbury. As part of my master's dissertation, I am undertaking a project investigating the strategies used by prison managers to deliver the results that they are accountable for.

I will be conducting a semi-structured interview that should take approximately 1 hour. The interview will be recorded using a digital voice recorder for transcription purposes. Notes will also be taken during the interview. The audio files and notes will be coded in such a way as to not allow identification of the interviewee and will be kept secure from anyone other than myself and my supervisors.

Presentation of the results of the project will be presented anonymously. Direct quotes may be used in the reporting of results but, the person who gave the quotes will not be identified.

Audio files will be deleted after transcription.

If at any stage you wish to not answer a question or withdraw from the interview, you are free to do so.

By signing below I acknowledge that I am granting permission to have my interview audio recorded for transcription purposes. In so doing, I recognise that I am free to withdraw this consent at any time without incurring penalty or prejudice.

I would like to view the transcription of my interview. Yes / No (please circle one)

Name: _____

Signature: _____

Date: ___/___/2009

Appendix C
Step 1 Categories, results, and higher level abstactions

Communication
      Communication
      Communication with outside stakeholders
      Know where they stand

Confidence and Competence
      Competence
      confidence in their abilities to perform the role that they have

Decision Making
      Decision-Making

Integrity
      brutally honest
      Consistency of Message
      consistent in doing what they say
      Integrity
      stand for something and believe in it

Interaction
      Consultation
      Facilitation
      Highly interactive and visible within the teams
      Participation
      Team Players
      Visible managers

Knowledge and Experience
      Age and Experience
      Knowledge
      Not familiar to the rituals and protocols of the organisation and how it operates
      Reasonably expert

Management Skills
      administration tasks
      Strategic Vision
      Time Management

Other
      Accepting of criticism
      Adaptability
      Innovative
      Positivity
      Resiliance

People Person
     Ability to Relate
     Approachable - Genuine interest in people
     Considers Staff's well-being
     Free to discuss feelings

Supporting Staff
     Coaching Mentoring
     Supports staff

Results and higher level abstractions
     Achieving outcomes
     Buy-in
     Compliance
     Conflict
     Consequences -Positive
     Loyalty
     Morale
     Motivation
     Negative Consequences of lack of respect or trust
     Picking up slack
     Popularity
     Positivity
     Prisoner Compliance
     Reliable and can be trusted
     Results Important to Paul
     Success depends on the performance of others
     Tolerated
     Unproductive Behaviours
     Highly respected