



**Achieving Performance Excellence (APEX)
Guidebook Series**

*A practical guide to organizational assessment,
performance improvement, and change management*

Applying the APEX Tools for Organizational Assessment

**U.S. Department of Justice
National Institute of Corrections
320 First Street, NW
Washington, DC 20534**

Morris L. Thigpen
Director

Thomas J. Beauclair
Deputy Director

Sherry Carroll
Project Manager

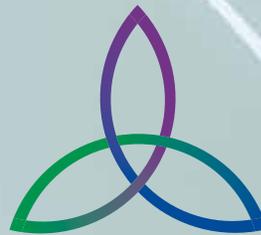
National Institute of Corrections
www.nicic.gov

**Achieving Performance Excellence (APEX)
Guidebook Series**

*A practical guide to organizational assessment,
performance improvement, and change management*

Applying the APEX Tools for Organizational Assessment

Bradford Bogue
Nancy Cebula



People in Charge LLC

NIC Accession No. 025301
August 2012

This manual was developed under cooperative agreement award I IAD01GKF8 from the National Institute of Corrections, U.S. Department of Justice. Points of view or opinions in this document are those of the authors and do not necessarily represent the official opinion or policies of the U.S. Department of Justice.

The National Institute of Corrections reserves the right to reproduce, publish, translate, or otherwise use and to authorize others to publish and use all or any part of the copyrighted material contained in this publication.

Suggested Citation: Bogue, Bradford, and Nancy Cebula. 2012. *Applying the APEX Assessment Tools for Organizational Assessment*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Contents

Foreword	vii
Preface	ix
Acknowledgments	xi
Introduction to Achieving Performance Excellence	xv
APEX Guidebook Series Overview	xv
APEX: Building the Model and Beginning the Journey	xv
Culture and Change Management: Using the APEX Model To Facilitate Organizational Change.....	xv
Understanding Corrections through the APEX Lens	xvi
Achieving Performance Excellence: The Influence of Leadership on Organizational Performance.....	xvi
Applying the APEX Tools for Organizational Assessment.....	xvi
APEX Resources Directory Volumes 1 and 2.....	xvi
How To Use APEX.....	xvii
Chapter 1: Introduction	1
APEX Assessment Tools Protocol Overview	3
Evidence-Based Practices and the APEX Assessment Tools Protocol	3
Doing Corrections Right	4
Why Self-Assess.....	4
A Few Words on Organizational Readiness	4
Summary.....	5
References.....	5
Chapter 2: How To Use the APEX Assessment Tools Protocol	7
How the Tools Fit with the APEX Change Management Model	7
The Process	12
Chapter 3: APEX Screener	13
Screener Report	14
Organizational Readiness	14
Strategy and Engagement	15
Organizational Preparedness.....	16
Using the Screener Report.....	16
Next Steps	17
Summary.....	18
References.....	18

Chapter 4: APEX Organizational Profile.....	19
How To Use the Organizational Profile.....	19
APEX Organizational Profile Content.....	19
How To Build an Organizational Profile	21
Reviewing and Analyzing the Organizational Profile Responses	22
Examining the Organizational Profile Topics	22
Internal Environment and Stakeholders.....	22
External Environment and Stakeholders.....	23
Where To Go from Here.....	25
Summary.....	25
References.....	25
Chapter 5: APEX Inventory	27
How To Use the APEX Inventory	28
Inventory Report.....	28
Organizational Performance Domain Assessment	29
Organizational Culture Assessment Instrument.....	31
Engagement and Strategy Assessment.....	34
Organizational Activity Indicators	35
Next Steps: Using the APEX Inventory To Build an Implementation Plan	36
Summary.....	37
References.....	38
Book Summary	39
Bibliography	41
Afterword.....	43
Exhibits	
Exhibit 1: APEX Public Safety Model.....	2
Exhibit 2: APEX Change Management Model	8
Exhibit 3: APEX Change Management Process Map.....	9
Exhibit 4: Responses Compared to Same-Sector Average Responses	14
Exhibit 5: Chart B — Strategy and Engagement.....	15
Exhibit 6: Organizational Preparedness	16
Exhibit 7: Organizational Performance Domain Subscales.....	29
Exhibit 8: Organizational Performance Domain Assessment Example	30
Exhibit 9: Competing Values Framework.....	31
Exhibit 10: Competing Values Definitions	32
Exhibit 11: Cultural Preferences.....	33

Exhibit 12: Engagement and Strategy Assessment Example 34
Exhibit 13: Organizational Activity Indicators Example..... 36

Appendixes

Appendix A: APEX Screener 45
Appendix B: APEX Organizational Profile 49
Appendix C: APEX Inventory and Reports 75
Appendix D: Compiled List of Assessments for All Domains 91

Foreword

Assessments are an important part of correctional work. Assessing the security requirements and performance of facilities is a critical piece of a correctional agency's responsibilities. The assessment of organizational performance is an important component of higher performing correctional organizations. Previously, not many assessment tools looked at issues that specifically affect those who work in the field of corrections.

This book in the APEX (Achieving Performance Excellence) Guidebook series presents three organizational assessment tools developed specifically for the field of corrections. The APEX assessment tools are designed to look at an agency's readiness to take on a change process, understand the importance of safety and security to correctional operations, measure performance on the APEX Public Safety Model's eight domains, and provide guidance for developing a performance improvement plan.

The National Institute of Corrections encourages correctional agencies to explore and adopt the use of assessments for the supervised population, staff, and leadership, as well as at the organizational level. We hope that the APEX Initiative, with its Assessment Tools Protocol, Guidebook series, and Change Agent Training, assists agencies as they strive for excellence in organizational performance.

Morris Thigpen
Director
National Institute of Corrections

Preface

The National Institute of Corrections (NIC) and People in Charge are pleased to present the Achieving Performance Excellence (APEX) Guidebook series. The APEX Initiative began as NIC's Higher Performing Correctional Organization (HPCO) project in 2008. The HPCO project involved many correctional practitioners helping to identify the characteristics of a higher performing correctional organization. Practitioners and subject matter experts created a definition and a model of an HPCO based on the Baldrige Performance Excellence Program at the National Institute of Standards and Technology. The Baldrige Performance Excellence Program provides global leadership in the promotion and dissemination of standards of performance excellence. NIC is excited to bring this to correctional organizations around the country.

As HPCO progressed, it was renamed APEX and now includes three major developments: the APEX Assessment Tools Protocol, the APEX Public Safety Model and Guidebook series, and the APEX Change Agent Training.

The APEX Assessment Tools Protocol was developed during the years 2009–2011 to help correctional agencies identify their current organizational performance and areas to improve. Many correctional practitioners and agencies participated in the development, testing, and refinement of the tools in the protocol.

The APEX Guidebook evolved from one guidebook with information on the APEX model, its domains, and organizational change into a series of books. The Guidebook series is designed to provide resources, information, and processes to correctional organizations as they travel the path of organizational change leading to higher performance.

The APEX Change Agent Training will provide correctional agencies with capacity-building training and technical assistance in the APEX systems approach to organizational performance improvement.

Applying the APEX Tools for Organizational Assessment is the fifth book in the series. It presents a description of the three APEX Assessment Tools: the APEX Screener, the APEX Organizational Profile, and the APEX Inventory. These corrections-specific and user-friendly tools are an integral part of the APEX Change Management Model. Agencies select the tool or tools they want to use, maintain control of their own results, and use the results to create customized performance improvement plans.

Respectfully Submitted,



Nancy Cebula
People in Charge LLC
Owner and Principal Consultant



Theresa Lantz
People in Charge LLC
Criminal Justice Consultant

PEOPLE IN CHARGE

People in Charge is a small, woman-owned business that works with organizations and communities in the public and private sectors, helping them maximize their effectiveness through the participation of their people. Our focus is to help groups of people work together to build strong and vibrant organizations through participative planning, organizational design, and learning. You can learn more about People in Charge by visiting our website at www.peopleincharge.org.

Acknowledgments

The authors would like to acknowledge the following individuals for their contributions to this book:

Contributors

Steve Colby, Consultant, Justice System Assessment & Training

Theresa Lantz, Criminal Justice Consultant, People in Charge

Anjali Nandi, Consultant, Justice System Assessment & Training

Tom O'Connor, Consultant, Justice System Assessment & Training

Anita Paredes, Consultant, Justice System Assessment & Training

Elizabeth Ritter, Consultant, People in Charge

Molly Tayer, Consultant, Justice System Assessment & Training

Reviewers

Sherry Carroll

Correctional Program Specialist
National Institute of Corrections

Elizabeth Craig

Manager
National Institute of
Corrections Information Center

Harry Hertz

Director
Baldrige Performance Excellence
Program

Jeffrey Lucas

Deputy Director
Baldrige Performance Excellence
Program

APEX Assessment Tools Protocol Beta-Test Participants

The people of:

Ada County (ID) Sheriff's Office

Adult Client Services (HI)

Adult Services, San Luis Obispo
County (CA) Probation Department

Alaska Department of Corrections
(DOC)

Allegan County (MI) Sheriff's
Office

Allegheny County (PA) Jail

American Probation and Parole
Association (KY)

Arapahoe County (CO) Sheriff's
Office

Arizona DOC

Arkansas DOC

Barnwell County (SC) Detention
Center

Bell County (TX) Sheriff's Office

Boulder County (CO) Sheriff's
Office

Broward County (FL) Sheriff's Office	Dutchess County (NY) Sheriff's Office	Lake County (IN) Community Corrections
Charleston County (SC) Detention Center	Eastern District of Missouri Federal Probation	Las Vegas (NV) Metro Police Department
Chief Probation Officers of California	Federal Bureau of Prisons (DC)	Lexington-Fayette (KY) Division of Community Corrections
Clackamas County (OR) Community Corrections	Finney County (KS) Sheriff's Office	Los Prietos Boys Camp and Academy Programs (CA)
Collier County (FL) Sheriff's Office	Ford County (KS) Sheriff's Office	Louisiana DOC
Colorado Judicial Department	Forsyth County (GA) Sheriff's Office	Louisville (KY) Metro DOC
Community Connection Resource Center (CA)	Fortune Society (NY)	Maricopa County (AZ) Adult Probation
Connecticut DOC	Georgia DOC	Marin County (CA) Probation Department
Connecticut Judicial Branch	Grand Traverse County (MI) Sheriff's Office	Marion County (OR) Sheriff's Office
Connecticut Probation	Hamilton County (OH) Sheriff's Office	Maryland Division of Parole and Probation
Corrections Center of Northwest Ohio	Hampden County (MA) Sheriff's Office	Maryland DOC
Cumberland County (NC) Sheriff's Office	Hawaii Paroling Authority	Massachusetts DOC
Denver (CO) Adult Probation	Holmes County (MS) Sheriff's Office	Miami-Dade County (FL) Corrections & Rehabilitation
Denver (CO) Center for Crime Victims	Indiana DOC	Minnequa (CO) Community Corrections
Denver County (CO) Public Safety	Iowa DOC	Minnesota DOC
Denver (CO) Division of Community Corrections	Jacksonville (FL) Sheriff's Office	Missouri DOC
Douglas County (NE) DOC	Kansas DOC	Monroe County (NY) Sheriff's Office
Douglas County (KS) Sheriff's Office	Kent County (MI) Correctional Facility	Montgomery County (MD) Adult Probation
DuPage County (IL) Adult Probation	Kentucky DOC	Montgomery County (MD) DOC
	LaFourche Parish (LA) Sheriff's Office	

National Correctional Industries Association (MD)	Ramsey County (MN) Probation	Tennessee DOC
Navajo Nation (AZ) DOC	Rhode Island DOC	Tennessee Rehabilitative Initiative in Correction
New York City Justice Corps	Riker's Island Correctional Facility (NY)	Thurston County (WA) Sheriff's Office
New York City Probation	Riverside Regional Jail (VA)	Tohono O'Odham Nation (AZ) Police Department
New York DOC	Safer Foundation (IL)	Tulsa County (OK) Sheriff's Office
North Carolina Correctional Industries	San Diego County (CA) Sheriff's Office	Two Bridges (ME) Regional Jail
Ohio Department of Rehabilitation & Corrections	San Juan (PR) Pretrial Services	University of Connecticut Health Center
Ohio Parole	San Luis Obispo County (CA) Probation Department	Virginia Correctional Enterprise
Oklahoma DOC	Santa Barbara County (CA) Probation	Virginia DOC
Orange County (CA) Corrections Department	Sonoma County (CA) Sheriff's Office	Washington State DOC
Oregon DOC	South Carolina DOC	Washoe County (NV) Sheriff's Office
Pennsylvania Board of Probation and Parole	South Dakota Board of Pardons and Paroles	Weber County (UT) Sheriff's Office
Pennsylvania DOC	Stearns County (MN) Community Corrections	Westchester County (NY) Probation Department
Peoria County (IL) Sheriff's Office	Story County (IA) Sheriff's Office	Wyoming DOC
Pinal County (AZ) Sheriff's Office	Strafford County (NH)	Yuma County (AZ) Probation
Portage County (WI) Justice Programs Department		

And others at People in Charge who contributed:

Carlene Krogh
 Editor
 People in Charge

Pam McKinnie
 Owner
 Concepts Unlimited

Introduction to Achieving Performance Excellence

The APEX: Achieving Performance Excellence Initiative introduces a systems approach to change, specifically for correctional organizations, and incorporates multiple tools and strategies to assist agencies in building sustainable capacity for higher performance. The APEX Initiative includes the APEX Public Safety Model and its components, the APEX Assessment Tools Protocol, the APEX Guidebook series, and the APEX Change Agent Training. This initiative informs data-driven decisionmaking, enhances organizational change efforts, and provides support and resources to correctional agencies. At the heart of APEX is the fundamental mission of correctional organizations to maintain public safety, ensure safe and secure correctional supervision of offenders, and maintain safe and secure settings for those who work in the field. This comprehensive systems approach to continuous performance improvement encourages innovative ideas to enhance organizational operations, services, and processes and to achieve desired results.

APEX Guidebook Series Overview

The APEX Guidebook series presents a breadth and depth of information on the APEX Initiative, the APEX domains, and interventions and resources for correctional agencies to use as they implement organization improvement efforts. The series includes seven books, descriptions of which follow.

APEX: Building the Model and Beginning the Journey

This book gives a detailed description of the National Institute of Corrections' (NIC's) APEX Initiative, including the APEX Assessment Tools Protocol. The book presents reasons to self-assess and discusses change management and the benefits that correctional agencies can reap when they implement the APEX process.

Each of the APEX domains has a brief chapter devoted to defining it and the benefits of exploring the domain. "Overview to Achieving Performance Excellence" explains the various ways the APEX Initiative can be used in correctional agencies. "Developing a Communications Plan" describes in detail how agencies can inform stakeholders about their performance improvement journey, from the beginning through implementation and sustainability.

Culture and Change Management: Using the APEX Model To Facilitate Organizational Change

This book focuses in depth on organizational culture and change management in the correctional organization context, presenting a roadmap for correctional agencies to use as they begin a change initiative, whether it is a systemic change or a one-issue/intervention change.

Understanding Corrections through the APEX Lens

This book presents details on several of the APEX domains: Operations Focus (which includes Safe and Secure Supervision and Settings and Process Management); Stakeholder Focus; Strategic Planning; Workforce Focus; Measurement, Analysis, and Knowledge Management; and Results.

Achieving Performance Excellence: The Influence of Leadership on Organizational Performance

This book focuses on what individual leaders need to know and do as they develop their best leadership capabilities—the knowledge and practices necessary to lead people, organizations, and those outside the organization, including stakeholders, governing agencies, and the public, and gives the reader an opportunity to understand transactional and transformational leadership. Case studies from correctional agencies illustrate the concepts and provide realistic examples.

Applying the APEX Tools for Organizational Assessment

The APEX Assessment Tools Protocol includes three assessments that are corrections focused and user friendly. This self-assessment protocol includes the APEX Screener Tool (a short survey designed as a first step to assess readiness for change), the APEX Organizational Profile (a series of questions that help identify data, knowledge, and performance gaps in the organization), and the APEX Inventory (an indepth survey that rates performance in domains as well as readiness to change).

APEX Resources Directory Volumes 1 and 2

These volumes present numerous interventions and resources that agencies can use to help them build and implement their APEX change plans, deal with challenges and adjustments along the way, and sustain the changes. Volume 1 includes an introduction on how to use the NIC Information Center and sections on change management and each of the APEX domains and is designed to work with the reports from the APEX Assessment Tools. Volume 2 contains information on communication during times of change, focus groups, and team development; it also includes the NIC Information Center introduction.

USING THE ORGANIZATIONAL PROFILE

Fifteen staff and managers participated in the Organizational Profile to get a better idea of how their probation agency is dealing with its stakeholders and political environment. They learned that, although they are doing a pretty good job of dealing with their judicial overseers, there is a lack of trust and collaboration with other service providers in their jurisdiction. They downloaded several APEX books from the NIC website,

including *Understanding Corrections through the APEX Lens* and the *APEX Resources Directory Volume 1*. They reviewed the sections on stakeholders to get ideas for increasing communication, building relationships, and improving collaborative initiatives with other agencies and external stakeholders as well as improving relationships with clients and their families.

The Guidebook series may be used in its entirety or in parts to suit the needs of agency personnel. The books in this series provide information, strategies, and tools to address the performance issues of correctional agencies. Use of the assessment tools is optional. Agency staff who know which topic they want to work on may go directly to the *APEX Resources Directory* or another book in the series for guidance.

How To Use APEX

The APEX Assessment Tools are designed for agencies to assess their organizational performance. The tools— Screener, Organizational Profile, and Inventory—were designed specifically for use in correctional agencies and are discussed in detail in *Applying the APEX Tools for Organizational Assessment*.

As an agency begins a change process, it can choose to use one or more of the APEX Assessment Tools, and it can cut and paste certain Guidebook chapters or strategies to target performance improvement areas. Because APEX is an agency-driven initiative, users can navigate the APEX materials and the tools to create a customized implementation plan. *APEX Resources Directory Volumes 1 and 2* provide access to other materials, tools, publications, and websites to tailor a specific performance improvement strategy.

Chapter 1: Introduction

Many assessment tools exist to measure organizational performance. Correctional leaders often search in vain for tools to measure their organization's performance. Few tools are geared for correctional agencies. The National Institute of Corrections (NIC) recognized how useful corrections-specific assessment tools would be to the field. In 2008, a cooperative agreement was awarded to Justice System Assessment & Training to develop an organizational performance assessment tool specific to the field of corrections. This set of tools is one of three components in NIC's APEX Initiative, which includes (1) the APEX Assessment Tools Protocol, (2) the APEX Public Safety Model and Guidebook series, and (3) the APEX Change Agent Training.

The APEX Screener, Organizational Profile, and Inventory were created under this award. All three are designed so agencies can self-assess their organizational culture, performance, and readiness for change.

- The **APEX Screener** is a brief self-administered survey that looks at organizational readiness for change. This Excel-based survey can be filled out by agency management and staff. It includes 24 items that help focus a discussion on organizational preparedness, readiness for change, and performance in the APEX domains.
- The **APEX Organizational Profile** looks at the organization's operations, environment, relationships, and situation. This series of questions provides a vehicle for review, analysis, and targeted discussion. As the agency's leaders and staff respond to the questions, they learn about the organization and identify gaps in data, knowledge, and performance measures.
- The **APEX Inventory** is a more comprehensive assessment of the eight APEX domains and evaluates the organization's readiness for change more thoroughly than the Screener. The questions are designed to enable the executive team and other designated participants to have focused discussions on how the agency is performing in the eight APEX domains, and how ready it is to begin a change process. The questions also provide enough information for an agency to create a systemic performance improvement implementation plan. This is also a tool for self-assessment.

BALDRIGE PERFORMANCE EXCELLENCE PROGRAM

The Baldrige Performance Excellence Program is a national public-private partnership dedicated to educating organizations in performance improvement. Its focuses are:

- Helping organizations achieve best-in-class levels of performance.
- Identifying and recognizing role-model organizations.
- Identifying and sharing best management practices, principles, and strategies.

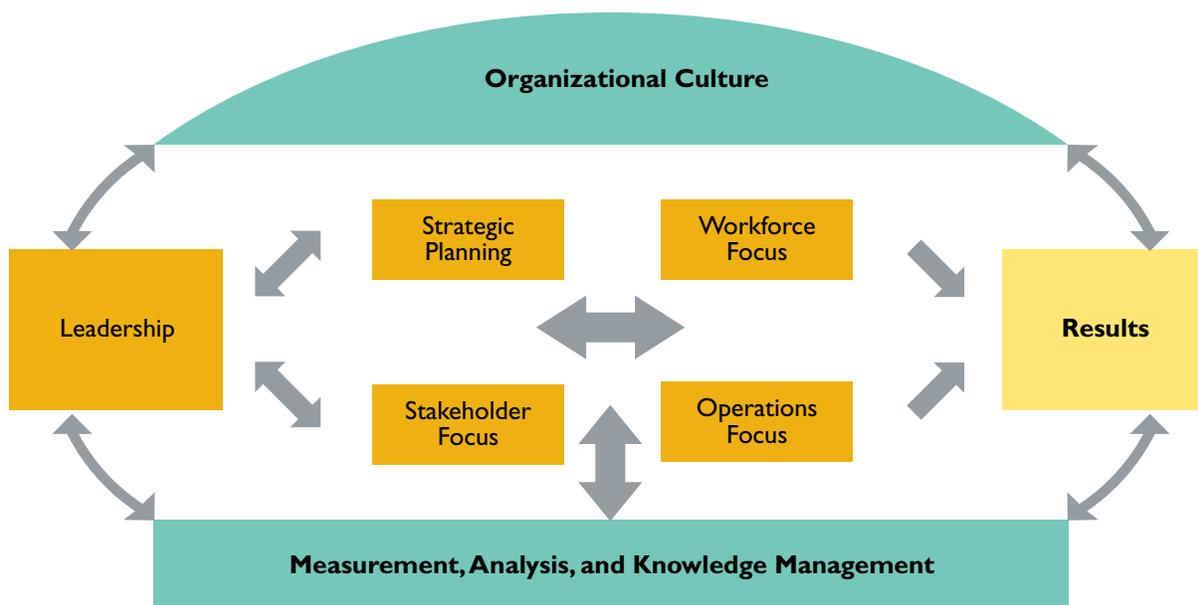
For more information, visit www.nist.gov/baldrige.

The APEX Assessment Tools Protocol is designed for correctional managers who are looking for assistance and guidance as they move their organization’s performance forward. It provides a comprehensive and systems-based picture of how the organization operates in the eight domains and informs the development of a plan to improve performance. The tools and the APEX Public Safety Model (see exhibit 1) are based on the Baldrige National Quality Program Criteria for Performance Excellence. A section on corrections-specific organizational readiness is included.

This tailored system enables correctional agencies to assess their performance, identify areas in need of improvement, and measure their current and desired performance with a set of empirical reference points. The guidance provided in the APEX Assessment Tools allows for the creation of a robust and real profile of how a correctional agency is currently performing. Armed with this level of understanding, leaders can identify areas for improvement and use the APEX Guidebook series to frame and strategize action steps to achieve higher performance.

The tools in the assessment protocol fall along a continuum from subjective or anecdotal information to objective assessment data. Many correctional organizations begin change efforts with modest interest, commitment, and acumen for organizational self-assessment. However, as they engage, practice, and refine their internal controls and techniques for more deeply assessing their operational concerns, they experience a paradigm shift that results in a new outlook and appreciation for assessment evidence; as a result, they become continuously improving, learning organizations. This change in perspective is often accompanied by an eager interest in more rigorous assessments of their core services and organizational relationships, as well as how to achieve agency mission, vision, values, and goals. The organization finds that it is on a new path. This new path requires continuously striking a

Exhibit I: APEX Public Safety Model



Note: The vertical, two-headed arrow pointing from the measurement, analysis, and knowledge management domain to the rest of the domains illustrates its foundational nature. The other two-headed arrows indicate the importance of feedback—a critical component of a higher performing correctional agency.

balance between operational performance measures that are relevant to staff and stakeholders and a certain level of rigor (methods and statistics) as their interest in and capacity for measuring, analyzing, and managing their performance information increases.

The assessment process described here has many pieces and levels, with a variety of different “on-ramps” for accessing and applying these tools. Because this is not a one-size-fits-all package, leaders can adapt an approach to using the tools that has the best fit for their situation. Some may turn to the APEX tools because they are overwhelmed with options for developing their organizations or because they want corrections-specific tools. Others might have already agreed upon an area to change or improve and they are seeking more specific information to guide their organizational development plans in that area. Some management teams may be contemplating large-scale change initiatives and want to start slowly. The following overview will provide insights into the best place for an organization to start.

APEX Assessment Tools Protocol Overview

The APEX Assessment Tools Protocol has three components. Each component builds on the previous assessment components. The assessment is organized this way for two reasons. First, this is an entirely voluntary process and initial barriers to using the tool are minimized to allow any correctional agency to participate, regardless of the sector it is in or its level of management sophistication. The tools were designed to be used in a stepwise fashion that should serve most agencies; they build incrementally in degrees of time, effort, and commitment required. They are also designed so that agencies are free to choose the tools they need to use, and to use them in the order that meets their needs.

The three components are listed below in the recommended order of use, moving from easier to more challenging assessment functions:

1. APEX Screener.
2. APEX Organizational Profile.
3. APEX Inventory.

The tools are modeled on the APEX Public Safety Model and the Baldrige National Quality Program Criteria for Performance Excellence (Baldrige 2011). The public safety model domains (see exhibit 1) provide correctional organizations with a durable framework for guiding, planning, and assessing their performance and results in challenging and rapidly changing times. By adapting the Baldrige framework, the APEX Assessment Tools Protocol provides a viable alternative for correctional entities that are seeking a proven framework for achieving higher performance and sustainable results.

Evidence-Based Practices and the APEX Assessment Tools Protocol

One of the aims of the APEX Assessment Tools Protocol is to bring leaders together to discuss their awareness of priorities and motivation for change. The evolution in human services and in corrections, due to the increased interest in and adoption of evidence-based practices (EBPs), is well known. These assessment tools are designed to move correctional leaders, staff, and stakeholders from personal and anecdotal observations such as “We think this is how it works” to a factual understanding of their organizational performance such as “We saw a 10-percent

reduction in hot urine analyses within 1 month of the new tracking system.” Many agencies go through this process when they adopt EBPs with careful followup.

Proceeding through the APEX Screener, Organizational Profile, and Inventory allows agencies to move from more subjective thinking about their organization to objective discoveries through data gathering and group discussions about their agency’s environment and operations.

Doing Corrections Right

One key piece of readiness for change is the ability of correctional organizations to provide a safe and secure environment for staff and the supervised or incarcerated population. If there are any questions about this, agencies may want to explore a safety and security review or audit through NIC or one of the correctional professional associations, such as the American Jail Association, the American Correctional Association, or the American Probation and Parole Association. More information on audits, safety checklists, and assessments can be found in *APEX Resources Directory Volume 1* in the “Operations: Safe and Secure Supervision and Settings” chapter.

Agencies should address any safety and security concerns and/or deficiencies before proceeding with large-scale organizational change or with the APEX Assessment Tools Protocol.

Why Self-Assess

A number of factors could compel a correctional agency to self-assess its performance:

- The environment in which the agency exists is changing.
- The organization wants to maintain service levels during challenging budget times.
- Leadership wants to promote a climate of organizational learning.
- Leadership wants to take a systemic look at how the organization operates and the decisionmaking processes.
- The agency is interested in improving organizational performance.
- The agency decides to use the APEX Change Management Model to move to higher performance.

A Few Words on Organizational Readiness

Readiness for change is one of the factors that contribute to how effectively a change effort is implemented. This term is often defined as the beliefs, intentions, and attitudes of the people in the organization regarding how much the change is needed and whether the organization has the capacity to make and sustain the change (Amenakis, Harris, and Mossholder 1993). Anyone who has participated in a change effort understands the importance of this concept. If people understand why the change is needed, how it will affect their work, what the benefits will be, and that leadership is prepared to support the change effort with the required resources, they will be willing to engage in the change process.

Motivation for change is another way to describe the combination of individuals' perceptions of the reasons for change and the pressure they feel to make the changes, from both external stakeholders as well as from their peers. Motivational readiness can increase the success of a change effort, especially when the change leader is able to demonstrate his/her openness and motivation for change. This can increase the likelihood of success, even when the organizational climate is not as welcoming of innovation and change. Climate for change deals with how clear the organization's mission and goals are, how much staff cohesion exists, how well the organization's communications work, and how open the organization is to change. An enthusiastic and motivated change leader can engage staff in reshaping goals and enhance their openness to change (Lehman, Greener, and Simpson 2002).

Summary

The APEX Assessment Tools Protocol is designed to accompany and complement the APEX Guidebook series; it is a compendium of resources and information for correctional practitioners interested in embarking on the APEX journey to performance improvement and organizational change. The APEX Guidebook series incorporates a wide variety of materials on change initiatives, techniques, and tools that can be readily accessed throughout the assessment process.

The following chapters present detailed information on the APEX Screener, Organizational Profile, and Inventory, as well as how to use the tool results to develop a plan for organizational improvement.

References

Amenakis, A.A., S.G. Harris, and K.W. Mossholder. 1993. "Creating Readiness for Organizational Change." *Human Relations* 46(June):681–703.

Baldrige National Quality Program. 2011. *Criteria for Performance Excellence*. Gaithersburg, MD: National Institute of Standards and Technology.

Lehman, W., J. Greener, and D. Simpson. 2002. "Assessing Organizational Readiness for Change." *Journal of Substance Abuse Treatment* 22:197–209.

Chapter 2: How To Use the APEX Assessment Tools Protocol

The most important thing about assessment is that it promotes dialogue.

—Mary Senter

The three APEX assessment tools, Screener, Organizational Profile, and Inventory, were designed for correctional agencies to use in a variety of ways, either as part of adopting the APEX Initiative and its corresponding process for change management or as stand-alone tools for measuring organizational performance. These tools can be used once to see where the agency is at a given moment in time, or at intervals to measure progress as agencies move to higher performance.

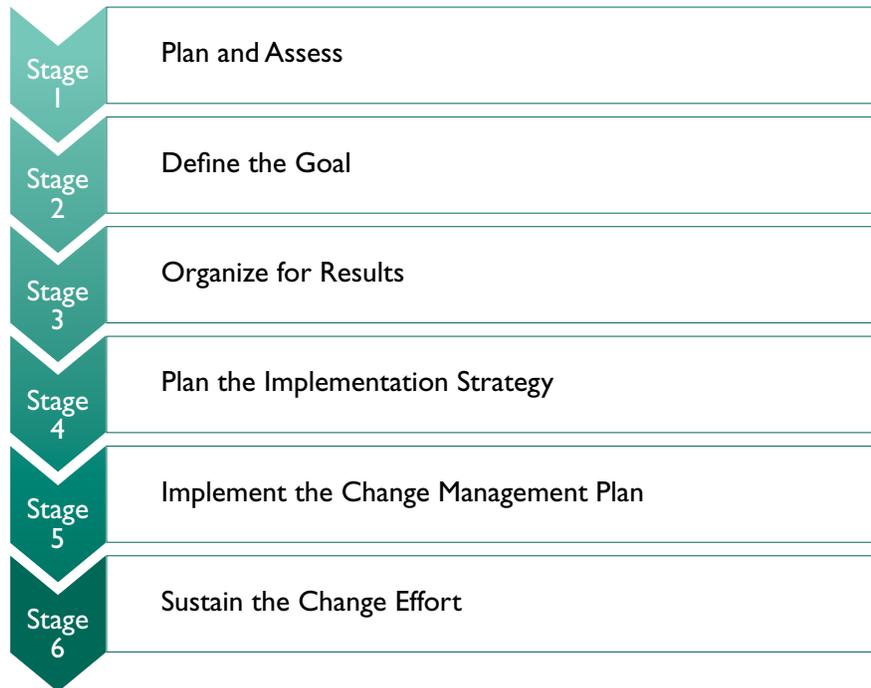
The Screener and Inventory present organizations with the opportunity for discussion of the APEX domains (Leadership; Organizational Culture; Operations Focus; Stakeholder Focus; Workforce Focus; Strategic Planning; Measurement, Analysis, and Knowledge Management; and Results). These tools result in reports that show how users rate the agency on the domains and on readiness for change. The Organizational Profile asks an agency to look at mission, vision, values, goals, and other internal artifacts, as well as the environment in which it operates.

Leadership teams and others can use the results to identify areas that are performing well and those that need improvement. The tools may point out that some information was easy to find and some was more difficult to find. Some users will be able to have open and candid discussions about how *accurately* people answered the questions—were they answering honestly or ranking the agency higher because they wanted the reports to have good results? They may discuss how *easily* people were able to answer the questions—was the information well known or did some responders have to make up answers or use their best guesses? Dialogue about assessment is critical and may uncover more information about the organization, the climate, and the culture than looking at the reports only.

How the Tools Fit with the APEX Change Management Model

The APEX Change Management Model (see exhibit 2) provides agencies with a systems approach to change. The model was developed after a review of the current literature and best practices for organizational change in the correctional field, as well as other fields. It is designed to lead agencies through a carefully thought-out process for improving performance, enhancing operations, and undertaking large-scale cultural change, as well as single intervention changes.

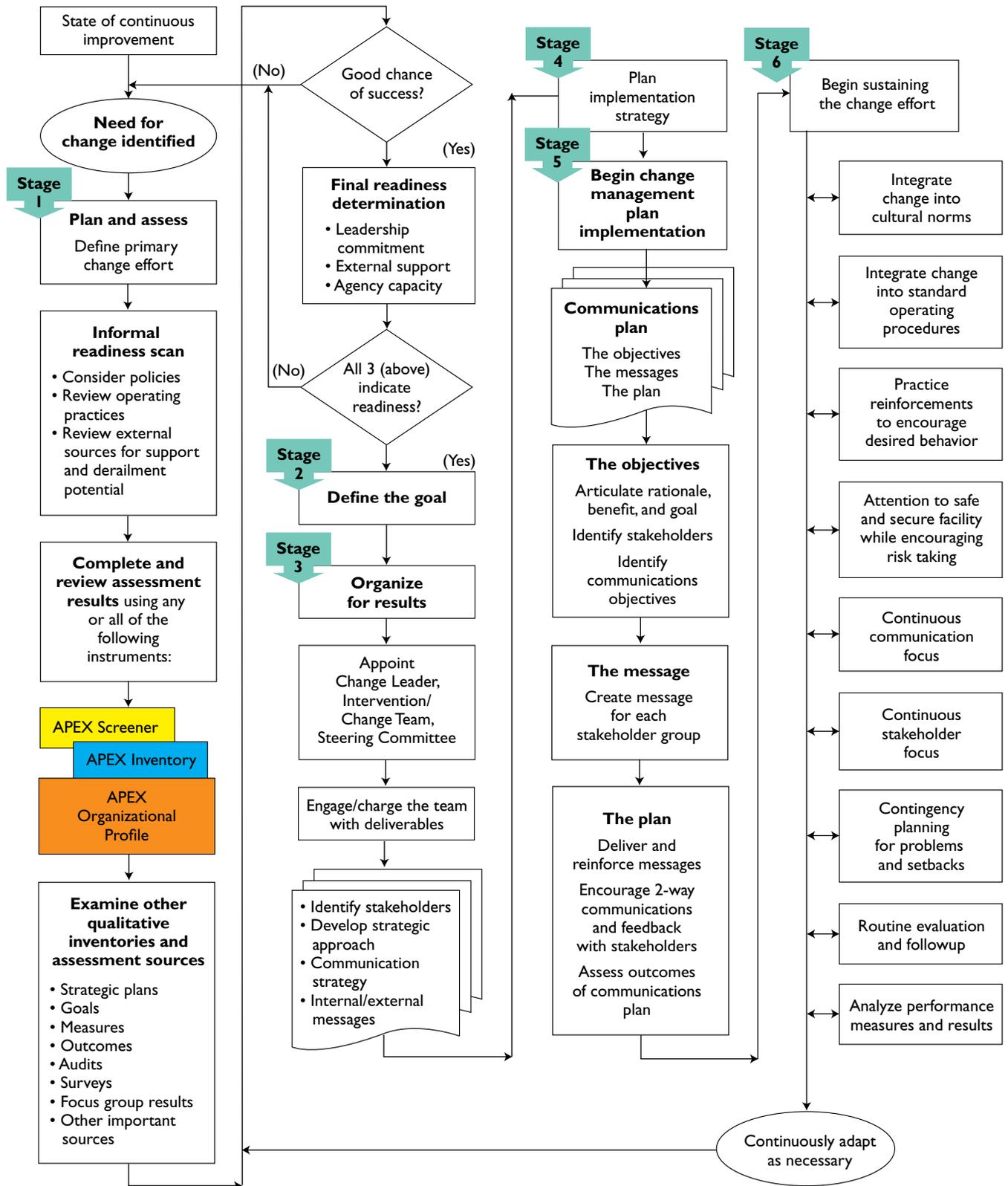
Exhibit 2: APEX Change Management Model



The first stage in the model, Plan and Assess, asks agencies to review their operating environment, the issues that are leading them to consider change, and how ready the agency is to take on a change effort. Assessment is an integral part of this stage and refers to *both* quantitative and qualitative data gathering, review, and analysis, which will lead to a more complete picture of the agency than only using one or the other.

Exhibit 3 shows in more detail where these assessment tools fit in the APEX Change Management Model.

Exhibit 3: APEX Change Management Process Map



NOTES ON THE APEX CHANGE MANAGEMENT PROCESS MAP

- The first symbol represents the fact that a correctional agency operates on the edge of stage I, at the beginning of a change effort or near the end of one, signifying that the agency is continuously improving.

Stage 1: Plan and Assess

- A need for change is identified and stage I begins.
- The change effort sets the course for the project management efforts to follow. It is important to understand what needs to change, why it is necessary, and what the change will impact.
- An informal readiness scan relies on several sources that are usually on hand to help assess the landscape of roadblocks and supports that inform strategy.
- Assessment results sharpen the organizational readiness picture. The APEX Screener, Inventory, and Organizational Profile provide a realistic assessment of the correctional facility's health and organizational readiness (fifth symbol and cluster of three below it).
- Other qualitative instruments sharpen readiness assessment and guide strategic direction. Possible sources are not limited to those suggested here.
- ◇ This diamond represents the first go/no-go decision point. A negative answer leads to aborting the launch to avoid disruption and, perhaps, another readiness check and examination of the issues that derailed the launch. A positive response encourages moving forward.
- This critical readiness determination looks at three factors: (1) commitment, including the key stakeholders in the entire senior team, (2) external support from stakeholders who could aid or derail the effort, and (3) agency capacity to complete the change initiative while maintaining a safe and secure facility.
- ◇ The last stage I event is a decision on a final "Launch?" question.

Stage 2: Define the Goal

- "Describe and Clarify the Goal" is informed by the work completed in stage I. This exercise clarifies the change direction and finalizes the goal statement.

Stage 3: Organize for Results

- Appoint/assign the Change Leader to manage the project on behalf of the senior official.
- Identify members of the Intervention/Change Team and ensure that they have the vision, resources, and time necessary to get the job done.
- Identify the Steering Committee and ensure that they share the vision for the end state of the change and are prepared to give the project their full support.

NOTES ON THE APEX CHANGE MANAGEMENT PROCESS MAP (continued)

- Engage the Change Team and Intervention Team with work assignments and organize teams, committees, etc.
- The next box represents documents that the Change Team should produce, including the formal identification of stakeholders; a strategic approach; a communication strategy; and messages to be delivered internally and externally that are designed to create awareness of the change and desire to support it, taking the special needs of each stakeholder into account.

Stage 4: Build the Detailed Implementation Plan

- The project management plan that formalizes work completed at the end of stage 3 is an outline of the Implementation Plan that provides enough detail to manage the change effort through implementation.

Stage 5: Implement the Change Management Plan

- This begins the work of implementing the plan.
- The communications plan includes developing the objectives, message, and plan.
- The objectives include:
 - Articulating the rationale, benefits, and goals of the change initiative for the organization.
 - Identifying all internal and external stakeholders who can influence the organization's success and their level of support for the change initiative.
 - Identifying the communications objectives for each stakeholder group.
- The messages include:
 - Formulating the message content to address the communication objectives for each stakeholder group.
- The plan includes:
 - Delivering and reinforcing the message.
 - Encouraging two-way communication with stakeholders, including feedback processes.
 - Assessing the outcomes of the communications plan.

Stage 6: Sustain the Change

- Sustaining the change effort involves a number of subtasks, all of which are important, occur simultaneously, and contribute to the end state of continuous improvement by adapting practices as necessary.
- Continuous adaptation to improve organizational performance, the end state of the change process, directs the path back to stage I.

MORE ON THE MODEL

The APEX Change Management Model is described in detail in the APEX Guidebook: *Using APEX To Facilitate Organizational Change*, which is available at www.nicic.gov/library.

The Process

The first step for all of the APEX tools is to download a copy from the National Institute of Corrections Information Center (www.nicic.gov) and save it as the master copy for the agency. The next step is to save copies (with unique names) for the respondents. As more people decide to participate in the assessment tools, additional copies can be created.

The leadership team, or those who have been designated to manage the assessment process, needs to identify:

- Which tool the agency will start with.
- How many individuals will participate in the assessment tool process.
- Which individuals will participate.
- How the results will be used and shared with the rest of the organization.

Determining if a small representative group will participate or if everyone in the agency will participate is at the agency's discretion.

The Screener and Inventory are in Excel format; the Organizational Profile is a Word document. If many people are going to use the Screener and/or Inventory, it will be helpful to have someone who is familiar with Excel applications available to assist those who have questions and to create an overall report for the agency.

The following chapters offer indepth information on the three APEX assessment tools, their reports, and how to use each one. A copy of the tools can be found in the appendixes.

Chapter 3: APEX Screener

Correctional leaders from community-based agencies, jails, and prisons requested a concise way to obtain a picture of how their agencies were performing. The APEX Screener was created to provide a brief assessment of a correctional agency's organizational readiness for change and performance on strategy and engagement. Sixty-five agencies from all sectors in the correctional field participated in the final test of the APEX Screener, with 106 total respondents. The Screener provides reports comparing the current user's responses with those from the initial agencies in the same correctional sector.

APEX SCREENER

Format: Excel application.

The questions: 4 descriptive, 14 Likert-scale statements (agree/disagree), 10 Yes/No.

Approximate time to take: 15 minutes.

What the report shows: Organizational readiness and preparedness scores; the balance between strategy and engagement.

The APEX Screener is a brief self-administered survey for leaders, managers, and staff to express their sense of the organization's readiness for change and performance in key areas. The items in the Screener were selected to help the agency leadership team, and designated others, discuss and focus on organizational preparedness and readiness. The tool is configured as an Excel application and will score itself automatically when completed. It contains 4 descriptive questions, 14 Likert-scale items on a 5-point scale (strongly disagree = 1, disagree = 2, undecided = 3, agree = 4, strongly agree = 5), and 10 Yes/No questions. The Screener produces a report that can be printed for future reference (a color printout is recommended for interpreting the charts) and used to stimulate and frame discussions about the organization.

FOR MORE INFORMATION

Additional information on the following topics can be found in the APEX Guidebooks *Culture and Change Management: Using APEX To Facilitate Organizational Change* and *Understanding Corrections through the APEX Lens*, which are available at www.nicic.gov/library.

Screener Report

The second page of the Screener contains the report, which shows chart A (the overall average score expressed as a measure of organizational readiness), chart B (a scatter plot depicting the individual’s combined scores for strategy—Strategic Planning, Measurement, and Operations Focus domain items and engagement—Stakeholder Focus, Measurement, and Workforce Focus items), and chart C (results of Yes/No questions, which show how prepared the organization is to proceed with change efforts to improve performance).

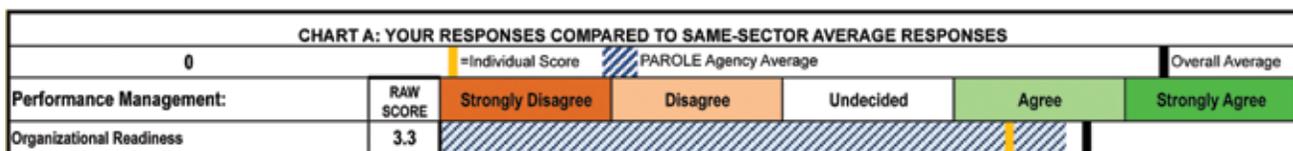
Organizational Readiness

Chart A (exhibit 4) shows the user’s responses to the Likert statements compared to the average responses from respondents in the same-sector organizations. This has been designed to show how ready the organization is, in the user’s opinion, to undertake organizational change and performance improvement. Readiness for change is defined as how equipped people and organizations are to (1) review how they do things and (2) take on change efforts, answering questions such as:

- Openness and innovation—how much of this is experienced in this agency?
- Experience with innovation—what innovation history exists in the agency and how might it affect this current effort?
- New requirements—will the change effort mean that constraints on implementation can be dealt with?
- Internal and external pressures—how might this affect people’s attitudes about the change effort?
- Trust—what level exists in the agency?

The answers to these questions are dependent on the leadership style and philosophy in the agency. Other things to review are the leadership commitment and support from external stakeholders for performance improvement and change.

Exhibit 4: Responses Compared to Same-Sector Average Responses

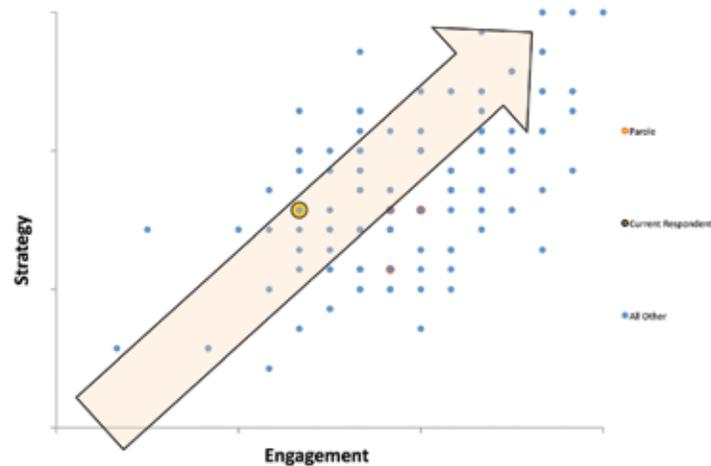


Strategy and Engagement

Chart B (exhibit 5) looks at strategy and engagement, two concepts that can directly influence the success of any change effort. In corrections, some agencies possess a higher level of strategic awareness; others are doing a better job at engagement. High-performing organizations develop high levels of both.

Strategy, in this context, is based on the level of awareness of critical organizational attributes such as well-developed mission and vision statements, goals that focus people's efforts on achieving the mission and vision, and the ability to measure how well the agency accomplishes its goals. The ability to use a systems approach when planning is key so that action steps consider the impact of changes on the whole agency. Strategy includes the capacity an agency has for developing strategic plans and implementing them.

Exhibit 5: Chart B — Strategy and Engagement

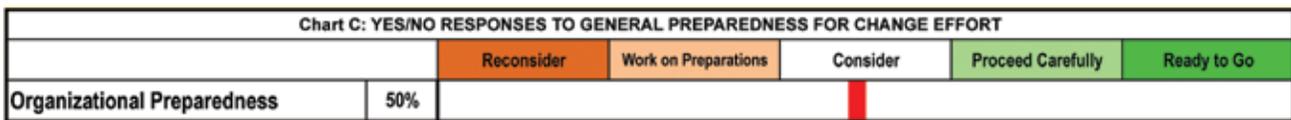


Engagement is based on the degree of the agency's involvement with stakeholders, including workforce, suppliers, clients, supporters, other agencies, and their governance structure (e.g., county board, governor's office, parole board), as well as the public and the media. Engagement includes both the sharing of information by the agency with stakeholders and creating avenues for stakeholders to give feedback to the agency.

Organizational Preparedness

Chart C (exhibit 6) provides a measure of organizational preparedness. The level of preparedness for organizational change reflects how well prepared the agency’s executive team is to provide resources and leadership to the change effort. Are staffing levels sufficient to free people from their day-to-day work activities to participate in the change effort? Is there the capacity to develop and execute a communications plan to engage all stakeholders (internal and external)? How have unions and other staff groups participated in past strategic planning and change efforts? Is there the capacity to devote resources to a change effort? These questions and their answers can provide a sense of how prepared an agency is to take on a change effort.

Exhibit 6: Organizational Preparedness



One important factor in considering preparedness for change in correctional agencies is knowledge that the agency is “doing corrections right”; that is, the basic elements of safe and secure supervision and settings are in place and functioning well. These include:

- Management of public, client, and staff safety and security procedures.
- Management of individuals and populations under supervision.
- Management of the control, operations, and security of correctional environments.

A review of the agency’s performance in these three areas will enable the leadership team to determine whether there are deficiencies to correct or gaps to fill. When the agency determines it is “doing corrections right,” then further change efforts can be undertaken.

Using the Screener Report

Once a number of people have completed the Screener, begin discussions of their results. There are a variety of ways to do this. Some organizations have the leadership team complete the Screener and then discuss aspects of it at a special meeting or during their regularly scheduled meetings. Some have many people participate in the Screener and then hold several meetings to discuss the results, usually with a member of the leadership team or someone from the team who is overseeing the change effort (the Change Team). Others ask all staff to participate and then discuss the results in staff meetings, with representatives coming together to present the findings to the leadership and/or Change Team.

One way to structure the discussions is to have those who completed the tool meet to walk through the 14 Likert-scale items and share their respective scores and reasons for scoring. This helps the group identify a collective “sweet spot,” the place that best typifies the group’s score pattern. People can also discuss *why* they scored the items the way they did. These types of conversations lead to reflections on existing norms within the organization and how they might differ across the organization’s work groups. Group consensus and diversity on high- and low-scoring item areas can be noted and discussed productively.

These discussions can take place informally or in a more structured focus group setting. Focus groups generally last from 90 to 120 minutes. A moderator facilitates the discussions to elicit information from the participants. Participants encourage each other in an exchange of ideas about the Screener results. This type of structured conversation generates qualitative data and has the potential to produce insights that might not occur during informal discussions. More information about focus groups can be found in “Focus Groups, A Practical Guide” in the *APEX Resources Directory Volume 2* (Billson et al. 2012).

Exhibit 5 shows the same data in a two-dimensional scatter plot. Using the midpoint of the diagonal arrow shaft, respondents can gauge whether their organization is biased toward one of the two dimensions: Strategy or Engagement. Any significant imbalance in the organization between strategy and engagement will have implications in terms of impediments to readiness for change. This discussion can encourage people to identify possible strategies to deal with these potential constraints to successful implementation of a performance improvement initiative.

Exhibit 6 provides the context to discuss the important question: Is there sufficient readiness to move forward with a change management process? Managers and Change Team members can use comparisons between the three Screener report charts from the group’s members to generate the group average score for organizational readiness, as well as an overall score for the agency. They can examine how these scores vary across the different groups who participated in the Screener discussions. The readiness scores can be compared and contrasted with the scores from their sector (e.g., jail, prison, parole, probation, community corrections) or the overall average. What do the group members make of these differences? Is there considerably more variance between their scores and other agencies than between their own scores on the Strategy and Engagement chart? There probably should be.

The Screener is an opinion-based self-report and is therefore subjective; however, an objective reality (the perception of those taking the survey) is captured and reflected in the scores. How people see things influences their behavior whether or not their viewpoint is “true.”

Next Steps

It will be helpful to understand the dynamics of people’s participation in the report discussions. Were they engaged and open, or defensive about their answers? If the discussions seemed defensive, what may have caused it? Is there something that could ease the defensiveness? Did people feel there was enough time for their opinions to be heard? What needs to happen before moving to the next steps; e.g., take the Organizational Profile (discussed in the next chapter), take the APEX Inventory (discussed in chapter 5), proceed with the agency’s chosen change process, or address deficiencies before moving forward?

Summary

The Screener is designed to provide a concise sense of the preparation and engagement of the leadership and workforce in an agency. The importance of the report in generating discussions cannot be overemphasized. The use of focus groups to generate more indepth discussion is encouraged. A variety of opinions about the organization's readiness and preparedness for change can be discovered during these discussions. This discovery can inform the decisionmaking process regarding the agency's next steps on its journey to performance excellence.

Appendix A contains a copy of the APEX Screener.

References

Billson, J., N. Cebula, T. Lantz, E. Ritter, and T. Ward. 2012. *APEX Resources Directory Volume 2: Communications, Focus Groups, and Team Development*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Chapter 4: APEX Organizational Profile

The APEX Organizational Profile (OP) is a self-assessment tool that focuses on gathering information about how an organization is structured and currently performing, and about its external environment. Agency leadership can use the profile as an opportunity to gather and review accurate and current data about the external and internal environment and stakeholders, as well as the organization's results. To build the profile correctly, the leadership must step back and view the organization systemically. Once the profile is assembled, the responses to the questions and topics can be used as benchmarks or starting points for performance improvement.

The OP is a list of key questions and topics that, when researched and completed, presents a snapshot of the organization's current operating profile. As the organization's leadership and staff work through the list, they may discover that some of the metrics are not used in day-to-day operations, and that considering all of them together yields a whole-system view of the organization and how it fits in its environment. Often, agencies get caught up in the day-to-day operations and do not take the time for such a complete analysis of their situation. The OP provides a way to do this in a planned and comprehensive way.

How To Use the Organizational Profile

The OP is designed so that each agency can choose to use it in a way that best suits its needs. It is a process for an agency to go through, responding to each question or topic as a request for information. This process engages the people in the agency in learning about the organization and its environment and identifying gaps in data, knowledge, and performance measures. Some agencies choose to add a narrative section at the end so that others who use it can see more information than what is included in the profile itself.

APEX Organizational Profile Content

Following is a sample of the information that will be needed to create an OP:

- The agency's role in its jurisdiction.
- Economic information about the jurisdiction.
- Community partnerships and resources.
- Support for corrections in the jurisdiction.
- Funding source.
- Regulatory and monitoring information.
- Innovations in corrections, technology, and/or human services.

APEX ORGANIZATIONAL PROFILE

Format: Word document.

The questions:

■ Internal Environment and Stakeholders

- Organization's foundation – 6 topics.
- Workforce profile – 5 topics.
- Organization's assets – 3 topics.
- Organization's relationships – 3 topics.
- Organization's situation – 5 topics.

■ External Environment and Stakeholders

- Strategic position in the state, region, or local jurisdiction – 2 topics.
- Economic data for state/jurisdiction – 1 topic.
- Community partnerships and collaborative resources – 2 topics.
- Political landscape: Support for correctional operations – 5 topics.
- Funding sources and government expenditure: Current and projected – 3 topics.
- Regulatory environment – 4 topics.
- Client population and future service trends – 3 topics.
- Other correctional practices and technological impacts – 1 topic.

■ Next Steps

- In what areas did the organizational profile reveal gaps or deficiencies, or show areas that are in need of attention?

■ Narrative Section (optional)

Approximate time to take: This will vary widely because the Organizational Profile is designed to be completed by the leadership team or the Change Team during one or more meetings. Some of the information may be readily available and other information may take time to gather. The complexity of the organization also can affect the time needed—a single facility or office profile will probably take less time than an agency with multiple sites and departments. If all of the information is available and the team is familiar with it, this profile can be completed in several hours. If not, it may take several meetings to gather, share, and analyze the information.

What the report shows: The report provides a picture of the complex environment and stakeholder relationships that can help agencies identify strengths and weaknesses as well as gaps in data and functioning, feeding into their performance improvement planning process.

- Agency mission, vision, values, and current goals.
- An inventory of the organization’s core services.
- A profile of the supervised population.
- A workforce profile.
- The organization’s physical assets.
- A current strategic plan and knowledge of how it is used by staff.
- The organization’s governance system.
- Current performance measures.
- Internal controls.
- Results.

How To Build an Organizational Profile

A template for agencies to use in developing the OP is provided in this section and in appendix B. There are a variety of ways to use this tool. Some agencies may choose to work through the questions and topics during a series of management team meetings. Others may create a Steering Committee and/or Change Team as a part of their performance improvement process; this is described in *Culture and Change Management: Using APEX To Facilitate Organizational Change* (Cebula et al. 2012). Some may ask two or three people to gather the

CHANGE TEAMS AND STEERING COMMITTEES

The APEX Change Management process recommends that agencies name a Change Leader, form a Change Team, and, in large-scale change efforts, form a Steering Committee.

Change Team members should be well connected with staff and key stakeholders, interpersonally competent, and diverse, representing the various departments and levels in the organization. It is important to include those who are interested in and can influence the success of the change effort. The Change Team decides how the change is managed and who is involved in planning and implementation. It reports to the Change Leader or to the leadership team.

When a larger change effort is undertaken, a Steering Committee may be convened to assist the Change Team. This committee is often made up of managers, labor leaders, and staff members who are considered informal leaders among their peers. It may also include county board members, representatives from the Governor’s office, and key stakeholders.

Additional information on Change Leaders, Change Teams, and Steering Committees can be found in the APEX Guidebook *Culture and Change Management: Using APEX To Facilitate Organizational Change*, available at www.nicic.gov/library.

information, organize it, and present it to the executive team, which then presents it to the rest of the staff. All of these processes provide opportunities for the agency to have meaningful discussions about the topics in the profile when gathering, discussing, and analyzing the information.

As an agency goes through the OP process, it may find that some information is missing or that a particular topic is difficult to answer. The first steps that an agency takes may be to create better data-gathering processes or more accurate performance measurements.

Reviewing and Analyzing the Organizational Profile Responses

As people review the completed OP, participants in the process may want to explore the following questions to better inform this assessment process:

- Identify the next steps for the agency. Is there missing information? Are there gaps that need to be filled in?
- Did people have difficulty finding information or communicating it to others in any of the profile's areas? If so, create a plan to resolve these issues.
- Are there responses that people are concerned about or uncomfortable with? These topics may need to be explored more fully to see if the agency needs to do some work in this area to address these concerns.
- Are there some issues that appear more important to the agency than others? Creating a prioritized list of issues may be a useful step. Once the most important issues are resolved, then the others can be addressed.

Examining the Organizational Profile Topics

The OP asks agencies to take an indepth look at their internal and external environment and stakeholders. This type of assessment provides useful information for leaders and others as part of the groundwork for creating change and improving performance. Understanding where an organization is at a certain moment in time allows for careful measurement of any improvements and/or changes in structure, policies, procedures, and operations.

Internal Environment and Stakeholders

Organization's Foundation

These topics provide a description of the organization's services and competencies as well as basic concepts of mission, vision, goals, and values. If an agency finds any of these topics difficult to answer or if information is missing, this is a clear message that it is time to "fill in the blanks" before going any further with performance improvement efforts.

Workforce Profile

The information required paints a picture of the workforce, a key internal stakeholder group. These areas can be analyzed to determine if there are changes to the workforce that need to be included in the change effort implementation plan.

Assets

This provides a concise picture of the current physical plant, equipment, and technologies. It is useful to review these factors before developing an implementation plan so that any deficiencies can be considered when looking at resources needed to complete the change effort.

Relationships

The purpose of this section is to help people in the organization understand the structure of the organization, who it is accountable to, and who monitors it.

Current Situation

Strategic plans are most useful when people in the organization understand what the plan is, the agency's progress in achieving the plan's goals, and how their work leads to successful achievement of the strategic goals. This section also asks the reviewers to define the agency's strategic challenges and advantages, analyze the performance measures in use, and understand the internal controls the agency has in place to monitor its operations.

An analysis of the outcomes and results completes the picture of the organization's situation. There are many places where leadership may find that their information is incomplete or not as robust as they would like. Identifying these gaps and developing strategies to address them will provide valuable input when moving forward with change efforts.

External Environment and Stakeholders

This section is designed to help the organization identify and examine the external realities that can affect its ability to manage and improve performance. This part of the assessment allows an organization to hold up its internal operating realities against some of the uncontrollable, and often unpredictable, impacts of the external environment in which it operates. It consists of a set of exploratory questions that require agency leaders and staff to research and assemble current information regarding developments in the local, regional, and national environment in which it operates. This represents a formal commitment to organizational development and strategy formulation that identifies external realities and addresses the current operating context. The goal of this section is to enhance performance measures that allow the organization to plan for and respond to external conditions before they limit the agency's ability to operate effectively.

Strategic Position in the State, Region, or Local Jurisdiction

Often, agency leaders and staff mainly consider the safety of their communities. This section allows people to gain an understanding of how their state, region, or community is impacted by the agency apart from its public safety mission. How an agency contributes to the economic health of the area, including the number of people it employs, offers a different level of worth for correctional agencies to consider.

Economic Data for State/Jurisdiction

Gathering and analyzing these data can complete the review that began in the previous section. When the economic data for the area are considered along with the agency's impacts on the economy, a more complete picture of the agency's contributions to the community will be revealed.

Community Partnerships and Collaborative Resources

Clarity about who the key external stakeholder groups are, the role they play in the organization's operations and outcomes, and the quality of relationships helps agencies strategize as they build better partnerships and work collaboratively to enhance services to clients and benefit their communities.

Political Landscape: Support for Correctional Operations

Determining political support for the agency and its operations highlights the individuals, groups, organizations, or coalitions that can help or hinder organizational improvement efforts. This type of analysis can identify areas of positive support for the agency and its clients and areas where support needs to be increased. Strategies can be developed to build relationships that can produce the most improvement in support for corrections and for the agency.

Funding Sources and Government Expenditures: Current and Projected

This analysis can help agencies identify where their funding comes from today and potentially in the future. Examining the list of funding sources and their specific contribution to the agency's budget can lead to a better understanding of who provides the most funding, untapped funding sources, the generation of creative ideas for generating new income, and the development of strategies to enhance funding and income.

Regulatory Environment

Agencies that understand their regulatory environment tend to make more effective operational and strategic decisions. Understanding the regulatory requirements and how they impact operations is key to the development of strategies that will help an agency exceed the minimum requirements. This is a key difference between a typical organization and a higher performing organization.

Client Population and Future Service Trends

A review of the current services provided to clients can identify those that are successful, those that may be underutilized, and those that are obsolete or no longer necessary according to current industry standards. By reviewing current services, agencies can discover gaps and generate ideas for creating new services to fill these needs. Examining correctional and human services industries allows an agency to identify future service trends, which has the potential to positively impact organizational sustainability.

Other Correctional Practices and Technological Impacts

The review of the external environment concludes with a look at innovative practices, technologies, and data management. As agencies seek options for improving organizational performance, this review can enhance their implementation planning process.

Narrative Section (Optional)

Some organizations choose to write a narrative description of their OP to more fully explain the items contained in it. This document can be shared with staff, key stakeholders, and others to help them gain a better understanding of the organization.

Where To Go from Here

Based on the findings from researching, compiling, and analyzing the data for the OP, the agency can develop a plan to address any deficiencies or areas that are in need of additional research or attention. Once information gaps have been filled and any deficiencies resolved, the agency is ready to proceed to the next step in its performance improvement process. Whether the agency is using the APEX Change Management Model or another method to guide its change effort, next steps can include ensuring the organization is ready to undertake a change effort, defining the goal of the change effort, or taking the APEX Inventory to help identify areas in need of improvement based on the domains in the APEX Public Safety Model: Leadership; Operations; Organizational Culture; Stakeholder Focus; Workforce Focus; Strategic Planning; Measurement, Analysis, and Knowledge Management; and Results.

Summary

The APEX Organizational Profile provides correctional agency leadership with a way to self-assess the agency's internal and external environment, as well as its stakeholder relationships, in a systemic manner. The results of this self-assessment can be used to establish benchmarks for improving organizational performance, to determine if there are gaps or deficiencies that would create barriers for sustaining higher performance, and to identify areas to include in the implementation plan.

Appendix B contains an example of a completed corrections OP.

References

Cebula, N., E. Craig, C. Innes, T. Lantz, T. Rhone, and T. Ward. 2012. *Culture and Change Management: Using APEX To Facilitate Organizational Change*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Chapter 5: APEX Inventory

The final tool in the APEX Assessment Tools Protocol is the Inventory. The Inventory is designed to be a starting point for correctional organizations to assess their performance in the eight APEX domains, to determine the organization's readiness to take on a change process, and to think strategically about the issues the tool reveals.

APEX INVENTORY

Format: Automated self-scoring Excel application designed for up to 4 people to take with a report that includes all of their responses.

The questions: 15 descriptive demographic items, 70 Likert-scale statements (agree/disagree), 24 comparative statements on culture, 19 descriptive organizational metrics items.

Approximate time to take: 45–60 minutes per person.

What the report shows: Organizational readiness, performance on eight APEX domains, current and preferred state of organizational culture, and the balance between strategy and engagement.

Note: When saving the Inventory file, a message may pop up that says “Minor loss of fidelity – Some cells or styles in this workbook contain formatting that is not supported by the selected file format. These formats will be converted to the closest format available.” This is because of the difference between the Excel version the Inventory was created in and the one that is being used to open it. The results of the Inventory will not be affected. Click on “Continue” and proceed with taking the Inventory.

Over 100 correctional agencies from all sectors of corrections participated in the testing of the APEX Inventory. Their responses were used to build a database so that comparative scores could be provided in the Inventory report. This enables agencies to see how their scores compare with other agencies in community-based corrections, jails, or prisons.

The APEX Inventory gives leaders, managers, and staff an opportunity to express their sense of the organization's readiness for change and its performance in the APEX Public Safety Model domains. The tool is configured as an Excel application and will score itself automatically when completed. It contains 15 descriptive questions about the respondent and his/her agency. There are 70 Likert-scale items on a 5-point scale (strongly disagree = 1, disagree = 2, undecided = 3, agree = 4, strongly agree = 5). These items focus on seven of the APEX domains: Leadership; Operations Focus; Stakeholder Focus; Workforce Focus; Strategic Planning; Measurement, Analysis, and Knowledge Management; and Results. The Organizational Culture domain is covered by six sets of statements based on Cameron and Quinn's Organizational Culture Assessment Instrument (OCAI) (Cameron and Quinn 2006). The Inventory concludes with 19 questions that examine organizational metrics, including population information, supervision performance information, and outcome measures.

A report is generated for each of the four respondents; the report should be printed for future reference (a color printout is recommended for interpreting the charts). The reports are designed to provide data for discussions about the organization and inputs for developing a performance improvement implementation plan.

How To Use the APEX Inventory

The APEX Inventory is designed to be taken by four respondents sequentially. When they have all completed it, the tool will automatically combine and average the respondents' scores and produce reports for each individual (including the overall average for the group). An agency can have any number of groups of four people from different units throughout the organization take the Inventory. Having more people complete the Inventory gives a more comprehensive picture of the organization by unit, as well as the organization as a whole. At a minimum, it is recommended that four senior managers complete the Inventory.

A copy of the Inventory should be saved (with a unique name) for each group of four respondents. When a respondent finishes taking the Inventory, it is important for him/her to click the button at the top that says "Main Start Screen" or "Main." The next time the Inventory is opened, it will start at the first page. The "Main Menu" page shows how many users have taken the Inventory and the percentage of questions they have completed, and the new respondent can see which user numbers have not been taken. Users can take the Inventory in more than one session; they can save their work and then begin where they left off. Each section will tell them the percentage of questions they have completed. Reports will not be generated until each user completes all of the questions in all of the sections. When a user completes the Inventory, he/she should print a copy of the reports. It will be useful to have copies of the reports when groups meet to discuss the results and develop plans to address the issues raised by the results.

IMPORTANT REMINDER WHEN SAVING THE INVENTORY

Every time the Inventory is saved, there is a possibility that the Excel compatibility checker may appear. If it does, a box will pop up that says "Minor loss of fidelity – Some cells or styles in this workbook contain formatting that is not supported by the selected file format. These formats will be converted to the closest format available." This is because of the difference between the Excel version the Inventory was created in and the one that is being used to open it. The results of the Inventory will not be affected. Click on "Continue" and proceed with taking the Inventory.

Inventory Report

The APEX Inventory report contains four primary components:

1. **Organizational Performance Domain Assessment.** A profile of scores for organizational readiness and the seven APEX domains mentioned above, showing the individual respondent's score, the average of the four respondents completing the Inventory, and the same-sector agency average.
2. **Organizational Culture Assessment Instrument.** A picture of the current state of the organizational culture and the preferred state compared with same-sector agencies' current and preferred states.

3. **Engagement and Strategy Assessment.** A chart showing the relationship between strategy and engagement. Engagement refers to the interaction the agency has with its internal and external stakeholders, including the workforce. Strategy describes the agency’s degree of planning, measurement, and skill development.
4. **Organizational Activity Indicators.** Three categories of scores representing information about the supervised population, supervision activities, and outcome measures allow for comparison between the individual respondent, the average of the four respondents completing the Inventory, and the same-sector agency average.

Organizational Performance Domain Assessment

The Organizational Performance Domain Assessment provides information on organizational readiness and on seven of the APEX domains. This part of the report is designed to give an indication of an organization’s strengths and weaknesses in these areas. The scores are derived from the respondent’s answers to the questions in the organizational readiness section and the APEX domains section of the Inventory.

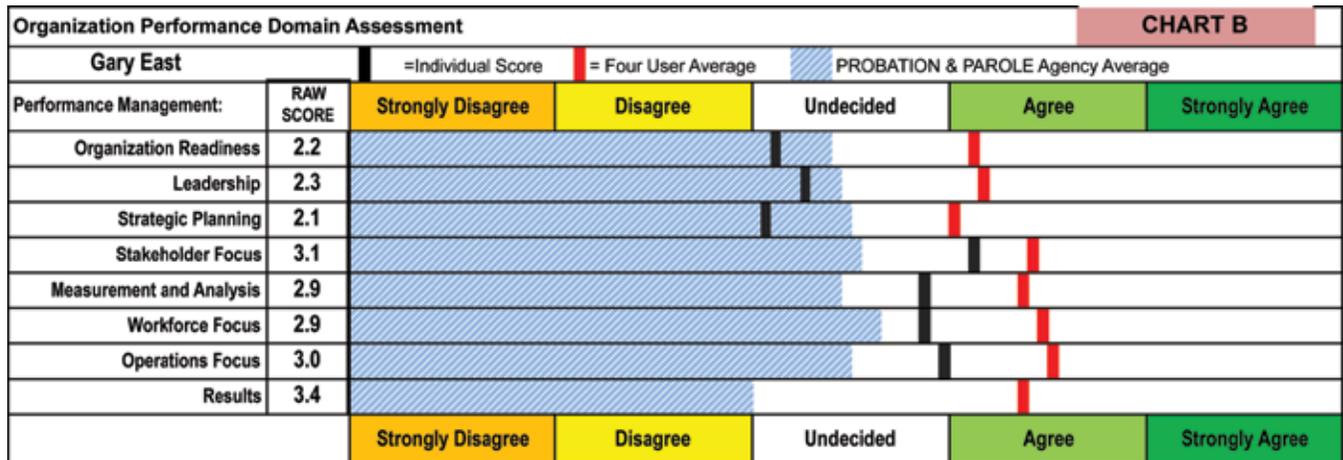
Exhibit 7 shows the number of questions asked about organizational readiness and about each domain as well as the Cronbach’s Alpha scale reliability score. Cronbach’s Alpha is a well-known measurement of the internal consistency of tests like the Inventory using Likert scale questions; it is used by researchers to determine the reliability of their survey instruments. It gauges relationships between different items on a test that are designed to measure the same concept. It is included here to show how the Inventory questions were rated; all of them were in the good to excellent range for reliability.

Exhibit 7: Organizational Performance Domain Subscales

Domain Name	Number of Likert Items	Cronbach’s Alpha
Organizational readiness	6	.89
Leadership	10	.93
Strategic planning	9	.92
Stakeholder focus	7	.78
Measurement, analysis, and knowledge management	9	.89
Workforce focus	9	.86
Operations focus	12	.91
Results	8	.88

Exhibit 8 (chart B) is an example of an Inventory completed by four respondents from a Probation and Parole agency.

Exhibit 8: Organizational Performance Domain Assessment Example



In this example, the respondent’s individual results (vertical black bars) show that he rated the agency highly in all domains, especially Stakeholder Focus, Operations Focus, and Results. This respondent rated his agency higher than the other individuals who took the Inventory, and significantly higher than the overall average for his sector. (The vertical red bars are the average for the four users). The average for the Probation and Parole sector is shown in the blue area on the chart. Strategic planning and leadership received low scores from this respondent (2.1 and 2.3, respectively).

The weakest area for this organization, using the four-user average, is the Strategic Planning domain. However, the collective respondents’ rating is still significantly higher than the average for their sector.

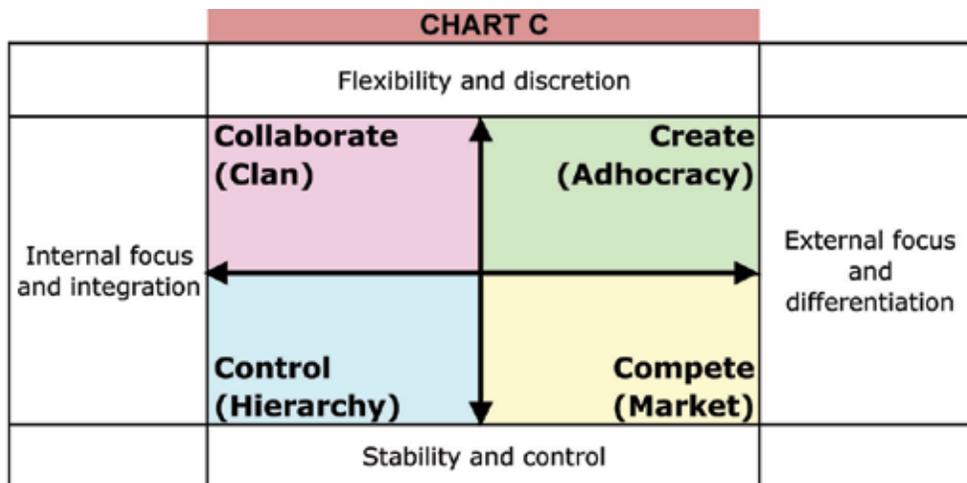
A critical question is how to know if this means that the agency is out-performing similar organizations. Are the opinions of the respondents biased by self-interest or lack of information? Sometimes when people take assessments, those from higher performing organizations score their organization in the middle range on performance issues. This may show that higher performing organizations value self-examination and hold themselves to a higher standard of performance. Conversely, other organizations that are not higher performing gave themselves high scores on these scales. This could indicate a misrepresentation of the conditions in the organization. Such dynamics in the survey response process reinforce the point that the results of these charts are to stimulate discussions that lead to better self-awareness. They are not hard measures of the actual performance conditions.

Organizational Culture Assessment Instrument

The OCAI is included in the APEX Inventory to provide correctional organizations with a framework to discuss and understand their organizational culture. Kim Cameron and Robert Quinn developed this tool in the late 1980s (Quinn and Rohrbaugh 1983; Cameron and Quinn 2006). The OCAI has been applied to thousands of businesses and organizations, including many prisons (Crime and Justice Institute 2010), and is found to be a valid and reliable measure of an organization’s culture and the values that characterize it.

The OCAI results are portrayed within the context of the Competing Values Framework, which is constructed from the intersection of two dimensions: internal focus versus external focus, and flexibility versus control. In exhibit 9, flexibility/control is on the vertical axis and internal/external focus is on the horizontal axis (Cameron and Quinn 2006). The chart creates four organizational cultures frequently found in organizations throughout the world: (1) the clan or collaborating culture, (2) the adhocracy or creative culture, (3) the market or competing culture, and (4) the hierarchy or controlling culture.

Exhibit 9: Competing Values Framework



A clan culture develops when the organization’s dominant values are flexibility with an internal focus on integrating roles. An adhocracy culture emerges when flexibility and an external focus are the organization’s salient values. A market culture forms around an external orientation with stability and control. A hierarchy culture predominates when an organization primarily values stability and control with an internal focus on integrating roles. According to the authors, a tension always exists between the different values and no organization is entirely aligned with one type of quadrant. Exhibit 10 summarizes the key points of each culture type.

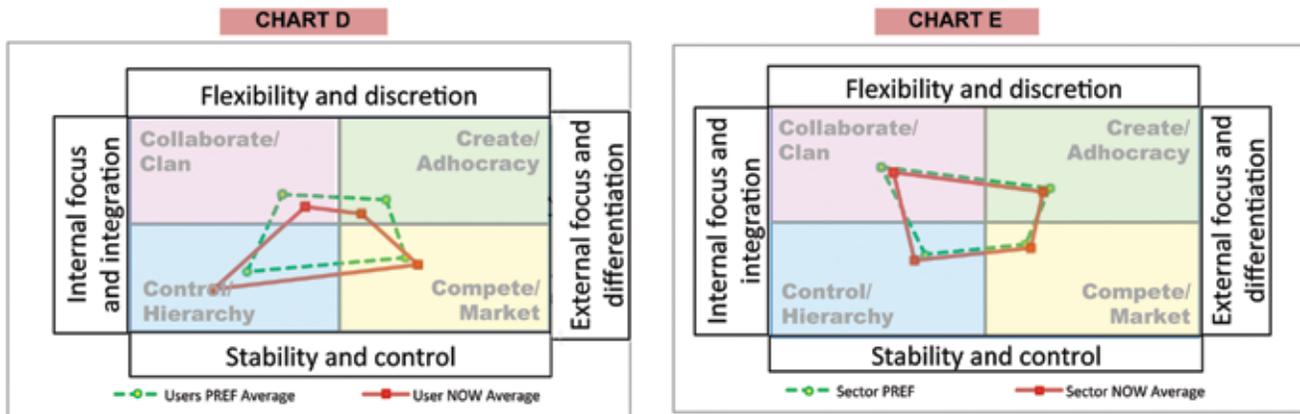
Exhibit 10: Competing Values Definitions

Clan (Collaborate) Culture Type	Adhocracy (Create) Culture Type
<p>Description: Internally focused and values flexibility, decentralization, shared goals, participation, inclusiveness, and individuality.</p> <p>Definition of success: Organizational commitment, participation, personal development, and familylike work environment.</p> <p>Human resources role: Champion for employees, supportive, and responsive to employees' needs.</p> <p>Staff competencies: Social and communication skills, cooperative, commitment to organizational and personal development and improvement.</p>	<p>Description: Externally focused and values flexibility, decentralized decisionmaking, agility, innovation, responsiveness, and constant reinvention of itself.</p> <p>Definition of success: Leading the field in producing innovations.</p> <p>Human resources role: Fostering change and facilitating transformation.</p> <p>Staff competencies: Systems thinking skills, organizational change abilities, collaborative, and consultative.</p>
Hierarchical (Control) Culture Type	Market (Compete) Culture Type
<p>Description: Externally focused and values rules, specialization, accountability, reliability, and smooth functioning.</p> <p>Definition of success: Efficiency, timeliness, consistency, and stability.</p> <p>Human resources role: Select and assign specialists, skill maintenance and improvement, and rule enforcement.</p> <p>Staff competencies: Process orientation, customer relations, and service needs assessment.</p>	<p>Description: Externally focused and values stability and control, encourages competition between units, and rewards bottom line success.</p> <p>Definition of success: Market share, achievement, and profitability.</p> <p>Human resources role: Strategic business partner.</p> <p>Staff competencies: Business and marketing skills, strategic analysis, leadership, and achievement.</p>

Chart D in exhibit 11, from the Inventory report, shows the cultural preferences of the four people in the agency who responded to this Inventory. Chart E in exhibit 11 shows the average of all of the other same-sector agencies, providing a norm for comparison. In these charts, the solid lines represent respondents' views of the current culture and the dotted lines represent the preferred culture. If the area of the shape formed by the lines is predominantly in one quadrant, the organization's culture is aligned more closely with that particular cultural type. In this exhibit, the agency shows a current bias toward the control/hierarchy cultural type and a preference to move in the direction of the clan/collaboration and adhocracy/create cultures.

When interpreting and using the results shown in the charts, it is important to recognize that each of the four culture types has its own set of associated strengths and weaknesses. Understanding these strengths and weaknesses, both of the current and preferred cultures, will increase the effectiveness of the agency's change management planning, strategy development, and implementation.

Exhibit 11: Cultural Preferences



It is possible that different divisions or units within an organization operate with different cultural types. These subcultures can be captured and understood better when staff in each division or unit complete the APEX Inventory. This will create a more comprehensive picture of the main culture in the agency as well as the subcultures within different units. These differences can create a healthy cultural diversity within organizations. For example, many times it is said that the third shift in an organization that operates 24 hours a day, 7 days a week “feels” different than the first or second shift. The same policies and procedures are followed, yet the way that people work together is unique.

When there is a large difference in the current and preferred culture types across different units, agreeing on how to create a culture change and which culture to change to can pose considerable challenges. Leaders who have the capacity to consider both the current and the preferred culture orientations of diverse staff, and accommodate them in their planning, tend to lead more successful change efforts than those who are not able to expand their cultural views and instead focus on what they prefer.

Once all the groups have completed the Inventory, the results from chart D for each group can be compared and discussions can begin on what the agency wants to do with this information. Do they want to incorporate culture change into their implementation plan? If so, how? This part of the tool allows agencies to determine where they fall on the axis of the four cultural types currently and where the respondents would like the preferred culture to be in the future. They can use this information to determine where they would like the preferred culture to be as a whole agency and agree on how to move forward, engaging the agency in a variety of activities to move in their chosen direction.

“Organizational Culture and Change,” in *Culture and Change Management: Using APEX To Facilitate Organizational Change* (Cebula et al. 2012), gives more detailed information on organizational culture, culture change, and the OCAI. This report is available from the NIC Information Center at www.nicic.gov/APEX.

Engagement and Strategy Assessment

The results of the engagement and strategy assessment, chart F (exhibit 12), are designed to encourage agencies to think about alignment on these two dimensions within the organization.

The engagement dimension includes the Stakeholder Focus, Workforce Focus, and Leadership domains. This includes staff, clients, volunteers, suppliers, supporters, and other stakeholders. Engagement is about effective interpersonal relationships between staff and clients, staff and other staff, line staff and management, and staff/management and stakeholder groups.

The strategy dimension covers the Strategic Planning; Measurement, Analysis, and Knowledge Management; and Operations Focus domains. These include skill development, what is measured and how, who uses the data and for what purpose, and how well the agency succeeds in achieving its strategic planning goals and objectives. The strategy items reflect logical or cognitive processes that promote more effective organizational strategies.

Exhibit 12 presents user, four-user average, and same-sector scores. This provides feedback to respondents, depicting how they see their organization's strengths in terms of strategy—emerging out of sound logic (head)

Exhibit 12: Engagement and Strategy Assessment Example



and engagement—based on affective relationships (heart). The more balanced the organization is with respect to these two dimensions, the closer the respondents' data points will be to the arrow. High scores on both dimensions should correlate (and do correlate) with greater organizational readiness for change. Higher scores in one dimension but not the other would indicate an imbalance on these dimensions and should be considered as the agency prepares its Implementation Plan. In the exhibit, user #4 appears to be more ready for organizational change than the average of the other users' scores. As this agency prepares for performance improvement, the chart reveals that there is work to be done to prepare others for change, as well as to include efforts to increase engagement with stakeholders (including the workforce) and to share more information on the agency's strategic plans, goals, and performance measures.

PERFORMANCE-BASED MEASURES SYSTEM

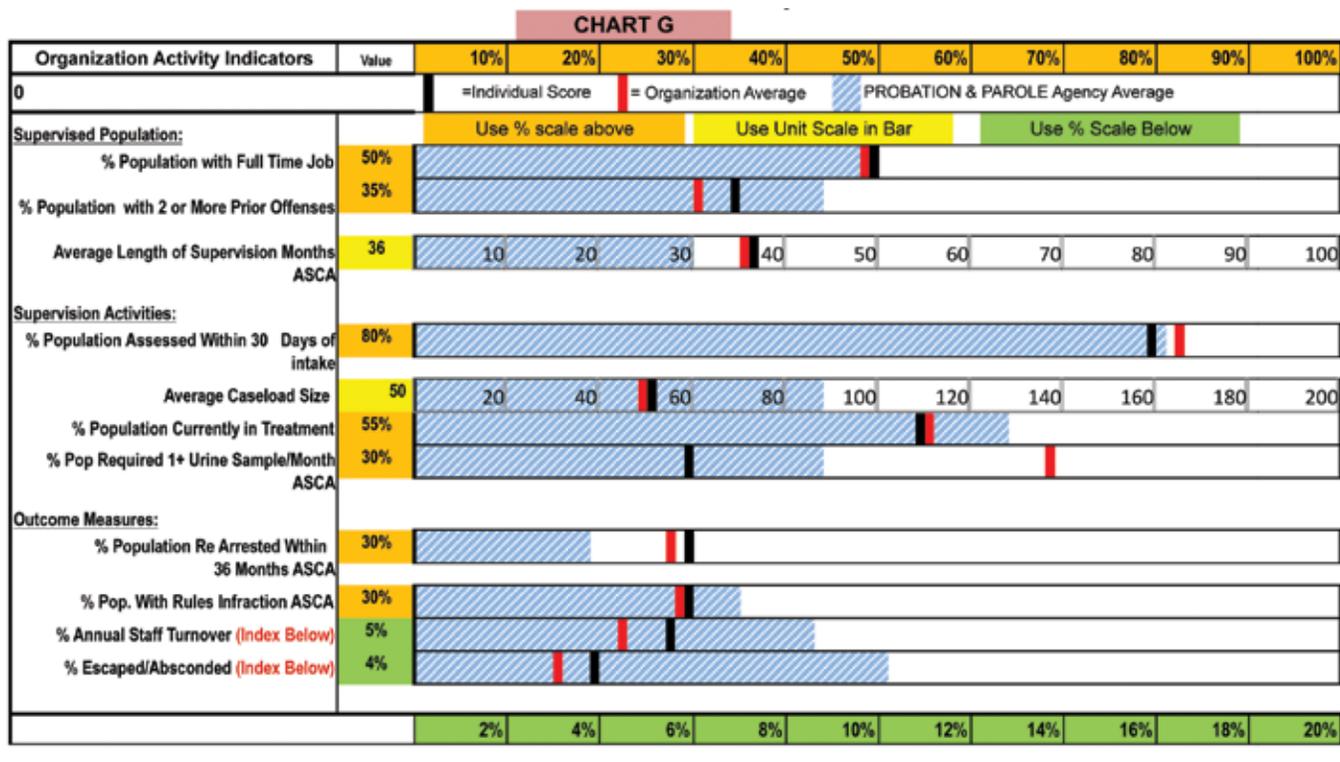
The Association of State Correctional Administrators' Performance-Based Measures System (PBMS) is a set of uniform standards and measures of correctional performance designed to allow for review, analysis, and research of performance data across jurisdictions. It provides primary correctional benchmarks for performance standards, measures, and common definitions of key indicators, with counting rules, so that all participants calculate numbers and rates the same way. PBMS signifies an important trend in the field toward greater data standardization, data-driven decisionmaking, and system accountability.

Organizational Activity Indicators

The organizational activity indicators are measures that cross all correctional sectors. Many of these measurements were selected from the Association of State Correctional Administrators' Performance-Based Measures System. The rest were selected because of their relevance to field supervision and/or outcomes. These activity measures are in three categories: population measures, supervision measures, and outcome measures (see exhibit 13). Information about population is often an important control variable, useful for adjusting for differences between populations to make comparisons. For example, a prison that has 28 percent of the inmates engaged in full-time jobs is vastly different from a system with 4 percent of inmates who have jobs. Supervision activity performance information is used here because of its potential relevance and relationship to outcomes. Measures in this category tend to fall into two subcategories: workload measures (e.g., average caseload size) or intermediate outcomes (e.g., percent of population currently in treatment). The latter are assumed to have a positive correlation with outcomes such as recidivism. Outcome measures include both client (stakeholder) measures and workforce measures.

Data contained in an organization's management information systems and reports will be useful when completing this portion of the Inventory. When a large variance (see “% Annual Staff Turnover” in exhibit 13) exists between individual scores (vertical black bars) and the organization's average (vertical red bar), it can mean that there is a need to increase communications to staff about organizational performance measurements. These indicators may be useful for agencies as they develop and enhance their performance management system.

Exhibit 13: Organizational Activity Indicators Example



Another purpose of the activity indicators is to provide a way for respondents to “reality check” their summary scores on previous measures in the Inventory. Was the organization’s average score higher than the sector average on Stakeholder Focus? If so, it is very possible that the organizational average score will also be higher than the sector average on the category “% Population Currently in Treatment” in exhibit 13. If this pattern does not occur, a discussion of the various charts in the Inventory report could prove useful and productive and may feed into the plans for improving organizational performance. As in the previous charts, the results in this part of the report can provide valuable direction for implementation planning.

Next Steps: Using the APEX Inventory To Build an Implementation Plan

The APEX Inventory provides a wide variety of information for agency leaders and staff that can be used as they develop plans to change their organizational performance and/or culture. The Organizational Performance Domain Assessment will tell them how ready people are to take on a change effort and will give them a sense of how people feel the organization is performing on seven of the APEX domains. If organizational readiness scores are low, then this is the area that should be dealt with first. Once the agency has prepared the ground for change efforts, chart B (exhibit 8) can be a guide to help them decide which domains appear to need more improvement

and which domains they would like to focus on in their initial change effort. The Organizational Culture Assessment Instrument can provide guidance to help people in the agency decide the direction in which they want the organizational culture to move. Engagement and strategy assessment gives an indication of how well people think the organization engages with stakeholders and deals with more concrete information related to planning and measurement. The Organizational Activity Indicators provide more detailed data on the supervised population, supervision activities, and outcome measures.

The best way to use the information gleaned from the Inventory is to hold focused discussions about the results with the leadership team, the Change Team, and others in the organization. When the results have been shared and analyzed, they can be used to develop and/or enhance the agency's change effort implementation planning. The National Institute of Corrections recommends using the focus group process to create a more robust discussion of the Inventory results. These facilitated discussions are usually 90 to 120 minutes long, generate qualitative data about the results, and tend to create deeper insights into the organization's performance and culture.

Recommended APEX guidebooks to assist with implementation planning include:

- *Culture and Change Management: Using APEX To Facilitate Organizational Change*. Contains information and guidance on preparing and implementing organizational change.
- *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance*. Provides guidance for leaders to help them enhance their skills and knowledge and prepare to lead agencies that are striving to be higher performing.
- *APEX Resources Directory Volume 1*. Includes information, interventions, and other resources for change management and the eight APEX domains.
- *APEX Resources Directory Volume 2*. Consists of indepth information on communications, focus groups, and team development.

Summary

The Inventory completes the APEX Assessment Tools Protocol. This assessment of the APEX Public Safety Model's eight domains and organizational readiness provides valuable input to any change effort. Agencies can use it to assess their unique progress and determine who will take the Inventory, how the reports will be used, and how to share the results. The Inventory can be taken by a recommended minimum of four management staff as well as any number of employees from all levels of the organization.

Agencies may decide to use the APEX Change Management process or any other process to facilitate organizational change. The Inventory fits with the assessment requirements of any systemic change process because it takes a whole-system look at the agency's performance and results.

References

- Cameron, K., and R.E. Quinn. 2006. *Diagnosing and Changing Organizational Culture Based on the Competing Values Framework*. San Francisco: Jossey-Bass.
- Cebula, N., E. Craig, C. Innes, T. Lantz, T. Rhone, and T. Ward. 2012. *Culture and Change Management: Using APEX To Facilitate Organizational Change*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Crime and Justice Institute. 2010. *Summary Analysis of NIC Culture Initiatives Within the Indiana Department of Correction*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Quinn, R.E., and J. Rohrbaugh. 1983. "A Spatial Model of Effectiveness Criteria: Towards a Competing Values Approach to Organizational Analysis." *Management Science* 29(3):363–77.

Book Summary

The APEX Assessment Tools Protocol includes the APEX Screener, the APEX Organizational Profile, and the APEX Inventory. These tools provide correctional agencies with processes to assess their internal and external environments, their readiness for change, and their performance on key indicators from the APEX Public Safety Model domains. These self-assessment tools are designed specifically for correctional agencies to use in a variety of ways: (1) sequentially: Screener—Organizational Profile—Inventory, (2) one or two of the tools as chosen by the agency, (3) as a checkup to see how the agency is performing, and (4) as a pretest or posttest to measure progress as a whole organization or by one department only.

The assessment tool reports are designed to guide discussions of the results and how the agency wants to use the results to create a performance improvement plan. The breadth and depth of this change effort is entirely at the agency's discretion. It is also up to the agency to determine how the information generated by the tools is shared.

Agencies that use one or more of the APEX Assessment Tools will find that they work well with the APEX Guidebook series. These books offer an abundance of information and resources to help correctional agencies as they proceed on their journey to higher performance.

Bibliography

- Alogan, G.B., and N. Yetis. 2006. "Defining Strategic Objectives: A Methodology Suited for Public Organizations." *Total Quality Management* 17(6):669–84.
- Amenakis, A.A., S.G. Harris, and K.W. Mossholder. 1993. "Creating Readiness for Organizational Change." *Human Relations* 46(June):681–703.
- Baldrige National Quality Program. 2011. *Criteria for Performance Excellence*. Gaithersburg, MD: National Institute of Standards and Technology.
- Billson, J.M., N. Cebula, T. Lantz, E. Ritter, and T. Ward. 2012. *APEX Resources Directory Volume 2: Communications, Focus Groups, and Team Development*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Cameron, K., and R.E. Quinn. 2006. *Diagnosing and Changing Organizational Culture Based on the Competing Values Framework*. San Francisco: Jossey-Bass.
- Cebula, N., E. Craig, J. Eggers, M. Douville Fajardo, J. Gray, and T. Lantz. 2012. *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Cebula, N., E. Craig, C. Innes, T. Lantz, T. Rhone, and T. Ward. 2012. *Culture and Change Management: Using APEX To Facilitate Organizational Change*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Cebula, N., and E. Ritter (eds.). 2012. *APEX Resources Directory 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Criminal Justice Institute. 2010. *Summary Analysis of NIC Culture Initiatives Within the Indiana Department of Correction*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Fixsen, D., K.A. Blase, R. Horner, and G. Sugai. 2009. "Scaling Up Evidence-based Practices in Education." Brief #1 in *State Implementation & Scaling-up of Evidence-based Practices*. Chapel Hill, NC: Frank Porter Graham Child Development Institute.
- Howe, M., and L. Joplin. 2005. *Implementing Evidence-Based Practice in Community Corrections: Quality Assurance Manual*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.
- Hunter Cross III, R. 1987. "Strategic Planning: What It Can and Can't Do." *SAM Advanced Management Journal* 52(1):13–16.
- Lehman, W., J. Greener, and D. Simpson. 2002. "Assessing Organizational Readiness for Change." *Journal of Substance Abuse Treatment* 22:197–209.

- Mintzberg, H. 1978. "Patterns in Strategy Formation." *Management Science* 24(9):934–48.
- Quinn, R.E., and J. Rohrbaugh. 1983. "A Spatial Model of Effectiveness Criteria: Towards a Competing Values Approach to Organizational Analysis." *Management Science* 29(3):363–77.
- Richmond, B. 1997. "The Strategic Forum: Aligning Objectives, Strategy and Process." *System Dynamics Review* 13(2):131–48.
- Schoenwald, S.K., A.J. Sheidow, and E.J. Letourneau. 2004. "Toward Effective Quality Assurance in Evidence-Based Practice: Links Between Expert Consultation, Therapist Fidelity, and Child Outcomes." *Journal of Clinical Child and Adolescent Psychology* 33(1):94–104.
- Schon, D.A. 1982. *The Reflective Practitioner: How Professionals Think in Action*. New York: Basic Books.
- Snow, C.C., and L.G. Hrebiniak. 1980. "Strategy, Distinctive Competence, and Organizational Performance." *Administrative Science Quarterly* 25(2):317–36.

Afterword

The APEX Guidebook Series

APEX: Building the Model and Beginning the Journey

Culture and Change Management: Using APEX To Facilitate Organizational Change

Achieving Performance Excellence: The Influence of Leadership on Organizational Performance

Understanding Corrections through the APEX Lens

Applying the APEX Tools for Organizational Assessment

APEX Resources Directory Volume 1

APEX Resources Directory Volume 2

About the Authors

Bradford Bogue is the President of Justice System Assessment & Training, a justice system consulting firm specializing in evaluation, offender and program assessment tool development, and training in public- and private-sector systems. Brad is a seasoned investigator, author, and internationally recognized expert in probation case management practices. He has been the primary investigator for over 50 program evaluations in community corrections. As a tool builder, he has designed numerous offender assessment tools and has created a great number of other field innovations, including automated case plan applications, system evaluation tools, staff survey tools, and quality assurance systems.

Nancy Cebula is the owner of and principal consultant with People in Charge LLC. She has been working as a change agent since the 1970s, from early work as a juvenile probation officer to large systems change work as an organization development consultant. She works with clients in the public and private sectors in the United States and internationally. Nancy is a coauthor and contributor to several books, including *Futures that Work: Using the Search Conference to Revitalize Companies, Communities, and Organizations*. The focus of her work is to help groups of people work together to build strong and vibrant organizations through participative planning, work design, change management, and organizational learning.

Appendix A: APEX Screener

Achieving Performance Excellence (APEX) Screener

[Click Here to Proceed After
Completing This Section](#)

Welcome to the APEX Screener. This survey is a part of the National Institute of Corrections' APEX Assessment Tools Protocol. NIC's APEX Initiative includes the Assessment Tools Protocol, Public Safety Model, Guidebook series, and Change Agent Training designed specifically for correctional agencies. The Initiative provides resources, a roadmap, and guidance for improving organizational performance.

Why take the Screener? This survey is intended to provide these benefits:

- to enable users to assess their organization's readiness for change and performance on key indicators.
- to encourage users to discuss the issues raised by the survey questions and report with organizational leaders, managers, staff, and select stakeholders as part of a performance improvement/change effort.

Answers are not right or wrong. The 24 questions are designed to assess how well you think your organization is prepared to begin a change effort. PLEASE provide a response to all the questions to the best of your knowledge and ability. Even guesses provide valuable information.

Report: The Screener report can be accessed by clicking the "Next!" button at the bottom of this page.

Please provide some basic descriptive information:						
Date	Today's Date (mm/dd/yy)	12/18/11				
Orgn	Name of Organization	Boulder Correctional				
Type	Type of Organization (click on box at right and then arrow menu)	PAROLE Agency				
Name	Your Name (First & Last)					
Questions to which you Agree or Disagree:		Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
1	The organization's procedures for handling security breaches have proven effective in actual incidents.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
2	It is important to the organization that each employee sees a clear connection between their work and the organization's mission and objectives.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3	Staff members within the organization are able to build positive helpful relationships with the supervised population.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
4	Employees at every level feel that they can make their ideas heard by management.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
5	Adequate staffing resources are provided for shift coverage and/or caseload management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
6	All staff members receive feedback about their performance at least twice a year.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
7	The organization is adept at shifting work priorities and adopting new methods when circumstances demand it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
8	Managers within the organization regularly review organizational performance measures.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
9	It is unusual for the staff within the organization to have caring personal relationships with each other.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
10	The organization carefully tracks and reports data about the risk factors and treatment/intervention needs of the people it supervises.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
11	The organization has difficulty systematically implementing new programs and projects.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
12	The organization keeps updated with new technological advances that can improve its operations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
13	The organization conducts case level outcome assessments for the supervised population that incorporate key reentry measures (i.e. employment, social support, education/training, housing, reporting to probation and parole departments).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
14	There are active discussions and interest in our organization about the way we do business and how it supports our values.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
YES/ NO Questions:		NO		YES		
15	Has the organization formulated a strategic plan in the last three years?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
16	Are you having problems with staff turnover, burn-out and grievances?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
17	Does the funding of your agency allow you to adequately deliver core services?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
18	Are responses to critical safety incidents consistent and adequate?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
19	Are senior managers supporting recent change and improvement efforts?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
20	Is information on the classification of the supervised population available when needed?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
21	Are staff trained to engage the supervised population regarding their criminogenic needs?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
22	Is your organization engaged with external stakeholders?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
23	Have employee associations participated in the development of your agency's strategic plans?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
24	Is there effective communication between line staff, mid-management and senior management?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Place
Cursor
Here
to
Scroll
Down

NEXT

[Link back to Questions page](#)

Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Screener

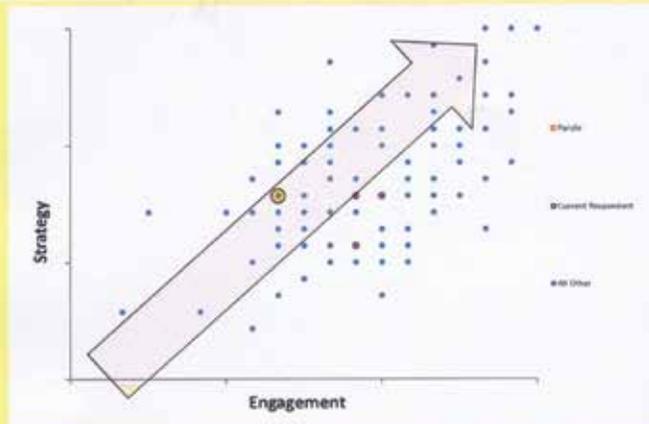
This Screener report presents your responses in three charts. It allows for comparison with agencies in the same correctional sector as you.

- Chart A shows how ready you think your organization is to take on a change effort compared to agencies in the same correctional sector.
- Chart B shows where your organization fits with other same-sector agencies based on Strategy and Engagement.
- Chart C shows how ready your organization is to proceed with a change effort.

Recommendations on how to use this report with peers and co-workers, as well as more information on the Screener, can be found in the APEX Guidebook *Applying the APEX Tools for Organizational Assessment* available from the NIC Information Center (nicic.gov/library).

CHART A: YOUR RESPONSES COMPARED TO SAME-SECTOR AVERAGE RESPONSES						
0	Individual Score	PAROLE Agency Average			Overall Average	
Performance Management:	RAW SCORE	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
Organizational Readiness	3.3					

Strategy and Engagement: Chart B shows where your agency is based on these two concepts. Strategy, in this context, is the level of awareness and skill the agency has for planning and execution. Engagement looks at how involved the agency is with workforce, suppliers, supporters, and clients. The chart below shows the reported degree of capability for performance management. The diagonal arrow shows a balance between Strategy and Engagement. The higher and further to the right, or the closer to the head of the arrow the points are, indicates increased readiness for successful performance improvement efforts.



Many of the 65 correctional agencies in the beta test group are found in the area of the chart that shows higher strategy. Others show higher engagement.

Where did you fit?

Chart C: YES/NO RESPONSES TO GENERAL PREPAREDNESS FOR CHANGE EFFORT						
		Reconsider	Work on Preparations	Consider	Proceed Carefully	Ready to Go
Organizational Preparedness	50%					

This chart shows how your responses indicate that your agency is prepared to take on a change effort. Preparedness includes the resources that are available for change, the communications planning capacity of the organization, how well it manages safety and security, the population under supervision, and operations.

Next Steps

This Screener is a starting point for a correctional organization to begin a change effort, using the resources provided by NIC's APEX Initiative. It was designed to give agencies a quick sense of the preparation and engagement of the leadership and workforce to engage in change. The importance of the report discussions cannot be overemphasized. This is where the variety of opinions on the organization's readiness and preparedness for change can be discovered. This discovery can inform the decisionmaking process on the agency's next steps on their journey to performance excellence. Guidance on how to proceed can be found in the APEX Guidebooks: *Applying the APEX Tools for Organizational Assessment* and *Culture and Change Management: Using APEX to Facilitate Organizational Change*.

If you would like further information, please contact:
 Sherry Carroll
 National Institute of Corrections
scarroll@bop.gov

National Institute of Corrections Information Center
nicic.gov/library/

Appendix B: APEX Organizational Profile

This form can be used to document your organization’s discussions as you prepare your organizational profile. A completed example follows the blank form below.

The APEX Organizational Profile

Organization Name _____ Date _____

To be used to document the discussions you have as you prepare your agency’s profile.

Internal Environment and Stakeholders

Organization’s Foundation

List the core services your organization provides.

List the organization’s core competencies or areas of expertise.

Organization mission statement:

Organization vision statement:

Organization values:

Organization goals:

Workforce Profile

What is the composition of the workforce?

What job categories are there?

What are the demographics of the workforce?

What bargaining units is the organization involved with?

What training and development opportunities does your organization offer?

Who receives training and development?

How are staff rewarded for increasing their skills and knowledge?

Organization's Assets

What are the organization's major facilities?

What condition are they in?

What technologies are used?

How up to date are they?

What equipment exists (may list major categories of equipment)?

What condition is it in?

Organization's Relationships

What is your organizational structure?

Do you have an organizational chart?

Who is the organization accountable to?

- Who does it report to?
- What are the reporting relationships among your governance board, senior leaders, parent organization, etc.?

Who monitors the agency?

Organization's Situation

How comprehensive and useful is the organization's strategic plan?

- Do employees know what is in the strategic plan?
- Do they know how their work fits into it?
- How do you know?

What are the organization's strategic challenges and advantages?

What performance measurements are currently in use?

- How were they developed?
- Do they measure what you intend them to measure?
- What do they tell you about the organization's outcomes?

What internal controls are in place?

- What processes are in place for reviewing the accountability and effectiveness of programs and operations?
- What internal audits are done?
- What internal oversight processes are in place?
- What knowledge transfer processes do you use?

What are the organization's results?

- Stakeholder focused:
 - i.e. What are your current levels of stakeholder engagement and satisfaction?
 - i.e. How effective are the key performance measures for clients/offenders?
- Leadership:
 - i.e. What are your key indicators for accomplishing organizational strategies?
 - i.e. What are your key indicators for measuring ethical behavior?
- Workforce focused:
 - i.e. What are your current levels of workforce engagement and satisfaction?
- Operations:
 - Safety and Security:
 - i.e. What is your current level of preparedness for emergencies?
 - i.e. What is your current level of trends in violent incidents and sexual assault?
 - Process Management:
 - i.e. What are your current trends in operational performance of critical work processes?
 - i.e. How effective are your processes?
- Financial:
 - i.e. What are your current trends in costs for services to clients?
 - i.e. What is your current budgetary performance?
- How well do the results relate to the organization's goals?
- How are they shared with internal and external stakeholders?

External Environment and Stakeholders

Strategic Position in the State, Region, or Local Jurisdiction

Describe your organization's service to the community.

- How long have you existed and operated in your current form?
- What is your status as a regional employer?
- What is your economic contribution to the jurisdiction?
- Who is competing with you for funds, or supplying a similar service?

What would your jurisdiction look like if you were not there today (went out of business, natural disaster, political upheaval)?

External Environment and Stakeholders (continued)

Economic Data for State/Jurisdiction

Build an economic profile of your operating region. Download information from regional human service agencies and statistical profilers to create a file that includes recent reports and descriptive data on:

- Employment statistics by sector, by county, and/or by standard metropolitan statistical area (SMSA).
- Age profile of area population.
- Education levels.
- Daily, seasonal, and long-term in-migration/out-migration of community members.

Community Partnerships and Collaborative Resources

Stakeholder Assessment: Brainstorm and identify a global list of:

- Key suppliers.
- Community and criminal justice partners.
- Volunteers and collaborators.

What role do they play in your service delivery?

What expectations do they have for your organization?

SWOT Analysis: List all of the stakeholders, collaborating agencies, and community organizations with whom you associate in your service delivery. Evaluate each using SWOT:

- **Strengths** of their position and your relationship.
- **Weaknesses** of their relative position/relationship.
- **Opportunities** for added partnering and collaboration.
- Their potential as a **Threat** to future service supply and/or your resources.

Political Landscape: Support for Correctional Operations

List and describe the key decisionmakers for your service community. Assess the relationship you have with them and their interest in your organization's efforts.

Describe any existing political stakeholder groups or organizations that represent a powerful nonpartisan coalition working on behalf of the criminal justice system. List the names and roles of participants, and any project on which they have led successful campaigns.

Have you performed survey work to determine how safe and secure the community feels about your operations? If so, how well do the results reflect your operating practices?

Do you have a community education or input process? Describe what you are currently doing to communicate with your regional stakeholders.

Do you have a community advisory panel/group? If so, who is invited to participate? Who runs their meetings? How is their input gathered and used by the organization?

External Environment and Stakeholders (continued)

Funding Sources and Government Expenditure: Current and Projected

List all of the organizations and sources of your funding.

Note which operate in your service area.

Note which are state or national funding agents.

Projected certainty: In parentheses after each, list a percentage probability for continued funding or potential you could acquire funding from the source.

Earned Income: How much earned income are you currently generating? Will that income increase/decrease in the next 12–24 months? Why?

Regulatory Environment

Identify the regulatory bodies and agencies that the organization is accountable to.

List major regulatory responsibilities, including but not limited to clients, workforce, environment, financial, facilities, and legal issues.

How well does your organization achieve regulatory compliance?

How do you see regulations changing over the next year? 2 years?

- What trends have you seen in this area?

Client Population and Future Service Trends

Identify what services you provide.

How do you perform them?

Are there gaps in services? (What would help your clients to be more successful?)

Brainstorm any trends in services and how they are performed.

- Are there practices and services on this list that your organization has not yet considered or developed?
- Why or why not?

Identify four similar organizations to yours. Using a set of four or five easily measurable performance standards, compare your operating performance on these standards to that of your cohorts. How do you compare? What could you learn from their work? What could they learn from yours?

Other Correctional Practices and Technological Impacts

What innovations are being implemented in Corrections or in other related service organizations utilizing: GIS/GPS monitoring, kiosk monitoring, DNA testing, privatization, and/or COMPSTAT management?

Next Steps

Now that the organizational profile has been completed, it is time to determine the organization's next steps.

In what areas did the organizational profile show some gaps or deficiencies, or areas that need attention?

Narrative Section

This optional section can be used to enhance the organizational profile, giving further explanation on areas in the profile such as:

- Agency History
- Mission, Vision, Values
- Workforce Profile
- Core Services
- Core Proficiencies
- Organizational Relationships
- Etc.

Sample: The APEX Organizational Profile

Organization Name Community Corrections Center (CCC) Date 4/16/2012

To be used to document the discussions you have as you prepare your agency's profile.

Internal Environment and Stakeholders

Organization's Foundation

List the core services your organization provides.

- Residential and substance abuse treatment programs for men on parole and probation.
- Employment development for formerly incarcerated persons.
- Links to community resources that clients need for emergency and supportive services.

List the organization's core competencies or areas of expertise.

- Providing comprehensive and effective reentry services (substance abuse, employment, and community resources) that help formerly incarcerated persons to overcome barriers to success.
- All staff who work directly with clients are trained to work with persons with mental diagnoses and co-occurring disorders.
- All case managers are trained in motivational interviewing.

Organization mission statement:

To promote public safety by providing services to persons involved in the criminal justice system that will help them become successful and contributing members of the community.

Organization vision statement:

To be the catalyst for change that makes a positive difference in shattered lives.

Organization values:

- Respect and dignity for our clients and stakeholders at all times.
- Honesty and integrity in all that we do.
- Transparency in our operations.
- Excellence in service delivery.

Organization goals:

- Capacity: To increase the number of clients we serve by 25% within 3 years.
- Scope: To expand services to pretrial and diversion clients within 2 years.

Workforce Profile

What is the composition of the workforce?

Employees: 42 full time, 6 part time, 15 intern volunteers, 1 consultant

Employment: 15

Substance abuse: 20

Intern volunteers: 15 (9 – substance abuse, 4 – employment, 2 – volunteer component)

Consultant: 1 (approx. 4 hours/week) for clinical supervision of substance abuse component

What job categories are there?

- Director
- Case manager
- Support
- Volunteer

What are the demographics of the workforce?

Gender: Male – 36% (15), Female – 64% (27)

Race/Ethnicity:

- African American – 28%
- White – 40%
- Latino – 22%
- Asian/Pacific Islander – 10%

Ex-offender – 36%

Recovering addict/alcoholic – 26%

Has a college degree – 31%

Has professional certification – 36%

What bargaining units is the organization involved with?

N/A

What training and development opportunities does your organization offer?

All treatment staff are required to maintain their substance abuse certification, which mandates professional development hours to be completed each year. Internal training is offered to all staff, with some collaborative training offered to nearby agencies. Our staff are invited to participate in some other agencies' training. Recent courses include communication skills, dealing with challenging people, IT classes, motivational interviewing, and basic and advanced supervisory skills.

Who receives training and development?

All staff, including volunteers.

How are staff rewarded for increasing their skills and knowledge?

Some staff are promoted to supervisory positions. Others are able to move into higher paying positions with increased training. Training is considered during performance reviews and when awarding bonuses and merit increases (when budgets allow for increases).

Organization's Assets

What are the organization's major facilities?

What condition are they in?

- Two residential substance abuse treatment facilities for men, with 24-bed capacity each.
 - One is fairly new and in good condition.
 - One needs repairs in the dayroom and 4 rooms need updated plumbing.
- Community services facility, which includes administration, outpatient treatment, and employment services component.
 - Condition is acceptable; no immediate repairs are needed.

What technologies are used?

How up to date are they?

All paid staff have access to PCs with Windows 7 and Microsoft Office 2007 Professional. Computers have Internet/intranet capabilities.

- Substance abuse staff: Shared databases (funding source and internal) for client data entry.
- Employment staff: Shared databases (funding source and internal) for client data entry.
- Administrative staff: Fiscal management accounting software.

What equipment exists (may list major categories of equipment)?

What condition is it in?

- Printers/copiers for each facility and/or component.
- Vans (two 12-passenger vans).
- Telephone system at community services facility.
- Computer servers: 1 for community services facility and intranet, and 1 for fiscal management.

All in good working order.

Organization's Relationships

What is your organizational structure?

Do you have an organizational chart?

CCC is a 501(c)(3) nonprofit organization that is governed by a volunteer board of directors. The executive director reports to the board of directors and is responsible for the overall administration of the organization. There are three program components with directors who report to the executive director: (1) substance abuse treatment, (2) employment services, and (3) volunteers and interns. The administrative component includes fiscal (AR/AP, payroll), human resources (recruitment and benefits), contract and grant administration/quality control, and training and development.

Organization's Relationships (continued)

Who is the organization accountable to?

- Who does it report to?

The organization is accountable to its funding sources. Because we work with persons under correctional supervision, we are also obligated to report to probation officers and parole agents when clients are noncompliant, leave treatment, are a danger to themselves or others, or when they are in any other exceptional situation.

- What are the reporting relationships among your governance board, senior leaders, parent organization, etc.?

The executive director (ED) reports to our board of directors. There are four administrative level directors who report to the ED. The ED works well with the board and with his/her direct reports.

Who monitors the agency?

- Funding sources: There is an assigned program specialist for each contract/grant.
- State alcohol and drug programs: Regular and unannounced visits to ensure compliance with licensing and certification regulations.
- Board of directors: Reviews contract/grant progress and financial statements monthly.

Organization's Situation

How comprehensive and useful is the organization's strategic plan?

The existing organization's strategic plan is 3 years old. While it seemed comprehensive at the time, the organization has changed significantly since then. In light of recent changes, it is not at all useful at this time.

- Do employees know what is in the strategic plan?

No. It has been at least a year since the plan was shared with staff.

- Do they know how their work fits into it?

Many do not. Some, especially managers and directors, have a good idea.

- How do you know?

During the information gathering for this profile, we asked staff.

What are the organization's strategic challenges and advantages?

Challenges: (1) decreasing state funding for treatment programs, (2) scarce community resources for client supportive and emergency services, and (3) individual and corporation donations have decreased. **Advantages:** (1) ability to serve clients with co-occurring disorders and (2) capacity to serve pretrial and diversion clients (fee for service).

Organization's Situation (continued)

What performance measurements are currently in use?

Substance abuse component:

- Funding source compiles and distributes annual report on treatment outcomes by provider (e.g., successful, unsuccessful, reincarcerated, transferred).
- Organization maintains internal database and reports monthly on admissions, exits, and their status. Report shared with board of directors, executive director, and component staff.

Employment component:

- Organization submits monthly report to funding source on progress toward objectives (e.g., outreach efforts, new enrollments, number of clients employed, average wage, exit status) and shares with component staff.
- **Volunteer component:** Director compiles report monthly for executive director and board of directors on number of interns, hours served, and value of service.

- How were they developed?

The funding sources develop their own performance measures. Ours were developed by the leadership team.

- Do they measure what you intend them to measure?

Yes.

- What do they tell you about the organization's outcomes?

They provide some good outcome measures; some are not as clearly related to our outcomes. We count well, but miss some qualitative information that would give us useful information about outcomes.

What internal controls are in place?

- What processes are in place for reviewing the accountability and effectiveness of programs and operations?

The CFO does fiscal reviews on all programs. The HR administrator monitors personnel data. The program directors review each other's program outcomes. The leadership team reviews programs and outcomes.

- What internal audits are done?

The CFO completes an internal fiscal audit. Program audits are done by program directors.

- What internal oversight processes are in place?

Each department has a committee that reviews activities and outcomes.

- What knowledge transfer processes do you use?

We maintain an intranet database to allow staff to share and access innovations, learning, and other pertinent information. We also hold in-house briefings and training sessions to share knowledge, as well as brown bag sessions for informal discussions.

Organization's Situation (continued)

What are the organization's results?

- Stakeholder focused:

- i.e. What are your current levels of stakeholder engagement and satisfaction?

- i.e. How effective are the key performance measures for clients/offenders?

Key performance measures show that we exceed the minimum treatment outcomes that funders have set. Exit interviews are done with clients who leave programs (either successfully or not) and show that more than 80% are satisfied or more than satisfied with their experience at CCC. Probation and parole officers are surveyed annually about their satisfaction with our services. For the past 3 years, their ratings have been above average.

- Leadership:

- i.e. What are your key indicators for accomplishing organizational strategies?

Job placement and retention, treatment hours per client, violent incidents, escapes, GED graduation, etc.

- i.e. What are your key indicators for measuring ethical behavior?

Sexual misconduct (staff or client), fiscal responsibility, conflict of interest, misuse of organizational resources, etc.

- Workforce focused:

- i.e. What are your current levels of workforce engagement and satisfaction?

We measure staff opinions on their levels of satisfaction with job variety, feedback, autonomy, opportunities for learning, mutual support and respect, meaningfulness, and social usefulness of their work. They tell us that, for the most part, they are engaged and satisfied with their work and with their peers and managers.

- Operations:

- Safety and Security:

- i.e. What is your current level of preparedness for emergencies?

A recent external audit showed that we need some minor improvement.

- i.e. What is your current level of trends in violent incidents and sexual assault?

We have zero tolerance for sexual assault and have trained all staff in PREA, and we review its standards and practices regularly. Since we have been using PREA standards, incidents have gone down dramatically (zero incidents this year). Violent incidents have also decreased for client-client as well as client-staff (less than 1 per month).

- Process Management:

- i.e. What are your current trends in operational performance of critical work processes?

We are preparing to do a review of all processes to determine this and to discover which processes can be eliminated due to redundancy or obsolescence.

- i.e. How effective are your processes?

Most work well and some need improvement; we will know more after the review.

Organization's Situation (continued)

- Financial:

i.e. What are your current trends in costs for services to clients?

We have become a lean operation and think this trend will continue for several years. Due to salary freezes and other measures, we have reduced our costs for services.

i.e. What is your current budgetary performance?

We are operating within a constrained budget due to funders' budget cuts; we have had to freeze salaries and reduce management positions.

- How well do the results relate to the organization's goals?

Most work well.

- How are they shared with internal and external stakeholders?

Website, annual report, monthly reports to some stakeholders, meetings, etc.

External Environment and Stakeholders

Strategic Position in the State, Region, or Local Jurisdiction

Describe your organization's service to the community.

- How long have you existed and operated in your current form?
- What is your status as a regional employer?
- What is your economic contribution to the jurisdiction?
- Who is competing with you for funds, or supplying a similar service?

What would your jurisdiction look like if you were not there today (went out of business, natural disaster, political upheaval)?

We were founded in 1999. We are a small employer with 42 full-time employees, 6 part-time employees, and 10–16 volunteers. Our primary financial competitors are other local treatment facilities. If we were not around, one of the competitors might expand or another nonprofit would be founded to serve our clients. The state and county could also decide to run their own residential and community-based facilities (not likely in these tight financial times).

External Environment and Stakeholders (continued)

Economic Data for State/Jurisdiction

Build an economic profile of your operating region. Download information from regional human service agencies and statistical profilers to create a file that includes recent reports and descriptive data on:

- Employment statistics by sector, by county, and/or by standard metropolitan statistical area (SMSA).
- Age profile of area population.
- Education levels.
- Daily, seasonal, and long-term in-migration/out-migration of community members.

We are located in a large metropolitan area:

- Population 12 million.
- 55% white (39% non-Hispanic white), 11% Asian/Pacific Islander, 8% black; 1% Native American, 17% other.
- In-migration and out-migration rates are now pretty balanced.
- Fairly large seasonal migrant farm worker population outside city.

Community Partnerships and Collaborative Resources

Stakeholder Assessment: Brainstorm and identify a global list of:

- Key suppliers.
- Community and criminal justice partners.
- Volunteers and collaborators.

What role do they play in your service delivery?

What expectations do they have for your organization?

SWOT Analysis: List all of the stakeholders, collaborating agencies, and community organizations with whom you associate in your service delivery. Evaluate each using SWOT:

- **Strengths** of their position and your relationship.
- **Weaknesses** of their relative position/relationship.
- **Opportunities** for added partnering and collaboration.
- Their potential as a **Threat** to future service supply and/or your resources.

	Strengths	Weaknesses	Opportunities	Threats
Pathways	Our relationship is very positive	Weak voice in community	Partnership to enhance client success	None
Southern State University	Good supplier of high-quality interns	State funding cuts	Collaborate on grant for intern coordinator funding	Losing funding for intern coordinator
Smith's Food Purveyors	Reasonable cost, high-quality products, reliable	Competitive industry – small family-owned business	Potential employer for work program grads	Ms. Smith's pending retirement

External Environment and Stakeholders (continued)

Political Landscape: Support for Correctional Operations

List and describe the key decisionmakers for your service community. Assess the relationship you have with them and their interest in your organization's efforts.

County probation – good, county sheriff – needs improvement, department of corrections (DOC) – mixed, courts – acceptable, district attorneys – good, public defenders – mixed, citizens – mixed (a bit of “not in my backyard” occurs).

Describe any existing political stakeholder groups or organizations that represent a powerful nonpartisan coalition working on behalf of the criminal justice system. List the names and roles of participants, and any project on which they have led successful campaigns.

Children and Families of Incarcerated Individuals, California Prison Focus, Pathways Out of Poverty

Have you performed survey work to determine how safe and secure the community feels about your operations? If so, how well do the results reflect your operating practices?

We have surveyed the neighbors around our facilities and work to deal with issues as they arise. The Sheriff's office does a community survey and we use those results, as we share many clients.

Do you have a community education or input process? Describe what you are currently doing to communicate with your regional stakeholders.

We have some outreach with the neighborhoods, especially clients' families, and host quarterly meetings.

Do you have a community advisory panel/group? If so, who is invited to participate? Who runs their meetings? How is their input gathered and used by the organization?

Not at present.

Funding Sources and Government Expenditure: Current and Projected

List all of the organizations and sources of your funding.

Note which operate in your service area.

Note which are state or national funding agents.

Projected certainty: In parentheses after each, list a percentage probability for continued funding or potential you could acquire funding from the source.

As long as we meet/exceed expectations and their budget has funds for client services: county (100% – local), state DOC (100% – state), federal grants (60% – national), individual and foundation donors (30% – 6 local, 9 national).

Earned Income: How much earned income are you currently generating? Will that income increase/decrease in the next 12–24 months? Why?

As funders' budgets are still susceptible to change, we anticipate that some funders will decrease their contracted amounts and others will stay the same. Private donations are down. We anticipate increasing our fee-for-service revenue.

External Environment and Stakeholders (continued)

Regulatory Environment

Identify the regulatory bodies and agencies that the organization is accountable to.

- State Alcohol and Drug Programs – licensing and certification of substance abuse programs.
- State Fire Marshal – yearly inspection of all facilities.

List major regulatory responsibilities, including but not limited to clients, workforce, environment, financial, facilities, and legal issues.

- Residential facility/physical plant standards.
- Client treatment/service regulations.
- Prison Rape Elimination Act requirements.
- OSHA standards.
- Fiscal reporting and audit requirements (state and funders).

How well does your organization achieve regulatory compliance?

Very well – this is a priority.

How do you see regulations changing over the next year? 2 years?

- What trends have you seen in this area?

Increase in environmental, fiscal reporting, and treatment requirements.

Client Population and Future Service Trends

Identify what services you provide.

- Employment services.
- Substance abuse treatment.
- Mental health treatment.

How do you perform them?

- Outpatient.
- Residential treatment services for males.

Are there gaps in services? (What would help your clients to be more successful?)

- Residential treatment services for women.

External Environment and Stakeholders (continued)

Brainstorm any trends in services and how they are performed.

- Are there practices and services on this list that your organization has not yet considered or developed?
- Why or why not?

Trends brainstorm:

- Motivational interviewing.
- Enhanced electronic monitoring.
- Intensive supervision with rehabilitation services.
- Next-generation risk/need assessments.
- Increased family engagement.
- Wraparound services (mental health, substance abuse, housing, medical services).

Which ones we are not using:

- Enhanced electronic monitoring (cost).
- Wraparound services (tabled for 6 months – cost).

Which ones we are exploring:

- Increased family engagement.

Identify four similar organizations to yours. Using a set of four or five easily measurable performance standards, compare your operating performance on these standards to that of your cohorts. How do you compare? What could you learn from their work? What could they learn from yours?

Last fiscal year	Walkaways/escapes	GED graduation rate
Able and Willing	4	57%
Southside Treatment	1	95%
CCC	0	65%

We can learn more about Southside Treatment’s graduation success. We can help them tighten up their ability to avoid walkaways.

Other Correctional Practices and Technological Impacts

What innovations are being implemented in Corrections or in other related service organizations utilizing: GIS/GPS monitoring, kiosk monitoring, DNA testing, privatization, and/or COMPSTAT management?

We have a committee reviewing the Performance-Based Measures System (PBMS) to see if it would be applicable to our operations; we are looking at holistic and health-minded substance abuse treatment methods.

Next Steps

Now that the organizational profile has been completed, it is time to determine the organization's next steps.

In what areas did the organizational profile show some gaps or deficiencies, or areas that need attention?

- Review organizational goals – is capacity still a valid goal in recessionary times?
- Develop a plan to repair an older residential facility.
- Revisit the strategic plan, update it, and create a better way of engaging staff in planning and in carrying out the plan.
- Send an appropriate staff person to grant-writing training.
- Review performance measures (including the PBMS committee's work).
- Upgrade internal controls.
- Review the emergency preparedness policy and procedures; upgrade them and train staff.
- Complete process reviews.
- Work on relationships with the Sheriff's office, department of corrections, public defenders, and citizens, especially neighbors.
- Consider establishing a neighborhood advisory panel.
- Work on developing programming for federal clients.
- Review fee-for-service expansion.
- Visit Southside Treatment's GED program.
- Finish PBMS review.
- Table the holistic, health-minded treatment approach study for 6 months or until the budget improves.
- Collaborate with Southern State University on the intern coordinator grant.
- Employment staff should meet with Smith's Food Purveyors regarding potential jobs for clients.
- Set up a process for representative staff and managers to take the APEX Inventory to further their organizational improvement efforts.

Narrative Section

Narrative follows.

Agency History

Community Corrections Center (CCC) is a 501(c)(3) nonprofit community-based organization in southern California. CCC provides reentry services for formerly incarcerated adults. It is centrally located in a large metropolitan area, where the majority of the city's parolees and probationers also reside. Founded in 1999 with 6 employees and 1 small county contract to help local probationers find jobs, it now has 42 paid employees and several contracts. In 2010, CCC helped more than 500 formerly incarcerated adults overcome barriers to reentry and recovery.

To better meet the needs of the target population and the community, CCC expanded services in 2001 to include outpatient substance abuse treatment. The program focused on treatment for men and women on probation, referred by the court or their probation officer for treatment as a condition of probation. The program was designed to make treatment on demand possible by use of a sliding fee scale. This was initiated at a time when county-funded "free" treatment programs had waiting lists of 6 weeks or longer. The two initial substance abuse counselors were formerly incarcerated persons in recovery; along with the executive director, they designed a program specifically for clients involved in the criminal justice system.

During this period, the state began to invest more in treatment of offenders, both in prison and in the community, and CCC was awarded a contract to provide outpatient treatment for parolees who volunteered for treatment as an alternative to revocation for drug use. In 2003, CCC opened its first residential treatment facility for men on parole; it was located in a neighborhood apartment building with a 24-bed capacity. The state paid for treatment for up to 6 months. A director of substance abuse programs was hired to supervise the staff of counselors and aides.

At about the same time, there was a national effort to focus on the needs of mentally ill offenders, who make up a large percentage of those in custody. This effort, coupled with the understanding that many persons in jails and prisons are substance abusers with a mental health diagnosis, resulted in increased funding for this population, who have historically fluctuated in and out of custody and other public institutions. There were no programs in CCC's service area for this special population; therefore, in 2004 the agency opened the first residential treatment facility for men with co-occurring disorders who were on parole or probation. This required hiring staff and training them in how to treat persons with co-occurring disorders, as well as hiring an LCSW with experience in the field to conduct clinical supervision.

Mission, Vision, and Values

Early in CCC's history, a group of key personnel met to develop the agency's mission and vision. The executive director's personal background included a brief criminal and longer substance abuse history, and his experiences with these systems fueled his passion to create an organization that would better serve similar individuals and the community. The team developed a mission and a vision for CCC. The original mission statement—"To help parolees and probationers successfully reenter society"—was later amended to reflect the ability to serve an expanded clientele pool and to be more inclusive of the community: "To promote public safety by providing services to criminal justice involved individuals that help them to become successful and contributing community members." The group decided that the vision—"To be a catalyst for change that makes a positive difference in shattered lives"—was expressive and general enough for the organization.

With the addition of treatment for persons with co-occurring disorders, the executive team decided on a number of core values:

- Respect and dignity for our clients and stakeholders at all times.
- Honesty and integrity in all that we do.
- Transparency in our operations.
- Excellence in service delivery.

Current Programs and Contracts

The employment component includes the following services:

County reentry services. Prerelease outreach, employment preparation, job development, and resource referrals for probationers and county jail releases, funded by the county's Community Action Partnership. The program

serves approximately 450 male and female clients annually—200 prerelease and 250 in the community. Clients are either self-referred or referred by the courts or their probation officer. This is a cost-reimbursement contract that runs through December 2013.

Parolee Reentry Program (PREP). Employment preparation, job development, on-the-job training, and resources for men and women on state parole, funded by the Local Workforce Investment Board through the U.S. Department of Labor’s Workforce Investment Act. This is a performance contract (payment for number of “benchmarks” achieved for objectives of enrollment, job placement, and retention at 30 days). Parolees must be formally referred by their agent of record. PREP is contracted to serve 120 clients annually; it runs through June 2013.

The substance abuse treatment component includes the following services:

Parole community treatment authorization. Parolees are referred for substance abuse assessment. The assessment is reviewed by an independent clinician; if he/she concurs with the treatment recommendation, the parolee may be accepted into the CCC outpatient or residential program (CCC does not have a residential program for women). If CCC does not have an available bed, the clinician makes an appropriate referral. Payment is made to CCC for assessment and subsequent treatment for up to 6 months. Treatment plans may include residential and outpatient treatment, depending on assessment and progress. For men with co-occurring disorders, referrals are made directly from prison to the residential program.

Outpatient fee for services. For probationers whose probation conditions include outpatient treatment. Fees are determined by a sliding scale approved by the court and range from \$25–\$75 for assessment and orientation and \$10–\$25 per group or individual session. Treatment dosage and duration are determined by assessment. CCC accepts some indigent clients. Progress reports are sent directly to the court. Other individuals are eligible for services, including parolees who have already exhausted their paid treatment and those who would benefit from the program’s special emphasis (formerly incarcerated individuals who are not under correctional supervision).

Both the employment and treatment components share many mutual clients. Outpatient clients who are indigent and able to work are referred to the employment component. If the probationer is successful in gaining employment, his/her indigent status for treatment is reexamined to determine the ability to pay. On the other hand, if clients in the employment component are in need of treatment to obtain or keep a job, they are referred to the outpatient component.

Core Competencies or Areas of Expertise

CCC excels in the following areas:

- **Providing comprehensive and effective reentry services that help formerly incarcerated persons to overcome barriers to success.** CCC has specifically designed services to meet the unique and diverse needs of its target population. This specialization enables the client to quickly adapt to our programs (i.e., the client does not feel out of place and can talk about life experiences without fear of judgment). CCC provides client-centered services—each treatment or employment plan is individually tailored to meet the unique needs and experiences of the client.

- **All employees working directly with clients are trained to work with persons who have mental diagnoses and co-occurring disorders.** Because the percentage of persons with a mental diagnosis is substantially higher for individuals involved in the criminal justice system compared to the general public, it is a given that many of the clients we serve will also have mental health issues. We strive to develop a plan of action that incorporates each client's challenges on a case-by-case basis. Our task is to determine whether we are the best organization to help the client overcome his/her barriers to reentry; if not, we will refer the client to the appropriate organization.
- **All case managers are trained in motivational interviewing.** For both the employment and substance abuse components, CCC believes that motivational interviewing (MI) is an indispensable tool of the trade. Each case manager (employment specialist or substance abuse counselor) must demonstrate proficiency in MI (or progress toward proficiency) after 6 months on the job. Initial training is provided for those who do not possess the necessary skills when they are hired. Ongoing training to improve MI skills is provided.

Workforce Profile

CCC prides itself in its ability to attract and maintain a workforce of dedicated and skilled individuals, many of whom are formerly incarcerated and/or recovering addicts. However, the ability to relate with the clientele is not a necessary requirement for employment; employees must also have the experience, education, and commitment required to work effectively with this population.

CCC's current workforce consists of 42 full-time employees, 6 part-time employees, 15 volunteer interns (the volunteer staff fluctuates between 10 and 16), and 1 consultant who provides clinical supervision for the substance abuse component 4 hours each week.

There are three primary categories of paid employees: directors, case managers, and support staff. Minimum qualifications for each category are as follows.

Directors (including executive director):

- Master's degree in an area relevant to the agency mission and service delivery.
- At least 5 years of experience in service delivery to a criminal justice population or other challenging populations.
- At least 3 years of management or supervisory experience.

Case managers:

- Associate's degree in a related area (employment specialists) or current substance abuse certification by a recognized certifying agency.
- At least 1 year of experience in service delivery to a criminal justice population in a social service or treatment setting.

Support staff:

- High school diploma or GED.
- At least 1 year of experience in a social service or treatment setting performing similar duties (depending on job requirements; volunteer and intern experience accepted).
- Treatment counselor aides must be registered interns working toward AOD (Alcohol and Other Drugs) treatment certification.

In addition, CCC uses volunteers who are interns from local colleges and universities, and considers them a valuable part of the workforce. Interns must be working toward attaining a degree that has value to the organization and must commit to work at least 12 hours a week for 4 months. Interns work in the employment, substance abuse, and volunteer components.

Current demographics for paid staff are:

Gender	Race/Ethnicity	Education
<ul style="list-style-type: none">• Male 36%• Female 64%	<ul style="list-style-type: none">• African American 28%• White 40%• Latino 22%• Asian/Pacific Islander 10%	<ul style="list-style-type: none">• Two-year degree 17%• Four-year degree 15%• Master's degree 10%

Some employees are ex-offenders (36 percent) and/or recovering addicts/alcoholics (26 percent). Funding restrictions prohibit persons under active correctional supervision from serving in jobs where they are directly involved with parolees. CCC believes that individuals who have successfully completed their term of parole or probation, or have been in recovery for a reasonable amount of time, can serve as role models to others.

Organizational Assets

CCC operates 2 residential treatment facilities for men, with a 24-bed capacity each. The organization leases both of the facilities. The community services facility is home to administrative offices, volunteer and employment components, and outpatient treatment.

All employees have access to PCs with the Windows 7 operating system and Microsoft Office 2007 Professional and Internet/intranet capabilities. Substance abuse employees enter client data into an internal database that tracks attendance, treatment plans, and case notes. Monthly aggregate data are entered in an online report as a contract requirement. Employment employees enter data for parolee clients in an online database furnished by the funding source. CCC maintains an internal database to report progress toward objectives for its county-funded program. Employment clients have access to a five-station computer lab to conduct Internet job searches and update their resumes.

Computers are networked to printers and/or copiers at each facility. CCC maintains two computer servers; one manages backup of all employee files and the intranet, and the other one is used for financial management and is accessible only by fiscal employees. Computers and servers are approximately 5 years old. CCC uses the services of an outside IT manager to service its computer hardware, resulting in occasional downtime for components or for the entire agency.

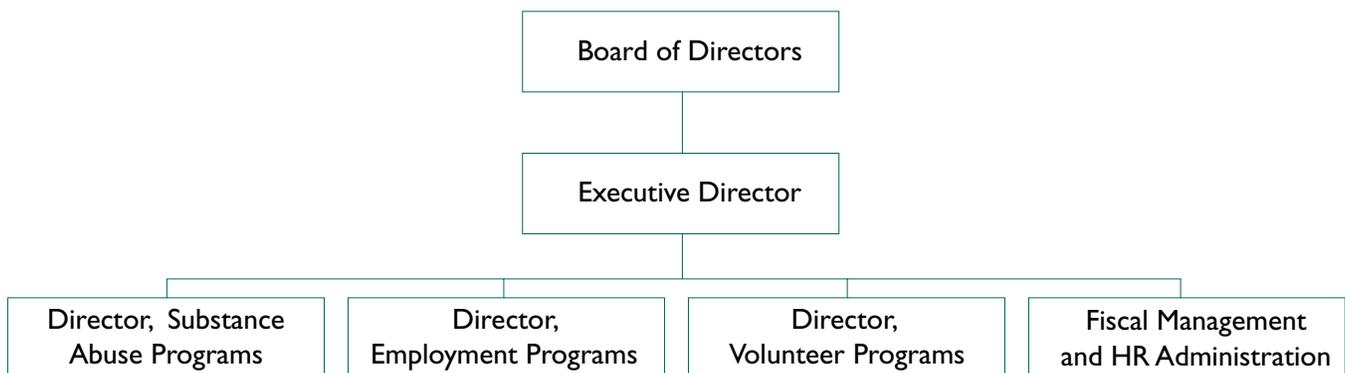
There are two 12-passenger vans, one at each residential facility. CCC owns the telephone system at the community services facility.

Regulatory Oversight

Residential and outpatient programs are certified by the State’s Alcohol and Drug Programs (ADP) office, which sets the standards for employee qualifications, recordkeeping, and treatment. Residential programs are also licensed by ADP, which requires that the physical plant be maintained according to rigorous standards. ADP licensing and certification are required by CCC’s funding sources. ADP conducts regular and unannounced site visits to monitor compliance. The state fire marshal also conducts yearly and unannounced inspections to ensure that all facilities meet safety standards.

Organizational Relationships

CCC is governed by a board of directors. The following organization chart depicts the primary reporting hierarchy of the agency:



Clients and External Stakeholders

Parolees and probationers are the clients we serve in the community. Local jail inmates are also clients served through outreach. External stakeholders include the county probation office, department of corrections and rehabilitation (prisons and parole), superior court, district attorney, public defender, and the general public.

Referral Sources, Partners, Volunteers, and Collaborators

CCC receives the majority of client referrals from parole agents and probation officers. Other community-based organizations (CBOs) also refer clients. CCC is a partner with the local One-Stop Career Center network that conducts eligibility and certification for the federally funded PREP program. A local community college that awards an associate's degree in alcohol and drug studies provides many volunteer interns. Another local university provides interns who are pursuing degrees in counseling, vocational rehabilitation, social work, and management of nonprofit organizations. CCC collaborates with the Employment Development Department for Work Opportunity Tax Credits and federal bonding for employment component clients.

Primary Financial Competitors

Several local treatment facilities provide outpatient and residential treatment to offenders. Another organization, Able and Willing, was awarded a federal Second Chance Act grant to provide employment services to nonviolent parolees.

Organizational Situation

CCC developed a strategic plan nearly 3 years ago; the economic climate rendered the plan outdated shortly thereafter. The state, like the nation, has experienced drastic budget shortfalls that have translated into funding cuts for offender treatment programs. Funding for parolees accounted for nearly 60 percent of CCC's budget in 2009; today it accounts for 45 percent. The county has made significant cuts to its program providers, resulting in a 25-percent cut in the county reentry program this year. Other CBOs that CCC depended on for many client support services report similar losses, resulting in fewer resources. While funds from individuals and foundations have never been a significant percentage of revenue, donations have fallen from an average of \$40,000 to about \$15,000 this year. Overall, CCC's budget has been reduced by 22 percent in 3 years. This has resulted in salary freezes and the elimination of some case management positions.

CCC is pursuing other revenue sources. We can increase fee-for-service revenue by serving pretrial and diversion clients at the state and federal levels. Another strategy is to increase service delivery to county clients with co-occurring disorders; Proposition 63 funds can be used to pay for these services.

Performance Measurements

CCC uses the following measurements to gauge performance for its components.

Substance abuse component:

- Parole compiles and distributes an annual report on treatment outcomes by provider (e.g., successful, unsuccessful, reincarcerated, transferred).
- The organization maintains an internal database and reports monthly on admissions, exits, and their status. The report is shared with the board of directors, executive director, and component staff.

- Client (anonymous) program evaluations at exit are compiled by the director and shared with the staff quarterly for continuous program improvement.

Employment component:

- The organization submits a monthly report to the funding source on progress toward objectives (e.g., outreach efforts, new enrollments, number of clients employed, average wage, exit status) and shares this information with component staff.

Volunteer component:

- The director compiles a monthly report for the executive director and board of directors on the number of interns, hours served, and value of service.

Appendix C: APEX Inventory and Reports

Achieving Performance Excellence (APEX) Inventory



MAIN MENU for Four Users of this Survey
(Click on the buttons below to navigate to instruction)

Survey Instructions Technical Documentation

Percent of Questions Completed

User #1 Status:	<div style="width: 100%;"></div>	100%
User #2 Status:	<div style="width: 100%;"></div>	100%
User #3 Status:	<div style="width: 100%;"></div>	100%
User #4 Status:	<div style="width: 100%;"></div>	100%

Produced for the National Institute of Corrections

NEXT

Click a button to the right to navigate Inventory sections.



Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Inventory

Welcome to the APEX Inventory, an indepth survey that rates organizational performance and readiness for change, developed by the National Institute of Corrections as part of the APEX Guidebook series (www.nicic.gov). This Inventory is one of three tools in the APEX Assessment Tools Protocol. The other tools include the APEX Screener, a short survey designed as a first step to assess readiness for change, and the APEX Organizational Profile, a series of questions that help identify data, knowledge and performance gaps in the organization. Suggestions will be provided for achieving higher organizational performance based on the results of this Inventory. For best results:

- At least three senior managers in your organization should complete the Inventory to get a balanced perspective. Up to four people may take the Inventory with this Excel spreadsheet and receive their results in an aggregated report; more users may take this Inventory by using multiple spreadsheets.
- Allow about 60 minutes to complete the Inventory.
- PLEASE answer ALL questions, even if some are guesses; guesses provide valuable information too.

First, save a download of this Inventory as a master copy. Also save a copy for each group of up to four users per spreadsheet. Rename the spreadsheet for each group (e.g. APEXInventoryGroup1 etc.). Users should follow the color coded threads which start with the "User #" buttons at the top of this page.

Each section has a completion status bar at the top of the page which shifts from red to green as you progress. When completed, the answers will be displayed on a variety of scales in charted reports. When all four inventories are completed, a group report is provided.

Why take time completing this Inventory:

This Inventory is intended to provide two benefits:

- to encourage you to take time to consider the issues raised by these questions and enter into discussions with your peers and coworkers about performance management.
- to generate responses in a way that can be scored to give direction to your organization's next steps in improving your organization's performance.

Before you start:

- **Set up Technical Support:** While every effort has been made to make this Inventory user-friendly, you may find it helpful to have a skilled spreadsheet user available. In the Main Menu, choose the blue Technical Documentation button for an overview and technical details for proper operation of the spreadsheet.

- **Complete** all the questions on USER INFO, QUESTIONS, CULTURE, and DATA pages that are presented as you follow the colored button threads as a specific user # from the top of this page. Some questions may be hard to answer; go with your strongest impression. Note that the question number boxes on each page change from **RED** to **CLEAR** as the question is completed.

- **Collective Voice:** When you respond to these questions consider more than just your individual situation. Provide your responses in regard to the general culture, style, and perspective of your organization. You are providing a collective voice.

- **Answers** are neither right or wrong. The Inventory's aim is an honest appraisal of your organization's intention and readiness for change without pretense, promotion, or defensiveness.

- **Standardized Terminology:** Many terms are used to describe organizations and supervised populations. To make these questions apply to a broad range of correctional sector and staff level users, terms have standardized as follows:

Organization means *agency, institution, jail, prison, enterprise.*

Management means *leadership, supervisory committees, head office.*

Supervised Population means *clients, inmates, parolees, probationers, offenders, customers.*

External Stakeholders means *parties separate from the organization and the supervised population, or external groups or entities to which your organization is formally or informally responsible due to their governance, budget, or political roles. External stakeholders have influence with organizational operations.*

NEXT

Click a button to the right to

MAIN

User #1 Click Here to Proceed After Completing this section

Intro

User #1 Descriptive Information Questions

Place
Cursor
Here to
Scroll

Achieving Performance Excellence (APEX) Inventory Sheet 2

USER#1

10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

Descriptive Info Section Completion:

100.0%

1	Today's date (mm/dd/yy)	02/05/12
2	Name of Organization	County Probation
3	Type of Organization (click on box at right, choose menu arrow)	PROBATION & PAROLE Agency
4	Address of Central Office (address, street, city, zip)	123 main street, anytown, anystate
5	Organization Website Address	www.countyprobation.gov
6	List the Labor Unions that operate within the Organization	n/a
7	What formal training workshops and classes have you taken in the last 12 months?	MI, CBT
8	Your Position Title	PO
9	Your Name (First & Last)	Mary Jones
10	Your Current Age	34
11	Your Education Level (e.g. BA=16 Years)	18
12	Your Years of Experience in the Correctional Field	10
13	Your Years With this Organization	10
14	Your Telephone Number	123-123-1234
15	Your Email Address	mary.jones@doc.gov

Click a button to the right to navigate

MAIN

User #1 Click Here to Proceed After Completing this section

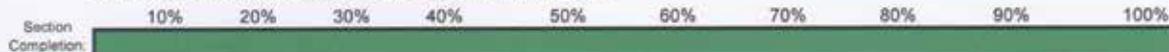
Intro

User #1 Agreement Questions

This section complete

Place
Cursor
Here to
Scroll

Achieving Performance Excellence (APEX) Inventory Sheet 3



Click on the round buttons to record your level of agreement or disagreement with the statements.

USER #1: Questions to which you Agree or Disagree		Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
1	Staff participates in the development of organization mission statements.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2	Peer and supervisory coaching are rarely used to reinforce staff knowledge and skills.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
3	The assessment and classification procedures used for the supervised population have been shown to be accurate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
4	Staff generally receives lots of opportunities to be involved in diverse tasks, duties and activities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
5	The organization has difficulty making sure all supervised populations receive access to programs and services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
6	The organization has a good understanding of the staff's health and safety requirements.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
7	Goals and initiatives get communicated regularly to all staff from those in management positions.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8	The organization's budget allocations do not respond when needs change between different parts of the organization.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
9	Staff members are well trained in effective communication with high-risk members of the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
10	Management periodically acquires information on the performance of comparable corrections organizations.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
11	The organization carefully tracks and reports data about the risk factors and treatment/intervention needs of the people it supervises.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
12	The organization has consistent compliance in its facilities with local fire, health, safety, water, electrical, OSHA, food and other codes.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
13	The organization evaluates the success of its reentry /rehabilitation programs after 12 months from the time of release.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
14	Managers continually model positive vision and values in their day-to-day practice.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
15	It is easy to describe the key requirements and expectations for the organization's programs, services and operations.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
16	Managers within the organization regularly review staff and organization performance measures.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
17	It is easy to access information on the supervised population when needed.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
18	It is unusual for the staff within the organization to have caring personal relationships with each other.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
19	The current procedures in place for staff safety are not enough to make all staff feel safe in their jobs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
20	The organization conducts case level outcome assessments for the supervised population that incorporate key reentry measures (i.e. employment, social support, education/training, housing, reporting to probation and parole departments).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
21	It is easy to describe the organization's stated purpose, vision, and/or mission.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
22	A steady influx of new and competing demands often causes the organization to lose track of organizational goals.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Achieving Performance Excellence (APEX) Inventory Sheet 3

Section Completion:	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%	100.0%
---------------------	-----	-----	-----	-----	-----	-----	-----	-----	-----	------	--------

Click on the round buttons to record your level of agreement or disagreement with the statements.

USER #1: Questions to which you Agree or Disagree		Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
23	The organization obtains exit survey data from the population it supervises on their attitudes, experience and intentions.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
24	The written mission and purpose of this organization helps everyone to feel their jobs are important.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
25	The organization has up-to-date written policies and procedures to screen and assess the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
26	All staff members receive feedback about their performance at least twice a year.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
27	Management rarely reviews the progress it is making on strategic goals.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
28	Management does not seem concerned with maintaining a progressive organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
29	The organization strives to keep updated about new technological advances that can improve its operations.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
30	There are detailed written protocols in place for the daily management of supervised populations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
31	The organization has people devoted to periodic revision of its strategic plans to keep up with trends and projections.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
32	The rate of assaultive behavior, urine-test results, treatment program non-attendance and similar noncompliance statistics are reviewed at least once a year for patterns to aid in managing the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
33	The organization is adept at shifting work priorities and adopting new methods when circumstances demand it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
34	It is easy to describe the formal management structure and governance systems within the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
35	Staff have opportunities provided for them to learn and advance professionally.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
36	Management does not have a good understanding of its competitive position regarding future funding.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
37	Employees at every level feel that they can make their ideas heard by management.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
38	Adequate staffing resources are provided for shift coverage and/or caseload management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
39	Management in the organization has a good understanding of the key strategic operational challenges they are facing.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
40	The organization regularly uses key performance measures to implement changes.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
41	Managers within the organization are chosen and promoted based on their knowledge, expertise, and commitment to the organization's mission.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
42	Information about the organization needed by staff, managers, oversight boards, and stakeholders to perform their functions is provided to them in a timely and appropriate form.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
43	It is difficult to describe the results that the organization expects from its programs, services, and operations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
44	The organization has an effective system-wide (facility and community) method of monitoring the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
45	It is important to the organization that each employee sees a clear connection between their work and the organization's objectives.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Achieving Performance Excellence (APEX) Inventory Sheet 3

Section Completion	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%

100.0%

Click on the round buttons to record your level of agreement or disagreement with the statements.

USER #1: Questions to which you Agree or Disagree		Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
46	Staff members throughout the organization are committed to doing quality work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
47	The organization's procedures for handling security breaches have proven effective in actual incidents.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
48	Management continuously upgrades and fine-tunes the supervision, case management and programming provided to the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
49	Staff within the organization has a good understanding of their specific work expectations and priorities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
50	The organization would definitely benefit from more regular and open discussions between management and staff about key issues impacting the quality and efficiency of its operating practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
51	Many in management positions within the organization choose to ignore negative situations when they arise.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
52	The organization provides the supervised population with a written copy of a Grievance/Administrative Remedy process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
53	The organization effectively uses resources within its budget.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
54	Staff members within the organization are able to build positive helpful relationships with the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
55	The classification system used to assess the supervised population efficiently and effectively identifies risk and needs levels.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
56	It is easy to describe the applicable occupational health and safety regulations under which the organization operates.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
57	Staff is unclear whether their opinions and input are valued within the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
58	The organization has difficulty systematically implementing new programs and projects.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
59	Data systems within the organization have very rare downtime during working hours.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
60	Ensuring and improving staff health, safety, and security is important to the organization.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
61	Staff feel the organization effectively responds to high-risk situations (e.g. assault/hostage-taking).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
62	The organization has been surprised by findings of legal and regulatory errors in its operations.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
63	Staff within the organization has insufficient time to experiment with improved techniques and still accomplish assigned tasks.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
64	Management conduct themselves in such a way that information about the operations of the organization is as accessible as possible to stakeholders.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
65	It is easy to describe the organization's key stakeholder groups.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
66	Management within the organization has done a good job in making work expectations and priorities clear, simple, and measurable for all staff.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
67	The information in the organization's data systems is up-to-date and appropriate to the tasks which they serve.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Achieving Performance Excellence (APEX) Inventory Sheet 3

Section Completion:	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%	100.0%
---------------------	-----	-----	-----	-----	-----	-----	-----	-----	-----	------	--------

Click on the round buttons to record your level of agreement or disagreement with the statements.

USER #1: Questions to which you Agree or Disagree		Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
68	The organization has difficulty collecting data for measures that are critical to achieving its mission.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
69	Over the course of supervision the organization measures improvements in pro-social competencies in the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
70	There are sufficient staff with the training, skills and information necessary to assess the risks and needs of the supervised population.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

NEXT

Click a button to the right to navigate Inventory sections.

MAIN

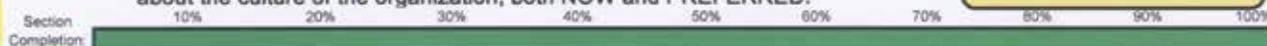
Intro

User #1 Click Here to Proceed After Completing this section

Achieving Performance Excellence (APEX) Inventory Sheet 4

Organizational Culture Description: Fill in the percentage weights on descriptive statements about the culture of the organization, both NOW and PREFERRED.

User #1 Organizational Culture



Divide 100 points among the four alternatives listed below, depending on the extent to which each alternative is similar to your own organization. Assign a higher number of points to the alternative that is most similar to your organization. For example, if you think alternative A is very similar to your organization, alternative B and C are somewhat similar, and alternative D is hardly similar at all, you might give 55 points to A, 20 points to B and C, and 5 points to D. Double-check your math to ensure your Now A-B-C-D answers total 100 points; then, that your Preferred A-B-C-D answers total 100 points

Set 1 of 6 : The Organization

		NOW	PREFERRED
A	The organization is a very personal place. It is like an extended family. People seem to share a lot about themselves.	15	45
B	The organization is a very dynamic, entrepreneurial place. People are willing to stick their necks out and take risks.	5	15
C	The organization is very results-oriented. A major concern is with getting the job done. People are very competitive and achievement-oriented.	30	20
D	The organization is a very controlled and structured place. Formal procedures generally govern what people do.	50	20
TOTAL		100	100

Set 2 of 6 : Leadership

		NOW	PREFERRED
A	The leadership in the organization generally exemplifies a mentoring, facilitating, nurturing focus.	10	35
B	The leadership in the organization generally exemplifies an entrepreneurship, innovating, risk-taking focus.	5	25
C	The leadership in the organization generally exemplifies a no-nonsense, aggressive, results-oriented focus.	30	20
D	The leadership in the organization generally exemplifies a coordinating, organizing, smooth-running efficiency focus.	55	20
TOTAL		100	100

Set 3 of 6 : Management

		NOW	PREFERRED
A	The management style in the organization is characterized by teamwork, consensus, and participation.	15	40
B	The management style in the organization is characterized by individual risk-taking, innovation, freedom, and uniqueness.	10	15
C	The management style in the organization is characterized by hard-driving competitiveness, high demands, and achievement.	30	25
D	The management style within the organization is characterized by security of employment, conformity, predictability, and stability in relationships.	45	20
TOTAL		100	100

Organizational Culture Description: Fill in the percentage weights on descriptive statements about the culture of the organization, both NOW and PREFERRED.

User #1 Organizational Culture

Place
Cursor
Here to
Scroll

Section Completion:	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%	100.0%
---------------------	-----	-----	-----	-----	-----	-----	-----	-----	-----	------	--------

Divide 100 points among the four alternatives listed below, depending on the extent to which each alternative is similar to your own organization. Assign a higher number of points to the alternative that is most similar to your organization. For example, if you think alternative A is very similar to your organization, alternative B and C are somewhat similar, and alternative D is hardly similar at all, you might give 55 points to A, 20 points to B and C, and 5 points to D. Double-check your math to ensure your Now A-B-C-D answers total 100 points; then, that your Preferred A-B-C-D answers total 100 points

Set 4 of 6 : Glue		NOW	PREFERRED
A	The glue that holds the organization together is loyalty and mutual trust. Commitment to this organization runs high.	20	40
B	The glue that holds the organization together is commitment to innovation and development. There is an emphasis on being on the cutting edge.	5	15
C	The glue that holds the organization together is the emphasis on achievement and goal accomplishment. Aggressiveness and winning are common themes.	15	20
D	The glue that holds the organization together is formal rules and policies. Maintaining a smooth- running organization is important.	60	25
TOTAL		100	100

Set 5 of 6 : Definition		NOW	PREFERRED
A	The organization defines success on the basis of the development of human resources, teamwork, employee commitment, and concern for people.	20	40
B	The organization defines success on the basis of having the most unique or newest products. It is a service leader and innovator.	5	20
C	The organization defines success on the basis of encouraging and rewarding competition between units. Competitive leadership is the key to success.	25	15
D	The organization defines success on the basis of efficiency. Timeliness, consistency, and stability are critical.	50	25
TOTAL		100	100

Set 6 of 6 : Emphasis		NOW	PREFERRED
A	The organization emphasizes human development. High trust, openness, and participation persist.	10	30
B	The organization emphasizes acquiring new resources and creating new challenges. Trying new things and prospecting for opportunities are valued.	5	20
C	The organization emphasizes competitive actions and achievements. Hitting targets and winning recognition from other agencies, at the national level, and in the public sector are dominant.	25	20
D	The organization emphasizes permanence and stability. Efficiency, control and smooth operations are important.	60	30
TOTAL		100	100

NEXT

Click a button to the right to navigate Inventory sections.

MAIN

User #1 Click Here to Proceed After Completing this section

Intro

User #1 Organizational Metrics Questions

Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Inventory Sheet 5

10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

Section Completion

100.0%

USER#1 Key Metrics on the Organization:

From resources in your organization please obtain answers to the following:

1	Does the organization administer an assessment/classification tool for the supervised population? ("YES" "NO" "DON'T KNOW")	yes
2	What is the name of the principal tool the organization uses for assessment/classification for the supervised population?	abcd
3	Approximately what percent of the population supervised by the organization is assessed with a formal classification/assessment tool within 30 days of intake?	80%
4	What percentage of the population supervised by the organization would you estimate have full-time jobs (or institutional equivalents)?	45%
5	What percentage of the population supervised by the organization would you estimate are currently receiving treatment (e.g., Mental Health, Alcohol and Other Drug Treatments, Cognitive Skill Building Training, Mentoring, Basic Education/GED, Employment Readiness Training)?	60%
6	What percentage of the population supervised by the organization would you estimate are required to have at least ONE urine sample tested per MONTH?	66%
7	What percentage of the population supervised by the organization would you estimate are required to have at least TWO urine samples tested per WEEK?	45%
8	What percentage of the population supervised by the organization would you estimate have serious rule infractions (e.g., drugs, violence, whereabouts, contraband, new conviction, etc.) over the course of their supervision?	25%
9	What percentage of the population supervised by the organization would you estimate have more than two prior (prior to their current offense) criminal misdemeanor or felony convictions?	33%
10	What percentage of the population supervised by the organization would you estimate get returned to supervision within 36 months of discharge from the organization's supervision?	25%
11	What is the average caseload size for either regular field supervision or institutional case managers?	50
12	What is the average length of supervision in months?	36
13	How many people does the organization supervise on a given day?	500
14	What is the annual absconded/escape rate for the previous calendar year?	3%
15	How many full time equivalent staff are employed in the organization?	22
16	In the last calendar year, how many staff would you estimate have left employment at the organization?	1
17	What would you estimate (in years) is the average length of staff tenure with the organization?	15
18	What is the approximate number of people that were discharged or were terminated from the organization's supervision, in the past calendar YEAR?	300
19	What is the average MONTHLY number of intakes to the supervised population?	30

NEXT

Click a button to the right to switch sheets.

MAIN

Intro

User #1 Click Here to Proceed to Next Report Sheet

Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Inventory

Inventory Completion: 100%

USER #1 REPORTS - Page 1

The **GOAL** of NIC's APEX initiative is to stimulate correctional organizations to take a fresh look at the five core performance questions:

- What drives our organization?
- What are the key processes that we conduct?
- What are the results of these processes?
- What do we need to do to make the results better?
- How do we proceed to make the results better?

The purpose of the Inventory you have just taken is to provide a mechanism for self-assessment that helps key staff begin to efficiently engage these questions and NIC's APEX performance resources. The reports that follow here are generated from your responses, the responses of other users in your agency working on this same spreadsheet, and those of over 100 other correctional organization leaders who have already completed the Inventory.

In this Inventory there are four sets of questions:

- Basic identification information.
- A series of opinion questions focused on organizational readiness, and seven performance domains described below.
- A series of questions about the organizational culture.
- Basic organization activity metrics.

OPINION QUESTIONS REPORT:

The opinion questions are designed to give a preliminary picture of the organization's current position on organizational readiness and seven of the APEX domains which include:

- Leadership
- Strategic Planning
- Stakeholder Focus
- Measurement and Analysis
- Workforce Focus
- Operations
- Results

Organizational Culture, the eighth APEX domain, is assessed separately for this inventory. The APEX Public Safety model, Chart A, shows how these domains interact

APEX Public Safety Model

Characteristics of a Higher Performing Corrections Organization

CHART A



Note: The vertical, two-headed arrow pointing from the measurement, analysis, and knowledge management domain to the rest of the domains (beyond its foundational nature). The other two-headed arrows indicate the importance of feedback—a critical component of a higher performing correctional agency.

Click a button to the right to switch sheets.

MAIN

Intro

User #1 Click Here to Proceed to Next Report Sheet

Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Inventory USER #2 REPORTS - Page 2

The performance domains used in this report can be briefly described as follows:

ORGANIZATION READINESS: The degree to which the organization is ready to review its performance and make changes.

LEADERSHIP: The degree to which supervising managers

- ENGAGE the organizations workforce, stakeholders and customers.
- CONDUCT themselves in actions which promote a sustainable organization.
- ADAPT management practices to changing circumstances.

STRATEGIC PLANNING: The degree to which the organization

- UNDERSTANDS key goals and objectives for long term performance.
- COMPOSES an explicit list of key capabilities, challenges and advantages in the near future.
- SETS DOWN timetables and milestones for accomplishing objectives.

STAKEHOLDER FOCUS: The degree to which the organization

- RECOGNIZES the diverse groups to which it is responsible.
- LISTENS to the concerns and suggestions of, and engages the supervised populations.
- RESPONDS to client and stakeholder communications to create improved and innovative services.

MEASUREMENT AND ANALYSIS: The degree to which the organization

- COLLECTS key input, activity and outcome information.
- SUSTAINS this information collection to observe performance over time.
- USES this information in strategic planning and day-to-day management.

WORKFORCE FOCUS: The degree to which the organization

- PROVIDES a positive environment for workforce performance, improvement, and feedback.
- DEVELOPS leaders within the workforce.
- REWARDS adaptive performance behavior.

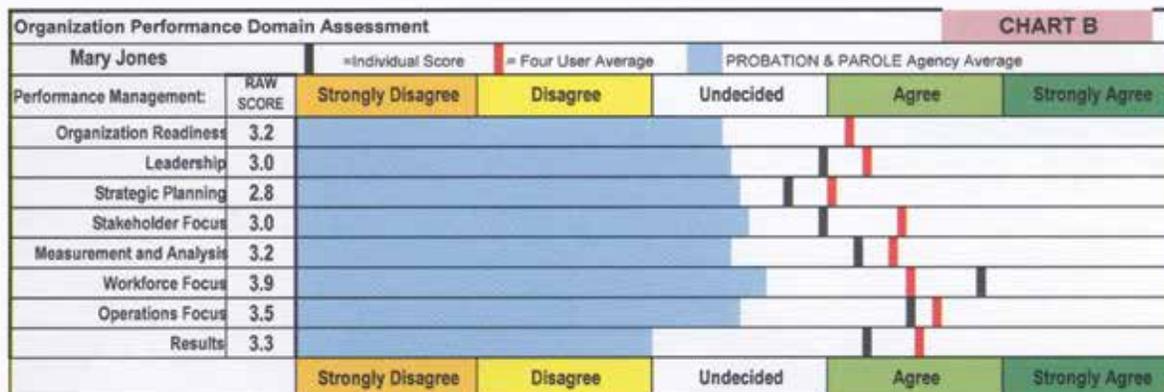
PROCESS MANAGEMENT: The degree to which the organization

- DESIGNS specific task procedures to integrate legal, economic and mechanical standards.
- MANAGES the procedures to make sure they are implemented.
- CONTROLS the security of the facilities.
- IMPROVES the procedures as circumstances change.

RESULTS: The degree to which the organization

- ACCEPTS outcome measures into its management systems.
- EXPOSES outcome measures to review by stakeholders.
- COMPARES outcome measures to relevant standards and comparable/competitive organizations.

Chart B shows your individual scores compared to the average for the each of the domains for the others who used this specific spreadsheet,



From these bar charts you can see which of your domains are rated above average, and which below. Using this information, discuss with your managers, staff and stakeholder the reasons for your scoring of the domains, both high and low. In these conversations have a look at the APEX Guidebooks for ideas on how to improve in those domains with lower scores.

NEXT
Report
Page

Click a button to the right to switch sheets

MAIN

Intro

User #1 Click Here to Proceed
To Next Report Sheet

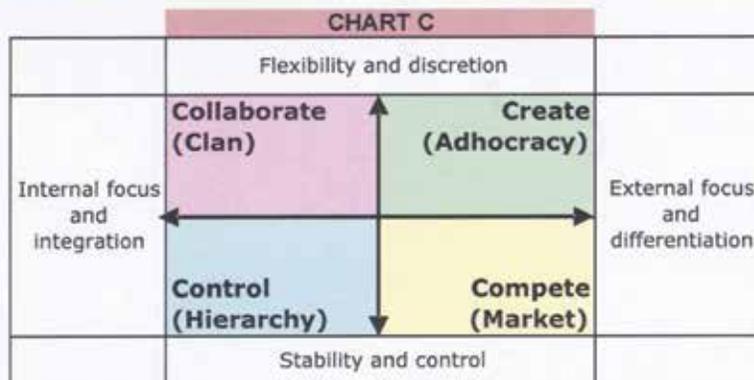
Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Inventory USER #1 REPORTS - Page 3

This Inventory asks a series of questions about organizational culture, based on the Competing Values Framework. In this model organizations are characterized by where they place their values on two continuums:

- internal vs. external focus
- control vs. flexibility

Chart C shows the four culture types that emerge from the two continuums, reflecting the values of an organization. Each organization has its own mix of the four culture types. More discussion of this topic can be found at: <http://www.ocal-online.com/products/ocal-one>



Each colored section of **Chart C** represents a different style of management and performance:

- COLLABORATE:** *Clan* Culture Type (internal focus and flexibility).
Change form: Gradual.
Leadership style: Facilitation and team building "do it together."
Key Values: Commitment and communication.
Performance through consensus.
- CREATE:** *Adhocracy* Culture Type (external focus and flexibility).
Change form: Initiative.
Leadership style: Innovation "do it first."
Key Values: Agility.
Performance through continual adaptation.
- COMPETE:** *Market* Culture Type (external focus and control).
Change form: Quick.
Leadership style: Competitor "do it fast."
Key Values: Market share.
Performance through competition.
- CONTROL:** *Hierarchy* Culture Type (internal focus and control).
Change form: Incremental.
Leadership style: Monitor and direct "do it right."
Key Values: Consistency.
Performance through control.

Chart C and D show the averages of the responses to the organizational culture questions from various groups.

Click a button to the right to switch sheets

MAIN

Intro

User #1 Click Here to Proceed To Next Report Sheet

Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Inventory
USER #1 REPORTS - Page 4

Chart D shows the organizational culture scoring average for the respondents in this file.

Chart E shows the average of the organizational culture scoring responses from your organizational sector.

CHART D

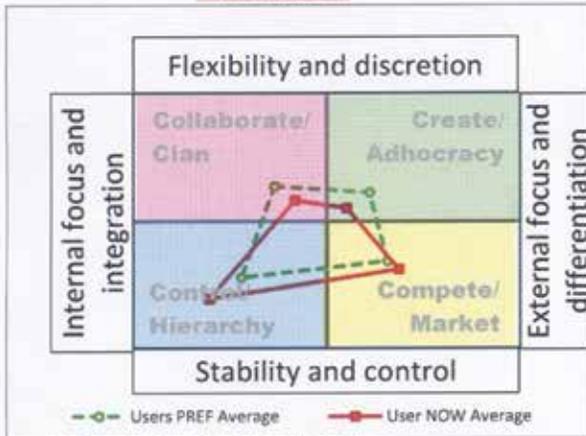
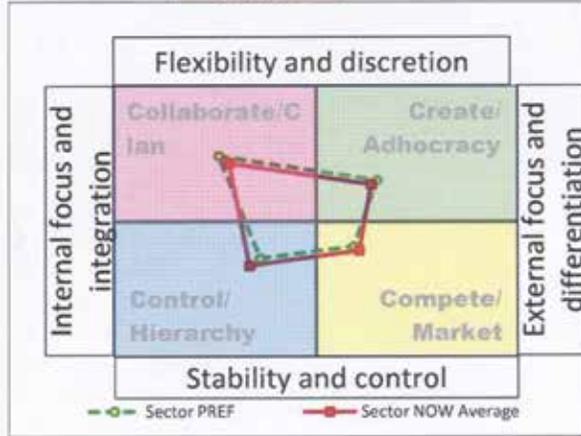


CHART E



INTERPRETATION AND GUIDANCE:

The above two charts depict your Organizational Culture Assessment Inventory (OCAI) scores within the Competing Values Framework. Chart D displays how users in your organization scored their beliefs about the current (red line) and preferred (green dotted line) organizational culture. Chart E displays scoring for others in your organizational sector. The colored backgrounds indicate the different cultures, and the amount of area in each section determines the amount that culture is reflected in the organization's culture. If the lines of either your current or preferred culture assessment cover more area in one or two sections, your culture is probably aligned more with those particular culture types.

There are strengths and risks associated with each culture type:

	STRENGTHS	RISKS
Collaborate/Clan	Commitment, Communication	Divisive cliques, group think
Create/Adhocracy	Innovative, agile	Disruptive, unintended incidents, corruption
Compete/Market	Achievement, aggressive, expansive	Too narrowly focused, inconsistent
Control/Hierarchy	Efficient, timely, consistent	Excess use of authority, resistance to change

NEXT
Report
page

Click a button to the right to switch sheets

MAIN

Intro

This is the Last Report Sheet for User#1

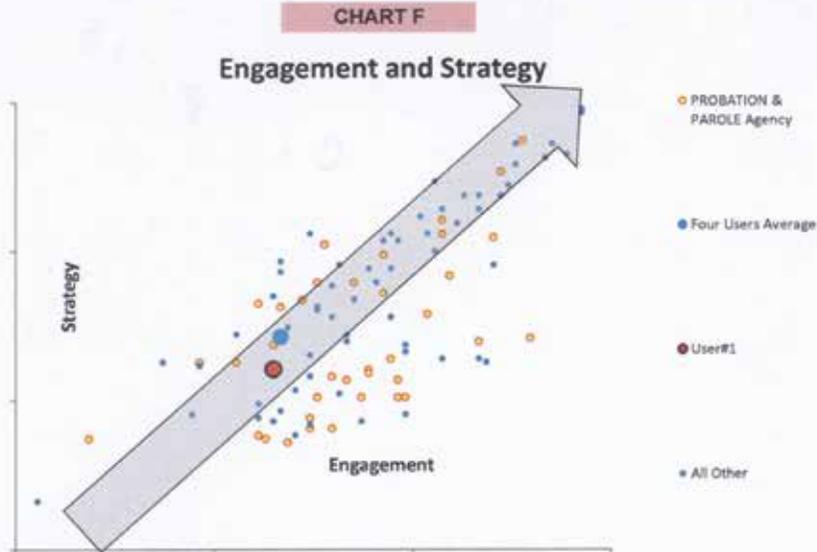
Place
Cursor
Here
to
Scroll

Achieving Performance Excellence (APEX) Inventory USER #1 REPORTS - Page 5

ENGAGEMENT AND STRATEGY:

Chart F shows the relationship between Engagement (interaction with workforce, suppliers, supporters, and stakeholders) and Strategy (the degree of planning, measurements, and skill development) in your organization based on your responses, as well as the responses of other users of this spreadsheet and the average response from users in your type of correctional organization. The more balanced your organization is with respect to these, the closer your response data points will be to the arrow.

Questions to consider: Should you work to get more stakeholders fully involved? Should you work to analyze and structure processes?

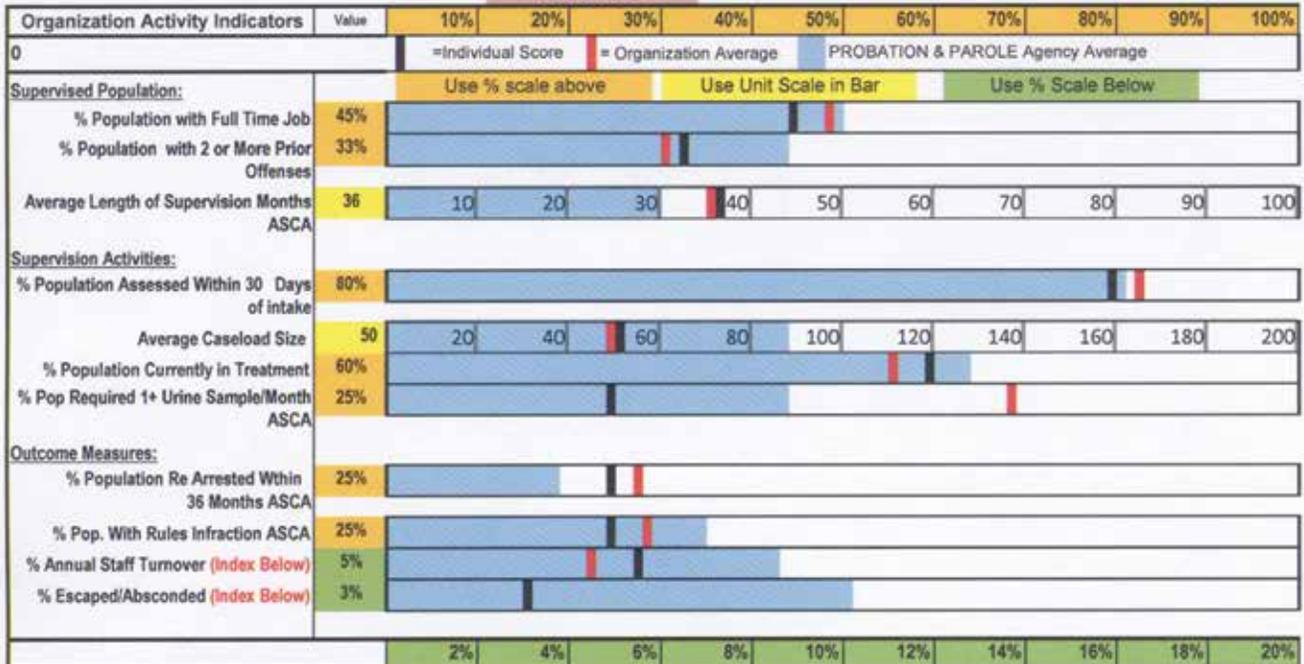


ORGANIZATION ACTIVITY METRICS:

The measurement of the activities of the organization helps people understand what is contributing to and inhibiting performance. Chart G shows your response to questions about your organization's activities, as well as the response from other users of this spreadsheet and the average response from users in your type of correctional agency.

**Achieving Performance Excellence (APEX) Inventory
USER #1 REPORTS - Page 6**

CHART G



The performance indicators above are a sample of common measures across different sectors of corrections. The set labeled "Supervised Population" represent rough gauges for population needs, risk, and duration under supervision. These measures describe some of the challenges that the supervised population deals with. "Supervision Activities" are closer to performance measures and, with the exception of caseload size, higher levels are generally preferred. "Outcome Measures" indicators are examples of both process and outcome measures for which lower scores are more desirable.

Five of the eleven measures followed by the acronym ASCA are identified and thoroughly operationally defined in the Association of State Corrections Administrators (ASCA) Performance Based Resource Manual. ASCA maintains a national database and collects these measures obtained from state correctional systems (<http://www.asca.net/system/assets/attachments/3460>).

Users of this APEX inventory often make guesstimations regarding the above indicators. Therefore, the score bars above provide only a sketch of these important metrics. They are a starting point for your discussions on important questions:

- How different or similar were the individual responses for a particular indicator?
- When different, what contributed to the difference in responses? When similar, what contributed to the similarity in responses?
- Where is your organization's average score compared to your correctional sector average, and what does that mean to your organization?
- How well do these metrics link to your mission, your strategic plan, and your goals?

What's Next?

This concludes the APEX inventory. Now you can use these reports to guide discussions of how your organization can improve performance. In NIC's APEX Initiative there are a number of "on ramps" to performance improvement materials. They are provided in the APEX Guidebook series available at www.nicic.gov.

If you would like further information, please contact:

Sherry Carroll
National Institute of Corrections
320 First Street NW
Washington, DC 20534

Appendix D: Compiled List of Assessments for All Domains

Change Management Assessments		
Full Name	Author	Description
Change Abilitator	LHE Inc.	Identifies six types of concerns experienced by employees, managers, etc. when change is introduced in their team or organization so that these obstacles to change can be overcome. http://www.hrdcentral.com/change-abilitator-questionnaire.html/
TCU Organizational Readiness for Change (2 versions) (ORC)	Texas Christian University, Institute of Behavioral Research	Two versions: Director and Staff. Director categories: program needs, staff training needs, pressure for change (sources), miscellaneous. Staff categories: program needs, staff training needs, pressure for change (sources), offices, staffing, training, equipment, Internet, growth, efficacy, influence, orientation, adaptability, organizational climate, training exposure, and utilization. Program director version: http://www.ibr.tcu.edu/pubs/datacoll/Forms/cj-orc-d-sg.pdf Treatment staff version: http://www.ibr.tcu.edu/pubs/datacoll/Forms/orc-s.pdf
TCU Organizational Readiness for Change – Social Agency Staff Version (TCU ORC–SA)	Texas Christian University, Institute of Behavioral Research	Alternate version of the ORC assessment adapted for use in social agencies that do not provide treatment services directly. Two new scales: Management and Satisfaction. http://www.ibr.tcu.edu/pubs/datacoll/Forms/orc-sa.pdf
Watson Wyatt Change Readiness Assessment Tool	Watson Wyatt Worldwide	This tool includes three sections. As you complete a section, the tool will rate your readiness in that dimension as “high/mid/low.” When all three sections are completed, you will receive a summary evaluation with related tips to identify potential obstacles to change as well as best practices. http://www.watsonwyatt.com/us/tools/change/

Leadership Assessments		
Full Name	Author	Description
Are We Making Progress as Leaders?	Baldrige (NIST)	For senior leaders to complete about the organization to assess their perceptions of the organization and learn what can be done to improve performance. http://www.nist.gov/baldrige/publications/index.cfm
Benchmark of Organizational Emotional Intelligence (BOEI)	Steven Stein and MHS Staff	Used to assess emotional intelligence of an organization as a whole as well as teams and divisions. Scores: job happiness, compensation, work/life stress management, organizational cohesiveness, supervisory leadership, diversity and anger management, organizational responsiveness, positive impression, and negative impression. http://www.mhs.com/product.aspx?gr=io&prod=boei&id=overview
CCI Building Capacities Self-Assessment Tool	McKinsey & Company/ Venture Philanthropy Partners	Content areas include: financial data, fundraising strategies, access, mission/vision/planning, community engagement and collaboration, two leadership scales, financial systems/position, fund development, and data-informed decisionmaking. http://careinnovations.org
Common Sense Organization Effectiveness Four-Factor Instrument	Bud Bilanich	Four subscales: clarity of purpose and direction, commitment of all organizational members, execution of the things that matter, and beneficial relationships with stakeholders in this brief yes/no rated 38-item survey. http://www.budbilanich.com/consulting/organization-effectiveness
Creating the HPO Self-Assessment	Gregory P. Smith	Categories include organization purpose/vision, leadership strategy, direction, change, barriers, engagement, talent retention, ideas and innovation, customer and market focus, and managing and measuring performance. http://www.chartcourse.com/high-performance-organization.html
DiSC	John Geier and Inscape Publishing	Based on the work of Dr. Marston, looks at four aspects of behavior based on preferences in word association: dominance, influence, steadiness, and compliance. http://www.resourcesunlimited.com
Great Systems Leadership Index	Great Systems and Kevin McManus	A brief 11-item survey using 5-point Likert ratings with explanation of how to calculate a leadership index (quotient). http://greatsystems.com/leadindex.htm

Leadership Assessments (continued)

Full Name	Author	Description
Leadership Development Needs Assessment (LEADNA)	Westinghouse Electric Corp. (for U.S. Dept. of Energy) (DOE)	A 360 feedback tool assesses with 5-point ratings (“thinks long term” vs. “thinks short term”) for these leadership development need dimensions: strategy, communication, knowledge, learning, influence, relationships, delegation, integrity, and confidence (complete with guide and scoring key). <i>http://msl.mt.gov/About_MSL/commission/archive/2005/10/2001012stlibevalleadna.pdf</i>
Leadership Practices Inventory (LPI)	James M. Kouzes and Barry Z. Posner	Designed to identify practices and behaviors associated with effective leadership and to measure personal and organizational progress in leadership development. Scores (5): challenging the process, inspiring a shared vision, enabling others to act, modeling the way, and encouraging the heart. <i>http://www.lpionline.com</i>
Likert Organizational Climate Survey (LOCS)	Rensis Likert	Likert used his own categorization system, breaking management styles into the four systems: exploitative/authoritative, benevolent/authoritative, consultative, and participative. <i>http://cjinstitute.org/files/likertoverview.pdf</i>
McKinsey & Company Nonprofit Board Self-Assessment Tool–Short Form	McKinsey & Co.	Four-point Likert ratings on performance of board on core responsibilities, perceived importance of core responsibilities for the next 1 to 2 years, and enablers of board effectiveness. <i>www.prolifica.org/uploads/Board_self_assessment_short.pdf</i>
Multifactor Leadership Questionnaire (MLQ)	Bernard M. Bass and Bruce J. Avolio	Short form with 45 questions; measures transformational leadership. <i>http://www.mindgarden.com/products/mlqr.htm</i>
Myers-Briggs Type Indicator (MBTI)	Myers Briggs Foundation, Katherine Cook Briggs and Isabel Briggs Myers	Measures psychological preferences in how people perceive the world and make decisions. These preferences are derived from Carl Jung’s book <i>Psychological Types</i> , with 16 personality types, 8 preferences, and tools to help in understanding personality type. Requires an MBTI qualified administrator. <i>http://www.myersbriggs.org</i>

Leadership Assessments (continued)

Full Name	Author	Description
McKinsey & Company/ Marguerite Casey Foundation Organizational Capacity Assessment Tool (OCAT)	Copyright by Venture Philanthropy Partners	Instrument for nonprofits to identify capacities in leadership, adaptive, management, and operational capacity. <i>http://www.vpppartners.org/learning/mckinsey-vpp-ocat</i> <i>http://caseygrants.org/resources/org-capacity-assessment</i>
NRCS Leadership Assessment	NRCS Social Sciences Team	A 5-point survey containing 45 items covering these dimensions: focused drive, emotional intelligence, building trust/enabling others, conceptual thinking, and systems thinking. <i>http://nicic.gov/Go/nrcs_Leadership_Assessment_Instrument</i>
StrengthsFinder 2.0	Gallup	Respondents choose between pairs of potential descriptors. Results identify the user's top 5 strengths from 34 possible themes. <i>http://www.strengthsfinder.com/home.aspx</i>

Organizational Culture Assessments

Full Name	Author	Description
The Birkman Method®	Roger W. Birkman PhD	A 298-question personality assessment answered online in about 45 minutes. The reports generated evaluate interest, motivation, and behavior; they also measure productive behaviors, stress behaviors, underlying needs, motivations, and organizational orientation. <i>www.birkman.com</i>
Correctional Institutions Environment Scale, Second Edition (CIES)	Rudolf H. Moos	Designed to measure the social climate of juvenile and adult correctional programs. <i>http://www.mindgarden.com/products/ciess.htm</i>
Court Culture Assessment Instrument (CCAI)	Karen J. Brown	Assesses five key dimensions of court culture: dominant case management style, judicial and court staff relations, change management, courthouse leadership, and internal organization. <i>http://nicic.gov/Go/Court_Culture_Assessment_Instrument</i>

Organizational Culture Assessments (continued)

Full Name	Author	Description
Discovering Diversity Profile	Inscape Publishing	An online diversity profile that helps clarify the feelings and opinions of those in the workforce with respect to diversity and makes suggestions for change. <i>www.discoveringdiversityprofile.com/</i>
Everything DiSC	Inscape Publishing	Workplace assessment and exercises that identify the work style and work priorities of the leader and his/her staff. Also describes motivators and stressors for people at work and helps people design strategies to improve their working relationships with others who may have different styles. DiSC can be self-administered, but should be interpreted with the assistance of a coach who is familiar with the DiSC assessment and then allow for group work to look at the results. <i>www.resourcesunlimited.com/shop/everything-disc-workplace-profile.asp</i>
Interpersonal Trust Survey	Guy L. De Furia PhD	A three-page survey that examines the level of organizational trust. Five behaviors are focused on sharing relevant information, reducing controls, allowing for mutual influence, clarifying mutual expectations, and meeting expectations. <i>www.pfeiffer.com/WileyCDA/PfeifferTitle/productCd-PCOL4017.html</i>
Myers-Briggs Type Indicator (MBTI)	Myers Briggs Foundation, Katherine Cook Briggs and Isabel Briggs Myers	Measures psychological preferences in how people perceive the world and make decisions. These preferences are derived from Carl Jung's book <i>Psychological Types</i> , with 16 personality types, 8 preferences, and tools to help in understanding personality type. Requires an MBTI qualified administrator. <i>http://www.myersbriggs.org</i>
The Nonprofit Life Stage Assessment	Judith Sharken Simon and J. Terence Donovan	Helps to determine what life stage an organization is in and the organization's strengths and weaknesses. Will help the organization plan for future needs, make decisions, anticipate challenges, and make appropriate adjustments. <i>http://wilderresearch.org/tools/lifestages/index.php</i>

Organizational Culture Assessments (continued)

Full Name	Author	Description
Now, Discover Your Strengths	Marcus Buckingham and Donald O. Clifton PhD	Book and Web-based questionnaire focus on identifying talents and building them into strengths to improve performance rather than focusing on weaknesses in the workplace, which detracts from creating a culture of recognition. <i>http://gmj.gallup.com/content/1147/now-discover-your-strengths-book-center.aspx</i>
Organizational Culture Assessment Instrument (OCAI)	Kim Cameron and the Regents of the University of Michigan	Assesses six key dimensions of organizational culture with six questions. Each question has four alternatives and is scored for “current” and again for “preferred.” <i>http://www.ocai-online.com/products/ocai-one</i>
Organizational Culture Assessment Instrument – Prisons (OCAI-P)	Criminal Justice Institute, Inc. and the National Institute of Corrections	Cameron and Quinn’s OCAI instrument with a few modifications for prisons. <i>www.nicic.gov</i> <i>http://www.cji-inc.com/</i>
Organizational Culture Inventory (OCI)	Robert A. Cooke and J. Clayton Lafferty, and Human Synergetics International	Helps explain why some organizations and their units are more effective than others. Examines problem solving and decisionmaking, teamwork, productivity, and long-term effectiveness. <i>http://www.humansynergetics.com/products/oci.aspx</i>
Real Colors Personality Instruments	NCTI	Based on the temperament theory of David Kiersey and bridging temperament theory with real life application, helps others recognize and value the differences in others. <i>http://www.realcolors.org/page_6.php</i>
The Trust Index® Employee Survey and Workplace Culture Assessment	Great Place to Work Institute	Based on the research of Robert Levering and Milton Moskowitz’s book <i>The 100 Best Companies to Work for in America</i> . Two surveys: The Trust Index® Survey is taken by employees and includes open-ended questions about the level of trust in the organization. The Workplace Culture Assessment identifies gaps between the intended culture and the experienced culture from the employees’ perspective. <i>http://www.greatplacetowork.com</i>

Organizational Culture Assessments (continued)

Full Name	Author	Description
WhoTrustsYou Survey	Stephen Covey and Franklin Covey	A brief individual survey available online that is a good first step in feedback. Participants take the survey, send it to those they choose, and get anonymous feedback along with a report comparing their credibility score along with others' opinions. http://speedoftrust.com/new/resources/who-trusts-you
Work Climate Questionnaire (WCQ)	Geoffrey Williams and Edward Deci	A 15-item scale that assesses participants' perceptions of the degree of autonomy supportiveness of their managers and predicts job satisfaction with respect to competence, autonomy, and relatedness. http://www.selfdeterminationtheory.org/questionnaires/10-questionnaires/83

Operations: Safe and Secure Supervision and Settings Assessments

Full Name	Author	Description
Numerous assessments for inmate classification and risk		See Stakeholder Focus Assessments table on pages 101–102.
Static Risk and Offender Needs Guide (STRONG)	WSIPP and Assessments.com	Offender needs assessment and supervision plan. http://nicic.gov/Go/Static_Risk_Offender_Needs_Guide
CCHP–RN Candidate Handbook		Checklist for inmate-patients for use by correctional nurses. http://www.ncchc.org/CCHPRN/downloads/Content_Outline.pdf
Numerous security audits and checklists		American Correctional Association (ACA) https://www.aca.org
		American Jail Association (AJA) http://www.aja.org
		American Probation and Parole Association (APPA) http://www.appa-net.org/eweb/
		National Institute of Corrections (NIC) http://nicic.gov http://nicic.gov/Library/012769
		Colorado Community Corrections Self-Auditing Guidelines http://dcj.state.co.us/occl/pdf/Auditing%20Guidelines.pdf

Operations: Safe and Secure Supervision and Settings Assessments (continued)

Full Name	Author	Description
		Oklahoma Contract Monitor Guide http://nicic.gov/Go/OK_ContractMonitorGuide
		Correctional Facilities Pandemic Influenza Planning Checklist http://www.pandemicflu.gov/professional/business/correctionchecklist.pdf
		Detention Facility Self-Assessment http://www.aecf.org/upload/PublicationFiles/jdai0507.pdf
		Emergency Preparedness Assessment Resource Supplements http://nicic.gov/Library/Files/016922.pdf
		A Guide to Preparing for and Responding to Jail Emergencies A Guide to Preparing for and Responding to Prison Emergencies http://nicic.gov/Downloads/PDF/Library/023494.pdf http://nicic.gov/Library/Files/020293.pdf
		Texas Commission on Jail Standards Inspection Forms http://www.tcjs.state.tx.us/index.php?linkID=310
		North Dakota Jail Standards Adult Facility Inspection Report http://www.nd.gov/docr/county/inspections.html
		Operations Inspections Form, Accession No. 019542 This document is currently available in paper form only from http://info.nicic.gov/Customers/Ask.aspx#
		Preparing for Inspection – What to Expect, Accession No. 021536 This document is currently available in paper form only from http://info.nicic.gov/Customers/Ask.aspx#
		Program Review and Internal Audit in Corrections http://nicic.gov/Library/Files/012121.pdf

Operations: Safe and Secure Supervision and Settings Assessments (continued)

Full Name	Author	Description
		Security Audit Guide, California Dept. of Corrections, Accession No. 012008 This document is currently available in paper form only from http://info.nicic.gov/Customers/Ask.aspx#
		The Security Audit Program, Accession No. 015770 This document is currently available in paper form only from http://info.nicic.gov/Customers/Ask.aspx#
		Security Envelope Master Checklist, Accession No. 014558 This document is currently available in paper form only from http://info.nicic.gov/Customers/Ask.aspx#
		Self-Assessment Checklists, Accession No. 015122 This document is currently available in paper form only from http://info.nicic.gov/Customers/Ask.aspx#

Operations: Process Management Assessments

Full Name	Author	Description
Agency Self-Assessment Form		Five-point Likert ratings: create a strategic plan, allocate resources, manage our people, analyze data, respond (make decisions and take action), improve process, communicate results, and listen. http://nicic.gov/Go/AgencySelfAssessment
Are We Making Progress?	Baldrige (NIST)	Sections and assessments relate to the Baldrige National Performance Excellence Program Criteria. http://www.nist.gov/baldrige/enter/self.cfm
Baldrige Asks, How Do You Know?	Baldrige (NIST)	Asks critical questions about the organization's success and sustainability. http://www.nist.gov/baldrige/publications/how_do_you_know.cfm
High-Reliability Organization Set (real title unknown)	Karl E. Weick and Dr. Kathleen M. Sutcliffe	From Weick and Sutcliffe's book <i>Managing the Unexpected: Assuring High Performance in the Age of Complexity</i> . Uses 3-point ratings (not at all/some extent/great deal) with 47 items across 5 subscales: preoccupation with failure, reluctance to simplify, sensitivity to operations, commitment to resilience, and expertise in organization. http://www.wildfirelessons.net/SearchResults.aspx?q=Weick

Operations: Process Management Assessments (continued)

Full Name	Author	Description
Massachusetts Cultural Council Organizational Self-Assessment Tool (MCCOSAT)		<p>Categories: mission and vision, strategic planning and evaluation, programming, educational programming, community participation, advocacy/public relations, marketing, financial health, fundraising, governance, management, human relations, IT, and facilities management.</p> <p>http://www.massculturalcouncil.org/services/org_assessment.pdf</p>
McKinsey Capacity Assessment Grid	Copyright by Venture Philanthropy Partners	<p>Tool designed to help nonprofits assess their organizational capacity. To be used in conjunction with the Capacity Framework.</p> <p>http://www.ilj.org/publications/docs/McKinsey_Organization_Capacity_Assessment_Tool.pdf</p>
Organisational Diagnosis Questionnaire (ODQ)	Robert C. Preziosi	<p>Contains 35 items to provide survey-feedback data for intensive diagnostic efforts. The questionnaire by itself or with other data-collection techniques (direct observation, interviewing) provides information for identifying strengths and weaknesses in an organization. The questionnaire produces data relative to informal activity. Based on Weisbord's research.</p> <p>http://nicic.gov/Go/OrganizationalDiagnosisQuestionnaire</p>
Performance Management Self-Assessment Tool	Turning Point Performance Management	<p>Three-point ratings (yes/fully, somewhat, no) for these dimensions: overall readiness and accountability, performance standards, performance measurement, reporting of progress, and quality improvement process.</p> <p>http://www.turningpointprogram.org/toolkit/content/pm assess.htm</p>
State of Georgia Performance Management Process: Manager's Guide	State of Georgia	<p>Performance evaluations, including self-evaluations that rate against expectations.</p> <p>http://www.spa.ga.gov/pdfs/ep_PMP_Manager's_Guide.pdf</p>
SVP Organizational Capacity Assessment Tool	Copyright by Venture Philanthropy Partners	<p>Designed for three to five participants from various levels of the organization to complete individually. Examines mission, vision, strategy, planning, program design/evaluation, human resources, senior management team leadership, IT, financial management, fund development, board leadership, legal affairs, marketing, communications, and external relations.</p> <p>http://nicic.gov/Go/SVP_OrgCapacityAssessmentTool</p>

Stakeholder Focus Assessments

Full Name	Author	Description
ACUTE-2007	Cyzap, Inc.	Developed to assess changes in short-term risk status and help predict recidivism in sexual offenders. Only certified users are able to administer ACUTE-2007. <i>http://nicic.gov/Go/ACUTE_2007</i>
Hare Psychopathy Checklist (PCL-R)	Robert Hare	A psychopathology checklist, including PCL-R, PCL Screening Version, and more. <i>http://www.hare.org/scales/pclr.html</i>
Level of Service Inventory (LSI)	Andrews and Bonta	Includes several versions designed to survey offender characteristics and situations that will determine supervision and treatment. <i>http://www.mhs.com/searchgl.aspx?q=LSI</i>
Northpointe COMPAS	Northpointe Management Inc.	COMPAS software suite includes software for offender assessment, classification, and case management, measuring risk and need areas, divided into these categories: core, reentry, youth, women, classification, and case manager. <i>http://www.northpointeinc.com/products/northpointe-software-suite</i>
Ohio Risk Assessment System (ORAS) and Ohio Youth Assessment System (OYAS)	University of Cincinnati, Center for Criminal Justice Research	ORAS is a risk/needs assessment for adult offenders. OYRA is for juvenile assessment. Also offering women's risk/needs assessment, women's supplemental risk/needs assessment, and software platform. <i>http://www.uc.edu/corrections/services/risk-assessment.html</i>
Orbis Assessments (Spin) (YASI) (Spin-W)	Orbis Partners	Adult assessment (Spin) assesses risk, needs, and factors for adult populations in supervised, probation, parole, and reentry populations. Youth (YASI) is for juvenile populations. Gender responsive (Spin-W) is for women. CaseWorks software enables case management. <i>http://www.orbispartners.com/assessment</i>
Risk Prediction Index (RPI)	Federal Justice Center/ U.S. Probation	RPI looks at seven variables: offender's age at start of supervision, number of arrests before arresting offense, employment status, history of drug/alcohol use, prior history, education, and family. <i>www.fd.org/pdf_lib/fjc/Keeping_Client_Final.pdf</i>

Stakeholder Focus Assessments (continued)

Full Name	Author	Description
Sex Offender Treatment Intervention and Progress Scale (SOTIPS)	Robert J. McGrath, Michael P. Lasher, and Georgia F. Cumming	A 16-item rating scale designed to assess risk among adult male sex offenders. http://nicic.gov/Go/SOTIPS
STABLE–2007	Cyzap, Inc.	Developed to assess change in intermediate-term risk status, assess treatment needs, and help predict recidivism in sexual offenders. Only certified users are able to administer STABLE–2007. http://nicic.gov/Go/STABLE_2007
STATIC–99R	R. Karl Hanson and David Thornton	Designed to estimate the probability of sexual and violent recidivism among adult males who have already been convicted of at least one sexual offense against a child or nonconsenting adult. Only certified users are able to administer STATIC–99R. http://www.static99.org
Vermont Assessment of Sex Offender Risk (VASOR) Manual	Robert J. McGrath and Stephen E. Hoke	A risk assessment scale for adult male sex offenders age 18 and older; helps in placement and supervision decisions. Composed of 2 scales: a 13-item reoffense risk scale and a 6-item violence scale. http://www.csom.org/pubs/VASOR.pdf
Violence Risk Appraisal Guide (VRAG)	Quinsey, Harris, Rice, and Cormier	A 12-item checklist with score calculation. http://www.ncbi.nlm.nih.gov/pubmed/119821220 http://nicic.gov/Go/VRAG
Virginia Pretrial Risk Assessment Instrument (VPRAI)	Department of Criminal Justice Services, Virginia	Looks at defendant’s status at arrest, relationship to charges, and defendant’s history. http://www.luminosity-solutions.com/publications/VPRAI_Instruction_Manual_v_1-2_5-15-09.pdf http://nicic.gov/Library/024545
Washington State: DOC Static Risk Assessment	Washington State Institute for Public Policy	Adult (static) and juvenile risk assessment based on offender demographics and criminal history. http://www.wsipp.wa.gov/rptfiles/07-03-1201.pdf

Workforce Focus Assessments

Full Name	Author	Description
I6PF Talent Profile	IPAT, Inc.	A shorter version of the I6PF Fifth Edition personality measure, which was designed for personnel selection and assessing job fit. Scores (12): warmth, calmness, dominance, liveliness, rule consciousness, social boldness, trust, imagination, self-assuredness, openness, self-reliance, and organization. <i>http://nicic.gov/Go/I6PF_TalentProfile</i>
Best Companies Group Employee Engagement & Satisfaction Survey	Best Companies Group	Nineteen items. <i>http://nicic.gov/Go/BestCompaniesGroup</i>
Campbell Organizational Survey (COS)	David Campbell	Designed to measure attitudes of employees regarding the organization. Scores (14): the work itself, working conditions, freedom from stress, coworkers, supervision, top leadership, pay, benefits, job security, promotional opportunities, feedback/communications, organizational planning, support for innovation, and overall satisfaction index. <i>http://nicic.gov/Go/vagent</i>
Organizational Assessment from High Performance Teamwork and Built on Trust training courses	Learning Center	Twenty-one-item assessment with four-point rating scale of “sampled” organizational dimensions (no subscales). <i>http://www.learningcenter.net/library/management.shtml</i>
Probation Strategies Questionnaire (PSQ)	Robert A. Shearer	Twenty-four items to determine parole and/or probation officer’s view of role: law enforcement, case worker, and resource broker. <i>https://www.ncjrs.gov/App/publications/Abstract.aspx?id=195857</i>
Team Leadership Assessment Tool	Yale University School of Public Health	Five-point ratings of personal effectiveness, work environment and support, team leader/manager, team dynamics, and management skills (71 items total). <i>http://nicic.gov/Go/TeamLeadershipAssessmentTool</i>
Teamwork Survey	Don Clark	Designed to help you assess the stage at which your team normally operates. It is based on the “Tuckman” model of Forming, Storming, Norming, and Performing. The lowest score possible for a stage is 8 (almost never) while the highest score possible for a stage is 40 (almost always). <i>http://nwlinc.com/~donclark/leader/teamsuv.html</i>

Workforce Focus Assessments (continued)

Full Name	Author	Description
TCU Survey of Program Training Needs (2 versions: Staff and Program Director) (TCU PTN-S and TCU PTN-D)	Texas Christian University	Used for identifying and prioritizing treatment issues that programs believe need attention. Items are organized into domains focused on facilities and climate, satisfaction with training, training content preferences, needs more training, training strategy preferences, and computer resources. This type of information can help guide overall training efforts as well as predict the innovations that programs are most likely to seek out and adopt. http://www.ibr.tcu.edu/pubs/datacoll/Forms/ptn-s.pdf http://www.ibr.tcu.edu/pubs/datacoll/Forms/ptn-d.pdf

Results Assessments

Full Name	Author	Description
The Managing for Results (MFR) Self-Assessment Tool	Unknown; from government of Canada	Five elements assessed. http://dsp-psd.pwgsc.gc.ca/Collection/BT22-88-2003E.pdf
Organizational Capacity Assessment Tool (OCAT)	Steve Collins of ACDI-VOCA's USAID-funded Kenya Maize Development Program	Uses a six-point rating scheme for governance, operations and management, human resources development, financial management, business services delivery, and external relations (43 items). http://www.worldbank.org/html/extdr/fertilizeruse/documentspdf/Organizational_Capacity_Assessment_Tool.pdf

U.S. Department of Justice
National Institute of Corrections

Washington, DC 20534

Official Business
Penalty for Private Use \$300

Address Service Requested

PRESORTED STANDARD
POSTAGE & FEES PAID
U.S. Department of Justice
Permit No. G-231



www.nicic.gov

National Institute of Corrections • 320 First Street, NW • Washington, DC 20534 • 800-995-6423