



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

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

APEX: Building the Model and Beginning the Journey

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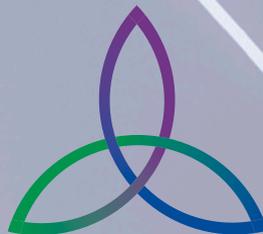
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APEX: Building the Model and Beginning the Journey

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Foreword

Managing correctional systems is one of the most challenging, unpredictable, and complex professions of any public or private management operation. As one of the largest recipients of public dollars, correctional organizations must answer the call to be prudent stewards of public resources and strive to be higher performing and dedicated to building their competencies, capacities, and systems toward achieving performance excellence.

Through extensive research and analysis, the National Institute of Corrections (NIC) is offering the field of corrections a comprehensive business model entitled the **APEX (Achieving Performance Excellence) Initiative**. The APEX Initiative is an agency-driven systems approach to building capacity for higher organizational performance, best practices, data-driven decisionmaking using multiple self-assessment tools, and a Guidebook series with strategies, interventions, and pathways. The APEX Public Safety Model presents a whole-systems view of a correctional agency.

The APEX Initiative includes the APEX Assessment Tools Protocol, the APEX Guidebook series, and the APEX Change Agent Training.

NIC hopes that the comprehensive APEX Initiative benefits your organization and offers guidance and resources for your professional journey to achieving performance excellence.

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 Corrections 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. 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 be piloted in early 2012. It will provide correctional agencies with capacity-building training and technical assistance in the APEX systems approach for organizational performance improvement.

APEX: Building the Model and Beginning the Journey, the introductory book in the Guidebook series, provides an overview of the series and an entry point into a vast array of resources that address organizational change and performance improvement.

Respectfully Submitted,



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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.

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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) 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; as well as giving 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 change readiness).

APEX Resources Directory Volume 1 and Volume 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. The *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: Overview to Achieving Performance Excellence

What would it look like if a correctional system was a high-performing organization? Imagine all of its agencies and departments functioning optimally. Perhaps the local residents would experience a lower crime rate, a decrease in the cost of housing individuals in their prison system, or fewer individuals on probation or parole returning to prison for violations. Jail officials might see fewer repeat offenders, and offenders would have access to more rehabilitative services. Management might see lower staff turnover and higher productivity as staff experience greater satisfaction in their work and increased investment in improving client outcomes. The National Institute of Corrections' (NIC) APEX: Achieving Performance Excellence Initiative helps correctional agencies enhance public safety and mission success. This comprehensive corrections-based model can help agencies begin moving their visions to action.

Examples of key performance outcomes that may result from engaging the APEX model include:

- Increasing facility safety and security through enhanced operations.
- Enhancing public safety due to increased client/offender success rates and reduction in recidivism.
- Reducing offender violence, both against staff and each other.
- Improving staff morale and job satisfaction.
- Decreasing staff turnover and absenteeism.
- Improving communication with internal and external stakeholders.
- Enhancing data collection and information for informed decisionmaking.
- Using fiscal appropriations more efficiently.

What Is APEX?

The APEX business model offers a systems approach to change specifically for correctional organizations. It provides multiple tools and strategies to build sustainable capacity toward higher performance, evidence-based practices, and data-driven decisionmaking. Safety and security are foundational principles of APEX. In addition, this model provides a pathway for agencies to create an organizational culture and a management environment that encourages innovative ideas to improve services, processes, and results. Participation in APEX provides opportunities to enhance mission and operational

APEX IS NOT

- ▶ APEX is *not* a report card nor an accreditation process.
- ▶ It will *not* require public disclosure of the agency's performance to compare with any other agency.
- ▶ It will *not* mandate actions.

success. Each agency develops its own timelines, commitments, goals, stakeholder engagement processes, evaluation processes, and success measures.

APEX Journey

APEX provides a vehicle for correctional leaders and staff to assess their organization and to build on their successes. The commitment to engage in the process must come from top agency leadership, with the support of internal and external agency stakeholders. This commitment must be systemic as staff and management examine and change their behaviors and activities. “Doing what we’ve always done” is no longer a viable organizational principle.

APEX Model

The APEX Public Safety Model reflects the shared vision and operating values of everyone working in any correctional system. The APEX model shares many of the same basic principles as the well-tested Baldrige Performance Excellence Program Criteria, with the added elements of Organizational Culture. The necessity of the safety and security element makes the correctional environment one of the most challenging in the world and is the reason that understanding and implementing the APEX Public Safety Model is so important.

The eight APEX model domains are:

■ Leadership

- How the organization accomplishes its legal, ethical, and societal responsibilities, including maintaining public safety and responsible stewardship of public resources.
- Top executives’ responsibilities for running and guiding the organization and its staff members.

■ Organizational Culture

- The values, norms, and assumptions of the organization as well as the ways that people behave toward one another in the organization.

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.

■ **Operations Focus**

- Safe and Secure Supervision and Settings: A strong emphasis on providing safety and security for staff and all stakeholders.
- Process Management: How the organization designs, manages, evaluates, and improves its work systems and varied work processes.

■ **Stakeholder Focus**

- How the offenders/supervised population and external stakeholders are engaged.
- Ability of the organization to create improved and innovative services.

■ **Workforce Focus**

- All aspects of workforce management, development, engagement, and environment.

■ **Strategic Planning**

- How the organization develops and manages its strategy, plans, initiatives, and implementation.

■ **Measurement, Analysis, and Knowledge Management**

- How the organization manages all of its data and information, including information technology and knowledge management systems, performance measurements, analyses processes, and responses.

■ **Results**

- Outcomes, including those involving stakeholders, finances, the workforce, and leadership, and how effective the organization is at achieving its mission and goals.

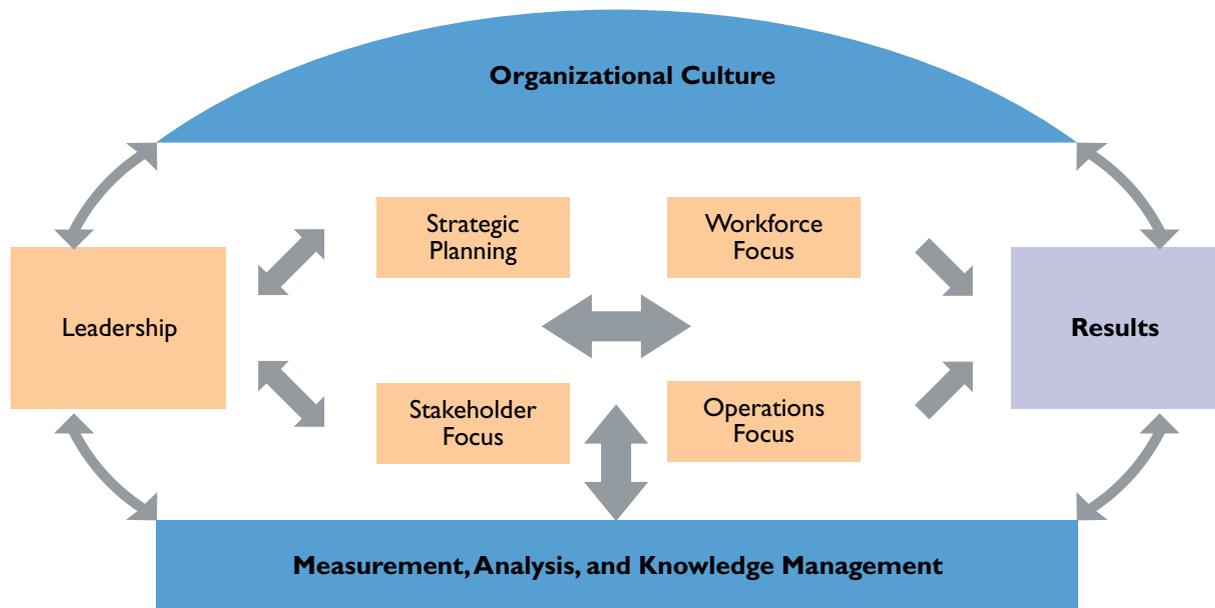
As exhibit 1 shows, everything points to the Results domain—a composite of stakeholder, cultural, financial, and internal operational performance results, including workforce, leadership, governance, safety, and social responsibility.

APEX Assessment Tools Protocol

The APEX Assessment Tools Protocol includes the APEX Screener, the APEX Organizational Profile, and the APEX Inventory. These self-assessment tools are based on the APEX Public Safety Model and the Baldrige Performance Excellence Program, providing correctional agencies with a durable framework for guiding, planning, and assessing their performance and results in challenging and rapidly changing times. The agency is solely in control of how the data are used or shared, with no expectation that they will be shared with NIC or any other entity.

- **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 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

Exhibit I: APEX Public Safety Model: Characteristics of a Higher Performing Correctional Organization



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.

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 help the executive team focus discussions on how the agency is performing in the eight APEX domains and how ready it is to begin a change process. They also provide enough information to enable the agency to create a systemic performance improvement implementation plan.

These tools provide 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. Agencies can choose to use only the tools they wish and base their implementation plans on those results. Once an agency is working on implementation, the assessment tools can be readministered to check progress.

Benefits of Implementing APEX

Whether your agency decides to use the self-assessment tools with the Guidebook series or the series on its own, implementing APEX can provide a wide range of benefits to correctional organizations. Increased performance standards, enhanced stakeholder results, more efficient use and stewardship of public funds, and a more engaged and productive workforce are just a few of the advantages that agencies may discover through APEX.

Staying the Course with the APEX Agenda

Achieving performance excellence is a process of commitment, support, and change. Agency leaders and staff must actively commit to and promote the change process; establish policies, procedures, and practices to institutionalize the agenda; influence the agency culture to embrace the change efforts; garner the support and commitment of stakeholders; and adapt and change to meet expectations and challenges. When bad things happen in corrections (and they do), avoid reverting to a defensive posture and an attitude of failure; instead, reinforce the commitment to APEX. Responsible leadership should acknowledge that an unplanned and negative event occurred, reinforce the agency's commitment to resolving the issue, and implement strategies to prevent a recurrence.

WHY APEX?

- ▶ APEX is an opportunity for the agency to assess and address its performance gaps.
- ▶ Leadership sets the agency agenda for achievable results through APEX.
- ▶ APEX offers strategies, pathways, resources, tools, and case studies to enhance competency.
- ▶ APEX encourages workforce and stakeholder engagement.
- ▶ APEX promotes open and multidirectional channels of communication.
- ▶ APEX is a process of commitment, support, and change.
- ▶ APEX is a journey—not a destination.

Chapter 2: APEX Leadership Domain

Leadership. Countless books have been written about it, and thousands of training courses exist (including those offered by the National Institute of Corrections' (NIC) Academy). Google offers more than 200,000,000 results! People encounter leadership every day, everywhere they go.

In 2008 and 2009, more than 80 practitioners were interviewed as part of an effort to identify the characteristics of a higher performing correctional organization. Every correctional representative mentioned leadership, many calling it the most critical component. They offered these characteristics as examples of higher performing leaders:

- **Politically savvy:** Knowing how to work in a political arena without succumbing to politics; thinking strategically and knowing when to influence and when to lead.
- **Open to learning:** Thinking and acting creatively; encouraging staff learning and innovative thinking; encouraging new ideas from inside and outside the organization.
- **Personally confident and secure:** Comfortable coordinating, facilitating, managing, and leading; having the courage to make tough or unpopular decisions, take risks, and be accountable for decisions.
- **Leaders by example:** Being dynamic; having good management skills; producing results.
- **Good communicators:** Having an open-door policy; encouraging communication up and down the organizational structure; listening and responding to staff concerns.
- **Organized:** Helping the organization face reality; creating buy-in and excitement for the mission and vision.
- **Encouraging and motivating:** Treating staff with respect; holding staff accountable and recognizing their contributions.

What Is Leadership?

Leadership is different from management. Managers tend to focus on day-to-day operational issues, whereas leaders focus on moving the organization to new and higher levels of performance while developing the organization's people.

Leadership is the art of encouraging people to work successfully to accomplish common goals. To do this well, those in leadership positions know that certain skills and competencies are required. Many of these are outlined in NIC's *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders* (<http://nicic.gov/Library/020474>), as well as in the APEX Guidebook, *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance*. Key competencies include the ability to think strategically, engage the workforce and stakeholders, lead and manage change, transform the organization, be a role model and lead according to ethics and values, develop others in the organization, and create a shared organizational vision.

Dealing collaboratively with the organization's external environment is critical to the success of executive leaders in correctional organizations.

Leadership in Corrections

Many correctional organizations' structures are based on a paramilitary, top-down relationship between leaders and followers: a chain of command and control. Yet a close look reveals that correctional leaders use various styles in addressing the complexities of leading in this challenging field. APEX presents four leadership styles that are effective in the hierarchical environment often found inside correctional agencies:

1. **Situational leadership** suggests that leaders move between task- and relationship-related behaviors.
2. **Distributed leadership**, at its most basic level, means that leadership is distributed throughout the organization and its staff.
3. **Transactional leadership** is based on the premise of exchange. In the workplace, the day-to-day interactions of staff and management can be described as a series of transactions.
4. **Transformational leadership** is a necessary component of higher performing organizations, inside and outside corrections. The transformational leader works to fully engage the workforce and stakeholders, inspiring them to work harder to help the organization improve.

Higher performing leaders are those who have the knowledge and skill to move from one leadership style to another, based on the circumstances, the people involved, and the needs of the organization.

Benefits of Exploring This Domain

Helping people practice good leadership is a key element of a higher performing correctional organization. Encouraging those in leadership positions to create shared visions, engage staff and stakeholders, support others in the organization as they develop their skills and knowledge, hold people accountable for performance, keep the focus on the mission and goals, and maintain a high ethical standard is good for the organization (including the clients/offenders, the workforce, and the leaders themselves). Leaders who do this will find themselves better able to navigate the challenging conditions of the 21st century correctional environment.

Chapter 3: APEX Organizational Culture Domain

Culture has historically been defined in different ways but is now commonly known as the shared assumptions, values, beliefs, attitudes, norms, and practices of an organization or group. Culture dictates “how things are done around here,” what is expected of people, and what is important to staff and leadership. Culture is communicated to people formally but more often through observation. If the current cultural norms help individuals gain acceptance from those around them, they will maintain these behaviors. What is true for individuals becomes true for collective groups; they learn how to act over time based on what helps them gain and maintain acceptance over the long run.

When the organizational culture no longer supports the work, people in the organization are faced with the complicated task of deliberately changing their own cultural norms and practices. A similar effect occurs when a new leader brings a new set of ideas to an organization or when an established leader tries to infuse staff with new thinking. Because cultures are learned based on gaining acceptance of what works, to change a culture the leaders have to show that something else works better. Implementing any systemic change requires an understanding of how the culture(s) within an organization operates. Ultimately, the short- and long-term success of any organizational change will rest on cultural adaptation.

One approach used with correctional agencies and proved to be a useful assessment tool is the Competing Values Framework for diagnosing and changing organizational cultures (Cameron and Quinn 2005). It suggests that the competing values every organization must balance are between an internal versus external focus and between structure and control versus flexibility and agility.

An organization that values an *internal focus* (the effective integration and a seamless unity of processes) and *stability and control* (reliability and clearly defined structures and roles) is considered hierarchical. Hierarchical cultures are typically found in correctional organizations. When an organization places the same high value on an internal focus but also highly values *flexibility and agility* (flexibility, discretion, and dynamic change), it is considered as having a “clan” culture.

Clan cultures feel more like family than hierarchical cultures. In hierarchical cultures, the emphasis is on doing things right, whereas in clan cultures the emphasis is on doing things together. A common problem in corrections occurs when an organization is perceived as too hierarchical and needs to become more clan-like in its operations, for example, when there is a need for more teamwork or eliminating the silos that are often created that keep information inside departments, to the detriment of the organization as a whole.

Whereas hierarchical and clan cultures are more internally focused, “market” and “adhocracy” cultures value an *external focus* (interacting with and/or competing against those outside the organization, such as customers, market competitors, and shareholders). These two outwardly focused cultures are more common in the private sector. The market culture values stability and control, whereas the adhocracy culture values flexibility and agility. In a market culture, the emphasis is on doing it fast; in an adhocracy culture, the emphasis is on doing it first.

The culture an organization adopts as its primary framework depends on how it achieves its goals. A company competing for business in an emerging high-tech field is more likely to prosper with an adhocracy culture and the leadership style and workforce development strategy that fits that type. The leadership style that works within an adhocracy is characterized by constant innovation and an entrepreneurial approach that stresses experimentation, risk-taking, organizational agility, and continual reinvention. Such an organization would recruit, develop, and promote staff who thrive in an ever-changing workplace.

A correctional agency cannot adopt the same style, although even the most hierarchical organization might benefit from a little experimental risk-taking. In fact, borrowing an element from a different cultural type and experimenting with it is one basic strategy for changing an organization's culture. Focusing on results, for example, is a way for an internally focused organization, such as a correctional agency, to move on the grid in an externally focused direction. Workforce development, on the other hand, could move the same organization in a more clan-like cultural direction.

The Competing Values Framework model encourages users to think through strategies to manage and change organizational cultures. Most organizations mix different cultural types depending on the roles and functions of the departments or divisions in the organization. For example, in correctional facilities, line-level custody staff have a different subculture from that of the central office. A strength of the Competing Values Framework is the Organizational Culture Assessment Instrument (OCAI), an easy-to-use questionnaire designed to help organizations plot their location on the cultural grid. This is incorporated into the APEX Inventory assessment tool and can also be found online at <http://www.ocai-online.com/products/ocai-one>.

Cameron and Quinn (2005) list four organizational development strategies that create a positive and higher performing organizational culture:

1. Create a positive tone in the organizational climate.
2. Promote positive interpersonal relationships with and between staff.
3. Stress positive communication at all levels of the organization.
4. Infuse purpose and meaning into the work life of all staff.

Cultures are learned and maintained because they seem to work; new cultures have to be learned and will be maintained if they work even better. It is unwise for an organization that has basic deficiencies or issues that could be resolved with simpler improvements to try large-scale efforts to change. If, however, an organization is ready to undertake such a transformation, it is crucial to its long-term success that it implements the change correctly.

Benefits of Exploring This Domain

Changing organizational culture requires that you do not try to change the culture itself. Rather, you work to change behavior. When the new way of doing things works better than the old way did, successful change occurs. Resistance to change, even sharp conflict within the organization, is part of the process—the growing pains. Taking the time and energy to work through issues as they present themselves throughout installation and implementation will provide the organization with the essential knowledge to proceed to full implementation and sustainability of its culture change.

Reference

Cameron, K., and R. Quinn. 2005. *Diagnosing and Changing Organizational Culture*. San Francisco, CA: Jossey-Bass.

Chapter 4: APEX Operations Focus Domain

The Operations Focus domain encompasses two vital dimensions for a correctional organization's success: (1) maintaining safe and secure supervision and settings, and (2) understanding and managing the processes that drive performance. This domain addresses how the work of the organization is accomplished in support of its public safety mission and examines how an organization designs, manages, and improves its key work processes and the work systems of which they are a part. It also stresses the importance of core competencies and how to protect and capitalize on them for success and organizational sustainability while remaining prepared for potential emergencies.

Safe and Secure Supervision and Settings

Correctional organizations are charged with protecting the public by providing administrative and operational systems for the safety of staff and with the safekeeping of individuals who are committed for supervision and treatment. Correctional leaders are increasingly challenged to find ways to be more effective and cost efficient and more responsive to public expectations of what safety and security entails. APEX provides the model for building organizational capacity and competency and achieving higher levels of performance in these areas.

Safe and Secure Supervision and Settings Defined

Corrections, and the social control it embodies, represents one of the last lines of defense for government and its citizens for a safe, orderly, and law-abiding society. In addition to being responsible for protecting society, correctional agencies are legally responsible for providing a safe and secure environment for the people who live and work within facilities. Whether it is a secure facility or a nonsecure community supervision environment, maintaining safety is paramount. This dimension of the Operations Focus domain reinforces standards of policy, practice, and response strategies. The dimension's three core areas follow:

Management of Public/Staff Safety and Security Procedures

- Use the APEX Assessment Tools to identify agency performance gaps related to safety, security, and good order in correctional systems.
- Ensure mission-driven safety and security policies, work systems, and practices through the role of leadership.
- Build staff competency and capacity through effective hiring, promoting, and training in these areas in accordance with policies and best practices.
- Assess organizational culture to support safety and security operations.

Management of Individuals and Populations Under Supervision

- Use validated risk/needs assessments for classification and management.
- Provide just and humane supervision and treatment in accordance with the U.S. Constitution and best-practice standards.
- Implement a continuum of control/use of force system to guide staff in responsive decisionmaking.

Management, Control, Operations, and Security of Correctional Environments

- Sustain safe, clean, well-maintained, and orderly physical settings.
- Maintain security systems, equipment, supplies, tools, technology, and other necessary operational processes and items.
- Ensure compliance with environmental health and safety codes and practices.
- Use effective staffing analysis and staff deployment.
- Implement comprehensive emergency and incident command procedures.

Benefits of Exploring Safe and Secure Supervision and Settings

The Operations Focus domain can be viewed as the heart of the APEX Public Safety Model, and sustaining safe and secure environments—one of the domain’s two key dimensions—is a key function for correctional success. APEX recommends that agencies use a systems approach when reviewing safety and security so that all aspects of operations are considered. By using the APEX Assessment Tools, practitioners will be able to identify key areas in need of improvement that can be addressed with strategies and interventions referenced in the APEX Guidebook series.

Each of the dimension’s three core areas—management of public/staff safety and security procedures, management of individuals and populations under supervision, and management, control, operations, and security of correctional environments—has implications for implementing policies, procedures, work systems, work processes, and best practices that work congruently with the other APEX domains to achieve organizational high performance.

Process Management

High performance runs on sound process management because everything that an agency does can be explained as a process. Ideally, these processes, often described as work systems and work processes within larger operations, tie directly to and support the agency’s mission. This dimension of the Operations Focus domain explains why process management is a mission-critical discipline.

Process Management Defined

Process management addresses how the work of a correctional organization is accomplished. It examines how the organization designs, manages, and improves its key work processes and the related work systems. For example, if offender classification is a primary work system, a process management approach defines how the agency defines, organizes, and manages the classification system and which work processes are needed to support and sustain successful operations. The work systems and processes are tied to the overall mission and strategy. Three kinds of process management activities are involved: building effective and efficient work processes; crafting strategies, tactics, and activities to implement and manage these processes; and measuring the effectiveness of these processes and adjusting them as needed. When the upfront performance requirements and expectations are tied to actual performance outcome measurement, continuous performance improvement generally follows.

The elements of process management include:

- A leadership mindset.
- An integrated whole.
- Tactical planning and strategy development.
- Information and analysis.
- A human resources focus.
- Output and outcome drivers.
- Identification of key processes and systems.
- Process mapping.
- Evaluation of work processes.

Benefits of Exploring Process Management

Correctional organizations are complex social entities. Examining process management will give organizational leaders a toolkit of ideas, strategies, and suggested processes to enable them to refine their work systems and processes for performance improvement. Additionally, emergency preparedness and the strengthening of core competencies for the prevention and management of, continuity of operations during, and recovery from unexpected critical events are reinforced.

Chapter 5: APEX Stakeholder Focus Domain

In higher performing correctional organizations, the engagement of various stakeholders (e.g., incarcerated individuals, clients, offenders, customers, labor organizations, media, legislators, volunteers) is critical for the support of an agency's agenda. The success of an agency's mission relies in part on the investment and commitment made by its stakeholders. The Stakeholder Focus domain has two aims:

- 1. Obtain and analyze information from the stakeholder.** Create opportunities for communication, dialogue, information sharing, and feedback from both internal stakeholders (e.g., staff, labor unions, supervised population) and external stakeholders (e.g., media, legislators, the public, advocacy groups). Identifying formal and informal avenues for communication, such as the inmate grievance system or community public safety meetings, allows agencies to learn stakeholder concerns for redress.
- 2. Engage stakeholders to serve their own needs and the needs of the organization and to build productive relationships.** Identify key stakeholders who have influence with agency operations. Build productive and supportive relationships by developing effective and proactive lines of communication. Whether working directly with offenders to reduce recidivism or with individuals or groups in the community to support reintegration services for offenders, it is critical to the mission that stakeholders engage in the effort. Identify the needs of the agency and all stakeholders and work together to determine how best to meet those needs.

Benefits of Exploring This Domain

The demand from stakeholders for correctional agencies to be more transparent and collaborative in their operations is increasing. Correctional agencies cannot expect to be successful without an understanding and appreciation of and commitment to engaging interested and influential stakeholders. Listening to and communicating effectively with these individuals or groups for support and investment and gaining their knowledge and their agreement and compliance with key agency goals are beneficial. Engagement provides avenues for resources, programs, and services and builds collaborative partnerships with stakeholders to help reduce recidivism, improve lives, strengthen families and communities, and enhance public safety.

Chapter 6: APEX Workforce Focus Domain

Creating an environment that engages the workforce intellectually and emotionally is key to meeting a correctional organization's overall mission and objectives. When workers are motivated to achieve performance excellence, both the recipients of services and the organization benefit. Personal engagement, performance, and the well-being of employees are affected by positive interpersonal and workplace support as well as the organizational climate and culture.

The Workforce Focus domain concentrates on engagement and an organization's efforts to select, motivate, compensate, recognize, and reward employees for higher levels of performance while developing competent future leaders. It also addresses an organization's ability to assess workforce capability and capacity needs and build a workforce environment conducive to higher levels of performance. This domain examines how an organization engages, manages, and develops the workforce to reach its full potential in aligning with the organization's mission, strategy, and action plans.

Workforce capability refers to the organization's ability to accomplish its work processes through the knowledge, skills, abilities, and competencies of its employees. Capability may include the ability to build and sustain relationships with stakeholders, transition to new technologies, develop new services and work processes, and meet the constant demands confronting correctional systems. *Workforce capacity* refers to the correctional organization's ability to ensure sufficient staffing levels to accomplish its mission.

Workforce engagement refers to the extent of employee commitment—emotional and intellectual—to accomplishing the work of the organization. The characteristics of high-performance work environments, in which employees do their utmost, are key to understanding an engaged workforce.

By using the APEX Assessment Tools, an agency can identify performance gaps related to building an effective workforce environment. This includes workforce capability and capacity needs, a safe and supportive work environment, career development, benefits, counseling, and other complimentary services. The goal of workforce engagement is to enable and encourage all workforce members to contribute to the best of their abilities. Effective organization systems foster high performance, address core competencies, and help to accomplish action plans and ensure organizational systems' sustainability.

Benefits of Exploring This Domain

The success of any organization rests with the dedication, efforts, and competency of the workforce. Identifying the performance gaps related to this domain enables organizations to implement strategies to improve their workforce environment. Aligning these processes to the mission, vision, policies, and procedures, as well as the culture and values of the workforce, facilitates workforce satisfaction, commitment, and individual performance.

Chapter 7: APEX Strategic Planning Domain

As correctional organizations move toward higher performance, leaders discover that they need to involve staff, as well as select stakeholders, in their planning process. This enables them to create a vision of the future that links their mission statement to agency objectives and goals and identifies strategies and actions to accomplish them. It engages staff and stakeholders in creating the plans, giving them a personal stake in implementing them—rather than trying to force staff to accept plans that have been developed without their input and participation. Just as a roadmap lays out the course of direction for travel, strategic planning is the process that directs an organization toward achieving its goals and objectives. In a strategic plan, correctional organizations identify how they want their organization to look at some future time, consider the obstacles to getting there, develop strategies to overcome those obstacles, and create action plans to ensure implementation and sustainability.

Strategic planning is an approach to preparing for future success and involves a strategy development process, identification of strategic objectives, action plan development and deployment, and performance projections. This planning is the best way to bring focus and direction to an organization and its staff.

Strategic planning can be approached in various ways. Some choose to have the leader or the executive team develop the plan, whereas others choose to engage staff and stakeholders as participants in the strategic plan development process. Consider using a structured approach that includes the components of a strategic planning process recommended by the APEX Initiative. These components include:

- **Strategy development:** Ensure that it is systemic, comprehensive, and future oriented; that stakeholder engagement is accounted for; that the agency mission, vision, and values are clearly defined; and that it includes timeframes, goals, and measurements.
- **Implementation:** Develop action plans, with periodic reviews; create performance projections, measures, and a method for addressing performance gaps; and develop resource allocation and workforce plans.
- **Engagement:** Engage, and include when possible, key stakeholders for support and input.
- **Communication:** Develop and implement a communication plan with ongoing updates.

Benefits of Exploring This Domain

Strategic planning addresses the implementation of plans, how to procure the resources necessary to accomplish these plans, how accomplishments are measured and sustained, and how plans are modified when circumstances require change. A strategic plan serves as a roadmap for staff to follow in support of the organization's mission, vision, values, and policies. It supports the organization's goals to be more focused, effective, efficient, and successful in meeting the demands of public service, good stewardship of public resources, and public safety.

Chapter 8: APEX Measurement, Analysis, and Knowledge Management Domain

The Measurement, Analysis, and Knowledge Management domain focuses on the selection, accumulation, analysis, and management of data to continuously improve a correctional organization's information quality and knowledge assets. This chapter explains how information technology and data analysis support evidence-based practices to improve safety, security, and operational performance while informing sound, realistic, and supportable strategic planning. Noting not only what has changed but also how it has changed provides correctional organizations with powerful information. This domain addresses two core areas:

- 1. Measurement, analysis, and improvement of organizational performance.** These functions are integral in correctional organizations, so much so that levels of performance achievement vary with the quality of information management, organizational knowledge, and information technology. The more effectively an agency aligns its strategies, structures, systems, and operations with its mission and strategic objectives, the higher its performance levels tend to be.
- 2. Management of information, knowledge, and information technology.** Correctional organizations must be able to trust information accuracy, integrity, reliability, timeliness, security, and confidentiality. This requires making needed data user friendly and available to the workforce and stakeholders. In addition, managing the transfer of organizational knowledge in support of the agency strategy and ensuring that appropriate information resources and technology are available, especially during an emergency, are essential to higher levels of performance.

This domain stresses the importance of maintaining a deliberate focus on how the organization measures and analyzes information and uses it to guide work processes, improve performance, and sustain organizational change. This supports a migration toward the healthy cultural and leadership conditions that are integral to higher levels of performance and exemplifies the desired behaviors referenced throughout the APEX Guidebook series. Using and relying on sound data is a direct and irrefutable way to build the desired behaviors that precede attitudes prevalent in evidence-based culture.

Benefits of Exploring This Domain

The relevance of this domain to achieving higher levels of performance is summed up in this quote:

Measurement is the first step that leads to control and eventually to improvement. If you can't measure something, you can't understand it. If you can't understand it, you can't control it. If you can't control it, you can't improve it.

—H. James Harrington

Correctional agencies that perform well in measurement, analysis, and knowledge management find that they:

- Make decisions based on factual information.
- Know that what they are measuring are real indicators of performance.
- Easily track and share performance indicators and results with staff and select others so all can see how units and the organization are doing on both a daily and longer term basis.
- Are able to use the results of performance reviews and analyses to inform their strategic planning and goal setting.
- Build trust with stakeholders, including their governing agencies and/or boards, through ongoing, accurate data collection, analysis, and reporting.
- Ensure that client files are up to date and readily available to all departments and staff who need access to them, avoiding the lag time and delays for supervised individuals in accessing treatment and services.
- Allow staff to benchmark best practices and compare their performance with other agencies that provide similar services and functions.

For more information and an example of how components of this domain are implemented in correctional agencies, please refer to the Association of State Correctional Administrators' *ASCA Performance-Based Measures Resource Manual* at http://asca.net/system/assets/attachments/2087/PBMS_Resource_Manual-1.pdf?1296162751.

Chapter 9: APEX Results Domain

Results, the eighth domain of the APEX Public Safety Model, summarizes the organization's progress toward its identified mission, goals, performance, and improvement in five key areas:

- **Operations outcomes** include end-of-process measurements of offender and staff relationships, offender engagement in programming, and recidivism. Outcomes include measurements for assessing the success of process designs and their management, implementation, and subsequent improvement.
- **Stakeholder-focused outcomes** include all the data that reflect performance results of interest to stakeholders. Outcome measurements are available for review, demonstrating progress and improvement in outcomes, addressing stakeholder complaints, and relating the leadership's achievement of organizational goals.
- **Workforce-focused outcomes** demonstrate how well an organization creates and maintains a productive learning environment. They include measurement of four major areas of staff management: capability, capacity, climate, degree of engagement, and staff development.
- **Budgetary and financial outcomes** reflect how well the organization uses its fiscal resources, maintains fiscal accountability and sustainability, and achieves goals within available resources.
- **Leadership and governance outcomes** demonstrate that the organization is fiscally sound; meets regulatory, ethical, and legal compliance; and has societal responsibilities toward public safety and good order.

Benefits of Exploring This Domain

Now more than ever, correctional organizations must demonstrate their efficient and effective use of public funds and resources. They are accountable for ethical leadership, effective operations and strategy, efficient work processes, staff safety and development, offender management, and risk reduction. Establishing systemwide performance measures is critical, but using these performance measures to effect the desired mission-driven outcomes of performance improvement is vital to achieving performance excellence.

Chapter 10: Developing a Communications Plan

Developing and implementing any change process requires effective communication between those who are initiating the change and those who will be affected by it. The size and intensity of the change effort does not matter. Any change, from full adoption of the APEX Initiative to the development of a new intake process, requires a carefully thought-out and developed communications plan. Understanding the importance of the what, how, and why of the change effort, who will be affected by it, and its benefits and challenges is critical for success. An agency communications plan is essential to implementing and sustaining significant organizational change. It is not enough for the agency leader to deliver “the message”; internal and external stakeholders must be engaged in promoting the agenda.

What Is in a Communications Plan?

A well-thought-out communications plan includes:

1. Objectives

Step 1: Articulate the rationale, benefits, and goals of the change initiative.

Step 2: Identify all internal and external stakeholders who can influence the organization’s success and their level of support for the change initiative.

Step 3: Identify the communication objectives for each stakeholder group.

2. Message

Step 4: Formulate the message to address the communication objectives for each stakeholder group.

3. Plan

Step 5: Deliver and reinforce the message.

Step 6: Encourage open communication with stakeholders, including feedback processes.

Step 7: Assess the outcomes of the communications plan.

Objectives

Step 1: Articulate Rationale, Benefits, and Goals

“Doing what we’ve always done” is no longer acceptable. Agency leaders, communications officers, and others identified by the agency need to develop a clear introduction to the agency’s change effort.

Rationale for Change

Many correctional staff and stakeholders resist change, yet say “they want things to get better.” Leaders in agencies embarking on organizational change need to be able to answer questions such as these:

- Why does the organization value higher performance/the change effort?
- How is this related to the agency’s vision, mission, values, and strategy?
- Why are we doing this?

Benefits of Change

With all the challenges confronting correctional agencies today, why begin this change process? Correctional leaders recognize that organizational change can lead to great benefits once they commit to the process of self-assessment and use the results to develop a strategy for moving the agency to higher levels of performance. Some examples of key performance outcomes that may result from a change process include:

- Increased facility safety and security through enhanced operations.
- Decreased staff turnover and absenteeism and improved morale.
- Reduction in offender violence.
- Enhanced public safety due to increased offender success rates and reductions in recidivism.
- Improved communication with internal and external stakeholders.
- Enhanced data collection/information for informed decisionmaking.
- Demonstrated public confidence in the agency leadership and operations.
- More effective media relations.
- More efficient use of fiscal appropriations.

Goals

Specific and measurable goals are an important component of any initiative and can include, for example, creating a policy for decreasing revocations, increasing staff retention by 15 percent, or lowering the recidivism rate by 10 percent.

Step 2: Identify Internal and External Stakeholders

Early identification of stakeholders and their positions allows agency leaders to develop strategies to increase stakeholder engagement and to begin to address any concerns, especially from those who are less than supportive. Stakeholder mapping is a useful tool for identifying who the agency's stakeholders are. Stakeholders can be sorted into groups with similar interests and by the amount of impact they may have on the change effort.

A simple way to identify stakeholders is to have a brainstorming session and write down each stakeholder anyone in the room comes up with. The next step is to identify the most important stakeholders, those who could have the most impact on the initiative. Then they can be sorted into groups with common interests and/or traits.

Key stakeholder analyses determine stakeholders' attitudes toward the organization or the change effort. This type of analysis often looks at the type and degree of each stakeholder's influence and enables the agency leaders and/or communications officers to determine the type of communications focus that each stakeholder group will require (see, e.g., exhibit 2).

Exhibit 2: Stakeholder Analysis

Stakeholders	Degree of Influence*	Communications Focus
Internal Stakeholders		
Staff	1	Engage and participate
Clients/Offenders	2	Engage and participate
Middle Management	1	Engage and participate
Labor Unions	2	Engage
External Stakeholders		
Client/Offender Families	2	Inform and engage
Legislators	1	Inform
Other Public Agencies	2	Inform
Government Budget Office	1	Inform and engage
Private Agencies	3	Inform and engage
Advocacy Groups	3	Inform
Media	2-3	Inform
Citizens	2-3	Inform
Vendors/Contractors	3	Inform

* Degree of stakeholder group influence: 1 = high, 2 = medium, 3 = low.

The thoughtful assessment of stakeholders and their degrees of support enables more focused communications objectives, message content, and delivery methods. Strategies can be developed for each stakeholder group to most effectively use the agency's communications resources, depending on whether the focus is to inform, engage, and/or encourage participation.

Step 3: Identify Communication Objectives

The communication objectives need to be tailored to each stakeholder group, depending on their level of influence, power, and support. Is the message intended to persuade, inform, educate, create participation, influence, change perceptions, influence behavior, engage, garner support, address concerns, or establish ambassadors of change? These objectives inform the content of the various messages.

Message

Step 4: Address the Communication Objectives

The message can be formulated, based on the stakeholders' assessments and the identified objectives, to effectively meet the agency's communications goals and proactively address any issues and concerns.

A message designed to *inform* legislators, citizens, or vendors, for example, could look like this: "Technical violations increased by more than 15 percent in the past 2 years for the county probation office. This has adversely affected our clients' success, increased the workload of our officers and the number of days clients spend incarcerated, and driven costs up. This has not increased public safety, based on the number of new offenses committed by clients. We are looking at changing our technical violation policy and procedure to ensure that revocation is a last resort and that we develop additional sanctions for violations that do not involve a new offense."

A message to *inform* and *engage* client families could read this way: "As you know, the number of people who have had their probation revoked due to technical violations has been increasing lately. We know this affects you and your family negatively. We are looking at changing our policies and procedures so that parole is revoked only as a last resort. With your help, we'd like to determine how we handle violations that do not involve a new offense. You may have some good ideas and your involvement in this policy review will be an important way to help us take the needs of everyone, including families, into account when we begin to identify needed changes."

A message to invite clients to *participate* could read this way: "As you know, technical violations have increased lately. Perhaps your own probation was revoked over a seemingly minor issue. Having to spend time in jail is disruptive to you and your family. We want to change our policies and procedures so that parole is revoked only as a last resort and so that other steps will be taken for violations that do not involve a new offense. Your opinion is very important. How can we best serve your needs and maintain public safety? Your ideas and support will be important as we move forward."

A message to staff to *inform* them on how work will look during this process might look like:

"As you know, we are looking at changing our technical violation policy and procedures to ensure that revocation is a last resort and we are developing additional sanctions for violations that do not involve a new offense. We anticipate that this will improve client success rates and decrease the paperwork for officers as well as decrease the

number of days incarcerated. During the review, new policy development, and initial implementation period, we'll let you know immediately when new procedures are required so you can follow them with as little disruption to your workday as possible.”

Plan

Step 5: Deliver and Reinforce the Message

The communications plan includes multiple formats and opportunities to deliver the agency message to its stakeholders. These may include one-on-one meetings, e-mails, website notices, postings, paycheck attachments, memos, letters, brochures, policy changes, media releases, videos, training, newsletters, rollcall announcements, staff meetings, and so forth. The message must exhibit the full support of the agency leadership and be reinforced multiple times in multiple formats.

Message delivery strategies can include:

- Conducting speaking engagements with external stakeholders (e.g., civic groups, criminal justice agencies, business leaders, community leaders).
- Meeting with leaders of public agencies.
- Meeting with media representatives (e.g., print, television) and inviting them to speaking engagements.
- Meeting with contracted service providers.
- Developing a video that promotes the change initiative.
- Establishing agency/facility committees to target performance excellence.
- Posting progress reports in agency newsletters, other media sources, and websites.
- Posting pamphlets and signs in facilities and offices promoting performance excellence.

See exhibit 3 for an example of this part of the communications plan—message delivery strategies.

Step 6: Encourage Open Communication

Audiences need the opportunity to reflect on and respond to messages. Offering opportunities for feedback encourages support for and cooperation with the change efforts and increases interaction with key stakeholder groups. In the policy-driven world of corrections, staff and those under supervision need to have a voice in how they will work and live.

The development of a menu of formats to deliver the messages with ongoing reinforcement and repetition is critical. For the key stakeholders, one-to-one communication with the agency leadership may be the initial contact. Other formats, including memos, progress reports, newsletters, and public service announcements, can be used to reinforce engagement and support. Agencies should actively seek and respond to stakeholder voices. Ongoing communication with stakeholders is critical; it enables them to provide feedback on what they hear and read. Deliberate and ongoing communication will enhance support for implementing the change initiative.

Exhibit 3: Message Delivery Strategies

Stakeholders	Degree of Influence*	Communications Focus
Internal Stakeholders		
Staff	1	Briefings from immediate supervisors, meetings, newsletters, rollcalls, focus groups
Clients/Offenders	2	Unit meetings, postings, focus groups
Middle management	1	Meetings, newsletters, focus groups
Labor unions	2	Letters
External Stakeholders		
Client/Offender families	2	Letters, postings in visiting areas, focus groups
Legislators	1	Meetings, letters, memos
Other public agencies	2	Letters, meetings
Government budget office	1	Meetings, letters, documentation
Private agencies	3	Letters, meetings
Advocacy groups	3	Letters
Media	2–3	Editorials, interviews
Citizens	2–3	Editorials, website postings
Vendors/Contractors	3	Inform

* Degree of stakeholder group influence: 1 = high, 2 = medium, 3 = low.

Step 7: Assess Outcomes

Any well-planned initiative needs to have an evaluation process. Success measures and outcomes need to be carefully identified, defined, collected, and analyzed. These outcomes and results inform adjustments and modifications to the communications plan.

If the goal is to gain the support of a particular group of key stakeholders, measures such as the type and amount of feedback or the number of supportive actions by the group (e.g., public testimony, media comments) indicate success. Stakeholders who become ambassadors of the change initiative demonstrate agency success in successful communication, stakeholder engagement, and feedback. The number of downloads of a website posting is one way to measure how many people are being informed about the initiative.

A Sample Communications Plan: Enhanced Technical Violation System

A quick survey of the vast landscape of things that can go wrong in a modern-day correctional system is revealing. Not only can a flawed communications strategy contribute to the problem but, in many cases, an effective communications plan could have prevented it in the first place. Correctional systems are under close oversight by the courts, regulatory agencies, and state and federal legislators as well as scrutiny from the media and the public. Correctional organizations are now expected to be effective, efficient, accountable, and transparent—all at the same time. When resources are constrained, public sector agencies, and correctional agencies in particular, face three major challenges. They must:

1. Demonstrate prudent stewardship of the taxpayers' money.
2. Demonstrate a strong commitment to public safety.
3. Play a lead role in reducing criminal activity in our communities.

This is no small task. The most successful correctional agencies are those whose staff and leadership master a proactive and comprehensive agenda to address the expectations that stakeholders demand. Their work calls for performance excellence in the daily administration of correctional organizations.

Developing a standard action plan to roll out the communications plan will keep the initiative on track. Part of this plan is identifying the desired results and developing measurements to assist in the analysis of the data to gauge the actual outcomes with the desired results. A communications action plan may have several components to address myriad activities.

Once an agency's leadership decides to embark on the journey to higher performance, developing a communications plan is critical to ensuring that the agency gains the support necessary to meet its goals and objectives. Without thoughtful planning and implementation of a strategy, the path to higher levels of performance may be met with resistance by influential stakeholders. With a solid communications plan, the agency will be able to enhance the support for and the success of the change management process necessary to sustain progress.

Exhibit 4 shows how one agency set up a communications plan matrix:

Goal: Implement an enhanced technical violation system (ETVS).

Objective: Implement a communications plan to increase and ensure stakeholder support.

Exhibit 4: Communications Plan Matrix

	Steps	Actions	Responsible Party	Progress	Date	Outcomes
1	Benefits of ETVS	Identify benefits and goals; report	Executive team	Executive team meeting scheduled 10/10	11/01	Report on benefits and goals by 11/01
2	Identify stakeholders	Conduct stakeholder analysis and force field analysis; report	OD director and management team	Meeting with eight managers as team participants	10/15	Report on stakeholder analysis and force field analysis by 11/01
3	Identify communications objectives	Review OD team report and develop communication objectives for key stakeholders	Executive team and PIO	Executive team meeting	12/15	Report on communications objectives by 12/20
4	Formulate messages	Review OD report and communication objectives	Executive team and PIO	Meeting scheduled	1/4	Messages to key stakeholders drafted
5	Deliver messages to stakeholders	Develop message content and delivery formats to stakeholders; deliver message to stakeholders	Executive team and PIO director	Message and format determined for key stakeholders; messages delivered	1/15	Messages delivered to stakeholders in multiple formats and schedules
6	Solicit stakeholder feedback	Hold focus groups; do surveys; conduct interviews	OD and PIO directors and staff, select managers and line staff	Continuous followup with stakeholders and requests for feedback	2/1	Stakeholders provide feedback
7	Measure and analyze outcomes	Develop desired outcomes; measure and report	OD and PIO directors and executive team	Report on outcomes monthly	Monthly reports on 15th	Outcomes support ETVS Initiative

Note: ETVS = Enhanced Technical Violation System; OD = Organization Development; PIO = Public Information Office.

Book Summary

This book—*APEX: Building the Model and Beginning the Journey*—introduces the APEX Guidebook series. The goal of this series is to help correctional agencies design their individual paths to higher performance, set a course for successful change management, and provide resources to enhance implementation efforts. This book describes the APEX Public Safety Model—a systems approach for improving performance, highlights the APEX Assessment Tools Protocol, and details communications planning.

The eight domains in the APEX model follow:

- **Leadership** introduces good leadership practices, especially as they relate to corrections. Different styles, including situational, distributed, transactional, and transformational leadership, are introduced.
- **Organizational Culture** involves discerning what an organization values and determining its focus: internal or external, with emphasis on stability and control or flexibility and agility. Discerning the cultural focus of an organization and figuring out how to expand it helps an organization to achieve its goals.
- **Operations Focus** looks at safe and secure supervision and settings, and understanding and managing the processes that drive performance.
- **Stakeholder Focus** includes both internal and external stakeholders and their roles in the success of an agency. How to engage and communicate with stakeholders is addressed.
- **Workforce Focus** involves both the capability and capacity of those involved in the organization as well as the engagement of the employees to accomplish the work of the organization.
- **Strategic Planning** looks at planning and preparing for future organizational success, while bringing focus and direction to the current organizational processes.
- **Measurement, Analysis, and Knowledge Management** focuses on how measurement and data analysis help an agency align its strategies with its objectives in the pursuit of higher performance as well as how to manage information and the technology involved.
- **Results** shows how an agency can summarize progress with regard to operations, stakeholders, the workforce, finances, and leadership.

Communications, a key component in any change process, is highlighted in chapter 10. A process for developing a communications plan is presented along with correctional examples.

This overview of the APEX Initiative is just the first step. Now it is time to decide what the next step will be: agency self-assessment with one or more of the APEX Assessment Tools; moving right into developing a change plan using the APEX Change Management Process, presented in *Culture and Change Management: Using APEX To Facilitate Organizational Change*; or directly to one of the APEX Resources Directories to find resources to help deal with issues that the agency has already identified.

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

Nancy Cebula is the owner of and principal consultant with People in Charge. 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.

Theresa Lantz has more than 35 years of experience in the correctional field. Beginning her career as a correctional officer, she served in many public service roles, including counselor, training director, NIC program specialist, warden, and deputy commissioner, culminating with her appointment as the Commissioner of the Connecticut Department of Correction for more than 6 years. Since retiring from full-time public service in 2009, Theresa has been a criminal justice consultant on training, expert witness issues, facility operation and audits, and project development.

Tom Ward has more than 35 years of experience in organizational development, change management, and program and operations management in public, private, and nonprofit organizations. His recent work has involved consulting work with senior management teams and policy as well as operational staff in the U.S. Marine Corps, the U.S. Navy, and the National Archives. Areas of consulting and research emphasis include large-scale organizational change, development of high-performance executive leadership teams, project and change management, workforce engagement, organizational work culture, and design and delivery of leadership development programs.

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