**U.S. Department of Justice**
National Institute of Corrections

Achieving Performance Excellence (APEX) Guidebook Series

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

# APEX Resources Directory Vol. 1:

## Change Management and the APEX Domains

NIC
National Institute of Corrections

**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*

# APEX Resources Directory Vol. 1:

## Change Management and the APEX Domains

Nancy Cebula
Elizabeth Ritter
Editors

People in Charge LLC

NIC Accession No. 025302
September 2013

This manual was developed under cooperative agreement award 11AD01GKF8 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:* Cebula, Nancy, and Elizabeth Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

# Contents

**Foreword** ..... **xi**
**Preface** ..... **xiii**
**Acknowledgments** ..... **xvii**
**Introduction to Achieving Performance Excellence** ..... **xix**
APEX Guidebook Series Overview ..... xix
APEX: Building the Model and Beginning the Journey ..... xix
Culture and Change Management: Using APEX To Facilitate Organizational Change ..... xix
Understanding Corrections through the APEX Lens ..... xx
Achieving Performance Excellence: The Influence of Leadership on Organizational Performance ..... xx
Applying the APEX Tools for Organizational Assessment ..... xx
APEX Resources Directory Volumes 1 and 2 ..... xx
How To Use APEX ..... xxi
**Chapter 1: Introduction** ..... **1**
**Chapter 2: NIC Resources** ..... **3**
NIC Information Center ..... 3
The Library ..... 3
Research Assistance ..... 4
Corrections Community Website ..... 4
**Chapter 3: Change Management** ..... **5**
Introduction ..... 5
APEX Public Safety Model ..... 5
A Systems Approach: APEX Domains as a Lens ..... 6
APEX Change Management Model ..... 9
Tools and Interventions ..... 13
Resistance to Change ..... 13
Strategies to Help Staff Members Deal with Change ..... 14
How to Quickly and Effectively Analyze Change Efforts ..... 15
Creating Your Own Intervention ..... 15
Additional Resources ..... 19
Case Studies ..... 19
Change Management Assessments ..... 23

Chapter References ..... 24
Change Management Bibliography ..... 24
Web Links ..... 29
**Chapter 4: Leadership ..... 31**
Introduction ..... 31
Guiding Questions ..... 31
Tools and Interventions ..... 33
Assessing and Identifying Leadership Styles ..... 33
Assessing and Engaging Leadership Strengths ..... 38
Transformational Leadership and Adaptive Change ..... 40
Building the Ability to Lead ..... 43
Leadership Practice Interventions ..... 51
Leading a Team: A Decisionmaking Process ..... 55
Additional Resources ..... 56
Case Studies ..... 56
Leadership Assessments ..... 65
Journals ..... 69
Chapter References ..... 69
Leadership Bibliography ..... 71
Web Links ..... 79
**Chapter 5: Operations Focus ..... 81**
Introduction ..... 81
Guiding Questions ..... 82
Operations Focus ..... 82
Safe and Secure Supervision and Settings: Tools and Interventions ..... 83
Security Audits and Checklists ..... 83
Training Programs ..... 84
Intervention: Cost Containment Using APEX as a Guide ..... 85
Process Management: Tools and Interventions ..... 88
Operations Process Improvement Tools ..... 88
Developing an Operations Focus ..... 103
Additional Resources ..... 108
Case Studies ..... 108
Operations Focus Assessments ..... 111
Chapter References ..... 115
Safe and Secure Supervision and Settings ..... 115

Process Management ..... 115
Operations Focus Bibliography ..... 116
Safe and Secure Supervision and Settings ..... 116
Process Management ..... 120
Web Links ..... 123
Safe and Secure Supervision and Settings ..... 123
Process Management ..... 124
**Chapter 6: Organizational Culture ..... 127**
Introduction ..... 127
Guiding Questions ..... 127
About Organizational Culture ..... 128
Tools and Interventions ..... 131
Levels of Intervention ..... 132
Identifying Problems in Correctional Agencies ..... 132
Interventions for Lack of Trust ..... 136
Interventions for Lack of Recognition ..... 140
Interventions for Unclear Reward Structure ..... 142
Interventions for Lack of Good Communication ..... 143
Interventions for Procedures Not Being Followed ..... 145
Interventions for Lack of Respect ..... 146
Interventions for Lack of Diversity in Staff ..... 147
Interventions for Sexual Misconduct ..... 148
Interventions for Use of Force ..... 149
Interventions for Corruption ..... 149
Interventions for Code of Silence ..... 150
Interventions for Apathy ..... 151
Focus Group Intervention ..... 152
Additional Resources ..... 152
Case Studies ..... 152
Other Topics ..... 154
Organizational Culture Assessments ..... 156
Chapter References ..... 158
Organizational Culture Bibliography ..... 159
Web Links ..... 164
**Chapter 7: Stakeholder Focus ..... 167**
Introduction ..... 167

Guiding Questions ..... 167
Tools and Interventions ..... 168
Developing a Stakeholder Focus ..... 168
Programming Population Service Needs ..... 170
Conducting a Program Service Inventory ..... 171
Client/Offender Satisfaction/Engagement ..... 173
Population Monitoring and Surveillance ..... 174
Developing a Monitoring/Surveillance Inventory ..... 176
Additional Resources ..... 177
Case Studies ..... 178
Stakeholder Assessments ..... 181
Chapter References ..... 183
Stakeholder Focus Bibliography ..... 185
Individuals under Supervision ..... 185
Stakeholder Families ..... 188
External Stakeholders ..... 189
Web Links ..... 189
**Chapter 8: Workforce Focus ..... 191**
Introduction ..... 191
Guiding Questions ..... 192
Tools and Interventions ..... 193
Monitoring Organizational Climate ..... 193
Assessing Organizational Climate ..... 195
Tracking Organizational Climate Elements ..... 198
Assessing Workforce Engagement ..... 199
Assessing Staff Burnout ..... 201
Assessing Staff Engagement ..... 204
Additional Resources ..... 213
Case Studies ..... 213
Workforce Assessments ..... 214
Chapter References ..... 216
Workforce Focus Bibliography ..... 218
Web Links ..... 227
**Chapter 9: Strategic Planning ..... 229**
Introduction ..... 229
Guiding Questions ..... 229

About Strategic Planning ..... 231
Tools and Interventions ..... 232
Organizational Profile ..... 232
Intervention: Environmental Scan and Analysis ..... 234
Intervention: Scanning the Literature and Other Resources ..... 235
Intervention: SWOT Analysis ..... 235
Intervention: Gap Analysis ..... 238
Additional Resources ..... 240
Case Study ..... 240
Assessments ..... 241
Chapter References ..... 241
Strategic Planning Bibliography ..... 242
Web Links ..... 246
**Chapter 10: Measurement, Analysis, and Knowledge Management ..... 249**
Introduction ..... 249
Guiding Questions ..... 249
About Measurement, Analysis, and Knowledge Management ..... 250
Measuring What Matters ..... 251
What Is Knowledge Management? ..... 252
The Importance of Communication ..... 252
Tools and Interventions ..... 253
Using the ASCA Performance Based Measures System ..... 253
Inventorying Process Measurement Needs ..... 254
Using Decision Support Systems ..... 258
Additional Resources ..... 261
Case Study ..... 261
Chapter References ..... 262
Bibliographies ..... 263
Measurement and Analysis ..... 263
Knowledge Management ..... 267
Web Links ..... 270
**Chapter 11: Results ..... 271**
Introduction ..... 271
Guiding Questions ..... 272
Tools and Interventions ..... 273
Purpose of Results ..... 273

Improving the Organization's Outcome Orientation ..... 276
Additional Resources ..... 278
Case Study ..... 278
Assessments ..... 279
Chapter References ..... 280
Results Bibliography ..... 280
Web Links ..... 282
**Book Summary ..... 285**
**Afterword ..... 287**
**Exhibits**
Exhibit 3–1: APEX Public Safety Model ..... 7
Exhibit 3–2: APEX Change Management Model ..... 9
Exhibit 3–3: APEX Change Management Process Map ..... 10
Exhibit 4–1: Team Leadership Strengths Distribution Chart ..... 39
Exhibit 4–2: Team Strengths with Scoring ..... 40
Exhibit 4–3: Transformational Leadership Assessment, Part 1 ..... 42
Exhibit 4–4: Stages of Learning ..... 50
Exhibit 5–1: Operations Process Tools ..... 89
Exhibit 5–2: System/Process View ..... 90
Exhibit 5–3: Process Map for Personnel Staffing and Placement ..... 91
Exhibit 5–4: Kellogg Logic Model ..... 92
Exhibit 5–5: Data Box ..... 94
Exhibit 5–6: Fishbone Diagram ..... 96
Exhibit 5–7: Scatter Plot ..... 97
Exhibit 5–8: Pick Chart ..... 99
Exhibit 5–9: Benchmarking Table ..... 99
Exhibit 5–10: Prework Preparation and Project Agenda ..... 101
Exhibit 5–11: Kaizen Swim Lane Map ..... 103
Exhibit 5–12: Identifying Key Process Change Projects ..... 107
Exhibit 6–1: APEX Public Safety Model ..... 128
Exhibit 6–2: Competing Values Framework ..... 129
Exhibit 6–3: Culture Types Table ..... 130
Exhibit 8–1: Likert's Organizational Climate Survey, National Corrections Results ..... 196
Exhibit 8–2: Organizational Climate Change Tracking Chart ..... 199
Exhibit 8–3: Generic Burnout Assessment Results Example ..... 203

Exhibit 8–4: Generic Engagement Assessment Results Example ..... 206
Exhibit 9–1: Open Systems Model ..... 234
Exhibit 9–2: Individual SWOT Matrix ..... 236
Exhibit 9–3: SWOT Strategies Matrix ..... 237
Exhibit 9–4: Gap Analysis Chart ..... 238
Exhibit 9–5: Gap Analysis Example ..... 240
Exhibit 10–1: Information System Inventory ..... 256
Exhibit 10–2: Reentry Focus: Change from 1st Quarter to 2nd Quarter ..... 258
Exhibit 10–3: Logic Model Developmental Stages ..... 260
Exhibit 10–4: Sample DSS Logic Model ..... 261
Exhibit 11–1: Organizational Outcomes Inventory ..... 277

# Foreword

Correctional organizations today must balance the challenges and complexities of managing supervised populations and of using public resources efficiently, all while striving to become higher performing organizations. *APEX (Achieving Performance Excellence) Resources Directory Volumes 1* and *2* present interventions and resources to help agencies as they embark on efforts to improve their performance and to enhance operations and mission success. This book, *APEX Resources Directory Volume 1,* contains many resources, tools, and interventions for change management and for each of the APEX Public Safety Model domains. Reviewers from the field of corrections contributed valuable suggestions and shared their favorite resources so that this book would contain relevant and applicable resources for all sectors in the field of corrections.

The APEX Resources Directories were developed as part of the National Institute of Corrections' (NIC's) APEX Initiative. The APEX Initiative is an agency-driven systems approach to building capacity for higher organizational performance, best practices, and data-driven decisionmaking. A whole-systems view of a correctional agency is provided through the APEX Public Safety Model. In addition to the Public Safety Model, the APEX Initiative includes the APEX Assessment Tools Protocol, the APEX Guidebook series, the APEX Change Management Process, and the APEX Change Agent Training.

NIC hopes that the APEX Initiative's resources, in particular *APEX Resources Directory Volume 1,* help guide your organization in the quest for higher 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 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.

*APEX Resources Directory Volume 1* is designed specifically for the field of corrections. It contains a wealth of information about the APEX domains, about managing change, and about the National Institute of Corrections' Information Center. Guiding questions, specific tools, interventions, case studies, assessments, references, bibliographies, and Web links are provided for each of the domains for improving performance and creating positive change in the field of corrections. It can be used as a companion to the rest of the APEX Guidebooks, as a standalone directory of resources, and to help agencies choose interventions when using the APEX assessment tools.

This directory could not have been compiled without the invaluable assistance from many correctional practitioners, who took time to read chapters, provide feedback, and give us suggestions to enhance the final product. Their input was invaluable and has enhanced the directory's corrections-specific focus.

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

## Contributors

**Bradford Bogue,** President, Justice System Assessment & Training

**Mary Jo Caldwell,** Continuous Improvement Director, Minnesota Department of Corrections

**Sherry Carroll,** Correctional Program Specialist, National Institute of Corrections Research and Information Services Division

**Steve Colby,** Consultant, Justice System Assessment & Training

**Elizabeth Craig,** Manager, National Institute of Corrections Information Center

**Margaret diZerega,** Family Justice Program Director, Vera Institute of Justice

**Marge Douville Fajardo,** President, Key Results

**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

**Susan Powell,** Public Service Coordinator, National Institute of Corrections Information Center

**Tanya Rhone,** Principal Consultant, Two Roads Consulting

**Molly Tayer,** Consultant, Justice System Assessment & Training

**Tom Ward,** Principal Associate, Washington, DC Center for High Performance Organizations

**Abigail Yanow,** Leadership & Organizational Development Coach/Consultant

## Reviewers

**Barbara Broderick**
Chief Probation Officer
Maricopa County (AZ) Adult Probation Department

**Calvin Brown GA DOC**
Deputy Director of Mental Health
Georgia Department of Corrections

**Jerry Burt**
Deputy Director, Eastern Region
Iowa Department of Corrections

**Cheryl Cepelak**
Deputy Commissioner of Administration
Connecticut Department of Corrections

**Daniel Craig**
Warden, Iowa Medical and Classification Center
Iowa Department of Corrections

**John Eggers**
Correctional Program Specialist
National Institute of Corrections

**Dot Faust**
Director, 2nd Judicial District Department of Correctional Services
Iowa Department of Corrections

**Jeff Goetz**
Jail Commander
Boulder County (CO) Jail

**James Gray**
Director, Management and Specialty Training Center
Federal Bureau of Prisons

**Marydell Guevara**
Deputy Director
Miami-Dade (FL) Corrections and Rehabilitation Department

**Emmitt Hayes**
Division Director
Travis County (TX) Juvenile Probation Department

**Sally Kreamer**
Director, 5th Judicial District Department of Correctional Services
Iowa Department of Corrections

**Kenny Massey**
Undersheriff
Douglas County (KS) Correctional Facility

**Joe Meyers**
Sergeant
Douglas County (KS) Correctional Facility

**Rocco Pozzi**
Probation Commissioner
Westchester County
New York State Division of Criminal Justice Services

**Erika Tindall**
Chair
Connecticut Board of Pardons and Parole

**Patricia Weiland**
Tennessee Correctional Industries

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 Achieving Performance Excellence (APEX) 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 process, 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 APEX 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 (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 as well as 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. *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

A *PEX Resources Directory Volume 1* is an integral part of the National Institute of Correction's (NIC's) Achieving Performance Excellence (APEX) Initiative. It provides resources, tools, and interventions to support correctional agencies on the APEX journey. This directory is designed to complement the APEX Guidebook series and to enhance efforts to improve performance excellence by providing domain-specific resources and interventions. It can also be used as a stand-alone guide to change management and to the APEX Public Safety Model domains, which include the following:

- Leadership
- Operations Focus
- Organizational Culture
- Stakeholder Focus
- Workforce Focus
- Strategic Planning
- Measurement, Analysis, and Knowledge Management
- Results.

Using this directory, the agency can target one or more domains and can find specific domain-related guiding questions, tools and interventions, case studies, and other resources to direct a change effort for improvement. Potential scenarios for change include the following: (1) when an agency is getting ready for Prison Rape Elimination Act compliance; (2) when a new jail director comes on board; (3) when a new committee is formed to direct performance excellence; (4) when a change in legislation requires agency changes; (5) when an agency is running smoothly, but assesses itself preventively and finds room for improvement in specific domains; (6) when a new program is put into practice; and (7) when an opportunity arises to embark on a change effort.

Chapter 2 includes detailed information about National Institute of Corrections resources. Chapter 3 provides information, tools, interventions, case studies, resources, and references for the topic of change management. Chapters 4–11 include domain-specific guiding questions, tools and interventions, case studies, assessments, references, bibliographies, and Web links.

The guiding questions help readers focus on specific issues. The intervention exercises come in a variety of forms and are designed to help correctional agencies with assessment, implementation, review, and evaluation during change efforts. Some interventions present simple questions to challenge an individual's thoughts about current daily operating practices. Other interventions are specifically for small group work and shared problem solving. Some interventions suggest processes that help identify, collect, and organize data to make informed decisions to enable organizational change. The case studies, assessments, references and bibliographies, and Web links provide additional support in each of the domains.

# Chapter 2: NIC Resources

The National Institute of Corrections (NIC) has a wealth of resources and information for correctional practitioners. Those resources are available through the following:

- The **NIC Information Center,** which offers publications online and, in some cases, on hard copy, including publications from NIC, correctional information from other sources, and information from other industries that applies to correctional agencies. The center also provides research assistance to staff members working in corrections.
- The **Corrections Community website,** which provides opportunities to collaborate with others via news updates, public discussion forums, and networks for private discussion.

## NIC Information Center

The NIC Information Center assists correctional policymakers, practitioners, elected officials, and others interested in correctional issues. The center's resources cover all aspects of corrections, including:

- Corrections research.
- Policy formulation.
- Professional standards.
- Staff training.
- Facility planning, design, and transition.
- Special offender issues and programs.

Provided free of charge through the NIC Information Center's library and through research assistance services, this information helps correctional professionals and policymakers address the complex issues they face every day.

### The Library

The Robert J. Kutak Memorial Library is a specialized collection of corrections-related materials such as policies, procedural manuals, reports, newsletters, and training materials. The focus of the collection is on unpublished, operations-oriented resources developed by correctional agencies for use by practitioners in the field.

The library also collects published materials on correctional topics and serves as a distribution center and archive for NIC publications. All NIC publications from 1976 to the current releases are available to download or order.

Publications cover many topics, including popular ones such as the Thinking for a Change program and the Prison Rape Elimination Act (PREA). In addition to NIC publications, the library contains more than 20,000 corrections-related documents and materials from government agencies at all levels and from associated correctional organizations.

Almost one-third of the library's materials are available online at *www.nicic.gov/Library.*

### Research Assistance

As stated above, many NIC materials are available online. However, nondigital, copyright-restricted, and sensitive materials are available only in the NIC main library. Through NIC's online help desk (Ask NIC at *http://info.nicic.gov/Customer/Ask.aspx*), correctional workers can request free, personalized research assistance from the staff members at our library. These experts have access to the **complete** library and can help you find information that is not available online.

The Information Center does not provide legal advice or directly assist offenders/ex-offenders or their friends and family. Only limited support is available for students, educators, and consultants.

For more information, visit the NIC Ask A Librarian webpage at *www.nicic.gov/ResearchAssistance.*

### NIC INFORMATION CENTER

Information Center services are available weekdays, 7:30 a.m. to 5:00 p.m. MST.
Phone: 800–877–1461
Library: *www.nicic.gov/Library*
Research assistance: *www.nicic.gov/ResearchAssistance*

## Corrections Community Website

The Corrections Community website provides an environment for correctional professionals to communicate and work together online.

The website includes access to community blogs, which provide current information about NIC activities, announce opportunities, and solicit feedback from the field. In addition, the site offers public forums that are open to all and cover topics ranging from pretrial services to mental health issues to reentry.

By invitation only, correctional professionals access private forums and networks that support discussion on specific topics in the correctional field. Examples of private forums are the Large Jails Network and the Crisis Intervention Teams Forum.

To access Corrections Community, visit *http://community.nicic.gov.*

# Chapter 3: Change Management

## Introduction

When a new way of doing things works better than the old way, change occurs. With change comes resistance, sometimes even to the point of conflict. Because an organization must embrace change to grow, knowing how to manage change becomes critical. Because change management strategies that take into account human factors are more successful than those that do not, one must consider the culture of the organization when undertaking a program of change. Likewise, one must consider the role of leadership in the change process.

This chapter presents an overview of change management and provides tools and interventions, case studies, assessments, references, a bibliography, and Web links to aid in the change process. More detailed information about culture and change management, leadership, and assessment can be found in the APEX (Achieving Performance Excellence) Guidebook series books (1) *Culture and Change Management: Using APEX to Facilitate Organizational Change,* (2) *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance,* and (3) *Applying the APEX Tools for Organizational Assessment.* Many of the strategies and interventions in other chapters of this book may be useful for creating a change effort plan.

## APEX Public Safety Model

The APEX Public Safety Model reflects the shared vision and operating values of everyone working in any correctional system. Many of the basic principles in this model are the same as those found in the well-tested Baldrige Performance Excellence Program Criteria, with the added elements of the Organizational Culture domain and the Safe and Secure Supervision and Settings content in the Operations Focus domain. The need for a safety and security element makes the correctional environment one of the most challenging in the world, which is why understanding and implementing the APEX Public Safety Model is so important.

The eight **APEX model domains** are as follows:

- **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 the organization and guiding its staff members.
- **Operations Focus**
  - Safe and Secure Supervision and Settings: A strong emphasis on providing safety and security for staff members and all stakeholders.

- Process Management: How the organization designs, manages, evaluates, and improves its work systems and various work processes.

- **Organizational Culture**

  - Values, norms, and assumptions of the organization as well as the way people treat one another in the organization.

- **Stakeholder Focus**

  - How offenders and the supervised population engage with external stakeholders.
  - 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 the organization's effectiveness in achieving its mission and goals.

As exhibit 3–1 shows, everything points to Results—a composite of stakeholder, cultural, financial, and internal operational performance results, including workforce, leadership, governance, safety, and social responsibility.

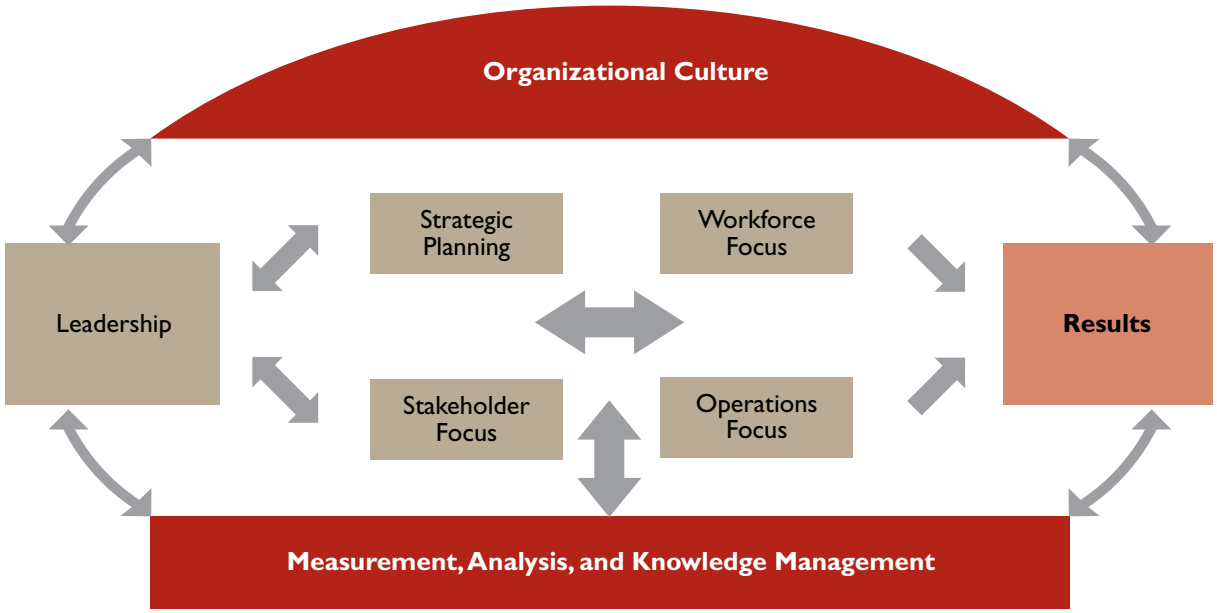
## A Systems Approach: APEX Domains as a Lens

The APEX Public Safety Model domains can be used as a lens when problem solving, decisionmaking, and planning. The following guiding questions can help agencies see the way the whole system can be affected when one or more of the domains need attention. An agency may develop additional questions that will be helpful for using the domains as a systems approach.

- **Culture**

  - How will this initiative or problem-solution affect our culture?
  - How will our culture affect this initiative or problem-solution?

## Exhibit 3–1: APEX Public Safety Model




Note: The vertical, two-headed arrow pointing from measurement, analysis, and knowledge management to the rest of the illustration shows how this component is foundational for the performance management system.

- **Leadership**
  - Which leaders have the most to gain or lose in this effort?
  - How important are leaders and leadership to the success of this initiative?
  - Who can champion this initiative?
  - Who can stop or impede this initiative?
- **Operations**
  - How will this initiative affect our current operations?
  - Will this initiative affect the safety and security of the public, staff, or offenders?
  - What will change?
  - What will stay the same?
  - How will this initiative affect the way we perform and conduct our work and work processes?

- **Stakeholders**
  - Who may affect and influence the outcome of this initiative?
  - What is the potential gain or loss for stakeholders?
  - How can we engage stakeholders in the process and success of this initiative?
  - Which stakeholders would add value to this initiative and engage in its planning, and/or implementation?
- **Workforce**
  - What stake (gain or loss) does our workforce have in this initiative? What is in it for our workers?
  - Who should be engaged in planning and/or implementation?
  - How can we effectively engage the workforce in the change process for this initiative and thereafter?
- **Strategic Planning**
  - How does this initiative relate to our agency's vision, mission, and values?
  - How does it support our agency's strategic plan and goals?
  - Are there valid strategic reasons to pursue this initiative? What are they?
- **Measurement, Analysis, and Knowledge Management**
  - How will we know that our efforts in this initiative are successful?
  - What data are ideal to have?
  - How can we best collect, analyze, and share our data?
  - How can the data inform and support our decisionmaking?
  - How can the data and the findings be shared across the organization?
- **Results**
  - What outcomes will indicate our overall organizational success in pursuing this initiative?
  - If we are successful, what else may we affect?
  - How can we sustain the results?
  - How will the success of this initiative empower us to make further changes?
  - How will we share the results with stakeholders?

## APEX Change Management Model

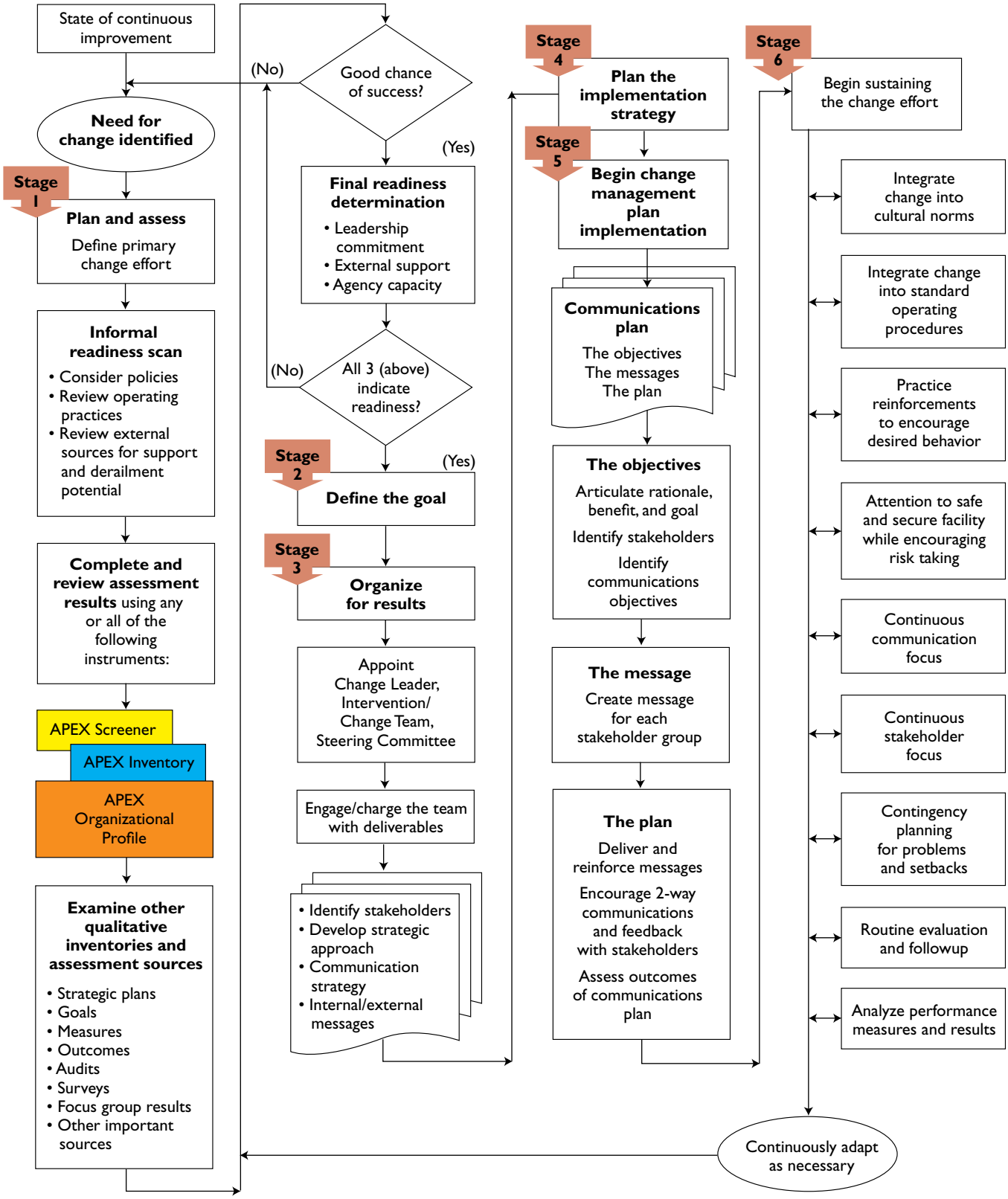
The APEX Change Management Model (see exhibit 3–2) is a systems approach to changing organizations. It works as a roadmap for navigating organizational change efforts that lead to the high-performance organizational culture introduced earlier in this book. The model is based on the current literature and best practices for organizational behavior change, especially the correctional operating environment's most successful practices for implementing new policies and practices that improve performance and effecting large-scale cultural change. This change management model defines a systemwide approach to change, recognizing that intervention efforts have short- and long-term effects on each part of the organization.

Changing a correctional culture can be an enormous undertaking. The magnitude of disruption caused by alterations in work relationships, mindset shifts, stakeholder involvement in operations, exposure to risk, potential productivity increase, distraction from routine duties, or plain hard work usually exceeds anything else that can be planned. The APEX Change Management Model reduces the risk of failure for large-scale culture change project management and increases both the speed of change transition and the agency's ability to sustain the effort over the long term.

The APEX Change Management Process Map (exhibit 3–3) helps explain the change process in detail. The exhibit may look a bit complex. However, it is designed to show many of the activities involved in stages 1–6. Agencies using this change process are encouraged to pick and choose those activities that they feel are most appropriate for their change effort and situation. Notes are provided after the map.

### Exhibit 3–2: APEX Change Management Model

## Exhibit 3–3: 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 1, at the beginning of a change effort or near the end of one, thereby signifying that the agency is continuously improving.

### Stage 1: Plan and assess.

- ○ A need for change is identified and stage 1 begins.
- ☐ The change effort sets the course for the project management efforts to follow. One must understand what needs to change, why the change is necessary, and what the change will affect.
- ☐ An informal readiness scan relies on several sources that are usually on hand to help assess the landscape of roadblocks, and the scan supports that inform strategy.
- ☐ Assessment results sharpen the organizational readiness picture. The APEX Screener, Inventory, and Organizational Profile provides 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, to conduct 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) agency capacity to complete the change initiative while maintaining a safe and secure facility; and (3) external support from stakeholders who could aid or derail the effort.
- ◊ The last stage 1 event is a decision on a final launch question ("Launch?").

### Stage 2: Define the goal.

- ☐ "Describe and Clarify the Goal" is informed by the work completed in stage 1. This exercise clarifies the change direction and makes the goal statement final.

### Stage 3: Organize for results.

- ☐ Appoint or assign the change leader to manage the project on behalf of the senior official.
- ☐ Identify members of the intervention and change team and ensure that they have the vision, resources, and time necessary to get the job done.
- ☐ Identify members of 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.
- ☐ Engage the change team and intervention team with work assignments and organize teams, committees, and so on.

- The next box represents documents that the change team should produce. These documents include a formal identification of stakeholders, a strategic approach, a communication strategy, and messages to be delivered internally and externally. The messages should be designed to create an awareness of the change and a desire to support it, taking the special needs of each stakeholder into account.

**Stage 4: Plan the implementation strategy.**

- The project management plan that formalizes work completed at the end of stage 3 outlines the implementation plan that provides enough detail to manage the change effort throughout implementation.

**Stage 5: Implement the change management plan.**

- The work of implementing the plan begins at this stage.
- The communications plan includes developing the objectives, message, and plan.
- The objectives include the following:
  - 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 communication objectives for each stakeholder group
- The message includes the following:
  - Formulating the content to address the communication objectives for each stakeholder group
- The plan includes the following:
  - 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 effort.**

- 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.

## Tools and Interventions

The tools and interventions in this section include "Strategies to Help Staff Members Deal with Change," "How to Quickly and Effectively Analyze Change Efforts," and "Creating Your Own Intervention." Every correctional agency has a unique combination of strengths and weaknesses. Each change initiative will involve some degree of effort and personalization of the tools and interventions in this chapter as well as in the other chapters in this book to succeed. Setting the stage for change by preparing staff members and by being flexible and innovative in customizing tools and interventions will allow for an easier and more efficient change process.

### Resistance to Change

Understanding people's natural resistance to change is an important first step in any change process. Change requires a leap of faith into the unknown. Sometimes the leap requires breaking loyalties or connections to those who would continue to do things the "old" way. People tend to worry that they lack the skills for change, may feel overwhelmed by the extra energy and effort needed to change, and often will need new role models before they are willing to commit to any change effort. Some people can be negative, most people may be skeptical, and often people fear that there are hidden agendas in the change effort. Change means a loss of the old way, and it may challenge the status or identity of some. How people approach change is also very much tied to their personality. Those who have an easy-going personality are much more willing to embrace change than those who are more rigid in their outlook.

When embarking on change efforts, acknowledging that every change comes with benefits and losses can be a useful way to prepare people for the new way of doing things. Some people will feel more loss than others, and bringing this feeling into the open can help reduce some of their resistance. Helping people see the benefits to the agency, clients, staff members, and stakeholders may also enable them to deal with feelings of loss.

When leaders sense the need to learn more about the human factors involved in change efforts or to get a sense of where others may be "coming from," books such as *Who Moved My Cheese?* (Johnson 1998) and *Our Iceberg Is Melting* (Kotter and Rathgeber 2006) may be helpful. These easy-to-read books give people ways to understand the complexities of change and a common language and vocabulary to use when talking about change and people's reactions to it.

In any change effort, knowing where one is in the process is helpful. The Stages of Change Model (Prochaska and DeClemente 1983; 1994) helps one identify his/her location in the process, and thus helps one move beyond resistance. The model consists of five stages that people go through when trying to make a change in their lives—whether a general change or a change for a specific habit:

- *Precontemplation* (not yet acknowledging the need to change).
- *Contemplation* (understanding there is a problem, but not yet ready to change).
- *Preparation and determination* (getting ready to change).
- *Action and willpower* (changing behavior).
- *Maintenance* (maintaining the behavior change).

Several models describe the stages that people go through when changing; the Prochaska and DeClemente (1983) model is one of the better-known ones.

## Strategies to Help Staff Members Deal with Change

In this section are specific strategies from *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Level* (Campbell 2006:243–60) that managers can use to help staff members deal with the uncertainty of change:

- Keep in mind the desired outcomes of the change, and let the outcomes determine methods.
- "Walk the talk," hold the vision for what the organization is trying to create, and help people see how they can contribute to that vision.
- Create open dialogue not only to inform and to answer questions, but also to provide a way in which people can contribute ideas and thus help them to own what they help create.
- Use the appropriate situational leadership approach depending on the level of maturity and readiness of followers (Cebula et al. 2012):
  - Participating and facilitating.
  - Delegating.
  - Selling.
  - Telling and directing.
- Take into account the human and emotional aspects of change—for instance, (1) the uncertainty that staff members go through as they are assigned to a new job they might not be proficient in, (2) the loss they suffer when team members change, or (3) the stress they feel when they are uncertain if they will keep their jobs. Leaders need to use their emotional and social intelligence skills to be aware of where their staff members are in the change process and provide support for them.
- Help staff members navigate the three-step transition of (1) letting go of the old, (2) living in the uncertainty of developing new processes and new directions, and (3) actually building the new way of doing business.
- Act as role models for change by dealing with resistance, thereby creating readiness for change and building commitment at every level of the organization.
- Set clear standards of performance so that staff members know how to be successful in their roles.
- Celebrate successes on the path of transition.

These strategies are also where the connections between a learning organization and a high-performing organization and lifelong learning for the leader intersect. Kotter (1996) emphasizes the importance of continual growth for the successful leader of contemporary organizations where life is anything but static. "As the rate of change

increases, the willingness and ability to keep developing become central to career success for individuals and to economic success for organizations" (Kotter 1996:178).

## How to Quickly and Effectively Analyze Change Efforts

Rapid cycle testing (Brown and Hare 2002) has been used by a number of correctional agencies to do a quick analysis of change efforts, new programs, and new processes. It provides a way for agencies to quickly analyze their change process—providing a snapshot of progress. Rapid cycle testing can be used as an interim evaluation, especially when the agency does not have the funding or the resources to do a full-blown evaluation.

Rapid cycle methods often pose questions to help agencies prepare for change:

- What goal does the agency want to accomplish?
- What changes will produce enhanced performance?
- How will the agency know that the changes are successful?

Rapid cycle methods are designed to study how an innovation affects a small population. A change team forms; collaborates with leadership to define the goal; identifies potential strategies; chooses the most promising strategy; and sets up a trial implementation to test the change, measure the outcomes, analyze the results, and make any necessary adjustments without involving a lot of people in the trial. The team can learn how the innovation is going to work within the local environment.

Results are seen fairly quickly, and the change team will discover whether the outcome of the change is what they hoped for. If the change does not lead to positive results, the change team can run one of the other strategies through the process. It takes one to two weeks to get a quick evaluation of the trial strategy.

Rapid cycle testing is not a replacement for more thorough testing and evaluation of change efforts, but it is offered as an interim process to test and analyze potential changes. This interim process allows a team to try a change strategy on a small scale and modify it before taking it to a larger audience.

## Creating Your Own Intervention

Interventions are informal exercises designed to promote progress in solving a problem or issue and are useful within management or special groups. Some interventions can be created for the individual manager, using a list of questions that enables managers to be reflective and continuously reevaluate daily operational standards. Other interventions can be collaborative group efforts that create opportunities for shared problem solving or other group work.

Although the interventions offered in this chapter and the other chapters in this book are specific for each domain and apply to certain problem areas, they are given as examples that may be used as is or as templates to enable an agency to customize their interventions. The range of possible problem areas makes it difficult to create a comprehensive set of interventions that will encompass all possible problems in the correctional field and will incorporate all possible styles of dealing with issues.

When a group has a sticking point in any of the domains, a new intervention designed specifically for that issue or focus area might facilitate a new line of attack. An agency may decide to create its own unique interventions to handle its issues in its own unique way. Resolution of the issue is more effective and efficient when the intervention is targeted for the group, whether by tweaking an existing intervention or by creating a new one entirely. Creating a specific agency intervention promotes more awareness and ownership of the issue at stake as well.

When creating a new intervention, having flexibility in deciding the direction that the exercise will proceed is important. At the same time, an intervention with a set of steps prevents a group from nonproductively dealing with an issue, because it helps keep the group on track and focused. A balance between rigidly following the prescribed steps and making progress in intervention work is most effective.

### Three Parts of an Intervention

There are three basic parts to an intervention:

1. **Introduction**—an overview of the issue with questions to establish the topic.
2. **Exercise**—a framework of steps to help with topic investigation and enable collaborative inquiry. (The five to eight steps will constitute the bulk of the exercise.)
3. **Take-Away**—a new skill, outlook, or set of data that wraps up, summarizes, or provides a next step.

**Introduction.** This section should establish the topic and begin to answer who, what, why, where, when, and how for the issue of choice. A few short paragraphs will help orient the group. Providing specific questions will help guide the group to clarify the issue, to narrow or broaden the context as needed, or even to decide if the topic is worth considering at this time.

**Exercise.** The bulk of the intervention is a set of steps, usually anywhere from five to eight steps, that segment the process to be taken by the group. Providing these steps helps group members identify where they are at any point in the process, see what they need to do next, and show where they are going. Breaking this exercise into steps helps define the process and manage the time involved in the process.

**Take-Away.** This section of the intervention should summarize, consolidate, highlight, and aid interpretation of the exercise while providing something for all participants to "take away" from the intervention. Although the collaboration and reflection process in the exercise (the five to eight steps) is the objective of the intervention, the take-away section should enable the learning involved to be documented and should provide a way for information to be shared.

### Five Steps to Creating an Intervention

There are five steps to creating an intervention:

1. **Focus the topic**—define an issue or problem for the intervention.
2. **Research**—scan existing information, tools, and models in the topic area.
3. **Review and assimilate**—review the gathered essential content.

4. **Create steps**—use the gathered content to create five to eight steps that can be worked through in the topic or problem area.

5. **Data and take-away**—create a format to organize the potential findings of the group and create an appropriate take-away.

**Step 1: Focus the topic.** The APEX Inventory is designed to provide ideas and reference points for organizational change. APEX Inventory domains that score low are potential areas for which to develop interventions. If the Organizational Culture Assessment Inventory (also part of the APEX Inventory) results are skewed too far toward one culture type, this bias may be another area for an intervention. Other lists of concerns and problems may help target a topic for an intervention.

If the intervention area is in a particular domain, check the interventions in that domain's chapter in this book. An intervention may be used just as it is or may be modified to more specifically fit an agency's problem area. If a new intervention is needed, help refine the topic focus with other managers or the group.

**Step 2: Research.** All group members or managers may do the research—or just one or two people. Using Google.com or academic search engines and National Institute of Corrections (NIC) Information Center, the researchers will gather pertinent information on the topic. While skimming through information and investigating the topic, researchers may discover certain skill areas or remedies to the situation that are recommended by or have worked for others. Follow up on these leads for information on appropriate tools, theories, and viewpoints to explore in the intervention.

**Step 3: Review and assimilate.** Share and review the information with a team to encourage reflective conversation and to build new awareness in developing the intervention. Challenge assumptions, engage the ideas, create healthy tension, and set the stage for change. As the team members become motivated for change, pay attention to the direction they are going. Then select the content for the intervention and organize it into steps.

**Step 4: Create steps.** Steps might include making assessments, discussing a topic with new information, trying out a new strategy, viewing and responding to data, discussing a topic, brainstorming an idea, and making decisions. Steps may follow a natural progression or may be less linear. They should not be too lengthy (five to eight steps recommended) and should help with time management of the process, thereby providing a beginning, middle, and end to the exercise portion of the intervention. Steps can be either well-defined levels or a loose set of markers.

**Step 5: Data and take-away.** This part provides the group with closure to the process as well as with a direction for further work. Depending on the steps taken in the exercise, information may be collected in different forms: a matrix, a table, a graph, summary paragraphs, a list of discussion outcomes, and so forth. Having a fresh empirical idea of the issue, or at least a snapshot of where the organization is and where it is going, is important.

### Example: Creating an Intervention

**Step 1: Focus the topic.** Management at one correctional agency identified the Workforce Focus domain as an area in need of change. Staff resistance to change was the main problem area. The resistance was more concentrated in mid-level managers. The topic became defined as middle-management attitudes about the organization and change—in particular, cynicism toward change.

**Step 2: Research.** Management chose two managers from the team to scan the available information online from NIC's Information Center as well as the Internet. The two managers also chose to participate in NIC's online forums to glean information from other agencies that have dealt with resistance to change. They reviewed the APEX books online and scanned the tables of contents for pertinent sections related to change and leadership. They found information about managing change in *Culture and Change Management: Using APEX To Facilitate Organizational Change,* information about leadership styles in *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance,* and possible interventions in *APEX Resources Directory Volume 1.* In *Applying the APEX Tools for Organizational Assessment,* they found information about all types of possible assessments.

**Step 3: Review and assimilate.** Skimming through and narrowing down their information, the two managers were able to meet to brief each other on what they identified as most pertinent to their situation. Transformational leadership was a topic that kept popping up in the literature as part of the solution; assessing transformational attributes seemed critical to the topic as well.

**Step 4: Create steps.** By using the information gathered and by challenging each other's assumptions about the topic, the managers were able to outline five steps that would be an effective intervention. They decided to

- Collectively complete assessments for cynicism and transformational leadership on upper management.
- Review assessment results.
- Recommend that those tools be taken by all managers.
- Review solutions that target their team profiles on the tools.
- Assess some literature or work with a local organizational development consultant with expertise in organizational readiness and healing to do the following:

    1. Develop strategies for systemwide interventions on cynicism to change. Have all management, including middle management, complete an assessment for cynicism (or resistance to change) and for transformational leadership attributes.
    2. Display data of current leadership assessments and point out the relationship between success of change efforts and acceptance of change.
    3. Have a chance to role-play situations using transactional leadership with cynical staff or with each other.
    4. Brainstorm a list of the resistance situations and possible responses.
    5. Develop strategies to decrease resistance to change.

**Step 5: Data and take-away.** After taking the assessments on resistance to change and transformational leadership, the managers chose to comment and graph the results in a Microsoft Excel spreadsheet that showed areas of weakness with regard to change and showed areas of strength. They drafted a list of the habits of transformational leaders so that management had, in hand, a list of qualities to emulate.

## Additional Resources

The additional resources in this section include case studies and assessments specific to change management. More case studies may be found throughout the APEX Guidebook series, as well as in other chapters in this book.

### Case Studies

Although the case studies included here apply specifically to change management, additional pertinent case studies may be found in "Chapter 4: Leadership," in "Chapter 6: Organizational Culture," or in any of the other domains.

#### Implementing Evidence-Based Practices

A medium-sized Midwestern detention center has experienced a 10 percent increase in its admissions and confined population over the past three years. A review of the admissions data indicates that repeat offenders are the biggest drivers of the population increase. To address the issue, the jail administrator establishes a small working group to further analyze this population and to identify factors that may influence the high return rate and recidivism. After a three-month review of data, the working group identifies a lack of facility programs that target behaviors such as substance abuse, criminal thinking and attitudes, and mental health services. In addition, a high percentage of offenders lack employment, education, and stress management skills. The cost of incarcerating the growing number of offenders in detention affects the overall county budget, and this issue has been the subject of much political discourse and media attention.

The jail administrator, through networking with other jail administrators in the state, becomes aware of the benefits of evidence-based practices (EBP) and establishes a multidisciplinary committee to review the literature on EBP and to contact the NIC Jails Division for further support and resources. The committee's mission is to develop a strategy to implement EBP in the jail within existing resources and in collaboration with community programs and services. This strategy should reduce the rate of recidivism and related costs.

The committee chair (the program's deputy administrator) meets regularly with the committee members and has four subcommittees working on specific areas. These subcommittees focus on the following:

- Implementing cognitive behavioral programs for offenders within a social learning environment.
- Developing a strategy to have programs and treatments that are based on individual offender needs rather than having one set program for all offenders.
- Ensuring that the delivery of programs and treatment services is multidisciplinary and consistent across all staff members who engage with the offender.
- Developing staff communication skills with motivational interviewing and other competencies related to building positive and professional relationships with offenders.
- Providing opportunities for offenders to practice and to engage in activities that model responsible behavior and support their efforts to learn new skills and strategies that support personal change and counter their criminogenic risks.

- Adapting the jail classification system from one that uses a static risk assessment instrument to one that uses an objective actuarial risk assessment that measures dynamic criminogenic risks that can be changed to lessen the risk of recidivism.
- Validating and norming the selected risk assessment instrument and using it to guide the interventions, supervision, and management of the offender in the jail or community.
- Using classification data to analyze the use of incarceration and EBP for high-risk offenders and the appropriateness of low-risk offenders being under community supervision to reduce the confined population and subsequent costs.
- Developing a strategy for implementing organizational change to include mission, vision, and ongoing communication about EBP and for engaging staff in the change process.
- Developing a strategy to inform and engage external stakeholders in the EBP process.
- Ensuring that offenders released to the community have available transitional and complementary programs and services to reinforce law-abiding and responsible behavior, as well as "building bridges" from incarceration to the community before discharge.
- Developing a system for data collection and analysis that provides evidence of the EBP process outcomes and the effect on public safety and recidivism.

With the assistance of NIC and support from other jurisdictions that have implemented an effective EBP agenda, the leadership and staff members are confident that they can make the full transition to a more effective, efficient, and accountable correctional system that enhances public safety by reducing recidivism. Preliminary results show that, with the implementation of EBP and staff training, (1) incidents have reduced in the facility, (2) the population count is decreasing because of an increase of low-risk offenders being supervised in the community, (3) costs have been reduced with the decrease in the incarcerated population, (4) the recidivism rate is gradually dropping, and (5) the community agencies are more engaged in the process of working with offenders (Christensen and Crime and Justice Institute 2008).

### Here's What's in It for You

When holding initial discussions with stakeholders, one must acknowledge all of their ideas. The trap to avoid is creating the impression that all wishes can come to pass. Instead, internal and external stakeholder interactions are aimed at engaging interested parties in a variety of ways, with custom-designed messages to prepare the ground for the change effort. The object is to convey the change messages and to collect information to build support. The message is "Here's what's in it for you."

### Predicting Failed Change Efforts

Most failed change management efforts happen in a predictable way: management proclaims a change edict of some kind, posts a notice, announces it at an all-hands meeting, and expects the change to happen. Middle managers and supervisors are left to figure out how to implement the change on their own. Influential staff members may not agree with the change. Even if they agree, they may lack the experience, the knowledge, the understanding, or

the ability to implement the change. Middle management feels the pressure to perform the change from the "top" and feels the intense resistance from employees at the "bottom." This is not an especially fun situation. Typically, the change program flounders at this point.

### Time Management

Wise leaders know that those involved in change effort roles, especially the change leader, will need some time away from their usual duties to accomplish the work of the change effort. Time management can become a big problem if the change leader has a senior operations role such as deputy warden, chief, or higher and if some duties are not reassigned during the change effort. Time spent on the requirements of reflection, analyzing, planning, collaborative work, training, coaching, marketing, problem solving, brainstorming, conducting focus groups, and conducting interviews is critical to the success of the change effort.

### The Importance of Supervisors

Internally for most organizations, supervisors are the most crucial early stakeholder targets. Frontline employees look to supervisors for direction and support, and every supervisor should be engaged early.

### Avoiding Torpedoes

Many change efforts have been torpedoed by a discontented manager. Negative influences must be taken into account, and contingency plans to deal with these influences need to be developed as part of a successful strategy.

### Stakeholder Engagement

To prepare for a major change effort, a correctional agency's reentry committee identified community members who would be affected by the introduction of a comprehensive reentry program, including the following:

- Nonprofit agencies that deal with housing, employment, adult education, and human services.
- The Departments of Mental Health, Labor, and Social Services.
- The courts.
- Local law enforcement.
- Families of the clients or offenders.
- Advocacy groups.
- Volunteer groups.

A series of meetings helped involve those groups in planning for the reentry program. Stakeholders were invited to help develop the vision of the new program and plan for how it would operate. Establishing those engagements early in the planning process generated good will and cooperation from all of the stakeholders, because they felt their concerns were ultimately reflected in the decisionmaking for the program. Both external and internal stakeholders realized that they were working toward mutual goals: (1) successful transitions from the institution to the community and (2) a safe and secure community.

Support efforts that involve key stakeholder groups can enable an agency to avoid surprises during the change effort and can lead to developing alliances that facilitate and sustain implementation of the change program.

### Contingency Planning to Deflect Resistance

If change is not managed effectively, it is common to find (1) passive and active resistance; (2) incomplete implementation; (3) work-arounds; (4) reversion to undesired behavior or the old way of doing things; (5) low morale; (6) decreased productivity; (7) turnover of valued employees; (8) disinterest in the current or future state of the program; (9) arguments about the need for change; (10) absenteeism; and, ultimately, (11) the failure of the change management effort. Careful contingency planning will enable the change leaders, change team, and others engaged in the change effort to deal effectively with obstacles as they arise and to reassure all stakeholders that this change effort is solid and will be implemented effectively.

### Moving Forward

Some agencies create symbols of change—visual images—to signify a new future. Others hold funerals to bury their old ways, thereby honoring those methods for their contributions so that they can move on to reinforce the new future. Many successful change efforts provide people with "proof points" as soon as possible to validate progress, such as finding people who are doing small things right and crediting those actions to the change effort. As wins are gained, the change team expands its efforts to include progressively more difficult tasks and issues that begin to stretch and challenge people without overwhelming them.

### Taking Stakeholder Temperatures

This informal evaluation method is meant to be administered one to one. It allows the agency to "take the temperature" of stakeholders about the change effort. A trusted change team, intervention team, or steering committee member (interviewer) sits alone with a stakeholder. After promising confidentiality, the interviewer asks three questions: (1) On a scale of 1 to 10, with 1 being absolutely the worst performance imaginable and 10 the best performance, where does the organization's performance (or the stakeholder's, in some cases) stand? (2) What is your reason for assigning that number? (3) What would it take to get the organization (or the stakeholder) to 10? Those three questions are repeated for each key stakeholder. The results are tabulated and combined to prepare a report that attributes no specific names but provides combined assessments from the entire population interviewed.

### Supervisor Polling

Another systemwide evaluation technique that can stretch the supportive culture is to poll the supervisors for the most flagrant behavioral violations of the change vision. The top five violations become the basis for feedback development projects to be completed during the year. Each supervisor and manager asks five peers several times over the course of a year about each of the top five behavioral violations and writes down their responses. The responses can be compared to see how they shift over time. This polling requires and builds trust, encourages a learning environment, and has a powerful track record whenever it is successfully completed.

### Sharing Learning on a New Procedure

A group of probation officers was tasked with developing and implementing a new procedure for failure-to-report violations. Once the procedure was put in place, the intervention team created a blog on the agency intranet for

officers to post their experiences with the new procedure. Team members monitored the blog regularly and used the posts to capture information about what it was like to use the new procedure. The blog allowed them to take the temperature of the officers and supervisors on the new procedure. The team members posted reports regularly that synthesized all that was learned, and they led related discussions at staff meetings. The reports included changes in the number of failure-to-report violations before implementing the new procedure and each month after implementing it. This allowed the officers to track whether or not the new procedure was making any difference in their clients' behavior and the officers' ability to comply with the terms and conditions of supervision.

## Change Management Assessments

The assessments in this section apply specifically to change management. Other assessments are available under the other domains that may apply to change, management, and higher performance of the organization. A complete list of assessments is available in *Applying the APEX Tools for Organizational Assessment* in this series. Web links are provided for most of these assessments in the "description" column of the chart below.

| Full Name | Author | Description |
|---|---|---|
| Change Abilitator | LHE Inc. | This tool identifies six types of concerns experienced by employees, managers, and so on, when change is introduced in their team or organization so that these obstacles to change can be overcome. |
| TCU (Texas Christian University) Organizational Readiness for Change (2 versions) (ORC) | TCU, Institute of Behavioral Research | The tool has two versions: Director and Staff. Director categories: program needs, staff training needs, pressure for change (sources), and 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 use. See the program director version at *www.ibr.tcu.edu/pubs/datacoll/Forms/cj-orc-d-sg.pdf*. See the treatment staff version at *www.ibr.tcu.edu/pubs/datacoll/Forms/orc-s.pdf*. |
| TCU Organizational Readiness for Change—Social Agency Version (TCU ORC-SA) | TCU, Institute of Behavioral Research | The tool is an 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, which are found at *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, or 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. See *www.watsonwyatt.com/us/tools/change*. |

## Chapter References

Brown, P., and D. Hare. 2002. "Rapid Cycle Improvement: Controlling Change." *Arkansas Foundation for Medical Care* 98(10):2–3, *www.ashp.org/DocLibrary/Policy/QII/Rapid-Cycle.aspx,* accessed June 8, 2012.

Campbell, N.M. 2006. *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Level.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

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.

Christensen, G.E., and Crime and Justice Institute. 2008. *Our System of Corrections: Do Jails Play a Role in Improving Offender Outcomes?* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Johnson, S. 1998. *Who Moved My Cheese?* New York: G.P. Putnam and Sons.

Kotter, J. 1996. *Leading Change.* Boston, MA: Harvard Business School Press.

Kotter J., and H. Rathgeber. 2006. *Our Iceberg Is Melting.* New York: St. Martin's Press.

Prochaska, J.O., and C.C. DeClemente. 1983. "Stages and Processes of Self-Change of Smoking: Toward an Integrative Model of Change." *Consulting and Clinical Psychology* 51(3):390–95.

Prochaska, J.O., and C.C. DeClemente. 1994. *The Transtheoretical Approach.* Malabar, FL: Krieger Publishing Co.

## Change Management Bibliography

Aiman-Smith, L. 2004. *What Do We Know about Developing and Sustaining a Culture of Innovation.* Raleigh: North Carolina State University.

Alexander, E. 2009. *Michigan Breaks the Political Logjam: A New Mode for Reducing Prison Populations.* New York: American Civil Liberties Union National Prison Project, *www.aclu.org/files/assets/2009-12-18-Michigan-Report.pdf*, accessed October 26, 2011.

Axelrod, R. 2010. *Terms of Engagement: Changing the Way We Change Organizations.* San Francisco: Berrett-Koehler.

Baker, K.A. 2002. "Innovation." In *The Management Benchmark Study.* Washington, DC: U.S. Department of Energy Office of Science, Air University, *www.au.af.mil/au/awc/awcgate/doe/benchmark/ch14.pdf*, accessed May 25, 2010.

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

Bartholomew, N., G. Joe, G. Rowan-Szal, and D. Simpson. 2007. "Counselor Assessments of Training and Adoption Barriers." *Substance Abuse Treatment* 25(Jun):252–61.

Beckhard, R., and W. Pritchard. 1992. *Changing the Essence: The Art of Creating and Leading Fundamental Change in Organizations.* San Francisco: Jossey-Bass.

Billson, J.M., N. Cebula, C. Innes, 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.

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

Bozeman, B. 2000. "Technology Transfer and Public Policy: A Review of Research and Theory." *Research Policy* 29:627–55.

Broome, K., P. Flynn, D. Knight, and D. Simpson. 2007. "Program Structure, Staff Perceptions and Client Engagement in Treatment." *Substance Abuse Treatment* 33(2):149–58.

Brown, P., and D. Hare. 2002. "Rapid Cycle Improvement: Controlling Change." *Arkansas Foundation for Medical Care* 98(10):2–3, *www.ashp.org/DocLibrary/Policy/QII/Rapid-Cycle.aspx,* accessed June 8, 2012.

Cameron, K., and R. Quinn. 2006. *Diagnosing and Changing Organizational Culture.* San Francisco: Jossey-Bass.

Campbell, J. 2004. "What's New? General Patterns of Planned Macro-Institutional Change." Paper presented to the American Sociological Association, San Francisco, August 14.

Campbell, N.M. 2006. *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Level.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Carr, A. 1997. "The Learning Organization: New Lessons/Thinking for the Management of Change and Management Development?" *Management Development* 16(4):224–31.

Castells, M. 2000. "Toward a Sociology of the Network Society." *Contemporary Sociology* 29(5):693–99.

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. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens.* Washington DC: U.S. Department of Justice, National Institute of Corrections.

Christensen, C.M., H. Baumann, R. Ruggles, and M.T. Sadtler. 2006. *Disruptive Innovation for Social Change.* Watertown, MA: Harvard Business Review Press.

Christensen, G.E., and Crime and Justice Institute. 2008. *Our System of Corrections: Do Jails Play a Role in Improving Offender Outcomes?* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Clarke, G.N. 1995. "Improving the Transition from Basic Efficacy Research to Effectiveness Studies: Methodological Issues and Procedures." *Consulting and Clinical Psychology* 63(5):718–25.

Corrigan, P.W., L. Stiener, G.S. McCracken, B. Blaser, and M. Barr. 2001. "Strategies for Disseminating Evidence-Based Practices to Staff Who Treat People with Serious Mental Illness." *Psychiatric Services* 52 (December):1598–606.

Davis, S.M. 1982. "Transforming Organizations: The Key to Strategy Is Context." *Organizational Dynamics* (Winter):64–80.

Dechenaux, E., B. Goldfarb, S. Shane, and M. Thursby. 2003. "Appropriability and the Timing of Innovation Evidence from MIT Inventions." NBER Working Paper Series, British Library Direct, Cambridge, MA.

Drucker, P. 2002. "The Discipline of Innovation." *Harvard Business Review* (August).

Elliott, D., S. Mihalic, and A. Fagan. 2001. "The Importance of Implementation Fidelity." University of Colorado at Boulder, Institute of Behavioral Sciences, Center for the Study and Prevention of Violence, Boulder, CO.

Farabee, D., M. L. Prendergast, J. Cartier, H. Wexler, K. Knight, and D. Anglin. 1999. "Barriers to Implementing Effective Correctional Drug Treatment Programs." *Prison Journal* 79(2):150–62.

Fixsen, D., S. Naoom, K. Blasé, R. Friedman, and F. Wallace. 2005. *Implementation Research: A Synthesis of the Literature.* Tampa, FL: University of South Florida.

Geffen, M., and J. Kost. 2006. "How Technology Enables Transformation of Human Service Administration." *Policy and Practice of Public Human Services* 64(4):14–17.

Gladwell, M. 2000. *The Tipping Point: How Little Things Can Make a Big Difference.* New York: Little, Brown and Company.

Greene, J., and M. Mauer. 2010. *Downscaling Prisons: Lessons from Four States.* Washington, DC: The Sentencing Project, *www.sentencingproject.org/doc/publications/publications/inc_DownscalingPrisons2010.pdf,* accessed September 26, 2011.

Greenhalgh, T., R. Glenn, F. MacFarlane, P. Bate, and O. Kyirakidou. 2004. "Diffusion of Innovations in Service Organizations: Systemic Review and Recommendations." *Millbank Quarterly* 82(4):581–629.

Harvard Business Review. 2006. *Leading Through Change.* Boston: Harvard Business School Press.

Heerwagen, J.H. 2002. "Creativity." In *The Management Benchmark Study.* Washington, DC: U.S. Department of Energy Office of Science, Air University, *www.au.af.mil/au/awc/awcgate/doe/benchmark/ch15.pdf,* accessed January 24, 2012.

Hesselbein, F., and R. Johnson, eds. 2002. *On Leading Change.* San Francisco: Jossey-Bass.

Hiatt, J.M. 2006. *ADKAR: A Model for Change in Business, Government and Our Community.* Loveland, CO: Prosci Learning Center Publications.

Holman, P., T. Devane, and S. Cady. 2007. *The Change Handbook.* San Francisco: Berrett-Koehler.

Hultman, K. 1998. *Making Change Irresistible.* Palo Alto, CA: Davies-Black.

Hutton, D. 1994. *The Change Agent's Handbook.* Milwaukee, WI: ASQC Quality Press.

Johnson, S. 1998. *Who Moved My Cheese?* New York: G.P. Putnam and Sons.

Koppel, T. 1999. *The Deep Dive.* New York: ABC News Nightline (DVD).

Kotter, J. 1996. *Leading Change.* Boston: Harvard Business School Press.

Kotter, J.P., and D.S. Cohen. 2002. *The Heart of Change.* Boston: Harvard Business School Press.

Kotter, J., and H. Rathgeber. 2006. *Our Iceberg Is Melting.* New York: St. Martin's Press.

Kübler-Ross, E. 1997. *On Death and Dying.* New York: Scribner.

Kurz, C., and D. Snowden. 2003. "The New Dynamics of Strategy: Sense-making in a Complex and Complicated World." *IBM Systems Journal* 42(3):462–83.

Levasseur, R.E. 2009. "People Skills: Implementing Strategic Goals—A Change Management Perspective." *Interfaces* 39(4):370–72.

Levasseur, R.E. 2010. "People Skills: Ensuring Project Success—A Change Management Perspective." *Interfaces* 40(2):213–16.

Lloyd, S.R., and I.M. Halasz. 1999. *Building Teams: Skills for the Effective Team Leader.* Washington, DC: American Media, Inc., and the American Correctional Association.

Maginn, M. 2006. *Managing in Times of Change.* New York: McGraw-Hill.

Mandeville, M. 2004. "Revamping the Inmate Reentry Process in Michigan." Corrections.com (January 19), *www.corrections.com/articles/1122-revamping-the-inmate-reentry-process-in-michigan,* accessed September 26, 2011.

Mihalic, S., and K. Irwin. 2003. "Blueprints for Violence Prevention: From Research to Real World Setting—Factors Influencing the Successful Replication of Model Programs." *Youth Violence and Juvenile Justice* 1(4):307–29.

Mihalic, S., K. Irwin, A. Fagan, D. Ballard, and D. Elliott. 2004. *Successful Program Implementation: Lessons from Blueprints.* Washington, DC: U.S. Department of Justice, Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention.

Mogelson, L. 2010. "Prison Break." *Washington Monthly* (November/December), *www.washingtonmonthly.com/features/2010/1011.mogelson.html,* accessed September 20, 2011.

Nutley, S., I. Walter, and H. Davies. 2002. *From Knowing to Doing: A Framework for Understanding the Evidence-into-Practice Agenda.* Edinburgh, Scotland: University of St. Andrews, Research Unit for Research Utilisation.

Ortega-Courtney, K., G. Joe, G. Rowan-Szal, and D. Simpson. 2007. "Using Organizational Assessment as a Tool for Program Change." *Substance Abuse Treatment* 33(2):131–37.

Pierce-Danford, K., and M. Guevara. 2010. *Commonwealth of Virginia: Roadmap for Evidence-Based Practices in Community Corrections.* Crime and Justice Institute at Community Resources for Justice, *www.crj.org/cji/entry/publication_ebproadmap,* accessed June 8, 2012.

Porter, N.D. 2011. *On the Chopping Block 2012: State Prisons Closing.* Washington, DC: The Sentencing Project, *www.sentencingproject.org/doc/publications/On%20the%20Chopping%20Block%202012.pdf,* accessed February 11, 2013.

Prochaska, J.O., and C.C. DeClemente. 1983. "Stages and Processes of Self-Change of Smoking: Toward an Integrative Model of Change." *Journal of Consulting and Clinical Psychology* 51(3):390–95.

Prochaska, J.O., and C.C. DeClemente. 1994. *The Transtheoretical Approach.* Malabar, FL: Krieger Publishing Co.

Rehm, R. 1999. *People in Charge: Creating Self-Managing Workplaces.* Gloucestershire, England: Hawthorn Press.

Rehm, R., N. Cebula, F. Ryan, and M. Large. 2002. *Futures that Work: Using Search Conferences to Revitalize Companies, Communities and Organizations.* Gabriola Island, British Columbia, Canada: New Society.

Robertson, P., and S. Seneviratne. 1995. "Outcomes of Planned Organizational Change in the Public Sector: A Meta-Analytic Comparison to the Private Sector." *Public Administration Review* 55(6):547–58.

Robison, J. 2011. "Overcoming the Fear of Change." *Gallup Business Journal (January), http://gmj.gallup.com/content/145484/overcoming-fear-change.aspx,* accessed January 24, 2012.

Rogers, E. 2003. *Diffusion of Innovations.* New York: Free Press.

Rosenheck, R.A. 2001. "Organizational Process: A Missing Link between Research and Practice." *Psychiatric Services* 52(12):1607–12.

Rowan-Szal, G., J. Greener, G. Joe, and D. Simpson. 2007. "Assessing Program Needs and Planning Change." *Substance Abuse Treatment* 33(2):121–29.

Saldana, L., J. Chapman, S. Henggeler, and M. Rowland. 2007. "The Organizational Readiness for Change Scale in Adolescent Programs: Criterion Validity." *Substance Abuse Treatment* 33(2):159–69.

Saveri, A., H. Reingold, and K. Vian. 2005. *Technologies of Cooperation*. Palo Alto, CA: Institute for the Future.

Senge, P. 1999. *The Dance of Change*. New York: Doubleday.

Simpson, D. 2002. "A Conceptual Framework for Transferring Research to Practice." *Substance Abuse Treatment* 22(4):171–82.

Simpson, D., and P. Flynn. 2007. "Moving Innovations into Treatment: A Stage-Based Approach to Program Change." *Substance Abuse Treatment* 33(2):111–20.

Simpson, D., G. Joe, and G. Rowan-Szal. 2007. "Linking the Elements of Change: Program and Client Responses to Innovation." *Substance Abuse Treatment* 33(2):201–09.

Skinner, B.F. 1972. *Beyond Freedom and Dignity*. New York: Alfred A. Knopf.

Sutton, R. 2003. "Sparking Nonprofit Innovation." *Stanford Social Innovation Review* 1(1):42–49.

Tsai, H., and M. Yamin. 2006. *Organizational Influences on Innovation Transfer in Multinational Corporations.* Manchester, England: Manchester Business School University of Manchester.

Tsui, E. 2002. *Technologies for Personal and Peer-to-Peer (P2P) Knowledge Management.* North Sydney, Australia: Computer Sciences Corporation Leading Edge Forum, *http://go.webassistant.com/wa/upload/users/u1000057/p2p_km.pdf.*

Wejnert, B. 2002. "Integrating Models of Diffusion of Innovations: A Conceptual Framework." *Annual Review of Sociology* 28:297–396.

Zald, M. 2004. "Making Change: Why Does the Social Sector Need Social Movements?" S*tanford Social Innovation Review* 2(1):24–34.

## Web Links

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**AWEC: Association of Women Executives in Corrections**
*www.awec.us*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications* or *www.baldrige.com*

**Center for Effective Public Policy**
*www.cepp.com*

**Collaborative Justice: Managing Change**
*www.collaborativejustice.org/resources.htm*

**Correctional Service Canada: Review of Change Management Practices**
Internal Audit Branch, 378-1-239, April 3, 2008
*www.csc-scc.gc.ca/text/pa/adt-rvw-chng-mgmnt-378-1-239/rvw-chng-mgmnt-378-1-239-eng.shtml*

**NAAWS: North American Association of Wardens and Superintendents**
*http://NAAWS.corrections.com*

**NIC: National Institute of Corrections**

- **Information Center**
  *http://nicic.gov*
- **Training Programs**
  *http://nicic.gov/Training*

# Chapter 4: Leadership

## Introduction

Great leadership is essential to corrections. This chapter is designed to complement the book *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance* (which can be downloaded from the National Institute of Corrections' [NIC] website *http://nicic.gov/APEX*). The information that follows will help people identify leadership qualities and strengths, improve and build on existing leadership skills, and maintain and expand those skills.

The first section of this chapter provides guiding questions, tools, interventions, and exercises for assessing and identifying leadership styles and leadership strengths, engaging those strengths, and assessing leadership capacity. Because leadership can be learned and enhanced, this chapter presents methods to build one's ability to lead, including reflection, self-management, staff engagement, feedback, mentoring, and coaching.

The rest of the chapter provides additional resources. Case studies of leadership in action, as presented in *Achieving Performance Excellence,* are also included. Information about assessments—a critical part of determining how to improve performance—as well as references, a bibliography, and Web links are provided.

## Guiding Questions

Guiding questions in six areas are included to help leaders and others in correctional organizations understand various aspects of the Leadership domain and discover ideas for improvement. The questions align with the focus on higher performance in the APEX (Achieving Performance Excellence) Guidebook series and in the Baldrige Performance Excellence Program (Baldrige National Quality Program 2011).

**1. Vision and values**

- How does leadership set the vision and values of the organization and disseminate them throughout the organization and beyond?
- How does leadership demonstrate commitment to the organization's values?

**2. Legal and ethical behavior**

- How does leadership show commitment to legal and ethical behavior?
- How does leadership support this commitment within the organizational environment?

3. **Sustainability**

- How does leadership create an environment for high organizational performance?
- How does leadership create an efficient and effective workforce environment that fosters stakeholder engagement and satisfaction?
- How does leadership create an environment that enables a learning organization?
- How do leaders enhance and develop their own leadership skills?
- How does leadership provide for organizational learning and the development of future leaders?

4. **Communication and organizational performance**

- How does leadership encourage open communication within the organization?
- How does leadership effectively communicate key decisions?
- How does leadership actively reward and recognize efforts to improve organizational performance?
- How does leadership identify needed actions and create action plans to accomplish objectives, improve performance, and pursue the vision?
- How does leadership create and balance value for internal and external stakeholders with respect to organizational performance?

5. **Governance and societal responsibilities**

- How does the organization review accountability for leadership, fiscal accountability, transparency in operations and disclosures, independence in audits, and protection of stakeholders' interests?
- How does the organization evaluate the performance of its leaders?
- How does the organization address its operations' adverse effects on society?
- How does the organization promote and ensure ethical behavior in all interactions?
- How well does the organization meet its mission of maintaining public safety and preserving safe and secure settings and supervision?
- How does the organization ensure community well-being, as well as the well-being of other key stakeholder groups?

6. **Considerations for change initiatives**

- Which leaders have the most to gain or lose in this effort?
- How important are leaders and leadership to the success of this initiative?

- Who can champion this initiative?
- Who can stop or impede this initiative?

## Tools and Interventions

The tools and interventions in this section include Assessing and Identifying Leadership Styles, Assessing and Engaging Leadership Strengths, Transformational Leadership and Adaptive Change, Building the Ability to Lead, Leadership Practice Interventions, and Leading a Team: A Decisionmaking Process. Every correctional agency has a unique combination of strengths and weaknesses. To succeed, each change initiative will involve some degree of effort and modification of the tools and interventions in this and other chapters in this book. Setting the stage for change by preparing staff members and being flexible and innovative in customizing tools and interventions will make the change process easier and more efficient.

### Assessing and Identifying Leadership Styles

#### Leadership Styles: Three Models

Some people seem to be born with good leadership skills, others can learn to lead or improve their existing abilities. Leadership styles greatly influence the direction and culture of an agency and the quality of work produced by the staff. No one leadership style fits every situation; knowing one's natural inclinations can help support one's strengths and clarify areas for development.

Leadership styles or models generally look at the emphasis a leader places on people or on tasks. Thus, the Leadership domain is influenced by the leader's beliefs about how to motivate others and how to prioritize the tasks at hand. Different leadership styles emphasize rewards and appraisals according to beliefs about what motivates people to accomplish tasks successfully.

Several models of leadership are discussed in the literature. The following are brief descriptions of three models.

**1. Situational leadership**

Paul Hersey and Kenneth Blanchard (1977) developed the situational leadership model that encourages leaders to adjust their behaviors according to the situation. Leaders may emphasize tasks and/or relationships; the amount of emphasis placed on each varies according to the competence and maturity level (able or unable) and commitment and self-confidence (willing or unwilling) of the staff. The result is four staff outlooks:

- *Unable and unwilling:* lacking skills and lacking willingness.
- *Unable and willing:* lacking skills but willing.
- *Able but unwilling:* having skills and lacking willingness, perhaps because of low confidence.
- *Able and willing:* having skills and willing.

These four combinations of staff competence/maturity and commitment/self-confidence elicit the following leadership styles:

- *Telling/directing style:* The focus is on the task and on building skills and confidence.
- *Selling style:* The leader works on the relationship to increase confidence in skills and commitment to the task at hand.
- *Participating/facilitating style:* This shared decisionmaking approach helps build buy-in and willingness from the staff.
- *Delegating style:* The leader recognizes the skills and willingness of the staff and works to get out of the staff's way.

**2. Distributed leadership**

The distributed leadership model builds a leadership mentality within the organization. Rather than relying on top-down leadership, the organization and leadership become collaborative and shared. The organizational head takes the lead, but others in the organization also take initiative and responsibility. The dynamic shifts from having power over to sharing power with, or power through, and places greater emphasis on developing a culture where people are empowered to work toward a shared vision (Spillane 2006).

**3. Transformational leadership**

Atwater and Bass's transformational leadership model (Bass and Riggio 2005) goes beyond the traditional transactional leadership style in which staff is believed to be motivated by rewards and punishment. Instead, transformational leaders consider other motivators of exceptional performance, also known as the four I's: idealized influence, intellectual stimulation, individual consideration, and inspirational motivation.

- **Idealized influence** is the ability of a leader to generate enthusiasm and draw people together with a unified vision through supporting their efficacy and building their interest. It includes being a role model and exhibiting behavior that staff members look up to (e.g., taking responsibility for actions and being passionate about vision and goals).
- **Intellectual stimulation** is a leader's ability to be an innovative and creative problem solver and, more important, to develop and support this skill within the team.
- **Individual consideration** involves getting to know staff members and treating them as individuals. It can include coaching and mentoring staff members and responding flexibly to their needs.
- **Inspirational motivation** is a leader's ability to generate motivation from within the staff rather than imposing motivation from without. It can include asking questions, encouraging high expectations, and unifying the team in a shared vision that staff members are passionate about.

## Intervention: Examining Leadership Styles

The following steps provide an outline for examining leadership styles through an intervention exercise.

1. Create an opportunity for senior managers to have a frank discussion about their managerial styles and the resulting effects on the organization. Prioritize the barriers to, as well as the facilitators of, developing greater awareness of each person's managerial style as well as a more flexible managerial style.

2. Of the four different models of leadership discussed above, which does management gravitate toward? What has been learned through review of the styles?

3. Does the organization emphasize production or tasks? What value does management place on concern for people in the organization? How is that demonstrated to the workforce?

4. Identify some beliefs about what motivates staff members to excel in their work. How do those beliefs support or hamper the development of the organization?

5. Complete the Transformational Leadership Assessment located after this intervention. Add each manager's scores in each of the four I's of transformational leadership.

6. Discuss the scores as a management team. What are areas of strength and areas for development?

7. What culture has developed in the organization as a result of these strengths in leadership styles? What are the benefits and drawbacks of the developed culture?

8. How do managers provide support and recognition to the workforce? How do managers reward not only the high performers but also those staff members who are highly motivated and willing to take healthy risks? How do managers provide support and recognition to each other?

9. What is the level of commitment from managers to develop their leadership skills? What training is provided to new and current managers? How are skills sustained and coached? What peer support is available for new and veteran managers?

The learning in this intervention exercise is based on examining individual's leadership styles and the styles most commonly found in the organization. The Transformational Leadership Assessment below seeks to identify areas of strength and areas for development among the four I's that transformational leaders use to motivate exceptional performance in others.

Add up scores for individuals for each of the four sections, and ask leadership team members to do the same. Find the average score and the range of scores for the leadership team. Develop a team matrix that lists the total score for each team member as well as the average score. Which of the four I's received the strongest endorsement? Which received the weakest endorsement? Develop a team plan for supporting the strengths and developing areas that need growth. Implement a strategy of support and coaching to develop the Transformational Leadership of the team.

## Transformational Leadership Assessment

Use this assessment to determine where a leader stands with respect to the four I's:

| Idealized Influence | No (0) | Maybe (1) | Yes (2) | YES! (3) |
|---|---|---|---|---|
| 1. I am able to create and convey a clear vision of the future. | 0 | 1 | 2 | 3 |
| 2. I inspire confidence in my decisionmaking ability. | 0 | 1 | 2 | 3 |
| 3. I am able to generate buy-in for the ideas or direction being pursued. | 0 | 1 | 2 | 3 |
| 4. People look up to me as an example. | 0 | 1 | 2 | 3 |
| 5. I continually demonstrate high standards of practice. | 0 | 1 | 2 | 3 |
| 6. I take responsibility for my actions and the results of my actions. | 0 | 1 | 2 | 3 |
| 7. People are able to see my passion about our vision and goals. | 0 | 1 | 2 | 3 |

TOTAL **Idealized Influence** _____

| Individual Consideration | No (0) | Maybe (1) | Yes (2) | YES! (3) |
|---|---|---|---|---|
| 1. I ask questions to test and understand other people's thinking. | 0 | 1 | 2 | 3 |
| 2. I encourage others to challenge their own ideas. | 0 | 1 | 2 | 3 |
| 3. Staff members see me challenge the status quo. | 0 | 1 | 2 | 3 |
| 4. People see me as an innovative problem solver. | 0 | 1 | 2 | 3 |
| 5. I inspire creative problem solving in others. | 0 | 1 | 2 | 3 |
| 6. I demonstrate the ability to quickly gain insight into issues at hand. | 0 | 1 | 2 | 3 |
| 7. I encourage others to work to their best potential. | 0 | 1 | 2 | 3 |

TOTAL **Intellectual Stimulation** _____

| Intellectual Stimulation | No (0) | Maybe (1) | Yes (2) | YES! (3) |
|---|---|---|---|---|
| 1. I am interested in and curious about the other person's viewpoint. | 0 | 1 | 2 | 3 |
| 2. I discuss my staff members' professional aspirations with them. | 0 | 1 | 2 | 3 |
| 3. I encourage self-directed professional goal setting. | 0 | 1 | 2 | 3 |
| 4. I listen when people talk and look for underlying thoughts and feelings. | 0 | 1 | 2 | 3 |

| | | | | |
|---|---|---|---|---|
| 5. I am seen as a coach and mentor. | 0 | 1 | 2 | 3 |
| 6. I develop teams based on strengths of the individuals in the team. | 0 | 1 | 2 | 3 |
| 7. I respond flexibly (by changing my style and approach) to the different needs of the individual staff members. | 0 | 1 | 2 | 3 |

TOTAL **Individual Consideration** _____

| Inspirational Motivation | No (0) | Maybe (1) | Yes (2) | YES! (3) |
|---|---|---|---|---|
| 1. I am able to help people find their own motivation for moving forward. | 0 | 1 | 2 | 3 |
| 2. I inspire people to commit to a shared purpose and goal. | 0 | 1 | 2 | 3 |
| 3. I encourage high expectations and get pleasure from watching people exceed their own expectations. | 0 | 1 | 2 | 3 |
| 4. I ask questions and listen for input from the staff. | 0 | 1 | 2 | 3 |
| 5. I encourage people to express their beliefs and values and explore how they align with the agency direction. | 0 | 1 | 2 | 3 |
| 6. I recognize and support people when they take personal initiative. | 0 | 1 | 2 | 3 |
| 7. I build on people's energy and investment for different tasks. | 0 | 1 | 2 | 3 |

TOTAL **Inspirational Motivation** _____

### Management Team Score Summary Table

Combine all of the participant scores to develop a work team summary using a table like this one:

| Respondent | Influence | Stimulation | Consideration | Motivation |
|---|---|---|---|---|
| **Jones** | 7 | 13 | 5 | 7 |
| **Williams** | 14 | 8 | 12 | 15 |
| **Ellis** | 21 | 19 | 16 | 15 |
| | | | | |
| | | | | |
| **TOTAL** | 42 | 40 | 33 | 37 |
| **AVERAGE SCORE** | 14 | 13 | 11 | 12 |

## Assessing and Engaging Leadership Strengths

No matter what level of leadership—executive, senior manager, middle manager, or supervisor level—the leader's style relates directly to his/her own personality and individual leadership strengths (Campbell 2005).

Many leadership coaches and books counsel leaders to focus more on their *strengths,* yet leaders continue to focus on their own and their follower's *weaknesses*. Research suggests that this is a mistake. Just as correctional agencies need to take more of an asset- or strengths-based approach to working with clients, individuals should do the same. Many helpful tools are available.

### Strengths-Based Assessments

A variety of strengths-based assessments are available for leaders and others. The Myers-Briggs personality-type assessment process helps discern the unique strengths of each personality type, and many people have used it to great benefit. The DiSC® assesses the dimensions of human behavior (**Dominance, Influencing, Steadiness,** and **Conscientiousness**) and helps people understand why they do what they do. Both the Myers-Briggs and the DiSC assessments must be administered by a person trained and certified in these instruments.

*Strengths-Based Leadersh*ip (Rath and Conchie 2009) is a strengths system from the Gallup organization. Included in the book is the StrengthsFinder 2.0 self-assessment tool. It helps individuals identify what kind of leader they are and the leadership strengths they possess, and it offers recommendations for developing and using one's strengths to develop leadership abilities. Rath and Conchie have identified four leadership categories:

1. **Executing.** Leaders who are strong in executing know how to make things happen. They work tirelessly to get things done. They catch onto ideas and make them a reality.

2. **Influencing.** Leaders with influencing as a strength help their team reach a broad audience. These leaders sell the team ideas both inside and outside of the organization.

3. **Relationship building.** Leaders with relationship-building strength create teams and act as the glue that holds the team members together.

4. **Strategic thinking.** Leaders strong in strategic thinking have a natural ability to keep everyone focused on the potential of the team. They absorb and analyze a great deal of information that helps the team make better decisions and come up with new ideas and ways of solving problems.

Most leaders' top five strengths fall into two or three of these four categories, though all five could fall into a single category. The leadership structure of any correctional organization should strive for a diverse group of different leaders who bring different strengths.

Using the StrengthsFinder 2.0 self-assessment for each leader on various teams enables one to chart the strengths of the team, not just the individuals. People with strengths in areas where the rest of the team is weak can create balance. In exhibit 4–1, the team is powerful but has been experiencing conflict that hampers its productivity. The team lacks someone with relationship-building skills. Now the team has the information it needs to create a plan to address this gap and create a more balanced leadership team.

## Exhibit 4–1: Team Leadership Strengths Distribution Chart

| Team Members | Executing | Influencing | Relationship Building | Strategic Thinking |
|---|---|---|---|---|
| Mary | Yes | Yes | | |
| Susan | Yes | | | Yes |
| Byron | Yes | Yes | | Yes |
| Romero | Yes | Yes | | |
| Vacant Position | | | | |
| TOTAL: | | | | |

### Engaging Leadership Strengths

**Leaders should do the following:**

- Learn more about their unique strengths as a leader and develop them.
- Consider taking some kind of assessment to help clarify their strengths.
- Take a strengths-based approach to developing the leaders around them. Consider having the entire leadership team assessed for strengths as well.
- Map out the strengths of the leadership team and consciously seek ways to increase the diversity of strengths on the team.
- Develop leadership training and coaching strategies that help members of the leadership team work in a complementary fashion with other leaders who have different strengths.
- Learn to rejoice in and have fun with one's own strengths and the strengths of the leadership team.

**Several ideas are important to remember when engaging leadership strengths:**

- Every leader on the team has particular leadership strengths.
- Each person's leadership strengths complement the strengths of other leaders on the team.
- The more leaders know about and focus on their strengths rather than their weaknesses, the more effective they will be.
- Every leadership team needs people with strengths in each of the four complementary areas and should build a matrix using an assessment method that clearly shows the strengths of each member on the team.
- If strength gaps exist, the leadership team needs to find new people who can fill those gaps.

- Team leaders need to learn more about their own strengths and develop teams that have diverse strengths and skills.
- A strengths-based approach to leadership, compared to a weakness-based approach, fosters more growth, productivity, and engagement at work, and less stress and turnover.

Exhibit 4–2 shows an example of leadership strengths with scoring to help identify areas where stronger leadership is needed. Not only does this team need someone with strong relationship-building skills (currently at 0 percent), but it should also consider hiring someone with strong strategic thinking skills (currently at 50 percent):

### Exhibit 4–2: Team Strengths with Scoring

| Team Members | Executing | Influencing | Relationship Building | Strategic Thinking |
|---|---|---|---|---|
| Mary | Yes | Yes | | |
| Susan | Yes | | | Yes |
| Byron | Yes | Yes | | Yes |
| Romero | Yes | Yes | | |
| Vacant Position | | | | |
| TOTAL: | 100% | 75% | 0% | 50% |

## Transformational Leadership and Adaptive Change

The mission of the correctional system is to protect and create what it values—the dignity, safety, and healing of people and society—and continuously adapt to changing times and needs in a way that makes these transcendent values a reality.

Transformational leaders help people move beyond the multiple tasks, to-do lists, and moral questions of everyday life into the realm of meaning and value at the core of humanity and community. Transformational leaders know their trade well and handle business as usual; but they do more than just manage the normal transactions and expectations of managers and staff members that make organizations function well. Transformational leaders help organizations, staff members, and themselves make what Kegan and Lahey (2009) call *adaptive change* as opposed to *technical change.*

Technical changes expand the horizon of the organization, but the organization, built on what already existed, looks at the broadened horizon from the same vantage point. Adaptive changes allow the staff and the organization to operate in a transformed context or situation and to have a completely new horizon with a whole new set of possibilities for the organization. Transformational leaders help an organization and its staff to move toward this new perspective and these new possibilities.

Every correctional leader harbors some level of desire to be a transformational leader, to bring about this kind of change, even if they are not very confident that they can. After all, corrections is about public service, serving

values that are beyond the legitimate need for a paycheck. Like other professionals, correctional leaders are motivated less by money and more by their need to find autonomy, mastery, and purpose in their work (Pink 2011). Eggers and Gray (2012) say that high performance and satisfaction result when people feel they are directing their own lives, creating, and contributing to the world.

Most correctional leaders already are, or have the potential to become, transformational leaders, yet transformational leadership seems to be the exception rather than the rule in corrections. Developing transformational leadership skills can make a difference, whether in increased pro-social success for clients, a healthier correctional work environment, and/or safer communities with more human dignity.

### Intervention: Developing a Transformational Leadership Team, Part 1

Leaders should ask themselves the following questions:

1. Do I focus more on the good of society, my organization, and my staff than on my own self-interests?
2. Do I get pleasure from advancing the self-efficacy or confidence of my staff members in their ability to exceed their own expectations?
3. Do I want to change the culture of my organization and make it more humane and compassionate for everyone, including staff members and clients?
4. Do I have some fear that if I take risks as a correctional leader I might fail and be punished for those failures?
5. Do I want to work with my colleagues, and the people I lead, in a way that helps us raise each other to higher levels of motivation and morality?
6. Do I want to help the general public, my work colleagues, and our clients understand how important it is that we learn how to live with less violence and crime?
7. Do I want to find a way to proactively communicate a sense of vision and direction to my staff that will allow us to grow and develop even in these difficult times of economic stress and cutbacks?

For the seven questions above, each person responding scores one point for a "Yes" and zero points for a "No" answer. The group can then calculate the average score for each question. Creating a matrix, like the one in exhibit 4–3, is one way to capture this information. To facilitate the discussion of the transformation leader assessment, ask the following questions:

- Which question received the highest score or the strongest endorsement?
- Which question received the lowest score or the weakest endorsement?
- For those who answered "No" to any question, what was it about the question that led to this response?

## Exhibit 4–3: Transformational Leadership Assessment, Part 1

| | Question 1 | Question 2 | Question 3 | Question 4 | Question 5 | Question 6 | Question 7 |
|---|---|---|---|---|---|---|---|
| Shelby | 1 | 1 | 1 | 0 | 1 | 1 | 1 |
| John | 1 | 1 | 0 | 1 | 1 | 0 | 1 |
| Maria | 0 | 1 | 0 | 1 | 0 | 1 | 0 |
| Alfred | 1 | 0 | 0 | 1 | 0 | 1 | 0 |
| George | 0 | 1 | 1 | 1 | 0 | 1 | 1 |
| Average Score | 0.6 | 0.8 | 0.4 | 0.8 | 0.4 | 0.8 | 0.6 |

In this example, questions 2, 4, and 6 received the highest endorsement from the leadership team. Questions 3 and 5 received the lowest. The members of the leadership team were able to have an open and honest discussion about their responses to each of the questions. This led them to realize that they all had slightly different views of their agency's culture. They decided to take the Organizational Culture Assessment Instrument (Cameron and Quinn 2006) after they completed Part 2 of the intervention (below). The culture assessment would help them gain a better sense of different types of organizational culture and which types each of them preferred.

### Intervention: Developing a Transformational Leadership Team, Part 2

In Part 2 of the exercise, leaders should ask the same questions, worded differently:

1. How can I focus more on the good of society, my organization, and my staff than on my own self-interests?
2. How can I further advance the self-efficacy or confidence of my staff members in their ability to exceed their own expectations?
3. What more can I do to change the culture of my organization and make it more humane and compassionate for everyone, including staff members and clients?
4. How can I overcome my fear of taking risks as a correctional leader and being punished if I fail?
5. How can I work more with my colleagues, and the people I lead, in a way that helps us raise each other to higher levels of motivation and morality?
6. What more can I do to help the general public, my work colleagues, and our clients understand how important it is that we learn how to live with less violence and crime?
7. What more can I do to proactively communicate a sense of vision and direction to my staff that will allow us to grow and develop even in these difficult times of economic stress and cutbacks?

First, each person can write his/her answers to these questions. Set time aside in a meeting to discuss the answers to the second set of questions. Discuss what the responses mean for the organization, using these questions to guide the discussion:

- What will it take to create a more transformational leadership team?
- What opportunities are available for mentoring, coaching, and/or leadership development?
- Who is interested in and would benefit from these opportunities?

The leadership team, from the example in Part 1, developed a training plan, which included attending the NIC Academy's Correctional Leadership Development training as well as finding mentors for those who wanted to improve their transformation leadership skills and abilities.

These two sets of questions present characteristics of transformational leaders (Eggers and Gray 2012). Developing this side of a leader's abilities is an important part of improving organizational performance. Books such as *Immunity to Change: How to Overcome It and Unlock the Potential in Yourself and Your Organization* (Kegan and Lahey 2009) and *Achieving Performance Excellence: The Influence of Leadership Organizational Performance* (Cebula et al. 2012) have helpful information for those who want to explore this style of leadership. Some organizations support individuals who want to develop their transformational leadership skills by providing mentors or coaches or by encouraging groups of colleagues to meet and support each other's growth as transformational leaders.

The correctional system has to respond to changing societal needs and to the highest values of society. For this to happen, transformational leaders are required. Such growth takes courage and requires a great deal of support and coaching. Leaders in higher-performing organizations are willing to take risks and to increase the level of support and coaching around their development as transformational leaders.

The Danish philosopher Søren Kierkegaard believed that satire and irony help people question "business as usual" and reflect on the ethics or morality of everyday life. Kierkegaard also believed that humor goes beyond the function of irony and satire. Whereas irony helps move people into the moral realm, humor helps move them into a realm that transcends even the moral realm. In the transcendent realm, the fullness of humanity is somehow realized in a way that is capable of resolving paradox, ambiguity, contradiction, and difference (Dru 1938).

When people find something funny they feel a release from the tensions of life. In the transcendent realm, they find peace beyond suffering, and mercy beyond justice. On the face of it, being merciful does not make sense from a strict justice point of view. Yet everyone, at times, needs mercy, especially in the world of work. Transformational leaders help their followers and the correctional system move into this transcendent realm.

## Building the Ability to Lead

### Self-Reflection

Self-reflection provides an opportunity to observe oneself and consider the consequences of one's beliefs, habits, actions, and attitudes. It is an opportunity to look in the mirror and ask, *Who am I? How do others see me?* and *Is this the image I want to portray?* When a leader is aware of his/her strengths and what is working well, he/she can capitalize on those strengths. When a leader is aware of his/her weaknesses or what is derailing him/her, he/she can make improvements. Reflection clarifies the leader's choices about how to handle himself/herself and highlights options for changes to increase effectiveness and personal satisfaction.

Reflection can help the leader identify ways in which to excel as well as ways in which to fill gaps in performance. A leader can reflect on these elements:

- *Personal strengths and limitations.* People succeed because of what they do well. Leaders who know what they are good at have a sense of self-assurance that lets them stand out. When leaders are aware of their strengths, they are able to build on them. Accurate assessment of their limitations helps leaders know when to ask for assistance. It can also help leaders develop a sense of humor about themselves so they are better able to ask for and accept feedback.

- *Aspirations: Comparing actual level of competence to a goal.* Leaders should focus on the gaps in their current performance that need filling and then create a personal development plan. They should compare their current level of functioning with their professional goals and values to ensure they align.

Self-reflection works particularly well for people who are naturally interested in personal and professional improvement. Another way to gain awareness is through the eyes of others.

### Model or Mentors

Self-awareness can be improved by using other people as shortcuts for learning. "If you just observe other people and see how they handle situations that you come across as well, you can more accurately judge your own skill in that situation. It's called benchmarking" (Gallup, Inc. 2006:19). Some leaders set up a formal mentoring relationship with a colleague who preceded them in their current leadership position or someone in another institution or state who does similar work.

Mentoring is a relationship between two people: the mentor, a senior person who has experience and expertise, and the evolving leader. It can be either a formal or an informal relationship where mentors can provide various resources for their mentees. Mentors can be a source of information on expectations and best practices in the field of corrections, serve as a career guide, provide greater exposure for the mentee within the field of corrections, or provide moral support and advice on leadership issues. Individuals can gain from mentorships throughout their career, but having a mentor is especially crucial for managers and supervisors to help them become more familiar with effective practices in corrections.

### Feedback from Others

> *Feedback is the breakfast of champions.*
>
> *—William Burrell*

Heeding the feedback of others can enhance self-awareness. In an interview, Dr. David Dunning, who studies accuracy and illusion in human judgment, stated, "The road to self-insight runs through other people" (Gallup, Inc. 2006:17). Dunning cited a study involving surgical residents, their peers, and supervisors, which focused on specific medical skills. First, the residents rated themselves on the skills. Then they were rated by their peers and supervisors. Finally, the ratings were compared to the results of a skills-based standardized exam. The results showed that the rating of others was actually a much stronger predictor of how well an individual would do on the skills exam than was the self-rating. Dunning's findings show that when people are incompetent, they often do not recognize it (Gallup, Inc. 2006). They may be at the level of unconscious incompetence on the stages of learning

model (Decker 2009). With feedback from others, however, they can become aware of what they need to learn to be more skilled and successful.

Leaders interested in improvement and advancement can seek feedback on their performance, style, and capabilities in several ways:

- *Obtain feedback through informal conversations.* One way leaders can get feedback from others is to ask questions, such as How can I best support you with your project? Do you have the resources you need? What else do you need from me?
- *Obtain feedback from a supervisor.* Performance reviews are the traditional method for getting feedback from a supervisor; however, because reviews are infrequent, the feedback may not be timely. To better meet expectations and understand personal impact, a leader can discuss clear goals with his/her supervisor and update the supervisor frequently on progress toward those goals.
- *Obtain feedback through a formal assessment process.* Many personality and performance tools are available for leaders and organizations. Some of these assessments require the individual to provide self-rating only. Others provide a comparison between the self-rating and the ratings of others. Either way, simply having the data from the assessment is not enough. Any assessment should be done in conjunction with a workshop or a one-on-one feedback session provided by a trained facilitator or coach. This helps the leader learn more about the data, personalize the information, develop a customized action plan, and set up a system for accountability for taking action.

### Skill-Oriented Assessments

Skill-oriented assessments that measure competencies such as emotional intelligence, listening, conflict management, work styles, or job-specific competencies provide information that can increase self-awareness and can assist the leader with creating an action plan to develop skills in a specific area.

Multi-rater assessments or 360-degree feedback compare self-ratings and confidential feedback from others on leadership competencies and behaviors. By participating in a 360-degree feedback process, leaders can get confidential, anonymous feedback from people who work with them, including their supervisor, employees, co-workers, peers, and others. Through the feedback, leaders get a better understanding of how others see their strengths and weaknesses. That understanding can help them build on their strengths and take specific actions to change behaviors that are getting in the way of their leadership success. The feedback can help them direct their self-improvement, which might mean changing behaviors or pursuing additional education and training to develop a skill.

One correctional warden remarked that, after reviewing a 360-feedback assessment, she was able to identify key issues that impeded her ability to lead others effectively because of her perceived authoritarian attitude. Her staff did not see her as open to recommendations for facility change and improvement. Her awareness of how she was viewed by others led her to institute more team building, collaboration, and open communication.

Asking for feedback from others also has a side benefit for the leader. By creating a feedback-friendly culture, leaders can foster an atmosphere in which learning is paramount, people are excited to try new things, and people feel free to give and receive feedback for their own growth as well as the growth of the organization.

## Coaching

Coaching is a confidential relationship between a highly motivated leader and a professional coach trained to help the leader excel and overcome any leadership liabilities. "Masterful coaching is about empowering people to create a future they truly desire based on unearthing what they passionately care about. It involves empowering people to create their lives based on what is deeply purposeful to them" (Hargrove 1995:20). The coach meets with the leader regularly, sometimes by telephone, in the context of the leader's organization to produce positive changes within a limited time frame. For example, the coach might help the leader do the following:

- Develop self-awareness and clarity about his/her mission, vision, values, and goals.
- Better use his/her strengths and abilities.
- Improve employee engagement, resilience, and performance.
- Develop the leadership capacity of the organization.
- Fine-tune communication, decisionmaking, and personal relationship skills.
- Address areas of the organization that are not working properly.
- Deal with the public and other forces external to the institution.
- Create better work/life balance.
- Develop strategies to close the gap between where the leader is and where he/she wants to be as a leader.

The coach is a sounding board for topics that are too delicate to discuss with internal people and is often hired from the business community. The coach comes to the coaching relationship with no agenda other than to help the leader maximize his/her leadership potential and support the leader in reaching goals. As a general rule, executive coaches do not share their own experiences, as mentors do, and do not give advice, as consultants do. The coach's purpose is to facilitate positive changes for the leader and the organization and to encourage the leader to lead in his/her unique way. Coaching helps the leader become more self-aware and better able to lead the institution.

When a leader is self-aware, he/she is better able to manage personal reactions to challenges in both his/her work and personal life. The awareness brings with it the ability to respond rather than react to situations. Without awareness, leaders may get stuck in old habits, beliefs, and behaviors that can be detrimental to leadership success. The higher a leader wants to go in the organization, the more important it is to develop the practice of self-awareness and the next step in self-leadership—self-management and self-development.

One state correctional agency has hired a coach from outside the agency for its newly appointed warden of a women's facility. This relationship enhances the competency of the warden and allows for individual attention on issues related to managing change, team building, and leadership effectiveness.

### Self-Management and Development

*In reading the lives of great men, I found that the first victory they won was over themselves.… Self discipline with all of them came first.*

*—Harry S. Truman*

Once a leader knows what his/her limitations are, it takes self-discipline and self-management to be responsible for who he/she is and what he/she does. Specific self-management behaviors include the following elements:

- *Self-discipline.* Having set personal standards, the leader must actually live up to those standards. It takes discipline to do the thing that needs to be done, when it needs to be done, no matter how inconvenient.
- *Goal setting and regular evaluation.* Goals that are challenging and aligned with the vision and mission of the institution provide a sense of discipline, create momentum, and help the leader manage risk appropriately. Without goals, prioritizing daily challenges is difficult.
- *Time management and prioritization.* Taking time to plan, prioritize, and schedule helps the leader manage the schedule and stay focused on goals, especially when temporarily distracted.
- *Adaptability and resilience.* The ability to adapt to new challenges comes from being able to juggle multiple demands and deal with ambiguity without losing focus and energy.
- *Self-regard and personal confidence.* Leaders who know and accept their strengths and limitations have a realistic sense of who they are. They are able to bring a sense of honesty and grounding to their relationships.
- *Emotional self-control.* Emotions are contagious, and the leader's emotions have a big influence on how it feels to work in the environment of the institution. Leaders who find ways to manage negative emotions and impulses and stay centered and clearheaded under stressful situations practice emotional self-control for their own good as well as the good of the institution. More information on emotional intelligence can be found in the chapter "Focus on the Leader" in *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance* in the APEX Guidebook series.
- *Positive attitude.* Right thoughts lead to right decisions and right actions. These become positive habits for dealing with even trying situations.
- *Choosing a healthy lifestyle.* Good health helps the leader perform best under all circumstances. This includes practicing work/life balance and developing a practice of energy renewal.

### Self-Actualization

*What a man can be, he must be.*

*—Abraham Maslow*

Self-actualization occurs when a person is self-reflective, chooses to self-manage and develop, and lives in alignment with what is most important to himself/herself. This person sets action-oriented goals, loves his/her work or pursuits, and has meaningful relationships. Self-actualization is characterized by the feeling of self-satisfaction

that occurs when a person both accepts shortcomings and embraces strengths and when the person realizes his/her full potential and embodies the characteristics of a person who has high emotional intelligence.

Leaders who live and lead in a self-actualized way have examined their lives and leadership and have made conscious choices about what kind of a person and leader they want to be. Over a period of time, they have also chosen to master a certain level of leadership or to climb the levels of leadership, always with the goal of being the best they can be while living a life of fulfillment.

### Being a Role Model: Leading from Ethics and Values

Leadership ultimately determines the moral climate in the correctional organization. Because ethics and values are central to the leadership mission, they are listed as a competency for all levels of correctional leadership: supervisors, managers, senior-level leaders, and executives. *Leaders must be able to clearly articulate their ethics and values, communicate them to others, demonstrate their commitment to them, and set the expectations for others.*

Steps to building an ethical organization include the following (Campbell 2006):

- *Know the "whats" and "whys" of rules and laws.* This step guides the work of the managers and supervisors and provides information that can help them exercise discretion when needed.
- *Build trust and respect.* In this step, managers build up the social resources needed to aid enforcement and promote accountability.
- *Engage in the whole context.* Managers should know the people involved and understand the context to make the best decision.
- *Model ethical standards and educate others.* "Walk the Talk."
- *Act with courage and endurance.* Sustained performance wins respect and teaches values.
- *Seek help and support.* Managers should be able and willing to seek out help to get through dilemmas or recover from mistakes.

### Employee Development

> *Treat people as if they were what they ought to be and you help them to become what they are capable of being.*
>
> *—Johann Wolfgang von Goethe*

Developing employees is one of the competencies of managers and supervisors (Campbell 2006). Most people want to grow and develop, and the organization must be ready to provide them with the appropriate opportunities. This helps motivate them and keeps them engaged in the mission of the organization.

Employee development involves these three aspects:

1. *Basic skills development.* Helping individuals be successful in their current job.
2. *Performance enhancement.* Providing individuals with opportunities to develop new skills in specific areas related to their current position or career goals.

3. *Preparation for future roles.* Identifying individuals and grooming them for future responsibilities and promotions.

### Onboarding for New Employees

Research shows that new employees take less than 30 days to decide how long they will ultimately stay with an organization. "Onboarding" is a way to welcome, new employees and make them feel that they are part of the organization early on. It can increase their willingness to contribute to their fullest and can also raise their productivity, improve new-hire retention, and increase the success of their team and institution.

Onboarding is much more involved than a tour of the facility; the new hires need to be seen as an investment in the success of the organization. In corrections, new hires often attend a central training academy for orientation and initial training, with additional on-the-job training and coaching once they are in their work site. Leaders who see each new hire as an investment will make sure to include elements in their onboarding process that are similar to the following:

- *Preparation of the new hire.* Before the first day of work, provide the new hire with a roster of future coworkers, a copy of policies and procedures, literature about the organization, and steps to help him/her prepare for the new job. Welcome notes may also be sent before the employee actually starts. State training academies do not give new hires the policies and procedures before arrival. The mandatory pre-service training usually sets the stage for employment expectations before the new hire arrives on the job site.

- *Preparation of the team.* Brief the team on how the new hire will help everyone be more successful and on any changes that the hiring of this person will create.

- *Acculturation.* The direct supervisor creates a written plan so the new hire knows what to do. The plan should include an orientation to team members, the culture, specific facility/agency policies and procedures, processes, and the job. Provide the new hire with an action training plan identifying various skills to learn for the first couple of months so he/she is aware of expectations.

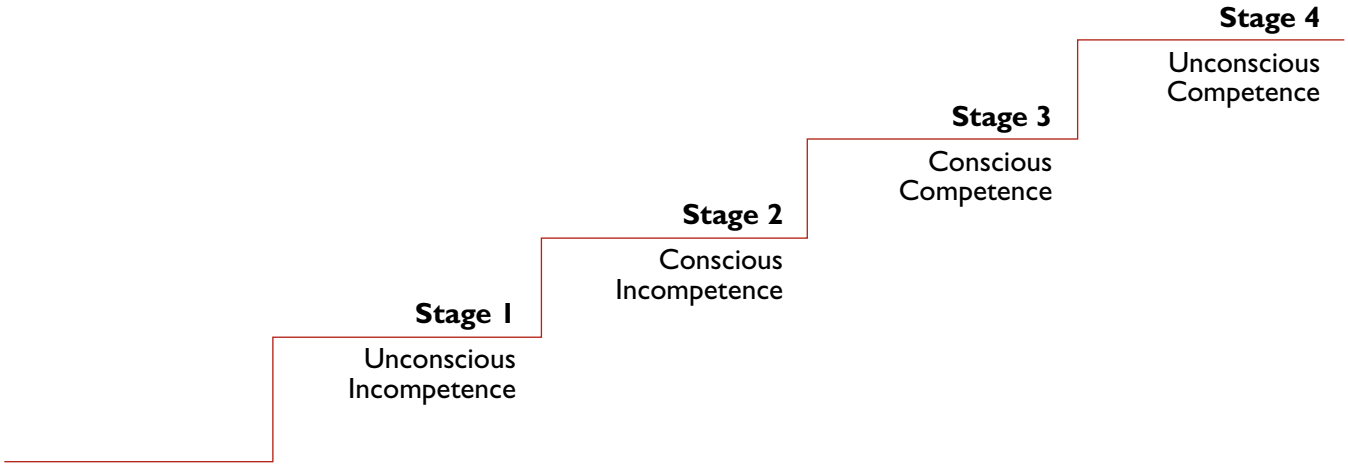
- *Support and training.* Note that the direct supervisor and team members provide most of the connections for the new hire. Consider assigning the new hire a mentor or coach to help him/her settle into the culture and the new job. When a new hire's expectations do not match the reality of the situation, disengagement can take place, thereby threatening productivity and teamwork. The supervisor should engage the new hire in ongoing conversation to address the person's level of comfort with job duties and areas needing more training; how the new hire sees himself/herself contributing to the team and institution; what the new hire is learning and what he/she would like to learn in the future; what the new hire needs from the supervisor; and if the new hire has the training and/or equipment needed to do the job. This kind of one-on-one interaction builds a connection to the supervisor. When the new hire is clear about expectations and knows that the supervisor truly cares, his/her level of engagement will grow (Impastato 2010).

### Continuous Learning Opportunities

Without training, people are reluctant to take on new responsibilities because they do not know how to perform critical tasks. The approach used to develop others depends on their level of expertise and their level of confidence.

The leader is key to the skill development of those under him/her. Using Maslow's stages of learning model (Decker 2009), the leader can assess the needs of each employee and provide the kind of support that each person needs at each stage of learning (exhibit 4–4).

## Exhibit 4–4: Stages of Learning




**Unconscious incompetence stage.** At the beginning of the assessment and training process, the employee may be unaware of his/her own lack of competence in a certain area. The leader may need to approach him/her diplomatically to help the person become aware of how much he/she needs to learn.

**Conscious incompetence stage.** While the employee is learning the steps of a new skill, the leader will need to provide plenty of encouragement, tolerate mistakes appropriately, and provide support to help him/her improve.

**Conscious competence stage.** At this stage, the leader needs to keep the employee focused on effective performance of the task and give plenty of opportunities to practice.

**Unconscious competence stage.** Although this is the ideal stage, the leader will need to make sure that employees at this stage avoid complacency and stay abreast in their field. The leader may also need to remind these employees how difficult it was to reach this state, so they are tolerant and supportive of those who are still learning.

After assessing individual needs and areas of growth, leaders can send their employees to training classes, set up peer instruction or mentoring situations, provide cross training, or coach individuals. Leaders can also provide opportunities for continuous learning by allowing their staff to come up with ideas, brainstorm alternative solutions, and solve problems.

Having self-confidence is important in corrections. Leaders who build self-confidence in their staff members give them the foundation from which to deal with uncharted terrain and to make the tough choices sometimes necessary in this field.

Leaders who have regular one-on-one sessions that involve collaborative conversations learn more about and from their employees. The leader then better understands the development needs of each employee, and the sessions build a relationship with the employee and help the leader do a better job. Kouzes and Posner (2002) recommend the use of the following questions, developed by Marshall Goldsmith, founder of Alliance for Strategic Leadership:

1. Where are *we* going?
   - I'll tell you where I think we're going, and you tell me where you think we're going.
2. Where are *you* going?
   - I'll tell you where I see you and your group going, and you tell me where you see you and your group going.
3. What are *you* doing well?
   - I'll give you my sense of what you're doing well, and you give me your sense of what you're doing well.
4. What suggestions for improvement do you have for *yourself?*
   - I'll tell you the suggestions I have, and you tell me what suggestions you have.
5. How can I help you?
   - I'll add anything else I think I can do, and you tell me what I can do to help and support you.
6. What suggestions do you have for *me?*
   - I'll tell you what I think I need to do, and you tell me what you think I need to do.

## Leadership Practice Interventions

### Achieving Goals through Rallying the Staff

*Man is a goal seeking animal. His life only has meaning if he is reaching out and striving for his goals.*

*—Aristotle*

When people have clearly defined goals, they are more engaged and productive. Collaborative conversations help the leader match goals to each person they manage. People respond differently to goals. Some like goals that make them stretch professionally, others like goals they are sure they can reach. Goals provide direction and can help people stay on purpose with their work. When individuals have a say in constructing the goal, they will have more buy-in.

Leaders can help their staff reach goals using the "SMARTS" method, a series of effective goal statements, which comprises the acronym SMARTS (Lloyd and Halasz 1999):

- **Specific.** Goals must be easily understood and communicate specifically what the team will accomplish. Choose the exact outcome. *What will be accomplished?*
- **Measurable.** Goals must be easily measured so there is no question about whether or not it has been achieved. Choose the target number. *What information is needed to measure the accomplishment of the goal?*
- **Achievable.** Goals must be achievable and not too difficult or too easy. This step saves frustration in not being able to achieve the goal and avoids wasting time. Note that if the goal is not challenging enough, the team may lack motivation and commitment to accomplish it. *Another way to think about this is to define action-oriented steps, what specific, "just-right" behaviors or actions will result in achieving the goal?*

- **Relevant.** Goals must be relevant, support the team's mission, and be aligned with the organization's vision for the future. *Are realistic resources and support available to accomplish this goal?*
- **Time limited.** Goals must have specific deadlines for completion to avoid procrastination. *What is the target date for completion and intermediate time frames for completion of interim steps?*
- **Shared.** Goals must reinforce commitment and clarify direction and purpose. *What is the purpose for completing this goal, and is it in line with our overall purpose?*

Goals provide focus, motivation, commitment, and direction for good teamwork and effective use of team and agency resources.

## Coaching and Mentoring

- Who are the suppliers that provide the information, material, or whatever is required?
- What exactly is provided? (These are the inputs.)
- What is done with this information or material to complete the process? (This is the process.)
- What products, services, or information does the process produce to support a stakeholder? (These are the process outputs.)
- Who are the beneficiaries and recipients? (These are the stakeholders.)

## Exhibit 5–3: Process Map for Personnel Staffing and Placement

**Mission**

Secure, safe, humanitarian correctional institution; operated by competent, skilled personnel; and achieving a demonstrated high level of success in managing state-of-the-art rehabilitation and long-term incarceration practices.

**Personnel Staffing and Placement**

| Suppliers | Inputs | Processes | Output(s) | Stakeholder(s) |
|---|---|---|---|---|
| Personnel Operations staffing section<br><br>State full-time equivalent Allocation Allotment report | Standard form personnel staffing request<br><br>• Electronic request<br>• Validation of ceiling<br>• Classification of position<br>• Salary range<br>• Skill requirements<br>• Assessment of followup requirements | Complete and post vacancy<br>↓<br>Screen candidates<br>↓<br>Provide qualified candidates' résumés<br>↓<br>Make selection | Start date selected<br><br>• Negotiation with selectee and supervisor<br>• Placement and preliminary tax and employment forms<br><br>Onboard and Orientation process | Employee assigned to work team |

### Kellogg Logic Model Tool #3

An operation is always perfectly organized to perform the way it is performing at the moment it generates output. This output is driven by systems and processes at the heart of the operation. Outputs produce outcomes, which, paired with results, are an agency's bottom line. One way to look closely at what drives output and outcome is with a tool called the Kellogg Logic Model in exhibit 5–4 (Kellogg Foundation 2004):

## Exhibit 5–4: Kellogg Logic Model

Everything Below Supports the Correctional Agency Mission Statement.
(The mission statement goes in this space.)
(A sample mission statement is below
as well as sample entries for each column.)

"Our mission is keeping citizens and our staff safe by providing effective supervision in our prison facilities and communities."

| Inputs | Processes and Systems | Outputs | Outcomes | Results |
|---|---|---|---|---|
| • Laws<br>• Regulations<br>• External requirements<br>• Stakeholder demands<br>• Sentencing guidelines | • Intake<br>• Classification<br>• Staff development<br>• Satisfaction surveys<br>• Workload projections | • Offender intakes processed<br>• Number of offender programming hours<br>• Meals served<br>• Sick call attendance | • Declining recidivism<br>• Efficiency improvements<br>• Robust production levels maintained | • Community support<br>• Stakeholder advocacy<br>• Inmate mental health<br>• Increase in public safety |

Inputs (in the first column of exhibit 5–4) are fuel for processes and systems (the second column) that produce outputs. Outputs (the third column) are the short-term units of production that can be measured. They become outcomes in the 1- to 3-year timeframe. This tool is very useful for long term (1–3+ years) planning. Over the longer term, outcomes ultimately bring results. If everything in this model does not support the mission, the risk of failure grows. Laying out the operations' elements this way—showing development of inputs, processes, outputs, outcomes, and results—illustrates the value of the logic model. Operations are often designed and analyzed with the Kellogg Logic Model by starting at the Results column (What does success look like?) or the Inputs column (What laws or regulations drive this work?). Begin at either end to review a system as well as to design a new system and its processes and measures.

### Value Stream Mapping Tool #4

This tool allows for an indepth analysis of any part of a process map. It is not a flowchart; it documents each step required to complete a process. The Value Stream Mapping Tool does the following:

- Clarifies a common understanding of what the process looks like.
- Sets up the whole process to be analyzed and finds solutions to problems.

- Finds bottle necks, choke points, and ways to improve management systems.
- Grounds adult-adult mindsets and evidence-based practices.
- Relies on the agency's best source of talent.

Here are the steps:

1. Define the process. (A process map or logic model is helpful here.)
2. Assemble a team of experts and stakeholders representing every part of the process.
3. Establish clear expectations on what the value stream analysis project will accomplish, why it is important, time commitments, and other ground rules. Assign a facilitator to ensure you get the best ideas from all participants and keep the discussion on track.
4. Prepare a document for items 1–3, including the names of key team members.
5. Dedicate necessary resources such as space, supplies, fine-tip magic markers, masking tape, 6" × 4" index cards, butcher or wrapping paper, and adhesive note pads.
6. Remind team members to challenge assumptions and observations. A Value Stream Map is a picture of how things are now. Team members may unconsciously distort this reality by showing what they *want* to see.
7. Establish roles: one or two people write on cards. One tapes the cards to the wall or flip chart as each step is identified.
8. Identify where the process begins. What event causes the start? Is it the identification of some kind of need? An act? A threshold? Document this information on the first card and stick it to the wall. Do not number the steps yet because the sequence can change during analysis.
9. Identify the second step and the third, posting each one on the wall. The facilitator asks clarifying questions such as "How do you know that?" "What causes that to occur?" "Do you walk somewhere?" "Do you do that alone?" Challenge the team's thinking and experience to be sure that all steps represent the current state of the process. Take one step at a time, without analyzing or jumping ahead.
10. When all of the steps are on the wall, read each one, clarify its meaning, reorder the steps if necessary, and then number the steps. New steps identified later will require renumbering.
11. This completes the Value Stream Map, which now shows each step from start to process completion. The wall will be covered with numbered cards, one for each step.

### Value Stream Analysis Tool #5

This tool involves analyzing the Value Stream Map. The steps are as follows:

1. Tape a data box to each step and use the team's expert knowledge to fill each one. Ignore data box fields that are not useful.

2. When every data box is completed, identify and list choke points. List the steps that take the most time, and use the data boxes to inform the causes and aspects of those problem areas. Where is the walking taking place? How much walking? The team should use the data boxes to measure and document *everything* that is important.

3. If walking and movement are important factors, Spaghetti Chart Tool #10 will document the steps and step groups that require walking. Using a floor plan of the facility, show the routes traveled in the delivery of these steps, the time required, and the distance traveled. Measure and record those distances and times. Correctional agencies have identified thousands of miles of unnecessary movement in a year.

4. Identify the value added and non-value added steps. Most processes have few steps that add value, that is, the delivery of a product or service; some non-value added steps are still essential, and some can be candidates for elimination.

5. Summarize the team's results and recommendations based on the data. Copy and print Data Box Tool #8 for the value stream analysis exercise.

### Data Box Tool #6

Exhibit 5–5 shows an example of a data box. Note that not all data box elements are necessary for every value stream analysis.

## Exhibit 5–5: Data Box

| Step | Description and Observations |
|---|---|
| **Trigger:** *What starts this step? Be specific—this must be clear.* | |
| **Done:** *What ends it?* | |
| **TCT:** *This step helps in analyzing inventory value streams. TCT is the available production time divided by the rate of client-required volume. It may raise questions about delivery requirements and effectiveness.* | |
| **Demand:** *Demand is another way of looking at client-required volume if TCT is not sufficiently clear. Stakeholder demand is THAT important.* | |
| **People:** *What staff resources are required to complete this step? Record exactly "who" is needed and the skill requirements. This step examines staff capability.* | |
| **WIP:** *Work in process can be inventory, backlog, or whatever is in the pipeline on this step.* | |
| **Percent Yield:** *This is the success rate of a step. The opposite is the failure rate. Address both.* | |
| **Product Travel:** *How far does the step completion have to go (in feet, inches, miles, etc.)? Spaghetti Charts demonstrate this step.* | |

### Checklist for Operational Process Design Tool #7

This tool helps a team and its sponsors agree on scope, timeline, participants, resources, and success measures. It is an important tool, and hopefully intuitive in any operation. The checklist helps frame the questions, "What is outstanding performance?" and "According to whom?" If one stakeholder wants to increase responsiveness to an agency operation and another wants to reduce the problem occurrence rate, what success measure applies? This checklist encourages listening and understanding all positions and gives the sponsors a chance to hear what team members and other important stakeholders are looking for:

- Engage and build a team that will work on the process design/redesign, involving stakeholders, key staff members, and affected managers.
- Identify guidelines for the process design/redesign.
- If redesigning a current process, create a process map and complete an analysis of it.
- Determine the best way to collect data from key sources.
- If designing a new process, gather information on the problems that the process will address.
- Produce a complete list of suppliers, inputs, processes, outputs, and recipients.
- Set up an action plan and guidelines for the team, with reasonable objectives.

### Strategic Solution Funnel Tool #8

This tool comes from military and corporate strategy and guides a team to sharpen its objectives, study the problem sources and impacts, expand a menu of possible solutions, and select the course of action most likely to produce the desired result.

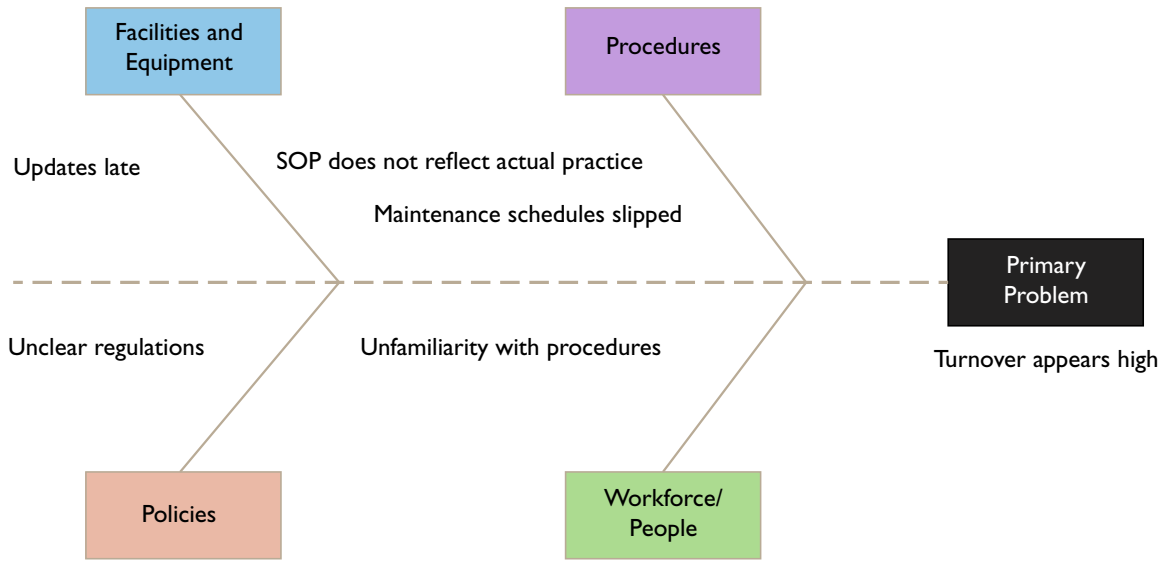
- **Define the primary problem.** Spend time to be clear on the main problem, not its symptoms. An inaccurate definition of the primary problem sends the effort in the wrong direction.
- **List the aspects and considerations of the problem.** Include impacts, factors that make it unique, conditions that must be considered, and symptoms of the problem.
- **Thoroughly brainstorm or discuss the causes** of the items noted above.
- **Brainstorm the causes.** Use a complete brainstorm technique (see Brainstorm Tool #12) to identify every cause.
- **List the alternatives to solve the problem.** Use a complete brainstorm technique to identify every possible alternative, without commenting on the feasibility.
- **Clarify and refine the causes and alternatives.** Review the finished work for completeness and accuracy.
- **Identify any measures or sources of information not currently available** that could shed light on causes or track success.
- **Select the alternative most likely to fix the problem.** Multivote Tool #13 can be used.

### Fishbone Diagram Tool #9

The Fishbone Diagram (exhibit 5–6), also referred to as a cause-and-effect diagram, can identify a wide range of reasons why something may be going wrong. A focused brainstorming technique, this diagram is not intended to be the final analysis product; it is designed to identify problems in an operation and generate new structured thinking.

Label the primary problem at one end of the spine and label four groups of factors as bones branching out from the root cause of the spine: Facilities and Equipment, Procedures, Policies, and Workforce/People. Ask the team to be clear about the primary problem and then brainstorm, contributing observations for each potential factor, as shown in exhibit 5–6.

## Exhibit 5–6: Fishbone Diagram




Note: SOP = standard operating procedure.

### Five Whys Tool #10

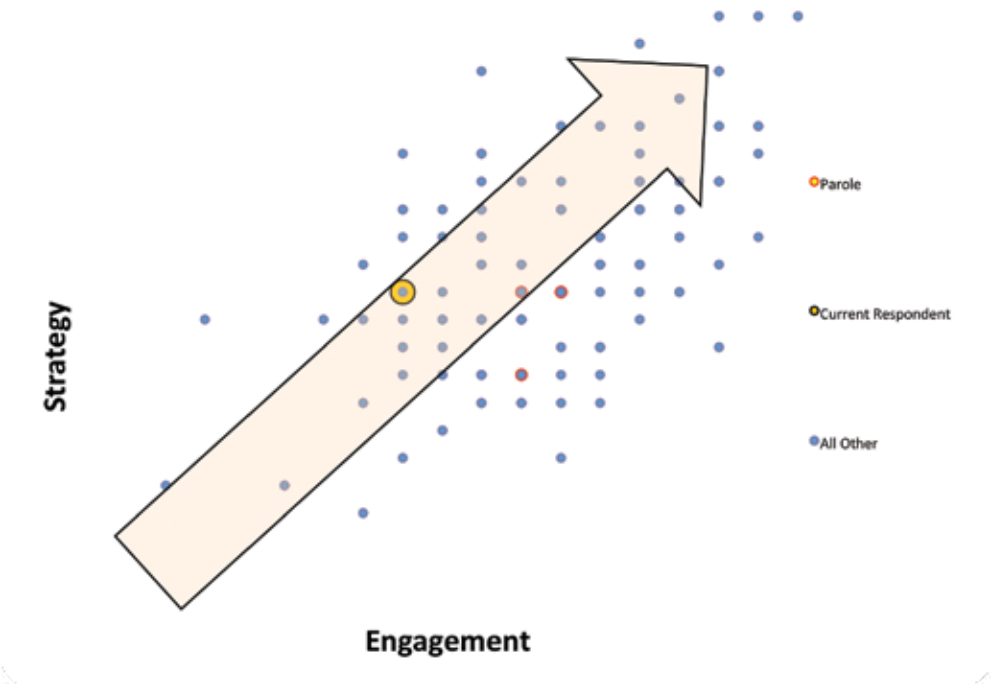
An evidenced-based culture cannot accept glib answers to questions. The culture is at its best in challenging and demanding substantial answers. For example, after looking at each factor identified on a fishbone analysis (Tool #9), isolate each of those factors on a flip chart and ask the team why that factor is happening. The "Five Whys" philosophy is never satisfied with the first, usually premature, conclusion and asks, "Why?" again, until five whys are listed and answers are recorded on the flip chart.

### Scatter Plot Tool #11

Scatter plots use horizontal and vertical axes to plot data and to show how much one variable affects another. They show the relationship or correlation between the variables or, in other words, the degree that one variable affects the other. Although this tool may require time and effort to gather and plot the data, the effort is worthwhile.

The scatter plot in exhibit 5–7 is an example from a report generated by using the APEX Screener. The relationship between an agency's strategy and engagement is shown. The more closely aligned the points are to a center diagonal line, shown by the arrow, the more closely they correlate. In this example, the points rise to the right (the arrow indicates the direction), signaling a positive correlation between the two variables. If the points were to decline to the right, a negative correlation would be shown; if no line emerges, then no correlation exists.

## Exhibit 5–7: Scatter Plot




In this scatter plot, the data points (each representing an agency) that lie along the arrow indicate a direct relationship between strategy and engagement for that agency. Use this tool to plot, for example, the relationship between correctional officer experience and time required to quell a disturbance.

### Brainstorm Tool #12

Brainstorming is widely used to extract the best ideas from a group whose opinions or expertise are important. It builds on group synergy, as one idea stimulates another that had not been considered before, thereby making the group smarter than any one individual. Follow these steps to use this tool most effectively:

- Identify the subject that is the focus. Post that topic, problem, issue, or subject on a board or flip chart. This is the sole focus of the activity.
- Post a sheet at the side of the room, labeled "Parking Lot," for subjects that are *not* the focus of this activity but may arise in the course of the brainstorming activity. List such subjects in the Parking Lot so that they are not lost and can be revisited at another time.
- One person speaks at a time and only when acknowledged by the facilitator.

- Refrain from commenting about anything offered in the activity until the facilitator asks for comments. *There will be time for clarification but not during the initial brainstorm.*
- Acknowledge each person, one by one, and ask for his/her idea, suggestion, or other input that supports the subject of the activity. Make statements short, like a slogan on a T-shirt. Ask for simply worded clarification before posting each suggestion.
- If no idea comes, allow a participant to "pass."
- Continue around the room, giving everyone a chance, then repeat the request, asking for a second idea, a third, and so on, until the passes outnumber the suggestions.
- Open up the floor for spontaneous ideas.
- When the ideas are exhausted, clarify each of the ideas on the board. Eliminate duplicate thoughts and combine suggestions if it makes sense to do so.

### Multivote Tool #13

The Multivote Tool helps prioritize various ideas, problems, values, or other choices, such as a brainstorm results list. It quickly drives a consensus and produces its own data set in accomplishing what it is designed to do. The steps are as follows:

1. Record all ideas on the wall, flip chart, or white board.
2. Discuss each point offered, for clarification only. Ensure that everyone knows and understands why each criterion is offered.
3. Ask for additional ideas that are not already included on the list.
4. Explain the voting procedure. Each member will have at least as many votes as there are choices, and these votes are spread across the list according to each participant's judgment. Participants can vote multiple times on one item if they wish.
5. Have participants go to the board or flip chart and place their votes on the choices they feel strongest about. *Voting can be done with individual hash marks, adhesive dots, star stickers, or other indicators.*
6. Count the number of votes and consider whether multivoting has informed the decision, or set up another tool such as Pick Chart Tool #14.

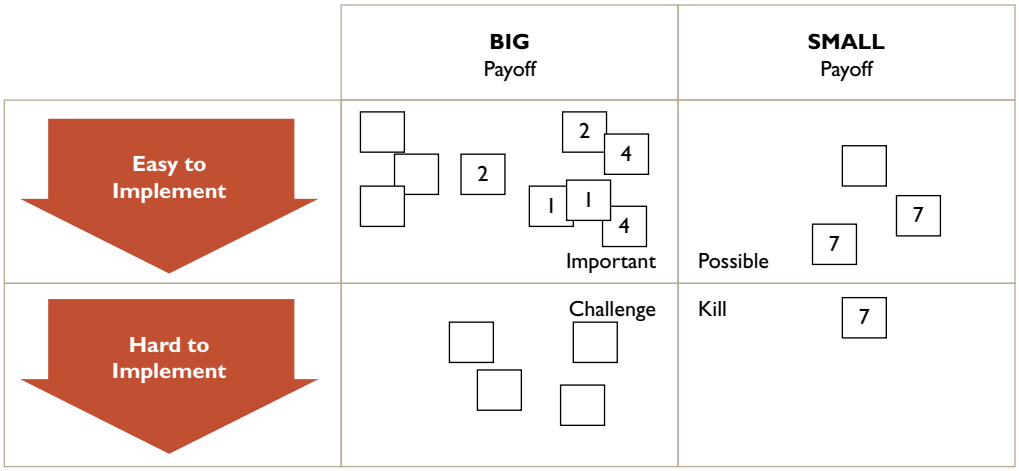
### Pick Chart Tool #14

This tool channels creative thinking when a variety of complex alternatives are available. It looks at suggested solutions through four lenses: (1) the choice is possible, (2) the choice could be implemented, (3) the choice would be a challenge, and (4) the choice should be discarded.

Discuss each alternative approach for its possibilities, downsides, benefits, and risks. Each team member writes the title of every solution being discussed or considered on a sticky note so that everyone has the same number of

labels representing each of the solution choices. Members then place the project title notes in the quadrant they feel is most appropriate and in the location of that quadrant that best reflects its chance of success, level of payoff, and implementation difficulty. Exhibit 5–8 shows that solution 7 is an idea to dismiss, whereas solutions 1, 2, and 4 are ready for discussion and possible further scrutiny on a selection grid.

## Exhibit 5–8: Pick Chart




### Benchmarking Tool #15

This tool should create a constant, ongoing process for all operations. Some of the most useful benchmarks (standards that help assess performance) in the correctional industry are available online through the Association of State Correctional Administrator's (ASCA) Performance Based Measures System (PBMS) (*www.asca.net/projects/1/pages/1*). Key indicators devised by the ASCA's PBMS Committee are available and are an outstanding benchmark source that can be used by both institutional and community-based correctional agencies. These indicators include region, scope of responsibility, inmate demographics, admission status, sentence length, and other factors.

Items that should always be considered for benchmarking include requirements for key operations and the supporting processes within the agency as well as the measures for each of those requirements. Effective benchmarking support is realized when the agency has the capacity to complete a table, such as that shown in exhibit 5–9, for the agency itself and for comparable functions outside of the agency.

## Exhibit 5–9: Benchmarking Table

| Agency Operations | Key Processes | Measures | Results |
|---|---|---|---|
| Benchmarks: | Benchmarks: | Benchmarks: | Benchmarks: |
| Actual: | Actual: | Actual: | Actual: |

## Lean Tool #16

Lean is a tool to maximize customer value by minimizing waste. It is great for working through an intensive project and for realizing immediate improvements. Historically associated with production—viewing the expending of resources as wasteful if it does not contribute to the creation of value—the Lean tool also works extremely well with government processes. It is often coupled with Six Sigma, which is a business management strategy that improves the quality of process outputs by identifying and removing errors (George 2003; George et al. 2005). Several state governments have taken on continuous improvement efforts and have been successful in reducing waste and accelerating the speed in their processes.

The areas that are considered potential Lean wastes are the following:

- Transportation.
- Inventory.
- Motion.
- Waiting.
- Overproduction.
- Overprocessing.
- Defects.
- Underutilized staff creativity.

The Lean tool is able to do the following:

- Reduce waste by eliminating delays and handoffs in the processes. Slow processes tend to be expensive processes.
- Introduce the concept of pull versus push in the sharing of information and documents (e.g., Where can staff members go to retrieve the information on their own rather than requesting it from someone else?).
- Provide tools for measuring process improvement by cutting or avoiding costs.
- Identify the separation of "value added" from "non-value added" tasks using tools that eliminate the root causes of non-value added activities. What is needed to work efficiently and safely? (For helpful tools, see Fishbone Diagram Tool #9.)
- Document processes by depicting the current state of how things get done and then use brainstorming techniques to make recommendations for the proposed, more efficient future state.
- Make the processes visual.

The Lean tool can be used by anyone who does the following:

- Chases down information to complete a task (an information shortage in government is equivalent to a material shortage in manufacturing).

- Must jump through multiple decisionmaking hoops.
- Is continually interrupted when trying to complete a task.
- Is responsible for writing reports, purchasing services or products, or developing programming.
- Completes work in batches (collecting certain items requiring the same kind of work and then beginning the tasks).
- Loses work in the organizational silos of the agency.

*Kaizen* is a Japanese term meaning "change for the better." The Lean tool incorporates the kaizen method and tools for intensive projects that pull staff members from their regular jobs for 3 to 5 days at a time. Staff members work as part of a diverse team, which includes a project facilitator. This dedicated project time greatly reduces the length of projects from months to a week or less. Given the short period of time a project team has to work on the current and proposed future state, the key to success is having a well-defined project at the start. The team needs to hit the ground running on the first day of the project. That can be accomplished by holding two to three prework sessions lasting 2 hours each. During those prework sessions, all data needs, project objectives, and boundaries are discussed. Formal recommendations, quick hits, and "parking lot" issues can be identified and presented to the administration after the event. The prework preparation and project event agenda can look like the example in exhibit 5–10.

## Exhibit 5–10: Prework Preparation and Project Agenda

**4 WEEKS BEFORE THE EVENT**

Change Leader meets with predetermined team.

- Agree on scope of event.
- Determine goals and objectives of event (measurable).
- Choose team leader.
- Define data to be collected and who collects it:
  - Quality information (defects, rework, shortages).
  - Downtime statistics and reasons.
  - Labor data (i.e., overtime).
  - Area layout.
  - General product and process flow (flowchart, written and verbal description).
  - Names or positions to be observed and work shifts.
  - Product/process demands for the team (weekly, monthly, and annually).
- Determine start and end times and the break schedule.
- Identify how measurable improvement will be measured.
- Address obstacles to being at the event (job requirements, daycare, rides).
- Include the times and dates for team meetings and presentations.

**3 WEEKS BEFORE THE EVENT**

- E-mail/deliver scope and agenda document to internal team members, outside team members, and coach.
- Schedule event preview session with team members, employees in the affected area, and supervisors of other affected areas.

**1 WEEK BEFORE THE EVENT**

- Provide overview of events and activities.
- Review team members and goals, ask for input and ideas, and answer questions.

## Kaizen Event Daily Agenda

| | |
|---|---|
| Monday<br>8:00 a.m. Start<br>3:30 p.m. Finish | ■ Introductions<br>■ Lean/business process/kaizen training<br>■ Start of current-state swim lane mapping |
| Tuesday<br>8:00 a.m. Start<br>3:30 p.m. Finish | ■ Continuation of current-state swim lane mapping<br>■ Waste identification<br>■ Brainstorming ideas |
| Wednesday<br>8:00 a.m. Start<br>3:30 p.m. Finish | ■ Discussion/brainstorming and changes to process<br>■ Changes in documentation/forms<br>■ Beginning of future-state mapping |
| Thursday<br>8:00 a.m. Start<br>3:30 p.m. Finish | ■ Completion of future-state mapping<br>■ Simulation of new process<br>■ Training on standard work |
| Friday<br>8:00 a.m. Start<br>3:30 p.m. Finish | ■ Presentation preparation<br>■ Practice for presentation |

Exhibit 5–11 is a kaizen swim lane map that depicts a current-state process by showing *tasks* on yellow notes, *handoffs* on gold, *waits and delays* on pink, *decisions* on blue, and *how and where documents are stored* on purple. The timeline of the process is shown along the horizontal lanes, and the individuals involved are depicted in the vertical lanes.

## Exhibit 5–11: Kaizen Swim Lane Map

## Developing an Operations Focus

### Function of Operations Focus Improvement

The range of services involved in institutional correctional settings is vast but, fortunately, the focus for operations covers a wide spectrum of correctional organizations. Harnessing the myriad processes in a correctional agency for greater efficiency and effectiveness can be a daunting challenge. Fortunately, many tools and other resources are available for identifying, mapping, and improving an organization's processes.

Corrections has many functions: providing support, record checks, and documentation to the courts; case management; treatment brokering; direct programming services; monitoring and administration of sanctions; facility maintenance; correctional industries; visitation; transportation; food and medical services; and community accountability. Each of those responsibilities represents a macro-level process. In general, every industry has between 5 and 20 macro-processes, each of which may break down into 5–15 meso- or mini-processes. Finally, the mini-processes might be further subdivided into several micro-processes. Conservatively, the field of corrections probably engages in at least 10 macro-processes, 100 mini-processes, and more than 500 micro-processes. Many of those processes overlap and combine to form another order of processes referred to as cross-functional processes. Given this level of complexity, the question quickly becomes "How do we plan, organize, coordinate, and control all these processes?" One answer is to learn the art and science of identifying and managing key processes and systems—that is, become systems thinkers and become progressively more adept at managing processes.

A process is "a chain of events that results in a product, service, or the delivery of some result" (Cebula, Lantz, and Ward 2012). The nature of the organizational process indicates the importance of the relationship between

staff performance and the integrity and elegance of the organizational process they are engaged in. Individual performance is only as good as the process allows it to be.

The system science for managing processes consists of steps or stages and a hierarchy of methods and tools for dealing with different types of process issues at different stages (Cheung and Bal 1998). Processes may require interventions, varying from simple process mapping at the low end of intensity to a complete business process re-engineering (BPR) at the high end. Business and public sector research supports using a simple framework that is based on the intersection of the appropriate stage of intervention, the level of needed organizational intervention rigor, and the identified process needs (Biazzo 2000; Kettinger, Teng, and Guha 1997; MacIntosh 2003; McAdam and Mitchell 1998).

Kettinger and associates (Checkland 1999) identify five or six stages in process management or BPR:

1. **Envisioning:** Chartering a process improvement or BPR project.
2. **Initiating:** Commissioning a project team, establishing performance goals, determining strategies for stakeholder buy-in, and so on.
3. **Diagnosing:** Mapping current processes and subprocesses, identifying process requirements and assigning client/offender/stakeholder value, and identifying root causes for problems (including non-value added activities).
4. **Redesigning:** Developing new process design.
5. **Reconstructing:** Changing management techniques to assume smooth transition to new process(es).
6. **Evaluating:** Monitoring new process(es) and linking to Total Quality Management systems for greater sustainability.

Those six stages compose one of two continuums that form a useful framework for viewing process management. A hierarchy of strategies, tactics, and tools forms the other dimension. Methodologies are at the most strategic and abstract level and can be defined as a systematic grouping of problem-solving methods (Hackathorn and Karimi 1988). Techniques exist at the lower, more concrete level, and these techniques include procedures or prescribed maneuvers to achieve a desired outcome (Greasley 2006). Tools, defined as instruments or tangible aids for performing a task (e.g., computer software packages), cover a wide array. A comprehensive inventory of process methods organized by methodologies, techniques, and tools can be downloaded from *www.misq.org/skin/frontend/default/misq/pdf/appendices/kettinger_teng_guha.pdf* (Kettinger, Teng, and Guha 1997). Using a framework that systematically incorporates process management stages and strategies is considered best practice for working strategically with your organization's many processes.

Process management is critical to achieving operational excellence. Well-established frames and tools for successfully approaching tasks of managing and improving processes exist, but many of these strategies may be underused in public sector organizations (Gulledge and Sommer 2002). Part of the challenge that many correctional managers and leaders with extensive and complex operations face today is getting familiar with and staying abreast of process management technologies.

### Key Questions

- How does your organization inventory, monitor, and maintain the myriad organizational processes it is responsible for?
- What are your organization's primary (5–20) macro-processes?
- How do your macro-processes break down into discrete mini-processes or critical event cycles?
- What micro-processes can you identify (e.g., offender/staff interactions) that may be key to achieving your current objectives and mission?
- Where are the most significant discrepancies between your existing processes and needs for policies and procedures?

### Success Factors

Because of the multitude of processes involved in a correctional entity, prioritizing the processes to focus on is necessary. Proven methods for doing so are discussed here and in the APEX Guidebook series (see *Culture and Change Management: Using APEX to Facilitate Organizational Change* and/or *Applying the APEX Tools for Organizational Assessment*). Although establishing ownership for the priority processes can be very helpful, process improvement will likely be a team function, involving both the operational and administrative staff. Educating and training staff members in process management tools and operational research principles is a long-term investment that requires a long-term plan. A better Operations Focus domain can be developed by doing the following:

- Identifying key processes and systems.
- Engaging in process mapping.
- Applying logic models for processes.
- Supporting process management and improvement.

### Identifying Key Processes and Systems

No organization can work on all its processes at one time. Thus, prioritization is necessary to determine which processes are to be improved, when they should be improved, and to what extent they should be modified or re-engineered. This determination is rarely as straightforward as it sounds. For example, researchers at one state probation system recently completed an analysis with a sample covering an entire year of terminated cases (for which they had full demographics and assessment information). They learned that they could readily identify and classify probationers according to previously established classic typologies. As they investigated further and shared their findings with various committees, they saw how using supervision strategies that are based on offender types would automatically structure into their services a significant amount of responsiveness that was previously missing. Not soon afterward, they realized that adopting such a process would mean changing almost the entire system—from workload measures and policies and procedures to total reassignment of cases. They became stuck

and needed a procedure or some type of formal assessment to determine whether they could manage this level of change at the present time. The following intervention is designed to assist in this kind of prioritization.

### Intervention: Identifying Key Process Change Projects

1. Select a work group of senior managers who are familiar with processes that are candidates for process improvements. Conduct this intervention at the macro-process level, with division heads and others on the executive leadership team, to review and prioritize for changing the 5–20 major processes of the organization, or engage senior managers and supervisors within a division to prioritize mini-processes. If the process in question is cross-functional and cuts across divisions, then any division managers affected in a material way should be included. Internal change, external trends, or specific discrepancies regarding current operational processes brought to management's attention generally increase the need for this kind of planning session.

2. Review the set of processes the group is investigating. As the group discusses the strengths and weaknesses of the candidate processes, list what criteria are most useful for comparing the different processes. Criteria to consider include the following:

   - **Importance.** How relevant is the process to the organization or division's mission and goals?
   - **Timeliness.** How acute are the needs for process improvement?
   - **Duration.** How quickly can the process changes conceivably take place?
   - **Alterability.** How alterable is the process situation?
   - **Cost.** How many resources must be expended to effect the desired process change?
   - **Interdependency.** To what degree is the process interdependent with other processes?

After the initial round of discussion, formalize the group's thinking with a weighting system for rating each candidate process. If only a few processes are being considered, a simple yes/no vote may be sufficient, or a 3-, 4-, or 5-point Likert scale might be appropriate (e.g., 1 = *not very*; 2 = *somewhat*; 3 = *very*). Once the criteria are articulated, conduct a multi-rating for each process so that criteria scores are transparent (see exhibit 5–12) to all involved. If the group is considering many processes, conduct a simple multivote giving everyone two votes for the process(es) that he/she believes are most important. After the vote, only the top-scoring five or six processes need to be fully rated.

3. Using the ratings based on criteria, identify the highest rated two or three processes and, as a group, collectively rate each of the final candidates using something like the 5-point weighted rating system worksheet in exhibit 5–12. Each group member can use this form for each process, or the scoring can be done collectively. Rate the importance of the projects (shown in the first part of the matrix) separately from the acceptance ratings for each staff unit. When navigating a course of change, some resistance may arise that is not correlated to long-term benefits. In the staff unit matrix, attitude scores are multiplied (weighted) by the engagement score, but the attitudes of even uninvolved staff units must be inventoried to understand the environment in which the proposed change projects will be conducted.

4. The work group can review the final score profiles for each of the candidate processes and each of the staff units and can make decisions regarding whether more information is needed, or whether to green-, orange-, or red-light the various process projects. The take-away chart, Identifying Key Process Change Projects (exhibit 5–12), provides managers with a set of initial indicators for their projects and becomes a record of information to use during the change projects.

## Exhibit 5–12: Identifying Key Process Change Projects

For each process improvement project under consideration, rate the following questions on a scale of 1 to 5.

| Factor | Question | Proposed Project #1 Score | Proposed Project #2 Score | Proposed Project #3 Score |
|---|---|---|---|---|
| Strategic centrality | Is the targeted process merely tangential (1) or integral (5) to the organization's strategic goals and objectives? | | | |
| Degree of change intended | Is the proposed change only incremental change (1) or is it fundamental process change (5)? | | | |
| Process breadth | Is the scope of the process change internal to each section of the organization (1) or inter-organizational (5)? | | | |
| Senior management commitment | Is the senior management visibly removed (1) or actively involved (5) in the process improvement efforts? | | | |
| Performance measurement criteria | Are the preferred performance measurement criteria efficiency-based (1) or effectiveness-based (5)? | | | |
| Current process functionality | Is the process functioning marginally (1) or is the process not functioning well at all (5)? | | | |
| Project resource availability | Are only minimal resources (1) available to support the process change or are resources abundant (5)? | | | |
| Structural flexibility | Is the organizational structure rigid (1) or is it flexibly conducive (5) to change and learning? | | | |
| Risk of external events | Is the project likely (1) or not likely (5) to be disrupted by events and parties not included in the decision process? | | | |
| Cultural capacity for change | Does the culture support the status quo (1) or actively seek participatory change (5)? | | | |
| Management's willingness to impact people | Are only modest impacts on people tolerable (1) or is management willing to deal with the consequences of disruptive impacts (5)? | | | |
| | Importance and Preparation Index (Average Score): | | | |

## Additional Resources

The additional resources in this section include case studies and assessments specific to the Operations Focus domain, including Safe and Secure Supervision and Settings, and Process Management. Because the Operations Focus domain is interconnected with all the other domains, other chapters in this book—and the other books in the APEX Guidebook series—contain resources relevant to this domain as well.

### Case Studies

Although the case studies included here apply specifically to the two branches of the Operations Focus domain, additional pertinent case studies may be found in the other chapters for the other domains in this book.

#### Safe and Secure Supervision and Settings in a High-Performing Correctional Organization

A high-security state correctional facility experienced contraband issues related to unauthorized cell phones in the facility. Within a 1-month period, one cell phone was found in an inmate cell, one was found in a common area in a housing unit, and one was found hidden in a visiting room trash receptacle. The number of major contraband incidents is a performance measure that is routinely tracked by the facility administration. Understanding the security and safety threat of an inmate possessing a cell phone, the warden met with his senior staff to discuss the issue and develop strategies to resolve the problem. At this meeting, senior staff members raised issues related to work processes such as searches of inmates, staff members, housing units, and visitors; staff training related to searches; inmate disciplinary code enforcement; inmate telephone monitoring and recording; management of gang activity; staff post deployment; use of canines (K-9s); use of technology to jam cell phone reception; agency policy; and more effective communications with staff members, inmates, and visitors regarding the consequences of conveying major contraband, such as a cell phone, into the secure facility.

Based on the discussion, an action plan was developed by the security chief, approved by the warden, and implemented. The action plan included communicating and reinforcing a zero-tolerance policy related to unauthorized cell phones in the facility to staff members, inmates, and visitors via postings, memos, and roll call announcements. In addition, the consequences of such actions were included. The action plan called for an increase in housing/cell searches; more thorough searches of housing units and visiting areas; an increase in random inmate pat-down searches; postings of notices to the staff members, inmates, and visitors in the facility; the training of a K-9 in cell phone detection; an increase in phone monitoring of identified security-risk group members; a request for a cell phone jamming device; and the reinforcement of policies relating to staff members carrying cell phones into the facility. Each month, the warden highlighted the issue of cell phones in the facility to ensure the sustainability of the security procedures.

With the increased staff vigilance, two more cell phones were discovered within the following 3 months. The staff members who confiscated the phones were recognized for their successful security efforts. Within the following 6 months, no cell phones were discovered. A jamming device was installed, but the cell phone issue remains at the forefront of security concerns. The modification in the work systems and processes related to unauthorized cell phones has proven to be effective for deterrence, detection, and intervention, thus ensuring a safe and secure environment.

## Building a Green Facility

In the northeast part of the country, a large state correctional facility (original construction more than 80 years old) was contacted by the leadership of its host community regarding the impact of the facility and its 2,000-inmate population on the use of the town's water and sewerage. The town was petitioning the state Department of Correction to pay for the expansion and upgrade of the water and sewage treatment plant to accommodate the increased use by the facility that was affecting the economic growth opportunities of the community. The facility's inmate population has remained steady the past few years, but the facility was experiencing increased costs related to food, water, sewerage, utilities, and maintenance repairs. The agency administrator and facility warden met with the town leadership and confirmed that no additional funding was available from the state and that the facility would initiate a process of reducing its impact on the host community resources. In addition, the agency administrator advised the warden that the facility must operate within its allocated budget and more efficiently manage the current incarcerated population.

The agency administrator discussed the issue with the executive team, and they decided that the facility would receive support and technical resources to work toward becoming a model green facility in the agency. The goals of the new project included the following:

- Reducing energy and resource consumption.
- Reducing the impact on the town's water and sewage.
- Reducing the costs of maintaining the physical plant and equipment.
- Operating within budget and with no decrease in the inmate population.
- Implementing and sustaining changes in operations and the physical plant.

The facility warden was tasked with chairing a multidisciplinary committee of staff members from the facility as well as technical advisers from agency headquarters. At the first meeting, the warden committed to assessing the use of energy in all operations of the buildings and reducing energy waste. A review of the goals of the committee and a discussion followed, providing ideas on how to proceed. The committee was to develop and implement a formal green strategy that partners and supports performance goals and expectations with ways to incorporate sustainability into cost-saving measures.

The committee developed a strategy that includes the following:

- Educating committee members and the facility staff on sustainable practices in prisons, using NIC and local experts as resources.
- Using committee members as leaders and spokespersons for the "green project" at the facility and reinforcing the urgency of moving the facility to green sustainability.
- Communicating the goals and benefits of building a green facility via roll calls, newsletters, postings, and internal/external websites.

- Providing avenues for staff members and inmates to offer their concerns, issues, and suggestions to meet the goals.
- Implementing Energy Star to reduce energy use, measure the building's performance, create practical operating benchmarks and goals for energy use, and help monitor energy efficiency.
- Establishing a performance management system that uses critical baseline data in sustainable categories such as energy (gasoline, diesel, electric, natural gas), solid waste, recycling, water use, and other operational areas.
- Collating data on a monthly basis and reviewing with committee members, managers, and staff members to identify areas to improve performance and meet the facility goals.
- Communicating the progress and benefits of the green project to staff members, inmates, and external stakeholders.
- Meeting monthly with town leadership and sharing information on the ongoing green activities and performance data to support collaboration and success.
- Reviewing other opportunities for cost-saving measures, including inmate programs that support green activities such as gardening, composting, small engine repair, bicycle repair, recycling electronic equipment, and green training programs for employment upon discharge.

Initially, the project was met with some skepticism from staff members and inmates; however, the committee members continued to highlight the benefits and results. Implementing Energy Star and engaging staff members and inmates in the process created awareness and support for going green. The facility gradually changed how it manages and monitors its use of water and sewage in all areas, especially targeting inmate showers, toilets, and the facility kitchen and laundry areas. Targeting other areas of the facility for enhanced efficiency resulted in an overall reduction in the use of utilities and energy waste, and the facility reduced its costs by 10 percent. The significant reduction in the use of water and sewage provided an opportunity for the town to expand its economic development agenda. Because of the success at this facility, other facilities in the system also began green projects. The agency administrator was able to testify about the success of this project to the state legislature, and the local media published positive reports.

Furthermore, going green had additional positive outcomes. For instance, inmates learned processes that can be transferred to the community for employment opportunities when discharged. With the introduction of gardens and composting, the facility was able to consume the vegetables raised and revitalize the environment. Staff members and inmates have embraced the value of environmental responsibility and a commitment to sustainability. See Feldbaum et al. (2011) for more going-green examples and for more reasons to go green.

### What Does a High-Performing Organization with a Focus on Process Management Look Like?

The county jail was experiencing a high turnover rate among its new hires. The data indicated that 10 percent of all new hires would voluntarily resign from the agency within the first year of employment, and 5 percent were

being dismissed because of poor work performance. The result of this exodus was increased costs in staff overtime, staff recruitment and hiring efforts, and training. The director of human resources contacted the jail administrator to implement a task force to review the processes for recruitment, hiring, selection, training, and supervision during the probationary period for new employees. The task force was co-chaired by the deputy personnel director and the deputy superintendent of the jail. It included members from across agency disciplines and various ranks. The task force reviewed the data being collected but still had no explanation for the high turnover rate for those who voluntarily resigned. Therefore, the task force reached out to those staff members who had separated from the agency within the past 18 months to ascertain why they made the decision to leave. The data indicated that most of the staff were not satisfied with their supervisors and training and that they felt isolated from senior staff members. Many felt that they did not know what the job entailed when they accepted the offer. A relatively small number of staff members stated that they found better jobs or felt the work was too challenging.

On the basis of the interview results and further surveys and focus groups with staff members in their working test period, the task force recommended the following:

1. *Enhance the recruitment process* by having the recruiters be seasoned and trained staff members who can respond to questions about the actual work duties and responsibilities.

2. *Develop a coaching program* at the training academy that matches new recruits with experienced staff at the job location to assist in training and on-the-job transition.

3. *Sensitize and train supervisors* to establish relationships with the new staff members to address any workplace issues and routinely assess the performance of the new hires with them.

4. *Survey new hires* to gauge any issues that may impede their performance.

5. *Acknowledge with public recognition* those staff members who complete their working test period and their first year of employment.

The recommendations outlined key work processes (recruitment, interviews, hiring, training, and onsite supervision) for modification and the action steps to address them. An exit interview process for those separating from service was implemented to identify any work-related issues. One year after implementation of the recommendations, the turnover rate dropped to a total of 7 percent, and the personnel cost savings were significant. The task force developed into a permanent Quality of Work Committee that meets every month to enhance the work life of all jail staff members.

## Operations Focus Assessments

The assessments in this section apply specifically to both branches of the Operations Focus domain. Other assessments are available under the other domains that may apply to change, management, and higher performance of the organization. A complete listing of assessments is available in *Applying the APEX Tools for Organizational Assessment* in this series. Web links are provided for most of these assessments in the Description column of the chart on pages 112–114.

## Safe and Secure Supervision and Settings Assessments

Many of these assessments are also listed in the Stakeholder Assessments table in chapter 7.

| Full Name | Author | Description |
|---|---|---|
| ACUTE-2007 | Cyzap Inc. | An assessment to measure changes in short-term risk status and help predict recidivism in sexual offenders. Only certified users are able to administer ACUTE-2007. *http://soraf.cyzap.net/zap_site/docs/zaps-mr-tab1-86.htm?Acute-2007©-Assessment* |
| Assessments Tool Main Page | Reentry Policy Council, a project of the Justice Center | An interactive tool to assess strengths, risks, and needs of supervised population. Accession No. 023239. *http://tools.reentrypolicy.org/assessments/chart* |
| Correctional Program Assessment Inventory Self-Assessment Checklist (CPAI) | Gendreau and Andrews | Checklist designed for correctional agencies to serve as a rough estimate of where a program stands with regard to CPAI standards. Categories assessed: program implementation, classification and assessment, program characteristics, staff characteristics, and evaluation. *http://static.nicic.gov/Library/016296.pdf* |
| Hare Psychopathy Checklist (PCL-R) | Robert Hare | A psychopathology checklist, including PCL-R, PCL Screening Version, and more. *www.hare.org/scales/pclr.html* |
| Level of Service Inventory (LSI) | Andrews and Bonta | Several versions of a quantitative survey designed to assess offender characteristics and situations that will determine supervision and treatment. *www.mhs.com/searchgl.aspx?q=LSI* |
| Northpointe COMPAS | Northpointe Management Inc. | A software suite for offender assessment, classification, and case management, measuring risk and need areas, divided into these categories: core, reentry, youth, women, classification, and case manager. *www.northpointeinc.com/software-suite.aspx* |
| Ohio Risk Assessment System (ORAS) and Ohio Youth Assessment System (OYAS) | University of Cincinnati, Center for Criminal Justice Research | ORAS, a risk/needs assessment for adult offenders, and OYAS, for juvenile offenders. Also available: women's risk/needs assessment, women's supplemental risk/needs assessment, and software platform. *www.uc.edu/corrections/services/risk-assessment.html* |
| Orbis Assessments (Spin) (YASI) (Spin-W) | Orbis Partners | Various instruments for assessing risk, needs, and other factors among adults in supervised, probation, parole, and reentry populations (Spin); among juvenile populations (YASI); and among women (gender-responsive Spin-W). CaseWorks software enables case management. *www.orbispartners.com/assessments* |

| Full Name | Author | Description |
|---|---|---|
| Risk Prediction Index (RPI) | Federal Justice Center/ U.S. Probation | An assessment of 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. *www.fd.org/pdf_lib/fjc/Keeping_Client_Final.pdf* |
| Sex Offender Treatment Intervention and Progress Scale (SOTIPS) | Robert McGrath | A 16-item rating scale designed to assess risk among adult male sex offenders. *http://sax.sagepub.com/content/early/2012/02/23/1079063211432475.abstract* |
| STABLE-2007 | Cyzap Inc. | An assessment to measure 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://soraf.cyzap.net/zap_site/docs/zaps-mr-tab1-85.htm?Stable-2007©-Assessment* |
| STATIC-99R | R. Karl Hanson and David Thornton | An assessment for estimating 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. *www.static99.org* |
| Static Risk and Offender Needs Guide (STRONG) | WSIPP and Assessments.com | Offender needs assessment and supervision plan. *www.assessments.com/assessments_documentation/A Case Study - WA DOC Implements the STRONG.pdf* |
| Vermont Assessment of Sex Offender Risk (VASOR) | Robert McGrath and Stephen Hoke | A risk assessment scale for adult male sex offenders age 18 and older for help in placement and supervision decisions. Composed of 2 scales: a 13-item reoffense risk scale and a 6-item violence scale. *www.csom.org/pubs/VASOR.pdf* |
| Violence Risk Appraisal Guide (VRAG) | Quinsey, Harris, Rice, and Cormier | A 12-item checklist with score calculation. *www.ncbi.nlm.nih.gov/pubmed/19821220* and *www.fotres.ch/index.cfm?&content=9010&spr=en* |
| Virginia Pretrial Risk Assessment Instrument (VPRAI) | Department of Criminal Justice Services, Virginia | An assessment for evaluating a defendant's status at arrest, relationship to charges, and history. |
| 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. |

| Full Name | Author | Description |
|---|---|---|
| Agency Self-Assessment Form | | 5-point Likert ratings for creating a strategic plan, allocating resources, managing people, analyzing data, responding (making decisions and taking action), improving process, communicating results, and listening. *http://www.healthandwelfare.idaho.gov/LinkClick.aspx?fileticket=XNFQwdXR-70=&tabid=275&mid=2064* |
| Are We Making Progress? | Baldrige (NIST) | Sections relating to the Baldrige National Performance Excellence Program Criteria. *www.nist.gov/baldrige/publications/index.cfm* |
| Baldrige Asks, How Do You Know? | Baldrige (NIST) | A tool to guide critical questioning about an organization's success and sustainability. *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, *Managing the Unexpected: Assuring High Performance in the Age of Complexity,* a 3-point rating (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. *www.wildfirelessons.net/SearchResults.aspx?q=Weick* |
| Massachusetts Cultural Council Organizational Self-Assessment Tool (MCCOSAT) | Massachusetts Cultural Council | A tool to assess mission and vision, strategic planning and evaluation, programming, educational programming, community participation, advocacy/public relations, marketing, financial health, fundraising, governance, management, human relations, information technology, and facilities management. *www.masscultural council.org/services/org_assessment.pdf* |
| McKinsey Capacity Assessment Grid | Copyright held by Venture Philanthropy Partners | Tool designed to help nonprofits assess their organizational capacity, to be used in conjunction with the Capacity Framework. *www.ilj.org/publications/docs/McKinsey_Organization_Capacity_Assessment_Tool.pdf* |
| Organisational Diagnosis Questionnaire (ODQ) | Robert C. Preziosi | A 35-item survey to provide feedback data for intensive diagnostic efforts. The questionnaire by itself or with other data-collecting 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. *www.g-rap.org/docs/ICB/Preziosi - Organ. Diagnosis Questionnaire ODQ.pdf* |
| Performance Management Self-Assessment Tool | Turning Point Performance Management | A 3-point rating system (yes/fully, somewhat, no) for assessing overall readiness and accountability, performance standards, performance measurement, reporting of progress, and quality improvement process. *www.turningpointprogram.org/toolkit/content/pmassess.htm* |

| Full Name | Author | Description |
|---|---|---|
| State of Georgia Performance Management Form GA PMF | State of Georgia | Performance evaluations, including self-evaluations that rate against expectations. *www.spa.ga.gov/pdfs/ep_PMP_Manager's_Guide.pdf* |
| SVP Organizational Capacity Assessment Tool | Copyright held by Venture Philanthropy Partners | An assessment tool 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, information technology, financial management, fund development, board leadership, legal affairs, marketing, communications, and external relations. *www.svpportland.org/library/ SVP Capacity Assessment Tool Overview.pdf* |

## Chapter References

### Safe and Secure Supervision and Settings


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

Feldbaum, M., F. Greene, S. Kirschenbaum, D. Mukamal, M. Welsh, and R. Pinderhughes. 2011. *The Greening of Corrections: Creating a Sustainable System*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://static.nicic.gov/Library/024914.pdf*.


### Process Management


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

Biazzo, S. 2000. "Approaches to Business Process Analysis: A Review." *Business Process Management Journal* 6(2):99–113.

Checkland, P. 1999. *Systems Thinking, Systems Practice*. Chichester, England: John Wiley & Sons, Ltd.

Cheung, Y.P., and J. Bal. 1998. "Process Analysis Techniques and Tools for Business Improvements." *Business Process Management Journal* 4(4):274–90.

George, M. 2003. *Lean Six Sigma for Service.* New York: McGraw-Hill.

George, M., D. Rowlands, M. Price, and J. Maxey. 2005. *The Lean Six Sigma Pocket Toolbook*. New York: McGraw-Hill.

Greasley, A. 2006. "Using Process Mapping and Business Process Simulation to Support a Process-Based Approach to Change in a Public Sector Organisation." *Technovation* 26:95–103.

Gulledge, T.R.J., and R.A. Sommer. 2002. "Business Process Management: Public Sector Implications." *Business Process Management Journal* 8(4):364–76.

Hackathorn, R.D., and J. Karimi. 1988. "A Framework for Comparing Information Engineering Methods." *MIS Quarterly* 12(2):203–20.

Kellogg Foundation. 2004. *Logic Model Development Guide.* Battle Creek, MI: W.K. Kellogg Foundation.

Kettinger, W.J., J.T.C. Teng, and S. Guha. 1997. "Business Process Change: A Study of Methodologies, Techniques, and Tools." *MIS Quarterly* 21(1):55–80.

MacIntosh, R. 2003. "BPR: Alive and Well in the Public Sector." *International Journal of Operations and Production Management* 23(3/4):327–44.

McAdam, R., and N. Mitchell. 1998. "Development of a Business Process Re-engineering Model Applicable to the Public Sector." *Total Quality Management* 9(4/5):160–63.

## Operations Focus Bibliography

### Safe and Secure Supervision and Settings

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

Berman, J. 2005. *Women Offender Transition and Reentry: Gender Responsive Approaches to Transitioning Women Offenders from Prison to the Community*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Downloads/PDF/Library/021815.pdf*.

Billson, J.M., N. Cebula, C. Innes, 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.

Blake, R., and J. Mouton. 1994. *The Managerial Grid*. Houston: Gulf Publishing.

Bloom, B., and S. Covington. 2003. *Effective Management of Female Inmates: Applying the Research on Gender Responsive Correctional Strategies to Local Jails.* Hagerstown, MD: American Jail Association, *http://nicic.gov/Library/Files/018812.pdf*.

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

Bogue, B., B. Woodward, N. Campbell, M. Carey, E. Clawson, D. Faust, K. Florio, A. Goldberg, L. Joplin, and B. Wasson. 2005. *Implementing Effective Correctional Management of Offenders in the Community: Outcome and Process Measures.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Downloads/PDF/Library/021041.pdf*, accessed September 17, 2012.

Booz Allen Hamilton. 2008. *Getting On Board: A Model for Integrating and Engaging New Employees*. Washington, DC: Partnership for Public Service, *http://www.boozallen.com/media/file/Getting_On_Board.pdf*, accessed September 17, 2012.

Burke, P. 2004. *Parole Violations Revisited: A Handbook on Strengthening Parole Practices for Public Safety and Successful Offender Transition*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Burke, P., P. Herman, R. Stroker, and R. Giguere. 2010. *TPC Case Management Handbook: An Integrated Case Management Approach.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Downloads/PDF/Library/024393.pdf*, accessed September 17, 2013.

Camp, C., P. Hardyman, R. May, and G. Camp. 2008. *Prison Staffing Analysis: A Training Manual with Staffing Considerations for Special Populations*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Library/022667*, accessed September 17, 2012.

Carter, M.M. 2001. *Responding to Parole and Probation Violations: A Handbook to Guide Local Policy Development*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., E. Craig, J. Eggers, M. Fajardo, J. Gray, and T. Lanzt. 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., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., and E. Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Clemm, C. 2009. "69 Ways to Save Millions." *American Jails* (Nov/Dec):9–18, *www.aja.org/assets/cms/files/Feature%20Article.pdf*, accessed September 12, 2012.

Clemm, C., and D. Sheanin. 2003. *Issues in Jail Operations, 2003: Perspectives from State Jail Inspection Agencies*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, Accession No. 019259, *http://nicic.gov/Library/019259*, accessed September 12, 2012.

Crime and Justice Institute, M. Guervara, J. Loeffler-Cobia, C. Rhyne, and J. Sachwald. 2010. *Putting the Pieces Together: Practical Strategies for Implementing Evidence-Based Practices.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Downloads/PDF/Library/024394.pdf*, accessed September 12, 2012.

Crowe, A., L. Sydney, M. DeMichele, S. Keilitz, C. Neal, S. Frohman, W. Schaefer, and M. Thomas. 2009. *Community Corrections Response to Domestic Violence: Guidelines for Practice*. Washington, DC: U.S. Department of Justice, American Probation and Parole Association, *www.appa-net.org/eweb/docs/APPA/pubs/CCRDV.pdf*, accessed September 12, 2012.

Drapkin, M. 2011. *Principles of Subject Control: A Training Guide for Jail and Detention Officers*. Madison, WI: Wisconsin Department of Justice, Accession No. 025134, *https://wilenet.org/html/integration/instructcntr/jail/posc/POSC_student_text.pdf*, accessed May 5, 2012.

Elias, G. 2007. *How to Collect and Analyze Data: A Manual for Sheriffs and Jail Administrators*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Downloads/PDF/Library/021826.pdf*, accessed May 12, 2012.

Feldbaum, M., F. Greene, S. Kirschenbaum, D. Mukamal, M. Welsh, and R. Pinderhughes. 2011. *The Greening of Corrections: Creating a Sustainable System.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://static.nicic.gov/Library/024914.pdf*, accessed September 12, 2012.

Gendreau, P., C. Goggin, and B. Fulton. 2001."Intensive Supervision in Probation and Parole Settings." In C.R. Hollin (ed.), *Handbook of Offender Assessment and Treatment*. Chichester, England: John Wiley & Sons, Ltd., pp. 195–204.

Glaze, L.E., and S. Palla. 2005. *Probation and Parole in the United States, 2004*. Washington, DC: U.S. Department of Justice, Bureau of Justice Statistics.

Hayes, L. 2010. *National Study of Jail Suicide: 20 Years Later*. Washington, DC: U.S. Department of Justice, National Institute of Justice, *http://nicic.gov/Library/024308*, accessed May 12, 2012.

Horton, P., and N. Cebula. 2011. "Achieving Sustainability within Correctional Industries." *National Correctional Industries Association News* (Summer):37–39.

Hutchinson, V. 2010. *The National Institute of Corrections: Serving Jails for More than 30 Years.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *www.aca.org/fileupload/177/ahaidar/Hutchinson.pdf*, accessed September 12, 2012.

Hutchinson, V., K. Keller, and T. Reid. 2009. *Inmate Behavior Management: The Key to a Safe and Secure Jail*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Library/Files/023882.pdf*, accessed May 12, 2012.

Jannetta, J., and P. Lachman. 2011. *Promoting Partnerships between Police and Community Supervision Agencies: How Coordination Can Reduce Crime and Improve Public Safety.* Washington, DC: U.S. Department of Justice, Community Oriented Policing Services, *www.urban.org/uploadedpdf/412362-promoting-partnerships-police-community-supervision-agencies.pdf*, accessed September 12, 2012.

Leach, D.L. 2011. *Managing Lesbian, Gay, Bisexual, Transgender, and Intersex Inmates: Is Your Jail Ready?* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://community.nicic.gov/blogs/national_jail_exchange/archive/2011/01/25/managing-lesbian-gay-bisexual-transgender-and-intersex-inmates-is-your-jail-ready.aspx*, accessed May 12, 2012.

Leschied, A., A. Cummings, and L. Baker. 2005. "Models of Supervision Relevant to the Delivery of Effective Correctional Service." *Journal of Community Corrections* 14:6–10.

Liebert, D., and R. Miller. 2003. *Staffing Analysis Workbook for Jails*, 2d ed. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Library/016827*, accessed September 12, 2012.

Lobel, J. 2009. *Prolonged Solitary Confinement and the Constitution*. Pittsburgh, PA: University of Pittsburgh School of Law.

McGillan, S. 2010. *The Financial Impact of Inmate Healthcare: Maintaining a Cost Effective and Efficient System.* Clearwater, FL: Pinellas County Sheriff's Office, *http://nicic.gov/Library/024920*, accessed September 12, 2012.

Miller, R. 1988. *Staffing Analysis Workbook for Jails*. Washington, DC: U.S. Department of Justice.

The Moss Group. 2012. *Prison Rape Elimination Act: Resources.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Library/024657*, accessed August 14, 2012.

National Institute of Corrections. 2006. *Topics in Community Corrections: Effectively Managing Violations and Revocations*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

National Law Enforcement and Corrections Technology Center. 2010. *An Introduction to Portal Contraband Detection Technology*. Rockville, MD: National Institute of Justice, National Law Enforcement and Corrections Technology Center.

Petersilia, J. 2003. *When Prisoners Come Home: Parole and Prisoner Reentry*. New York: Oxford University Press.

The PEW Center on the States. 2011. *Reducing Recidivism: Corrections Directors in Five States Share Lessons Learned.* Washington, DC: The PEW Charitable Trusts, *www.pewcenteronthestates.org/uploadedFiles/wwwpewcenteronthestatesorg/Initiatives/Promotional_Items/PSPP/Pew_Reducing_Recidivism.pdf*, accessed September 12, 2012.

The PEW Center on the States. 2012. *Risk-Needs Assessment 101: Science Reveals New Tools to Manage Offenders.* Washington, DC: The PEW Charitable Trusts, *www.pewtrusts.org/our_work_report_detail.aspx?id=85899364058*, accessed August 6, 2012.

Prins, S., and L. Draper. 2009. *Improving Outcomes for People with Mental Illnesses under Community Corrections Supervision: A Guide to Research-Informed Policy and Practice*. New York: Council of State Governments Justice Center and the MacArthur Foundation, *http://nicic.gov/Downloads/PDF/Library/023634.pdf*, accessed August 6, 2012.

Public Safety Performance Project. 2009. *Maximum Impact: Targeting Supervision on Higher-Risk People, Places and Times*. Washington, DC: The Pew Charitable Trusts, *www.pewcenteronthestates.org/uploadedFiles/Maximum_Impact_web.pdf*, accessed August 6, 2012.

Schwartz, J., and C. Barry. 2009. *A Guide to Responding to and Preparing for Jail Emergencies.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Library/Files/023494.pdf*, accessed August 6, 2012.

Solomon, A., V. Kachinowski, and A. Bhati. 2005. *Does Parole Work? Analyzing the Impact of Postprison Supervision on Rearrest Outcomes*. Washington, DC: The Urban Institute, *www.urban.org/UploadedPDF/311156_Does_Parole_Work.pdf.*

Solomon, A., J. Osborne, L. Winterfield, B. Elderbroom, P. Burke, R. Stroker, E. Rhine, and W. Burrell. 2008. *Putting Public Safety First—13 Parole Supervision Strategies to Enhance Reentry Outcomes.* Washington, DC: Urban Institute, *www.urban.org/UploadedPDF/411791_public_safety_first.pdf*, accessed August 6, 2012.

Taxman, F.S. 2002. "Supervision—Exploring the Dimensions of Effectiveness." *Federal Probation* 66(2):14–27.

Thornton, R., R. Schweer, and J. Barton. 2003. *New Approaches to Staff Safety*, 2d ed. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Library/011356*, accessed August 6, 2012.

Tonry, M. 2004. *The Future of Imprisonment*. New York: Oxford University Press.

Travis, J., and S. Lawrence. 2002. *Beyond the Prison Gates: The State of Parole in America*. Washington, DC: The Urban Institute.

U.S. Merit Systems Protection Board. 2009. *Managing for Engagement—Communication, Connection, and Courage*. Washington, DC: U.S. Merit Systems Protection Board, *http://www.mspb.gov/netsearch/viewdocs.aspx?docnumber=437591&version=438697&application=ACROBAT*, accessed March 19, 2013.

## Process Management

Amabile, T.M. 1989. "How to Kill Creativity." *Harvard Business Review* 76(5):77–87.

Amabile, T.M., R. Conti, H. Coon, J. Lazenby, and M. Herron. 1996. "Work Environment Influence on Motivation." *Academy of Management Journal* 39(5):1154–84.

Anjard, R.P. 1996. "Process Mapping: One of Three, New, Special Quality Tools for Management, Quality and All Other Professionals." *Microelectronics and Reliability* 36(2):223–25.

ASCA. 2011. *Performance Based Measures System Resource Manual.* Middletown, CT: Association of State Correctional Administrators, *www.nicic.gov/Library/021116*, accessed January 4, 2012.

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

Biazzo, S. 2000. "Approaches to Business Process Analysis: A Review." *Business Process Management Journal* 6(2):99–113.

Billson, J.M., N. Cebula, C. Innes, 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.

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

Brown, M.G. 2006. *Keeping Score: Using the Right Metrics to Drive World-Class Performance.* New York: Productivity Press.

Buckingham, M., and D.O. Clifton. 2001. *Now, Discover Your Strengths*. New York: Free Press.

Cabonara, P. 1996. "Hire for Attitude, Train for Skill." *Fast Company*, August 31.

Carr, D.K., L. Dougherty, H. Johansson, R. King, and D. Moran. 1992. *Break Point: Business Process Redesign*. Arlington, VA: Coopers and Lybrand.

Cebula, N., E. Craig, J. Eggers, M. Fajardo, J. Gray, and T. Lanzt. 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., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., and E. Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Checkland, P. 1999. *Systems Thinking, Systems Practice*. Chichester, England: John Wiley & Sons, Ltd.

Cheung, Y.P., and J. Bal. 1998. "Process Analysis Techniques and Tools for Business Improvements." *Business Process Management Journal* 4(4):274–90.

Covey, S.R. 1989. *The 7 Habits of Highly Effective People: Restoring the Character Ethic*. New York: Simon & Schuster.

Covey, S.R. 1991. *Principle Centered Leadership.* New York: Simon & Schuster.

Devane, T. 2004. *Integrating Lean Six Sigma and High-Performance Organizations: Leading the Charge toward Dramatic, Rapid, and Sustainable Improvement*. San Francisco: Pfeiffer–John Wiley & Sons, Inc.

Drucker, P.F. 1994. "Theory of the Business." *Harvard Business Review* (September-October).

Earl, M.J. 1994. "The New and the Old of Business Process Redesign." *Journal of Strategic Information Systems* 3(1):5–22.

George, M. 2003. *Lean Six Sigma for Service.* New York: McGraw-Hill.

George, M., D. Rowlands, and B. Kastle. 2004. *What Is Lean Six Sigma?* New York: McGraw-Hill.

George, M., D. Rowlands, M. Price, and J. Maxey. 2005. *The Lean Six Sigma Pocket Toolbook*. New York: McGraw-Hill.

Goldratt, E., and J. Cox. 1986. *The Goal: A Process of Ongoing Improvement*. New York: Croton-on-Hudson.

Greasley, A. 2006. "Using Process Mapping and Business Process Simulation to Support a Process-Based Approach to Change in a Public Sector Organisation." *Technovation* 26:95–103.

Gulledge, T.R.J., and R.A. Sommer. 2002. "Business Process Management: Public Sector Implications." *Business Process Management Journal* 8(4):364–76.

Hackathorn, R.D., and J. Karimi. 1998. "A Framework for Comparing Information Engineering Methods." *MIS Quarterly* 12(2):203–20.

Heckscher, C. 2007. *The Collaborative Enterprise: Managing Speed and Complexity in Knowledge-Based Businesses*. New Haven, CT: Yale University.

Heinrich, C.J. 2007. "Evidence-Based Policy and Performance Management: Challenges and Prospects in Two Parallel Movements." *American Review of Public Administration* 37(3):255–77.

Hiatt, J.M. 2006. *ADKAR: A Model for Change in Business, Government, and Our Community*. Loveland, CO: Prosci.

Kanter, R.M. 1983. *The Change Masters: Innovation for Productivity in the American Corporation.* New York: Simon & Schuster.

Keidel, R.W. 1994. "Rethinking Organizational Design." *Academy of Management Executive* 8(4).

Kellogg Foundation. 2004. *Logic Model Development Guide*. Battle Creek, MI: W.K. Kellogg Foundation.

Kettinger, W.J., J.T.C. Teng, and S. Guha. 1997. "Business Process Change: A Study of Methodologies, Techniques, and Tools." *MIS Quarterly* 21(1):55–80.

Lippitt, G.L. 1970. *Organization Renewal*. New York: Appleton-Century Crofts.

MacIntosh, R. 2003. "BPR: Alive and Well in the Public Sector." *International Journal of Operations and Production Management* 23(3/4):327–44.

Majchrzak, A., and O. Wong. 1996. "Breaking the Functional Mind-Set in Process Organizations." *Harvard Business Review* (September-October):92–99.

McAdam, R., and N. Mitchell. 1998. "Development of a Business Process Re-engineering Model Applicable to the Public Sector." *Total Quality Management* 9(4/5):160–63.

Oakley, E., and D. Krug. 1991. *Enlightened Leadership: Getting to the Heart of Change.* New York: Simon & Schuster.

Osborne, D., and P. Plastrik. 1997. *Banishing Bureaucracy*. Reading, MA: Addison Wesley.

Pickering, J.W. 2010. *Building High-Performance Organizations*. Charlottesville, VA: Commonwealth Centers for High Performance Organizations.

Pickering, J.W., and R.E. Matson. 2010. "Why Executive Development Programs (Alone) Don't Work." *Training and Development Journal. American Society for Training and Development*, May 1992. Revised and reissued by Commonwealth Centers for High Performance Organizations.

Pyzdek, T. 2003. *The Six Sigma Handbook, A Complete Guide for Green Belts, Black Belts, and Managers at All Levels*. New York: McGraw-Hill.

Scholtes, P.R. 1987. *An Elaboration on Deming's Teaching on Performance Appraisal*. Madison, WI: Joiner Associates.

Schwarz, R.M. 1994. *The Skilled Facilitator: Practical Wisdom for Developing Effective Groups*. San Francisco: Jossey-Bass.

Thong, J.Y.L., C. Yap, and K. Seah. 2000. "Business Process Reengineering in the Public Sector: The Case of the Housing Development Board in Singapore." *Journal of Management Information Systems* 17(1):245–70.

Tichy, N.M. 1997. *The Leadership Engine: How Winning Companies Build Leaders at Every Level.* New York: Harper Business.

Tichy, N.M. 1999. "The Teachable Point of View: A Primer." *Harvard Business Review* 77(2):82–83.

Ulrich, D. 1997. *Human Resource Champions: The Next Agenda for Adding Value and Delivering Results*. Boston: Harvard Business School Press.

Ulrich, D., J. Zenger, and N. Smallwood. 1999. *Results-Based Leadership*. Boston: Harvard Business School Press.

Yeatts, D.E., and C. Hyten. 1998. *High-Performance Self-Managed Work Teams: A Comparison of Theory to Practice.* Thousand Oaks, CA: Sage Publications.

## Web Links

### Safe and Secure Supervision and Settings

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**AWEC: Association of Women Executives in Corrections**
*www.awec.us*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications*
or *www.baldrige.com*

**BJA: Bureau of Justice Assistance**
*http://www.bja.gov*

**BJS: Bureau of Justice Statistics**
*www.bjs.gov*

**Center for Effective Public Policy**
*www.cepp.com*

**CIPP: Center for Innovative Public Policies**
*www.cipp.org*

**Colorado Jail Association**
*https://sites.google.com/site/cjacorrectionscom/home*

**National Sheriffs' Association**
*www.sheriffs.org*

**NAAWS: North American Association of Wardens and Superintendents**
*http://NAAWS.corrections.com*

**NIC Information Center: National Institute of Corrections**
*http://nicic.gov*

**NIC: Corrections and Mental Health**
*http://nicic.gov/MentalHealthNews*

**Performance, Learning, Leadership, and Knowledge**
*www.nwlink.com/~donclark*

## Process Management

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**AWEC: Association of Women Executives in Corrections**
*www.awec.us*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications*
or *www.baldrige.com*

**Center for Effective Public Policy**
*www.cepp.com*

**NAAWS: North American Association of Wardens and Superintendents**
*http://NAAWS.corrections.com*

**NIC Information Center: National Institute of Corrections**
*http://nicic.gov*

**Performance, Learning, Leadership, and Knowledge**
*www.nwlink.com/~donclark*

# Chapter 6: Organizational Culture

## Introduction

The culture of an organization is the most likely determinant of the effectiveness of a change effort. Culture affects an organization at a deeper level than climate or morale and is based on the balance of focus (whether external or internal) and degree of flexibility versus structure and control. Understanding the Organizational Culture domain should not be overlooked because it affects all the other domains in an organization.

This chapter provides details about organizational culture, including the types of cultures defined in the Competing Values Framework, tools and interventions, case studies, assessments, references, a bibliography, and links to assist an agency on its APEX (Achieving Performance Excellence) journey to its own unique organizational culture. The Organizational Culture Assessment Instrument (OCAI) is one important tool that helps identify culture-based problems that manifest themselves in correctional agencies. Other tools are listed in the assessments section and introduced throughout the text.

## Guiding Questions

The following questions are included to help leaders and others in correctional organizations get a sense of the various aspects of the Organizational Culture domain and discover ideas for improvement. The questions align with the focus on higher performance in the APEX Guidebook series and in the Baldrige Performance Excellence Program (Baldrige National Quality Program 2011).

1. **Organizational climate**

   - What words do staff members use to describe the organizational climate—positive or negative, open to staff input and participation, or driven from the top down?
   - How open and willing are leaders, and staff members, to changing the climate?
   - How do people describe the organizational culture?
     - Focused on collaboration, participation, inclusiveness, and staff development?
     - Focused on efficiency, reliability, consistency, and stability?

2. **Culture and leadership**

   - How do leaders encourage staff members to find meaning in their work?
   - How do people describe the tone of organizational communications—positive or negative?

- How does the leadership encourage suggestions for changing the climate and/or culture?
- How visible is the leadership's commitment to culture change?

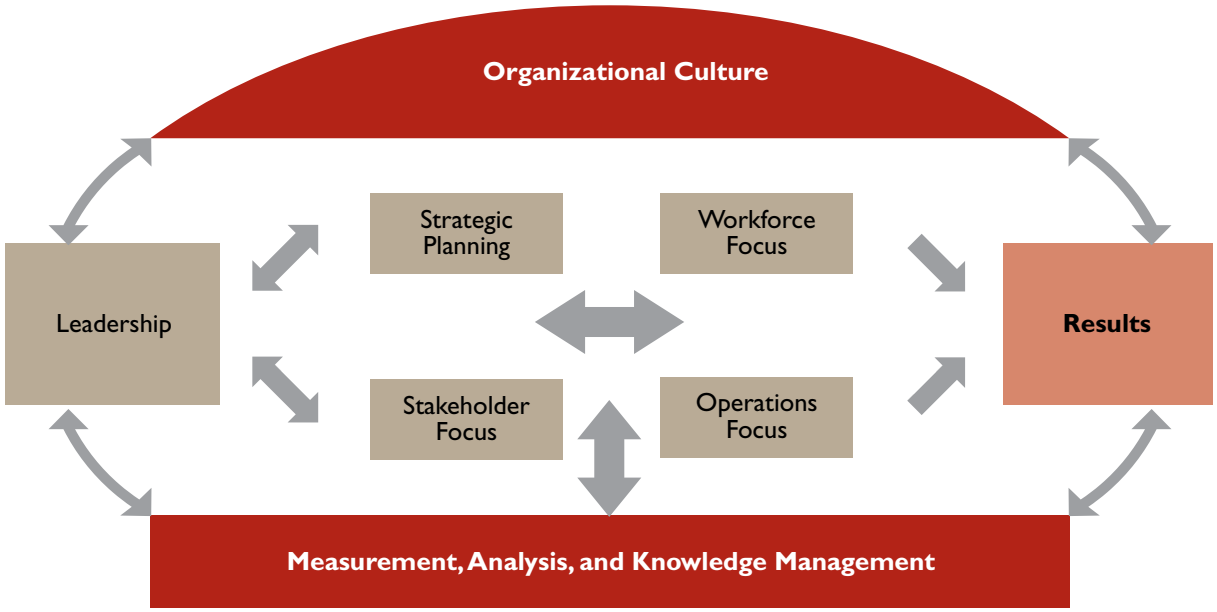
3. **Organizational values and beliefs**

- How does the leadership articulate the organization's values?
- How are the values shared with staff members and other stakeholders?
- How do people describe the organization's core beliefs?
- How do the beliefs align with and support the organizational mission and vision?

## About Organizational Culture

Understanding an organization's culture is paramount for achieving any course of change because culture determines the degree of acceptance and execution of a change effort. In the APEX Public Safety Model (exhibit 6–1), one can see how organizational culture affects all domains in an organizational system.

### Exhibit 6–1: APEX Public Safety Model




Note: The vertical, two-headed arrow pointing from measurement, analysis, and knowledge management to the rest of the illustration shows how this component is foundational for the performance management system.

The Competing Values Framework is based on the work of Kim Cameron and Robert Quinn (2006). It says that organizational culture comes from a balance among competing values:

1. An internal focus versus an external focus.

2. Structure and control versus flexibility and agility.

Exhibit 6–2 illustrates this framework, showing the four types of cultures in their purest form, depending on where the organization is located among the competing values dimensions.

## Exhibit 6–2: Competing Values Framework

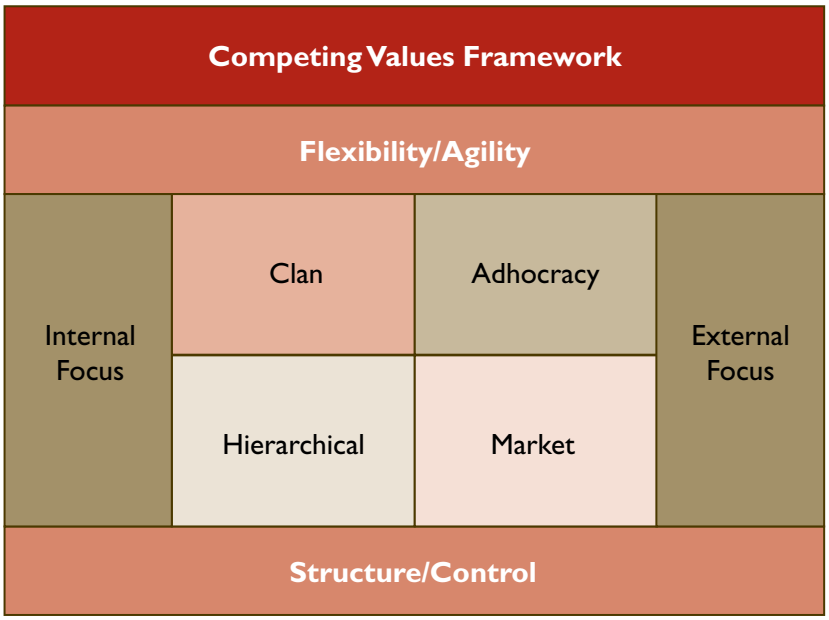



Exhibit 6–3 (on next page) describes the characteristics of the different culture types, which are discussed in more detail in chapter 2, "Organizational Culture and Change," in *Culture and Change Management: Using APEX to Facilitate Organizational Change* (Cebula et al. 2012).

## Exhibit 6–3: Culture Types

| The Clan Culture Type | The Adhocracy Culture Type |
|---|---|
| **Description:** Internally focused and valuing flexibility and decentralization. This type of organization values shared goals, participation, inclusiveness, and individuality.<br>**Value orientation:** Collaboration.<br>**Theory of high performance:** Individual development and participation will create higher performance.<br>**Definition of success:** Organizational commitment, participation, personal development, and family-like work environment.<br>**Leadership type:** Facilitator, mentor, and team builder.<br>**Human resources role:** Champion for employees, supportive, and responsive to employee needs.<br>**Staff competencies:** Good social and communication skills, cooperative, and committed to organizational and personal development and improvement. | **Description:** Externally focused and valuing flexibility and decentralized decisionmaking to produce an organization that is agile, innovative, responsive, and constantly reinventing itself.<br>**Value orientation:** Creativity.<br>**Theory of high performance:** Innovation, expansive vision, and new resources will drive performance.<br>**Definition of success:** Leading the field in producing innovations.<br>**Leadership type:** Innovator, entrepreneur, and visionary.<br>**Human resources role:** Fostering change and facilitating transformation.<br>**Staff competencies:** Systems-thinking skills, organizational change abilities, collaborative, and consultative. |
| **The Hierarchical Culture Type** | **The Market Culture Type** |
| **Description:** Focused on rules, specialization, and accountability to produce an organization that functions smoothly and reliably.<br>**Value orientation:** Controlling.<br>**Theory of high performance:** Control and efficiency with well-defined and effective processes will produce higher performance.<br>**Definition of success:** Efficiency, timeliness, consistency, and stability.<br>**Leadership type:** Coordinator, activity monitor, and organizer.<br>**Human resources role:** Selection and assignment of specialists, skill maintenance and improvement, and rule enforcement.<br>**Staff competencies:** Process orientation, customer relations, and service needs assessment. | **Description:** Externally focused and valuing stability and control. This type of organization functions internally, like a market, by encouraging competition between units and rewarding bottom-line success.<br>**Value orientation:** Competition.<br>**Theory of high performance:** Competition and customer focus will drive performance.<br>**Definition of success:** Market share, achievement, and profitability.<br>**Leadership type:** Hard-driving, competitive, goal oriented, and productive.<br>**Human resources role:** Strategic business partner.<br>**Staff competencies:** Business and marketing skills, strategic analysis and leadership, and achievement orientation. |

A higher performing organization must be cognizant of culture types and also be willing to change the existing culture when the change effort will result in improvement. When an organization changes, it undergoes "chaos" as the old systems and structures are modified and reinvented. The organization becomes "off-balance" and must regroup and reevaluate. Organizations exist on a continuum between chaos and equilibrium; those organizations devoted to maintaining the status quo and stability will not flourish like those organizations that exist closer to the

chaos end of the continuum (Kiel and Elliott 1997). Change is stimulated and enhanced through the acquisition of knowledge. An organization that encourages its members to learn and that continuously reinvents itself is considered a learning organization. Creating such a culture of learning enables fluidity versus rigidity and enhances the change effort. Learning organizations are able to adapt continuously to improve their performance and their ability to respond to the needs of all of their stakeholders (Carr 1997; Senge 1999, 2006).

In any system, a culture intervention can occur at different levels: at the leader level (administrator, warden, superintendent), the group level (department, division, housing unit), or the organizational level. Engaging people at multiple levels in the organization is one way to ensure that everyone is working to support the desired change. External stakeholders and the environment can also affect the implementation and sustainability of culture changes. These stakeholders include, but are not limited to, vendors and/or consultants assisting with the change, the governing agency (county board, parole board, judiciary, governor's office), legislators and the laws they pass, other human service agencies, and agencies such as the National Institute of Corrections (NIC) and the Department of Justice (DOJ).

NIC has been involved in several organizational culture initiatives. Leaders from agencies that participated in those initiatives met to describe their experiences and identify problems and solutions that arose during the culture change process. They found 12 problem areas: lack of trust, lack of recognition, unclear reward structure, lack of good communication, procedures not being followed, lack of respect, lack of diversity, sexual misconduct, use of force, corruption, "code of silence," and apathy. Some of those problems can be found in any company or organization; others are more typical of corrections (e.g., the code of silence). Problems can occur simultaneously, such as lack of trust and lack of recognition, or separately. Some tools for interventions are relevant to more than one area and more than one level of intervention. These tools will appear in similar form in different sections of this chapter to enable the reader to find what is needed without having to search previous pages for it. The goal is to select interventions that best address the identified problems in an organization, whether targeting a single problem or two or three overlapping problems.

## Tools and Interventions

The tools and interventions in this chapter address the top 12 problems that have been identified by NIC-led assessments of correctional agencies. Interventions are grouped within each problem area by the level of the intervention: organizational level, leader level, and group level. The last intervention described is for focus groups. Additional tools and interventions that specifically address leadership can be found in chapter 4, "Leadership."

Every correctional agency has a unique combination of strengths and weaknesses. To succeed, each change initiative will necessarily involve some degree of effort and personalization of the tools and interventions in this chapter as well as the other chapters in this book. Setting the stage for change by preparing the staff—and by being flexible and innovative in customizing tools and interventions—will make the change process easier and more efficient.

## Levels of Intervention

The interventions in this chapter are geared toward three levels, each of which is discussed in more detail below: the leader level, the group level, and the organizational level.

### Leader Level

Organizations will not change unless the leader promotes and leads the change. The leader needs to convey the urgency and need for change and to model the kind of change that he/she is trying to promote. When staff members see the benefits of change, the leadership can more easily motivate them. Kotter says that leadership is responsible for developing teams to implement change and for encouraging staff members to try new things (Kotter and Rathgeber 2006). The APEX Change Management Model (Cebula et al. 2012) describes a number of roles that facilitate change processes, including the change leader, the change team member, and the intervention team member. Leaders and those in change effort roles analyze workload as well as the technology and the physical space necessary to enable change, and they promote improvement within the culture by monitoring and measuring performance.

### Group Level

Many activities can be done with groups within the agency, whether conducting trainings with small groups of staff members or creating a new committee. The APEX Change Management Model's intervention team can be impaneled to work on change at this level. The agency might conduct trainings or facilitated discussions with groups of staff members. The interventions listed in the group-level sections below might be led by the change leader, the intervention team members, or an external consultant, and the interventions may involve working with groups of staff members.

### Organizational Level

An organization should embrace a mission and values that support the kind of organizational culture that it wants to create. The leader's job is to engage the staff in developing a mission and identifying values that support the organization and its new culture. Determining the organization's mission and values is key in creating goals, objectives, policies, procedures, and performance measures that are based on strategies that reflect evidence-based principles. This overall structure creates a context for the work of organizational culture change.

## Identifying Problems in Correctional Agencies

NIC and its contractors have been conducting assessments for the past 10 years. In conjunction with participants from the agencies they worked with, they have uncovered 12 problems (described in more detail below, with examples) that affect organizational culture: lack of trust, lack of recognition, unclear reward structure, lack of good communication, procedures not being followed, lack of respect between coworkers and/or management and workers, lack of diversity in staff, sexual misconduct, use of force, corruption, code of silence, and apathy.

1. **Lack of trust.** Staff members do not have good, supportive relationships with their supervisors or peers and feel that their safety is, can be, and/or will be compromised. Corrections works best when staff members feel that they can depend on each other in an emergency or dangerous situation, and that employees will come to

their aid in the event of an assault. The code of silence also reflects this lack of trust: Staff members do not want to "tell on" other staff members because of fear of retaliation.

*Example:* Officer Jones and Officer Smith work the housing unit together, but Officer Jones feels that Officer Smith fraternizes too much with the inmates. Officer Jones tries to convey his feelings, and Officer Smith tells him to back off and mind his own business. Officer Jones does not want to report how he feels to supervisors because he fears that Officer Smith or the inmates may retaliate (i.e., safety concerns).

2. **Lack of recognition.** Staff members come to work on time each day, perform above and beyond their basic duties, resolve problems, maintain good order and sanitation, do whatever assignments they are given, are the "go to" people, and are overlooked or taken for granted by management—especially when it comes to performance evaluations. Staff members need to feel that they are significant, make a difference, and are cared about in their work environment. Not receiving a performance evaluation in a respectful way illustrates a lack of recognition.

   *Example:* Parole Officer Matthews supervises high-risk offenders in the community, has an excellent record of maintaining contact with parolees, and has a low revocation rate. Her performance evaluation from her supervisor rates her average and fails to acknowledge her commitment to her job. She feels undervalued and taken for granted.

3. **Unclear reward structure.** Sometimes staff members who go beyond their normal performance duties are not recognized or acknowledged for their efforts. Other staff members seem to get all the perks (e.g., easy post assignments, escort duties, office jobs), and those perks are not related to job performance but rather to a personal relationship with the supervisor(s). Staff members who are not as privileged feel punished when assigned to less-than-glamorous posts. They see others getting more benefits and recognition at work, which appear unwarranted and not based on performance.

   *Example:* Detention Officer Carmen has 4 years of seniority and very good evaluations at the jail. He is highly dependable yet does not receive the recognition, work assignments, or leave considerations that other staff members do who do not demonstrate his work ethic and commitment. This situation affects his motivation because he sees no opportunity to better his worklife.

4. **Lack of good communication.** Maintaining safe and secure settings depends on staff members working together and communicating issues, concerns, and climate status. Staff members depend on supervisors to inform them of any security concerns, and they depend on each other to communicate issues related to operations, inmate well-being, safety and sanitation, and other issues. At the prison shift change, staff members customarily brief the incoming shift about any issues or concerns.

   *Example:* Lt. Johnson is in a hurry to get off work and does not take the time to fully inform the incoming shift supervisor, Lt. Matthews, of the fight that occurred in Bravo Unit between two inmates earlier in the day. The two inmates are members of rival gangs. Unaware of the full facts regarding the incident, the staff finds its safety jeopardized as other members of the two gangs square off during recreation.

5. **Procedures not being followed.** When policies and procedures are written and not followed, the facility staff's safety may be compromised. Not following the procedures may raise issues of legal liability if a

serious incident occurs. In addition, the organizational climate can develop a negative feel, staff members who do follow procedures may feel less valued, and respect for leadership, peers, and the organization is diminished.

*Example:* A new detention officer graduates from the training academy and reports to duty at the jail. Upon meeting senior staff, he is advised, "Forget what you learned at the academy; this is the way we do things around here." The work performance of the staff member who made that statement is not in accordance with training guidelines and written policy. If the new officer acts outside the boundaries of required policy and follows the guidance of that officer, serious consequences—including dismissal—could result.

6. **Lack of respect between coworkers and/or between management and workers.** This problem relates directly to trust in the workplace. If staff members do not trust or respect each other, work safety, security, organizational climate, and the quality of worklife are compromised.

   *Example:* Probation Officer Andrews works in an office where the supervisor openly berates and criticizes the staff for things that may or may not be work related. For instance, the supervisor makes attempts at humor, in front of Andrews and his peers, by commenting on Andrews' clothing and the fact that he is single. This leads other staff to join in on the comments and is affecting Andrews' work and motivation in the office.

7. **Lack of diversity in staff.** All staff members—regardless of gender, sexual orientation, race/ethnicity, creed, political affiliation, marital status, physical appearance, and other traits irrelevant to job duties—need to feel engaged and accepted in the workplace. The work environment must be sensitive to differences among individuals and embrace the benefits of diversity.

   *Example:* Parole Officer Garnett is of Latina heritage. No other staff member in her unit shares her background, and she is often the recipient of staff comments regarding the food she eats, her Puerto Rican accent, and her hairstyle. This makes her feel that she stands out from the rest of the staff, is mocked, and is not embraced as part of the team. Her sense of commitment to her work peers is affected. Because some of her clients have Puerto Rican ancestry, she often feels more accepted by them than her own peers. This has changed her relationship with the clients as well as her peers.

8. **Sexual misconduct.** The Prison Rape Elimination Act (PREA) has focused attention on sexual misconduct and sexual abuse as prohibited behavior, as applied to policies, reporting, investigation, training, and resolution and how these issues influence the culture.

   *Example:* Officer McCoy, a male officer in his mid-30s with 8 years on the job, works in a women's correctional facility and is regularly assigned as the kitchen officer. One of the women inmates has been talking to him frequently and privately, sharing her personal life and prior negative experiences with men in the community. Officer McCoy enjoys the attention of the inmate and easily converses with her about his private life and relationships. After a number of conversations, she tells Officer McCoy that she has feelings for him and would like to act upon them. Officer McCoy is at first uncomfortable but then begins to trust her and allows himself to reciprocate those feelings. Officer McCoy has been trained on PREA regulations; however, he does not see the behavior as forced (nonconsensual) sexual relations. As such, Officer McCoy consents and arranges time alone with the inmate in the kitchen storage room, where they engage in sexual relations.

After a few engagements, the inmate tells Officer McCoy that she needs him to bring her some clothing and contraband cigarettes. Officer McCoy begins to realize that he has crossed the line in their relationship but is reluctant to deny the ongoing requests to bring her items because of concern for his job security and his feelings for the inmate. During one occasion of bringing unauthorized items to the inmate, Officer McCoy is confronted by his supervisor and admits to the relationship. The end result of the sexual misconduct is that the staff member violated policy and was dismissed, the inmate filed a suit for sexual misconduct because the state law prohibits sexual activity, and facility safety and security were compromised. In addition, the investigation uncovered that a few staff members were aware of the relationship and decided not to report it, considering it none of their business and thus reinforcing a code of silence.

9. **Use of force.** High numbers of incidents involving excessive use of force by the staff may indicate an environment where regular staff and offender communication is ineffective and where the culture of total compliance with staff authority and control dominates. The concern in such a culture is the unauthorized or unlawful abuse of physical force to reinforce or resolve a perceived threat to power, control, and authority by staff members. The degree of force used is often higher than the necessary level of response.

   *Example:* Resident Travers is a 15-year-old female who demonstrates behavior that is challenging to the staff. She routinely yells and demands attention from the staff, and she occasionally resorts to name-calling remarks toward staff if she feels ignored. On the second shift, the housing unit staff prefers the unit to be quiet, especially when youth are confined to their rooms. When Travers acts out for attention, the staff members threaten her with restraints and removal of her privileges. The common response to Travers has become forced removal from her room, the use of restraints, and placement in isolation. Travers occasionally receives injuries as a result and, most times, is not referred for medical evaluation. The staff members demonstrate their authority over Travers by physical means rather than through effective communication interventions in collaboration with mental health services.

10. **Corruption.** Staff members taking bribes or doing special favors for reward illustrates corruption in a correctional setting.

    *Example:* Warden Brooks is friendly with Bob, the contracted commissary manager for his facility. On occasion, Bob treats the warden with alcoholic drinks and dinners and provides basketball tickets to the local college team games as a courtesy for Warden Brooks allowing increases in the prices of commissary products.

11. **Code of silence.** The code of silence can apply to both staff members and offenders. When an incident occurs that is not within the boundaries of law or policy, and staff members or offenders do not report it—for fear of retaliation, out of apathy, or because they see personal gain in not reporting it—then a code of silence is an issue in the culture.

    *Example:* At Central Facility, both the staff and inmates are aware that three staff members are introducing illegal drugs into the facility. Staff members do not report the identity of the suspected staff member because they are in the same union and fear retaliation from their coworkers and lack of support from the union. The offenders do not report it because some of them profit from the possession of drugs, other offenders buy the drugs and want the supply to continue, and other offenders fear that reporting it will lead to physical harm and forever being targeted as a snitch. The introduction of contraband/drugs into a facility affects the safety and security of both the staff members and offenders in the facility and is detrimental to everyone's well-being.

12. **Apathy.** Staff members and offenders who do not care about themselves or others can be dangerous in a correctional culture. Apathy among the staff may enhance the code of silence, deter a culture from reporting incidents, lead to security breaches or ignoring them, result in abuse of staff leave and staff coverage, support corruption, and erode the success of the agency's mission.

    *Example:* At Middle State Correctional Facility, the excessive use of staff sick leave has created shift shortages that result in an inadequate number of staff members being available to properly manage the facility. This issue also results in regular, involuntary hold-over of staff members, which generates ill feelings. There is an absence of commitment by staff members, in general, in response to the administration's lack of interest, concern, or respect for the staff. The staff members do not feel valued, recognized, or appreciated by the administration leaders. Communication is one way, top down, and threatening in its tone. Staff morale is low, and the facility's progress in reaching its goals is minimal. As a result, the number of incidents at the facility has increased, and order and sanitation have deteriorated.

Problems 1–7 and 12 are found in many kinds of organizations, whereas problems 8–11 are more specific to correctional agencies. Some of these problems will occur simultaneously in an agency; addressing one problem may help solve the other related issues.

The following recommended interventions address these 12 problems. Some interventions can be conducted by the leader; others can be handled by the change leader and the change team or intervention team. Other interventions are best conducted with an agency-engaged external consultant, such as an executive coach, a facilitator, or a change management consultant.

## Interventions for Lack of Trust

### Leader Level

- **Executive coaching.** The purpose of coaching is to increase the leader's effectiveness in leading the staff and to help him/her to achieve results in a way that inspires trust. Coaching involves engaging an executive coach who creates a developmental plan with the warden and may involve weekly or bimonthly conversations in person or by phone. Coaching helps build the leader's self-awareness and develop his/her emotional intelligence; it also provides guidance to align the leader's actions with the stated values of the agency (Underhill, McAnally, and Koriath 2007). (See chapter 4, on the "Leadership" domain, for more on leadership coaching.)

- **360 evaluations.** These evaluations solicit feedback from staff members, at all levels, who interact with the managers and leaders: staff members, peers, and supervisors. This information is collected and presented in report form to the manager by a coach or consultant who is trained in the specific evaluation.

- **Personality assessments.** A variety of personality assessments are available for leaders, managers, and staff members. (Refer to several assessments in chapter 4, "Leadership."). Understanding various personality types gives leaders and others the ability to recognize, accept, and value the differences between themselves and others. This understanding promotes increased empathy and communication.

- **MBWA.** Encourage "management by walking around," or MBWA, to enable leaders to move about the facility and interact with employees in an informal setting on a daily basis. The 12 guidelines for the MBWA model (FutureCents 2000) are as follows:

1. Do it to everyone.
2. Do it as often as you can.
3. Go by yourself.
4. Do not circumvent subordinate managers.
5. Ask questions.
6. Watch and listen.
7. Share your dreams with them.
8. Try out their work.
9. Bring good news.
10. Have fun.
11. Catch them in the act of doing something right.
12. Do not be critical.

- **Team building.** Have managers participate in team-building exercises in meetings. See chapter 5, "Team Development Guide," in *APEX Resources Directory Volume 2,* for more about team development (Billson et al. 2012). In addition, understanding team development stages and their impact on team success is useful. The Tuckman model (Tuckman and Jensen 1977) describes five predictable, sequential stages of team development: forming, storming, norming, performing, and adjourning (Cebula and Ritter 2013).

- **Management coaching.** Coach the management to solicit and acknowledge the staff's suggestions for improvement. In addition to providing coaching for leaders and managers, leaders can support staff members' professional career goals and make accommodations for their personal obligations within the parameters of what is best for the staff and for the organization by becoming coaches to their staff. Coach the managers to demonstrate integrity by discussing core values and following through on promises.

- **Building-trust exercises.** Lencioni's model for overcoming team dysfunction includes building trust, mastering conflict, achieving commitment, embracing accountability, and focusing on results (Lencioni 2002). Lencioni recommends applying the entire model to build trust in the team. The section on building trust includes the following:

  - An exercise in sharing personal histories, during which team members come to understand each other's strengths and weaknesses so they can better understand the behavior and intentions of others. "It is amazing how little some team members know about one another, and how just a small amount of information begins to break down barriers" (Lencioni 2002:198).

  - A team effectiveness exercise, wherein each individual shares his/her best characteristic and worst characteristic, or team members do that for them.

- Behavioral profiling, wherein team members take a personality assessment (see the earlier discussion about such assessments).

- **Speed-of-trust exercises.** These questions can be explored by using Stephen Covey's book, *The Speed of Trust* (Covey 2008) and by reflecting on the material with a coach. The exercises include these questions:
  - Do I trust myself?
  - Do I give to others a person they can trust?
  - What is the situation, the opportunity, the relationship, or the job to be done?
  - What is the risk involved?
  - What is the credibility (character/competence) of the person/people involved?
- **Leadership training.** Encourage individuals in leadership positions to take professional development courses, especially courses focused on transformational leadership, communication skills, and other pertinent leadership topics.

### Group Level

- **Team meetings.** Facilitate meetings to allow participants to express their feelings about morale.
- **Team-building activities.** Have work teams participate in team-building activities, such as a physical outdoor activity (for example, a ropes challenge course) or other hands-on/experiential activities.
- **Trust surveys.** Conduct a trust survey. Two are listed below, and others are available online or as paper surveys. Meeting with a group or team to go over results and discuss the survey is helpful and may be useful in facilitating discussion and problem solving.
  - Free Covey survey (*http://whotrustsyou.com*)
  - Interpersonal Trust Survey (Pfeiffer Publishers) (*www.pfeiffer.com/WileyCDA/PfeifferTitle/productCd-PCOL4017.html*)
- **Problem-solving work groups.** Organize and facilitate work groups so that staff members can address particular topics as a team. Effective problem solving can be enhanced by using these tips:
  - Clearly define the problem or issue.
  - Remember that the first solution may not be the best—take time to identify several potential solutions.
  - Be aware of your own assumptions, and be ready to challenge them.
  - Think creatively and strategically; ask others for input.
  - Limit data collection to what is relevant. Find patterns and develop alternative actions.
  - Turn large problems into several smaller ones that may be easier to resolve (Lombardo and Eichinger 2009).

- **Employee forums.** Establish an employee forum or use the intervention team concept from the APEX Change Management Model to encourage staff engagement with the culture change. Have a staff member facilitate the forum. Focus on small changes, such as "fix broken windows within the next 30 days." Incremental wins build on each other and spread throughout the agency, reaching a "tipping point" for an overall culture change.

- **Building-trust exercises** (Lencioni 2005):

  - An exercise in sharing personal histories, during which team members come to understand each other's strengths and weaknesses so they can better understand the behavior and intentions of others. "It is amazing how little some team members know about one another, and how just a small amount of information begins to break down barriers" (Lencioni 2002:198).

  - A team effectiveness exercise, wherein each individual shares his/her best characteristic and worst characteristic, or team members do that for them.

  - Behavioral profiling, wherein team members take the Myers-Briggs Type Indicator or a similar individual assessment.

- **Speed-of-trust exercises.** These questions can be explored individually using Stephen Covey's book *The Speed of Trust* (Covey 2008) and reflecting on the material with a coach. The exercises include these questions:

  - Do I trust myself?

  - Do I give to others a person they can trust?

  - What is the situation, the opportunity, the relationship, or the job to be done?

  - What is the risk involved?

  - What is the credibility (character/competence) of the person/people involved?

- **APEX Inventory assessments.** These assessments include the OCAI. The OCAI has been used in thousands of businesses and organizations inside and outside corrections. It measures an organization's culture and cultural values from the perspective of the current state of affairs and what staff members see as the desired state (Bogue and Cebula 2012).

### Organizational Level

- **Removing barriers.** One way to remove barriers is through "management by walking around" (MBWA). Leaders move about the facility and interact with employees in an informal setting on a daily basis. The 12 guidelines for MBWA (FutureCents 2000) were discussed earlier in the "Leader Level" section of this chapter.

- **Building-trust exercises.** These also appear earlier in this section (Lencioni 2005).

- **Problem-solving projects.** Have staff members participate in group problem-solving projects.

- **Forums.** Provide forums for open communication, such as staff meetings and luncheons.

- **Committee assignments.** Have staff members at all levels serve on committees that make decisions for the department.
- **Regular communications.** Facilitate monthly/quarterly/annual communication opportunities for the stakeholders to inform them of how the agency is approaching various policy and organizational operations issues.

## Interventions for Lack of Recognition

### Leader Level

- **Personal involvement.** Encourage leaders to know something personal about their subordinates (such as birthdays, their families, or hobbies).
- **MBWA.** Encourage "management by walking around" (MBWA) to enable leaders to move about the facility and interact with employees in an informal setting on a daily basis. The 12 guidelines for MBWA (FutureCents 2000) are listed earlier in this chapter.
- **Performance rewards.** Have deputies and other managers meet with their employees and recognize/reward excellent performance with lunch, gift cards, gifts, or other meaningful rewards.
- **Executive coaching.** Use executive coaching and/or mentoring to (1) increase the leader's effectiveness, self-awareness, and emotional intelligence by providing guidance in leading the staff, and (2) help the leader achieve results.
- **Strengths-based tools.** Use strengths-based tools, such as those in *Now, Discover Your Strengths* (Buckingham and Clifton 2001) and the Strengths Finder Test (*http://www.unsheeple.com/2008/11/free-strengths-finder-testkind-of-self-reporting*), to create a program that builds on strengths. These tools focus on identifying talents and building them into strengths to improve performance. This concept is the antidote to the tendency to focus on one's and others' weaknesses in the workplace, which detracts from creating a culture of recognition.
- **Team discussions.** Facilitate discussion among the leadership team about what is important and worth recognizing.
- **Employee recognition.** Establish an internal employee recognition system.
- **Problem solving.** Encourage and reward problem solving at all levels of the organization.
- **Interventions.** Use interventions from *The Carrot Principle* (Gostick and Elton 2007). Some sample exercises from *www.carrots.com* are the following:

  1. Keep a recognition frequency log.
  2. Celebrate achievements. Great managers appreciate the small and large efforts that move their teams forward. This strategy can make big improvements in recognition.

3. Tell stories of employee accomplishments to key individuals in the organization. Storytelling (bragging about employees' good work) is one of the most effective ways of communicating trust in employees.

| Employee | Week 1 | Week 2 | Week 3 | Week 4 |
|---|---|---|---|---|
| Sue | Extra effort | Dealt with difficult customer issue | | Had great idea for team development |
| Bob | | | | |

### Group Level

- **Letters of recommendation.** Post letters of recommendation and have coworkers acknowledge individuals who do a good job.
- **Recognition awards.** Encourage individual managers to recognize staff members within their divisions with plaques, gift cards, certificates, or other rewards.
- **Other rewards.** If policy allows, recognize supervised individuals with certificates, privileges, or similar rewards.
- **Peer recognition.** Create a peer recognition program.
- **Employee forum.** Establish an employee forum or a culture change committee. Have a staff member facilitate the forum. Focus on small changes, such as "fix the broken windows inside the four walls of the prison within the next 30 days." Incremental wins build on each other and spread throughout the agency, reaching a "tipping point" for an overall culture change.
- **Manager training.** Train supervisors/managers on staff recognition approaches, and clarify criteria for what and how to recognize accomplishments.
- **Birkman Method® assessment.** This personality assessment contains 298 questions that are answered online in about 45 minutes. The generated reports evaluate interest, motivation, and behavior and include five major perspectives: usual behavior, underlying needs, stress behaviors, interests, and organizational focus.
- **Recognition exercises.** Use recognition exercises from the book *Encouraging the Heart* (Kouzes and Posner 2003).

### Organizational Level

- **Ceremonies.** Create recognition programs that include ceremonies for staff members (e.g., award distribution) and the supervised population (e.g., General Education Development graduation). Use cultural awareness events, year-in-review publications, bulletin boards, and lapel pins.
- **Celebrations.** Celebrate a "Correctional Employees Week."
- **Publications.** Submit articles of interest to departmental publications.
- **Local media.** Work with the Public Information Officer to establish a relationship with local news media and get coverage for events.

- **Annual staff meeting.** Hold an annual all-staff meeting where staff members are given awards in various categories (e.g., employee of the year, medal of valor, most outstanding new employee). Have staff committees choose the winners.
- **Storytelling.** Develop a culture of storytelling where successes are shared and become the identity of the organization.
- **Application of Birkman assessment results.** Put the findings of the Birkman assessment into practice. (More information about these assessments can be found in the assessments table at the end of this chapter.)

## Interventions for Unclear Reward Structure

### Leader Level

- **Commendations.** Develop a commendation policy, giving leaders opportunities to express their satisfaction with employees.
- **Rewards.** Facilitate leadership team discussion of what is important and worth rewarding, and identify reward options.
- **Benchmarks.** Encourage leaders to clarify and align rewards with benchmarks or desired values/performance.
- **Staff development.** Develop staff members professionally so they can remain productive and committed to the organization's goals. Provide staff members with different assignments so that they can learn different skill sets.
- **Herzberg motivation-hygiene theory.** Ensure that these *hygiene* factors are present (because their absence contributes to job dissatisfaction): security, status, relationship with subordinates, personal life, salary, work conditions, relationship with supervisor, company policy, and administration. Ensure that these *motivational* factors are present: growth prospectus, job advancement, responsibility, challenges, recognition, and achievements (*www.mindtools.com/pages/article/newTMM_74.htm*).

### Group Level

- **Rewards.** Facilitate a meeting with all of the staff members and devise a reward system.
- **Employee forum.** Address setting up a reward structure in an employee forum or a culture change committee facilitated by a staff member. Focus on small changes. Incremental wins build on each other and spread throughout the agency, reaching a "tipping point" for an overall culture change.
- **Herzberg motivation-hygiene theory.** Ensure that these *hygiene* factors are present (because their absence contributes to job dissatisfaction): security, status, relationship with subordinates, personal life, salary, work conditions, relationship with supervisor, company policy, and administration. Ensure that these *motivational* factors are present: growth prospectus, job advancement, responsibility, challenges, recognition, and achievements (*www.mindtools.com/pages/article/newTMM_74.htm*).
- **Recognition exercises.** Use reward/recognition exercises from the book, *Encouraging the Heart* (Kouzes and Posner 2003).

### Organizational Level

- **Lean and Six Sigma tools.** Use the philosophy and resources to increase performance, employee morale, and quality of service by decreasing errors and waste. (Both tools will require training.) (See *www.isixsigma.com/index.php?option=com_glossary&id=77&Itemid=27*.)
- **Herzberg motivation-hygiene theory.** Ensure that these *hygiene* factors are present (because their absence contributes to job dissatisfaction): security, status, relationship with subordinates, personal life, salary, work conditions, relationship with supervisor, company policy, and administration. Ensure that these *motivational* factors are present: growth prospectus, job advancement, responsibility, challenges, recognition, and achievements (*www.mindtools.com/pages/article/newTMM_74.htm*).
- **Commendations.** Post a commendation policy and encourage recommendations of coworkers.
- **Annual meeting.** Hold an all-staff meeting annually so that all staff members are aware of upcoming awards.
- **Alignment.** Gather information on the reward structure and its alignment at the warden/superintendent level and with the organization's espoused values. Close gaps and consider if and when to involve Human Resources.
- **Updates.** Update the policies and procedures to include the reward structure.

## Interventions for Lack of Good Communication

### Leader Level

- **Lencioni's Five Dysfunctions of Teams exercises.** Lencioni's model for overcoming team dysfunctions includes building trust, mastering conflict, achieving commitment, embracing accountability, and focusing on results (Lencioni 2005).
- **Reporting.** The leader should encourage staff members to e-mail or submit handwritten reports, issues, concerns, and suggestions.
- **Staff meetings.** Division managers should hold staff meetings 1–2 times monthly to discuss department issues. Non-confidential meeting minutes should be posted on the internal computer network for all staff members to view or should be available to the staff via bulletin boards in staff-only areas.
- **Executive coaching.** Use executive coaching to (1) increase the leader's effectiveness, self-awareness, and emotional intelligence by providing guidance on leading staff members, and (2) help the leader achieve results. Engaging an executive coach involves creating a developmental plan and having weekly or bimonthly conversations in person or by phone.
- **Senior management meetings.** Facilitate meetings with the senior management team to address issues of concern.
- **Personal listening profile.** Use this tool to help determine listening styles and help leaders become active, purposeful listeners (*www.employee-training-programs.com/shop/Inscape-Publishing-Personal-Listening-Profile-Online.asp*).

### Group Level

- **Lencioni's Five Dysfunctions of Teams exercises.** Lencioni's model for overcoming team dysfunctions includes building trust, mastering conflict, achieving commitment, embracing accountability, and focusing on results (Lencioni 2005).
- **Training and use of electronic communications.** Use technology to get staff members to interact with one another, to share information, to diagnose problems and propose solutions together, and to motivate people to meet face-to-face. All of these strategies lead to improved communication.
- **Departmental meetings.** Personally attend department meetings on a rotating basis.
- **Minutes.** Publish and post minutes of executive staff meetings. Establish ways for staff members to meet the management team.
- **Monthly staff meetings.** Have division managers hold monthly meetings with their staff members to update them on department issues.
- **Employee forum or culture change committee.** A staff member can facilitate such a forum or committee. It should focus on small changes because incremental wins build on each other and spread throughout the agency, reaching a "tipping point" for an overall culture change.
- **Personal listening profile.** Use this tool to help determine listening styles and help individuals become active, purposeful listeners (*www.employee-training-programs.com/shop/Inscape-Publishing-Personal-Listening-Profile-Online.asp*).
- **Workflow.** Set up forums for teams to discuss workflow so that all units can hear how their work affects others in the organization.

### Organizational Level

- **Lencioni's Five Dysfunctions of Teams exercises.** Lencioni's model for overcoming team dysfunctions includes building trust, mastering conflict, achieving commitment, embracing accountability, and focusing on results (Lencioni 2005).
- **Training and use of electronic communications.** Use technology to get staff members to interact with one another, share information, diagnose problems, and propose solutions together and to motivate them to meet face-to-face. All of these strategies lead to improved communication. Use technology to improve communication between and among staff members and across different levels and departments.
- **E-mail.** At various times, send e-mail blasts to all staff members to update them on important issues.
- **Notifications.** In unusual situations, such as floods or blizzards, send regular e-mail or voicemail updates to the staff. Have a Web page that provides information to the community about the agency.
- **Promoting a Positive Culture meetings.** Convene quarterly with representatives from each division.
- **Problem solving.** Set up regular unit problem-solving meetings and supervisory listening sessions to solve problems. Establish protocols for staff who should receive information via e-mail, voicemail, and postal mail.

## Interventions for Procedures Not Being Followed

### Leader Level

- **Direct supervision.** Increase direct supervision contact to observe performance and make corrections on the spot. Policies need to be backed up with observation of staff performance.
- **Lean and Six Sigma.** Use Lean, Six Sigma, or other process-improvement methodologies to review processes to ensure that they are working the way they should and to ensure that people are trained in how to use the processes (Cebula and Ritter 2013). (Both Lean and Six Sigma require training.)
- **Audits.** Encourage leaders to conduct audits of the policies and procedures.
- **Policy updates.** Establish a system for reviewing and updating policies.
- **Monthly meetings.** Have managers discuss procedural issues at monthly meetings to increase the consistency of the policies/procedures being followed.
- **Feedback.** Train the group in providing feedback on jobs well done and jobs that need improvement.
- **Measures and consequences.** Institute measures and consequences to make important aspects of performance more visible.
- **Workflow.** Show management how to examine the workflow to learn what worked well and what needs to be improved.

### Group Level

- **Lean and Six Sigma.** Use Lean, Six Sigma, or other process-improvement methodologies to review processes to ensure that they are working the way they should and to ensure that people are trained in how to use the processes (Cebula and Ritter 2013). (Both Lean and Six Sigma require training.)
- **In-service training.** Review the policies and procedures, and implement annual in-service training.
- **Penalties.** Hold staff members accountable for actions, and be consistent in establishing and enforcing penalties for non-compliance.
- **Violations.** Have managers address procedural violations with staff members through the established corrective action process.
- **Performance standards.** Facilitate identification and implementation of performance standards.
- **Feedback.** Train the group in providing feedback on jobs well done and jobs that need improvement.
- **Workflow.** Lead a process-improvement project in agencies that examines each step in the workflow, identifies what worked well, what did not work well, and whether and why the staff could not follow procedures.

### Organizational Level

- **Lean and Six Sigma.** Use Lean, Six Sigma, or other process-improvement methodologies to review processes to ensure that they are working the way they should and to ensure that people are trained in how to use the processes (Cebula and Ritter 2013). (Both Lean and Six Sigma require training.)
- **In-service training.** Review the policies and procedures, and implement annual in-service training.
- **Communications.** Send all-staff communications to address issues involving common procedural problems.
- **Regular supervisory meetings.** Set up regular supervisory meetings to discuss organizational issues and develop solutions. Assign line staff to participate in the drafting of new procedures so that they buy into the process and can serve as ambassadors for change in the organization.

## Interventions for Lack of Respect

### Leader Level

- **Lencioni's Five Dysfunctions of Teams exercises.** Lencioni's model for overcoming team dysfunctions includes exercises on building trust, mastering conflict, achieving commitment, embracing accountability, and focusing on results (Lencioni 2005).
- **Diversity.** Train the leaders on diversity issues.
- **APEX tools.** Have leaders set the standards and follow up with action plans—involving both managers and staff members—from APEX tools or the organizational culture study.
- **Management coaching.** Management should (1) provide clear direction and give staff members autonomy to perform their jobs, (2) recognize staff members for their ideas, and (3) provide staff members with sufficient resources to excel in their job performance.

### Group Level

- **Lencioni's Five Dysfunctions of Teams exercises.** Lencioni's model for overcoming team dysfunctions includes exercises on building trust, mastering conflict, achieving commitment, embracing accountability, and focusing on results (Lencioni 2005).
- **Cross-training.** Encourage members of certain groups to learn about what others do in the facility.
- **Conflict resolution.** Post rules for handling conflict (developed by managers and the administration) in the managers' meeting room.
- **Employee forum or culture change committee.** A staff member can facilitate the forum or committee. It should focus on small changes because incremental wins build on each other and spread throughout the agency, reaching a "tipping point" for an overall culture change.
- **Work groups.** Develop work groups on various workplace issues and select the right staff members to work together in these groups. Reassign divisive and unproductive staff members in leadership positions to other assignments until they adopt the new vision and learn new skill sets.

### Organizational Level

- **Lencioni's Five Dysfunctions of Teams exercises.** Lencioni's model for overcoming team dysfunctions includes exercises on building trust, mastering conflict, achieving commitment, embracing accountability, and focusing on results (Lencioni 2005).
- **Respect.** Post signs throughout the facility about preserving a respectful workplace.
- **Training.** Have all staff members attend a class such as "Promoting a Positive Correctional Culture" or "Effective Interpersonal Communication Skills," or have staff members attend diversity training.
- **Books.** Provide libraries with books related to change and conflict resolution at each work site and ensure that all staff members have the opportunity to access the materials.

## Interventions for Lack of Diversity in Staff

### Leader Level

- **Workplace climate.** Establish a climate where diversity is appreciated.
- **Workforce.** Charge the leader with the task of hiring a diverse workforce.
- **Recruitment.** Encourage staff members who are responsible for recruiting and hiring to ensure diversity through the hiring process.
- **Training.** Develop staff members so that they understand and appreciate diversity, and institute diversity training.
- **Appreciation.** Expand appreciation for individual differences in personality type and style.

### Group Level

- **Staff recommendations.** Encourage staff members to recommend employment to friends/acquaintances that may not look like them.
- **Cultural awareness.** Provide cultural awareness opportunities, sensitivity programs, and celebrations for staff members and the supervised population.
- **Discovering Diversity Profile.** Use this tool to help identify stereotypes, feelings, opinions, and opportunities for change (*www.discoveringdiversityprofile.com*).
- **Appreciation.** Expand appreciation for individual differences in personality type and style.

### Organizational Level

- **Training.** Participate in diversity training.
- **Recruitment.** Examine the recruitment processes, hiring pool, hiring panel process, and composition selection practices and compare the findings with best practices or benchmarks for providing diversity.

- **Updates.** Update the diversity training annually to ensure that it addresses emerging trends.
- **Appreciation.** Expand appreciation for individual differences in personality type and style.

## Interventions for Sexual Misconduct

### Leader Level

- **PREA.** Implement Prison Rape Elimination Act (PREA) standards.
- **Zero tolerance.** Charge the leader to implement a zero-tolerance policy.
- **Training.** Ensure that all staff members receive formal training on the topic of sexual harassment and misconduct, including boundary issues.
- **Staff development.** Educate staff members so that they have the skills and attributes—within themselves and their employees—to avoid sexual misconduct.
- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).

### Group Level

- **PREA.** Follow the PREA standards, protocols, and procedures. When violations are reported or discovered, the accepted protocols should be followed.
- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).
- **Information flow.** Post and discuss all sexual misconduct arrest/investigation issues happening locally or nationally.
- **Sexual harassment training.** Ensure that all staff members receive formal training on the topic of sexual harassment and misconduct, including boundary issues.

### Organizational Level

- **PREA.** Implement PREA standards and ensure compliance.
- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).
- **Sexual harassment training.** Ensure that all staff members receive formal training on the topic of sexual harassment and misconduct, including boundary issues.
- **Other training.** Provide training to enhance skills so that protocols are followed when violations occur. Ensure that all staff members are aware of the protocols and procedures.
- **Investigative process.** Ensure the integrity of the investigative processes and outcomes.

## Interventions for Use of Force

### Leader Level

- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php)*.
- **Use of force.** Review all use-of-force incidents.
- **Committee.** Personally chair a use-of-force committee.
- **Protocols.** Initiate protocols with Internal Affairs.

### Group Level

- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).
- **Peer review.** Encourage peer review and/or investigation of all use-of-force incidents in the facility.
- **Training.** Ensure that all staff members receive formal training in the use of force. Provide training on communicating with difficult personalities and diffusing potentially violent situations.

### Organizational Level

- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).
- **Reporting.** Require mandatory reporting of all use-of-force incidents.
- **Protocols.** Follow authorized policy and protocols when violations occur.

## Interventions for Corruption

### Leader Level

- **Ethics code.** Ensure that an ethics code is in place, that all employees are trained in it, that it is updated regularly, and that compliance is a part of performance reviews.
- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).
- **Coaching.** Coach the leader on ethics.
- **Hiring process.** Modify the staff screening, hiring, and promotion process to reduce the potential for corruption.
- **Zero tolerance.** Demonstrate zero tolerance, regardless of position, politics, and so on.
- **Protocols.** Initiate protocols with Internal Affairs.

- **Reporting.** Establish a reporting process that is responsive and easy to access.
- **PREA.** Implement PREA standards.
- **Impropriety.** Remember that, in the public sector, the *appearance* of impropriety often has the same impact as real impropriety and can undermine good leadership.

### Group Level

- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).
- **Reporting.** Require mandatory reporting of staff members who are involved in any unethical practices.
- **Incident reports.** Establish a process for reporting incidents of corruption.
- **Standards.** Hold each other to a high standard of ethical behavior.

### Organizational Level

- **Ethics code.** Ensure that an ethics code is in place, that all employees are trained in it, that it is updated regularly, and that compliance is a part of performance reviews.
- **Principle-centered exercises.** Participate in the principle-centered exercises presented by Steven Covey in book, workshop, and seminar form (*www.stephencovey.com/tools/toolsandtraining.php*).
- **Zero tolerance.** Establish a zero-tolerance policy for violations of the ethics code.
- **Postings.** Post signs citing the policy and/or law and consequences for unethical activities, such as falsifying a specimen and taking bribes with respect to substance abuse detection.
- **Protocols.** Follow accepted protocols when violations occur.

## Interventions for Code of Silence

### Leader Level

- **Open-door policy.** Institute an open-door policy.
- **Training.** Train all staff members for awareness of and reporting on this issue.
- **Organizational values.** Ensure that organizational values reflect open and honest communication.
- **Transparency.** Ensure that the organization values transparency.

### Group Level

- **Policy violations.** Encourage groups to take a stand when they are aware of policy violations.
- **Mission.** Clearly tie group values and standards to the organizational vision/mission/purpose so that each person is clear, accountable, and supportive of each other in order to uphold standards.
- **Organizational values.** Ensure that organizational values reflect open and honest communication.
- **Transparency.** Ensure that the organization values transparency.

### Organizational Level

- **Violations.** Implement a mandatory policy of reporting anyone aware of institutional violations.
- **Postings.** Post organizational values throughout the agency.
- **Organizational values.** Ensure that organizational values reflect open and honest communication.
- **Transparency.** Ensure that the organization values transparency.

## Interventions for Apathy

Apathy is often tied to other issues. See also the sections on "Lack of Recognition" and "Unclear Reward Structure," as well as any other section that may apply.

### Leader Level

- **Decisionmaking.** Empower managers by involving them in the decisionmaking process on a regular basis and by allowing managers room for creativity in motivating their staff.
- **Coaching.** Provide basic coaching skills training for leaders to help build on the strengths of everyone in the organization so that the staff is more engaged.

### Group Level

- **Decisionmaking.** Encourage staff members to participate in decisions and areas where they can have influence by creating relevant committees with representation from all levels and by providing feedback on ideas submitted.

### Organizational Level

- **Staff appreciation.** Implement opportunities for staff members to feel that they are a valued part of the department (for example, all-staff meetings, a department holiday or summer event, and individual division events).

- **Feedback.** Provide feedback (at meetings, via e-mails, or through other means) to show that the work the staff does matters and makes a difference.
- **Organizationwide participation.** Encourage everyone to create solutions to issues raised in organizational culture study or other assessments.
- **Appreciative inquiry.** Use this tool to build a sense of pride and to build on what is working (*http://appreciativeinquiry.case.edu/intro/whatisai.cfm*).

### Focus Group Intervention

Correctional agencies can use focus groups to open communication channels among staff members and management, facilitate offender feedback, and involve stakeholders in decisionmaking within or outside a correctional agency. Focus groups are a way to gather information from either a homogeneous group of people (all line staff members who are working in a correctional facility, or all probation supervisors) or a cross-section/diagonal slice of the whole agency (people from all ranks and different departments). Sometimes, more than one focus group may be convened on the same topic to gather various perspectives.

A focus group is a structured group discussion designed to gather information on a specified topic. A session often lasts 60–90 minutes, although some are a shorter duration. Focus groups work best when they comprise at least 5 participants but no more than 12. They are conducted to explore opinions, attitudes, and perceptions on the topic. They are not decisionmaking groups or brainstorming sessions.

Focus groups require a facilitator/moderator to guide the discussions and elicit participants' contributions. The group interaction allows people to think creatively, stimulate each other's thinking, and offer ideas that might not emerge in interviews or surveys.

To learn more about how to use, design, and facilitate focus groups, see chapter 4, "Focus Groups—A Practical Guide," in the *APEX Resources Directory Volume 2,* available at *www.nicic.gov/apex.*

## Additional Resources

The additional resources in this section include case studies and assessments that are specific to the Organizational Culture domain. Because this domain is interconnected with all the other domains, more resources are available in other chapters of this book and in the other books in the APEX Guidebook series.

### Case Studies

#### Changes in a Southern Community Correctional Agency

"Dan Smith" started as the Director of Community Corrections in a local county in the southern part of the United States. Twenty years ago, probation was a *unitary* system, meaning that each probation officer worked for a single judge. Overcrowding in the prisons and jails in the 1980s forced an expansion of probation and a restructuring, which resulted in the creation of a Probation Department wherein all probation officers were placed under one

director. Another innovation at that time was the creation of county boot camps and restitution centers, which received favorable publicity and became popular with the public.

The problems of prison overcrowding were temporarily resolved by new prison construction. However, over time, evaluations showed that the boot camps and restitution centers were not effective in keeping offenders out of the system; however, research was demonstrating the effectiveness of other practices. Overcrowding again became an issue. A new director, with NIC's help, was able to convince the legislature that expanding community corrections was more cost effective than building more prisons and that community corrections centers would be more effective than boot camps if they used evidence-based practices. Despite strong opposition, the boot camps were closed and, with the help of NIC, evidence-based programs were initiated. Funds were invested in about 30 community correctional centers, focusing on substance abuse treatment and other evidence-based practices such as cognitive-behavioral therapy. To date, the community corrections program has saved the state approximately $433 million in prison construction costs.

The turning point in organizational change came when the Organizational Culture Inventory was administered to the management staff. The shift from building more prisons and boot camps to developing evidence-based practices represented an unprecedented shift in how the state criminal justice system functioned. Even with all of the changes that have occurred, the organization still struggles with maintaining the priority of evidence-based practices—focusing on providing resources to offenders with the highest risk rather than focusing on judges' preferences that offenders see a probation officer on a regular basis.

### Changes in a Jail in the Heartland

In a large city in the U.S. heartland, a new warden was appointed for the county jail. She had worked her way through the ranks in another county—where there was a great sense of teamwork among the staff—and was shocked to discover the lack of trust and the hostility between the administration and line staff at the jail. For example, line staff members never entered the administration building, and many levels of hierarchy separated the top administrators from the line officers. In addition, decisions were made at the top without consulting and with no apparent concern for the impact on staff members at lower levels; information that should have been passed on to the administrators either was not passed on or was distorted in the process.

Each staff level within the organization developed its own internal systems of support. One of the systemic issues the warden faced was addressing the sexual misconduct of staff. One of the biggest barriers she faced was a dysfunctional middle management team. She sought outside assistance for a thorough review of the sexual misconduct allegations and began to develop strategies to move the middle managers. She began to talk with staff members about getting the facility accredited through a professional organization, thus planting seeds of change and increasing the professionalism of the staff and facility.

The warden set out to earn the trust of the officers. Some of the steps she took were informal: discussions with the union president, voluntary meetings with the line staff, MBWA, and wearing a uniform to show solidarity with the line staff. She frequently bypassed the chain of command and implemented changes recommended by officers. Over time, some of the long-term administrators and supervisors retired. An additional challenge arose when a faction within the union deposed the union president for working too closely with the administration, making the change effort more difficult for a short time. Two years later, when the line staff noticed that they were experiencing increased problems and losses because of union opposition, the rank-and-file voted in the former union president.

The warden continued to meet and build better relationships with the other staff, generating similar positive results. She advocated using small groups to build relationships, share information, and accomplish tasks and activities.

Recently, the warden began to provide training in interpersonal communications, beginning with the line staff in two cellblocks. Violence and use-of-force incidents have declined in those blocks; many staff members now seek to work posts in those blocks, and incarcerated individuals request to be transferred to them. Staff in other blocks are now getting this training, although some blocks are experiencing more difficulty than others because of "old guard" officers and supervisors who see no reason to change the way they deal with incarcerated individuals or with each other.

The warden points to three markers of success: (1) resolution of the staff sexual misconduct allegations, (2) achievement of accreditation, and (3) staff preparation and readiness for a world economic summit, which drew a variety of protesters and resulted in hundreds of arrests. Those successes improved morale by setting clear objectives that required sustained teamwork to achieve and brought positive results.

## Other Topics

### Notes on Working with Unions

Many correctional staff members are in labor unions. Many correctional agencies deal with one or more employee unions. As in any industry, sometimes labor-management relations go smoothly, and sometimes they do not. The following discussion is not a "how to" for dealing with unions, but it does provide some suggestions for working with unions during major changes in approach.

**Engage the unions in the change effort.** Gaining union participation can ease the need to gain buy-in for the change effort and can enhance the sustainability of the changes. Helping unions (and staff members) understand their part in the organization's operations and in the change effort can facilitate planning, implementation, and sustainability of any change initiatives.

When issues arise during the change process that may affect contracts with labor unions, the issues can be flagged and dealt with during the next negotiation session or through any prescribed contract amendment process. When union members and leadership—as well as the agency leadership—ask for the same changes, negotiations tend to proceed smoothly.

**Communications.** Maintaining open and respectful communications with the union membership and leadership will enhance a working relationship and help build trust over time. Creating messages carefully and delivering them in a timely manner can increase understanding and avoid potential misunderstandings. Agency leadership can communicate with the union leadership and individual members using a variety of media. The frequency of communications allows for regular, ongoing feedback loops and information sharing.

**Avoiding conflict.** Sometimes confrontations occur between labor and management. Whenever possible, mitigate the confrontations—they tend to be counterproductive. Keeping the focus on the change effort as well as the mission, vision, shared values, and goals of the organization can be useful during challenging discussions and

meetings. If all of the involved parties are able to understand that there are benefits and drawbacks in any change effort, this can alleviate some conflict. Working with staff members and unions to identify these factors can mitigate some of the feelings of loss and help to engage all of the parties in achieving the benefits.

### Culture, Climate, and Morale

How culture relates to climate and morale is often confusing, in part because research literature about climate or morale has not made the difference between them clear (Denison 1996). For example, an unsanitary facility or area is a climate issue. Once a sanitation plan is implemented, sanitation will dramatically improve; but the lack of facility cleanliness is a management/climate issue, not a culture issue. Climate and morale are more superficial and change more easily than does culture, often in response to temporary events such as a change in leadership. An organization needs to have a positive climate to do culture work, but a negative climate can be improved more easily than the culture can be changed. People in an organization may be unhappy or frustrated with how things are going at any one time, but that may not have anything to do with the fundamental beliefs and assumptions that underpin their organizational culture. Because dysfunctional cultures usually breed poor organizational climates, a first step in culture change is often to make symbolic gestures by fixing something that staff members find particularly irritating (e.g., providing more dependable communication devices or increasing the use of video surveillance). Such a move can have multiple benefits—not only does the climate become safer or cleaner but also staff members feel that leadership is listening to them and cares about their work environment.

### Three Types of Leadership

**Transactional** leadership is based on exchanges between leaders and followers.

**Laissez-faire** leadership denotes a lack of leadership and an "anything goes" sense of responsibility.

**Transformational** leadership encourages change and makes it possible for others to take responsibility and be accountable.

### Organizational Virtue

Virtuous organizations are those that provide a positive environment for workers, clients, and stakeholders. They have organizational goals that are meaningful, as well as policies and practices that benefit their customers/clients, workforce, and other stakeholders.

Three characteristics help define the virtuous organization: human impact, moral goodness, and social betterment:

- **Human impact.** The organization hires people with moral character and meaningful purpose and creates an environment where they treat each other and stakeholders fairly.
- **Moral goodness.** The organization is value-driven and its goals, policies, and procedures reflect what is good and right.
- **Social betterment.** The organization's results produce benefits to others (Cameron, Dutton, and Quinn 2003).

## Organizational Culture Assessments

The assessments in this section apply specifically to the Organizational Culture domain. Other assessments are available under the other domains that may apply to organizational change, management, and higher performance. A complete listing of assessments is available in *Applying the APEX Tools for Organizational Assessment,* which is in this series. Web links are provided for most of these assessments in the Description column of the following chart.

| Full Name | Author | Description |
|---|---|---|
| The Birkman Method® | Roger W. Birkman, Ph.D. | This 298-question personality assessment can be answered online in about 45 minutes. The assessment measures productive behaviors, stress behaviors, underlying needs, motivations, and organizational orientation, and the reports generated evaluate interest, motivation, and behavior. *www.birkman.com* |
| Court Culture Assessment Instrument (CCAI) | Karen J. Brown | CCAI assesses five key dimensions of court culture: dominant case management style, judicial and court staff relations, change management, courthouse leadership, and internal organization. *www.ncsc.org/~/media/Files/PDF/Education and Careers/CEDP Papers/2006/BrownKarenCEDPFinal0506.ashx* |
| Correctional Institutions Environment Scale, Second Edition (CIES) | Rudolf H. Moos | CIES is designed to measure the social climate of juvenile and adult correctional programs. *www.mindgarden.com/products/ciess.htm* |
| Discovering Diversity Profile | Inscape Publishing | This online diversity profile helps clarify the feelings and opinions of those in the workforce with respect to diversity and makes suggestions for change. *www.discoveringdiversityprofile.com* |
| Everything DiSC | Inscape Publishing | This workplace assessment (including exercises) identifies the work style and work priorities of the leader and his/her staff. It 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 it should be interpreted with the assistance of a coach who is familiar with the DiSC assessment and should allow for group work to look at the results. *www.resourcesunlimited.com/shop/everything-disc-workplace-profile.asp* |
| Interpersonal Trust Survey | Guy L. DeFuria | This three-page survey examines the level of organizational trust. It focuses on five behaviors: sharing relevant information, reducing controls, allowing for mutual influence, clarifying mutual expectations, and meeting expectations. *www.pfeiffer.com/WileyCDA/PfeifferTitle/productCd-PCOL4017.html* |
| Myers-Briggs Type Indicator (MBTI) | Myers Briggs Foundation, Katherine Cook Briggs and Isabel Briggs Myers | This assessment measures psychological preferences in how people perceive the world and make decisions. The preferences are derived from Carl Jung's book *Psychological Types,* with 16 personality types, 8 preferences, and tools to help understand personality types. It requires an MBTI-qualified administrator. *www.myersbriggs.org* |

| Full Name | Author | Description |
|---|---|---|
| The Nonprofit Life Stage Assessment | Judith Sharken Simon and J. Terence Donovan | This assessment helps determine what life stage an organization is in and the organization's strengths and weaknesses. It will help the organization plan for future needs, make decisions, anticipate challenges, and make appropriate adjustments. *http://wilderresearch.org/tools/lifestages/index.php* |
| *Now, Discover Your Strengths* | Buckingham and Clifton | This 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 detract from creating a culture of recognition. *http://gmj.gallup.com/content/1147/now-discover-your-strengths-book-center.aspx* |
| Organizational Culture Assessment Instrument (OCAI) | Kim Cameron and the Regents of the University of Michigan | This instrument assesses six key dimensions of organizational culture with six questions. Each question has four alternatives and is scored for "current" and again for "preferred." This tool is also part of the APEX Inventory. *www.ocai-online.com/products/ocai-one* |
| Organizational Culture Assessment Instrument—Prisons (OCAI-P) | Criminal Justice Institute, Inc., and the National Institute of Corrections | CJI and NIC used Cameron and Quinn's OCAI instrument and made a few modifications for use in prisons as part of the NIC Culture Assessment initiatives. *www.nicic.gov* |
| Organizational Culture Inventory (OCI) | Robert A. Cooke and J. Clayton Lafferty, and Human Synergistics International | This instrument helps explain why some organizations and their units are more effective than others. It examines problem solving and decisionmaking, teamwork, productivity, and long-term effectiveness. *www.humansynergistics.com/products/oci.aspx* |
| Prison Social Climate Survey | Federal Bureau of Prisons | This survey consists of 49 Likert-scale items for 8 measures: institutional/organizational operations, quality of supervision, commitment to the bureau, commitment to the institution, job satisfaction, support for and effectiveness of training, sense of efficacy in working with inmates, and job stress. Visit *http://nicic.gov* (click Library: Ask a Librarian); for more information, see *http://www.bop.gov/news/research_projects/published_reports/cond_envir/oresaylor_pscsrv.pdf* |
| Real Colors Personality Instrument | National Curriculum and Training Institute | Using the temperament theory of David Kiersey and bridging temperament theory with real-life application, this instrument helps individuals recognize and value the differences in others. *www.realcolors.org/page_6.php* |
| The Trust Index© Survey and Workplace Culture Assessment | Great Place to Work Institute | This tool is based on the research presented in Robert Levering and Milton Moskowitz's book, *The 100 Best Companies to Work for in America.* It comprises two surveys: The Trust Index© Survey for employees 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 through the employees' perspective. *www.greatplacetowork.com/our-services/assess-your-organization* |
| Who Trusts You Survey | Stephen Covey/ Franklin Covey | This brief individual survey, available online, is a good first step in receiving feedback. Participants take the survey, send it to people they choose, and get anonymous feedback along with a report comparing their credibility score with others' opinions. *http://speedoftrust.com/new/resources/who-trusts-you* |
| Work Climate Questionnaire (WCQ) | Geoffrey Williams and Edward Deci | WCQ is a 15-item scale that assesses participants' perceptions of their manager's degree of autonomy and supportiveness. *www.selfdeterminationtheory.org/questionnaires/10-questionnaires/83* |

## Chapter References


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.

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

Buckingham, M., and D. Clifton. 2001. *Now, Discover Your Strengths.* New York: Free Press.

Cameron, K., J. Dutton, and R. Quinn. 2003. *Positive Organizational Scholarship: Foundations of a New Discipline.* San Francisco: Berrett-Koehler.

Cameron, K., and R. Quinn. 2006. *Diagnosing and Changing Organizational Culture.* San Francisco: Jossey-Bass.

Carr, A. 1997. "The Learning Organization: New Lessons/Thinking for the Management of Change and Management Development?" *Journal of Management Development* 16(4):224–31.

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. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Covey, S. 2008. *The Speed of Trust: The One Thing That Changes Everything.* New York: Free Press.

Denison, D. 1996. "What Is the Difference between Organizational Culture and Organizational Climate?" *Academy of Management Review* 21(3):619–54.

FutureCents. 2000. "MBWA: Management By Walking Around," *www.futurecents.com/mainmbwa.htm,* accessed March 12, 2012.

Gostick, A., and C. Elton. 2007. *The Carrot Principle.* New York: Free Press.

Kiel, L.D., and E.W. Elliott, eds. 1997. *Chaos Theory in the Social Sciences: Foundations and Applications.* Ann Arbor, MI: University of Michigan Press.

Kotter, J., and H. Rathgeber. 2006. *Our Iceberg Is Melting: Changing and Succeeding under Any Conditions.* New York: St. Martin's Press.

Kouzes, J., and B. Posner. 2003. *Encouraging the Heart: A Leader's Guide to Rewarding and Recognizing Others.* San Francisco: Jossey-Bass.

Lencioni, P. 2002. *The Five Dysfunctions of a Team: A Leadership Fable.* San Francisco: Jossey-Bass.

Lencioni, P. 2005. *Overcoming the Five Dysfunctions of a Team: A Field Guide for Leaders, Managers, and Facilitators*. San Francisco: Jossey-Bass.

Lombardo, M.M., and R.W. Eichinger. 2009. *FYI For Your Improvement: A Guide for Development and Coaching,* 5th ed. Minneapolis, MN: Lominger International.

Senge, P. 1999. *The Dance of Change.* New York: Doubleday.

Senge, P. 2006. *The Fifth Discipline: The Art and Practice of the Learning Organization.* New York: Random House.

Tuckman, B., and M. Jensen. 1977. "Stages of Small-Group Development Revisited." *Group Organization Management* 2:419–27.

Underhill, B., K. McAnally, and J. Koriath. 2007. *Executive Coaching for Results: The Definitive Guide to Developing Organizational Leaders.* San Francisco: Berrett-Koehler.

## Organizational Culture Bibliography

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

Barriere, M., B. Anson, R. Ording, and E. Rogers. 2002. "Culture Transformation in a Health Care Organization." *Consulting Psychology Journal: Practice and Research* 54(2):116–30.

Bass, B., and B. Avolio. 1994. *Improving Organizational Effectiveness through Transformational Leadership.* Thousand Oaks, CA: Sage Publications.

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.

Blake, R., and J. Mouton. 1964. *The Managerial Grid: The Key to Leadership Excellence.* Houston: Gulf Publishing Co.

Boan, D. 2006. "Cognitive Behavior Modification and Organizational Culture." *Consulting Psychology Journal: Practice and Research* 58(1):51–61.

Bogue, B. 2010. "How Principles of High-Reliability Organizations Relate to Corrections." *Federal Probation* 73(3):22–27.

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

Boonstra, J. 2004. "Conclusion: Some Reflections and Perspectives on Organizing, Changing, and Learning." In J. Boonstra (ed.), *Dynamics of Organizational Change and Learning.* Chichester, England: Wiley Books, p. 477.

Bradley, L., and R. Parker. 2000. *Organisational Culture in the Public Sector.* Brisbane, QLD, Australia: The Institute of Public Administration, *http://unpan1.un.org/intradoc/groups/public/documents/apcity/unpan006307.pdf.*

Buckingham, M., and D. Clifton. 2001. *Now, Discover Your Strengths.* New York: Free Press.

Burke, W., M. Waclawski, and J. Church. 1993. "The Dynamics of Midstream Consulting." *Consulting Psychology Journal* 49(2):83–95.

Cameron, K. 2008. *Positive Leadership: Strategies for Extraordinary Performance.* San Francisco: Berrett-Koehler.

Cameron, K., J. Dutton, and R. Quinn. 2003. *Positive Organizational Scholarship: Foundations of a New Discipline.* San Francisco: Berrett-Koehler.

Cameron, K., and R. Quinn. 1999. "An Introduction to Changing Organizational Culture." In K.S. Cameron and R. E. Quinn, *Diagnosing and Changing Organizational Culture Based on the Competing Values Framework,* 3d ed. San Francisco: Jossey-Bass, p. 1.

Carmeli, A., and A. Tishler. 2004. "The Relationship between Intangible Organizational Elements and Organizational Performance." *Strategic Management Journal* 25(13):1257–78.

Carr, A. 1997. "The Learning Organization: New Lessons/Thinking for the Management of Change and Management Development." *Journal of Management Development* 16(4):224–31.

Cebula, N., E. Craig, J. Eggers, M. Fajardo, J. Gray, and T. Lanzt. 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., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., and E. Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cooke, R.A., and D.M. Rousseau. 1988. "Behavioral Norms and Expectations: A Quantitative Approach to the Assessment of Organizational Culture." *Group and Organization Studies* 13(3):245–73.

Covey, S. 2008. *The Speed of Trust: The One Thing That Changes Everything.* New York: Free Press.

Davies, H.T.O., S. Nutley, and R. Mannion. 2000. "Organizational Culture and Quality of Health Care." *Quality Health Care* 9:111–19.

Dees, J.G., B. Battle-Anderson, and J. Wei-Skillern. 2004. "Scaling Social Impact." *Stanford Social Innovation Review* 1(4):24–32.

Denison, D. 1996. "What Is the Difference between Organizational Culture and Organizational Climate?" *Academy of Management Review* 21(3):619–54.

Eccles, M.P., and B.S. Mittman. 2006. "Welcome to Implementation Science." *Implementation Science* 1(1):1–3.

Eggers, J., and J. Gray. 2012. "Leadership That Is Transforming." In N. Cebula, L. Craig, J. Eggers, M. Fajardo, J. Gray, and T. Lantz (eds.), *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Elliott, D., S. Mihalic, and A. Fagan. 2001. *The Importance of Implementation Fidelity.* Boulder, CO: University of Colorado, Institute of Behavioral Science, Center for the Study and Prevention of Violence.

Essex, L., and M. Kusy. 1999. *Fast Forward Leadership.* Upper Saddle River, NJ: Pearson Education.

Fixsen, D., S. Naoon, K. Blase, R. Friedman, and F. Wallace. 2005. *Implementation Research: A Synthesis of the Literature.* Tampa, FL: National Implementation Research Network.

Flaherty-Zonis, C. 2007. *Building Culture Strategically: A Team Approach for Corrections.* NIC Accession No. 021749. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Gostick, A., and C. Elton. 2007. *The Carrot Principle.* New York: Free Press.

Heckscher, C. 2006. "Organizations, Movements, and Networks." *New York Law School Review* 5(2): 313–36.

Holman, P. 2010. *Engaging Emergence.* San Francisco: Berrett-Koehler.

Hooijberg, R., and J. Choi. 2001. "The Impact of Organizational Characteristics on Leadership Effectiveness Models: An Examination of Leadership in a Private and a Public Sector Organization." *Administration and Society* 33(4):403–32.

Kegan, R., and L. Lahey. 2009. *Immunity to Change.* Boston: Harvard Business School Press.

Kiel, L.D., and E.W. Elliott, eds. 1997. *Chaos Theory in the Social Sciences: Foundations and Applications.* Ann Arbor, MI: University of Michigan Press.

Koenigs, R.H., S. Hare, A.P. Hare, and M. Cowan. 2004. *SYMLOG Reliability and Validity.* San Diego, CA: SYMLOG Consulting Group, *www.symlog.com/internet/services_products/publications/symlog_publications_1A.htm,* accessed April 27, 2013.

Kotter, J. 1995. "Leading Change: Why Transformation Efforts Fail." *Harvard Business Review OnPoint* (March-April):1–10.

Kotter, J. *Leading Change.* 1996. Boston: Harvard University Press.

Kotter, J., and H. Rathgeber. 2006. *Our Iceberg Is Melting*. New York: St. Martin's Press.

Kouzes, J., and B. Posner. 2003. *Encouraging the Heart: A Leader's Guide to Rewarding and Recognizing Others.* San Francisco: Jossey-Bass.

Kuratko, D.F., R.V. Montagno, and J.S. Hornsby. 1990. "Developing an Intrapreneunerial Assessment Instrument for an Effective Corporate Entrepreneurial Environment." *Strategic Management Journal* 11:49–58.

Larson, C., and F. LaFasto. 1989. *Teamwork: What Must Go Right/What Can Go Wrong.* Thousand Oaks, CA: Sage Publications, Inc.

Lencioni, P. 2002. *The Five Dysfunctions of a Team: A Leadership Fable.* San Francisco: Jossey-Bass.

Lencioni, P. 2005. *Overcoming the Five Dysfunctions of a Team: A Field Guide for Leaders, Managers, and Facilitators.* San Francisco: Jossey-Bass.

Levesque, D., J.M. Prochaska, and J.O. Prochaska. 1999. "Stages of Change and Integrated Service Delivery." *Consulting Psychology Journal: Practice and Research* 51(4):226–41.

Lewin, K. 1947. "Frontiers in Group Dynamics II: Channels of Group Life; Social Planning and Action Research." *Human Relations* 1:143–53.

Likert, R. 1961. *New Patterns of Management.* New York: McGraw-Hill.

Lombardo, M.M., and R.W. Eichinger. 2004. *FYI For Your Improvement: A Guide for Development and Coaching.* Los Angeles: Lominger, Inc.

Lombardo, M.M., and R.W. Eichinger. 2009. *FYI For Your Improvement: A Guide for Development and Coaching,* 5th ed. Minneapolis, MN: Lominger International.

Lusthaus, C., M.H. Adrien, G. Anderson, F. Carden, and G. Plinio Montalvan. 2002. *Organizational Assessment: A Framework for Improving Performance.* Ottawa, ON, Canada: The International Development Research Centre.

McDonald, T., and K. Wilson. 2003. *I Wish You Would Just…* Dallas, TX: The Walk The Talk Company.

Marlett, G.A., and J. Gordon. 1985. *Relapse Prevention.* New York: Guilford Press.

Mihalic, S., K. Irwin, A. Fagan, D. Ballard, and D. Elliott. 2004. *Successful Program Implementation: Lessons from Blueprints.* Washington, DC: U.S. Department of Justice.

Miller, W., A. Zweben, C. DiClemente, and R. Rychtarik. 1995. *Motivational Enhancement Therapy Manual.* Rockville, MD: National Institute on Alcohol Abuse and Alcoholism.

Muhlau, P., and R. Wittek. 2003. "A Structural Theory of Punishment Centered Organizational Culture." Paper presented to the American Sociological Association, Atlanta, GA, August 16.

National Center for Environmental Innovation. 2006. *Working Smart for Environmental Protection: Improving State Agency Processes with Lean and Six Sigma.* Washington, DC: Environmental Protection Agency, *www.epa.gov/lean/government/primer/resources/LeanGovtPrimer.pdf,* accessed July, 14, 2012.

Parker, C.P., B.B. Baltes, S.A. Young, J.W. Huff, R.A. Altermann, H.A. Lacost, and J.E. Roberts. 2003. "Relationships between Psychological Climate Perceptions and Work Outcomes: A Meta-Analytic Review." *Journal of Organizational Behavior* 24:389–416.

Pascale, R., M. Millemann, and L. Gioja. 1997. "Changing the Way We Change." *Harvard Business Review OnPoint* 75(6):126–40.

Pascale, R., and J. Sternin. 2005. "Your Company's Secret Change Agents." *Harvard Business Review OnPoint* (May):2–12.

Peterson, M.F., and S.L. Castro. 2006. "Measurement Metrics at Aggregate Levels of Analysis: Implications for Organization Culture Research and the GLOBE Project." S*cience Direct: The Leadership Quarterly* 17(5):506–21.

Prochaska, J.O., and C.C. DiClemente. 1984. *The Transtheoretical Approach: Crossing the Traditional Boundaries of Therapy.* Melbourne, FL: Krieger Publishing.

Prochaska, J.O., and J.C. Norcross. 2006. *Systems of Psychotherapy: A Transtheoretical Analysis.* Pacific Grove, CA: Brooks-Cole.

Prochaska, J.O., J.C. Norcross, and C.C. DiClemente. 1994. *Changing for Good.* New York: Morrow.

Rehm, R. 2001. *People in Charge: Creating Self Managing Workplaces.* Gloucestershire, England: Hawthorn Press.

Rehm, R., N. Cebula., F. Ryan, and M. Large. 2002. *Futures That Work: Using Search Conferences to Revitalize Companies, Communities and Organization.* Gabriola Island, BC, Canada: New Society Publishers.

Rentsch, J., and J. Klimoski. 2001. "Why Do Great Minds Think Alike? Antecedents of Team Member Schema Agreement." *Journal of Organizational Behavior* 22(2):107–20.

Schein, E.H. 1999. *The Corporate Culture Survival Guide.* San Francisco: Jossey-Bass.

Schein, E.H. 2004. *Organizational Culture and Leadership.* San Francisco: Jossey-Bass.

Schein, E.H. 2005. *Organizational Culture and Leadership,* 3d ed. San Francisco: Jossey-Bass.

Senge, P. 1999. *The Dance of Change.* New York: Doubleday.

Senge, P. 2006. *The Fifth Discipline: The Art and Practice of the Learning Organization.* New York: Random House.

Senge, P., A. Kleiner, C. Roberts, R. Ross, and B. Smith. 1994. *The Fifth Discipline Fieldbook: Strategies and Tools for Building a Learning Organization.* New York: Crown Business.

Simpson, D. 2002. "A Conceptual Framework for Transferring Research to Practice." *Journal of Substance Abuse Treatment* 22(4):171–82.

Smith, T.B., Rodriguez, M.D., and G. Bernal. 2011. "Culture." *Journal of Clinical Psychology* 67(2):166–75.

Tuckman, B., and M. Jensen. 1977. "Stages of Small-Group Development Revisited." *Group Organization Management* 2:419–27.

Ulmer, J., and B. Johnson. 2004. "Sentencing in Context: A Multilevel Analysis." *Criminology* 42(1):137–78.

Underhill, B., K. McAnally, and J. Koriath. 2007. *Executive Coaching for Results: The Definitive Guide to Developing Organizational Leaders.* San Francisco: Berrett-Koehler.

Weick, K., and K. Sutcliffe. 2001. *Managing the Unexpected: Assuring High Performance in an Age of Complexity.* San Francisco: Jossey-Bass.

White, L. 2000. "Changing the Whole System in the Public Sector." *Journal of Organizational Change Management* 13(2):162–77.

Yauch, C., and H. Steudel. 2003. "Complementary Use of Qualitative and Quantitative Cultural Assessment Methods." *Organizational Research Methods* 6(4):465–81.

## Web Links

**NIC: National Institute of Corrections Training Programs**
*http://nicic.gov/Training/*

- Kouzes- and Posner-based programs
  *http://nicic.gov/Training/12M101*
- Management Development series
  *http://nicic.gov/Training/MDFFY12*

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**ASCA: Association of State Correctional Administrators**
*www.asca.net*

**AWEC: Association of Women Executives in Corrections**
*www.awec.us*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications*
or *www.baldrige.com*

**Center for Effective Public Policy**
*www.cepp.com*

**Helpguide.org**
A link to a quick guide for raising emotional intelligence:
*http://helpguide.org/mental/eq5_raising_emotional_intelligence.htm*

**Lean Enterprise Institute**
*www.lean.org*

**NAAWS: North American Association of Wardens & Superintendents**
*http://NAAWS.corrections.com*

**NIC: National Institute of Corrections Information Center**
*http://nicic.gov*

**OCAI: Organizational Culture Assessment Instrument**
*www.ocai-online.com*

**Organizational Readiness in Corrections**
*www.uscourts.gov/uscourts/FederalCourts/PPS/Fedprob/2011-06/02_organizational.html*

**Productivity Press**
*www.productivitypress.com*

# Chapter 7: Stakeholder Focus

## Introduction

Engaging and meeting the needs of stakeholders, both external (including media, legislators, judicial staff, lawyers, labor unions, client family members, the general public, and advocacy groups) and internal (including those under supervision as well as those who serve them) is a chief concern in higher-performing correctional organizations. All stakeholders are essentially customers and, as such, need to be able to share satisfaction and dissatisfaction with the way things are going. They need to know that their input will be considered and that appropriate steps will be taken to improve their experiences. Even more critical for the supervised population is the need to effectively engage them with life-enhancing programming to enable their successful reentry into the community.

Two goals exist within the Stakeholder Focus domain: (1) to obtain and analyze information from all stakeholders and (2) to engage all stakeholders to serve their needs and the needs of the organization and to build productive relationships. The tools and interventions within this chapter help facilitate discussing, gathering, and analyzing information about stakeholders to help meet those goals. They also offer ways to enhance stakeholder engagement, from developing a stakeholder focus, to programming services, to monitoring and surveillance.

This chapter includes three case studies: (1) Stakeholder Focus in a High-Performing Correctional Organization, (2) Implementing Evidence-Based Practices, and (3) Family-Focused Department of Corrections (DOC) Program. It also includes an assessment table that is specific to this domain, references, a recommended reading list, a bibliography, and Web links.

## Guiding Questions

These guiding questions are included to help leaders and others in correctional organizations get a sense of various aspects of the Stakeholder domain and discover ideas for improvement. The questions align with the focus on higher performance in the APEX (Achieving Performance Excellence) Guidebook series and in the Baldrige Performance Excellence Program (Baldrige National Quality Program 2011).

1. **Communication and information.**
   - How does the organization listen to and obtain feedback from internal and external stakeholders?
   - What potential listening methods, such as social media and Web-based technologies, are incorporated to improve the receipt of feedback?
2. **Determining engagement and satisfaction.**
   - How is stakeholder satisfaction and engagement determined and measured, and is this adequate or can it be improved?

- How does stakeholder satisfaction and engagement with your organization compare to that of similar agencies?
- How is stakeholder dissatisfaction determined and used?

3. **Services and stakeholder support.**
   - How are services identified, stakeholders supported, and data used to improve the stakeholder focus and to identify innovation opportunities?
4. **Relationships.**
   - How are the relationships with stakeholders encouraged and maintained?
5. **Dissatisfaction.**
   - How are stakeholder complaints managed?
6. **Considerations for change initiatives.**
   - Which stakeholders may affect and influence the outcome of this initiative?
   - What is the potential gain or loss of stakeholders?
   - How can stakeholders be engaged in the process and success of the change initiative?
   - Which stakeholders would add value to the initiative and should be invited to participate in its planning and/or implementation?

## Tools and Interventions

The tools and interventions in this section include *Developing a Stakeholder Focus, Programming Population Service Needs, Conducting a Program Service Inventory, Client/Offender Satisfaction/Engagement, Population Monitoring and Surveillance,* and *Developing a Monitoring Surveillance Inventory.* Every correctional agency has a unique combination of strengths and weaknesses. To succeed, each change initiative will involve some degree of effort and personalization of the tools and interventions in this chapter as well as the other chapters in this book. Setting the stage for change by preparing the staff, and by being flexible and innovative in customizing tools and interventions, will allow for an easier and more efficient change process.

### Developing a Stakeholder Focus

Managers in most business and human service sectors grasp the significance that customer satisfaction and engagement has for their organization. However, in human service sectors dealing with non-voluntary clients such as correctional agencies, the customer has often been considered to be the external stakeholders—the public and other political interests being served.

In developing a stakeholder focus, all parties—from external stakeholders (those outside the agency) to internal stakeholders (those inside the agency, including those under supervision)—must be considered customers. In particular, clients/offenders are customers.

Client/offender satisfaction refers to the degree that those under supervision (e.g., inmates, probationers, etc.) are satisfied that the organization and the staff members responsible for their supervision have adequately addressed their programming needs; their needs for structure and accountability; their needs for safety, fairness, and consistency in supervision; and their basic living needs (if in a residential setting). The overarching question for offender satisfaction and engagement might be whether their supervision experience influenced them in a manner that increased or decreased their prosocial human capital and social capital.

Many examples illustrate why client/offender satisfaction and engagement might be a telling variable in this non-voluntary population. For instance, are all clients/offenders equally satisfied or engaged by the supervision services a correctional agency provides—or do they perceive inequities in the system? What is the relationship to the outcomes between reasonably satisfied and engaged individuals under supervision and offenders who are quite dissatisfied with the correctional services they are receiving? The general human service research indicates that the poorer the satisfaction, the poorer the engagement and the poorer the subsequent outcomes.

### Key Questions

How does an organization determine the satisfaction of the client/offender population under supervision for the services they receive? These key questions are useful in determining satisfaction:

- What are the trends in the satisfaction and engagement experienced by the supervised population?
- In what ways are those trends linked to important outcomes?
- What key performance indicators (KPIs) are either currently used or envisioned for this domain?
- How will those KPIs be embedded in routine practice?

### Success Factors

Programs and other client-support services are delivered to meet both the needs of the individuals being supervised and the institutional needs of the staff that manage populations. The needs of clients/offenders fall along two general continuums: criminogenic needs (factors in their lives that promote criminal and deviant behavior) and non-criminogenic needs (factors that impact individuals' quality of life but have a limited effect on their criminal behavior). How organizations meet and address those varied needs affects the satisfaction and engagement of the population they are supervising. Therefore, depending on the sector and the identified differentiation in services (e.g., jails with shorter lengths-of-supervision focus primarily on acute needs) baseline, trend, and performance measures should be established for the following areas:

- The types and magnitude of the needs of the population under supervision.
- The services provided relative to the types of population needs.
- The satisfaction and engagement of the supervised population with regard to their needs and the types of services that are provided.

Correctional organizations should establish some simple, reliable indices for each of those three factors. Having a set of indices to measure those criteria will allow the organization to objectively assess its ability to address population needs and to consider how to build upon current practices or improve in a given area.

## Programming Population Service Needs

Screening tools, especially differential screening instruments that assess a broad spectrum of needs, are ideal for measuring the varied needs of a correctional population. The following intervention suggests steps that can help agencies (1) walk through and describe what information they currently have organized and on hand and (2) better develop descriptive information about their population's service needs.

### Intervention for Programming Population Service Needs

Step 1: What are some of the mechanisms or tools the agency uses to track the needs of the offenders being supervised? Write out the names of the tools used or briefly state the process.

Step 2: Rank those tools—from most likely to least likely—according to which has the most potential for providing the agency with accurate information about the criminogenic and non-criminogenic needs of the population.

Step 3: For what percentage of the current population has the information from steps 1 and 2 been gathered? Is this information available as aggregate electronic data? What would it take to close any gaps so that the entire organization can obtain that information on 100 percent of the population?

Step 4: How reliable and useful is the information the agency is obtaining from steps 1 and 2? On a scale of 1 to 10, how high would you rate this information in terms of general accuracy? If the answer is below a 5, what does that indicate? Can the agency do anything to improve that rating, while continuing to use the same tool(s)? If so, what steps can the agency take and who are the best staff members to get that done? Or, does the agency need to search, identify, adopt, and fully implement new protocols?

Step 5: If finding new tools for assessing needs is recommended, the organization might want to empanel a search/exploration group (Fixsen et al. 2009) to guide the initial search and implementation process for a new tool. For identifying and addressing offender needs, a group of this type is most effective when composed of diverse internal and external stakeholders representing multiple levels within the agency. If the group is provided with time limits and clear specifications or performance requirements, and is empowered to charter itself or define its own terms of reference, then the group will be more likely to achieve its purpose expeditiously. Large organizations (more than 80 staff members) may need the search/exploration group to organize focus groups for vetting tool and implementation ideas at some point in their process. See chapter 6 in this volume for more information on focus groups.

The example below is a useful tool for gathering specific data on your population's needs. Using data derived from the most validated tools or assessment procedures available to your organization, list what percentage of your current average daily population has programming and service needs in the following areas:

Mental health _____

Family interventions/assistance _____

Employment/education _____

Medical _____

Alcohol and other drug abuse/dependency _____

Antisocial peers/attitudes _____

Low self-control (poor problem-solving skills, poor impulse control, etc.) _____

Goal or case planning, case management _____

TEST: Consider the reliability of the above population needs profile for your agency. What validated tools or measures or quality assurance (QA) steps should be used to attest to the profile's fidelity? Schoenwald, Sheidow, and Letourneau (2004) and Howe and Joplin (2005) are two helpful QA references.

## Conducting a Program Service Inventory

Conducting inventories—accounting for and assessing interventions/services provided to a correctional population—is a critical job. Service gap analysis (chapter 9 in this book has more on gap analysis) and the resulting accountability for services depends on effectively inventorying program services. As a result, the organization will understand the amount, type, and quality of service interventions as applied to the various needs of the population. Private sector businesses that neglect managing and accounting for their inventory risk going out of business; the budget allocations for public sector organizations depend on and vary according to their ability to account for services provided. The following intervention will help guide an organization through the inventory process in five steps.

### Intervention for Program Service Inventory

Step 1: Determine how your organization currently tracks and maintains information regarding services provided to offenders under your jurisdiction. Is the collected data quantifiable so that it can be aggregated to generate trends, inform budget discussions, perform gap analysis, and guide detailed strategic planning? How does your service/intervention data separate out and account for programming in various categories (e.g., education/employment, alcohol and other drug abuse/dependency, mental health, etc.)?

Step 2: If your organization is not in a position to readily access accurate and relevant treatment services information, determine if the senior management team is willing to have a frank discussion about the situation. If senior management determines that services information is a priority, encourage further discussion and identification of the technical and adaptive (emotional and value-oriented) factors that might be contributing to the problem and the solution. Prioritize both the barriers to and the facilitators of developing better inventories of interventions and services.

Step 3: Using the inventory of barriers and facilitators created in step 2, develop a set of specifications for improving your current service tracking information that can be vetted by either focus groups (see chapter 6 for more on focus groups) or a working committee.

Step 4: Organize service intervention information into basic metrics (e.g., duration, frequency, total dose [usually calculated in minutes or dollars], adherence, and retention rates) within each service category that are used to report and communicate progress and challenges to stakeholders.

Step 5: Using metrics derived from improved service tracking and the information on population needs, conduct routine gap analysis to determine where the greatest discrepancies exist in terms of addressing population needs. In addition, examine the statistical relationships between services rendered and population outcomes.

Use the following example to gather specific data about the services and interventions your organization delivers. List what percentage of your current average daily population is currently receiving programming and services in the following areas:

Mental health _____

Family interventions /assistance _____

Employment/education _____

Medical _____

Alcohol and other drug abuse/dependency _____

Antisocial peers/attitudes _____

Low self-control (poor problem-solving skills, poor impulse control, etc.) _____

Goal or case planning, case management _____

TEST: Consider the reliability of the service tracking profile for your agency. What validated tools or measures or QA steps should be used to attest to the profile's fidelity? (See Howe and Joplin [2005] and Schoenwald, Sheidow, and Letourneau [2004].) How far can your organization extend an empirical description of the services it provides beyond the gross prevalence (percentage) rates in the profile? To what degree can your organization accurately specify the average individual duration, frequency, adherence, retention rates, and sheer number of services in the various categories? Given your organization's assessment of gaps and empirical relationships to outcomes, what promising performance measures (Association of State Correctional Administrators 2011; Petersilia 1993) have emerged that the organization is considering or committed to tracking?

## Client/Offender Satisfaction/Engagement

Higher-performing organizations need to determine whether offenders are (1) getting something from the services the agency or brokers provide; (2) satisfied with what they are getting from those services; and (3) sufficiently engaged by the services so that changes are taking place in their thinking, feeling, attitudes, and behavior. If the answer is unclear, the organization may want to establish routine mechanisms for obtaining offender feedback on services. Obtaining and using systematic feedback from offenders can take on new meaning and relevance if a foundation is in place for ongoing gap analysis of population needs and services. The following intervention's five steps help determine this degree of satisfaction/engagement.

### Intervention for Client/Offender Satisfaction/Engagement

Step 1: Management should describe and outline how the organization currently determines whether offenders are

- getting something from the services the agency provides or brokers.
- satisfied with what they are getting from those services.
- engaged sufficiently by the services so that positive changes are taking place in their thinking, feeling, attitudes, behavior, and health.

Step 2: Discuss and inventory the pros and cons (Park et al. 2001; Velicer et al. 1998) of routinely obtaining client/offender feedback on services that would inform the organization about the population's levels of satisfaction with and engagement in the various services they are provided or brokered into, and determine if getting this kind of information is a priority (and why).

Step 3: Empanel a working group with clear objectives and time limits to establish an organizationwide system of obtaining routine (biannual) feedback from offenders on the services they receive. Consider using exit interview surveys that can be completed in the waiting room in 5 minutes or less (Graham, Woo, and Smythe 1994) and completed by offenders according to the last digit in their identification number (odd or even), alternating every six months. Also, consider matching service categories with survey items to enhance interpretation.

Step 4: Compare client/offender feedback results across service categories and how they match up with service gap analysis. Identify the greatest discrepancies, and conduct focus groups with offenders regarding the high-discrepancy areas.

Step 5: Develop a plan for enhancing services in high-priority areas, and use the next round of client/offender feedback to understand the effect of the innovation.

Successful application of this intervention hinges on getting steady, reliable, and interpretable feedback on how the supervised population regards the services they are receiving from the agency. Does your organization have enough recent and empirical information to paint a coherent picture of how well your services satisfy and engage the people under your supervision? How your organization responds to this information and what your strategies are for furthering and enhancing engagement and satisfaction (as defined previously) are the larger questions.

Asking the following questions can help determine how successful your services are: What service intervention categories have the highest offender satisfaction and engagement ratings? The lowest? The most variable? What areas are improving? What areas are deteriorating in terms of offender satisfaction? What is the organization doing about this? Some areas to consider are mental health, family interventions/assistance, employment/education, medical, alcohol and other drug abuse/dependency, antisocial peers/attitudes, low self-control (poor problem-solving, poor impulse control, etc.), and goal/case planning and case management.

In business research literature, customer engagement is largely considered a function of having engaged employees (Harter, Schmidt, and Keyes 2003). What implications for staff engagement can be drawn from your offender satisfaction and engagement information?

Another area to consider is client/family engagement. What would a similar process yield if the focus were on collecting family input? How might the results influence case planning and client success?

## Population Monitoring and Surveillance

Although no adult wants to be monitored, clients/offenders' satisfaction with monitoring and surveillance may vary depending on how clients/offenders perceive the monitoring and accountability structures that are imposed on them as a condition of their supervision.

Asking the following two groups questions may help determine satisfaction with monitoring:

- What are clients/offenders' needs for monitoring? What is the degree of risk for reoffending and/or getting in trouble (low, medium, or high)?
- What is the current level of monitoring at the various population risk levels? What is the level of satisfaction clients/offenders are reporting and demonstrating?

Screening tools, especially differential screening instruments that assess a broad spectrum of needs, are ideal for measuring the varied monitoring and surveillance needs of a correctional population. Examples of appropriate screening tools include LSI-R, COMPAS, Level of Service/Care, Management Inventory, and STRONG. The intervention below helps determine appropriate monitoring and surveillance in five steps.

### Intervention for Population Monitoring and Surveillance

Step 1: Have the management team describe and outline how the organization currently determines the intensity and related duration of client/offender monitoring. What safeguards are in place to ensure that lower-risk clients/offenders are not monitored more than necessary and that higher-risk offenders are not monitored too little? Describe and discuss the roles of actuarial tools, clinical judgment, and professional override in the organizations' monitoring process.

Step 2: Inventory and examine the organization's current use of actuarial devices for determining risk and monitoring needs of clients/offenders. Is the agency using a risk tool or a risk/need tool that combines and possibly confounds risk and need measures (Baird 2009)? Are the risk measures the organization is using obtained in a timely, uniform manner? What routine QA mechanisms are in place for detecting problems with inter-rater reliability, reassessment, and variability in professional override?

Step 3: From the risk assessment issues that arise in step 1 and 2 discussions, determine appropriate options for resolving those issues and moving forward. Consider empanelling a group of staff members and managers to review the literature (Bonta 2002; Bonta et al. 2001; Holsinger, Lurigio, and Latessa 2001; Latessa and Lowenkamp 2005) on the various risk tools available. The APEX Change Management process can be useful if the agency decides to adopt a new risk tool or change the way the current tool is used (see chapter 3 of this book).

Step 4: Examine and discuss the organization's population risk data. Is the distribution of scores normal? What are the implications if the population risk scores are skewed in one direction or another? What if the population risk scores are bimodal? How are female risk scores different from male risk scores (Blanchette and Brown 2006), and what does that difference signify regarding monitoring resource allocations? Proportionately, how much greater risk do the high-risk clients/offenders represent than the low-risk? What are the ramifications for current and future triage policies?

Step 5: Discuss the logic the organization uses for differentially applying monitoring and surveillance resources to the various subpopulations under your jurisdiction. How much of the current policy is driven by the need for political cover and how much by scientific principles, particularly the risk principle (Andrews and Dowden 2006; Lowenkamp and Latessa 2004)?

Use the following example to gather specific data on the population's monitoring and surveillance needs. What percentage of the current average daily population has significant monitoring and surveillance needs in the following areas:

Whereabouts (e.g., global positioning system, phone or electronic monitoring, or direct observation) _____

Alcohol and other drugs chemical testing _____

Restitution, fines, supervision fees _____

DNA testing _____

Contraband (on person, in vehicle, or at home) _____

Associations (peers) _____

Supervision and treatment meeting, contact compliance _____

Other _____

On average, how many monitoring and surveillance contacts or interventions in each category *should* take place (according to standards or other guidelines) per month for a low-risk client/offender? A medium-risk client/offender? A high-risk client/offender? How do these respective inventories fit into the existing workload models (Bemus 1990; Bemus, Arling, and Quigley 1983; Fuller and Martin 2004) the organization uses?

## Developing a Monitoring/Surveillance Inventory

Establishing an organizational inventory of the monitoring and surveillance resources routinely used is often challenging because of the way records are kept. Many organizations maintain monitoring information in multiple areas (e.g., case/progress notes or chronos, urine logs or lab reports, field books, daily logs, etc.) as well as records in different media (hardcopy case files, hardcopy central logs, electronic management information systems [MIS], and other software). Because many correctional organizations consider monitoring a key function and part of their services, having an inventory that empirically quantifies the delivery of those resources is a very good idea.

The key to establishing a workable and useful inventory for client/offender monitoring activities is not necessarily obtaining comprehensive monitoring information on every client/offender (few systems have MIS sophisticated enough) but rather collecting monitoring information from a representative sample in which each subject has effectively identified risk-level data.

An effective monitoring and surveillance inventory can be created and maintained by determining how well monitoring resources are matched to the clients/offenders' risk levels. Gaps or excesses in monitoring cannot be readily identified without linking individual client/offender risk (and override) data to the case's monitoring history. Organizations that have not instituted any formal inventory process on the use of monitoring and surveillance interventions should initially examine small samples taken from caseloads or units, which will provide more than enough information to begin the process. Use the five steps in the intervention below to develop your inventory.

### Intervention for Developing a Monitoring/Surveillance Inventory

Step 1: Form a management team to review current available data for routine monitoring and surveillance activity levels. Aggregate and review the data by actuarial risk levels as well as by subpopulations deemed most pertinent (e.g., high-, medium-, and low-risk levels; sex offenders; domestic violence cases; females; severely mentally ill; etc.). Identify and reinforce, where appropriate, examples where progress in monitoring resource allocation has occurred, and identify where progress is needed in either actual monitoring activities or obtaining better measurements. If progress is needed, identify precisely what additional monitoring and surveillance measures will be helpful.

Step 2: Using the measurement gaps identified in step 1, formulate a simple one-page data collection form that can be used by the line staff to collect individual monitoring and surveillance case interventions from various available sources. Conduct a focus group with a small pilot sample of officers in the use of the data collection tool. Subsequently modify and improve the tool so that it is ready for use on a larger set of small samples.

Step 3: Using the refined data collection tool, ask a group of officers to collect data on a representative sample (e.g., the last five cases they terminated from supervision). Provide either individual coaching, a brief in-service training, or some combination of both (officers could bring their files or laptops to a 2-hour data collection event) so that the sample data are collected expeditiously. Collect the completed data forms and enter the data into a spreadsheet for analysis.

Step 4: Analyze the monitoring and surveillance sample data by risk level, gender, unit (if applicable), and subpopulation type. Discuss and reflect on the implications of the findings with management team members.

Step 5: Discuss the logic the organization uses for differentially applying monitoring and surveillance resources to the various subpopulations under your jurisdiction in the light of the new data findings. How much of the current policy is driven by the need for political cover and how much by scientific principles, particularly the risk principle (Bemus 1990; Lowenkamp and Latessa 2004)?

Use the following example to gather specific data on the monitoring and surveillance resources the organization uses. What percentage of your average daily population currently receives appropriate monitoring and surveillance in the following areas:

Whereabouts (e.g., global positioning system, phone or electronic monitoring,

or direct observation) _____

Alcohol and other drugs chemical testing _____

Restitution, fines, supervision fees _____

DNA testing _____

Contraband (on person, in vehicle, or at home) _____

Associations (peers) _____

Supervision and treatment meeting, contact compliance _____

Other _____

On average, how many monitoring and surveillance contacts or interventions in each category take place *per month* for a low-risk client/offender? A medium-risk client/offender? A high-risk client/offender? How do those respective inventories fit into the existing workload model (Bemus 1990; Bemus, Arling, and Quigley 1983; Fuller and Martin 2004) the organization uses? How does your inventory of services match your inventory of population needs for monitoring and surveillance?

Where does this analysis leave your organization? If concerns remain regarding the validity of the measures above or the implications of the findings, what are your organization's priorities?

## Additional Resources

The additional resources in this section include case studies and assessments specific to the Stakeholder Focus domain. Because the Stakeholder Focus domain is interconnected with all the other domains, consult other chapters in this book or the other books in the APEX Guidebook series for more resources.

## Case Studies

### Stakeholder Focus in a High-Performing Correctional Organization

Few more challenging incidents in a correctional facility exist than an inmate suicide. The county jail of a southern state experienced three inmate suicides by asphyxiation within a 12-month period. Each of the inmates was housed in double-bunk cells with another inmate. Two of the suicides occurred while the cellmate was out of the cell, and one occurred while the cellmate was asleep. The media reported the suicides in detail. Community mental health advocacy groups gave public responses to the media reports, indicating their displeasure and criticizing the jail operations and its mental health services. Each suicide incident was thoroughly investigated, and evidence was found indicating that each of the deceased inmates was in emotional distress prior to the incident. However, neither other inmates nor family members had notified the facility staff. Housing and program staff members did not pick up on or acknowledge any signs of concern. Facility leadership came to recognize that the agency's culture did not support the reporting of distressed inmates who exhibited signs of depression or suicidal ideation.

The jail administrator responded to the media accounts of the suicides, indicating that the agency was making suicide prevention a priority. The administrator established a multidisciplinary working group to identify, develop, and implement strategies to reduce the incidents of suicide attempts and suicides and to encourage the reporting of any related concerns. Staff members went to the community advocacy groups seeking dialogue, collaboration, and support, especially those groups and individuals who were critical of the jail's performance.

It took a few months for the working group to gather valuable information (policies, practices, protocols, and prevention strategies) from local and government organizations and other jails. With support from the advocacy groups, the working group analyzed the information and developed recommendations for enhancements in agency policy, procedures, work processes, training, and reporting protocols. One recommendation was the enhancement of intake screening by health care staff members for all new admissions to identify signs of depression or suicidal ideation. Another was the automatic referral of at-risk individuals to facility-based mental health professionals. The working group proposed that the agency (1) reinforce and expand training for all staff members, volunteers, and contractors on the signs of depression and suicide, and (2) reiterate the responsibility to report any health or mental health concerns related to both staff members and those confined.

The working group recommended a number of interventions to directly benefit those incarcerated, including the following:

- Collaborating with community advocacy groups and the local health department to better address suicide and ways to report it during inmate orientation and in the inmate handbook.
- Continuing discussions with the incarcerated population about the signs of depression and suicidal ideation.
- Publishing and posting a suicide hotline number and mailing address of a local advocacy group for those offenders who might be uncomfortable talking with agency staff members about their feelings.

Recommendations for external stakeholders' involvement included the following:

- Publishing a flyer for all visitors, encouraging them to report concerns related to suicide or self-harm, with easy ways to report them to the facility staff.

- Enhancing communication and education with offenders' families on this sensitive issue.
- Collaborating with the media to get the word out about the efforts and priority of the jail staff to mitigate the issue of incarcerated individuals' self-harm and suicide.

The leadership quickly began to implement the recommendations. The facility demonstrated its commitment to offender safety and well-being. It also began a long-term move toward a safe reporting culture on this sensitive, yet critical, issue. As a result, inmates reported concerns related to other inmates' depressed or suicidal behaviors, staff members were more proactive in referring inmates to mental health services, family members contacted the facility to report their concerns, and the hotline was used to report issues and concerns that were relayed to the facility for follow-up attention and action. The media and advocacy groups reported increased confidence and satisfaction with the jail efforts and with the facility leaders for their commitment to solving the issue. The working group continued to work to enhance services and responses to mental health issues. The administrator aggressively monitored all efforts on this issue. No incidents of suicide have occurred in the past 18 months.

### Implementing Evidence-Based Practices

A medium-sized midwestern detention center has experienced a 15-percent increase in its admissions and confined population over the past 3 years. A review of the admissions data indicated that the biggest driver of the population increase was repeat offenders. The jail administrator established a multidisciplinary committee, comprising community stakeholders such as police officers and advocacy groups, to further analyze this population and identify work processes that may influence the high return rate and recidivism. After a 3-month review of data and how the agency manages its offender population, the committee found a lack of facility programs that target behaviors such as substance abuse, criminal thinking and attitudes, and mental health services. A high percentage of the returning offenders lacked employment, stable housing, literacy, and stress management coping skills. Offenders who were discharged under supervision often violated their conditions because of behaviors such as substance abuse, not reporting, and homelessness. The cost of incarcerating a growing number of offenders in detention was affecting the overall county budget, and much political discourse and media attention was expended on this issue.

The jail administrator, through networking with other jails in the state, became aware of the benefits of evidence-based practices (EBP) and asked the committee to review the literature on EBP and to contact the National Institute of Corrections (NIC) Jails Division for further support and resources. The committee's new mission was to develop a strategy to implement EBP, improve facility-based and community-based work processes and staff skills, and collaborate with community programs and services to reduce the rate of recidivism and related costs.

The committee chair—the program's deputy administrator of the jail—met regularly with committee members and assigned four subcommittees to work on specific areas:

- Implementing cognitive-behavioral programs for offenders within a social learning environment.
- Developing a strategy to base programs and treatment on individual offender needs rather than rely on one set program for all offenders.
- Ensuring that the delivery of programs and treatment services is multidisciplinary and consistent across all staff members who engage with the offender.

- Developing staff communication skills with motivational interviewing and other competencies related to building positive and professional relationships with offenders.
- Providing opportunities for offenders to practice and engage in activities that model responsible behavior and supporting their efforts to learn new skills and strategies that support personal change and counter their criminogenic risks.
- Modifying the jail classification system from one that uses a static risk assessment instrument to one that is an objective actuarial risk assessment that measures dynamic criminogenic risks that can be changed to lessen the risk of recidivism.
- Validating and norming the selected risk assessment instrument and using it to guide the interventions, supervision, and management of the offender in the jail or community.
- Using classification data to analyze the use of incarceration and EBP for high-risk offenders and the appropriateness of moving low-risk offenders into community supervision to reduce the confined population and subsequent costs.
- Developing a strategy for implementing organizational change to include mission, vision, ongoing communication about EBP and engaging staff members in the change process.
- Developing a strategy to inform and engage external stakeholders in the EBP process.
- Ensuring that offenders released to the community have available transitional and complimentary programs and services to reinforce law-abiding and responsible behavior—building bridges from incarceration to the community prior to discharge.
- Developing a system for data collection and analysis that provides evidence of the EBP process outcomes and effect on public safety and recidivism.

With the assistance of NIC and with support from other jurisdictions that have implemented an effective EBP agenda, the leadership and the staff are now confident the detention center can make the full transition to a more effective, efficient, and accountable correctional system that enhances public safety by reducing recidivism. Staff members are aware that adapting new policies, procedures, work processes, and best practices will take time but, based on the success in other jurisdictions and their commitment and engagement in the EBP system, they believe the outcomes will match expectations. Preliminary results after 1 year show that, with the implementation of EBP, incidents in the facility have decreased, the population count is declining because more low-risk offenders are being better supervised in the community, costs have been reduced with the decrease in the incarcerated population, the recidivism rate is gradually dropping, and community agencies are more engaged in the process of working with offenders to address their community needs once offenders are discharged. EBP demonstrates a facility's approach to process management that ties the performance expectations measures with the outcome performance measures to achieve mission and strategy success.

### Family-Focused DOC Program

One DOC decided to incorporate more family-focused approaches throughout female offender operations and assembled a workgroup of key stakeholders. The workgroup included facility staff members from the program and

operations side, probation and parole officers, volunteers, and organizations that provide reentry services. Under the leadership of the Deputy Director of Female Offender Operations, staff members from the Vera Institute of Justice facilitated meetings of the workgroup. The workgroup identified a number of ways to improve the department's work with families and decided to form subcommittees around the key areas of staff training, departmental policies, and visitation. Members of the workgroup selected the subcommittee that best fit their skills. Each subcommittee made suggestions for the larger group to weigh in on. As a result of this process, this DOC now has a new guidebook for visitors; improvements have been made to the prison visiting room and the waiting area of the probation and parole office; and, by incorporating the staff's suggestions, training on the family-focused approach has been improved (diZerega and Villalobos Agudelo, 2011).

## Stakeholder Assessments

The assessments in this section apply specifically to the Stakeholder Focus domain. Other assessments available under the other domains may apply to change, management, and higher performance of the organization. A complete listing of assessments is available in *Applying the APEX Tools for Organizational Assessment,* in this series. Web links are provided for most of these assessments in the "Description" column of the chart below.

| Full Name | Author | Description |
|---|---|---|
| ACUTE–2007 | Cyzap Inc. | This assessment measures changes in short-term risk status and helps predict recidivism among sexual offenders. Only certified users are able to administer ACUTE–2007. *http://soraf.cyzap.net/zap_site/docs/zaps-mr-tab1-86.htm?Acute-2007%26copy%3B-Assessment* |
| Correctional Program Assessment Inventory Self-Assessment Checklist (CPAI) | Gendreau and Andrews | This checklist is designed for correctional agencies to serve as a rough estimate of where a program stands with regard to CPAI standards. Categories assessed: program implementation, classification and assessment, program characteristics, staff characteristics, and evaluation. *http://search.ebscohost.com/login.aspx?direct=true&db=i3h&AN=571252 1&site=ehost-live* |
| FACES IV | Life Innovations Inc. | This is an assessment for families, with scales that include communication, satisfaction, cohesion, flexibility, disengaged, enmeshed, and function/dysfunction. *www.facesiv.com/home.html* |
| Hare Psychopathy Checklist (PCL–R) | Robert Hare | This psychopathology checklist includes PCL–R, PCL Screening Version, and more. *www.hare.org/scales/pclr.html* |
| Level of Service Inventory (LSI) | Andrews and Bonta | This tool includes several versions designed to survey offender characteristics and situations that will determine supervision and treatment levels. *www.mhs.com/product.aspx?gr=saf8prod=lsir&id=overview* |
| Northpointe COMPAS | Northpointe Management Inc. | The COMPAS software suite includes software for offender assessment, classification, and case management. It measures risk and need areas, which are divided into these categories: core, reentry, youth, women, classification, and case manager. *www.northpointeinc.com/software-suite.aspx* |

| Full Name | Author | Description |
|---|---|---|
| Ohio Risk Assessment System (ORAS) and Ohio Youth Risk Assessment (OYRA) | University of Cincinnati, Center for Criminal Justice Research | ORAS is a risk/needs assessment for adult offenders. OYRA is for juvenile assessment. A women's risk/needs assessment, women's supplemental risk/needs assessment, and software platform are also offered. *www.uc.edu/corrections/services/risk-assessment.html* |
| Orbis Assessments (Spin) (YASI) (Spin–W) | Orbis Partners | The adult assessment (Spin) assesses risk, needs, and factors for adult populations in supervised, probation, parole, and reentry populations. The youth assessment (YASI) is for juvenile populations. The gender responsive assessment (Spin–W) is for women. The CaseWorks software enables case management. *www.orbispartners.com/assessments* |
| 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. *www.fd.org/pdf_lib/fjc/Keeping_Client_Final.pdf* |
| Sex Offender Treatment Intervention and Progress Scale (SOTIPS) | Robert McGrath | This 16-item rating scale assesses risk among adult male sex offenders. *http://sax.sagepub.com/content/early/2012/02/23/1079063211432475.abstract* |
| STABLE–2007 | Cyzap Inc. | This instrument assesses change in intermediate-term risk status, assesses treatment needs, and helps predict recidivism among sexual offenders. Only certified users are able to administer STABLE–2007. *http://soraf.cyzap.net/zap_site/docs/zaps-mr-tab1-85.htm?Stable-2007%26copy%3B-Assessment* |
| Static Risk and Offender Needs Guide (STRONG) | WSIPP and Assessments.com | This is an offender needs assessment and supervision plan. *www.assessments.com/assessments_documentation/A%20Case%20Study%20-%20WA%20DOC%20Implements%20the%20STRONG.pdf* |
| STATIC–99R | R. Karl Hanson and David Thornton | This instrument estimates 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 non-consenting adult. Only certified users are able to administer STATIC–99R. *http://www.static99.org* |
| Vermont Assessment of Sex Offender Risk (VASOR) | Robert McGrath and Stephen Hoke | This risk assessment scale for adult male sex offenders age 18 and older helps in placement and supervision decisions. Composed of two scales: a 13-item reoffense risk scale and a 6-item violence scale. *www.csom.org/pubs/VASOR.pdf* |

| Full Name | Author | Description |
|---|---|---|
| Violence Risk Appraisal Guide (VRAG) | Quinsey, Harris, Rice, and Cormier | This is a 12-item checklist with score calculations. *www.ncbi.nlm.nih.gov/pubmed/19821220* or *www.fotres.ch/index.cfm?&content=9010&spr=en* |
| Virginia Pretrial Risk Assessment Instrument (VPRAI) | Department of Criminal Justice Services, Virginia | This assessment looks at the defendant's status at arrest, relationship to charges, and history. *www.luminosity-solutions.com/publications/VPRAI_Instruction_Manual_v_1-2_5-15-09.pdf* or *http://nicic.gov/Library/024545* |
| Washington State: DOC Static Risk Assessment | Washington State Institute for Public Policy | This adult (static) and juvenile risk assessment is based on offender demographics and criminal history. *www.wsipp.wa.gov/rptfiles/07-03-1201r.pdf* |

## Chapter References


Andrews, D.A., and C. Dowden. 2006. "Risk Principle of Case Classification in Correctional Treatment: A Meta-Analytic Investigation." *International Journal of Offender Therapy and Comparative Criminology* 50(1):88–100.

Association of State Correctional Administrators. 2011. *Performance Measures Committee/PBMS.* Washington, DC: Association of State Correctional Administrators, *www.asca.net/projects/1,* accessed April 24, 2012.

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

Baird, C. 2009. *A Question of Evidence: A Critique of Risk Assessment Models Used in the Justice System.* Madison, WI: National Council on Crime and Delinquency, *www.acgov.org/probation/documents/NCCDReportonRiskAssessments.pdf,* accessed April 24, 2012.

Bemus, B. 1990. *Colorado Judicial Department Probation Officer Workload Study Final Report.* Denver, CO: Colorado Judicial Department, *http://static.nicic.gov/Library/008927.pdf,* accessed April 24, 2012.

Bemus, B., G. Arling, and P. Quigley. 1983. *Workload Measures for Probation and Parole.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Blanchette, K., and S.L. Brown. 2006. *The Assessment and Treatment of Women Offenders: An Integrative Perspective.* Chichester, UK: John Wiley & Sons, Ltd.

Bonta, J. 2002. "Offender Risk Assessment: Guidelines for Selection and Use." *Criminal Justice and Behavior* 29(4):355–79.

Bonta, J., B. Bogue, M. Crowley, and L. Motiuk. 2001. "Implementing Offender Classification Systems: Lessons Learned." In G.A. Bernfeld, D.P. Farrington, and A.W. Leschied (eds.), *Offender Rehabilitation in Practice.* Chichester, UK: John Wiley & Sons, Ltd., pp. 227–45.

diZerega, M., and S. Villalobos Agudelo. 2011. *Piloting a Tool for Reentry: A Promising Approach to Engaging Family Members.* New York: Vera Institute of Justice.

Fixsen, D.L., K.A. Blase, R. Horner, and G. Sugai. 2009. "Scaling Up Evidence-based Practices in Education." In *State Implementation and Scaling-up of Evidence-Based Practices.* Chapel Hill, NC: The University of North Carolina, Frank Porter Graham Child Development Institute, p. 3.

Fuller, J., and G. Martin. 2004. "From 'Counting Heads' to Measuring Work: A Risk Control Model." In *Topics in Community Corrections.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, pp. 31–33.

Graham, K., G.A. Woo, and C. Smythe. 1994. *The Evaluation Casebook: Using Evaluation Techniques to Enhance Program Quality in Addictions.* Toronto, ON, Canada: Addiction Research Foundation.

Harter, J.K., F.L. Schmidt, and C.L.M. Keyes. 2003. "Well-Being in the Workplace and Its Relationship to Business Outcomes: A Review of the Gallup Studies." In C.L.M. Keyes and J. Haidt (eds.), *Flourishing: The Positive Person and the Good Life.* Washington, DC: American Psychological Association, pp. 205–24.

Holsinger, A.M., A.J. Lurigio, and E.J. Latessa, 2001. "Practitioners' Guide to Understanding the Basis of Assessing Offender Risk." *Federal Probation* 65(1):46–50.

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, and Crime and Justice Institute.

Latessa, E.J., and C.T. Lowenkamp. 2005. "The Role of Offender Risk Assessment Tools and How to Select Them." *For the Record* (4th Quarter):18–20.

Lowenkamp, C.T., and E.J. Latessa. 2004. "Increasing the Effectiveness of Correctional Programming through the Risk Principle: Identifying Offenders for Residential Placement." *Criminology and Public Policy* 4(1):501–28.

Park, E.R., C.A. Eaton, M.G. Goldstein, J. DePue, R. Niaura, E. Guadagnoli, N. MacDonald Gross, and C. Dube. 2001. "The Development of a Decisional Balance Measure of Physician Smoking Cessation Interventions." *Preventive Medicine* 33:261–67.

Petersilia, J. 1993. "Measuring the Performance of Community Corrections." In J. DuIulio (ed.), *Measures for the Criminal Justice System.* Washington, DC: Bureau of Justice Statistics, pp. 61–86.

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.

Velicer, W.F., J. Prochaska, J. Fava, G.J. Norman, and C.A. Redding. 1998. "Detailed Overview of the Transtheoretical Model." *Homeostasis* 38:216–33.

## Stakeholder Focus Bibliography

### Individuals under Supervision


Andrews, D.A., and C. Dowden. 2006. "Risk Principle of Case Classification in Correctional Treatment: A Meta-Analytic Investigation." *International Journal of Offender Therapy and Comparative Criminology* 50(1):88–100.

Association of State Correctional Administrators. 2011. *Performance Measures Committee/PBMS.* Washington, DC: Association of State Correctional Administrators, *www.asca.net/projects/1,* accessed April 24, 2012.

Baird, C. 2009. *A Question of Evidence: A Critique of Risk Assessment Models Used in the Justice System.* Washington, DC: National Council on Crime and Delinquency.

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

Bemus, B. 1990. *Colorado Judicial Department Probation Officer Workload Study Final Report.* Denver, CO: Colorado Judicial Department, *http://static.nicic.gov/Library/008927.pdf,* accessed April 24, 2012.

Bemus, B., G. Arling, and P. Quigley. 1983. *Workload Measures for Probation and Parole.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Blanchette, K., and S.L. Brown. 2006. *The Assessment and Treatment of Women Offenders: An Integrative Perspective.* Chichester, UK: John Wiley & Sons, Ltd.

Bogue, B., N. Campbell, E. Clawson, D. Faust, K. Florio, L. Joplin, and W. Woodward. 2004. *Implementing Evidence-Based Principles in Community Corrections: Collaboration for Systemic Change in the Criminal Justice System.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *www.nicic.org/pubs/2003/019343.pdf,* accessed June 27, 2011.

Bonta, J. 2002. "Offender Risk Assessment: Guidelines for Selection and Use." *Criminal Justice and Behavior* 29(4):355–79.

Bonta, J., B. Bogue, M. Crowley, and L. Motiuk. 2001. "Implementing Offender Classification Systems: Lessons Learned." In G.A. Bernfeld, D.P. Farrington, and A.W. Leschied (eds.), *Offender Rehabilitation in Practice.* Chichester, UK: John Wiley & Sons, Ltd., pp. 227–45.

Brown, P.D., and K.D. O'Leary. 2000. "Therapeutic Alliance: Predicting Continuance and Success in Group Treatment for Spouse Abuse." *Journal of Consulting and Clinical Psychology* 68(2):340–45.

Christensen, G.E. 2008. *Our System of Corrections: Do Jails Play a Role in Improving Offender Outcomes?* Washington, DC: U.S. Department of Justice, Crime and Justice Institute and National Institute of Corrections.

Cochran, D. 1992. "The Long Road from Policy Development to Real Change in Sanctioning Practice." In J. Byrne, A. Lurigio, and J. Petersilia (eds.), *Smart Sentencing: The Emergence of Intermediate Sanctions.* Newbury, CA: Sage.

Cullen, F.T., A.J. Myer, and E.J. Latessa. 2009. "Eight Lessons from Moneyball: The High Cost of Ignoring Evidence-based Practices." *Victims & Offenders* 4(2):197–213.

diZerega, M., and S. Villalobos Agudelo. 2011. *Piloting a Tool for Reentry: A Promising Approach to Engaging Family Members.* New York: Vera Institute of Justice.

Finn, P., and A.K. Newlyn.1993. *Miami's "Drug Court," A Different Approach.* Washington, DC: National Institute of Justice, Program Focus.

Fixsen, D.L., K.A. Blase, R. Horner, and G. Sugai, G. 2009. "Scaling Up Evidence-Based Practices in Education." In *State Implementation and Scaling-up of Evidence-Based Practices.* Chapel Hill, NC: The University of North Carolina, Frank Porter Graham Child Development Institute, p. 3.

Fuller, J., and G. Martin. 2004. "From 'Counting Heads' to Measuring Work: A Risk Control Model." In *Topics in Community Corrections.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, pp. 31–33.

Fulton, B., P. Gendreau, and M. Paparozzi. 1995. "APPA's (American Probation and Parole Association) Prototypical Intensive Supervision Program: ISP (Intensive Supervision Program) As It Was Meant to Be." *Perspectives* 19(2):25–41.

Goldstein, A.P., R.P. Sprafkin, N.J. Gershaw, and P. Klein. 1980. *Skill-Streaming the Adolescent: A Structured Learning Approach to Teaching Prosocial Skills.* Champaign, IL: Research Press Company.

Graham, K., G.A. Woo, and C. Smythe. 1994. *The Evaluation Casebook: Using Evaluation Techniques to Enhance Program Quality in Addictions.* Toronto, ON, Canada: Addiction Research Foundation.

Guevara, M., and E. Solomon. 2009. *Implementing Evidence-Based Policy and Practice in Community Corrections,* 2d ed. Washington, DC: U.S. Department of Justice.

Harter, J.K., F.L. Schmidt, and C.L.M. Keyes. 2003. "Well-Being in the Workplace and Its Relationship to Business Outcomes: A Review of the Gallup Studies." In C.L.M. Keyes and J. Haidt (eds.), *Flourishing: The Positive Person and the Good Life.* Washington, DC: American Psychological Association, pp. 205–24.

Holsinger, A.M., A.J. Lurigio, and E.J. Latessa. 2001. "Practitioners' Guide to Understanding the Basis of Assessing Offender Risk." *Federal Probation* 65(1):46–50.

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, and Crime and Justice Institute.

Lowenkamp, C.T., and E.J. Latessa. 2004. "Increasing the Effectiveness of Correctional Programming through the Risk Principle: Identifying Offenders for Residential Placement." *Criminology and Public Policy* 4(1):501–28.

Kuh, G.D., J. Kinzie, J.H. Schuh, and E.J. Whitt. 2005. "Never Let It Rest: Lessons about Student Success from High-Performing Colleges and Universities." *Change* 37(4): 44–51.

Lamb, S., M.R. Greenlick, and D. McCarty. 1998. *Bridging the Gap Between Practice and Research: Forging Partnerships with Community-Based Drug and Alcohol Treatment.* Washington DC: National Academy Press.

Lambert, M.J., and K. Shimokawa. 2011. "Collecting Client Feedback." *Psychotherapy* 48(1):72–79.

Latessa, E.J., and C.T. Lowenkamp. 2005. "The Role of Offender Risk Assessment Tools and How to Select Them." *For the Record* (4th Quarter):18–20.

Latessa, E.J., and C.T. Lowenkamp. 2005. "What Are Criminogenic Needs and Why Are They Important?" *For the Record* (4th Quarter):15–16.

Levrant, S. 1999. "Reconsidering Restorative Justice: The Corruption of Benevolence Revisited?" *Crime and Delinquency* 45(1):3–27.

Lipton, D.S., D. Thornton, J. McGuire, F.J. Porporino, and C.R. Hollin. 2000. "Program Accreditation and Correctional Treatment." *Substance Use and Misuse* 35(12-14):1705–34.

Lowenkamp, C.T., and E.J. Latessa. 2004. "Increasing the Effectiveness of Correctional Programming through the Risk Principle: Identifying Offenders for Residential Placement." *Criminology and Public Policy* 4(1):501–28.

Lucken, K. 1997. "Privatizing Discretion: 'Rehabilitating' Treatment in Community Corrections." *Crime and Delinquency* 43(3):243–59.

Mancini, M.A., D.M. Linhorst, F. Broderick, and S. Bayliff. 2008. "Challenges to Implementing the Harm Reduction Approach." *Journal of Social Work Practice in the Addictions* 8(3):380–408.

McNeill, F., S. Batchelor, R. Burnett, and J. Knox. 2005. 2*1st Century Social Work: Reducing Re-Offending: Key Practice Skills.* Edinburgh: Scottish Executive.

Park, E.R., C.A. Eaton, M.G. Goldstein, J. DePue, R. Niaura, E. Guadagnoli, N. MacDonald Gross, and C. Dube. 2001. "The Development of a Decisional Balance Measure of Physician Smoking Cessation Interventions." *Preventive Medicine.* 33:261–67.

Petersilia, J. 1993. "Measuring the Performance of Community Corrections." In J. DuIulio (ed.), *Measures for the Criminal Justice System.* Washington, DC: Bureau of Justice Statistics, pp. 61–86.

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.

Tewksbury, R., and J. Levenson. 2007. "When Evidence Is Ignored: Residential Restrictions for Sex Offenders." *Corrections Today* 69(6):54–57.

Velicer, W.F., J. Prochaska, J. Fava, G.J. Norman, and C.A. Redding. 1998. "Detailed Overview of the Transtheoretical Model." *Homeostasis* 38:216–33.

Virginia Department of Corrections. 2007. *EBP Starter Kit.* Richmond, VA: Department of Corrections.

White, T. 2005. *Evidence-Based Practice in Probation and Parole.* Hartford, CT: Connecticut Judicial Branch.

Wilks, D. 2004. "Revisiting Martinson: Has Corrections Made Progress in the Past?" *Corrections Today*: 108–11.

## Stakeholder Families

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

Bauldry, S., D. Korom-Djakovic, W.S. McClanahan, J. McMaken, and L.J. Kotloff. 2009. *Mentoring Formerly Incarcerated Adults: Insights from the Ready4Work Initiative.* New York: Public/Private Ventures.

Bernstein, N. 2005. *All Alone in the World: Children of the Incarcerated.* New York: The New Press.

Bilchik, S. 2007. "Mentoring: A Promising Intervention for Children of Prisoners." *Research In Action* (10):3–28.

diZerega, M., and C. Shapiro. 2008. "Asking about Family Can Enhance Reentry." *Corrections Today, www.vera.org/in-the-news/corrections-today-asking-about-family-can-enhance-reentry,* accessed August 27, 2011.

Glaze, L.E., and L.M. Maruschak. 2009. *Parents in Prison and Their Minor Children.* Washington, DC: U.S. Department of Justice, Bureau of Justice Statistics.

Johnson, L., F. Shelley, T. Cullen, E.J. Latessa. 2006. "How to Prevent Prisoner Reentry Programs from Failing: Insights from Evidence-Based Corrections." *Federal Probation* 70(3):19–25, *www.uscourts.gov/fedprob/December_2006/prevent.html.*

Mullins, T.G., and C. Toner. 2008. *Implementing the Family Support Approach for Community Supervision.* Washington, DC: Bureau of Justice Assistance, Office of Justice Programs, *www.appa-net.org/eweb/docs/APPA/pubs/IFSACS.pdf,* accessed May 4, 2012.

Mumola, C.J. 2000. *Incarcerated Parents and Their Children.* Washington, DC: U.S. Department of Justice, Bureau of Justice Statistics.

Shanahan, R., and S. Villalobos Agudelo. 2012. *Close to Home: Building on Family Support for People Leaving Jail.* New York: Vera Institute of Justice.

Shapiro, C., and M. Schwartz. 2001. "Coming Home: Building on Family Connections." *Corrections Management Quarterly.* New York: Family Justice Publications.

Travis, J., and M. Waul. 2003. "Prisoners Once Removed: The Children and Families of Prisoners." In J. Travis and M. Waul (eds.), *Prisoners Once Removed: The Impact of Incarceration and Reentry on Children, Families and Communities.* Washington, DC: Urban Institute, pp. 1–32.

Urban Institute. 2009. *Families and Reentry.* Washington, DC: Urban Institute, *www.urban.org/projects/reentry-portfolio/families.cfm,* accessed March 2, 2009.

Urban Institute. 2009. *Five Questions for Christy Visher.* Washington, DC: Urban Institute, w*ww.urban.org/toolkit/fivequestions/cvisher.cfm,* accessed March 2, 2009.

VanDeCarr, P. 2007. *Call to Action: How Programs in Three Cities Responded to the Prisoner Reentry Crisis.* Philadelphia: Public/Private Ventures.

Vera Institute of Justice. 2011. *Why Ask about Family? A Guide for Corrections.* New York: Vera Institute of Justice.

Goode, W.W., and T.J. Smith. 2005. *Building from the Ground Up: Creating Effective Programs to Mentor Children of Prisoners, the Amachi Model.* Philadelphia: Public/Private Ventures.

### External Stakeholders

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

McGarry, P., and B. Ney 2006. *Getting It Right: Collaborative Problem Solving for Criminal Justice.* Silver Spring, MD: Center for Effective Public Policy.

Rawlins, B.L. 2006. *Prioritizing Stakeholders for Public Relations.* Gainesville, FL: Institute for Public Relations, *http://www.instituteforpr.org/topics/prioritizing-stakeholders/,* accessed August 28, 2011.

Woodward, B. 2001. "Collaboration: The Essentials." *Topics in Community Corrections.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

## Web Links

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications*
or *www.baldrige.com*

**Center for Effective Public Policy**
*www.cepp.com*

**NAPE: National Association of Probation Executives**
*www.napehome.org*

**National Reentry Resource Center**
*http://csgjusticecenter.org/nrrc/*

**National Resource Center on Families and Children of the Incarcerated**
*http://fcnetwork.org*

**NIC Information Center: National Institute of Corrections**
*http://nicic.gov*

**NYCOPA: New York State Council of Probation Administrators**
*www.nyscopa.com*

# Chapter 8: Workforce Focus

*There is no doubt that staff [members] are the most valuable resource of a correctional agency. Corrections is a people business, in that the work is not accomplished by bars and fences, prison cells, or the use of electronic monitoring. The work of corrections is accomplished by people, staff supervising offenders to carry out sentencing orders of the courts, and monitoring and guiding behaviors in what will hopefully be a crime free and productive completion of a criminal sentence.*

*—Richard P. Seiter, Ph.D.*

## Introduction

An engaged and satisfied workforce is a workforce operating at a higher performance level. When the workforce is engaged intellectually and emotionally, the organization will be able to pursue performance excellence. Carefully selected workers who are motivated, recognized, and compensated will help maintain a positive organizational climate. Assessing the organizational climate will help agencies monitor any negative influences on the climate, such as unsafe working conditions, unclean facilities, and the like. Negative influences need to be dealt with as soon as they arise so that the workplace environment is safe, secure, clean, and orderly. Once the workplace meets those conditions, agencies can then put processes in place to maintain a positive climate, which is critical to achieving higher performance.

The Workforce Focus domain views an organization's ability to assess the capability and capacity of its workforce and to create an environment that effectively supports and develops the workforce to achieve the organization's goals. When employees are actively and efficiently engaged in accomplishing the work of the organization and have the abilities and support to perform their tasks, the outcome is higher performance.

In many correctional agencies, workforce interventions are usually in response to something such as new practices, new procedures, a problem that arises, and so forth. The interventions are rarely proactive. The focus has been on hiring the right people with the right skills, abilities, and personalities rather than developing the existing staff. Many of the interventions in this chapter are geared for developing all staff members, not just new hires and those recently promoted.

This chapter includes interventions for assessing organizational climate, staff burnout, and staff engagement as well as tracking the organizational climate. Case studies and additional assessments are available in this chapter in table format and include links to brief, easy-to-use online assessments for burnout and engagement. Chapter references, a bibliography, and Web links provide additional resources.

In addition to the resources mentioned here, chapter 5 ("Team Development Guide") in the *APEX Resources Directory Volume 2* offers information on effective team building and team development. That chapter includes information on how to build and enhance an effective and productive work team and offers a team-building case

study (Billson et al. 2012). A plethora of resources on workforce topics can be found on the National Institute of Corrections (NIC) Information Center's website (*www.nicic.gov*) and in the NIC Information Center library (*www.nicic.gov/library*).

## Guiding Questions

The following guiding questions are included to help leaders and others in correctional organizations get a sense of various aspects of the Workforce Focus domain and discover ideas for improvement. The questions align with the focus on higher performance in the APEX (Achieving Performance Excellence) Guidebook series and in the Baldrige Performance Excellence Program (Baldrige National Quality Program 2011).

1. **Capacity and capability.**
   - How is workforce capability and capacity assessed?
   - How is the workforce recruited, hired, placed, and retained?
   - How diverse is the workforce?
   - How is the workforce organized and managed to accomplish the work of the organization with respect to core competencies, stakeholder focus, strategic thinking, and performance improvement?
   - How is the workforce managed to ensure continuity and yet respond to change and growth?
2. **Climate.**
   - Is the workforce environment accessible and safe? Are performance measures and goals in place?
   - How is the workforce supported through policies and benefits?
3. **Performance.**
   - What are the elements that affect workforce engagement and how are they determined?
   - How is an organizational culture that fosters open communication, higher performance, engagement, and diversity maintained?
   - How is the workforce supported to attain higher performance and encouraged through recognition and incentives?
4. **Engagement.**
   - How is workforce engagement assessed?
   - How does this assessment drive opportunities for improvement and higher performance?

5. **Development.**
   - How does the workforce benefit from learning and development opportunities?
   - How effective are the opportunities offered?
   - How is career progression managed and succession planning for leadership achieved?
6. **Considerations for change initiatives.**
   - What stake (gain or loss) does the workforce have in a change initiative? "What is in it for them?"
   - Who should be engaged in planning and/or implementation?
   - How can the workforce be effectively engaged in the change effort process and thereafter?

## Tools and Interventions

The tools and interventions in this section include the following: *Monitoring Organizational Climate, Assessing Organizational Climate, Tracking Organizational Climate Elements, Assessing Workforce Engagement, Assessing Staff Burnout, and Assessing Staff Engagement*. Every correctional agency has a unique combination of strengths and weaknesses. To succeed, each change initiative will involve some degree of effort and personalization of the tools and interventions in this chapter as well as in the other chapters of this book. The change process will be easier and more efficient if correctional agencies set the stage for change by preparing staff members and by being flexible and innovative in customizing tools and interventions.

### Monitoring Organizational Climate

After more than 50 years of research (Likert 1967), organizational climate continues to be a subject of ongoing research and management concern. Organizational climate is how staff members perceive, characterize, and feel about their work environment. Surveys of staff members are the preferred method for measuring climate. Organizational climate is determined by how individuals in an organization collectively view fundamental elements of their workplace such as the following:

- Leadership.
- Communication.
- Decisionmaking.
- Standards of accountability.
- Structure.
- Goals and objectives.
- Rewards.
- Identity.

Organization researchers debate the degree to which organizational climate is determined entirely on the basis of the shared perceptions of employees versus a shared set of conditions. Regardless of how subjective the measures of organizational climate are, they are related to employee stress levels (Cheek and Miller 1983; Cullen, Cullen, and Wozniak 1989), absenteeism (Wilson et al. 2004), job satisfaction (Harter, Schmidt, and Killham 2003; Luthans et al. 2008), commitment (Luthans et al. 2008), participation (Bakker and Demerouti 2008; Harter, Schmidt, and Killham 2003), and overall productivity (Greener et al. 2007; Salanova, Agut, and Peiro 2005).

Organizational climate and organizational culture are two different ways of viewing the softer, more intangible human side of an organization. Although overlap is considerable between these two constructs, they represent different approaches to researching and working with organizations. Each has its own related tools, advocates, and literature.

*Climate* refers to a *situation* and its link to thoughts and feelings and is often subject to direct manipulation by people with power and influence. *Culture*, in contrast, refers to an evolved *context* (within which a situation may be embedded). Thus, culture is rooted in history, collectively held, and is sufficiently held to resist many attempts at direct manipulation (Denison 1996). Organizational culture can be compared to personality in that it is more stable and complex, and organizational climate is comparable to the variable moods one goes through (McCrimmon 2007).

Both are important considerations when engaging in organizational change, but for somewhat different reasons and purposes. Climate is important because it is readily measured and monitored, relates to outputs and outcomes, and is under some degree of immediate control and influence by management and leadership.

## Key Questions

The following questions help determine how the organization monitors and attends to its organizational climate:

- How do managers describe the current organizational climate?
- What organizational climate trends have occurred recently?
- What changes have occurred recently in the organizational climate?
- To what does management attribute recent changes in organizational climate?
- What aspects of the organization are affected by changes in organizational climate?
- How are measures of organizational climate and culture helping management better understand and focus its workforce culture?

Tracking organizational climate is not always simple and obvious. It is a function of the *combination* of these existing factors—organization conditions and the staff's perceptions of those conditions. Monitoring organizational climate is important to evaluating organizational climate, and, although involving an initial commitment, the tracking procedure can become a relatively simple routine. Established survey data tools for assessing organizational culture are provided below to help in the monitoring and tracking process.

More important than obtaining a single sample on these measures is building a system for monitoring climate measures on an ongoing basis. Trends can be compiled only by administering climate surveys across time.

Designing, facilitating, and tracking interventions that may affect organizational climate are steps that are enhanced by having climate trend information available for guidance. When specific training, program changes, or policy changes are implemented, they can easily be tracked for associated impact on climate measures when they are routinely monitored.

When management maintains some awareness of the organizational climate factors, managers have the ability to (1) determine new goals and objectives with greater awareness of organizational strengths and weaknesses, (2) navigate toward goals and objectives with a clearer picture of where internal barriers and facilitators exist, and (3) deliberately experiment with interventions and methods for enhancing the organizational climate and culture.

## Assessing Organizational Climate

Many free tools and methods that are available for assessing and monitoring organizational climate are not cumbersome or too time intensive to use. With any new procedure, the first steps are the most challenging.

### Intervention: Organizational Climate Assessment

1. Empanel a small group of top managers to discuss how satisfied the organization is with the current method for monitoring organizational climate. Decide if the current method is working and what needs to be improved. If the current method is not working, discuss what performance requirements might be used to define and select a new tool or method—that is, what the organization would specifically like to learn and gain from a survey that the staff completes once a year (ideally, half the staff will take the survey during the first half of the year and the other half during the second half of the year). A list of assessments that can guide the group's tool selection can be found at the end of this chapter. Once various tools have been reviewed, one can be selected that meets the group's preferences and can be piloted in the organization.

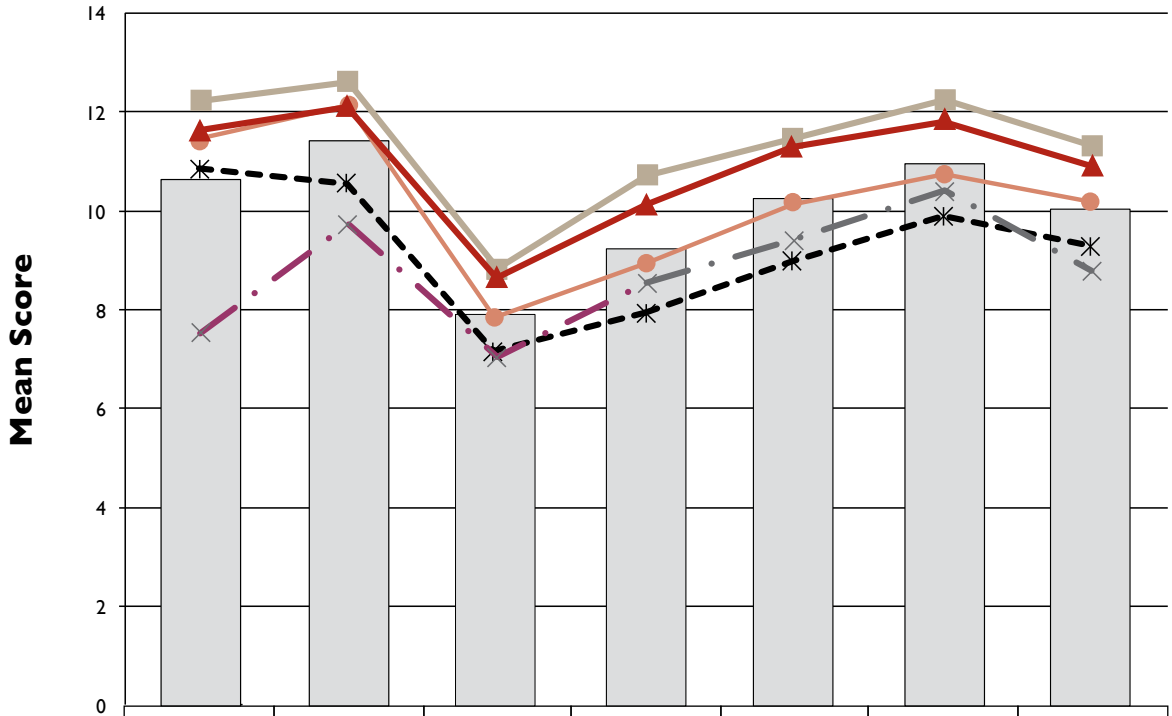
2. Individuals in the management group should each complete the chosen organizational climate survey and time themselves as they take it. The management group may need to have a conversation to ensure agreement on the meaning of the terms for the specifically defined unit (unit of analysis), division, sector, or aspect of the organization that they are referencing when responding to the survey items. The management group's completed surveys should be scored and aggregated so that the group can review the results on a graph. For example, enter the subscale scores for each person's completed and scored survey into a single row in a spreadsheet. Label each column according to the subscales and total average scores. Produce a line graph with each manager's scores represented by a unique line design and color. Depict the total average score as a column for each subscale and summary measure.

    a. Compare and contrast the group members' results and the significance of the overall average score in terms of (1) the subscale elevations (How does the average score compare to what it could have been at the upper and lower ends?), (2) the variability (Where was there great or very little dispersion across the scores on different subscales?), and (3) the significance of the shape of the profile (Which subscales had the lowest and highest average scores?). Discuss the results and how the small management sample with its "selection effect" might be different from a larger, more representative sample of the staff, and explicitly record the group's expectations for this variance. What would the managers anticipate in terms of different average scores across organizational divisions/units (e.g., security, program, probation/parole officers [POs] in intake, POs in supervision, support staff, juvenile, adult, etc.) or across levels (senior

management, mid-management, line staff, support staff)? Finally, hold a discussion using a SWOT (strengths, weaknesses, opportunities, and threats) process to discuss the SWOT for initiating a routine survey for organizational climate using the tool that the management group has been reviewing (see the SWOT intervention in chapter 9, which covers the Strategic Planning domain).

3. Based on the above discussions and review, determine what recommendations need to be made for the final selection of a survey tool and identify methods for obtaining a representative sample. (This recommendation could be as simple as inviting all staff members with identification numbers ending in an odd number at the beginning of each calendar year and inviting all staff members with even numbers at midyear). Next, determine the quickest and most economical method for the staff to complete the survey, and ensure anonymity in the process for those who take it, thereby encouraging high response rates. Consider contracting with a third party to administer the survey. Numerous options exist, including (1) using surveys administered from websites, (2) using hard copy surveys submitted without names to a central ballot box supervised by the clerical staff, (3) setting aside time for the staff to complete the survey during training, and (4) providing incentives (dismissal from training or work upon completion of the survey). Write a plan that includes all of the above

## Exhibit 8–1: Likert's Organizational Climate Survey, National Corrections Results




| | Leadership | Motivation | Communication | Decisions | Goals | Control | Overall Average |
|---|---|---|---|---|---|---|---|
| Average (n = 1,461) | 11.4 | 11.4 | 7.9 | 9.3 | 10.3 | 11.0 | 10.1 |
| Behavioral Health (n = 96) | 12.6 | 12.6 | 8.8 | 10.7 | 11.5 | 12.3 | 11.3 |
| Community Corrections (n = 293) | 12.1 | 12.1 | 8.6 | 10.1 | 11.3 | 11.8 | 10.9 |
| Institution (n = 53) | 9.8 | 9.8 | 7.1 | 8.5 | 9.4 | 10.4 | 8.8 |
| Parole (n = 143) | 10.6 | 10.6 | 7.2 | 8.0 | 9.0 | 9.9 | 9.3 |
| Probation (n = 876) | 12.0 | 12.0 | 7.9 | 9.0 | 10.2 | 10.7 | 10.2 |

contingencies along with (1) information on what units or divisions need to be explicitly identified for subsequent reporting and interpreting of results and how will they be identified while maintaining anonymity, (2) information on what people or groups of people need to either sign off on or vet this initiative, (3) specifications for the kind of communication and outreach arrangements that will work best for the various stakeholders, and (4) explicit details for who, what, where, when, and how the survey results will be reported.

4. Develop and test your survey plan with all senior managers and relevant stakeholder groups. Revise the plan so that any identified gaps and problems are addressed to everyone's satisfaction as much as possible. Communicate your plan to stakeholders through multiple channels.

5. Execute the survey according to the plan. Communicate management's appreciation for participation. Aggregate the results and graph them for interpretation by using lines to represent different units or divisions (see exhibit 8–1 that uses Likert's Organizational Climate Survey with national corrections norms). Process and interpret the results with managers in a meeting and with selected focus groups before producing and distributing written report summaries.

After conducting the Organizational Climate Assessment, managers should have increased knowledge and understanding of how the staff members they supervise perceive and feel about certain basic aspects of the organization. Different sectors, divisions, and units may have somewhat different or very different organizational profiles. Managers can be empowered if they have clear awareness about where the staff members' attitudes have been in the past, where they are now, and what specific organizational areas have the most room for improvement.

Using the results of the most recent organizational climate assessment, record the subscale percentile scores for each of the staff units (e.g., sectors, divisions, office sites, etc.) that were used. If some of the subscales in the particular tool you used do not conform to the subscales below, make the necessary adjustments using the "Other" (blank prompt) space, which is intended for open text.

Leadership _____

Motivation/rewards _____

Communication _____

Decisions _____

Goals _____

Standards/control systems _____

Structure _____

Support/warmth _____

Conflict _____

Identity _____

Other (fill in) _____

Other (fill in) _____

Other (fill in) _____

TEST: What validity and reliability issues do managers or other staff members detect regarding the above data? What concerns about response rates, selection effects, and subsequent interpretation problems exist? What does management intend to do about their measurement concerns? How will the current data be used to improve the organizational climate and operation?

## Tracking Organizational Climate Elements

Monitoring organization climate is the first step in a larger process for engaging and guiding the focus of your organization's workforce. Tracking identified organizational goals, actionable items, and follow-through helps the process maintain traction and relevance to day-to-day practice.

### Intervention: Tracking Organizational Climate

1. Assemble a small group of staff members who represent a cross-section of the organization, and review the results of your latest organizational climate survey. Discuss what your climate profile's elevation, variability, and shape might imply regarding your organization's performance. Identify and focus on the discrepancy of most concern, and diagram the possible contributing causes for discrepancies or low scores on various subscales. List all the causes across different domains of interest and concern, and identify shared common causes or possible underlying factors that are driving similar or different causes. Invite the group participants to strive for a new discussion—more than insights and solutions—and reinforce openness and non-defensive directness. At the end of the discussion, review the results and determine the consensus for moving into formulating plans.

2. Formulate action plans that experiment with altering and improving the organizational climate. Working with the recently convened small group, or a subset of that group, prioritize areas for concrete plans and action items that will improve the organizational climate. Once priorities are established, choose a planning process tool (see chapter 5, "Operations Focus," for process management tools) that allows your group to draft a successful set of written action plans. Vet the resulting written draft plans within the larger management team.

3. Once senior management has approved the organizational climate plan, finalize the delegation of roles and responsibilities and the timelines in the plan. Develop a brief communication plan for internal marketing (see *APEX Resources Directory Volume 2* for a sample communications plan) that includes an outline for subsequent monitoring and reporting and accompanies the plan for purposes of internal marketing. Execute the organizational climate plan with regular progress checks.

4. Empanel a group to monitor the execution of the plan for organizational climate change. Choose methods (e.g., goal attainment scaling) to evaluate and determine successful objective achievement and related reinforcement. Empower the group to exercise all the necessary implementation drivers (Fixsen et al. 2005; Robbins and Collins 2011) that will ensure success and to arrange for routine debriefing on the plan's progress with the larger management team.

5. At regular intervals (e.g., six months), review both the progress of the organizational climate change plan and its effect on the latest iterative completion of your organizational climate monitoring tool/protocol. Record the "gain" scores (difference between the two tests). Discuss and speculate on the progression/regression observed to generate hypotheses about helpful future interventions. Resume the planning process cycle at step one.

The Organizational Climate Change Tracking Chart (exhibit 8–2) is the take-away for this intervention.

## Exhibit 8–2: Organizational Climate Change Tracking Chart

| Climate Domain Priority | Action Items | Action Items Achieved | Climate Scale % Change (+/−) | Factors Attributed to Climate Change |
|---|---|---|---|---|
| Leadership (1) | 1. Complete a 360-degree evaluation<br>2. Select and hire an executive coach | 82%<br>100% | 12% | Chief executive officer less defensive |
| Motivation/rewards (4) | | | 2% | Doesn't seem to be much fluctuation or difference |
| Communication (3) | | | −3% | |
| Decisions (2) | | | 3% | |
| Goals (5) | | | 5% | |
| Standards/control systems (8) | | | | |
| Structure (7) | | | | |
| Support/warmth (9) | | | | |
| Conflict (6) | | | | |
| Identity (10) | | | | |
| Other ( ) | | | | |
| Other ( ) | | | | |

There are many reasons for the sustained interest that business, research, and academia have shown in organizational climate, including (1) the relationships between climate measures and performance that are routinely found, (2) the interrelationship between climate and culture, and (3) the map or lens that climate profiles provide for further empowering the staff. Given all those pluses, one interesting question arises: until recently, why have so many human service organizations seemingly overlooked using the knowledge and tools associated with organization climate?

### Assessing Workforce Engagement

The greatest asset any organization has is the staff, yet this asset is too often overlooked in any real strategic sense. Recently, business and human service leaders have been learning to use modern, integrated (and evidence-based)

human resources systems to improve absenteeism, lackluster performance, organizational dedication, and job engagement without significantly altering the composition of their workforce.

To leverage an organization's workforce strategically, the organization needs an empirical assessment to give it a baseline from which to plan, exercise strategies, and evaluate. Employees, including interns and volunteers, fall along a continuum between burnout and highly engaged. At the dysfunctional end of this continuum, staff members show evidence of burnout on three indicators: (1) emotional exhaustion, (2) indifference to clients, and (3) low levels or unfocused levels of performance. On the positive end of the continuum, staff members have good energy, are dedicated to the organization and its clients, and are performing at higher than average levels. Knowing where the bell curve for an organization's staff members fits on this continuum, as well as where it has been and is likely to go, can be relevant to achieving excellent performance on organizational goals and objectives.

As well as plotting and understanding where various segments of the staff are on the continuum between burnout and highly engaged, an organization's leaders will find it helpful to know why the respective staff groups are pegged at their different levels on this bidirectional dimension. Common drivers have been identified in both corrections and business research that appear to influence how employees experience their jobs along this continuum. Some of the most pervasive factors are stress levels, challenging client behaviors, supervision quality, staff job control, and staff personality factors. Additionally, vicarious trauma, hearing client stories every day, and dealing with their aftermath are key factors in burnout. Each factor appears to contribute momentum, up or down, toward staff burnout or engagement.

In addition to staff burnout and engagement, a third slightly different human resources construct that has emerged is staff wellness. Positive organizational performance (Bakker and Schaufeli 2008; Muse et al. 2008) and positive organizational scholarship (Cameron, Dutton, and Quinn 2003; Walter and Bruch 2008) researchers have begun to link organizational performance to staff well-being (Cameron, Bright, and Caza 2004; Giardini and Frese 2008) in robust ways with progressive frequency in recent years. Similar to the research on burnout and engagement, this research has also been uncovering some of the unique underlying factors associated with staff well-being at the individual and organizational levels.

Mapping and developing accurate information regarding the evident level and causes of staff burnout, engagement, and well-being can help management address priorities and effect strategies for developing greater human capital within the organization.

### Key Questions

- How do managers in the organization formally or informally assess staff levels of burnout, job satisfaction, engagement, and well-being?
- How does the organization define "staff engagement"?
- Where does staff engagement figure within the organization's priorities and are all managers clear about that relative priority?
- What recent organizational developments might have affected the staff's job satisfaction, engagement, or well-being?

- Other than individuals in the human resources division, who are the natural champions for staff wellness and engagement in the organization?
- What are some useful alternative ways to segment and group staff members in the organization?
- What roles do middle managers play in staff burnout, job satisfaction, engagement, and well-being in the organization?

### Multiple Measures Over Time

Tracking indices for staff job satisfaction, engagement, and well-being can be relatively straightforward. The key is sustained tracking so that the organization can learn from more than one set of data points and look for trends in the measures. One method for sustainable tracking of this kind of information is to insert and maintain data reports on the trends in an annual report or as pre- and postmeasures that are included in the organization's strategic plans. An added recommendation for installing this management practice is to consider surveying half (e.g., odd identification numbers, then even identification numbers) the staff every six months. Regardless of how the data is collected, maintained, and reported, the primary emphasis should be on management's ongoing concern and commitment to monitoring and improving staff engagement and well-being. Two employee assessment exercises, *Assessing Staff Burnout* and *Assessing Staff Engagement,* follow. Once assessments in those areas are completed, interventions can be considered and applied and tested against reassessments.

## Assessing Staff Burnout

Assessing the staff's experience with burnout is part of a larger process for engaging and guiding the workforce toward achieving performance excellence. Burnout is one of three interdependent staff factors (engagement and well-being are the other two) that interfere with an organization's efforts to transform itself into a higher-performing correctional agency.

Staff burnout manifests as (1) emotional exhaustion, (2) low and unfocused performance, (3) scattered and confused manner, and (4) indifference to clients and job. Staff burnout is considered to be at the opposite end of the continuum from staff engagement, satisfaction, or well-being. Engagement manifests as (1) energetic affect, (2) focused and productive performance, (3) "firing with all cylinders," and (4) attentiveness. Extensive research exists on burnout in correctional agencies. Common causes for burnout include (1) shift work, (2) alienation and chaotic communication within correctional organizations, (3) role problems (e.g., role confusion, role conflict, role bombardment, overly narrow roles, etc.), (4) challenging clients, (5) unsatisfactory physical plant/workplace conditions, and (6) conflicts (including indifference) with supervisors. In addition, there are known personality features that render employees more (neuroticism) or less (extroversion, agreeableness) susceptible to burnout.

Once a baseline for burnout prevalence is determined, an organization can develop and test the efficacy of various interventions for addressing it. For example, improved hiring practices, better supervisor training, shift rotations, enhanced workplace conditions, and providing role clarification training are examples of interventions that show success for addressing staff burnout.

### Intervention: Assessing Staff Burnout

1. Work with your human resources staff and/or senior managers to develop a strategy for periodically surveying the staff. There should be enough time between each survey for changes to occur but not so long that the previous survey results are too far back in time to recollect organizational changes. A 6-month interval is standard.

2. A variety of tools exist for assessing burnout. Some are validated; others are not. Some are free and in the public domain, and some are proprietary. Links for several burnout assessments are available at the end of this chapter.

3. The survey strategy should identify the sample selection criteria such as which staff to include in the survey and how participant selection will result in a representative sample for each unit or division to be surveyed.

4. Assuring the staff of anonymity is an important part of this process. Provide anonymity at the individual level, but identify respondents at the group or unit level (e.g., intake unit, clinical staff, security, etc.) to facilitate subsequent interpretation of the results.

5. Depending on labor agreements, negotiated agreements with union representatives may be needed for the survey. This negotiation may also create an opportunity to alert staff members to management's renewed commitment to the staff's well-being and empowerment. In addition, it can establish that surveying performance on those issues and sharing the results will become a regular part of the organizational process.

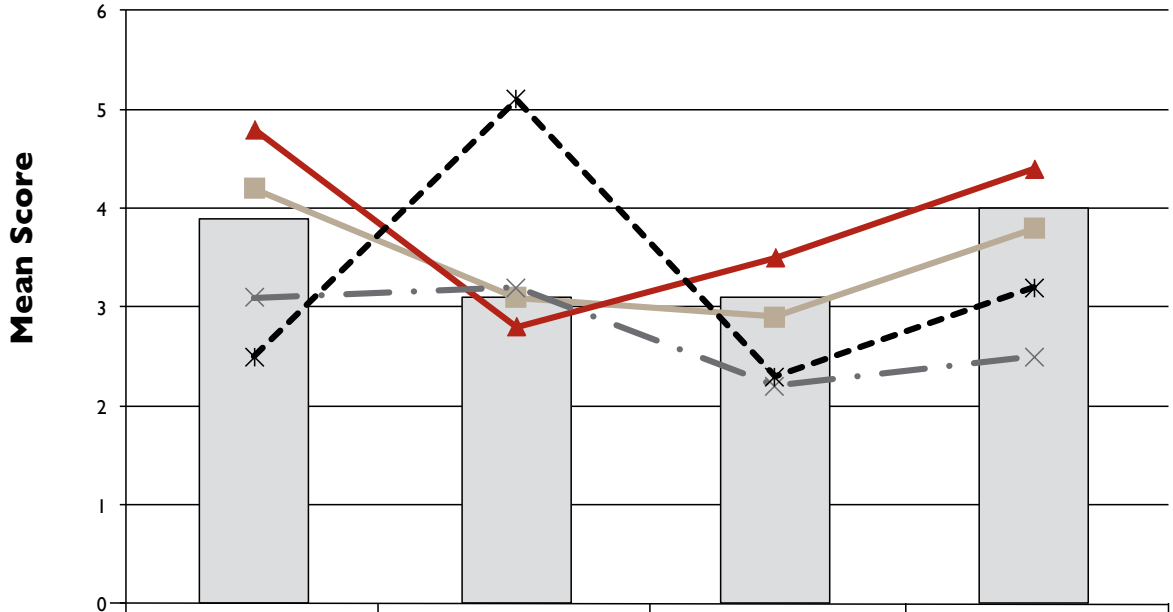
6. The survey strategy should also specify how the organization is going to initiate and collect the survey data. Using emails to initiate online surveys proves to be the most efficient and effective method, but surveys can also be done through first-line supervisors or some other convenient, standing communication process (e.g., the first part of a staff meeting). It is important that the means chosen to initiate the survey data collection does not jeopardize the anonymity of individual staff members.

7. Once the survey data collection has been initiated, allow sufficient time, depending on the collection method, for staff members to complete the survey before collecting the data. If the surveys are completed online, data entry may not be necessary. However the data are compiled, the analysis should be simple and straightforward. List and portray the survey domains (e.g., emotional exhaustion, personal accomplishment, depersonalization, involvement, etc.) on the horizontal axis, and place the mean score elevations on the vertical axis. Have columns display the grand organizational average, and have lines depict the unit or division averages (see exhibit 8–3 below).

8. Senior managers should review the results of this assessment and then share the results with all levels of the organization to elicit input and ideas for improvement. Then a brief summary of this input can be formulated for more specific management levels and/or human resources planning. Those planning efforts will often result in target goals and action plans.

The take-away for the assessing staff burnout intervention includes (1) greater management and organizational sensitivity to staff burnout, (2) greater discernment regarding what segments or groups of the staff are most affected, and, in particular, (3) new knowledge regarding what some of the causes of burnout are for different staff

## Exhibit 8–3: Generic Burnout Assessment Results Example




| | Emotional Exhaustion | Personal Accomplishment | Depersonalization | Involvement |
|---|---|---|---|---|
| Acme Co. Probability Average | 3.9 | 3.1 | 3.1 | 4.0 |
| Probation Supervision-Intensive Unit | 4.2 | 3.1 | 2.9 | 3.8 |
| Supervision Unit | 4.8 | 2.8 | 3.5 | 4.4 |
| Support Unit | 3.1 | 3.2 | 2.2 | 2.5 |
| Management | 2.5 | 5.1 | 2.3 | 3.2 |

segments. In addition, upon reassessment with your chosen tool, the resulting gain scores will provide more detailed information about the direction and the magnitude of changes in measured staff burnout. Also, the scores may uncover activities and attention that are benefiting and addressing staff needs.

### Charting the Organization's Burnout Levels

Using the results of the most recent staff burnout assessment, record the subscale and total score elevations for each staff unit (e.g., sectors, divisions, office sites, functional units) that were used. If some subscales in the particular tool you used do not conform to the subscales below, make the necessary adjustments using the "Other" (blank prompt) space, which is intended for open text.

TEST: What validity and reliability issues do managers or other staff members detect after reviewing the data? What concerns about response rates, selection effects, and subsequent interpretations exist? What will management do about its measurement concerns? How will the current data be used to improve the organization's issues with staff burnout and disengagement?

| Assessment Domains and Total (Assessment #__) | Staff Group #1 (however designated) | Staff Group #2 | Staff Group #3 | Staff Group #4 | Organization Overall |
|---|---|---|---|---|---|
| *Total Score:* | | | | | |
| Emotional Exhaustion | | | | | |
| Personal Accomplishment | | | | | |
| Depersonalization | | | | | |
| Involvement | | | | | |
| Other (fill in) | | | | | |
| Other (fill in) | | | | | |
| Other (fill in) | | | | | |
| Other (fill in) | | | | | |

## Assessing Staff Engagement

Staff engagement can be related to many different outcomes such as productivity, profit, safety, job satisfaction, job turnover, and staff well-being. Only recently have scholars turned their attention to defining staff, or employee, engagement. A careful review (Macey and Schneider 2008) of related concepts and applications of the term in research has determined that staff engagement is not only distinct from staff satisfaction and staff well-being, but the concept of staff engagement is also composed of three separate constructs: (1) trait engagement, (2) state engagement, and (3) behavioral engagement. Those three facets of staff engagement are sequentially ordered, and each is uniquely influenced by other factors related to staff engagement (e.g., trust, transformational leadership, and job attributes). Operationally defining those concepts makes it possible to develop a deeper and clearer understanding of workforce engagement.

**Trait engagement** has to do with the personality disposition and temperament a person brings to work. People who tend to have positive views of life and of work appear more apt to subsequently become engaged and absorbed in their work. Other personal traits that researchers have determined relate to engagement are (1) having a proactive personality that thinks ahead, (2) tending to experience far more positive emotions than negative, and (3) being conscientious. Possession of those traits correlates moderately with state engagement but not at all with behavioral engagement.

**State engagement** takes place when staff members are involved in feelings of energy and absorption about their work and workplace. This is a mental state, and, as mentioned already, it correlates with subsequent engaged behavior. People who experience this state tend to have positive feelings about their work and job, become more involved in their work, and make greater internal commitments to their work. They report feeling more empowered. State engagement precedes the variable behavioral engagement and thus warrants the most management attention of the three different facets of staff engagement. State engagement is affected by both attributes of the workplace (e.g., variety of roles, levels of challenge for various tasks, and job autonomy and/or job control) and attributes of transformational leadership that forge greater trust in the organizational culture.

**Behavioral engagement** happens when the staff voluntarily takes on extra roles, participates consistently in organizational citizen behavior (being thoughtful of others, going the extra mile for the team, etc.), and routinely

makes adaptive efforts for the sake of the organization that were not formally requested. Behavioral engagement also involves more than average self-starting actions, persistence in tasks, and expansion of roles.

Although many free, proprietary, online, and hard copy tools are available for assessing staff engagement, the existing research calls for much greater conceptual clarity in the design of future tools. The Gallup Workplace Audit mentioned under step two in the following intervention has been used by thousands of companies and human service organizations around the world. Unfortunately, the 12 items that make up the bulk of the Gallup Workplace Audit have little to do with the concept of staff engagement, as defined by the three facets above. The 12 items are related mostly to relational conditions in the workplace that are associated with higher levels of workforce performance but not necessarily with staff engagement. Both relational conditions and staff engagement are no doubt important, as is coming to a clearer understanding of where concepts like job satisfaction, staff well-being, staff burnout, positive organizational cultures, and staff engagement intersect (or do not intersect).

The following exercise will guide you through some simple steps to initiate a thoughtful process to monitor staff engagement.

### Intervention: Assessing Staff Engagement

1. Employing the human resources staff and/or senior managers, determine a strategy and schedule for periodically surveying staff. Consider a frequency of approximately every six months, which allows enough time for changes to occur but not so long that the previous survey results are too far back in time to recollect organizational changes.

2. Use a validated tool for assessing staff engagement. One popular tool is the Gallup Workplace Audit (Q12), a 12-item proprietary tool that cannot be used without permission and is available either online or in hard copy. For psychometrics (e.g., construct and content validity), an excellent tool is the Utrecht Work Engagement Scale (Macey and Schneider 2008; Schaufeli, Bakker, and Salanova 2006). Other engagement assessments are available from the assessments table at the end of this chapter.

3. The survey process should define a sample selection strategy to determine which staff members to include in the survey and how participation will result in a representative sample for each unit or division to be surveyed.

4. Part of this process will entail creating mechanisms that ensure that individual results are kept anonymous. Anonymity at the individual level is important, but identify respondents at the group or unit level (e.g., intake unit, clinical staff, security staff, etc.) to facilitate subsequent useful interpretation of the results. (Note: Particularly in smaller agencies, anonymity may be challenging to achieve because one can often figure out who filled out which survey. The level of trust in the agency may affect the individual's honesty in completing the survey. More on developing trust can be found in chapter 5, "Team Development Guide," in the *APEX Resources Directory Volume 2*.)

5. Depending on labor agreements, negotiated agreements with union representatives may be needed for the survey. There should also be a clear method for alerting staff members to management's renewed commitment to the staff's well-being and empowerment. In addition, make the staff aware that surveying performance on those issues will become a regular part of the organizational process.

6. The survey strategy should also specify how the organization is going to initiate and collect the survey data. Using emails to initiate online surveys is proving to be the most efficient and effective way, but initiating

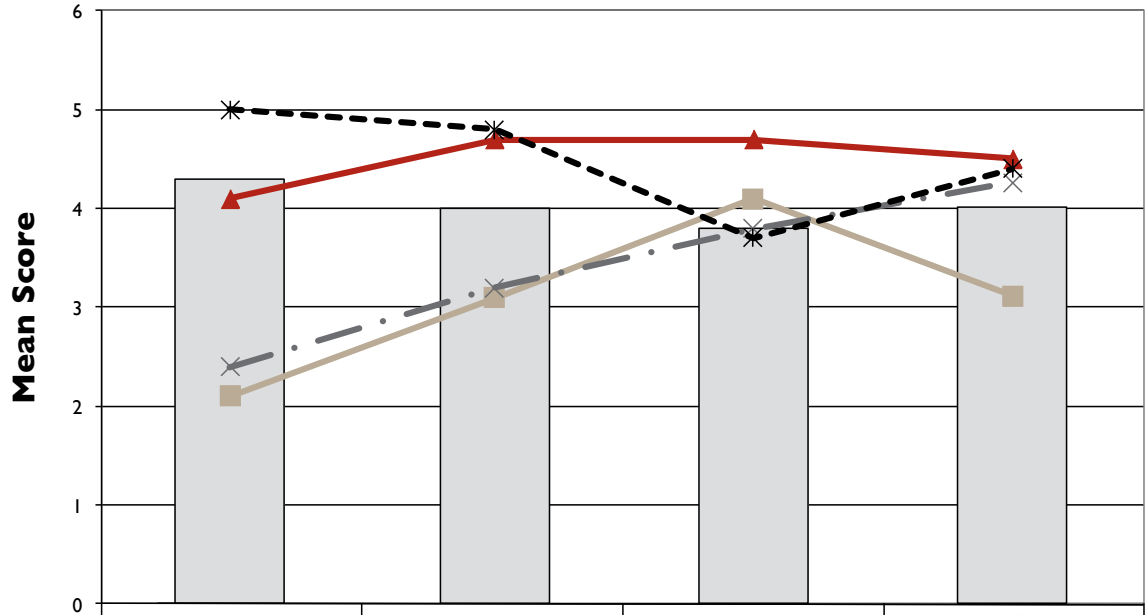
surveys can also be done through first-line supervisors or some other convenient mechanism (e.g., during the first part of a staff meeting). It is important that the means chosen to initiate the survey data collection does not jeopardize the anonymity of individual staff members.

7. Once the survey data collection process has been initiated, allow sufficient time, depending on the collection method, for staff members to complete the survey before collecting the data. If the surveys are completed online, data entry may not be necessary. However the data are compiled, the analysis should be simple and straightforward. List and portray the survey domains (e.g., vigor, dedication, absorption, or whatever is chosen) on the horizontal axis, and place the mean score elevations on the vertical axis. Have columns display the grand organizational average and have lines depict the unit or division averages (see exhibit 8–4 below).

8. Senior managers should review the results of this assessment and then share the results with all possible levels of the organization to best elicit input and ideas for improvement. A brief summary of this input can then be formulated for more specific management and/or human resources planning. Those planning efforts will often result in target goals and action plans.

Completing the intervention for assessing staff engagement allows for (1) greater management and organizational sensitivity to staff engagement; (2) greater discernment regarding what segments or staff groups are most

## Exhibit 8–4: Generic Engagement Assessment Results Example




| | Vigor | Dedication | Absorption | Overall Average |
|---|---|---|---|---|
| Acme Co. Probability Average | 4.3 | 4.0 | 3.8 | 4.0 |
| Probation Supervision-Intensive Unit | 2.1 | 3.1 | 4.1 | 3.1 |
| Supervision Unit | 4.1 | 4.7 | 4.7 | 4.5 |
| Support Unit | 2.4 | 3.2 | 3.8 | 4.3 |
| Management | 5.0 | 4.8 | 3.7 | 4.5 |

engaged; and, in particular, (3) new knowledge of what some of the prevailing barriers to improving staff engagement are for respective staff segments. In addition, upon reassessment with the chosen tool, resulting gain scores will provide more detailed information about the direction and magnitude of changes for the domains, items, and across staff segments and groups.

Using the results of the most recent staff engagement assessment, record the subscale and total score elevations for each staff unit (e.g., sectors, divisions, office sites, functional units) that was included. If some subscales in the particular tool used do not conform to the subscales below, make the necessary adjustments using the "Other" (blank prompt) space, which is intended for open text.

| Assessment Domains and Total (Assessment #__) | Staff Group #1 (However designated) | Staff Group #2 | Staff Group #3 | Staff Group #4 | Organization Overall |
|---|---|---|---|---|---|
| *Total Score:* | | | | | |
| Vigor | | | | | |
| Dedication | | | | | |
| Absorption | | | | | |
| *Total Score:* | | | | | |
| Other (fill in) | | | | | |
| Other (fill in) | | | | | |
| Other (fill in) | | | | | |
| Other (fill in) | | | | | |

TEST: What validity and reliability issues do managers or other staff members detect after reviewing the data? What concerns about response rates, selection effects, and subsequent interpretation problems exist? What does management intend to do about their measurement concerns? How will the current data be used to improve the organization's issues with staff engagement and, in particular, state engagement?

### Intervention: Assessing Job Satisfaction and Productivity

Years of research around the world in the social sciences have identified six basic human requirements that must be present for people to be productive and satisfied with their work. These six human requirements are a foundation for designing an effective organization (Rehm 1999). People experience these needs to different degrees at different times. A good job is one that satisfies each person's need to be productive. The six criteria are as follows:

- Elbow room for decisionmaking.

- People need to feel that they are their own bosses and that, except in exceptional circumstances, they have room to make decisions that they can call their own. However, they do not need so much elbow room that they do not know what to do.

- Opportunity to learn on the job and to go on learning.
  - Learning is a basic human need and activity. Even in leisurely pursuits, people strive to constantly improve: a weekend golfer, for instance, tries to shave strokes off of his/her game. Learning is possible only when people are able to (1) set goals that are reasonable challenges for them and (2) get feedback of results in time for them to correct their behavior.

- Variety.
  - People need to be able to vary their work to avoid the extremes of boredom and fatigue. They need to set up a satisfying rhythm of work that provides enough variety and a reasonable challenge.

- Mutual support and respect.
  - People need to be able to get, and give, help and respect from their coworkers. They need to avoid conditions where people are pitted against each other so that "one person's gain is another's loss."

- Meaningfulness.
  - People need to be able to relate what they do and what they produce to their life. Meaningfulness includes both the worth and the quality of a product and includes having knowledge of the whole product. Many jobs lack meaning because workers see only a small part of the final product and the project's meaning is denied them. Meaningfulness has two dimensions: (1) being socially useful and (2) seeing the whole product. Taken together, those dimensions make it possible for a person to see a real connection between his/her daily work and the world.

- A desirable future.
  - Put simply, people need jobs that lead to a desirable future for themselves, not to a dead end. This desirable future is not necessarily a promotion, but a career path that will continue to allow personal growth and increase in skills.

Teams that want to use the six criteria as an assessment can follow these steps:

1. Construct a matrix on a flip chart, similar to the example below. Put the names of the team members along the top, and put the six criteria down the side. Starting with the first item—elbow room—discuss how much elbow room each team member is currently experiencing in the team. Put a score down for each person. Discuss and score the rest of the six items, using the following scoring instructions:

   a. The first three criteria are scored from −5 (too little) to +5 (too much), with 0 being optimal (just right), as there is an optimal amount for each individual.

   b. Because the second three criteria are things that one can never have too much of, they are scored from 0 (none) to 10 (lots).

2. Once the matrix is filled in, there will be a range of scores across the section. Team members discuss their own scores as they see them. They share their perceptions of other's scores, discussing and negotiating differences in perceptions, changing their scores if necessary, and arriving collectively at a picture of how their team meets each individual's needs. Understanding how co-workers feel about each of these criteria can increase team effectiveness, trust, and productivity.

3. Review all the scores on the matrix and develop a plan for improving the satisfaction levels of team members where necessary. This is a good learning activity to do every 36 months. It acts as a reality check to make sure everyone on the team has worthwhile work, is not feeling stuck in a rut, and is not feeling that they are undervalued or underused.

| Score | Criteria | Theresa | Tom | Elizabeth | Nancy | Bob |
|---|---|---|---|---|---|---|
| −5 to +5<br>0 = just right | Elbow room | +2 | −2 | 0 | +3 | −2 |
| −5 to +5<br>0 = just right | Learning:<br>Set goals<br>Get feedback | <br>+1<br>−2 | <br>−2<br>−3 | <br>+1<br>0 | <br>−2<br>−2 | <br>−1<br>+3 |
| −5 to +5<br>0 = just right | Variety | 0 | +3 | −1 | 0 | −2 |
| 0 to 10 | Mutual support and respect | 8 | 7 | 9 | 8 | 8 |
| 0 to 10 | Meaningfulness:<br>Socially useful and<br>see whole product | <br>9<br>9 | <br>8<br>6 | <br>9<br>8 | <br>9<br>10 | <br>8<br>7 |
| 0 to 10 | Desirable future | 9 | 7 | 10 | 8 | 6 |

The discussion might go something like this:

> Tom and Bob feel they have too little elbow room to make decisions about their work—the supervisor makes all the decisions. Theresa and Nancy feel they have too much elbow room—they lack guidance on what decisions they can make and what decisions are appropriately made by others. Elizabeth is content with her decisionmaking authority.

No one thinks that he/she has the right amount of goal-setting capacity. Either someone else is setting the goals or the goals are unreasonable. Or, the goals set are so easy that the team members can meet the goals "with one hand tied behind their back"—not challenging enough to be interesting or encourage learning. The amount of feedback that team members receive varies from "quite a bit too much" to "quite a bit too little," except for one member who feels it is just right for her.

> The variety levels vary from "way too much" (because Tom likes to be able to focus on one thing, finish it, and then move on to the next task) to "not enough" (Bob would like more variety to avoid monotony). Nancy has just the right amount of variety to suit her needs.

All the team members feel that they have a good amount of mutual support and respect, that their work is meaningful, and that they have desirable futures in this organization.

After a lengthy discussion, the team members decide to have a conversation with their supervisor. They want to clarify what decisions are appropriate for them to make about their work and to better understand why individuals above them in the organizational chart make certain decisions. The team members commit to give each other timely and strengths-based feedback, and they request the same from their supervisor. They plan to look at reallocating some of the tasks to help those who want more or less variety in their work day. They also agree to review the six criteria in three months to see if the scores have improved. They will also keep an eye on their team performance measures to ensure that the quality and quantity of their work stay high.

### Intervention: Stages of Team Development

Understanding team development stages, and the roles and interactions that affect the team's process, is critical to the team's success. Many similar models describe the process of team development and its progression. The widely accepted Tuckman Model (Tuckman and Jensen 1977) suggests that the process occurs in five predictable and sequential stages. (More about this model can be found in chapter 5, "Team Development Guide," of the *APEX: Resources Directory Volume 2*). The five stages are as follows:

**Stage 1: Forming.**

- Roles are not clear.
- Dependency is on the leader.
- Members may be participating cautiously.

**Stage 2: Storming.**

- Conflict arises.
- This stage is the most crucial stage to work through.
- This stage is the most uncomfortable to experience.
- Decisionmaking is challenging.
- Members need to keep an "eye on the prize."

**Stage 3: Norming.**

- Agreements happen.
- Members appreciate their differences.
- Respect and mutual support abound.
- Problem-solving is engaged in by all.
- Commitment is strong.

**Stage 4: Performing.**

- Members work together to accomplish goals and objectives.
- Members define and work on tasks.
- Relationships work well.
- Communication is open and honest.

**Stage 5: Adjourning.**

- Tasks, objectives, and goals are complete.
- Members celebrate success.
- Members may feel loss as the team adjourns.
- Members may need help so that they leave with a sense of pride in their accomplishment.

Many a team/group has derailed a bit, or totally, when its members hit the storming stage. Teams can develop strategies to deal with storming early in their development. Some of these strategies may include the following:

- Allow for differences to occur.
- Allow for a way out if nothing else is working.
- Establish ground rules.
- Refocus on goals.
- Ask team members to put themselves in others' shoes.
- Acknowledge small victories.

### Intervention: Team Dysfunctions

Patrick Lencioni has written extensively on the five team dysfunctions (Lencioni 2002, 2005). These dysfunctions are in a pyramid, much like Abraham Maslow's hierarchy of needs. (More about this can be found in chapter 5, "Team Development Guide," in *APEX: Resources Directory Volume 2*.) Teams can overcome the dysfunctions by learning and practicing behaviors to deal with each one, but Lencioni points out that a team cannot operate at the next level without mastering the level below it.

1. **Absence of trust.**

   Outstanding teams have members who trust each other at a deep, fundamental level.

   This is not *predictive* trust, in which someone's behavior is known so well that others can predict that person's reaction when certain buttons get pushed. In this case, trust is an ability to share one's vulnerability, to say one does not know, and to ask for help and recognize weakness. The best teams are those that can accept members as adults, with no baggage, no subterfuge, and no secret agendas.

2. **Fear of conflict.**

   Only a team that has mastered mutual trust can be free to argue about important issues in a constructive, productive way. People can be passionate about their ideas without damaging the self-esteem of others or alienating relationships. A healthy climate for conflict requires openness to objection and debate and is neither openly hostile nor artificially harmonious. Fear of conflict can cause people to agree in the team setting and then sabotage the agreement when the meeting is over. When conflicts can be resolved effectively, teams are free to address commitment issues (see the next dysfunction).

3. **Lack of commitment.**

   Teams that can mix it up and debate an issue can reach a consensus even when everyone may not be pleased from an individual perspective. A well-functioning team will always be committed to the team effort and will do what is best for the greater good of the organization team, even at the expense of sacrificing a short-term win for a smaller part of an organization, a unit, or a person. This commitment reflects a personal maturity level that takes considerable work. After all of the ideas are put on the table and everyone understands where the minority views lie, all members commit to do what is best for the team.

4. **Avoidance of accountability.**

   Teams that practice effective accountability do not rely on the team leader as the primary source of accountability. Team success or failure is on everyone's shoulders. These teams address the lapses of their peers and take responsibility for each member's success.

5. **Inattention to results.**

   Teams that master trust, conflict, commitment, and accountability will normally have what it takes to consistently put their individual interests aside or give them up for the good of the larger team. To help them commit to the team's interests, the organization should discuss what success looks like, how teams will know when they are performing well, why they need to commit, and how the organization will measure success so that teams know exactly when they are off track. This may entail multiple discussions about behaviors that are acceptable and behaviors that will not be tolerated.

Teams that spend time brainstorming and choosing strategies to deal with those dysfunctions can avoid some of the pitfalls found in them. For instance, some teams have identified the following strategies to deal with absence of trust:

- All opinions matter.
- Leave titles at the door.
- Acknowledge the need to develop trust—"We are all new to this, and we have to build trust. What will help us build trust?"
- Work to build relationships.
- Focus on commonalities.

- Clearly identify the "why" and "what" of the issues.
- Fall back on coaching and mediation when all else fails.
- Record minutes and assignments for clarification.

## Additional Resources

The additional resources in this section include case studies and assessments specific to the workforce domain. Because the workforce domain is interconnected with all the other domains, consult other chapters in this book or the other books in the APEX Guidebook series for more resources.

### Case Studies

#### Motivational Interviewing

Leadership of a county probation department has decided to pursue implementation of evidence-based practices, thereby specifically targeting motivational interviewing as a key workforce skill and component for managing and influencing change in offenders. In alignment with the department's strategic plan, building the competencies of the workforce is a primary focus to support the organizational mission of promoting public safety by influencing and motivating offenders to be more responsible and law abiding in a non-confrontational supervision setting. Before initiating the development and training of the staff in this new skill, the department head establishes a committee of probation staff members to analyze the data related to evidence-based practices and to compare the data with the overall rate of offender failure as well as offender success under supervision. Committee staff members were requested to review the following:

- NIC information on evidence-based practices and motivational interviewing.
- Probation officer general workload.
- Work processes and work climate of the staff (workforce environment).
- Current skills/competency of the staff (workforce capability).
- Issues related to offender violations and success (work systems).
- Motivation of the staff to engage in developing the skill sets and the deterrents of the staff's willingness to engage in this skill development process (workforce engagement).
- Projected effects on offenders of engaging this process.
- Staff training requirements.
- Methods for communicating to staff the rationale and benefits for implementing motivational interviewing.
- Ways to allow staff feedback on the process before implementing the training.

- Cost-benefit analysis of the training
- Methods for establishing staff performance accountability and recognition measures.
- Strategies to empower employees to use the skills.
- Ongoing monitoring of the implementation process.
- Methods for establishing performance measures that analyze outcomes.

After a thorough committee review and report, the department leadership established an action plan to implement this new skill set and kept the staff updated on the plan and its completion milestones. After two years, all probation officers had been trained in motivational interviewing, and the vast majority spoke highly of the results achieved with this skill. Data indicate that offenders are more responsive to the officers and are more willing to accept ownership of their personal behaviors and the process of change. As a result, technical violations have decreased by 20 percent, and probation officers state that they are now better equipped to communicate and respond to the issues offenders face in sustaining sobriety and law-abiding behavior. The staff members are empowered in their jobs and embrace other skill development related to evidence-based practices.

### Enhancing Workforce Engagement through Training

Recently, a state correctional training academy was audited on more than 400 standards. The independent auditors gave the facility 100 percent on its compliance with all standards (for the second time). In addition, auditors noted that the facility was impeccably clean and orderly and that staff members and trainees were observed as committed, dedicated, motivated, and highly satisfied in their roles within the organization. When staff members were asked about their jobs, they enthusiastically expressed their commitment to the agency mission and to how their performance tied directly to mission success. Trainees were able to express an understanding of their significance in the agency and of the values that defined how they were to conduct themselves. In observing actual training sessions, the auditors noted the ongoing engagement of the trainees in learning the materials presented and the open communication between the trainers and trainees.

When discussing their observations with the academy director, the auditors learned that the strategic plan involved all staff members in its development. The academy identified and tracked performance measures monthly and posted them in the staff dining area for all staff members to see. The director was available to the staff, because she toured the academy daily to address any issues or concerns raised by staff members or trainees. There had been no incidents of academy staff discipline in the past three years, and the passing grade for trainees continued to be more than 98 percent. In the same year of the second audit, the academy received the agency award for outstanding unit of the year.

## Workforce Assessments

The assessments in this section apply specifically to the Workforce Focus domain. Other assessments are available in other domains that may apply to change, management, and higher performance of the organization. A complete listing of assessments is available in *Applying the APEX Tools for Organizational Assessment* in this series. Web links are provided for most of these assessments in the "description" column of the chart below.

| Full Name | Author | Description |
|---|---|---|
| 16PF Talent Profile | iPAT | This assessment is a shorter version of the 16PF Fifth Edition personality measure, which was designed for personnel selection and assessment of job fit. It scores the following criteria (12): warmth, calmness, dominance, liveliness, rule consciousness, social boldness, trust, imagination, self-assuredness, openness, self-reliance, and organization. *www.ipat.com/SiteCollectionDocuments/pdfs/sample_reports/IPAT_16PF_Talent_Profile_Sample_Report.pdf* |
| Gallup Workplace Audit (Q12) | Gallup: John Thackray | Q12 determines the degree of engagement using 12 key expectations that help predict employee satisfaction. *www.artsusa.org/pdf/events/2005/conv/gallup_q12.pdf* |
| Organizational Assessment from High Performance Teamwork and Built on Trust training courses | Learning Center | This assessment contains 21 items with a 4-point rating scale of "sampled" organizational dimensions (no subscales). *www.learningcenter.net/library/management.shtml* |
| Prison Social Climate Survey | Federal Bureau of Prisons | The survey consists of 49 Likert scale items for 8 measures: institutional/organizational operations, quality of supervision, commitment to the bureau, commitment to the institution, job satisfaction, support for and effectiveness of training, sense of efficacy in working with inmates, and job stress. *http://nicic.gov* (request the survey from the Librarian) or *www.bop.gov/news/research_projects/published_reports/cond_envir/oresaylor_pscsrv.pdf.* |
| Probation and Parole Strategies Questionnaire (PSQ and/or PPSQ) | Robert A. Shearer | The questionnaire contains 24 items to determine a parole and/or probation officer's view of his/her role, whether law enforcement, case worker, or resource broker. *www.ncjrs.gov/App/publications/Abstract.aspx?id=195857* |
| Team Leadership Assessment Tool | Yale University of Public Health | The tool includes 5-point ratings of personal effectiveness, work environment and support, team leader/manager, team dynamics, and management skills (71 items total). *http://medicine.yale.edu/ysph/hm/research/ghi/16678_County%20Health%20Team%20Leadership%20Assessment%20Tool_Round%20_3_10-9-08.pdf* |
| Teamwork Survey | Don Clark | This survey is 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), whereas the highest score possible for a stage is 40 (almost always). *http://nwlink.com/~donclark/leader/teamsuv.html* |
| TCU Survey of Program Training Needs (2 versions: Staff and Program Director) (TCU PTN–S and TCU PTN–D) | Texas Christian University | This survey is 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. *www.ibr.tcu.edu/pubs/datacoll/Forms/ptn-s.pdf* |

| Full Name | Author | Description |
|---|---|---|
| Utrecht Work Engagement Scale (UWES) and (UWES-9) | Wilmar Schaufeli and Arnold Bakker (2003) | The assessment includes 6-point ratings of 17 statements (the UWES-9 is shortened to 9 statements) that determine engagement.<br>*www.wilmarschaufeli.nl/downloads/test-manuals* |
| Links to burnout surveys and tools | Various authors | Burnout Test<br>*www.trubyachievements.com/Business/Stress_Management/Burnout.html*<br><br>Is Your Staff Burning Out?<br>*www.docpotter.com/bo_staff.html*<br><br>Burnout Potential Inventory<br>*www.docpotter.com/beajob_pot_test.html*<br><br>Do You Have Job Strain?<br>*www.workhealth.org/strain/jsquest.html*<br><br>Stress-O-Meter<br>*www.weblab.org/workingstiff/stressometer/index.html*<br><br>Burnout Self-Test<br>*http://mindtools.com/stress/Brn/BurnoutSelfTest.htm#Table* |
| Links to staff engagement surveys and tools | Various authors | Employee Satisfaction Surveys<br>*www.alphameasure.com*<br><br>Free Employee Engagement Surveys<br>*http://beyondmorale.com/blog/free-employee-engagement-surveys*<br><br>Free Employee Engagement Survey<br>*www.engageyouremployees.com/free-employee-engagement-survey?format=html* |

## Chapter References


Bakker, A.B., and E. Demerouti. 2008. "Towards a Model of Work Engagement." *Career Development International* 13(3):209–23.

Bakker, A.B., and W.B. Schaufeli. 2008. "Positive Organizational Behavior: Engaged Employees in Flourishing Organizations." *Journal of Organizational Behavior* 29(2):147–54.

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.S., D. Bright, and A. Caza, 2004. "Exploring the Relationships Between Organizational Virtuousness and Performance." *American Behavioral Scientist* 47(6):766–89.

Cameron, K., J. Dutton, and R. Quinn. 2003. *Positive Organizational Scholarship: Foundations of a New Discipline*. San Francisco: Berrett-Kohler.

Cheek, F., and M. Miller. 1983. "The Experience of Stress for Corrections Officers: A Double-Bind Theory of Correctional Stress." *Journal of Criminal Justice* 11(2):105–20.

Cullen, F., J. Cullen, and J. Wozniak. 1989. "The Correctional Orientation of Prison Guards: Do Officers Support Rehabilitation." *Federal Probation* (40):37–44.

Denison, D. 1996. "What Is the Difference Between Organizational Culture and Organizational Climate?" *Academy of Management Review* 21(3):619–54.

Fixsen, D., S. Naoom, K. Blase, R. Friedman, and F. Wallace. 2005. *Implementation Research: A Synthesis of the Literature.* Tampa, FL: National Implementation Research Network.

Giardini, A., and M. Frese. 2008. "Linking Service Employees' Emotional Competence to Customer Satisfaction: A Multilevel Approach." *Journal of Organizational Behavior* 29(2):155–70.

Greener, J.M., G.W. Joe, D.D. Simpson, G.A. Row, and W.E.K. Lehman. 2007. "Influence of Organizational Functioning on Client Engagement in Treatment." *Journal of Substance Abuse Treatment* 33(2):139–47.

Harter, J.K., F.L. Schmidt, and E.A. Killham. 2003. *Employee Engagement, Satisfaction, and Business-Unit-Level Outcomes: A Meta-Analysis*. Omaha, NE: The Gallup Organization.

Lencioni, P. 2002. *Five Dysfunctions of a Team: A Leadership Fable*. San Francisco: Jossey-Bass.

Lencioni, P. 2005. *Overcoming the Five Dysfunctions of a Team*. San Francisco: Jossey-Bass.

Likert, R. 1967. *The Human Organization: Its Management and Value*. New York: McGraw-Hill Book Company.

Luthans, F., S.M. Norman, B.J. Avoilio, and J.B. Avey. 2008. "The Mediating Role of Psychological Capital in the Supportive Organizational Climate-Employee Performance Relationship." *Journal of Organizational Behavior* 29(2):219.

Macey, W.H., and B. Schneider. 2008. "The Meaning of Employee Engagement." *Industrial and Organizational Psychology* 1:3–30.

McCrimmon, M. 2007. "Organizational Culture and Climate." Suite 101, Business Management, *http://suite101.com/article/organizational-culture-and-climate-a35298*, accessed February 28, 2013.

Muse, L., S.G. Harris, W.F. Giles, and H.S. Feild. 2008. "Work-Life Benefits and Positive Organizational Behavior: Is There a Connection?" *Journal of Organizational Behavior* 29(2):171–92.

Rehm, R. 1999. *People in Charge: Creating Self-Managing Workplaces.* Gloucestershire, England: Hawthorn Press.

Robbins, V., and K. Collins. 2011. "Implementation Drivers: An Initial Conversation." Frank Porter Graham Child Development Institute, University of North Carolina, Chapel Hill, *http://signetwork.org/content_page_assets/content_page_176/SISEP-InstallationStageActionPlanningGuide-02-2011.pdf*, accessed May 1, 2013.

Salanova, M., S. Agut, and J.M. Peiro. 2005. "Linking Organizational Resources and Work Engagement to Employee Performance and Customer Loyalty: The Mediation of Service Climate." *Journal of Applied Psychology* 90(6):1217–27.

Schaufeli, W.B., and A.B. Bakker. 2003. *UWES—Utrecht Work Engagement Scale Preliminary Manual*. Utrecht, Netherlands: Utrecht University, *http://wilmarschaufeli.nl/downloads/test-manuals.*

Schaufeli, W.B., A.B. Bakker, and M. Salanova. 2006. "The Measurement of Work Engagement with a Short Questionnaire: A Cross-National Study." *Educational and Psychological Measurement* 66(4):701–16.

Tuckman, B., and M.A. Jensen. 1977. "Stages of Small-Group Development Revisited." *Group Organization Management* 2(4):419–27.

Walter, F., and H. Bruch. 2008. "The Positive Group Affect Spiral: A Dynamic Model of the Emergence of Positive Affect Similarity in Work Groups." *Journal of Organizational Behavior* 29:239–61.

Wilson, M.G., D. Dejoy, R.J. Vandenberg, H.A. Richardson, and A.L. McGrath. 2004. "Work Characteristics and Employee Health and Well-Being: Test of a Model of Healthy Work Organization." *Journal of Occupational and Organizational Psychology* 77(4):565–88.

## Workforce Focus Bibliography

Allard, T.J., R.K. Wortley, and A.L. Stewart. 2003. "Role Conflict in Community Corrections." *Psychology, Crime and Law* 9(3):279–89.

Antonio, M.E., J.L. Young, and L.M. Wingeard. 2009. "When Actions and Attitude Count Most: Assessing Perceived Level of Responsibility and Support for Inmate Treatment and Rehabilitation Programs among Correctional Employees." *The Prison Journal* 89(4):363–82.

Bakker, A.B., and E. Demerouti. 2007. "The Job Demands-Resources Model: State of the Art." *Journal of Managerial Psychology* 22(3):309–28.

Bakker, A.B., and E. Demerouti. 2008. "Towards a Model of Work Engagement." *Career Development International* 13(3):209–23.

Bakker, A.B., and W.B. Schaufeli. 2008. "Positive Organizational Behavior: Engaged Employees in Flourishing Organizations." *Journal of Organizational Behavior* 29(2):147–54.

Bakker, A.B., W.B. Schaufeli, M.P. Leiter, and T.W. Taris. 2008. "Work Engagement: An Emerging Concept in Occupational Health Psychology." *Work and Stress* 22(3):187–200.

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.

Billson, J.M., N. Cebula, C. Innes, 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.

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

Burke, R.J., and D.S. Wilcox. 1971. "Bases of Supervisory Power and Subordinate Job Satisfactions." *Canadian Journal of Behavioral Sciences* 3(2):183–93.

Cameron, K.S. 2008. *Positive Leadership: Strategies for Extraordinary Performance*. San Francisco: Berrett-Koehler.

Cameron, K.S., D. Bright, and A. Caza, 2004. "Exploring the Relationships Between Organizational Virtuousness and Performance." *American Behavioral Scientist* 47(6):766–89.

Cameron, K., J. Dutton, and R. Quinn. 2003. *Positive Organizational Scholarship: Foundations of a New Discipline*. San Francisco: Berrett-Kohler.

Cartwright, S., and N. Holmes. 2006. "The Meaning of Work: The Challenge of Regaining Employee Engagement and Reducing Cynicism." *Human Resource Management Review* 16(2):199–208.

Casey, A.E.F. 2003. *The Unsolved Challenge of System Reform: The Condition of the Frontline Human Services Workforce*. Baltimore, MD: Annie E. Casey Foundation.

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., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., and E. Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cheek, F., and M. Miller. 1983. "The Experience of Stress for Correction Officers: A Double-Bind Theory of Correctional Stress." *Journal of Criminal Justice* 11:105–20.

Chung, M.C., and C. Harding. 2009. "Investigating Burnout and Psychological Well-Being of Staff Working with People with Intellectual Disabilities and Challenging Behaviour: The Role of Personality." *Journal of Applied Research in Intellectual Disabilities* 22(6):549–60.

Coffman, C., and J.A. Harter. 2002. *Hard Look at Soft Numbers: The Relationship Between Employee Perceptions and Business Outcomes*. The Nielson Group, *www.nova.edu/ie/ice/forms/a_hard_look_at_soft_numbers.pdf,* accessed October 28, 2011.

Cox, T., M. Tisserand, and T.W. Taris. 2005. "The Conceptualization and Measurement of Burnout: Questions and Directions." *Work and Stress* 19(3):187–91.

Cullen, F., J. Cullen, and J. Wozniak. 1989. "The Correctional Orientation of Prison Guards: Do Officers Support Rehabilitation." *Federal Probation* (40):37–44.

Cullen, F., B. Link, N. Wolfe, and J. Frank. 1985. "The Social Dimensions of Correctional Officer Stress." *Justice Quarterly* 2(4):505–33.

Denison, D. 1996. "What Is the Difference Between Organizational Culture and Organizational Climate?" *Academy of Management Review* 21(3):619–54.

Donald, I., P. Taylor, S. Johnson, C. Cooper, S. Cartwright, and S. Robertson. 2005. "Work Environments, Stress, and Productivity: An Examination Using ASSET." *International Journal of Stress Management* 12(4):409–23.

Druskat, V.U., and A.T. Pescosolido. 2002. "The Content of Effective Teamwork Mental Models in Self-Managing Teams: Ownership, Learning and Heedful Interrelating." *Human Relations* 55(3):283–314.

Edmondson, A. 1999. "Psychological Safety and Learning Behavior in Work Teams." *Administrative Science Quarterly* 44(2):350–83.

Elgie, S. and R.P. Hastings. 2002. "Staff Definitions of Challenging Behavior." *Education and Training in Mental Retardation and Developmental Disabilities* 37(2):202–08.

Elman, B.D., and E.T. Dowd. 1997. "Correlates of Burnout in Inpatient Substance Abuse Treatment Therapists." *Journal of Addictions and Offender Counseling* 17(2):56–65.

Faragher, E.B., C.L. Cooper, and S. Cartwright. 2004. "A Shortened Stress Evaluation Tool (ASSET)." *Stress and Health* 20(4):189–201.

Finn, P. 2000. *Addressing Correctional Officer Stress: Programs and Strategies.* Washington, DC: U.S. Department of Justice.

Fixsen, D., S. Naoom, K. Blase, R. Friedman, and F. Wallace. 2005. *Implementation Research: A Synthesis of the Literature.* Tampa, FL: National Implementation Research Network.

Fredrickson, B.L. 2001. *Leading with Positive Emotions.* Ann Arbor, MI: University of Michigan Ross School of Business.

Freeman, M. 1994. "The Differential Impact on Careers Dealing with Clients with Challenging Behaviours." *Journal of Community and Applied Social Psychology* 4(3):181–87.

Freidson, E. 2001. *Professionalism, the Third Logic: On the Practice of Knowledge*. Chicago: The University of Chicago Press.

Fulton, B., and A. Stichman. 1997. "Moderating Probation and Parole Officer Attitudes to Achieve Desired Outcomes." *The Prison Journal* 77(3):295–312.

Gallup Consulting. 2010. *Employee Engagement: What's Your Engagement Ratio?* Washington, DC: Gallup Consulting.

Garner, B.R., K. Knight, and D.D. Simpson. 2007. "Burnout among Corrections-Based Drug Treatment Staff: Impact of Individual and Organizational Factors." *International Journal of Offender Therapy and Comparative Criminology* 51(5):510–22.

Giardini, A., and M. Frese. 2008. "Linking Service Employees' Emotional Competence to Customer Satisfaction: A Multilevel Approach." *Journal of Organizational Behavior* 29(2):155–70.

Gibbons, J. 2006. *Employee Engagement: A Review of Current Research and Its Implications.* Ottawa, Ontario: The Conference Board.

Gilbreath, B., and P.G. Benson. 2004. "The Contribution of Supervisor Behaviour to Employee Psychological Well-Being." *Work and Stress* 18(3):255–66.

Glicken, M.D. 1983. "A Counseling Approach to Employee Burnout." *Personnel Journal* 62(3):45–56.

Gonzalez-Roma, V., W.B. Schaufeli, A.B. Bakker, and S. Lloret. 2006. "Burnout and Work Engagement: Independent Factors or Opposite Poles?" *Journal of Vocational Behavior* 68(1):164–74.

Grant, A.M. 2007. "Relational Job Design and the Motivation to Make a Prosocial Difference." *Academy of Management Review* 32(2):393–417.

Greener, J.M., G.W. Joe, D.D. Simpson, G.A. Row, and W.E.K. Lehman. 2007. "Influence of Organizational Functioning on Client Engagement in Treatment." *Journal of Substance Abuse Treatment* 33(2):139–47.

Griffin, M.L., N.L. Hogan, E.G. Lambert, K.A. Tucker-Gail, and D.N. Baker. 2010. "Job Involvement, Job Stress, Job Satisfaction, and Organizational Commitment and the Burnout of Correctional Staff." *Criminal Justice and Behavior* 37(2):239–55.

Halbesleben, J.R.B., and M.R. Buckley. 2004. "Burnout in Organizational Life." *Journal of Management* 30(6):859–79.

Halbesleben, J.R.B., and E. Demerouti. 2005. "The Construct Validity of an Alternative Measure of Burnout: Investigating the English Translation of the Oldenburg Burnout Inventory." *Work and Stress* 19(3):208–20.

Hall, F.A. 1992. *Accelerated Management Selection/Management Training for Adult Correctional Institutions: The Oregon Department of Corrections Institution Supervisor Candidate School.* Washington, DC: Department of Justice, National Institute of Corrections.

Harter, J.K., F.L. Schmidt, and E.A. Killham. 2003. *Employee Engagement, Satisfaction, and Business-Unit-Level Outcomes: A Meta-Analysis.* Omaha, NE: The Gallup Organization.

Hastings, R.P. 2002. "Do Challenging Behaviors Affect Staff Psychological Well-Being? Issues of Causality and Mechanism." *American Journal on Mental Retardation* 107(6):455–67.

Hatton, C., M. Rivers, H. Mason, L. Mason, C. Kiernan, E. Emerson, A. Alborz, and D. Reeves. 1999. "Staff Stressors and Staff Outcomes in Services for Adults with Intellectual Disabilities: The Staff Stressor Questionnaire." *Research in Developmental Disabilities* 20(4):269–85.

Hemmens, C., M.K. Stohr, M. Schoeler, and B. Miller. 2002. "One Step Up, Two Steps Back: The Progression of Perceptions of Women's Work in Prisons and Jails." *Journal of Criminal Justice* 30(6):473–89.

Hu, Y., S. Stewart-Brown, L. Twigg, and S. Weich. 2007. "Can the 12-item General Health Questionnaire Be Used to Measure Positive Mental Health?" *Psychological Medicine* 37(7):1005–13.

Humphrey, S.E., J.D. Nahrgang, and F.P. Morgeson. 2007. "Integrating Motivational, Social, and Contextual Work Design Features: A Meta-Analytic Summary and Theoretical Extension of the Work Design Literature." *Journal of Applied Psychology* 92(5):1332-–56.

International Personnel Management Association. 2002. *Workforce Planning Resource Guide for Public Sector Human Resource Professionals.* Alexandria, VA: International Personnel Management Association.

Jenkins, R., J. Rose, and C. Lovell. 1997. "Psychological Well-Being of Staff Working with People Who Have Challenging Behavior." *Journal of Intellectual Disability Research* 41(6):502–11.

Judge, T.A., J.E. Bono, C.J. Thoresen, and G.K. Patton. 2001. "The Job Satisfaction–Job Performance Relationship: A Qualitative and Quantitative Review." *Psychological Bulletin* 127(3):376–407.

Juniper, B., N. White, and P. Bellamy. 2009. "Assessing Employee Wellbeing: Is There Another Way?" *International Journal of Workplace Health Management* 2(3):220–30.

Knudsen, H.K., L.J. Ducharme, and P.M. Roman. 2006. "Counselor Emotional Exhaustion and Turnover Intention in Therapeutic Communities." *Journal of Substance Abuse Treatment* 31(2):173–80.

Kotter, J.P., and D.S. Cohen. 2002. *The Heart of Change: Real-Life Stories of How People Change Their Organizations*. Boston, MA: Harvard Business School Press.

Kristensen, T.S., M. Borritz, E. Villadsen, and K.B. Christensen. 2005. "The Copenhagen Burnout Inventory: A New Tool for the Assessment of Burnout." *Work and Stress* 19(3):192–207.

Lambert, E.G. 2006. "I Want to Leave: A Test of a Model of Turnover Intent among Correctional Staff." *Applied Psychology in Criminal Justice* 2(1):57–83.

Lambert, E.G., I. Altheimer, and N.L. Hogan. 2010. "Exploring the Relationship Between Social Support and Job Burnout among Correctional Staff." *Criminal Justice and Behavior* 37(11):1217–36.

Lambert, E.G., N.L. Hogan, O.O. Elechi, S. Jiang, J.M. Laux, P. Dupuy, and A. Morris. 2009. "A Further Examination of Antecedents of Correctional Staff Life Satisfaction." *The Social Science Journal* 46(4):689–706.

Lariviere, M. 2001. "Antecedents and Outcome of Correctional Officers Attitudes towards Federal Inmates: An Exploration of Person-Organization Fit." Ph.D. thesis, Carleton University, Ottawa, Ontario.

Lawson, H.A., and N. Claiborne. 2004. *Retention Planning to Reduce Workforce Turnover in New York State's Public Child Welfare Systems: Developing Knowledge, Lessons Learned, and Emergent Priorities*. Albany, NY: State University of New York, University at Albany, The School of Social Welfare.

Lawson, K.J., A.J. Noblet, and J.J. Rodwell. 2009. "Promoting Employee Wellbeing: the Relevance of Work Characteristics and Organizational Justice." *Health Promotion International,* 24(3):223–33.

Lee, W.-J., J.R. Phelps, and D.R. Beto. 2009. "Turnover Intention among Probation Officers and Direct Care Staff: A Statewide Study." *Federal Probation* 73(3):28–39.

Leffingwell, T.R., and C.A. Neumann. 2007. "Social Psychology and Motivational Interviewing: A Review of Relevant Principles and Recommendations for Research and Practice." *Behavioral and Cognitive Psychotherapy* 35(1):31–45.

Lehman, W.E.K., J.M. Greener, and D.D. Simpson. 2002. "Assessing Organizational Readiness for Change." *Journal of Substance Abuse Treatment* 22(4):197–209.

Lencioni, P. 2002. *Five Dysfunctions of a Team: A Leadership Fable*. San Francisco: Jossey-Bass.

Lencioni, P. 2005. *Overcoming the Five Dysfunctions of a Team*. San Francisco: Jossey-Bass.

Likert, R. 1967. *The Human Organization: Its Management and Value*. New York: McGraw-Hill Book Company.

Lilius, J.M., M.C. Worline, J.E. Dutton, J. Kanov, S. Maitlis, and P. J. Frost. 2011. "Understanding Compassion Capability." *Human Relations* 64(7):873–99.

Lilius, J.M., M.C. Worline, S. Maitlis, J. Kanov, J.E. Dutton, and P. Frost. 2008. "The Contours and Consequences of Compassion at Work." *Journal of Organizational Behavior* 29(2):193–218.

Linehan, M.M., B.N. Cochran, C.M. Mar, E.R. Levensky, and K.A. Comtois. 2000. "Therapeutic Burnout among Borderline Personality Disordered Clients and Their Therapists: Development and Evaluation of Two Adaptations of the Maslach Burnout Inventory." *Cognitive and Behavioral Practice* 7(3):329–37.

London, M., and J.W. Smithe. n.d. *Feedback Orientation, Feedback Culture, and the Longitudinal Performance Management Process*. Unpublished article manuscript, State University of New York at Stony Brook.

Luthans, F., S.M. Norman, B.J. Avolio, and J.B. Avey. 2008. "The Mediating Role of Psychological Capital in the Supportive Organizational Climate-Employee Performance Relationship." *Journal of Organizational Behavior* 29(2):219.

Macey, W.H., and B. Schneider. 2008. "The Meaning of Employee Engagement." *Industrial and Organizational Psychology* 1(1):3–30.

Maslach, C., W.B. Schaufeli, and M.P. Leiter. 2001. "Job Burnout." *Annual Review of Psychology* 52:397–422.

McCrimmon, M. 2007. "Organizational Culture and Climate." Suite 101, Business Management, *http://suite101.com/article/organizational-culture-and-climate-a35298*, accessed February 28, 2013.

Mena, K.C., and J.D. Bailey 2007. "The Effects of the Supervisory Working Alliance on Worker Outcomes." *Journal of Social Service Research* 34(1):55–65.

Muse, L., S.G. Harris, W.F. Giles, and H.S. Feild. 2008. "Work-Life Benefits and Positive Organizational Behavior: Is There a Connection?" *Journal of Organizational Behavior* 29(2):171–92.

Pitts, W.J. 2007. "Educational Competency as an Indicator of Occupational Stress for Probation and Parole Officers." *American Journal of Criminal Justice* 32(1/2):57–73.

Rath, T., and D.O. Clifton. 2004. *How Full Is Your Bucket?* New York: Gallup Press

Rath, T., and B. Conchie. 2008. *Strengths Based Leadership: Great Leaders, Teams, and Why People Follow*. New York: Gallup, Inc.

Rath, T., and J. Harter. 2010. *Well Being: The Five Essential Elements*. New York: Gallup Press.

Rehm, R. 1999. *People in Charge: Creating Self-Managing Workplaces*: Gloucestershire, England: Hawthorn Press.

Robbins, V., and K. Collins. 2011. "Implementation Drivers: An Initial Conversation." Frank Porter Graham Child Development Institute, University of North Carolina, Chapel Hill, *http://signetwork.org/content_page_assets/content_page_176/SISEP-InstallationStageActionPlanningGuide-02-2011.pdf.*

Rock, D. 2006. *Quiet Leadership: Six Steps to Transforming Performance at Work*. New York: Harper Collins.

Rose, D., and J. Rose. 2005. "Staff in Services for People with Intellectual Disabilities: the Impact of Stress on Attributions of Challenging Behaviour." *Journal of Intellectual Disability Research* 49(11):827–38.

Salanova, M., S. Agut, and J.M. Peiro. 2005. "Linking Organizational Resources and Work Engagement to Employee Performance and Customer Loyalty: The Mediation of Service Climate." *Journal of Applied Psychology* 90(6):1217–27.

Schaufeli, W.B., and A.B. Bakker. 2003. *UWES—Utrecht Work Engagement Scale Preliminary Manual*. Utrecht, Netherlands: Utrecht University, *http://wilmarschaufeli.nl/wp/downloads/test-manuals.*

Schaufeli, W.B., A.B. Bakker, and M. Salanova. 2006. "The Measurement of Work Engagement with a Short Questionnaire: A Cross-National Study." *Educational and Psychological Measurement* 66(4):701–16.

Schaufeli, W.B., A.B. Bakker, and W. Van Rhenen. 2009. "How Changes in Job Demands and Resources Predict Burnout, Work Engagement, and Sickness Absenteeism." *Journal of Organizational Behavior* 30(7):893–917.

Schaufeli, W.B., M.P. Leiter, and C. Maslach. 2009. "Burnout: 35 Years of Research and Practice." *Career Development International* 14(3):204–20.

Schaufeli, W.B., M. Salanova, V. Gonzalez-Roma, and A.B. Bakker. 2002. "The Measurement of Engagement and Burnout: A Two Sample Confirmatory Factor Analytic Approach." *Journal of Happiness Studies* 3(1):71–92.

Schaufeli, W.B., and T.W. Taris. 2005. "The Conceptualization and Measurement of Burnout: Common Ground and Worlds Apart." *Work and Stress* 19(3): 256–62.

Shapiro, A. 2003. *Creating Contagious Commitment: Applying the Tipping Point to Organizational Change*. Raleigh, NC: Strategy Perspective.

Shirom, A. 2005. "Reflections on the Study of Burnout." *Work and Stress* 19(3):263–70.

Slate, R.N., W.W. Johnson, and T.L. Wells. 2000. "Probation Officer Stress: Is There an Organizational Cure?" *Federal Probation* 64(1):56–59.

Slate, R.N., W.W. Johnson, and T.L. Wells. 2000. "Up to Speed: A Review of Research for Practitioners." *Federal Probation* 64(1):56–59.

Slate, R.N., and R.E. Vogel. 1997. "Participative Management and Correctional Personnel: A Study of the Perceived Atmosphere for Participation in Correctional Decisionmaking and Its Impact on Employee Stress and Thoughts about Quitting." *Journal of Criminal Justice* 25(5):397–408.

Sluiter, J.K., A.P. Bos, D. Tol, M. Calff, M. Krijnen, and M.H.W. Frings-Dresen. 2005. "Is Staff Well-Being and Communication Enhanced by Multidisciplinary Work Shift Evaluations?" *Intensive Care Medicine* 31(10):1409–14.

Smith, C.S., J. Tisak, S.E. Hahn, and R.A. Schmieder. 1997. "The Measurement of Job Control." *Journal of Organizational Behavior* 18(3):225–37.

Stinchcomb, J., S. McCampbell, and E.P. Layman. 2006. "FutureForce: A Guide to Building the 21st Century Community Corrections Workforce," *http://nicic.gov/Library/021799,* accessed May 1, 2013.

Stinchcomb, J., S. McCampbell, and E.P. Layman. 2006. *Future Focus: A Guide to Building the 21st Century Community Corrections Workforce*. Washington, DC: Center for Innovative Public Policies.

Stinchcomb, J.B., S.W. McCampbell, S. and L. Leip. 2009. *The Future Is Now: Recruiting, Retaining, and Developing the 21st Century Jail Workforce*. Naples, FL: Center for Innovative Public Policies.

Sullivan, J. 2004. "End 'Equal Treatment' Today! Focus on Top Performers." *Human Resources Leader* 58(1):10–11.

Suls, J., and R. Martin. 2005. "The Daily Life of the Garden-Variety Neurotic: Reactivity, Stressor Exposure, Mood Spillover, and Maladaptive Coping." *Journal of Personality* 73(6):1485–1509.

Sumter, M. 2008. "The Correctional Work Force Faces Challenges in the 21st Century." *Corrections Today* 70(4):100, *www.aca.org/research/pdf/ResearchNotes_Aug08.pdf,* accessed October 28, 2011.

Taris, T.W., P.M. Le Blanc, W.B. Schaufeli, and P.J.G. Schreurs. 2005. "Are There Causal Relationships Between the Dimensions of the Maslach Burnout Inventory?: A Review and Two Longitudinal Tests." *Work and Stress* 19(3):238–55.

Tewksbury, R., and E.E. Mustaine. 2008. "Correctional Orientations of Prison Staff." *The Prison Journal* 88(2):207–33.

Triplett, R., J.L. Mullings, and K.E. Scarborough.1996. "Work-Related Stress and Coping Among Correctional Officers: Implications from Organizational Literature." *Journal of Criminal Justice* 24(4):291–308.

Tuckman, B., and M.A. Jensen. 1977. "Stages of Small-Group Development Revisited." *Group Organization Management* 2(4):419–27.

Udechukwu, I., W. Harrington, T. Manyak, S. Segal, and S. Graham. 2007. "The Georgia Department of Corrections: An Exploratory Reflection on Correctional Officer Turnover and Its Correlates." *Public Personnel Management* 36(3):247–68.

Ulrich, D. 1997. *Human Resource Champions: The Next Agenda for Adding Value and Delivering Results*. Boston, MA: Harvard Business School Press.

Van der Doef, M., and S. Maes. 1999. "The Job Demand-Control (-Support) Model and Psychological Well-Being: A Review of 20 Years of Empirical Research." *Work and Stress* 13(2):87–114.

Van Emmerik, H. 2004. "For Better and for Worse: Adverse Working Conditions and the Beneficial Effects of Mentoring." *Career Development International* 9(4):358–73.

Van Hein, J.L., J.J. Kramer, and M. Hein. 2007. "The Validity of the Reid Report for Selection of Corrections Staff." *Public Personnel Management* 36(3):269–80.

Vance, R. J. 2006. *Employee Engagement and Commitment: A Guide to Understanding, Measuring and Increasing Engagement in Your Organization*. Alexandria, VA: Society for Human Resource Management Foundation.

Wagner, R., and J.K. Harter. 2006. *12: The Elements of Great Managing*. New York: Gallup Press.

Walker, D. M. 2000. "Human Capital: A Self-Assessment Checklist for Agency Leaders." U.S. General Accounting Office, Washington, DC.

Walter, F. and H. Bruch 2008. "The Positive Group Affect Spiral: A Dynamic Model of the Emergence of Positive Affect Similarity in Work Groups." *Journal of Organizational Behavior* 29:239–61.

Whitehead, J.T. 1989. *Burnout in Probation and Corrections*. New York: Praeger Publishers.

Whitworth, L., H. Kimsey-House, and P. Sandahl. 2003. *Co-Active Coaching: New Skills for Coaching People Toward Success in Work and Life*. Palo Alto, CA: Davies-Black Publishing.

Wilson, M.G., D.M. DeJoy, R.J. Vandenberg, H.A. Richardson, and A.L. McGrath. 2004. "Work Characteristics and Employee Health and Well-Being: Test of a Model of Healthy Work Organization." *Journal of Occupational and Organizational Psychology* 77(4):565–88.

Workforce Associates Inc. 2004. *A 21st Century Workforce for America's Correctional Profession*. Indianapolis: American Correctional Association.

Wright, T.A., and R. Cropanzano. 2000. "Psychological Well-Being and Job Satisfaction as Predictors of Job Performance." *Journal of Occupational Health Psychology* 5(1):84–94.

Wright, T.A., and B.M. Staw. 1999. "Affect and Favorable Work Outcomes: Two Longitudinal Tests of the Happy-Productive." *Journal of Organizational Behavior* 20(1):1–23.

Wrzesniewski, A., and J.E. Dutton. 2001. "Crafting a Job: Revisioning Employees as Active Crafters of Their Own Work." *Academy of Management Review* 26(2):179–201.

Wrzesniewski, A., C. McCauley, P. Rozin, and B. Schwartz. 1997. "Jobs, Careers, and Callings: People's Relations to Their Work." *Journal of Research in Personality* 31(1):21–33.

Young, J.L., M.E. Antonio, and L.M. Wingeard. 2009. "How Staff Attitude and Support for Inmate Treatment and Rehabilitation Differs by Job Category: An Evaluation of Findings from Pennsylvania's Department of Corrections' Employee Training Curriculum 'Reinforcing Positive Behavior.'" *Journal of Criminal Justice* 37(5):435–41.

Zellars, K.L., W.A. Hochwarter, P.L. Perrewe, N. Hoffman, and E.W. Ford. 2004. "Experiencing Job Burnout: The Roles of Positive and Negative Traits and States." *Journal of Applied Social Psychology* 34(5):887–911.

Zellars, K.L., P.L. Perrewe, and W.A. Hochwarter. 2000. "Burnout in Health Care: The Role of the Five Factors of Personality." *Journal of Applied Social Psychology* 30(8):1570–98.

Zellars, K.L., P.L. Perrewe, W.A. Hochwarter, and K.S. Anderson. 2006. "The Interactive Effects of Positive Affect and Conscientiousness on Strain." *Journal of Occupational Health Psychology* 11(3):281–89.

## Web Links

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**ASCA: Association of State Correctional Administrators**
*www.asca.net*

**AWEC: Association of Women Executives in Corrections**
*www.awec.us*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications or www.baldrige.com*

**Center for Effective Public Policy**
*www.cepp.com*

**NIC Information Center: National Institute of Corrections**
*http://nicic.gov*

# Chapter 9: Strategic Planning

*Planning is bringing the future into the present so that you can do something about it now.*

—Alan Lakein

## Introduction

Strategic planning provides organizations with a clear description of a future state that they want to achieve, action plans for getting there, timelines for long- and short-term goals and objectives, and communications plans for sharing their progress with internal and external stakeholders. Leaders in higher-performing agencies inside and outside of the field of corrections know that engaging staff members and appropriate stakeholders in the strategic planning process leads to better results. Instead of working to get people's "buy-in," leaders understand that people who help create plans for the future tend to have a higher commitment to implementing and sustaining those plans.

This chapter supports agencies in creating active and adaptive plans for a future state that engages stakeholders, achieves agency goals, improves client success rates, and provides a positive work environment, as well as an organizational climate and culture conducive to the success of the agency's mission. It contains guiding questions, tools and interventions, a case study, references, a bibliography, and Web links.

## Guiding Questions

The following guiding questions are included to help leaders and others in correctional organizations understand various aspects of the Strategic Planning domain and discover ideas for improvement. The questions align with the focus on higher performance in the APEX (Achieving Performance Excellence) Guidebook series and in the Baldrige Performance Excellence Program (Baldrige National Quality Program 2011).

1. **Planning process.**

   - How does the organization engage in strategic planning?
   - What are the key steps in the process, the core competencies, the strategic challenges, and the strategic advantages, and who are the key participants?
   - What are the time horizons? How are these set, and how are they addressed in the strategic planning process?
   - How does the organization address the following key elements and collect and analyze data relevant to them in the planning process?

- Organization's strengths, weaknesses, and opportunities.
- Perceived shifts in economics, technology, stakeholder preferences, and regulations.
- Sustainability, core competencies, and projected future performance.
- Potential for execution of the strategic plan.

2. **Strategic objectives.**

   - What are the key strategic objectives, timelines, and goals?
   - How do the objectives accomplish the following objectives?
     - Work with challenges and advantages.
     - Use innovation throughout the organization.
     - Consider and balance challenges, opportunities, and needs of stakeholders.

3. **Development and use of the action plan.**

   - How is the action plan developed and implemented?
   - How are resources allocated to support the action plan?
   - How does the action plan address changes and effects on the workforce? On clients/offenders?
   - What key performance measures will be used to track effectiveness?
   - How will action plans be modified if needed?

4. **Performance projections.**

   - What are the performance projections for the key performance measures and indicators?
   - How do these projections compare with others in similar correctional agencies, with benchmarks, and with past performance?
   - How will gaps in performance be addressed?

5. **Considerations for change initiatives.**

   - How does the change initiative relate to the agency vision, mission, and values?
   - How does it support the agency's strategic plan and goals?
   - Are there valid strategic reasons to pursue this initiative? What are they?

## About Strategic Planning

Strategic planning in correctional organizations can be approached in different ways. Some organizations choose to have the leader or the executive team develop the plan; others choose to engage staff members and stakeholders as participants in the process (Axelrod 2010). Most important is for organizations to use a structured approach that includes the components of a strategic planning process recommended by the APEX initiative (Cebula, Lantz, and Ward 2012):

- Strategy development.
  - Identifies the strategies necessary to meet the agency's goals, objectives, and mission.
- Implementation.
  - Includes a comprehensive agenda for action planning, performance measurement, and deployment.
- Engagement.
  - Encourages stakeholder participation to smooth implementation and sustainability of the action plans.
- Communications.
  - Facilitates the success of the strategic plan's goals, objectives, and action plans.

The APEX Change Management Model was developed to give correctional agencies a systematic process for creating organizational change (Cebula et al. 2012). The model contains six stages:

Stage 1: *Plan and assess* lays the groundwork for change.

Stage 2: *Define the goal and objectives* calls for clear, easy to understand, and comprehensive goals and objectives.

Stage 3: *Organize (people) for results* involves including the "people" part of change.

Stage 4: *Build the detailed implementation plan* creates the roadmap for change.

Stage 5: *Implement the change management plan* includes work on the action steps and a lot of communication.

Stage 6: *Sustain the change* addresses integrating the changes into the organizational culture and monitoring, evaluating, and communicating those changes.

In particular, Stage 4 provides guidance for strategic planning efforts. It includes the following:

- Environmental scan and analysis.
- Lessons learned from the agency's history.
- Current state of the agency analysis.

- Development of an agreed vision of the change effort's future. (What will the goal look like when it is achieved?)
- Creation of detailed action plans for each part of the future vision, such as the following:
  - Goals and objectives.
  - Measurements.
  - Timelines.
  - Resources needed.
  - Responsibilities.

## Tools and Interventions

The tools and interventions in this section include *Organizational Profile, Environmental Scan and Analysis, Scanning the Literature and Other Resources, SWOT Analysis,* and *Gap Analysis.* Every correctional agency has a unique combination of strengths and weaknesses. To succeed, each change initiative will involve some degree of effort and personalization of the tools and interventions in this chapter as well as in the other chapters of this book. Setting the stage for change by preparing the staff and by being flexible and innovative in customizing tools and interventions will make the change process easier and more efficient.

### Organizational Profile

The APEX Organizational Profile (OP) is a self-assessment tool that can be used 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. This tool is helpful when starting strategic planning ventures. The OP provides a systematic way to gather information through questions and topic areas that will, when completed, present a picture of the organization's current operating environment, both internal and external.

The OP engages people in the agency to learn about the organization and its environment, as well as discover gaps in data, knowledge, and performance measures. This information provides a baseline for where the organization is currently, thus feeding into the strategic planning process.

To develop an achievable vision of the agency's desired future, a clear picture of the current state is required. The OP is one way to systematically present this. When people have a good understanding of the current system, they can develop their future vision.

Access the OP at *http://nicic.gov/Library/025301,* in appendix B.

#### Using the Organizational Profile Responses

The following questions can guide individuals who are using the OP to inform the strategic planning efforts.

- Is information missing? Are there gaps that need to be filled?

- Do people have difficulty finding information or communicating it to others in any of the profile's areas?
- Are people concerned about or uncomfortable with any of the responses? Do some issues appear more important to the agency than others?

Resolve any issues that arise from those questions in the action planning or deal with them before moving further along in the strategic planning process.

### What Is in the Organizational Profile?

The following is a synopsis of the OP. For more detailed information, please refer to *Applying the APEX Tools for Organizational Assessment,* appendix B, in this Guidebook series (Bogue and Cebula 2012). The OP contains two major parts:

1. **Internal environment and stakeholders.**
   - *Organization's foundation* is a description of the organization's services and competencies as well as the basic concepts of mission, vision, goals, and values.
   - *Workforce profile* describes aspects of the workforce.
   - *Assets* is a review of the current physical plant, equipment, and technologies.
   - *Relationships* is about the structure of the organization, whom it is accountable to, and who monitors it.
   - *Current situation* describes the agency's progress on its current strategic plan, how well goals have been achieved, the agency's strategic challenges and advantages, its performance measures, and the internal controls in place to monitor its operations.
2. **External environment and stakeholders.**
   - *Strategic position in the state, region, or local jurisdiction* defines how the state, region, or community is affected by the agency apart from its public safety mission.
   - *Economic data for state/jurisdiction* analyzes the information gathered to complete the picture of the agency's contributions to the community.
   - *Community partnerships and collaborative resources* identifies the key external stakeholder groups, their role in the organization's operations and outcomes, and the quality of relationships with them.
   - *Political landscape: Support for correctional operations* discusses the political support for the agency and its operations.
   - *Funding sources and government expenditures: Current and projected* looks at the sources of current funding and the potential for future funding.
   - *Regulatory environment* explores how regulatory requirements affect operations.

- *Client population and future service trends* provides an overview of the services that are currently provided; an analysis of which services are successful, underused, and no longer necessary according to current standards; and a method for brainstorming possible future trends in services.
- *Other correctional practices and technological impacts* discusses innovations in services, practices, technologies, and performance measurement used by other agencies.

### Intervention: Environmental Scan and Analysis

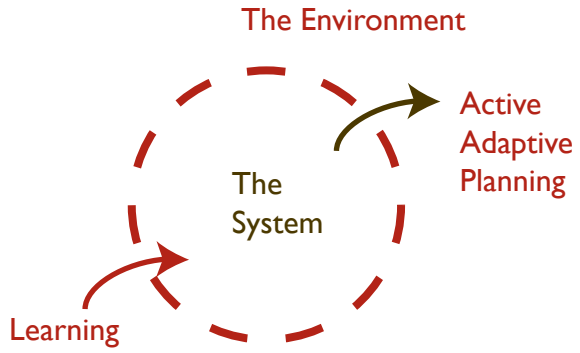
An environmental scan is an integral part of many strategic planning methods. Several of the other interventions in this chapter refer to an environmental scan. There are a variety of ways to accomplish this. Here is one way to do this intervention with a large group of participants in 30–45 minutes. Groups with fewer participants may complete this exercise in less time.

1. Introduce the Open Systems model (Rehm et al. 2002) shown in exhibit 9–1. Each system exists in relationship with its environment. Note that the system boundary is permeable because systems are affected by their environment and can affect their environment through active adaptive planning. This scan and analysis is focused on elements that are *outside of the system.*

---

### Exhibit 9–1: Open Systems Model

Open Systems




2. Lead a large group brainstorm. For example, participants call out what they see changing in their *external* environment, such as legislation, trends in client services, societal issues and trends, best practices in the field of corrections and in other fields that are relevant, and participants call out what they see happening at the county, state, and national levels. Record the responses on a list and continue to brainstorm until ideas are exhausted (approximately 15–20 minutes). When participants mention items that are internal to their system, facilitators should refocus them on the larger social environment.
3. Participants form groups of six to eight for analysis. Their task is to (1) agree on the top five items from the brainstormed list that could have the most impact on their agency/organization and (2) agree on what that impact could be.

4. Groups briefly report on their top five items and the impact, noting similarities with other groups' lists.

### Intervention: Scanning the Literature and Other Resources

Valuable information on the environment can be found through a scan of relevant literature and other resource sites. The National Institute of Corrections (NIC) Information Center recommends the following sources:

- Standard sources for economic, labor, demographic, corrections, and other statistics, including the Census Bureau, Bureau of Justice Statistics, Bureau of Labor Statistics, Congressional Budget Office, and National Conference of State Legislatures.
- Pew Research Center for articles published recently that reveal trends.
- Key corrections organizations such as American Probation and Parole Association, American Correctional Association, and American Jail Association as well as their publications.
- Technical magazines and government councils.
- Cooperative agreement announcements from the NIC and other agencies because they often fund efforts to research trends and innovations.
- NIC staff members who can provide further suggestions (see chapter 2 for more information on NIC resources).

### Intervention: SWOT Analysis

A SWOT (strengths, weaknesses, opportunities, and threats) analysis is designed to take a comprehensive look at any given situation. It can be used to identify what *is* working in an organization and what needs to be strategically considered for improvement or elimination in an organization.

The SWOT analysis that follows is designed to be used in the strategic planning process to gather and sort information about issues that the organization wants to explore—whether those issues are current ones or potential future ones. The process can be worked through individually or with a group. If a strategic planning team elects to perform a SWOT analysis, participants may begin by creating their individual lists of SWOT components before the team discussion. These lists are then combined during a half-day work session.

#### Step 1: List Strengths, Weaknesses, Opportunities, and Threats

Each participant creates four lists:

**1. Strengths.**

Strengths are areas of performance where the organization currently excels. They may be core services for which the agency is known, activities, and added efforts that have improved performance and productivity. Sometimes called "unique value propositions," strengths are activities the agency does very well and will continue to do very well.

**2. Weaknesses.**

Weaknesses are areas of vulnerability. They show up as errors and infractions on the agency's performance log. Weaknesses may be aspects of the work for which the organization has limited resources or may not perform frequently. Weaknesses are also viewed from the lens of external considerations. For instance, a weakness may be an area where the agency faces competition for resources.

**3. Opportunities.**

Opportunities are underused strengths. Opportunities are aspects of the work that the agency can rapidly and efficiently ramp up and capitalize. One can identify opportunities by considering both the internal work processes and the external operating environment.

**4. Threats.**

Threats include everything that could harm an organization's ability to operate. Threats are both internally and externally generated and include financial viability, competitors (i.e., private correctional agencies), environmental considerations, workforce preparation, technology gaps, changes to legislation (politics), media scrutiny, and changes happening in the social setting in which the organization operates.

### Step 2: Use Initial List to Build an Individual SWOT Matrix

All participants then use their individual SWOT lists to fill in the matrix shown in exhibit 9–2.

## Exhibit 9–2: Individual SWOT Matrix

| | Strengths | Weaknesses |
|---|---|---|
| Opportunities | | |
| Threats | | |

### Step 3: Gather All Identified SWOT Factors on One Master Matrix

The group continues to develop the matrix by having all matrices presented and combined to build one master SWOT matrix for the strategic planning process. This matrix can use the same form as in exhibit 9–2.

After the group discusses and builds alignment for the filled-in master SWOT matrix, the group discusses the SWOT matrix using the following qualifiers (see step 4) to determine strategies and identify resources needed to address the identified issues.

### Step 4: Create Alignment with the Identified SWOT Factors

The group should identify a facilitator and/or person to record the SWOT strategies matrix discussion (exhibit 9–3). Work through the items listed in each box, discussing and identifying the following:

- **S-O strategies:** What opportunities match the organization's strengths? How can the strategic work plan capitalize on those opportunities?
- **W-O strategies:** How can the agency overcome weaknesses to pursue strategic opportunities?
- **S-T strategies:** What strategies can be identified so the organization uses its strengths to reduce its vulnerability to identified external threats?
- **W-T strategies:** What type of defensive plan should be in place to prevent the organization's weaknesses from making it highly susceptible to external threats?

## Exhibit 9–3: SWOT Strategies Matrix

| | Strengths | Weaknesses |
|---|---|---|
| **Opportunities** | S-O strategies | W-O strategies |
| **Threats** | S-T strategies | W-T strategies |

### Step 5: Prioritize the List of Identified Action Items

Prioritizing the list of strategies identified in step 4 will ensure that key issues are addressed and the resulting action items are actionable. Multivoting is one way to do this.

Multivoting is performed by offering each participant a number of votes that is just under half of the number of items on the list. For example, for a list of 10 items, each person would be allowed 4 votes. Multivotes can be managed by giving each participant the appropriate number of colored dots or, if dots are not available, the appropriate number of check marks if the information is displayed on flipcharts or large boards. The team decides if there should be a rule to guide whether participants can use more than one vote on any one item.

Multivoting allows for a quick, visual identification of the highest priority strategies determined by the group. The team discusses multivoting results and determines which items will be dealt with in the strategic planning process. Individuals can be identified to be responsible for tracking and monitoring the process, preparing tracking materials, and determining a process for regular updating and reporting on the SWOT initiatives.

In addition to using multivoting for prioritizing strategic planning strategies, teams can use the tool make decisions about resource allocation for the upcoming fiscal year and for other decisionmaking opportunities.

## Intervention: Gap Analysis

Strategy formation is about moving an organization from its current state to a new preferred state through a dynamic environment. The difference between the current state and the preferred state is one of many gaps that needs to be examined carefully when formulating strategies for change.

Gap analysis is a way to identify blocks to achieving desired goals. It can be used by a group that is working on a strategic planning initiative and has completed the OP or another method to create shared descriptions of the organization's current state and operating environment.

Gap analysis enables the group to explore the missing steps between where they are and where they want to go. It forces a realistic look at the present state and encourages participants to speak candidly about what will be required to achieve the desired future. Gap analysis aligns group members with what needs to be done to eliminate the gap and work toward a desired future state.

### Pre-Work

Assemble the work group and describe the gap analysis need and the planned effort. Plan at least three hours for the analysis discussion. (If the group is larger than 20 people, plan for a half-day minimum.) Create a three-column work area on a wall using flip charts or newsprint, as in the gap analysis chart shown in exhibit 9–4. Provide each participant with sticky notes on which to post their comments as the discussion unfolds. Choose an issue or issues for which the group wants to perform a gap analysis.

---

### Exhibit 9–4: Gap Analysis Chart

| Desired Future State | Gap | Current State |
|---|---|---|
| | ← → | |
| | ← → | |
| | ← → | |

### Step 1: Identify the Desired Future State

Label the working column on the left hand side *Desired Future State*. Allow individuals to work alone and in small groups (two to three people) to create a list of desirable and possible future states. Instruct the group to provide as detailed a description as possible.

Invite individuals to post their top suggestions on the chart paper, reading their suggestions out loud as they post them. Participants who also have the posted suggestion on their list should raise their hands. Record the number of raised hands on the posted suggestion. This process continues until all participants have posted their top ideas.

### Step 2: Identify the Current State

Using the same process as above, invite participants to create a description of how the organization is functioning today. This information will be fresh and readily available if the group has completed the APEX OP, an environmental analysis, and/or SWOT analysis. Post the comments on the right column of the wall chart, labeled *Current State*.

### Step 3: Identify the Gaps

Label the middle panel *Gap*. Ask participants to work with a partner and discuss the following:

- What are the gaps between the present and future states?
- What is missing?
- What barriers or challenges may be causing this gap?
- What can be done to narrow or close the gap?

Have the partners share their findings and post the items they were able to identify in the gap column. Discuss the information and determine which items will move forward in the strategic planning/action planning process.

### Step 4: Assign Gap Items to Small Subgroups to Discuss

Once the group has decided which items will be taken further into the planning process, ask the small groups to identify what would be required to close the gap. Ask small groups to provide the following:

- A detailed description of the gap.
- Recommendations to address or close the gap.
- A proposed action plan to implement the recommendation.

### Step 5: Develop Action Plans and Recommendations

Reconvene the whole group and hear recommendations and action plans. Build agreement on which items will move forward, who will take responsibility for developing a plan for the agreed-upon items, and what the follow-up should look like. Add a fourth piece of chart paper, as in exhibit 9–5, to show tasks to close the gap and the individuals/groups assigned to each task. As in any strategic planning effort, these action plans should be set up with tracking, reporting, and evaluation processes. The tracking begins as the plans are documented and circulated.

Gap analysis provides an understanding of what prevents achieving higher performance in identified areas and of how to develop action plans to address the effort and resources required to bridge the current state and the desired state. The action plans should be vetted, as in any strategic planning effort, with leadership and relevant stakeholders, and especially with the staffs of all of the organizational units who are affected by the action plan.

### Exhibit 9–5: Gap Analysis Example

| Defined Gap | Task Identified to Close Gap | Desired Future State/ Outcome | Who |
|---|---|---|---|
| Long wait for assessment of programming/needs. | ■ Train more people to perform assessment.<br>■ Ensure that counselors' workloads are open to help. | Desired goal: 100% of new clients are assessed within 2 weeks. | Group of trainers and counselors, names to be determined. |

## Additional Resources

The additional resources in this section include the case study "Working Together to Create and Implement a Strategic Plan" and information about assessments. Because the Strategic Planning domain is interconnected with all the other domains, consult other chapters in this book or other books in the APEX Guidebook series for more resources.

### Case Study

#### Working Together to Create and Implement a Strategic Plan

One state parole board had come under intense public and media scrutiny for its lack of effective policies, clear procedures, and consistency of operations in granting inmates parole. The newly appointed board chair recognized that the existing strategic plan was just a paper plan, was not used by anyone, and was of no value to the staff. Upon further inquiry, the chair discovered that staff members had little or no input in developing the strategic plan, that the plan did not have clearly defined objectives, and that there was no implementation strategy developed or deployed to meet the goals.

The board chair decided that to drive the organization forward, the board would need to (1) address strategic challenges, (2) develop a comprehensive plan to meet its strategic objectives, (3) create action plans to achieve the objectives, (4) define performance measures to gauge how successful the action plans were, and (5) implement plans for deployment and sustainability. The chair wanted to ensure that the development of a strategic plan would include staff input and participation, serve as a basis to move the organization from plan to action, communicate the board's goals and direction to all stakeholders, and prioritize action steps to improve the performance of the board and to meet the goals.

To begin, the board chair (1) identified eight key influential staff members who were committed to the organization and to participating in the planning process, (2) brought in a trained professional to facilitate the process, and (3) encouraged open and free discussions. In preparation for the strategic planning conference, this newly formed strategic planning committee clarified the agency's mission, vision, and values. The committee wrote a purpose statement so that everyone who participated in the process would be clear about what they were doing. During the planning conference, the participants (1) reviewed the agency's current performance practices, (2) agreed on priorities, (3) developed a picture of the desired future state of the agency, and (4) developed clear, measurable goals,

action steps, responsibilities, accountabilities, and specific deadlines to achieve the goals. In addition, the committee developed a communication strategy to disseminate the plan.

The plan was presented to all staff members and some stakeholders, including the Department of Corrections administrators and staff, the reentry program staff, judicial representatives, community halfway house staff, and several non-profit agencies who worked with the parole board clients and their families. These presentations gave the planning committee a chance to vet the plan and get valuable feedback from key stakeholders. The planning committee included the feedback in the final version of the plan. Doing so helped the committee members implement the changes in their processes and practices because the committee interacted with those who understood the best ways to supervise the population, understood where the committee was going, and felt engaged and invested in the success of the strategic plan.

On a quarterly basis, the committee reviews the performance results and modifies the strategic plan as needed. The strategic plan is accessible to all staff members on the agency website. Performance appraisals of staff members are directly correlated to the achievement of the strategic plan's goals. Staff members are empowered to suggest ideas to reinforce and to enhance the strategic plan's goals and objectives. Because of the strategic plan, the board of parole and its staff members are making the strategy a part of everyday business and are moving forward on the road to higher performance.

### Assessments

Although there is not a specific assessment table for the Strategic Planning domain, assessments are available for most domains under the various chapters in this book. A listing of assessments is also available in *Applying the APEX Tools for Organizational Assessment*, in this series. Web links are provided for most of these assessments in the "description" column of the charts.

## Chapter References


Axelrod, R. 2010. *Terms of Engagement.* San Francisco: Berrett-Koehler.

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

Bogue, B., and N. Cebula. 2012. *Applying the APEX Assessment Tools for Organizational Assessment.* 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., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Rehm, R., N. Cebula, F. Ryan, and M. Large. 2002. *Futures That Work: Using Search Conferences to Revitalize Companies, Communities, and Organizations.* Gabriola Island, BC: New Society Publishers.

## Strategic Planning Bibliography


Abrams, R. 2003. *The Successful Business Plan: Secrets and Strategies.* 4th ed. Palo Alto, CA: The Planning Shop.

Adler, P.S. 2005. "The Evolving Object of Software Development." *Organization* 12(3):401–35.

Adler, P.S. 2008. "CMS: Resist the Three Complacencies." *Organization* 15(6):925–26.

Alexander, C. 1977. *A Pattern Language.* New York: Oxford University Press.

Alexander, C. 1979. *A Timeless Way of Building.* New York: Oxford University Press.

Alogan, G.B., and N. Yetis. 2006. "Defining Strategic Objectives: A Methodology Suited for Public Organizations." *Total Quality Management* 17(6):669–84.

Asch, S. 1952. *Social Psychology.* New York: Oxford University Press.

Axelrod, R. 2010. *Terms of Engagement.* San Francisco: Berrett-Koehler.

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

Barajas, E. 1997. "Community Justice: Bad Ways of Promoting a Good Idea." *American Probation and Parole Association Perspectives* (Summer): 16–19.

Beutler, L., T.M. Harwood, S. Kimpara, D. Verdirame, and K. Blau. 2011. "Coping Style." *Journal of Clinical Psychology* 67(2):176–83.

Beutler, L., T.M. Harwood, A. Michelson, X. Song, and J. Holman. 2011. "Resistance/Reactance Level." *Journal of Clinical Psychology* 67(2):133–42.

Billson, J.M., N. Cebula, C. Innes, 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.

Bion, W.R. 1959. *Experiences in Groups.* London: Tavistock Publication Limited.

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

Bogue, B., N. Campbell, E. Clawson, D. Faust, K. Florio, L. Joplin, and W. Woodward. 2004. *Implementing Evidence-Based Practice in Community Corrections: Leading Organizational Change and Development*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *www.nicic.org/pubs/2004/019344.pdf,* accessed August 18, 2011.

Bryson, J.M., F.S. Berry, and K. Yang. 2010. "The State of Public Strategic Management Research: A Selective Literature Review and Set of Future Directions." *The American Review of Public Administration* 40(5):495–521.

Bushe, G., and A.B. Shani. 1991. *Parallel Learning Structures.* Reading, MA: Addison-Wesley.

Cabana, S. 1995. "The Search for Effective Strategic Planning Is Over." *Journal for Quality and Participation* 18(4):9:2–11.

Campbell, N.M. 2005. *Correctional Leadership Competencies for the 21st Century: Executives and Senior-Level Leaders*. Washington, DC: U.S. Department of Justice National Institute of Corrections.

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. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Constantino, M.J., D.B. Arnkoff, C.R. Glass, R.M. Ametrano, and J.Z. Smith. 2011. "Expectations." *Journal of Clinical Psychology* 67(2):184–92.

Dutton, J.E., and R.B. Duncan. 1987. "The Influence of the Strategic Planning Process on Strategic Change." *Strategic Management Journal* 8(2):103–16, *www.entarga.com/stratplan/index.htm,* accessed May 16, 2011.

Emery, F. 1977. *Futures We Are In.* Leiden, Netherlands: Martinas Nijhoff.

Emery, F., and M. Emery. 1973. *Hope Within Walls.* Canberra, Australia: Centre for Continuing Education, Australia National University.

Emery, F., and M. Emery. 1976. *A Choice of Futures.* Leiden, Netherlands: Martinus Nijhoff.

Emery, F., and E. Trist. 1980. *Towards a Social Ecology.* New York: Springer.

Emery, M. 1982. *Searching.* Canberra, Australia: Centre for Continuing Education, Australia National University.

Emery, M. 1993. *Participative Design for Participative Democracy.* Canberra, Australia: Centre for Continuing Education, Australia National University.

Emery, M., and R.E. Purser. 1996. *The Search Conference.* San Francisco: Berrett-Koehler.

Flaherty-Zonis, C. 2007. *Building Culture Strategically: A Team Approach for Corrections, http://nicic.org/downloads/pdf/library/021749.pdf,* accessed August 18, 2011.

Ginter, P.M., L.E. Swayne, and W.J. Duncan. 2002. *Strategic Management of Health Care Organizations*. 4th ed. Malden, MA: Blackwell Publishers Inc.

Goodstein, L.D., T.M. Nolan, and J.W. Pfeiffer. 1992. *Applied Strategic Planning: A Comprehensive Guide*. San Diego, CA: Pfeiffer & Company.

Grady, R. 2007. "Problem Solving and Problem Setting," *http://robgrady.com/problem-solving-and-problem-setting,* accessed March 3, 2013.

Heinrich, C. J. 2007. "Evidence-Based Policy and Performance Management: Challenges and Prospects in Two Parallel Movements." *American Review of Public Administration* 37(3):255–77.

Hoffman, C. 2000. *The Hoop and the Tree.* Oakland, NJ: Council Oak Books.

Holman, P., and T. Devane. 1999. *The Change Handbook.* San Francisco: Berrett-Koehler.

Holman, P., T. Devane, and S. Cady. 2007. *The Change Handbook: The Definitive Resource on Today's Best Methods for Engaging Whole Systems*. 2nd ed. San Francisco: Berrett-Koehler.

Houben, G., K. Lenie, and K. Vanhoof. 1999. "A Knowledge-based SWOT-Analysis System as an Instrument for Strategic Planning in Small and Medium Sized Enterprises." *Decision Support Systems* 26(2):125–35.

Hunter Cross III, R. 1987. "Strategic Planning: What It Can and Can't Do." *SAM Advanced Management Journal* 52(1):13–16.

Hutzschenreuter, T., and I. Kleindienst. 2006. "Strategy-Process Research: What Have We Learned and What Is Still to Be Explored." *Journal of Management* 32(5):673–720.

Kaplan, R.S., and D. P. Norton. 1992. "The Balanced Scorecard—Measures That Drive Performance." *Harvard Business Review* 70(1):71–79.

Kaplan, R.S., and D.P. Norton. 1996. "Using the Balanced Scorecard as a Strategic Management System." *Harvard Business Review* (January-February):75–85.

Katsampes, P., M. Minuck, M. Bolton, and K. Daniels. 1997. "Bringing the Jail to the Forefront." *Corrections Management Quarterly* 1(3):60–64.

Kotter, J. 2005. *Our Iceberg Is Melting.* New York: St. Martin's Press.

Larsen, P., R. Tonge, and A. Lewis. 2007. "Strategic Planning and Design in the Service Sector." *Management Decision,* 45(2):180–95.

Lawrence, E. 1999. *Strategic Thinking: A Discussion Paper*. Public Service Commission of Canada, *www.leadership-skills-for-life.com/ice-breaker-ideas.html,* accessed May 16, 2011.

Levasseur, R.E. 2001. "People Skills Change Management Tools—Lewin's Change Model." *Interfaces* 31(4):71–73.

Levasseur, R.E. 2002. "People Skills: Change Management Tools—Ideal State Analysis." *Interfaces* 32(4):84.

Lewin, K. 1948. *Resolving Social Conflicts.* New York: Harper and Row.

Marsh, M. 2003. *Defining the Future: A Framework for Effective Strategic Planning*. Springfield, OH: Acorn Consulting.

McKay, E.G. 2001. "Strategic Planning: A Ten-Step Guide." *http://siteresources.worldbank.org/INTAFRREGTOPTEIA/Resources/mosaica_10_steps.pdf.*

McLagan, P., and N. Christo. 1997. *The Age of Participation.* San Francisco: Berrett-Koehler.

McLarney, C. 2001. "Strategic Planning-Effectiveness-Environment Linkage: A Case Study." *Management Decision* 39(10):809–17.

Mintzberg, H. 1978. "Patterns in Strategy Formation." *Management Science* 24(9):934–48.

Mulhare, E.M. 1999. "Mindful of the Future: Strategic Planning Ideology and the Culture of Nonprofit Management." *Human Organization* 58(3):323–30.

Nag, R., K.G. Corley, and D.A. Gioia. 2007. "The Intersection of Organizational Identity, Knowledge, and Practice: Attempting Strategic Change Via Knowledge Grafting." *Academy of Management Journal* 50(4):821–47.

National Institute of Corrections. 2007. *Building Culture Strategically: A Team Approach for Corrections*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Offermann, L.R., M.K. Gowing. 1990. "Organizations of the Future: Changes and Challenges." *American Psychological Association* 45(2):95–108.

O'Regan, N., and A. Ghobadian. 2004. "The Importance of Capabilities for Strategic Direction and Performance." *Management Decision* 42(1/2):292–312.

Oshry, B. (1986) 1992. *The Possibilities of Organization.* Boston, MA: Power and Systems Training.

Oshry, B.1994. *In the Middle.* San Francisco: Berrett-Koehler.

Oshry, B. 1995. *Seeing Systems.* San Francisco: Berrett-Koehler.

Oshry, B. 1999. *Leading System.* San Francisco: Berrett-Koehler

Oswald, S.L., K.W. Mossholder, and S.G. Harris. 1997. "Relations Between Strategic Involvement and Managers' Perceptions of Environment and Competitive Strengths." *Group and Organization Management* 22(3):343–65.

Pasmore, W. 1988. *Designing Effective Organizations.* Hoboken, NJ: Wiley & Sons.

Pava, C. 1983. *Managing the New Office Technology.* New York: The Free Press.

Pepper, S. (1942) 1970. *World Hypothesis.* Berkeley, CA: University of California Press.

Pillsbury, J.B. *A Strategic Planning Primer*. Arlington, VA: Sherbrooke Consulting.

Poister, T.H., D.W. Pitts, and L.H. Edwards. 2010. "Strategic Management Research in the Public Sector: A Review, Synthesis, and Future Directions." *The American Review of Public Administration* 40(5):522–45.

Poza, E. 1989. *Smart Growth.* San Francisco: Jossey-Bass.

Purser, R., and S. Cabana. 1998. *The Self-Managing Organization.* New York: The Free Press.

Rehm, R. 1999. *People in Charge: Designing Self-Managing Workplaces.* Gloucestershire, UK: Hawthorn Press.

Rehm, R., N. Cebula, F. Ryan, and M. Large. 2002. *Futures That Work: Using Search Conferences to Revitalize Companies, Communities, and Organizations.* Gabriola Island, BC: New Society Publishers.

Richmond, B. 1997. "The Strategic Forum: Aligning Objectives, Strategy and Process." *System Dynamics Review* 13(2):131–48.

Savage, C. 1996. *Fifth Generation Management.* Newton, MA: Butterworth-Heinemann.

Stollar, S.A., R.L. Poth, M.J. Curtis, and R.M. Cohen. 2006. "Collaborative Strategic Planning as Illustration of the Principles of Systems Change." *School Psychology Review* 35(2):181–97.

Tryon, G.S., and G. Winograd. 2011. "Goal Consensus and Collaboration." *Psychotherapy,* 48(1):50–57.

Weisbord, M. 1988. *Productive Workplaces.* San Francisco: Jossey-Bass.

Weisbord, M. 1992. *Discovering Common Ground.* San Francisco: Berrett-Koehler.

Weisbord, M., and S. Janoff. 1997. *Future Search.* San Francisco: Berrett-Koehler.

Wright, S., and D. Morley. 1989. *Learning Works.* Toronto, Canada: York University ABL Group, Faculty of Environmental Studies.

Zhao, J.S., Q.C. Thurman, and L. Ren. 2008. "An Examination of Strategic Planning in American Law Enforcement Agencies: A National Study." *Police Quarterly* 11(1):3–26.

## Web Links

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**AWEC: Association of Women Executives in Corrections**
*www.awec.us*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications*
or *www.baldrige.com*

**Center for Effective Public Policy**
*www.cepp.com*

**NAAWS: North American Association of Wardens & Superintendents**
*http://NAAWS.corrections.com*

**NIC Information Center: National Institute of Corrections**
*http://nicic.gov*

**Performance, Learning, Leadership, and Knowledge**
*www.nwlink.com/~donclark*

## Other Resource Links:

**Strategic Planning Process Steps**
*www.entarga.com/stratplan/plngsteps.htm*

**Groupware Whiteboards**
*www.ehow.com/list_7552583_groupware-whiteboard-protocols.html*

**Flip Chart Alternatives**
*www.speakernetnews.com/post/flipchart.html*

**Meeting Skills**
*www.leadership-skills-for-life.com/ice-breaker-ideas.html*

**Flip Chart Alternatives**
*www.businesscasualblog.com/2009/04/an-eight-step-process-using-post-it-notes-to-gain-meeting-consensus.html*

# Chapter 10: Measurement, Analysis, and Knowledge Management

*What gets measured gets done, what gets measured and fed back gets done well, what gets rewarded gets repeated.*

*—John E. Jones*

## Introduction

This domain addresses two core areas (1) Measurement and Analysis: the measurement, analysis, and improvement of organizational performance; and (2) Knowledge Management: the management of information, knowledge, and information technology. Through the collection, analysis, and integration of data, organizations are able to achieve higher performance. Organizational review and performance analysis lead to performance improvement. Performance is improved by using performance review findings to share and determine best practices, project future performance, and develop priorities for continuous improvement.

Resources in this chapter include guiding questions; tools and interventions, including *ASCA Performance Based Measures System*, *Inventorying Process Measurement Needs*, and *Using Decision Support Systems*; a case study about STARS (Statistical Tracking Analysis Report System); chapter references; separate bibliographies for Measurement and Analysis and Knowledge Management; and Web links.

## Guiding Questions

These guiding questions are included to help leaders and others in correctional organizations get a sense of various aspects of the Measurement, Analysis, and Knowledge Management domain and discover ideas for improvement. The questions align with the focus on higher performance in the APEX Guidebook series, and in the Baldrige Performance Excellence Program (Baldrige National Quality Program 2011).

1. **Measurement and analysis.**

   - *Performance measurement.*

     - How are data and information used to track organizational performance with respect to strategic objectives and action plans, and according to key performance measures?
     - How does this information inform decisionmaking and innovation?
     - How is comparative information used in decisionmaking and innovation?
     - How is stakeholder information used in decisionmaking and innovation?

- How effective is performance measurement for responding to unexpected change?
- *Performance analysis.* How is organizational performance reviewed? What key measures are used, what analyses are performed, and how is the review used to assess performance?
- *Performance improvement.* What is the best practice for sharing information and using findings to improve performance?

2. **Knowledge management.**

   - *Data, information, and knowledge management.*
     - How are data, information, and knowledge managed to ensure accuracy, integrity, reliability, timeliness, security, and confidentiality?
     - How are data made available to appropriate stakeholders?
     - How is knowledge best collected, identified, transferred, and maintained?
   - *Management of information resources and technology.*
     - Is hardware and software reliable, user friendly, and secure?
     - Is availability of hardware and software ensured in an emergency?

3. **Considerations for change initiatives.**

   - How will the success of the change initiative be determined?
   - What data are ideal to have?
   - What is the best way to collect, analyze, and share data?
   - How can the data inform and support decisionmaking?
   - How can the data and findings be communicated throughout the organization?

## About Measurement, Analysis, and Knowledge Management

Measurement provides agencies with clear and concise performance data and helps agencies define what issues need addressing. Analysis enables agencies to identify the causes of issues and the initial strategies for dealing with them. Knowledge management provides the means for capturing, housing, and sharing the wealth of data and information that every correctional agency contains.

One correctional agency decided to use the APEX (Achieving Performance Excellence) change management process to help further develop its capacity to understand the available data and to ensure that its limited resources are maximized. The agency realized that it was collecting a lot of data, some of which was no longer needed, so

it decided to "clean house"—an important task in any data management system. The agency began to develop a data-driven environment in which relevant data would be available to all who needed it so that (1) resources would be distributed appropriately, (2) staff members would have the information necessary to do their work effectively and efficiently, and (3) clients would be empowered to successfully complete the terms of their supervision.

Higher-performing agencies are able to collect effective data, track it over time, and use the information to inform decisionmaking, make improvements, and pay attention to what has changed and how it has changed so that they can analyze trends and develop next steps. Performance can be improved more rapidly and systematically through continuous review and analysis. Improving performance leads to higher performance. These agencies also develop effective knowledge management systems so that information can be easily found and shared.

Accurate data can be used to make decisions at the organizational level, as well as at the frontline officer/client level. Many agencies use risk and need assessments to make critical decisions about housing, treatment, and program participation. For these assessments to work well, the data collection, analysis, and management processes must be effective and precise. Critical public safety decisions are made based on these data; therefore, data need to be available to all whose work affects clients and whose work is affected by clients' actions.

## Measuring What Matters

> *You get what you measure. Measure the wrong thing and you get the wrong behaviors.*
>
> *—John H. Lingle*

The Association of State Correctional Administrators' (ASCA) Performance Based Measures System (PBMS) sets a good standard for correctional agencies' measurement practices. Even for those who choose not to go through the full PBMS process, the measures and performance indicators can be used to set up an agency-specific data measurement system. Reviewing the agency's mission, vision, values, strategic plan, goals, and objectives is a good place for one to start. Doing so helps determine what the most important data points are—the ones that will provide information about how the agency is performing according to specifications in the mission, strategic plan, and so on.

For agencies that want to shift to a more results-based focus, one of the first steps in improving performance is accurately measuring it. The APEX Initiative can help agencies integrate performance measurement and analysis in a systematic manner, using the eight Public Safety domains (Leadership; Operations: Safe and Secure Supervision and Setting and Process Management; Organizational Culture; Stakeholder Focus; Workforce Focus; Strategic Planning; Measurement, Analysis, and Knowledge Management; and Results).

Sometimes agencies neglect to eliminate unnecessary items in their data and performance indicators. As a result, they find that they are counting and measuring so many things that the system has become too overwhelming to deal with. Agencies often add measurements to their performance management system as new policies, programs, and processes are implemented. Leaders in higher-performing organizations understand that periodic reviews of data and performance indicators can identify those data that are no longer used and "scrub" them from the system. One of the interventions discussed later, i*nformation system management*, can be useful for agencies that want to review and prioritize the existing data elements.

## What Is Knowledge Management?

Knowledge management is a key component of an effective performance management system and is useful in many ways. It can help organizations (1) make sense of and find patterns in the immense amount of data they collect, (2) enhance process improvement efforts, (3) facilitate innovations, (4) facilitate data analysis, and (5) create a solid foundation for data-driven decisionmaking.

Knowledge management includes the following areas:

- *Properties*—maintaining organizational information and knowledge in a way that ensures accuracy, integrity, reliability, timeliness, security, and confidentiality
- *Access*—storing the information that leadership and the workforce need to do their work in an easily accessible way, as well as allowing for different levels of access to various stakeholders groups
- *Information sharing*—which includes the following:
  - Collecting and transferring workforce knowledge.
  - Exchanging knowledge with stakeholders.
  - Identifying and sharing best practices.
  - Gathering and making available the knowledge that will be useful in change efforts and strategic planning processes.
- Ensuring that hardware, software, and data are reliable, secure, easy to use, and available under normal circumstances and, especially, during emergencies

If people do not know where information and knowledge are, they cannot use it. The application of sound knowledge management practices can enable correctional agencies to improve performance, facilitate staff development, enhance communications with internal and external stakeholders, leverage the expertise of staff members across the agency, and effectively capture and share client information to enhance clients' chances of success.

## The Importance of Communication

How the analysis reports and results are communicated is very important and needs to be done in a way that does not create fear for anyone. If results are not what leadership expects them to be, treating such disappointment as a learning opportunity and developing strategies to improve the results is critical to successful implementation and sustainability. If staff members feel that they will be punished for poor performance, especially at the beginning of implementing an enhanced performance management system, that sense can undermine trust, and the sustainability of the data collection and reporting process may be compromised.

When a new policy or procedure is implemented, the initial results can often be misleading. For instance, when one agency adopted a zero-tolerance policy for sexual abuse, the number of incidents reported initially rose. At first the leadership was concerned, and it was challenging for them to not overreact. They decided to create a small team to check out why the numbers had increased. The team found that as staff members and offenders began to

trust that they would not be punished for reporting incidents and started to realize that sexual abuse was no longer tolerated (and not "just what people deserve when they are locked up"), people felt empowered to file incident reports. Leadership realized that the number of incidents being reported was probably more accurate than what had been reported before the implementation of the new policy. Staff members and offenders, who had been bound by the code of silence, now felt empowered to report incidents. After a few months, reports showed that the number of incidents decreased dramatically.

## Tools and Interventions

The tools and interventions in this section include *ASCA Performance Based Measures*, *Inventorying Process Measurement Needs* (including an *Information System Inventory* and *Information Dashboards)*, and *Using Decision Support Systems* (with an intervention for *Identifying and Innovating Design Support Systems*). Every correctional agency has a unique combination of strengths and weaknesses. To succeed, each change initiative will involve some degree of effort and personalization of the tools and interventions in this chapter as well as the other chapters in this book. Setting the stage for change by preparing the staff, and by being flexible and innovative in customizing tools and interventions, will allow for an easier and more efficient change process.

> *In God we trust; all others bring data.*
>
> *—W. Edwards Deming*

### Using the ASCA Performance Based Measures System

In January 2001, the ASCA assembled a Performance Measures Committee whose charter was twofold: to develop consistent and meaningful correctional performance measures for adult prisons and community-based programs and to develop an automated system that would enable the collection, management, and sharing of that data. ASCA committed to an effective and secure system for sharing performance measures among its membership. The capability to systematically collect, manage, and share data across jurisdictions enables administrators to identify strengths and weaknesses internally and in comparison with other organizations. It also enables peers to share established and successful methods that enhance performance. However, to be effective, state organizations must all be measuring the same thing. ASCA recognized that state correctional system data were measured and compared using different definitions and criteria, which made it difficult to make meaningful comparisons with others.

The committee's efforts resulted in the establishment of a Performance Based Measures System (PBMS), which is a nationwide, automated mechanism for frequently collecting and sharing accurate adult prison and community-based information. It is designed to help organizations make better-informed decisions, using data on trends within an organization as well as information on how other correctional organizations are performing.

The goals of PBMS are as follows:

- To promote a tool for organizational self-assessment.
- To provide routine and specialized reports that enable organizations to evaluate their performance over time and provide a comparison against other organizations.

- To facilitate information sharing with local, state, and federal organizations (stakeholders).

States are encouraged to participate in the PBMS agenda so that they can make actual comparisons using standard definitions of the measures. Because the public and stakeholders look for accountability and data, states are well advised to use the data as the impetus for improvements in systems/departments and to promote healthy competition with accurate comparisons among systems.

Here is an example of the performance measures development process:

- Standards (areas of responsibility) are established (e.g., public safety).
- Measures of performance are determined (e.g., escapes).
- Key indicators of performance on measures are defined (e.g., number of escapes from secure perimeter, number from outside secure perimeter, etc.).
- Counting rules are established (definitions of the indicators and specific rules for counting the events).

The committee has created definitions and/or counting rules for more than 73 agency and facility characteristic values. Those values give context to performance measures and allow for meaningful comparisons across agencies and facilities. For example, the number of male and female security staff members is defined as "Number of male/female uniformed staff, such as majors, captains, lieutenants, sergeants, cadets, and correctional officers employed throughout the agency on the last day of a given month." That number can be used to select agencies or facilities with similar security staffing rates or patterns for purposes of comparison.

Within a period of about 10 years, PBMS has evolved as a hierarchical typology of performance standards, measures, and key indicators of critical correctional practices designed to translate the missions and goals of correctional organizations into a set of measurable outcomes. Performance standards represent the qualities and goals viewed as critical for reducing institutional violence and improving prisoner and staff safety. As more states fully accept the system, corrections has modified how it assesses its performance and provides data to address its performance gaps (Association of State Correctional Administrators 2011).

## Inventorying Process Measurement Needs

Depending on their level within the organization, correctional managers are responsible for a wide array of processes, either contributing to a process or owning a set of different processes. Sorting the priorities for process improvement under those circumstances can be daunting unless it is approached systematically.

> *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*

### Intervention: Information System Inventory

A good place to begin when assessing the Measurement, Analysis, and Knowledge Management domain in a correctional organization is taking an inventory of the existing information systems. Although information about

and management of the supervised population is the most dynamic of an agency's information systems, those systems for the basic facilities, operations, staffing, and finance are also important; they provide the foundation for the agency's capacity to handle and support the supervised population. When undertaking an inventory, follow these steps:

- Complete the inventory with a team of managers and staff members from across the organizations.
- Use the matrix in exhibit 10–1 as a survey. Distribute it to the team and others, and then collect and analyze the information gathered with the team or use it in a group brainstorming session.
- Customize the inventory. Review the generic elements and add any other items to accurately reflect what data the agency needs. Use this level of analysis for understanding the management information systems of key facility and operations activities, with only a few items focused on the supervised population.
- After conducting the survey, review the results and highlight any discrepancies and/or problem areas.
- Discuss the importance of the discrepancies and/or problems to determine the causes, and then rank them to determine which one to deal with first.
- Develop strategies to deal with the prioritized issues.
- If significant deficiencies are found in the key facility and operations management information systems, address those first.

The information system inventory (exhibit 10–1) is designed to build awareness and to help agencies distinguish between the adequacy and effectiveness of the actual facility or operations (water supply, consumables supply, financial support, etc.) and that of the information being collected, analyzed, reported, and used in decisionmaking. When serious deficiencies are discovered, the management information system can be both the cause and effect of poor performance. In those cases, the deficiencies should be dealt with before other change efforts begin. Without adequate ways of collecting, analyzing, and sharing data, an agency cannot know whether processes, procedures, or practices are effective.

### Intervention: Information Dashboards

Information dashboards provide a way to clearly and concisely show certain key performance indicators that are relevant to a particular department, topic, process, and so on. Their design is based on the automobile dashboard, which takes critical data elements and presents them in a simple-to-read manner—speed, oil temperature, revolutions per minute, and the like—so that drivers can get quick but important information without too much distraction. A well-designed information dashboard is easy to read, communicates a few items without distractions, shows the performance indicators visually, and provides meaningful and useful data for particular users.

Dashboards tend to focus on a few key indicators. Sometimes dashboards contain a coding system to show trends and changes in performance over time. Stoplight colors are often used, because these colors are easy to recognize and their meanings are well known. Red usually means that performance is getting worse over time; yellow can indicate no change or very little change; and green often indicates improvement or that the target/goal has been met or exceeded.

## Exhibit 10–1: Information System Inventory

| MANAGEMENT COMPONENT | Who is watching this? | Where are the data on this? | What is reported? | How often is it updated? | Who can access it? | Who uses it? | Is it managed well? | Improvement opportunities |
|---|---|---|---|---|---|---|---|---|
| Facility Condition | | | | | | | | |
| Maintenance | | | | | | | | |
| Capacity use | | | | | | | | |
| Replacement/ upgrade plans | | | | | | | | |
| Other | | | | | | | | |
| Facility Operations | | | | | | | | |
| Sewer | | | | | | | | |
| Water | | | | | | | | |
| Heating, ventilation, cooling | | | | | | | | |
| Security | | | | | | | | |
| Transportation (by foot and vehicle) | | | | | | | | |
| Other | | | | | | | | |
| Program Operations | | | | | | | | |
| Materials in/out Inventory | | | | | | | | |
| Facility capacity scheduling | | | | | | | | |
| Other | | | | | | | | |

| MANAGEMENT COMPONENT | Who is watching this? | Where are the data on this? | What is reported? | How often is it updated? | Who can access it? | Who uses it? | Is it managed well? | Improvement opportunities |
|---|---|---|---|---|---|---|---|---|
| Staffing | | | | | | | | |
| Hiring/vacating/ succession | | | | | | | | |
| Cross-training inventory | | | | | | | | |
| Time allocation to programs | | | | | | | | |
| Other | | | | | | | | |
| Clients | | | | | | | | |
| Incoming assessment | | | | | | | | |
| Program assignment/ attendance | | | | | | | | |
| Ongoing assessment | | | | | | | | |
| Staff time use | | | | | | | | |
| Exit follow-up assessment | | | | | | | | |
| Other | | | | | | | | |
| Budget | | | | | | | | |
| Revenues | | | | | | | | |
| Costs | | | | | | | | |
| Projections of revenue and costs | | | | | | | | |
| Other | | | | | | | | |

For instance, one correctional agency wanted to develop a report for staff members that would allow them to quickly see the results of the agency's shift to a reentry focus. The leadership decided to focus on a few key indicators: risk-needs assessments, case plan completions, housing stability, treatment participation, no substance abuse, employment rate, technical revocations, and new conviction revocations. Exhibit 10–2 illustrates the first page of the dashboard.

### Exhibit 10–2: Reentry Focus: Change from 1st Quarter to 2nd Quarter (current fiscal year)

| Agency Processes | | |
|---|---|---|
| Risk-needs assessments | +22% | 🟢 |
| Case plan completions | -1% | 🟡 |
| **Community Support** | | |
| Housing stability | -14% | 🔴 |
| Treatment participation | +6% | 🟡 |
| Negative substance abuse tests | +12% | 🟢 |
| Employment rate | -23% | 🔴 |
| **Outcome Measures** | | |
| Technical revocations | -32% | 🟢 |
| New conviction revocations | -13% | 🟢 |

This dashboard shows clearly how the agency is doing according to a few key indicators, and the information can be used to prioritize strategies and actions. Additional pages can go into more detail about each indicator, for each parole officer, and the like. The first page, however, remains clear and concise.

> *Without a standard there is no logical basis for making a decision or taking action.*
>
> *—Joseph M. Juran*

## Using Decision Support Systems

The key word for decision support systems (DSS) may be relevance. DSS are computer-based information systems that support decisionmaking and business operations. If the data/information a DSS provides are not relevant to the decisionmakers, then the DSS is not serving its function. Operational procedures and processes are changing rapidly, as are the informational needs, learning, and growth of the staff. Because of the dynamic attributes of relevant data, collecting information, portraying it in user-friendly formats, and making the reports readily accessible can be challenging. But maintaining current and relevant information is critical for managers to successfully guide their operations with informed decisionmaking.

### Intervention: Identifying and Innovating Decision Support Systems

The following steps provide an outline for developing a DSS:

- Impanel a work group of leaders, managers, and other staff members who are invested in the quality of the organization's ongoing process improvement, quality assurance, and project implementation fidelity. Before the first meeting, have members of the workgroup read and review this exercise and the information inventory intervention discussed earlier in this chapter, as well as the intervention for identifying key process change projects (in chapter 5, "Operations Focus"). Inform the participants that the work group's goal goes beyond troubleshooting a vulnerable process and, at its heart, enhances capacity for enabling flexible and relevant DSS.

- During the first meeting, identify key organizational processes, current implementation projects, or critical event cycles (e.g., urine testing, contraband searches, case planning, shift change debriefing, etc.) that are the least transparent and would benefit from additional performance assessment feedback and/or increased objective examination.

- From the list created in the previous step, ask each group member to rank the 10 processes, projects, or critical event cycles most in need of review, then create one composite list. Give each member five votes, and have each member vote for the five topics that he/she thinks are the most important. Using this multivote, determine which topics have the highest priority.

- Select one priority area, and design and develop a DSS for that area.

  - Conduct an informal scan among members of the work group to inventory all the available information sources associated with the focal area.

  - Organize and review all available sources in descending order, with the least reliable or proven in last place.

  - Identify the biggest gaps in relevant, operational information pertaining to the priority topic.

  - Discuss what makes those gaps important and why they exist. These gaps can occur because existing data are unreliable or unproven, or because information does not exist.

  - Conclude the first session by setting a next meeting date and delegating responsibilities for collecting two kinds of information in the interim:

  - Benchmarking information can help the agency see what other organizations have done to improve their operational knowledge and awareness of the respective topic.

  - Internal assessments will generate information about the reliability of the identified information sources.

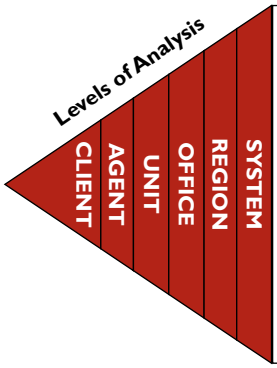
- Review the inventory and the information-gathering results from the previous meeting.

  - Reevaluate which areas have the weakest relevant information sources.

  - Identify what kind of information is most likely to enhance performance for the given operational topic area.

  - Use the Kellogg Logic model to identify what drives outputs and outcomes (W.K. Kellogg Foundation 2004). Refer to exhibit 10–3, Logic Model Developmental Stages.

## Exhibit 10–3: Logic Model Developmental Stages




| INPUTS | THROUGHPUTS | OUTPUTS | OUTCOMES |
|---|---|---|---|
| - Caseload size<br>- Tx group size<br>- Avg risk level pop.<br>- Annual training hrs/ agent<br>- Annual staff turnover rate<br>- Org Climate measures | - Avg MITI-Five skill rating<br>- % session focused on criminogenic needs<br>- Rate of home visits<br>- Client engagement specific to their criminogenic needs<br>- Tx Dose: % Adherence Avg min/mo.<br>- Per capita mo. rate UAs | - Successful plan completion<br>- Change vs. case plans<br>- Positive 'gain' scores on assessments<br>- Restitution collected<br>- % improvement in employment rate<br>- Grade retention<br>- Rate UAs positive | - Recidivism reduction<br>- Family reunification<br>- % employed<br>- Grade retention<br>- Reduction in violence |

- Identify the inputs, throughputs, outputs, and outcomes specifically related to the chosen topic area.
- Using the outcomes column as a driver, ask a series of questions such as the following:
  - What would long-term success look like?
  - Is the end state described so that anyone can understand it?
  - Does the definition of higher performance differ among stakeholders?
  - What outcomes would yield these results at this level of quality or efficiency?
  - What long-term goals would be necessary to meet outcomes consistently?
  - What are the short-term goals?
  - What metrics will measure results effectively and consistently?
  - Do these metrics make sense in the agency's human resources, stakeholder focus, financial efficiency, or other key areas of performance?
  - What resources would be needed to achieve results?
  - What are the key outputs that consistently contribute to the outcomes needed?
  - Can outputs be measured consistently?
- Create a DSS logic model (see exhibit 10–4, Sample DSS Logic Model, for an example) for each of the system levels.
  - Macro: entire system or region level aggregate data.
  - Meso: local office or unit data elements.
  - Micro: individual client or staff performance measures.

### Exhibit 10–4: Sample DSS Logic Model

| Level or Unit of Analysis | Inputs | Throughputs | Outputs | Outcomes |
|---|---|---|---|---|
| Macro: System Level | | | | |
| Meso: Local Office/Unit | | | | |
| Micro: Individual Client Risk/Protective or Staff Performance | | | | |
| Other | | | | |

- Using the inventory and logic model, have the group identify and define the appropriate domains, measures, and related criteria necessary to describe and predict performance in the respective topic area (e.g., urine testing, contraband searches, case planning, shift change debriefing, etc.). Create an organized process for establishing new measures and performance indicators (a DSS) for the topic, and vet this prototype with a variety of internal and external subject matter experts.
- Refine the prototype DSS based on the feedback, and establish a process for collecting and analyzing the resulting data.
- Implement the new method of data collection and analysis, ideally as a limited pilot, and review its effectiveness with staff members, leadership, and subject matter experts.

Working though the identifying and innovating DSS intervention provides agencies with a process that they can use again and again to review, enhance, and create performance-related measures in any operational area. More information on the Kellogg Logic Model can be found in chapter 3, "Operations Focus: Process Management," in *Understanding Corrections through the APEX Lens* (Cebula, Lantz, and Ward 2012).

## Additional Resources

The additional resources in this section include a case study about STARS (Statistical Tracking Analysis Report System). Because the Measurement, Analysis, and Knowledge Management domain is interconnected with all the other domains, consult other chapters in this book or the other books in the APEX Guidebook series for more resources.

### Case Study

#### STARS for Performance Improvement

A northeast state correctional system used a performance-based measurement tracking and analysis system (STARS) at each of its correctional facilities to measure, analyze, manage, and inform its work systems and work

processes. Data were collected and analyzed on a monthly basis at each facility and compared with data collected each of the previous 12 months and with the most recent quarterly averages. Data from all facilities were electronically submitted and analyzed on a monthly basis for review by the executive team, thus informing the executive team of any trends, issues, programs, services, or concerns that needed to be addressed for continuous performance improvement. The data analysis informed the operations focus of the agency (custody, security, programs, and services) and assisted in the strategic planning efforts.

Standard data collected included activities related to contraband, escapes, use of force, inmate disciplines, staff and inmate assaults, sexual misconduct (Prison Rape Elimination Act-related), workers compensation, suicide, security risk groups, staff and inmate grievances, emergency preparation/drills, religious programs and services, food services, maintenance services, program services (including addiction, cognitive, sex offender, etc.), education and vocational programs, and health services. Human resources/staffing vacancies, budget status, and specific facility goals and achievements were included in the report. In addition to the electronic report, on a monthly basis, each warden presented and shared data on the status of his/her facility performance with other wardens and administrators. At each facility, the STARS data were posted for all staff members to review and were presented and discussed in facility staff meetings.

The effect was to inform and engage the staff in performance improvement and strategic goals achievement. At least twice a year, the executive team tours each facility, and the warden and department heads give a formal presentation on the status of their facility performance measures and goals achievement in support of the agency strategic plan. Those meetings inform the executive team of any issues, concerns, or adjustments needed to enhance the achievement of goals in the agency strategic plan in support of the agency mission.

STARS enhanced the operations of each facility, and ultimately the agency, by creating shared expectations, benchmarks, and a knowledge base for staff performance improvement. Because of STARS, the agency reduced its critical incidents by 35 percent in 2 years by concentrating on the locations, types, and times at which incidents occurred; modifying program scheduling; reducing the number of inmate participants in targeted programs; and increasing video surveillance and staff presence.

As this case study demonstrates, the integrity of the data in STARS stimulates innovation and best practices across an agency and is flexible in that it targets areas for further research, data collection, analysis, and response. It is an excellent communication vehicle for garnering stakeholder support because it can articulate progress and an agency's commitment to safe and secure settings, fiscal efficiency, and higher performance outcomes. STARS informs an agency's strategic plan, especially in the areas of facility safety, security, and inmate health care, and it enhances the success of an agency's mission.

## Chapter References

Association of State Correctional Administrators. 2011. ASCA Performance Based Measures System: Resource Manual. Middletown, CT: ASCA, *www.asca.net/system/assets/attachments/5270/*PBMS%20Manual%20November%202011%20.pdf?1357852388,* accessed May 1, 2013.

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

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

W.K. Kellogg Foundation. 2004. *Logic Model Development Guide: Using Logic Models to Bring Together Planning, Evaluation, and Action*. Battle Creek, MI: W.K. Kellogg Foundation.

## Bibliographies

### Measurement and Analysis

Association of State Correctional Administrators. 2011. ASCA Performance Based Measures: Resource Manual. Middletown, CT: ASCA, *www.asca.net/system/assets/attachments/5270/*PBMS%20Manual%20November%20 2011%20.pdf?1357852388,* accessed May 1, 2013.

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

Bartczak, L. 2005. *A Funder's Guide to Organizational Assessment*. St. Paul, MN: Fieldstone Alliance Publishing Center.

Billson, J.M., N. Cebula, C. Innes, 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.

Bing, J.W. 2004. "Metrics for Assessing Human Process on Work Teams." *International Association for Human Resource Information Management Journal* 8(6):26–31.

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

Bogue, B., B. Woodward, N. Campbell, M. Carey, E. Clawson, D. Faust, K. Florio, A. Goldberg, L. Joplin, and B. Wasson. 2005. *Implementing Effective Correctional Management of Offenders in the Community: Outcome and Process Measures*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.gov/Library/021041*.

Boone, H.N., and B.A. Fulton. 1996. *Implementing Performance-Based Measures in Community Corrections.* Washington, DC: U.S. Department of Justice, National Institute of Justice.

Boone, H.N.J., and B. Fulton. 1995. *Results-Driven Management: Implementing Performance-Based Measures in Community Corrections.* Lexington, KY: American Probation and Parole Association.

Bogue, B., N. Campbell, M. Carey, E. Clawson, D. Faust, K. Florio, and W. Woodward. 2004. *Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention*. Washington, DC: U.S. Department of Justice, National Institute of Corrections and Crime and Justice Institute, *www.nicic.org/pubs/2004/019342.pdf*.

Bogue, B., W. Woodward, N. Campbell, M. Carey, E. Clawson, D. Faust, and B. Wasson. 2005. *Implementing Effective Correctional Management of Offenders in the Community Outcome and Process Measures.* Washington, DC: U.S. Department of Justice, National Institute of Corrections, *http://nicic.org/Downloads/PDF/Library/021041.pdf*.

Bonta, J., and K.R. Hanson. 1994. *Gauging the Risk for Violence: Measurement, Impact and Strategies for Change.* Ottawa, ON, Canada: Corrections Research-Solicitor General.

Byrne, S., and C. Schaefer. 2006. *The Baldrige Program: Self-Assessment for Continuous Improvement Assessing the Assessments*. Gaithersburg, MD: U.S. Department of Commerce, Baldrige National Quality Program.

Brynjolfsson, E., L. Hitt, and H. Kim. 2011. *Strength in Numbers: How Does Data-Driven Decisionmaking Affect Firm Performance?*, *http://ssrn.com/abstract=1819486*, accessed July 17, 2010.

Cebula, N., E. Craig, J. Eggers, M. 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., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., and E. Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Clawson, E., and M. Guevara. 2010. *Putting the Pieces Together: Practical Strategies for Implementing Evidence Based Practices.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Crime and Justice Institute and National Institute of Corrections. 2007. *Intermediate Measures Database Handbook and Instruction Manual: Implementing Effective Correctional Management of Offenders in the Community*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Dilulio, J., ed. 1993. *Performance Measures for the Criminal Justice System*. Washington, DC: U.S. Department of Justice, Bureau of Justice Statistics.

Frech, J. 2002. "Evaluation and Performance Measurement Capabilities for Internet Technologies in Human Services." In B. Van Lare and J. Jakopic (eds.), *The Finance Project*. Washington, DC: The Finance Project, *http://76.12.61.196/publications/evalprogpermeascabilities03.pdf*.

Glaser, E.M., and H.H. Abelson. 1983. *Putting Knowledge to Use*. San Francisco: Jossey-Bass.

Guevara, M., and E. Solomon. 2009. *Implementing Evidence-Based Policy and Practice in Community Corrections.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Hartke, K.L. 1984. "Work Units in Theory and Practice." *Corrections Today* (February):66–68.

Heitzmann, C., and R. Kaplan. 1988. "Assessment of Methods for Measuring Social Support." *Health Psychology* 7(1):75–109.

Hernandez, M. 2000. "Using Logic Models and Program Theory to Build Outcome Accountability." *Education and Treatment of Children* 23(1):24–40.

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, *http://nicic.gov/Library/021258.*

Hurst, H. 1999. *Workload Measurement for Juvenile Justice System Personnel: Practices and Needs*. Washington, DC: U.S. Department of Justice, Office of Justice Programs.

Judge, T.A., J.E. Bono, C.J. Thoresen, and G.K. Patton. 2001. "The Job Satisfaction–Job Performance Relationship: A Qualitative and Quantitative Review." *Psychological Bulletin* 127(3):376–407.

Kaplan, R.S., and D.P. Norton. 1992. "The Balanced Scorecard—Measures That Drive Performance." *Harvard Business Review* 70(1):71–79.

Lohr, S. 2011. "When There's No Such Thing As Too Much Information." *www.nytimes.com/2011/04/24/business/24unboxed.html?_r=0*, accessed March 29, 2013.

Lucas, J. 2009. *Measuring What Matters Most*. Gaithersburg, MD: U.S. Department of Commerce, Baldrige National Quality Program.

MacKenzie, D. 2000. "Evidence-Based Corrections: Identifying What Works." *Crime and Delinquency* 46(4):457–71.

Marsden, P. 1990. "Network Data and Measurement." *Annual Review of Sociology* 16:435–63.

McWhorter, L.B., M. Matherly, and D. Frizzell. 2006. "The Connection Between Performance Measurement and Risk Management." *Strategic Finance* 87(8):50–55.

Meyer, C. 1994. "How the Right Measures Help Teams Excel." *Harvard Business Review* (May-June):95–103.

Nicholson-Crotty, S., N.A. Theobald, and N.J. Nicholson-Crotty. 2006. "Disparate Measures: Public Managers and Performance-Measurement Strategies." *Public Administration Review* 66(1):101–13.

North, M.A. 2007. "Seven Ways to Improve Your Resource Bank." *Information Outlook* 11:11–16.

Orenstein, R.L. 2006. "Measuring Executive Coaching Efficacy? The Answer Was Right Here All the Time." *Consulting Psychology Journal: Practice and Research* 58(2):106–16.

Poister, T.H., and G. Streib. 1999. "Performance Measurement in Municipal Government: Assessing the State of the Practice." *Public Administration Review* 59(4):325–35.

Rogers, E.W., and P.M. Wright. 1998. "Measuring Organizational Performance in Strategic Human Resource Management: Problems, Prospects, and Performance Information Markets." *Human Resource Management Review* 8(3):311–31.

Rowan-Szal, G.A., J.M. Greener, G.W. Joe, and D.D. Simpson. 2007. "Assessing Program Needs and Planning Change." *Journal of Substance Abuse Treatment* 33(2):121–29.

SAMHSA. 2003. *Supported Employment: Using General Organizational Index for Evidence-Based Practices*. Washington, DC: U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration.

Saul, J. 2004. *Benchmarking for Nonprofits*. St. Paul, MN: Fieldstone Alliance Publishing Center.

Simpson, D. 1998. *Focus on Data Collection Systems*. Fort Worth, TX: Texas Christian University, Institute of Behavioral Research.

Smyth, K.F., and L.B. Schorr. 2009. *A Lot to Lose: A Call to Rethink What Constitutes "Evidence" in Finding Social Interventions That Work*. Malcolm Wiener Center for Social Policy Working Paper Series. Boston: Harvard Business School, John F. Kennedy School of Government.

Street, S. 2004. "Quality Case Management through Integrated Use of Assessment Data." *Topics in Community Corrections*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Tardy, C. 1985. "Social Support Measurement." *American Journal of Community Psychology* 13(2):187–202.

U.S. General Accounting Office. 2004. "High-Performing Organizations: Metrics, Means, and Mechanisms for Achieving High Performance in the 21st Century Public Management Environment." Highlights of the GAO Forum on 21st Century Workforce Challenges and Opportunities. Washington, DC, April 22, 2004.

Walters, J. 2007. *Measuring Up 2.0.* Washington, DC: Governing Books.

Warren, R. 2008. *Evidence-Based Practices to Reduce Recidivism: Implications for State Judiciaries Implementing Effective Correctional Management of Offenders in the Community.* Washington, DC: U.S. Department of Justice.

White, T. 2005. *Evidence-Based Practice in Probation and Parole*. Hartford, CT: Connecticut Judicial Branch, Court Support Services Division.

White, T.F. 2008. "Process and Outcome Measurement: Cornerstone or Achilles' Heel of Evidence-Based Practice?" *Journal of Community Corrections* 17(4):17–20.

Wholey, J. 1996. "Formative and Summative Evaluation: Related Issues in Performance Measurement." *Evaluation Practice* 17(2):145–49.

## Knowledge Management


Adler, P.S. 2001. "Market, Hierarchy, and Trust: The Knowledge Economy and the Future of Capitalism." *Organization Science* 12(2):215–34.

Adler, P.S., P. Riley, S.W. Kwon, J. Signer, B. Lee, and R. Satrasala. 2003. "Performance Improvement Capability: Keys to Accelerating Performance Improvement in Hospitals." *California Management Review* 45(2):12–33.

Allee, V. 2003. *The Future of Knowledge: Increasing Prosperity through Value Networks*. Burlington, VT: Elsevier Science.

Allee, V. 2008. "Value Network Analysis and Value Conversion of Tangible and Intangible Assets." *Journal of Intellectual Capital* 9(1):5–24.

Ardichvili, A., V. Page, and T. Wentling. 2003. "Motivation and Barriers to Participation in Virtual Knowledge-Sharing Communities of Practice." *Journal of Knowledge Management* 7(1):64–78.

Ash, J. 2009. "Knowledge Works: KM Maxims." *Inside Knowledge* 9(7):2.

Backer, T.E. 1993. "Information Alchemy: Transforming Information through Knowledge Utilization" *Journal of the American Society for Information Science* 44(4):217–21.

Bailey, C., and M. Clarke. 2001. "Managing Knowledge for Personal and Organisational Benefit." *Journal of Knowledge Management* 5(1):58–68.

Baird, L., and D. Griffin. 2006. "The Case for Dynamic Learning." *Organizational Dynamics* 35(4):372–83.

Baldrige National Quality Program. 2006. *How Do You Know?* Washington, DC: U.S. Department of Commerce.

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

Bate, S.P., and G. Robert. 2002. "Knowledge Management and Communities of Practice in the Private Sector: Lessons for Modernizing the National Health Service in England and Wales." *Public Administration* 80(4):643–63.

Billson, J.M., N. Cebula, C. Innes, 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.

Binney, D. 2001. "The Knowledge Management Spectrum—Understanding the KM Landscape." *Journal of Knowledge Management* 5(1):33–42.

Bogue, B., N. Campbell, M. Carey, E. Clawson, D. Faust, K. Florio, and W. Woodward. 2004. *Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention*. Washington, DC: U.S. Department of Justice, National Institute of Corrections, *www.nicic.org/pubs/2004/019342.pdf*, accessed July 22, 2010.

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

Brynjolfsson, E., L. Hitt, and H. Kim. 2011. *Strength in Numbers: How Does Data-Driven Decisionmaking Affect Firm Performance?*, *http://ssrn.com/abstract=1819486*, accessed June 17, 2009.

Bryson, J.M., F.S. Berry, and K. Yang. 2010. "The State of Public Strategic Management Research: A Selective Literature Review and Set of Future Directions." *The American Review of Public Administration* 40(5):495–521.

Buckman, R.H. 2004. *Building A Knowledge-Driven Organization*. New York: McGraw-Hill.

Byrne, S., and C. Schaefer. 2006. "The Baldrige Program: Self-Assessment for Continuous Improvement." *Assessing the Assessments,* Rockville, MD: U.S. Department of Commerce.

Cebula, N., E. Craig, J. Eggers, M. 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., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., and E. Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Dal Fiore, F. 2007. "Communities Versus Networks: The Implications on Innovation and Social Change." *American Behavioral Scientist* 50(7):857–66.

Ericksen, J., and L. Dyer. 2004. "Toward a Strategic Human Resource Management Model of High Reliability Organization Performance." *International Journal of Human Resource Management* 16(6):907–28.

Geffen, M., and J. Kost. 2006. "How Technology Enables Transformation of Human Service Administration." *Policy and Practice of Public Human Services* 64(4):14–17.

Hall, D. 2008. "Technology Transfer on Main Street." *Addiction Professional* 6(5):26–28.

Heckscher, C. 2007. *The Collaborative Enterprise: Managing Speed and Complexity in Knowledge-based Businesses*. New Haven, CT: Yale University.

Hernandez, M. 2000. "Using Logic Models and Program Theory to Build Outcome Accountability." *Education and Treatment of Children* 23(1):24–40.

Hitachi Consulting Corporation. 2005. *Knowledge Management: The ROI of Employee Braintrusts.* Santa Clara, CA: Hitachi Consulting Corporation.

Holton, G., and G. Sonnert. 1999. "A Vision of Jeffersonian Science." *Issues in Science and Technology On-Line*, *www.issues.org/16.1/holton.htm,* accessed March 1, 2010.

Iverson, J.O., and R.D. McPhee. 2008. "Communicating Knowing through Communities of Practice: Exploring Internal Communicative Processes and Differences among CoPs." *Journal of Applied Communication Research* 36(2):176–99.

Kidwell, J.J., K.M. Vander Linde, and S.L. Johnson. 2000. "Applying Corporate Knowledge Management Practices in Higher Education" *Educause Quarterly* 23(4):28–33.

Koch, S., ed. 1959. *Psychology: A Study of a Science. Study I Conceptual and Systematic (Formulations of the Person and the Social Context).* New York: McGraw-Hill.

Krebs, V. 1998. *Knowledge Networks: Mapping and Measuring Knowledge Creation, Re-Use, and Flow, www.orgnet.com/IHRIM.html*, accessed January 5, 2009.

Lehman, J.D. 1999. "The Leadership Challenge: Back to the Future." *Corrections Management Quarterly* 3(1):19–23.

Lohr, S. 2011. "When There's No Such Thing As Too Much Information." *www.nytimes.com/2011/04/24/business/24unboxed.html?_r=0*, accessed March 29, 2013.

McDermott, R. 1999. "Learning across Teams: The Role of Communities of Practice in Team Organizations." *Knowledge Management Review* 8:103–17.

Mintzberg, H. 1973. *The Nature of Managerial Work*. New York: Harper & Row.

Mintzberg, H. 1990. "The Manager's Job: Folklore and Fact." *Harvard Business Review* (March-April):163–67.

Nag, R., K.G. Corley, and D.A. Gioia. 2007. "The Intersection of Organizational Identity, Knowledge, and Practice: Attempting Strategic Change Via Knowledge Grafting." *Academy of Management Journal* 50(4):821–47.

Pan, S.L., and D.E. Leidne. 2003. "Bridging Communities of Practice with Information Technology in Pursuit of Global Knowledge Sharing." *Journal of Strategic Knowledge Sharing* 12(1):71–88.

Ramalingam, B. 2006. *Tools for Knowledge and Learning: A Guide for Development and Humanitarian Organizations.* London: Research and Policy in Development.

SAMHSA. 2003. *Supported Employment: Using General Organizational Index for Evidence-Based Practices*. Washington, DC: U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration.

Sauve, E. 2007. "Informal Knowledge Transfer." *Training and Development* 61(3):22–24.

Science Secretariat. 2005. *Home Office Science and Innovation Strategy 200–08*. London: Home Office.

Smyth, K.F. and L.B. Schorr. 2009. *A Lot to Lose: A Call to Rethink What Constitutes "Evidence" in Finding Social Interventions That Work*. Malcolm Wiener Center for Social Policy Working Paper Series. Boston, MA: Harvard Business School, John F. Kennedy School of Government.

Solesbury, W. 2003. *Integrating Evidence Based Practice with Continuing Professional Development.* London: University of London.

W.K. Kellogg Foundation. 2004. *Logic Model Development Guide: Using Logic Models to Bring Together Planning, Evaluation, and Action*. Battle Creek, MI: W.K. Kellogg Foundation.

Warren, R. 2008. *Evidence-Based Practices to Reduce Recidivism: Implications for State Judiciaries: Implementing Effective Correctional Management of Offenders in the Community.* Washington, DC: U.S. Department of Justice.

Weiss, E.S., R.M. Anderson, and R.D. Lasker. 2002. "Making the Most of Collaboration: Exploring the Relationship between Partnership Synergy and Partnership Functioning." *Health Education and Behavior* 29(6):683–98.

## Web Links

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**ASCA: Association of State Correctional Administrators: Performance Based Measures**
*www.asca.net/system/assets/attachments/2787/PBMS%20KeyIndicators%2004_24_11.pdf?1303741781*

**AWEC: Association of Women Executives in Corrections**
*www.awec.us*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications*
or *www.baldrige.com*

**Center for Effective Public Policy**
*www.cepp.com*

**NAAWS: North American Association of Wardens & Superintendents**
*http://NAAWS.corrections.com*

**NIC Information Center: National Institute of Corrections**
*http://nicic.gov*

# Chapter 11: Results

*One of the great mistakes is to judge policies and programs by their intentions rather than their results.*

*—Milton Friedman*

## Introduction

Correctional organizations today must show the results of their quest to be efficient and effective in their use of resources and public funds. The Results domain focuses on the outcomes in five key areas to facilitate higher organizational performance and improvement:

- Operations outcomes.
- Stakeholder-focused outcomes.
- Workforce-focused outcomes.
- Budgetary and financial outcomes.
- Leadership and governance outcomes.

Measurement and results overlap quite a bit. One cannot be sure that an agency is getting the results it wants without using solid data collection, measurement, and analysis tools and processes. Why measure unless it is to determine how the agency is doing in achieving its goals and objectives?

Results are not just about data, measurement, and analysis, although those are important considerations. However, the human element needs to be considered as well. For people inside organizations to achieve the desired results, they need to thoroughly understand the mission, vision, values, and goals of the organization. Leadership throughout the organization needs to (1) continually focus on and emphasize the accomplishment of the goals and (2) provide the resources people will need to accomplish the goals, including, but not limited to, time, training, and effective processes. In addition, a solid communications plan is essential so that updates on goals and outcomes and any necessary revisions are shared throughout the organization, as well as with key external stakeholders.

All areas of organizational and operational performance should be evaluated with measures that are important and relevant to the organization and its stakeholders. These areas should also align with the overall strategy, goals, and mission of the organization. Continuously reviewing current levels and trends in key measures provides real-time information that supports positive progress and change. During the implementation stage of the APEX (Achieving Performance Excellence) change management process, identifying gaps between the anticipated results and the actual results and ways to bridge the gaps will enhance the sustainability of any change effort. This chapter

contains an intervention dealing with outcome orientation, a case study titled "How a Results Focus Can Influence Higher Performance," assessments, references, a recommended reading list, a bibliography, and Web links.

## Guiding Questions

These guiding questions are included to help leaders and others in correctional organizations get a sense of various aspects of the Results domain and discover ideas for improvement. The questions align with the focus on higher performance in the APEX Guidebook series and in the Baldrige Performance Excellence Program (Baldrige National Quality Program 2011).

1. **Performance outcomes.**
   - What are the results?
   - How effective is the organization for all stakeholders?
   - How effective are the operations, including emergency preparedness?
   - How effective is strategic implementation?
2. **Stakeholders.**
   - What are the results?
   - How effective is the organization with respect to stakeholder engagement and satisfaction?
3. **Workforce.**
   - What are the results?
   - How effective is the organization in ensuring workforce capability and capacity, climate, engagement, and development?
4. **Leadership.**
   - What are the results?
   - How effective is the organization in ensuring high-quality leadership, effective governance, ethical behavior, and fulfillment of societal responsibilities?
5. **Fiscal responsibility.**
   - What are the results?
   - How effective is the organization in terms of fiscal responsibility?

6. **Considerations for change initiatives.**

- What outcomes will indicate the overall organizational success with the initiative?
- If the change initiative is successful, what else may be affected?
- How can the results be sustained?
- How will the success of the initiative promote further changes?
- How will the results be shared with stakeholders?

## Tools and Interventions

The tools and interventions in this section include *Purpose of Results,* including *Key Questions and Success Factors,* and *Improving the Organization's Outcome Orientation* with an intervention for *Outcome Orientation* and an *Organizational Outcomes Inventory.* Every correctional agency has a unique combination of strengths and weaknesses. To succeed, each change initiative will involve some degree of effort and personalization of the tools and interventions in this chapter. Setting the stage for change by preparing the staff and by being flexible and innovative in customizing tools and interventions will allow for an easier and more efficient change process.

### Purpose of Results

The eighth APEX domain, Results, represents the sum total effect that any organization has on the social, financial, political, and physical environment in which it operates. This cumulative effect includes not only the separate contributions from the other seven APEX domains, but also the effects of the interactions between these domains, including the effects of the organization's culture. The Results domain takes into consideration all that the organization has achieved in the following areas:

- Operations outcomes.
- Stakeholder-focused outcomes.
- Workforce-focused outcomes.
- Budgetary and financial outcomes.
- Leadership and governance outcomes.

Simply put, the Results domain is how agencies and stakeholders know how well they are performing, how changes are working, and how much progress is being made on goals and objectives.

The Baldrige Achieving Performance Excellence program underscores the importance of this domain through its competitive scoring criteria, which allocate almost half (450 points) of the possible total 1,000 points to Results. Organizations that can tangibly demonstrate the value they are adding to their clients, stakeholders, workforce, and larger environment are less likely to become marginalized and more apt to achieve performance excellence.

Engaging the staff in meaningful ways with organizational goals and outcomes provides a balance in this domain. Too much emphasis on data and measurement—without providing staff members with the ability to see where their work fits in the measurement and analysis process—can lead to serious disconnects between performance and outcomes. Training is a critical part of any outcome- and results-focused organization. Once staff members see how the data they input (and they do a lot of the counting and inputting in most information systems) are tied directly to goals and outcomes, they are able to feel as if they are participants in the organization's accomplishments. This engagement enhances the quality of the work and the quality of the data.

Organizations should examine their performance and improvement in all key areas (Baldrige National Quality Program 2011) to create a balanced results profile and to avoid excelling in one area and sub-optimizing another (Kaplan and Norton 1992; Rogers and Wright 1998). In addition to reviewing performance across major organizational functions, organizations need to establish measurable objectives for closing perceived gaps that will promote effectiveness measures (achievement of objectives) and efficiency measures (rates of resource usage relative to achieving objectives). For the good of the industry, correctional managers need to learn to guide their organizations away from reaction-based, controlling orientations toward strategy-based, performance (outcome) orientations. To accomplish this, management needs to make organizational outcomes meaningful at all levels of a corrections system.

Organizational alignment with results—meaning outcomes are specified in a balanced but specific and measureable manner—is more meaningful than any other alternative alignment. One way to achieve this alignment is to understand that outcomes and strategy formation go together. This understanding allows the organization to respond to changes in its environment and in its internal functioning in a proactive and effective manner. Strategy formation occurs when leadership guides or mediates the interplay between a dynamic environment and bureaucratic momentum (Mintzberg 1978).

Outcome focus takes place as management does the following:

- Articulates its vision as a shared, integrated set of objectives (Kaplan and Norton 1996).
- Communicates these objectives—and the strategies they are linked to—vertically and horizontally across the organization (Kotter and Rathgeber 2005).
- Creates relevant feedback loops for strategic learning (Argyris, Putnam, and Smith 1985).
- Uses the feedback loops to identify gaps between expected results and actual results.
- Develops processes to bridge any identified gaps.

In addition to incorporating the above throughputs for establishing an outcome orientation, an examination of the current policies, processes, and practices that have the most potential for contributing to desired outcomes needs to occur. For example, motivational interviewing, cognitive-behavioral coaching from case managers, contraband searches, a zero-tolerance policy for the code of silence, and so forth have the potential to influence longer-term outcomes—successful offender outcomes and increased safety and security. The key is ensuring that those policies and practices are incorporated into the current management vision for outcomes.

The analysis and review of organizational outcomes can be challenging. Correctional organizations have many stakeholders (e.g., law enforcement, legislatures, county boards, clients/offenders, client families and dependents, victims, etc.). Each stakeholder has differing views about the organization's primary purpose and the related outcomes. When a balanced and compelling set of outcomes can be developed, measured, and shared, the chances of satisfying various stakeholders increase and the organization becomes more focused on outcomes.

### Key Questions

The following questions can help an organization understand what outcomes it is committed to achieving and why:

- How has the organization shared its principal goals and outcomes with various stakeholders and obtained their buy-in?
- What has the organization done to ensure that its primary outcomes are adequately measured?
- How has the organization established links between its primary strategies and outcomes?
- In what ways has the agency communicated those strategic links to all staff members so that they can see how their work fits into the organization's strategies and outcomes, thereby enabling the staff to take ownership of the work and outcomes?

### Success Factors

Focusing on the alignment of all the domains within an organization ensures that the outcomes and results are systems-based, including all the domains in the APEX Public Safety Model:

- Leadership.
- Operations Focus.
    - Safe and Secure Supervision and Settings.
    - Process Management.
- Organizational Culture.
- Stakeholder Focus.
- Workforce Focus.
- Strategic Planning.
- Measurement, Analysis, and Knowledge Management.
- Results.

Focusing on only one or two types of outcomes can lend itself to optimizing some areas within the organization, while sub-optimizing others. Ideally, the agency should have a simple but large enough set of outcome measures to give leaders a quick and comprehensive view of the entire organization (Antos 2007).

One of the markers of achieving performance excellence is using tools and strategies for managing a strong outcome orientation and committing to specific, measureable outcomes. This marker is important and can be accomplished by converting the positive statements embodied in the agency's mission statement into more specifically stated goals and objectives. The resulting initial set of outcomes can then be reviewed against the organization's principal operating strategies and processes to identify any additional important outcomes (and the links between strategies and outcomes).

## Improving the Organization's Outcome Orientation

High-performing correctional organizations should be able to articulate the top outcomes they are currently striving toward. Ultimately, this ability implies that all staff members can describe and discuss what those outcomes are and how their work relates to them. This competence is obviously not a goal that is reached overnight. In fact, the ability to articulate outcomes may not be a goal so much as it is a process—one of continuously orienting toward organizational outcomes in a progressively clear manner.

### Intervention: Outcome Orientation

**Step 1:** Executive leadership buy-in, involvement, and support are critical for this particular intervention. Senior managers representing all sectors of the organization should be invited to attend and should be encouraged to read this exercise in advance. Estimated time for completion is two to three sessions of approximately two hours each.

**Step 2:** The executive leadership team conducts a review of its current mission, goals, and strategies, paying particular attention to evidence-based strategies regardless of the area of the organization. For example, evidence-based costing might contribute significantly to efficiency goals. During this review, determine and list the themes (e.g., reduced parole revocations leading to reduced beds, cost savings through security cameras, targeted case planning, and supervision sessions, etc.).

**Step 3:** Using the list from step 2, identify possible goals and outcomes (see the Organizational Outcomes Inventory form in exhibit 11–1) for each of your agency's organizational/stakeholder areas. The APEX Initiative recommends looking at the following key areas:

- Operations outcomes.
- Stakeholder-focused outcomes.
- Workforce-focused outcomes.
- Budgetary and financial outcomes.
- Leadership and governance outcomes.

Alternatively, participants can choose goals and outcomes from their current data system for each of the above key areas for this activity.

**Step 4:** Using the organizational outcomes inventory form (exhibit 11–1), those participating in the intervention can assign each of the outcomes in the major organizational/stakeholder areas a score from 1 to 4, based on how many of the following criteria the area meets:

- Does the outcome represent a significant value to the public?
- Is the outcome truly alterable?
- Can the outcome be achieved in the 2- to 4-year span of a typical administration?
- Is the outcome highly interdependent with other outcomes?

**Step 5:** The outcomes can be ranked, adding all scores for each outcome and dividing the sum by the number of participants. Each outcome will have a score from 0 to 4.

## Exhibit 11–1: Organizational Outcomes Inventory

| Organizational/ Stakeholder Area | Outcome | Average (1–4) Score | How the Outcome Is Measured | Specified Outcome Measure | Related Performance Drivers |
|---|---|---|---|---|---|
| Operations | | | | | |
| | | | | | |
| | | | | | |
| Stakeholder Focus | | | | | |
| | | | | | |
| | | | | | |
| Workforce Focus | | | | | |
| | | | | | |
| | | | | | |
| Budgetary and Financial | | | | | |
| | | | | | |
| | | | | | |
| Leadership and Governance | | | | | |
| | | | | | |
| | | | | | |

**Step 6:** For the two highest rated outcomes in each organizational/stakeholder area, have the group sketch how that outcome can best be operationalized as a measurement. Engage in open dialogue, and review and set a specific, measurable goal for the organization in each of the prioritized outcomes.

**Step 7:** Finally, review the resulting vetted and operationalized outcomes and identify performance drivers that are most likely to positively influence achieving that outcome.

Once those steps are completed, the leadership group should be in a relatively strong position to discuss how to build a communications plan to share and continue this learning experience throughout the organization (see *APEX Resources Directory Volume 2* for more on building a communications plan). Engaging the staff in moving toward an outcome orientation can have a major positive effect on organizational performance.

One way to use this information is for leaders and others to determine if the top outcome priorities relate to the majority of the organization's operations. If the priorities do not relate, note where the gaps are and develop plans to deal with the gaps.

## Additional Resources

The additional resources in this section include case studies and assessments specific to the Results domain. Because the Results domain is interconnected with all the other domains, consult other chapters in this book or the other books in the APEX Guidebook series for more resources.

### Case Study

#### How a Results Focus Can Influence Higher Performance

Because of the economic downturn in state revenues, a large state correctional organization was given the mandate to be more efficient and effective and to control its administrative costs. To analyze its efficiency, effectiveness, and cost drivers, the director established a standing results and performance improvement work group. The director's charge to the work group was to do the following:

- Establish criteria for performance measurement in the organization's operations and management systems.
- Correlate associated costs with performance measurements.
- Implement a data system that accommodates monthly input and review of the organization's administrative operations, performance measures, and costs.
- Develop a process to analyze outcomes in five key areas.
- Continuously monitor and implement strategies and cost efficiencies using comparative data analysis and outcomes for performance improvement.

Using this results-based system, the organization implemented targeted strategies to enhance the effectiveness and efficiency of administrative operations that would result in cost-containment outcomes. Mandatory staff overtime was found to be a major cost driver for the organization and was commonly perceived as adversely affecting facility safety and security. By conducting a staffing analysis and developing a system to track the causes of overtime according to line-item cost categories, the organization was able to adjust its staffing plans, train supervisors in roster management, track incidents in the housing units, and better manage its new hires for the facilities.

Workforce satisfaction, cost-containment measures, and incident reductions over time corroborated the success of the results-based focus. Those outcome measures and the corresponding strategies for improvement are now tracked and openly communicated to staff members and stakeholders. Each month, facilities compare their monthly, quarterly, and annual results with similar facilities in the organization and set benchmarks for continuous improvement and cost containment. Because of those efforts, the organization has also become more adept and effective in achieving its strategic goals.

## Assessments

The assessments in this section apply specifically to the Results domain. Other assessments are available under the other domains that may apply to the change, management, and higher-performance of the organization. A complete list of assessments is available in *Applying the APEX Tools for Organizational Assessment*, in this series. Web links are provided for most of these assessments in the "Description" column of the chart below.

| Full Name | Author | Description |
|---|---|---|
| Financial Management and Systems (FMS) Assessment Tool | Global Funds | This financial management assessment of principal recipient applicants for grants contains 44 items in 7 subscales: (1) organization of the financial management function, (2) budget system, (3) treasury system, (4) accounting system, (5) purchasing system, (6) assets management system, (7) audit arrangements. *www.who.int/hdp/publications/13ki4.pdf* |
| Managing for Results (MFR) Self-Assessment Tool | Treasury Board of Canada Secretariat and the Office of the Auditor General of Canada | Five elements are assessed. *http://dsp-psd.pwgsc.gc.ca/Collection/BT22-88-2003E.pdf* |
| Organizational Capacity Assessment Tool (OCAT) | Stephen Collins of ACDI–VOCA | Funded for Kenya Maize Development Program, this tool uses a six-point rating scheme for (1) governance, (2) operations and management, (3) human resources development, (4) financial management, (5) business services delivery, and (6) external relations (43 items). *www.worldbank.org/html/extdr/fertilizeruse/documentspdf/Organizational_Capacity_Assessment_Tool.pdf* |

## Chapter References

Antos, J. 2007. "Balanced Scorecard." In P. Holman and T. Devane (eds.), *The Change Handbook: The Definitive Resource on Today's Best Methods for Engaging Whole Systems,* 2d ed. San Francisco: Berrett-Koehler, pp. 490–95.

Argyris, C., R. Putnam, and D.M. Smith. 1985. *Action Science: Concepts, Methods, and Skills for Research and Intervention*. San Francisco: Jossey-Bass.

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

Kaplan, R.S., and D.P. Norton. 1992. "The Balanced Scorecard—Measures That Drive Performance." *Harvard Business Review* 70(1):71–79.

Kaplan, R.S., and D.P. Norton. 1996. *The Balanced Scorecard: Translating Strategy Into Action*. Boston: Harvard Business School Press.

Kotter, J.P., and H. Rathgeber. 2005. *Our Iceberg Is Melting*. New York: St. Martin's Press.

Mintzberg, H. 1978. "Patterns in Strategy Formation." *Management Science* 24(9):934–48.

Rogers, E.W., and P.M. Wright. 1998. "Measuring Organizational Performance in Strategic Human Resource Management: Problems, Prospects, and Performance Information Markets." *Human Resource Management Review* 8(3):311–31.

## Results Bibliography

Antos, J. 2007. "Balanced Scorecard." In P. Holman and T. Devane (eds.), *The Change Handbook: The Definitive Resource on Today's Best Methods for Engaging Whole Systems,* 2nd ed. San Francisco: Berrett-Koehler, pp. 490–95.

Argyris, C., R. Putnam, and D.M. Smith. 1985. *Action Science: Concepts, Methods, and Skills for Research and Intervention*. San Francisco: Jossey-Bass.

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

Billson, J.M., N. Cebula, C. Innes, 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.

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

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., T. Lantz, and T. Ward. 2011. *APEX: Building the Model and Beginning the Journey.* Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., T. Lantz, and T. Ward. 2012. *Understanding Corrections through the APEX Lens*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Cebula, N., and E. Ritter, eds. 2013. *APEX Resources Directory Volume 1: Change Management and the APEX Domains*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

Collins, J. 2000. "Aligning Action and Values," jimcollins.com, *www.jimcollins.com/article_topics/articles/aligning-action.html* retrieved June 15, 2012.

Collins, J. 2001. *Good to Great*. New York: Harper Collins.

Collins, J. 2005. *Good to Great and the Social Sectors: A Monograph to Accompany Good to Great.* New York: Harper Collins.

Cullen, F.A. Myer, and E. Latessa. 2009. "Eight Lessons from Moneyball: The High Cost of Ignoring Evidence-Based Corrections." Paper presented at the annual meeting of the American Society of Criminology, March 14, 2011.

Fredrickson, B.L., and M.F. Losada. 2005. "Positive Affect and the Complex Dynamics of Human Flourishing." *American Psychologist* 60(7):678–86.

Fredrickson, B.L., R.A. Mancuso, C. Branigan, and M.M. Tugade. 2000. "The Undoing Effect of Positive Emotions." *Motivation and Emotion* 24(4):23–58.

Hawken, A., and M. Kleiman. 2009. *Managing Drug Involved Probationers with Swift and Certain Sanctions Hawaii's HOPE: Evaluation*. Washington, DC: U.S. Department of Justice.

Hernandez, M. 2000. "Using Logic Models and Program Theory to Build Outcome Accountability." *Education and Treatment of Children* 23(1):24–40.

Judge, T.A., J.E. Bono, C.J. Thoresen, and G.K. Patton. 2001. "The Job Satisfaction-Job Performance Relationship: A Qualitative and Quantitative Review." *Psychological Bulletin* 127(3):376–407.

Kaplan, R.S., and D.P. Norton. 1992. "The Balanced Scorecard—Measures That Drive Performance." *Harvard Business Review* 70(1):71–79.

Kaplan, R.S., and D.P. Norton. 1996. *The Balanced Scorecard: Translating Strategy into Action*. Boston, MA: Harvard Business School Press.

Kaplan, R.S., and D.P. Norton. 1996. "Using the Balanced Scorecard as a Strategic Management System." *Harvard Business Review (*January–February):75–85.

Kibel, B.M. 1999. *Success Stories as Hard Data: An Introduction to Results Mapping*. New York: Plenum Publishers.

Kotter, J. 2001. "What Leaders Really Do." *Breakthrough Leadership/Harvard Business Review* 12:85–96.

Kotter, J.P., and H. Rathgeber. 2005. *Our Iceberg Is Melting*. New York: St. Martin's Press.

Lewis, M. 2003. *Moneyball: The Art of Winning an Unfair Game.* New York: W.W. Norton.

Mintzberg, H. 1978. "Patterns in Strategy Formation." *Management Science* 24(9):934–48.

Rogers, E.W., and P.M. Wright. 1998. "Measuring Organizational Performance in Strategic Human Resource Management: Problems, Prospects, and Performance Information Markets." *Human Resource Management Review* 8(3):311–31.

Senge, P., A. Kleiner, C. Roberts, G. Roth, R. Ross, and B. Smith. 1999. *The Dance of Change*. New York: Crown Business.

Skeem, J.L., J. Encandela, and J.E. Louden. 2003. "Perspectives on Probation and Mandated Mental Health Treatment in Specialized and Traditional Probation Departments." *Behavioral Sciences and the Law* 21:429–58.

Wrzesniewski, A., C. McCauley, P. Rozin, and B. Schwartz. 1997. "Jobs, Careers, and Callings: People's Relations to Their Work." *Journal of Research in Personality* 31(1):21–33.

## Web Links

**ACA: American Correctional Association**
*www.aca.org*

**AJA: American Jail Association**
*www.aja.org*

**APPA: American Probation and Parole Association**
*www.appa-net.org*

**Baldrige Performance Excellence Program**
*www.nist.gov/baldrige/publications*
or *www.baldrige.com*

**Campbell Collaboration**
*http://www.campbellcollaboration.org*

**Center for Effective Public Policy**
*www.cepp.com*

**NIC Information Center: National Institute of Corrections**
*http://nicic.gov*

**National Institute of Corrections Cost Containment Center**
*http://community.nicic.gov/blogs/ccc/about.aspx*

**Texas Christian University; Institute of Behavioral Research**
*http://www.ibr.tcu.edu*

**Washington State Institute for Public Policy**
*www.wsipp.wa.gov*

# Book Summary

The information in the *APEX Resources Directory Volume 1* is designed to support correctional agencies in their quest for higher performance. The resources, tools, and interventions included here were chosen for their applicability to the field of corrections. Agencies are encouraged to dip into and out of this directory whenever they are looking for information on one of the APEX (Achieving Performance Excellence) Public Safety Model domains or on change management. Each chapter can be a stand-alone resource for its topic. However, when all are put together, a systems-approach to organizational performance becomes apparent.

The National Institute of Corrections (NIC) Information Center and the Corrections Community website contain crucial information in the form of NIC publications, other correctional resources, news updates, and discussion forums and cover issues such as research, policy, standards, training, and facility planning. Help and research assistance are provided for individuals working in corrections, and the opportunity to collaborate with others in the field is provided through forums and networks.

The chapter on change management provides resources for large- and small-scale organizational change efforts. It is designed to complement the APEX Change Management Process, but it can be used when undertaking any change process.

The chapters on the Leadership; Operations Focus; Organizational Culture; Stakeholder Focus; Workforce Focus; Strategic Planning; Measurement, Analysis, and Knowledge Management; and Results domains are similar in format, providing a plethora of resources for correctional practitioners who are searching for information, tools, assessments, and the like. The chapters provide guidance for closely examining those eight organizational topics as well as giving people direction and support for enhancing performance in those areas.

# 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 Editors/Compilers

**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 of 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.

**Elizabeth Ritter** has worked with at-risk youth populations as a mentor and teacher in the U.S. and internationally since 1976, through community programs, internships, non-profit volunteer work in schools and orphanages, and a state-run wilderness program for delinquent teens. A teacher from middle school through college and an adult educator and trainer, her focus is on differentiating curricula to enable higher achievement and to reach those with disabilities, learning challenges, and behavior disorders through various learning modalities, as well as helping students set goals and monitor their daily progress. She teaches writing and is an editor and writer for People in Charge.

**U.S. Department of Justice**
National Institute of Corrections

*Washington, DC 20534*

Official Business
Penalty for Private Use $300

Address Service Requested

MEDIA MAIL
POSTAGE & FEES PAID
DOJ/OJJDP
PERMIT NO. G–91