



APEX

Change Agent

Team Training

Participant Manual





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APEX Change Team Training Participant Agenda

Time	Module
Day One Begins	Module 1. Welcome and Program Overview <ul style="list-style-type: none">• Welcome, Introductions, and Expectations• APEX Overview• Agency Change Topic• Form Change Teams• Agency Experience with Change
	Module 2. APEX Public Safety Model <ul style="list-style-type: none">• What is a System?• APEX Public Safety Model Overview• Systems Approach for Decisionmaking
	Module 3. Change Management and Organizing People <ul style="list-style-type: none">• Change Management Principles and Process• <i>Our Iceberg is Melting</i> Debrief• Optional: Case Study• Change Roles• Team Development• Enhancing the Teams• Optional: What is a Change Agent• Optional: Change and the Tipping Point
Day One Ends	Day One Wrap Up
Day Two Begins	Day Two Review Preview
	Module 4. Agency Assessment: Laying the Groundwork for Change <ul style="list-style-type: none">• Agency Assessment Overview• APEX Screener Debrief• Environment Scan and Analysis• Stakeholder Identification and Analysis



	<p>Module 5. Define the Goal</p> <ul style="list-style-type: none"> • Defining the Goal • SMARTS Goals • Elevator Speeches
	<p>Module 6. Build the Implementation Plan</p> <ul style="list-style-type: none"> • Implementation Plan Overview • Keep-Drop-Create: What is Happening Now • APEX Public Safety Model Review • Barriers and Challenges • Vision for the Future • Key Performance Indicators
Day Two Ends	Day Two Wrap Up
Day Three Begins	Day Three Review Preview
	<p>Module 7. Communications Planning</p> <ul style="list-style-type: none"> • Communications Plan Overview • Stakeholder Messages • Feedback Processes • Next Steps
	<p>Module 8. Implement and Sustain Changes</p> <ul style="list-style-type: none"> • Implement the Change Management Plan • Implementation Dashboard • Sustaining Change: Enhancers and Challenges • Encouraging Buy-In
Day Three Ends	<p>Module 9. Workshop Close</p> <ul style="list-style-type: none"> • Team Presentations • Training Recap and Feedback



APEX Change Agent Training

Learning Objectives

At the end of the APEX Change Agent Training, participants will be able to lead an agency-wide change effort. They will have an awareness of the impact that the APEX Initiative can have on an agency and a personal desire to use it, acquire the essential knowledge to apply the APEX Guidebook series and Assessment Tool Protocol, and demonstrate how the many applications of APEX can improve the performance of their correctional organization.

In demonstrating their ability to meet these objectives, participants will be able to:

- Use a systems approach to decision-making;
- Identify organizational gaps and opportunities for improvement;
- Pursue sustainability through strategic implementation and communications; and
- Apply APEX principles to real situations.





Module 1.

Welcome and Program Overview

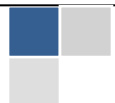
Overview

The purpose of this module is to:

- Welcome participants and set the stage for the workshop.
- Review the objectives, agenda/logistics, and materials.
- Discover and clarify participant and trainer expectations.
- Share and clarify the agency change effort topic/topics with participants.
- Get participants into change teams to work on the topic/topics.

Performance Objectives

- Understand an overview of the APEX Initiative and the resources available.
- Understand the agency's topic for the initial APEX change effort.





Participant Introductions and Expectations

Respond individually to the questions below and then share your responses with your table group. You have 10 minutes to get this done.

What is your specific experience with change efforts?

What is your Agency's experience with change efforts?

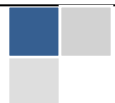
What are your expectations for this APEX Training?

1.

2.

3.

Instructions: You will have 10 minutes to gather and record the information and 5 minutes to share with the large group.



Keep, Drop, Create: Agency Experience with Change

KEEP	
DROP	
CREATE	



What is APEX?

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

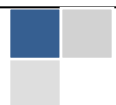
Participation in APEX provides opportunities to enhance mission and operational success. Each agency develops its own timelines, commitment, goals, stakeholder engagement processes, evaluation processes, and success measures.

Key points of the APEX initiative include:

- Leadership sets the agency agenda for achievable results through APEX
- APEX is an ongoing opportunity for the agency to assess and address its performance gaps
- The APEX Model offers strategies, pathways, resources, tools, and case studies to enhance competency in the general areas of higher performing correctional organizations
- The APEX Change Agent Training offers corrections practitioners the opportunity to become agents for change and performance enhancement
- APEX encourages workforce and stakeholder engagement
- APEX promotes open and multi-directional channels of communication
- APEX is a process of commitment, support, and change
- APEX is a journey—not a destination

What APEX is Not

APEX is *not* a report card or an accreditation process; it will *not* require public disclosure of the agency's performance to compare with any other agency and it will *not* mandate actions. Engaging APEX is an opportunity for the agency to assess and address its performance gaps, including the effective allocation of human and fiscal resources, and to optimize results through innovation and evaluation. It serves as a guiding force for continuous performance improvement and transcends the boundaries of time, fiscal constraints, and changes in leadership.



The APEX Journey

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

Benefits of Implementing APEX


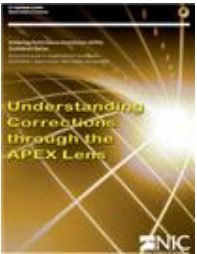


Whether an agency decides to use the self-assessment tools, the guidebook series, *and* the training, or one of these on its own, implementing APEX provides a wide range of benefits to corrections organizations. Increased performance standards, enhanced stakeholder results, more efficient use and stewardship of public funds, and a more engaged and productive workforce are just a few of the advantages that agencies may discover through APEX.

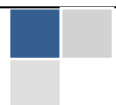
Staying the Course with the APEX Agenda

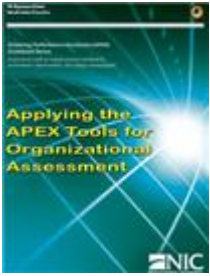
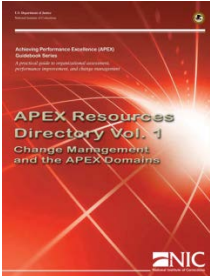
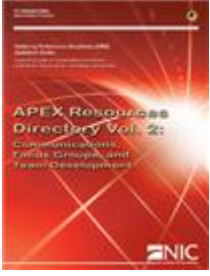
Achieving performance excellence is a process of commitment, support, and change. Agency leaders and staff must actively commit to and promote the change process; establish policies, procedures, and practices to *institutionalize* the agenda; influence the agency culture to embrace the change efforts; garner the support and commitment of stakeholders; and adapt and change to meet expectations and challenges.



Guidebooks Overview Table

<p><i>APEX: Building the Model and Beginning the Journey</i></p> <p>An overview of the APEX Initiative, including the APEX Public Safety Model—a systems approach to decision-making, the APEX Change Management Process, and Communications Planning.</p>	
<p><i>Understanding Corrections through the APEX Lens</i></p> <p>Presents several APEX Public Safety Model domains with “practical suggestions for improving performance and creating positive change by sharing best-practice methods and current literature on higher performance in corrections” (p. ix). Domains included are Operations (which includes safe and secure supervision and settings and process management); Stakeholder Focus; Workforce Focus; Strategic Planning; Measurement, Analysis, and Knowledge Management; and Results. Information on the other domains, and more, can be found in the following books.</p>	
<p><i>Culture and Change Management: Using APEX to Facilitate Organizational Change</i></p> <p>Contains chapters on organizational culture and change, change management in general, the APEX Change Management Model, communications planning during change, change management principles and practices case studies—Prison Rape Elimination Act (PREA), and changing culture during challenging times.</p>	
<p><i>Achieving Performance Excellence: The Influence of Leadership</i></p> <p>“Presents a breadth and depth of information about leading others and describes what leaders need to excel at and what up-and-coming leaders need to know as they prepare themselves for leadership positions. Taking a balanced approach to leadership allows correctional leaders to influence different people and diverse stakeholder groups in differing situations. Good leaders know when they need to manage rather than lead and how these two activities differ” (p. 71).</p>	



<p><i>Applying the APEX Tools for Organizational Assessment</i></p> <p>Contains detailed descriptions of the APEX Screener, the APEX Organizational Profile, and the APEX Inventory, as well as how to apply the tools in correctional settings.</p>	
<p><i>APEX Resources Directory Volume 1: Change Management and the APEX Domains</i></p> <p>Provides correctional practitioners with a variety of resources and interventions to assist them during change initiatives and performance improvement efforts.</p>	
<p><i>APEX Resources Directory Volume 2: Communications, Focus Groups, and Team Development</i></p> <p>Provide an overview of achieving performance excellence, a guide to NIC's resources, communications planning, a practical guide to leading focus groups, and materials on team building and development.</p>	



These guidebooks can be downloaded from NIC at <http://www.nicic.gov/apex>



Module Close

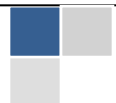
Key Points:

- APEX is a **business model** that offers a systems approach to change, specifically for correctional organizations.
- Put the APEX components together and you have a complete systems approach to **correctional** performance improvement and achieving performance excellence.
- A quick examination of your agency's experience with past change efforts provides useful information for your change effort planning.





APEX Training Notes





Module 2.

APEX Public Safety Model

Overview

This module is designed to introduce the APEX Public Safety Model and its eight domains, and provide participants with an understanding of and practice with the domains as a systems approach lens for reviewing strategic issues and problem solving.

Performance Objectives

Participants will be able to:

- Define the eight domains.
- Understand the benefits of the Public Safety Model as a systems-approach lens.
- Use the systems-approach lens in an activity.





What Is a System? Anticipatory Set Cards

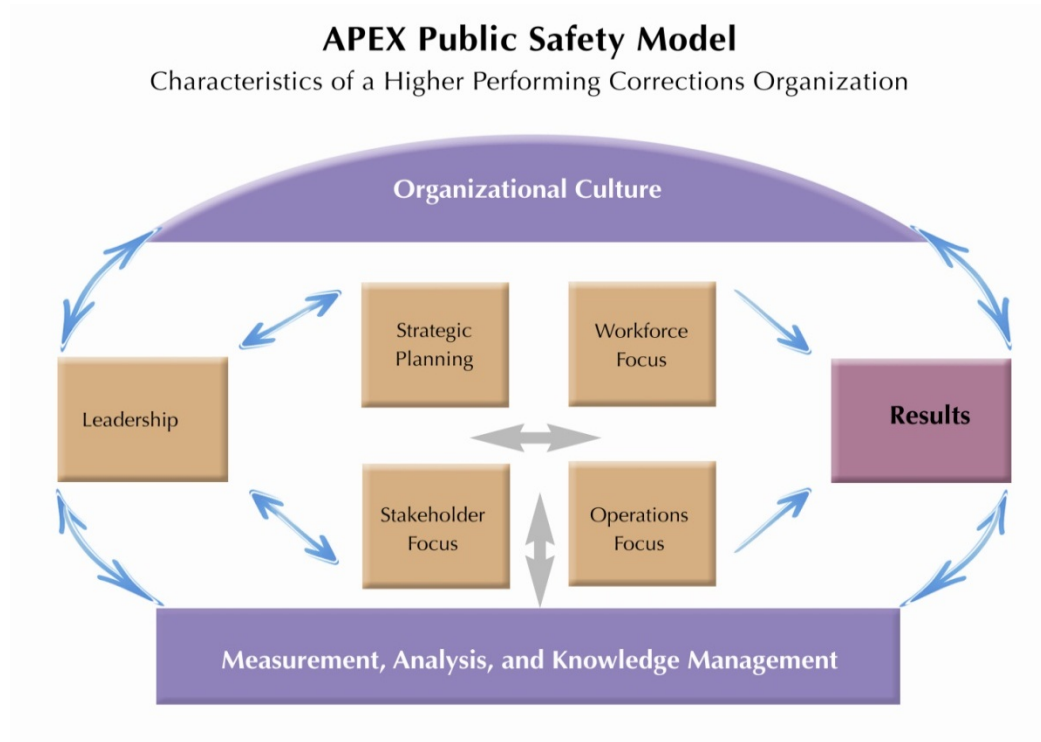
<p>CIRCULATORY SUBSYSTEM</p> <p>Heart and Blood</p> <p>GOAL: brings nutrients to cells in the body</p>	<p>MUSCULAR SUBSYSTEM</p> <p>Muscles</p> <p>GOAL: connect bones and allow body to move</p>
<p>NERVOUS SUBSYSTEM</p> <p>Brain, Nerves and Spinal Cord</p> <p>GOAL: responds to stimuli, moves muscles</p>	<p>RESPIRATORY SUBSYSTEM</p> <p>Lungs and Blood</p> <p>GOAL: brings oxygen into the body</p>





The APEX Public Safety Model – A Systems Approach to Corrections

These domains can be used as a lens when problem-solving, decisionmaking, and planning.



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

Organizational Culture:

- How will this initiative or problem-solution affect our culture?
- How will the culture affect this initiative?
- What needs to change in the culture for this initiative to be successful?
- What strategy do we use to influence the culture change?

Leadership:

- How important are leaders and leadership to the success of this initiative?
- Who can shut down or impede this initiative?
- Which leaders have the most to gain or lose in this effort?
- Who can champion this initiative?
- What do leaders need to do to make this initiative successful?



Strategic Planning:

- Are there valid strategic reasons to pursue this initiative? What are they?
- How does this initiative relate to our agency vision, mission, and values?
- How does it support our agency strategic plan and goals?
- Can we incorporate the initiative into our overall agency strategy?

Workforce Focus:

- What stake (gain/loss) does our workforce have in this initiative? “What’s in it for me?”
- How can we effectively engage the workforce in the initiative change process and thereafter?
- Who should be engaged in planning and/or implementation?
- Who needs to be involved in sustaining the change?

Stakeholder Focus:

- Who may affect and influence the outcome of this initiative?
- How can we engage stakeholders in the process and success of the initiative?
- What is the potential gain or loss of stakeholders?
- Which stakeholders would add value to the initiative and engage in its planning and/or implementation?
- What communications plan and strategies should we use to gain support and neutralize resistance?

Operations—Safe and Secure Supervision and Settings:

- How will this initiative affect our current operations?
- Will the initiative affect the safety and security of the public, staff, or offenders?
- What will change?
- What will stay the same?

Operations—Process Management:

- How will it affect the way we perform and conduct our work and work processes?
- What will change?
- What will stay the same?
- What work processes need to be changed and how will we implement them?

Measurement, Analysis, and Knowledge Management:



- What performance measures will we use to assess our initiative success?
- How can the data inform and support our decisionmaking?
- How can we share the data and findings across the organization?
- How will we know that our efforts with this initiative are successful?
- What data is ideal to have?
- How can we best collect, analyze, and share data and information?

Results:

- What specific outcomes will indicate our overall organizational success with the initiative?
- How will the success of this initiative empower us to make further changes?
- If we are successful, what else may we affect?
- How can we sustain the results?
- How will we share the results with stakeholders?

Everything builds towards the Results domain—a composite of stakeholder, cultural, financial, and internal operational performance results, including workforce, leadership, governance, safety, and social responsibility.



PSM Domain Bingo

Instructions: This is a stand up, walk about activity. Ask other participants to either give a brief example of an issue they have dealt with in the past 30 days that focused on one of the domains, or match a domain name with a domain definition. When reach 5 in a row or diagonally, they sit down.

Organizational Culture (give example)	Which domain involves how the organization accomplishes its legal, ethical, and societal responsibilities?	Operations Focus (give example)	Which domain involves how offenders/supervised population and external stakeholders are engaged?	Results (give example)
Which domain involves how the organization develops and manages its strategy, plans, initiatives, and implementation?	Leadership (give example)	Which domain involves all aspects of workforce management, development, engagement, and environment?	Measurement, Analysis and Knowledge Management (give example)	Leadership (give example)
Workforce Focus (give example)	Which domain involves staff management, development, engagement, and environment?	FREE	Organizational Culture (give example)	Stakeholder Focus (give example)
Which domain includes safe and secure supervision and settings, and process management?	Leadership (give example)	Which domain includes the ability of the organization to create improved and innovative services?	Which domain involves executives' responsibilities for running and guiding the organization and its staff members?	Strategic Planning (give example)
Which domain involves how the organization manages all of its data and information?	Operations Focus (give example)	Which domain involves outcomes, including those involving stakeholders, finances, the workforce, and leadership?	Stakeholder Focus (give example)	Workforce Focus (give example)



Module Close

Key Points:

- The APEX Public Safety Model presents a holistic and complete picture of a correctional organization.
- It provides a systems-approach to decisionmaking to understand how a decision affects other parts of the agency and to mitigate unintended consequences.
- In a system:
 - There is a relationship between a system and its environment.
 - Each system can be a part of a larger system and it can contain subsystems.
 - Every part of the system needs to be included to ensure that it will operate properly.
 - Systems have multiple goals and subsystems to develop their own goals that further the big system's goals.
 - Systems function well when ALL parts are working well on their own and effectively with other parts of the system.



Learn more about the Public Safety Model domains in the APEX Guidebook – *Understanding Corrections through the APEX Lens* - available from NIC at <http://nicic.gov/Library/025299>





APEX Training Notes





Module 3.

Change Management and Organizing People

Overview

This module is designed to offer participants an understanding of change management principles and the various roles in change efforts, to help them get organized into change teams, develop strategies to deal with team challenges, and to begin to enhance their teams.

An optional case study in this module illustrates the change management process and how it can be used with the public safety model's systems approach to decisionmaking. Guided group practice and activities for each of the stages will occur in other modules.

Performance Objectives

Participants will be able to:

- Articulate the change management principles and roles described in *Our Iceberg is Melting*.
- Understand the importance of various roles during change efforts.
- Understand how different issues can affect team effectiveness.
- Begin getting organized as a team.
- Enhance teams based on skills and knowledge.
- Optional: Understand the concept and roles of a change agent.
- Optional: Understand The Tipping Point model and participants' roles and value with respect to the model.





Individual Change Experiences

Take a moment and think about something that you have recently tried to change and are willing to share.

Change effort topic: _____

List the steps you took:	
Compare with a partner. What similar steps did you take?	
What different steps did you take?	
How successful was your change effort?	





APEX Change Management Process

Plan and Assess	Build the Detailed Implementation Plan
<ol style="list-style-type: none"> 1. What is causing the agency to think about changing and how was that determined? 2. How can you use the APEX Public Safety Model as a lens to analyze the issue? 3. What internal documents, assessment, and activities, such as security audits, survey results, policies, and strategic plans, could shed light on this topic? 4. What outside information sources should be reviewed? 5. How can the agency’s readiness for change be assessed? 6. What additional information sources could you use (focus groups, surveys)? 7. How open and willing are people to change efforts? 8. What can be done to think about sustainability from the beginning? 9. How can a “Sustainability Parking Lot” hold issues so they can be dealt with throughout the change effort? 	<ol style="list-style-type: none"> 1. What does the external environment tell you about potential impacts on the agency and this change effort? 2. What can be learned from the organization’s history and any previous change efforts to identify themes or issues that can affect the current change effort? 3. What analysis of the current state of the agency is required to identify the practices, policies, and rules that are working well and those that are no longer needed, and where there are gaps that need to be filled? 4. What does an agreed-upon vision of the most desirable future look like when the change effort is successfully implemented? 5. What action steps will be needed in the implementation plan to achieve this future? 6. How can the APEX Public Safety Model lens be used to analyze these action steps? 7. How can the implementation plan be communicated including the various action plans, and progress as goals and objectives are achieved? 8. How can others get engaged in the change vision and action plans for implementation?
Define the Goal	Implement the Change Management Plan
<ol style="list-style-type: none"> 1. Why is the change happening and why is it necessary? 2. What is causing the change? 3. Who will be impacted and how? 4. How can the agency communicate the goal clearly? <p>SMARTS Goal format:</p> <ul style="list-style-type: none"> • SPECIFIC—what, why, and how. • MEASURABLE—easy to measure/show progress. • ACHIEVABLE—not too hard/not too easy. • RELEVANT—aligned with mission/vision. 	<ol style="list-style-type: none"> 1. What will it take to complete the action steps? 2. How will the work be coordinated across division, offices, facilities, etc.? 3. How will progress be monitored and tracked – what performance indicators will be used? 4. How will the agency know that the plans may need adapting and modifying as necessary? 5. How will this be communicated?



<ul style="list-style-type: none"> • TIME LIMITED—realistic deadlines. • SHARED—common goals allow collaboration. 	
Organize for Results	Sustain the Change
<ol style="list-style-type: none"> 1. What roles will be needed in this change effort: Change Leader, Change Team, Steering Committee, or Intervention Teams? 2. How can managers who are not involved in the change effort roles be brought on board? 3. How can key stakeholder expectations be assessed? 	<ol style="list-style-type: none"> 1. How can the changes be integrated into cultural norms? 2. What can be done to positively reinforce the changes? 3. How will risk be managed? 4. How will the agency handle ongoing evaluation and followup? 5. What ways can be used to celebrate successes?



Penguin Cards

<p>Fred</p> <p>Thinks outside the box, curious, creative, worried, yet willing to voice his opinion.</p> <p><i>Most likely to say:</i> I’m worried, but I’m no one special. How can I make them understand and listen to me?</p>	<p>Alice</p> <p>Gets results, somewhat pushy but practical. Treats all equally, can’t be intimidated.</p> <p><i>Most likely to say:</i> Yes, we have a problem. I’ll call a meeting so all can see how important this issue is.</p>
<p>NoNo</p> <p>Uncomfortable with change, pessimistic, manipulative.</p> <p><i>Most likely to say:</i> This is dangerous. They will get hurt. We don’t need to change. Let’s just keep everything the way is it. It’s too risky.</p>	<p>Buddy</p> <p>Charismatic, well-liked, not ambitious, trusted.</p> <p><i>Most likely to say:</i> I don’t understand what all the problems are, but I’m happy to help any way I can.</p>
<p>Professor</p> <p>Logical, reads a lot, curious, likes to “teach” not the most social.</p> <p><i>Most likely to say:</i> This is amazing. I could gather data and analyze it to show the best way to proceed.</p>	<p>Louis</p> <p>Wise, experienced, respected, keeps his cool.</p> <p><i>Most likely to say:</i> I’m proud of the team, the scouts, and the colony during this change effort.</p>



Scout	SallyAnn
<p>Has endurance and ability. Enjoys the excitement and finding information. Needs support.</p> <p><i>Most likely to say:</i> I can't wait to discover what we need to get this change moving. This is exciting, but it's also hard work.</p>	<p>Young, somewhat emotional, wants to help, encourages buy-in.</p> <p><i>Most likely to say:</i> We should all help out. Even I can make a difference.</p>



Our Iceberg Is Melting (Kotter & Rathgeber, 2005)

Debrief Questions

1. What thoughts do you have about this parable and how the penguins handled their change effort? What do you currently do in your agency to build efficiency?

2. What did you find useful? _____

3. How can this be applied to change in your agency? _____

4. During past change efforts, who were you – Fred, Alice, NoNo? _____



5. Think about the present time – what Icebergs is your agency dealing with? _____

6. Who in your agency could be:

- a. Alice? _____
- b. Fred? _____
- c. NoNo? _____
- d. Louis? _____
- e. Buddy? _____
- f. Professor? _____
- g. Scouts? _____
- h. SallyAnn? _____

7. Who would you like to be in your next change effort? _____



Change Management Principles and Practices in Action— Prison Rape Elimination Act

This case study involves the fictional Correctional Detention Center in Kerry County (CDC Kerry), medium-sized county in the American heartland. Kerry is a fictional county, but the story of this agency's change process comes from several of the best practices (and most challenging) cases that contributed to the development of the APEX Change Management Model. Following is an illustration of how one agency shifted its culture and organizational practices to implement the Prison Rape Elimination Act (PREA) standards.

CDC Kerry Change Management Process

The leaders at CDC Kerry chose the APEX Change Management Model (modified for the facility's particular circumstances) as the roadmap for changing the facility culture to full compliance with PREA standards. They wanted this change effort to be a systemwide endeavor to shift attitudes, culture, policy, process, programs, and outcomes. They realized that if it did not affect all parts of the facility, the staff, and incarcerated persons, implementation of the PREA standards would not be completely effective.

Stage 1: Assessing the Current State

The leadership of CDC Kerry was concerned about its compliance with PREA and the incidence of sexual misconduct and sexual assault among the detention population. The underlying cause for this concern was embedded in the facility's culture. By all outward appearances, CDC Kerry staff, as well as those in confinement, showed no signs of promoting or supporting awareness or commitment to prevent, report, detect, or investigate such incidents. When the detention population was assessed by confidential researchers and compared with other similar facilities, CDC Kerry fell in the top tier for incidents not reported.

This assessment also revealed a high degree of fear and perceived negative repercussions for those who reported incidents. As a result, the reported rate of sexual misconduct and sexual assault violations did not reflect the number of actual incidents and the failure to report incidents had not been officially recognized or addressed. The Administrator and Executive Team of CDC Kerry realized that this state of affairs could not continue because it jeopardized the safety and security of those confined and was contrary to the facility mission; also, the facility was not in compliance with PREA standards.



Assessments

The facility's Executive Team decided to use the APEX Assessment Tools Protocol, starting with the APEX Inventory and following up with the APEX Organizational Profile, to gain an understanding of the issues and the gaps in facility policies, operations, and culture that required change, and to identify and implement specific strategies to ensure compliance with PREA.

Through the APEX Inventory, leaders realized that CDC Kerry was ready for this change effort. Not only was it mandatory to comply with PREA standards, but many staff and managers were ready to look at what compliance would mean to their units and the facility as a whole. The team agreed that the facility had the flexibility, responsibility, and authority to establish systems, practices, and protocols that would eliminate sexual misconduct and abuse for those confined. Through informal assessments, a review of organizational documents, and interviews with staff, the Executive Team felt that some facility department heads, firstline supervisors, and line officers were reluctant to participate in this culture change agenda as it related to PREA. Many staff were uncomfortable with the mandatory reporting responsibilities related to staff sexual misconduct ("no snitching on other staff"). Others felt that sexual assault among those confined was an expected reality and consequence of detention; therefore, there was no need to take incidents too seriously and it was acceptable to speak about it in a joking manner. Without the commitment of everyone—from frontline staff to top management—the Executive Team knew the change effort for full compliance with PREA would not succeed. Staff and managers became one of the first stakeholder groups targeted in their communications plan.

Leadership Commitment

Leadership commitment to any change effort is critical from start to finish and is an important part of readiness. The Executive Team members made a commitment, individually and as a whole, to commit time, resources, and energy to implementing PREA standards.

Stage 2: Define the Goal

The facility Administrator and the Executive Team committed to an agenda to change the facility culture, enhance its operational procedures, and build and sustain a culture that supported sexual safety for those confined in the facility. The initial goal was to have an effective zero-tolerance policy and protocol that addressed sexual misconduct and abuse by staff and among those confined. The Executive Team's vision was for CDC Kerry to be a facility where attitudes, expectations, policies, procedures, actions, and responses aligned to prevent sexual abuse. The Executive Team realized that this would require fundamental changes in the culture, as previous efforts to implement PREA standards had not met the desired outcomes. They believed the goal of zero tolerance could be achieved while creating a sustainable cultural change that naturally supported the effort. Based on the APEX assessment results and the APEX Guidebook series, the Executive Team was better informed about what needed to change, how to implement the change, and what had to be done to sustain it.



Stage 3: Organize for Results - Identifying Stakeholders

The facility Administrator and Executive Team were satisfied that there was support from the middle and upper management staff. Engaging others in the effort was now a strategic endeavor. The Executive Team worked with the managers and supervisors to develop a list of the frontline workers most affected by the change, and divided them into groups based on their behaviors, attitudes, work performance, willingness to adapt to change, and influence with each other. The Executive Team developed a plan for assigning someone to communicate with each of the staff on the list, just as the facility Administrator did with her leadership team; the intent was to seek staff input and support for the change effort related to PREA compliance. The plan included a strategy to engage those who were believed to be nonsupportive and possible strategies for involving the detention population.

Change Leader

The Administrator decided to name herself the Change Leader, with the full support of the Executive Team. PREA compliance was considered such a high-profile issue that having the facility's top executive as the Change Leader would tell stakeholders how much they valued the success of this change effort. Members of the Executive Team were available to stand in for the Administrator when she was unable to perform Change Leader functions. Providing backup in this way made it possible for the Change Team and other stakeholders to have access to change leadership. This meant that there was an increased need for communication and information sharing between the Administrator and the Executive Team.

Change Team

The Executive Team selected members to serve on a Change Team. Frontline employees, supervisors, midlevel managers, and administration staff across all facility disciplines and units were selected to be on the team, as was the newly designated facility PREA Coordinator. Each team member had perspective on the overall organizational culture, had demonstrated a willingness to work for progress and change, and had personal power and influence within the facility. All of the team members were invited to a meeting with the Change Leader and the Executive Team to learn about their charge and scope of work. The Change Team members were granted normal work time and/or were compensated to do this important work. During this change effort, the team members reported regularly to the Change Leader and Executive Team. They were held accountable for developing the change effort plan and for identifying strategies to implement the plan. Facility leadership committed to invest in the resources that the Change Team required and to provide support and guidance to the team as needed.

Engaging the Change Team and Building Capacity for Success

The new Change Team met to set ground rules for how the team would perform and conduct meetings. The members agreed that everyone was equal on this team and that it was a safe place to express ideas and disagreements. The PREA Coordinator educated the team on the PREA standards. Members of the



Executive Team attended meetings to affirm the Change Team charter, share the APEX assessment results, and participate in targeted discussions, including:

- Why change?
- Where do we want to go?
- How do we get there?
- Who are our stakeholders and what roles do they play?
- How do we sustain our change?

The Change Team met regularly and developed an implementation plan with short- and long-term action goals. These goals included enhancements in policy and procedures, staff training, PREA presentations for the detention population, investigations, responses to those who report incidents, and supervisory responsibility to reinforce compliance with PREA standards. The team researched best practices for PREA compliance across the country. They developed a strategy to measure the success of the goals and to measure and analyze incidents involving sexual misconduct. They also developed performance measures to determine the successful integration of PREA compliance into the agency culture.

Implementing the Communications Plan

The Change Team decided to follow the recommendations in the National Institute of Corrections' APEX Initiative for developing and implementing a communications plan (see exhibit 7 in chapter 6 for details).

The plan addressed the *objectives* of the change issue, including the need, rationale, benefits, and goals of the change initiative; identified internal and external stakeholders who could influence the successful integration of PREA and their level of support; and identified the communication objectives for each stakeholder group. The Change Team formulated the *message* content to address the communication objectives for each stakeholder group. With the message content defined, the team developed the action *plan* to deliver and reinforce the message; encouraged open communication with stakeholders, including specific avenues for feedback; and identified means to assess the outcomes of the communications plan for change and the desired future workplace culture. The team members focused on creating urgency among staff for the change to full PREA compliance and ways to raise awareness and commitment among the detention population. The Change Team developed a focused PREA message that supported the facility mission and policies, including the key values, desired goals, behavioral principles, and expectations that defined the organizational culture around creating a safe and secure environment that was free from incidents of sexual misconduct.

The communications strategy included influential staff who were charged with providing examples of incidents or events that illustrated the key values for a healthy culture free of sexual abuse. These examples and stories articulated the desired vision for the future and added clarity to the mission-critical goal of staff and inmate safety. Using these stories in training sessions with all staff reinforced their responsibilities regarding zero tolerance of sexual misconduct. Orientation of newly committed offenders to the detention facility included stories to reinforce that the facility ensured a safe reporting culture to address any issues of sexual misconduct or assault. Displaying posters that reinforce a reporting culture in the staff areas and in the housing units also served to reinforce the zero-tolerance policy.



Stage 4: Build the Detailed Implementation Plan

The Change Leader (Administrator) and the Executive Team discussed the vision for change with department heads and middle managers and enlisted their support in the change process. The Administrator directly tied the benefit of the change activities to the success of the facility's mission and values and discussed PREA's legal ramifications as well as the responsibility of all staff to support the safety and well-being of the detention population. All managers and supervisors were invited to express their concerns, their questions were answered, and, most important, they were encouraged to offer suggestions and ideas for implementing and sustaining full PREA compliance. Sample communication documents are included at the end of this chapter.

The Change Team reviewed the information that had been gathered earlier (in the plan and assess stage) to help them develop an implementation strategy and change plan. The plan was communicated to all staff and other stakeholders and offered many opportunities for people to get involved through feedback sessions, planning for specific interventions, and committee membership to review a variety of policies and practices that were impacted by PREA standards.

Stage 5: Implement the Change Management Plan

The Change Team monitored and tracked the progress on the action steps and the implementation timeline. A PREA compliance scoreboard was developed and displayed in the facility, and it was updated regularly. The Change Team shared this information with key stakeholder groups through a variety of methods recommended in the communications plan. They worked with frontline supervisors to keep abreast of line staff's concerns and successes. As challenges arose, they worked with the Change Leader and Executive Team to address those challenges quickly. As the implementation continued, strategies to deal with resistance included openly communicating about how the changes were working, scanning the organization and its environment to check for tension or discontent with the new policies and practices, and willingly admitting that some things did not work as expected and revising them so they would be more effective.

Stage 6: Sustain the Change

To sustain PREA compliance as a facility priority, managers and supervisors became responsible for discussing the issue regularly with staff in meetings and for reinforcing it continuously with the incarcerated population. All staff were viewed as part of the Change Team efforts. Everyone in the facility became aware of the true meaning of a zero-tolerance policy. The Executive Team publicly recognized staff who were doing things right or making positive changes. Staff who did not abide by the performance expectations and violated the policy or law received timely discipline and/or corrective action in a prescribed and appropriate manner. The reporting of sexual misconduct by the detention population increased after the change efforts were initiated, illustrating a growing confidence among the detention population that sexual misconduct would be addressed by the administration. The PREA Coordinator regularly met with small groups of staff and the detained population to gather feedback, take the pulse of the change effort outcomes, and monitor progress. Any feedback, including that provided in staff training sessions or in meetings with the detention population, was shared regularly with the Executive Team. In addition, feedback was provided to all staff on



the facility's compliance with PREA standards through the scoreboards, briefings, the intranet, and through other means.

Evaluating Facility Success

Because of the cultural and organizational change efforts, CDC Kerry achieved successful compliance with PREA standards at its next assessment. The facility established an ongoing systemic process to assess and adjust policies, practices, and allocation of resources to address problems; reinforce a zero-tolerance policy; and support a reporting culture. In addition, the facility enhanced safety and security while achieving greater transparency of the facility's sexual abuse data and efforts to prevent, detect, and respond to sexual abuse. Staff members at CDC Kerry now believe that PREA is not just a set of standards, but a core responsibility for everyone in the facility. Detainees say they are now confident that staff will appropriately respond if they report an incident of sexual misconduct. Because of the PREA change effort, staff members appear to be more comfortable with change and engage more appropriately on sensitive issues with each other, the administration leaders, and the detention population.



Change Roles Teach Back

Change Leader-The agency's most senior official is the one who either takes responsibility for getting the change done or delegates someone to do that. Role includes:

- Allocating resources.
- Negotiating with stakeholders.
- Managing the complex interactions that will occur.

The Change Leader is the key staff person with the authority to implement changes. Responsibilities include:

- Selecting the Change Team members or participating with the most senior leadership in team selection.
- Informing senior management of the status and progress and ensuring their support to break down barriers, provide necessary resources, or reinforce communication.
- Challenging the management team when the evidence suggests that the process or any part of the organizational effort falters.
- Providing guidance to the Change Team on technical issues, quality improvements, strategies and methods, identifying consulting support, etc.
- Working with the Change Team to develop implementation strategies.

Change Team-Works with the Change Leader, deciding how the change is managed and who is involved in planning and implementation. Members should be:

- Well connected.
- Interpersonally competent.
- Influential with their peers and others.
- Diverse, representing different disciplines and levels in the organization.

Team composition may include:

- Staff.
- Supervised population/clients/offenders.
- Community leaders and partners.
- Those with interest in and impact on success of the change topic (aka stakeholders).



Effective Change Teams tend to follow a transformational approach to organization and leadership philosophy.

- All voices are equal on the change team, regardless of position.
- Evidence-based practices and data-driven decisionmaking are the rule, not the exception.

In a large-scale change effort the Change Team may be tasked with providing oversight and coordination of the Intervention Teams.

The team determines its own meeting schedule, decides how it will communicate internally for project management control, and discusses this with the change leader and/or leadership team.

Steering Committee-May be formed to provide support to the change team in larger, organization-wide impact efforts. They can be used to engage various stakeholders to increase support for the change effort, to run interference with those who may wield negative influence, and to increase information. Membership often includes:

- Managers from across the organization.
- Labor leaders.
- Informal and influential staff members.
- County Board or Governor's Office or other oversight group.
- Key stakeholder groups (community agencies, advocacy groups, labor unions, family, medical and mental agencies, etc.).

Intervention Teams-Large scale change may require many Intervention Teams. These can be formed to:

- Research and develop implementation plans in each facility or office.
- Developing Action Steps to deal with one of the vision points that came out of the larger change vision.
- Handling one of the objectives in the implementation plan.
- And so on.

In a single-intervention change or creating a change in one facility or for one policy, the Change Team may do the above tasks as a part of its work so there may not be a need for an Intervention Team.



Discussion Questions

For your team's assigned role, discuss these questions and be prepared to report out:

1. How do you see this role working in this current change effort?
2. What are the most important aspects of this role?
3. Who (name, position, skill, knowledge) should fill this role?
4. What else do you see someone in this role doing?





IMPLEMENTATION PLAN PAGE 1

Team Development

Choose the following team roles and list the responsibilities for each:

Role	Who	Responsibilities
Chair		
Co-chair		
Recorder/ Secretary		
Any Others		

Ground Rules: Create at least 3 for working together as a team:

1. _____
2. _____
3. _____





Enhancing the Teams

Part One: Skills and Knowledge Matrix

- Identify the skills and knowledge you will need to develop and implement your change effort plan.
- Write team members initials next to the skills and knowledge each possesses.
- Determine whether you have adequate coverage or if there are any gaps.
- Note others who have the skill or knowledge.
- Decide who you would like to invite to join your team.
- Use the back of this sheet if you need more room.

Skill or Knowledge	Team Members with this Skill or Knowledge	Adequate Coverage; Any Gaps?	Who Else has This?	Who to Invite to Team?
Meeting facilitation	EC, TV, EH	No gaps		
Developing performance measures	NC, SW	Would like 5 to have this skill	Data Analysts; Researchers	MJC, ER, TW,



Part Two: What else do you need to become a fully functioning team?

- What resources?

- Time away from your regular duties?

- Work space?

- Anything else?



Additional Module 3 Materials

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:

- Stage 1: Forming.
- Stage 2: Storming.
- Stage 3: Norming.
- Stage 4: Performing.
- Stage 5: Adjourning.

The inference is that all teams must progress through each of these stages to be fully functional and successful. All teams must go through stages of development, and all stages must be experienced by the team members if the team process is to be successful. Any change in the composition of the team or its leadership requires returning to the forming stage. In addition, if the team does not pay attention to the needed activities in any one stage, it may have to return to that stage, which would cause delays. The storming stage is the most difficult to work through and will require the team leader's patience and direct intervention. Paying attention to the adjourning stage will enhance opportunities and support for the establishment of other teams in the agency.



Stage 1: Forming: The forming stage of team development is when the team is just coming together. It is often characterized by a high dependence on the leader for guidance and direction, shyness, uncertainty, and cautiousness with guarded interactions among team members. Other characteristics of this stage include the following:

- Team members test the tolerance of the team leader and explore the boundaries of acceptable behavior.
- Team members are usually polite and noncommittal, although extroverts may rapidly assume some kind of leadership role.
- Team members may be struggling with feelings of inclusion and a sense of belonging.
- Individual roles are unclear.
- The team leader can steer the team through this stage by:
 - Sharing relevant information.
 - Encouraging open dialogue.
 - Providing structure.
 - Directing team issues.
 - Developing a climate of trust and respect.

Identify Strategies to work with teams when they are in the norming stage:

Strategies: _____



Stage 2: Storming: This stage of development reflects competition; strained relationships; disagreements; jockeying for position, influence, and authority; and power struggles among team members. Team conflict usually involves issues of power, leadership, and decisionmaking. Characteristics include:

- Conflict is unavoidable.
- Storming is the most crucial stage through which the team must work.
- It is the most uncomfortable phase of the group's tenure.
- Decisions do not come easily.
- Team members challenge differences in attempts to regain their individuality and influence.
- Each member is addressing the issue of control and determining whether it is safe to be a member of the team.
- Members either engage actively in the process or disengage due to the intensity of interactions among team members.
- Working toward task accomplishment is paramount, and relationship building sometimes takes a back seat to team collaboration.

Identify Strategies to work with teams when they are in the storming stage:

Strategies: _____



Stage 3: Norming: The norming stage of team development is characterized by agreement and consensus among team members. After working through the storming stage, team members discover that they do share common interests. Characteristics of this stage include the following:

- Members learn to appreciate their differences.
- Members respect and respond well to the team leader.
- Members work better together.
- Members solve problems together.
- Commitment and unity are strong among team members.

Identify Strategies to work with teams when they are in the norming stage:

Strategies: _____



Stage 4: Performing: The performing stage of team development is the result of working through the first three stages and establishing a stable group structure. By this time, team members are more strategically aware and have a clear understanding of their purpose. The team has a shared vision and is motivated to accomplish the mission. Having now learned how to work together as a fully functioning team, members can:

- Define tasks.
- Work out their relationships successfully.
- Retain the team's high degree of autonomy.
- Manage their conflicts.
- Work together to accomplish the mission.
- Look after each other and maintain open lines of communication.
- Ensure that the team does not need to be instructed or assisted. seat to team collaboration.

Identify Strategies to work with teams when they are in the Performing stage:

Strategies: _____



Stage 5: Adjourning: The adjourning stage is about completion and disengagement, both from the process/tasks and from the team. It is the breakup of the group, hopefully when the mission is accomplished. Although not part of the group development process, it is important for the leader to recognize the team's accomplishments and have members leave feeling satisfied and proud. Because of the strong bonding that may have occurred in the development stages, there may be a sense of loss and insecurity among some team members.

Identify Strategies to work with teams when they are in the adjourning stage:

Strategies: _____



Team Dysfunctions

From Patrick Lencioni's *The Dysfunctions of a Team: A Leadership Fable* (see next page), please review the section on *Lack of Trust* and identify barriers/challenges to implementation/sustainability AND strategies to respond to these challenges.

Barriers/Challenges: _____

Strategies: _____



From *The Five Dysfunctions of a Team: A Leadership Fable*. (Lencioni, Patrick, 2002. San Francisco: Jossey-Bass.)

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 doesn't 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.

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 next dysfunction).

Lack of commitment.

- Teams that can mix it up and debate on an issue can agree to 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 organization's team, even at the expense of sacrificing a short-term win for a smaller part of an organization, a unit, or a person.
- This reflects a personal maturity level that takes considerable work.
- After all of the ideas are put out on the table and everyone understands where the minority views lie, all commit to do what is best for the team.

Avoidance of accountability.

- Teams that practice effective accountability don't rely on the team leader as the primary source of accountability.
- Team success or failure is on everyone's shoulders.
- These teams call their peers on lapses and take responsibility for each member's success.

Inattention to results.

- Teams that master trust, conflict, commitment, and accountability will normally have what it takes to consistently put their individual interests aside and give it up for the larger team.
- To help them do this, it's a good idea to discuss what success looks like, how they know when they are performing well as a team, why they need to do it, and how they will measure success so they know exactly when they are off track.
- This may entail multiple discussions about acceptable behaviors and those that will not be tolerated.



Module Close

Key Points:

- There are a variety of roles that people can take in any change process – even the NoNo's can add value.
- Participate in the planning process.
- Participation trumps buy-in.
- Think about sustainability early in the change management process.
- All teams go through stages of development, and all stages must be experienced by the team members if the team process is to be successful.
- Reviewing the skills and knowledge needed to get the team's work done can lead to invitations to new members and more successful planning and implementation.
- A team can overcome team dysfunctions by practicing the behaviors that counteract each one.
- Optional: Change agents possess particular skills that can enhance any change team efforts.
- Optional: Understanding what drives change can facilitate success – The Law of the Few (Mavens, Salespeople, and Connectors), The Stickiness Factor, and The Power of Context.



Learn more about the Change Management in the APEX Guidebook – *Culture and Change Management: Using APEX to Facilitate Organizational Change* - available from NIC at <http://nicic.gov/Library/025300>



Learn more about Team Development in Chapter 5 the APEX Resources Directory Volume 2 – available from NIC at <http://nicic.gov/Library/025303>





APEX Training Notes





Module 4.

Agency Assessment: Laying the Groundwork for Change

Overview

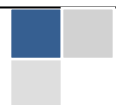
This module is designed to provide instruction and practice in planning and assessment:

- Introduce, teach, and practice a method for scanning the organization's environment and analyzing it with a focus on the goal.
- Familiarize the participants with the APEX Screener and give the Screener Report.
- Explain and practice identifying and assessing stakeholders and their potential impact on the goal.

Performance Objectives

Participants will be able to:





- Practice the environmental scan and analysis focused on the change goal.
- Understand how the APEX Screener works through discussing results and considering organizational readiness for change.
- Complete an initial stakeholder identification and assessment activity.
- Identify other tasks that could provide essential information for a particular change effort.





Thermometers/How Hot is your Change Effort?

1. Look at the five areas below, and color in the thermometers for the DEGREE of impact you think these concepts have on creating a successful change effort.
2. After you've had a chance to make your choices, get together with another of your team members, compare thermometers, note similarities, and differences.
3. For the ones that are different, discuss and get clarity about why you had different responses. Make a case for your opinion. Listen closely to each other and see if you can come to agreement.

				
Laws and Regulations (e.g. Legislation recently passed, recent regulatory changes)	Agency Assessment (e.g. Screener, or other assessments)	Political Climate (e.g. Governing bodies, funding sources)	Community (e.g. Criminal justice trends, population demographics)	Stakeholders (e.g. Internal to the agency, external)





How to Interpret the APEX Screener

If you have not taken the Screener, do so prior to this module.

The APEX Screener provides a brief assessment of a correctional agency's organizational readiness for change, and performance on agency strategy and engagement. It provides reports comparing the current user's responses with those from the initial agencies in the same sector of corrections.

Screener Report

The second page of the Screener contains the report, which shows **Chart A**: the overall average score expressed as a measure of organizational readiness, **Chart B**: a scatter plot depicting the individual's combined scores for strategy (Strategic Planning, Measurement, and Operations Focus domain items) and engagement (Stakeholder Focus, Measurement, and Workforce Focus items), and **Chart C**: results of YES/NO questions which note how prepared the organization is to proceed with change efforts to improve performance. A review of the agency's performance in these three areas will enable the leadership team to identify gaps.

Organizational Readiness

Chart A shows the user's responses compared to the average from respondents in the same-sector, and is designed to show how ready the organization is, in the user's opinion, to (1) review how they do things and (2) take on change efforts.

Strategy and Engagement

Chart B looks at two concepts that can directly influence the success of any change effort. Strategy is based on the level of awareness of things like well-developed mission and vision statements, goals that focus people's efforts on achieving the mission and vision, and the ability to measure how well the agency accomplishes its goals. Strategy includes the capacity an agency has for developing strategic plans and implementing them.

Engagement is based on the degree of the agency's involvement with stakeholders, including workforce, suppliers, clients, supporters, other agencies, their governance structure, as well as the public and the media. Engagement includes sharing of information with stakeholders and creating avenues for stakeholders to give the agency feedback.



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

Organizational Preparedness

Chart C provides a measure of organization preparedness for organizational change, and how prepared the executive team is to provide resources to the change effort (e.g., staffing levels, capacity to execute a communications plan to engage stakeholders, have unions participated in past efforts?). Chart C provides the context to discuss the important spotlight question: Is there sufficient readiness to move forward with a change management process?

Interpreting the Screener Report

One way to review is to have those who completed the screener walk through the 14 Likert-scale items and share their reasons for how they scored. Group consensus and diversity on high and low-scoring item areas can be noted and discussed productively.

Focus groups are another option. Lasting 90-120 minutes, a moderator facilitates the discussions to elicit information from the participants. This type of structured conversation has the potential to produce insights that might not occur in informal discussions. More can be found in “Focus Groups, A Practical Guide” in the *APEX Resources Directory Volume 2*.

Managers/change team members can use comparisons between the three Screener report charts from the group’s members to generate the group average score for organizational readiness, as well as an overall score for the agency. They can look at how these vary across the different groups who participated in the Screener discussions. The readiness scores can be compared and contrasted with the scores from their sector or the overall average. What do the group members make of these differences?



APEX Screener Debrief FAQ's

These questions can be used to debrief the results of the APEX Screener in a group setting.

1. When you saw your report, how much of it was predictable? A surprise?
2. The following questions can be used to discuss questions 1-14 in the Screener:
 - a. What was your score on this question?
 - b. How did you choose that score? What was the reason you chose that score?
 - c. What patterns do you see in this group's responses?
 - d. Is there one place that best typifies this group's scores?
3. What patterns do you see in your group's responses?
4. If you were to find the 'average score' on organizational readiness, what would that be?
5. Where does the group's average score fall:
6. What is your group's average score for organizational preparedness?
7. Review the team members' responses to questions 15 to 24 – What do you discover? What does it tell you about issues to consider as you move forward with your change effort?
8. What does all of this tell us about our organization's readiness for change?
9. What needs to happen prior to moving ahead with the goal?
10. If you were to find the 'average score' on organizational readiness, what would that be?

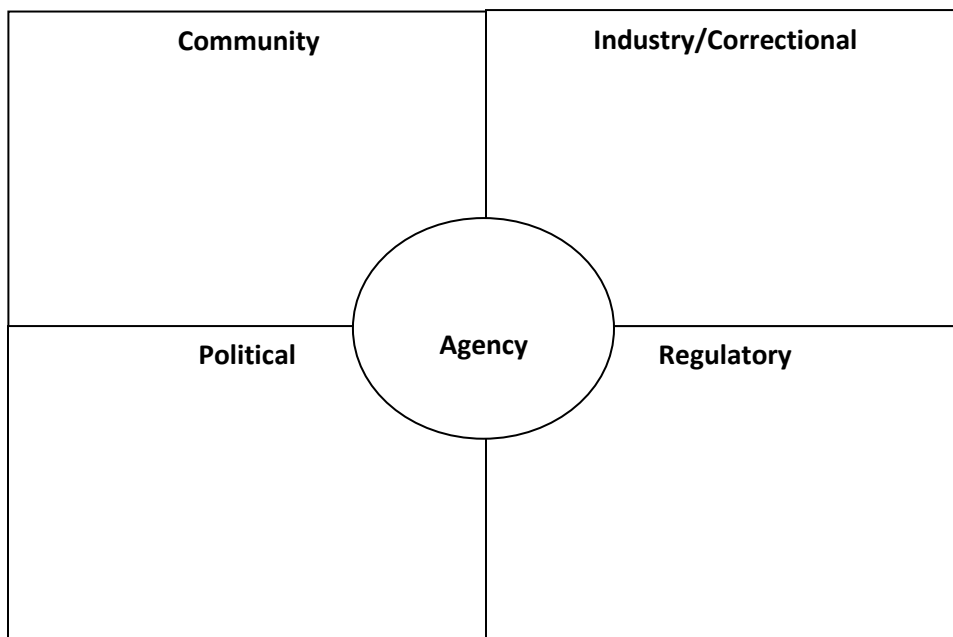


11. Where does the group's average score fall:
12. What is your group's average score for organizational preparedness?
13. Review the team members' responses to questions 15 to 24 – What do you discover? What does it tell you about issues to consider as you move forward with your change effort?
14. What does all of this tell us about our organization's readiness for change?
15. What needs to happen prior to moving ahead with the goal?



Chart for Environmental Scan

1. For **each** of the following external factors, ask yourself these questions:
 - What is happening?
 - What is changing?
 - What trends do you see?
2. Once you have noted a few things in each category, share this with your team members. Create a common chart for your team.
3. Identify the top 5 items from the scan that could have the most impact on your team's change effort topic. You don't need to rank the items 1 through 5, just list the top 5.
4. Note what the impact(s) could be for each.

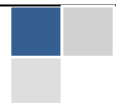
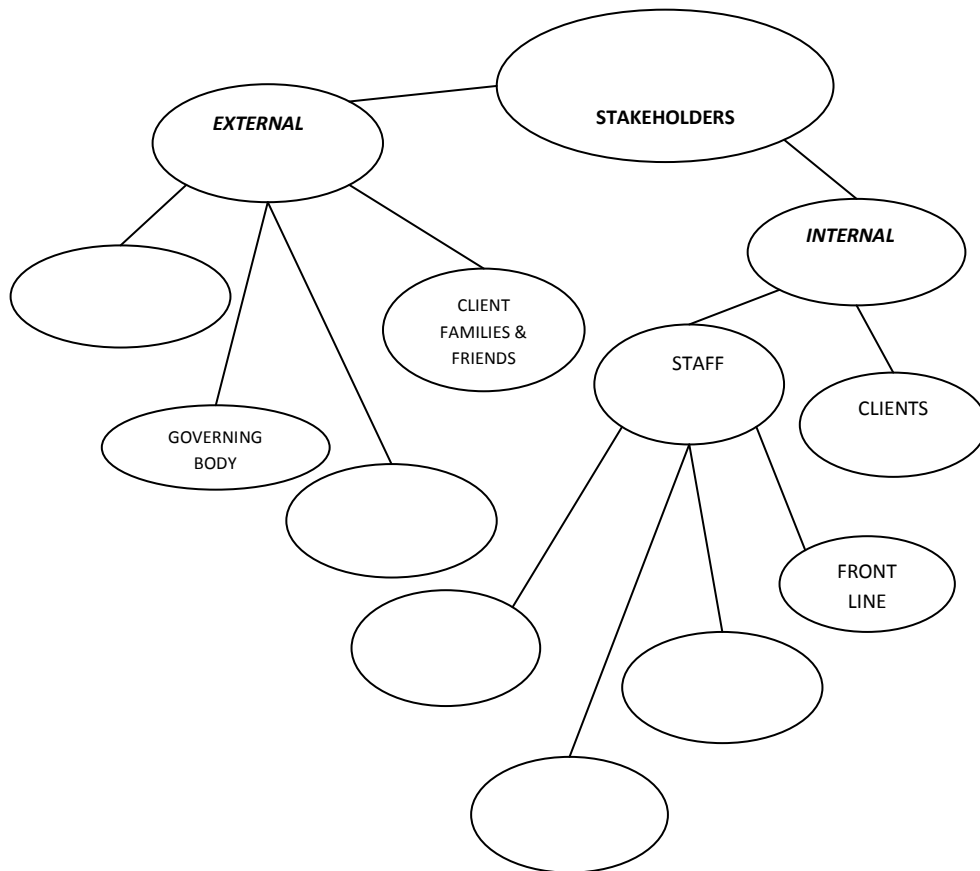




Stakeholder Identification and Analysis Web

Instructions:

1. Identify all the stakeholders and add them to the web.
2. Determine those that can have significant impact on your agency's change topic – the KEY stakeholders.
3. Put an asterisk or other symbol by each key stakeholder.
4. Note the potential impact each stakeholder could have.





Module Close

Key Points:

- An environmental scan and analysis gathers information about the external environment and potential impacts on the agency's change effort.
- The Screener provides a brief assessment of organizational readiness for change and performance on strategy and engagement.
- The report discussion is key to the effective use of the Screener.
- Stakeholders can influence change efforts – getting an idea of *who* and *how* early in the planning process can affect the success of the change effort.

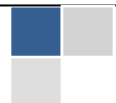


**Learn more about the Assessment Tools in the APEX Guidebook –
Applying the APEX Tools for Organization Assessment - available from
NIC at <http://nicic.gov/Library/025301>**





APEX Training Notes





Module 5.

Define the Goal

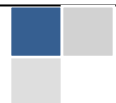
Overview

This module is designed to give participants the opportunity to work through the *Define the Goal* stage of the APEX Change Management Process.

Performance Objectives

Participants will be able to:

- Articulate why the proposed change is needed, anticipate how it will affect the agency and its stakeholders, and anticipate potential outcomes.
- Learn to use the SMARTS Goal format.
- Write a preliminary/initial goal. Transform the initial goal using the SMARTS Goal format to review and revise it with others for optimum clarity and understanding.
- Write an elevator speech to articulate the refined goal statement for the change effort.





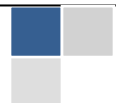
Define the Goal: Developing and Articulating the Goal

Write the Initial Goal

Conduct a Goal-Focusing Discussion

1. Why is the change happening?
 - a. What is causing the change?
 - b. Why is it necessary?
 - c. Who is impacted and how will the change affect them?
2. What practices, behaviors, processes, and results will change, and why?
3. How will the agency know when the goal or objectives are attained? How will success be measured?
4. How could this affect the agency mission, vision, and values?

Write the Modified Goal



Develop the Goal Using SMARTS

SMARTS goals include the following elements and can be used in any goal setting venture.

- **Specific:** easily understood and specific to what will be accomplished.
- **Measurable:** easily measured so that there is no question as to whether it has been achieved or not.
- **Achievable:** achievable and not too difficult or too easy.
- **Relevant:** relevant, support the agency's mission and aligned with the future vision.
- **Time limited:** specific deadlines for completion.
- **Shared:** reinforce commitment and clarify direction and purpose.



SMARTS Goal Questionnaire

This part to be done with another team. The other team will each take an element /letter from the SMARTS Questionnaire. It will be their responsibility to question you to help you refine your goal. Then you will switch and help them.

Specific. What will the goal accomplish?

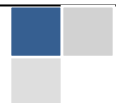
Measureable. Discuss how the goal can be measured (to ensure that indicators can be developed to accurately measure success).

Achievable. Is it possible? Have others done it successfully? Do you have the necessary knowledge, skills, abilities, and resources to accomplish the goal? Will meeting the goal challenge you without defeating you?

Relevant. What is the reason, purpose, or benefit of accomplishing the goal? What is the result (not activities leading up to the result) of the goal?

Time Limited. What is the established completion date and does that completion date create a practical sense of urgency?

Shared. Is this goal going to receive support and engagement from other staff and stakeholders?





IMPLEMENTATION PLAN PAGE 2

Write the Refined Goal Statement

Prepare the Initial Elevator Speech

The best way to SHARE your goal is with an elevator speech. Elevator speeches take as long as an elevator ride—and not to the top of the 108 story Sears (now Willis) Tower in Chicago. Most elevator speeches are designed to be completed in 30 seconds to two minutes. The idea is: if an idea can be presented in a compelling and clear way that adds value to the listener, they are more likely to become engaged and support the idea.

Read your Refined Goal Statement. Is it as clear and compelling as you can make it? Is it deliverable in under 2 minutes? Go ahead and revise it as an elevator speech. We'll share elevator speeches at the end of this activity.

Initial Elevator Speech

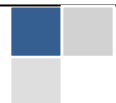




Module Close

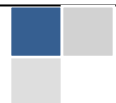
Key Points:

- Well thought-out goals are specific, measurable, achievable, relevant, time limited, and shared.
- It is important to clearly state what the goal is so that others can understand it cannot be underestimated.
- The importance of reviewing and revising the goal for clarity and understanding cannot be overstated.





APEX Training Notes





Module 6.

Build the Implementation Plan

Overview

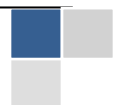
This module is designed to give participants guided practice in a variety of activities that will help them begin laying the foundation of their change effort implementation plan. It includes helping participants:

- Use the Change Management Process and the Public Safety Model in implementation planning.
- Understand and communicate boundaries around their change effort including the appropriate amount of risk-taking.

Performance Objectives

Participants will be able to:

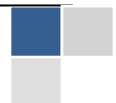
- Start to develop the foundation for a working implementation plan.
- Use the Public Safety Model to review their goal.
- Turn their goal into actionable steps with a few strategies and plans to achieve them, including key performance indicators to measure progress.





Keep, Drop, Create: What is Happening Now

KEEP	
DROP	
CREATE	





IMPLEMENTATION PLAN PAGE 3

Public Safety Model Domains Lens

1. Note the impacts of the domains on the goal and the impacts of the goal on the domains.
2. Review each domain using the questions on the Public Safety Model laminate.

Organizational Culture:
Leadership:
Strategic Planning:
Workforce Focus:
Stakeholder Focus:
Operations: Safe and Secure Supervision and Settings:
Operations—Process Management:
Measurement, Analysis, and Knowledge Management:
Results:





IMPLEMENTATION PLAN PAGE 4

Implementation Planning: Future Vision

Goal Future Point 1: _____

Strategy/Action Step 1: _____

Timeline: _____

Resources: _____

People – Who's Responsible? _____

Barriers/Challenges and Strategies to Deal with Them:

Anything Else? _____

Strategy/Action Step 2: _____

Timeline: _____

Resources: _____

People – Who's Responsible? _____

Barriers/Challenges and Strategies to Deal with Them:

Anything Else? _____



Goal Future Point 2: _____

Strategy/Action Step 1: _____

Timeline: _____

Resources: _____

People – Who’s Responsible? _____

Barriers/Challenges and Strategies to Deal with Them:

Anything Else? _____

Strategy/Action Step 2: _____

Timeline: _____

Resources: _____

People – Who’s Responsible? _____

Barriers/Challenges and Strategies to Deal with Them:

Anything Else? _____



Key Performance Indicators

Why Measure Performance?

- What gets measured tends to get done.
- If you don't measure results, you can't tell success from failure.
- If you can't measure success, you can't reward it or repeat it.
- If you can't recognize when results are not met, you can't learn from it.

(Source: Minnesota Milestones, <http://www.gda.state.mn.us/pdf/mileston.pdf> accessed 4/21/2013)

Key performance indicators (KPI's) are strategic guideposts to let organizations know that they are on the right path to achieve mission, vision, goals, and higher performance. Correctional agencies count and measure a lot of things – these are performance measurements. KPI's are the measures that are the most critical for achieving goals.

Things to consider when developing performance measurements and KPI's:

- ✓ Begin by clearly defining the results you want to achieve.
- ✓ Measure the right things.
- ✓ It is possible to measure the right things poorly.
- ✓ It is possible to measure the wrong things.
- ✓ Measuring the wrong things well often causes negative consequences.

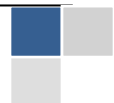
Measurements can be done many different ways. Here are three common ones:

- Raw numbers—example: maintain average case load size of 55.
- Progress measures—example: 95% completion rate for intake screenings done within 14 days of assignment to officer.
- Change in percentage measure—example: reduce technical violations by 30% over last fiscal year.

The source of the data is also important to consider. Is this data that is already collected? If not, you will need to gather it.

The frequency or how often you collect this data is another important measure. Is the data available monthly, annually, weekly, daily?

Once you have developed a set of measures for your goal, determine those that are most important to achieve the goal. These are your key performance indicators.

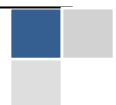


Performance Indicator Cards

Staff Turnover Data Source: Data Frequency:	Staff Sick Time Taken Data Source: Data Frequency:	Staff Overtime Data Source: Data Frequency:
Transfer Requests Data Source: Data Frequency:	Incident Reports Data Source: Data Frequency:	Violent Incidents: Offender on Offender Data Source: Data Frequency:
Violent Incidents: Offender on Staff Data Source: Data Frequency:	Staff Grievances Filed Data Source: Data Frequency:	Offenders Receiving Treatment for Criminogenic Needs Data Source: Data Frequency:



<p>Offender Per Capita Operating Cost</p> <p>Data Source:</p> <p>Data Frequency:</p>	<p>Senior Managers with Written Succession Plans</p> <p>Data Source:</p> <p>Data Frequency:</p>	<p>Use of Force</p> <p>Data Source:</p> <p>Data Frequency:</p>
<p>Offenders Working FTE jobs</p> <p>Data Source:</p> <p>Data Frequency:</p>	<p>Staff Training Hours</p> <p>Data Source:</p> <p>Data Frequency:</p>	<p>Staff Interaction with Coworkers</p> <p>Data Source:</p> <p>Data Frequency:</p>
<p>Staff Substance Abuse</p> <p>Data Source:</p> <p>Data Frequency:</p>	<p>Caseload Size</p> <p>Data Source:</p> <p>Data Frequency:</p>	<p>Employee Recognition System in Place</p> <p>Data Source:</p> <p>Data Frequency:</p>
<p>On the Job Accidents</p> <p>Data Source:</p> <p>Data Frequency:</p>		



Guiding Questions for KEY PERFORMANCE INDICATORS

- What is the result you want to achieve?
- What would allow you to accurately measure progress on this result? (Write these in the Performance Measures column on the Determining KPI's form in your manual)
- What is the source of the data? Do you already have it? If not, who would be responsible for gathering it?
- What frequency makes the most sense for that result?
- How could it inform decisionmaking?
- How will the results be shared with others? What reports would be helpful to staff and pertinent others?
- As you work through the domains, are there measurements that show up on more than one domain?
- If so, would there be any difference in measuring, collecting, or analyzing for the different domains?

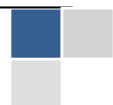


IMPLEMENTATION PLAN PAGE 5

Determining Key Performance Indicators

1. Create one performance measure for your goal in each of the Public Safety Model (PSM) domains.
2. Look at all the measures and prioritize them to determine which are the most critical to achieving the result you want.
3. These are your key performance indicators.

PSM Domain	Performance Measure
Organizational Culture	
Leadership	
Strategic Planning	
Workforce Focus	
Stakeholder Focus	
Operations – Safe and Secure Supervision and Settings	
Operations – Process Management	
Measurement, Analysis, and Knowledge Management	
Results	





Module Close

Key Points:

- The APEX components can be used successfully to support implementation planning and sustainability of the change efforts, systemically and strategically.
- This module demonstrates how they can be used to build a strategic plan, with clear action steps, for implementing a change effort.
- Providing clarity about any things that cannot be changed can avoid misunderstandings during implementation.
- The Public Safety Model Lens can enhance planning and mitigate unintended consequences.





APEX Training Notes





Module 7.

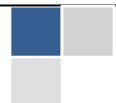
Communications Planning

Overview

This module is designed for participants to begin to develop a communications plan for their goal, and understand and practice setting up feedback loops.

Performance Objectives

Participants will be able to: Create a communications plan with feedback loops.





APEX Communications Planning: Briefing

The development and implementation of an effective communications plan can lead to better outcomes during change processes and other efforts. Correctional systems are under close oversight by the courts, regulatory agencies, state and federal legislators, as well as scrutiny from the media and the public, and are expected to be effective, efficient, accountable, and transparent. The most successful agencies are those whose staff and leadership master a proactive and comprehensive agenda to address the expectations that stakeholders demand. Their work calls for performance excellence not only in the daily administration of correctional organizations, but also in their communications efforts.

What is in a Communications Plan? A well thought out communications plan includes:

A. *The Objectives*

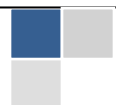
- Step 1: Articulate the rationale, benefits, and goals.
- Step 2: Identify internal and external stakeholders.
- Step 3: Identify communication objectives.

B. *The Message*

- Step 4: Address the communication objectives.

C. *The Plan*

- Step 5: Deliver and reinforce the message.
- Step 6: Encourage open communication.
- Step 7: Assess the outcomes of the communications plan.



A. The Objectives

Step 1: Articulate the rationale, benefits, and goals.

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

Rationale

Many corrections staff and stakeholders resist change, yet say *they want things to get better*. Leaders in agencies embarking on organizational change need to be able to answer questions like these:

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

The Benefits

With all the challenges confronting correctional agencies today, why begin this change process? Some examples of key performance outcomes could include:

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

The Goals (must be specific and measurable):



Step 2: Identify internal and external stakeholders.

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

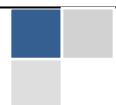


Begin with Brainstorming...to identify stakeholders and their positions.

Then stakeholders can be sorted into groups with similar interests and by the degree of influence (both positive and negative) they may have on the change effort. This enables the agency leaders and designated key staff to determine the type of communications focus that each stakeholder group will require.

Step 3: Identify the communication objectives.

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



The Message

Step 4: Address the communication objectives.

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

The Plan

Step 5: Deliver and reinforce the message.

The communications plan includes multiple formats and opportunities to deliver the agency message to its stakeholders. These may include one-on-one meetings, emails, website notices, postings, paycheck attachments, memos, letters, brochures, policy changes, media releases, videos, training, newsletters, roll call announcements, staff meetings, etc. The message must exhibit the full support of the agency leadership and be reinforced multiple times in multiple formats. Message delivery strategies can include:

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

Step 6: Encourage open communication with stakeholders and create feedback processes.

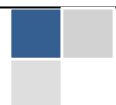
The development of a menu of formats to deliver the messages with ongoing reinforcement and repetition is critical. Stakeholder voices need to be actively sought and responded to by the agency. Deliberate and ongoing communication will enhance support for implementing the change initiative.



Step 7: Assess the outcomes of the communications plan.

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

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



Communications Plan—Stakeholder Message Charts

Instructions: This instruction sheet will help you fill in the Communications Plan Stakeholder Message Chart. The results outlined below can be written in the appropriate columns on the chart.

1. Use the stakeholder web (Module 4) and add any additional stakeholders that could impact your change effort.
2. Choose one key internal and one key external stakeholder group for this activity.
3. Determine the level of influence and whether it is positive or negative for each stakeholder group. Use:
 - a. 1 for high influence.
 - b. 2 for medium influence.
 - c. 3 for low influence.
 - d. + for positive influence.
 - e. – for negative influence.
4. Identify the communications objectives for each stakeholder group based on the level of influence, their power, and their potential support.
 - a. Do you want to persuade, inform, educate, create participation, influence, change perceptions, influence behavior, engage, garner support, address concerns, or establish ambassadors to support the change?
 - b. There may be more than one per group.
5. Write the message to address the communication objectives for one internal and external stakeholder.
 - a. Use the elevator speech format. Present the message in a way that adds value to the listener so they are more likely to become engaged and support the idea. Include something about how you would like them to be involved.
6. Identify the message delivery strategies and feedback options you will use for each.
7. Note ideas for measuring whether or not the communications plan is successful for each stakeholder group.



IMPLEMENTATION PLAN PAGE 6

Communications Plan—Stakeholder Message Charts

The Elevator Speech: _____

Internal & External Stakeholders	Degree of Influence - / + ; 1, 2, 3	Communications Objectives	Message Delivery Strategies	Feedback Options	Outcomes

Message – Stakeholder 1: _____

Internal & External Stakeholders	Degree of Influence - / + ; 1, 2, 3	Communications Objectives	Message Delivery Strategies	Feedback Options	Outcomes

Message – Stakeholder 2: _____

How will feedback be shared/communicated (Feedback Loops)? _____





An Example of a Stakeholder Communications Matrix

This is an example of what Steps 1-5 might look like if a probation agency decided to implement a policy for that allows discretion for applying graduated sanctions in the community in lieu of revocation for technical violations.

Goal: To reduce technical violations by 30% over FY 2012 levels through the development and implementation of a graduated sanctions policy and procedures by June 2013.

Stakeholders	Influence (+/-)	Degree of Influence	Communications Objective	Message Delivery Strategy
Internal				
Staff	+	1	Engage and Participate	Meetings, newsletters, focus groups
Clients/Offenders	+	2	Engage and Participate	Meetings, postings, focus groups
Middle Management	+	1	Engage and Participate	Meetings, newsletters, focus groups
Labor Unions	+	2	Engage	Letters
External				
Client/Offender Families	+	2	Inform and Engage	Letters, postings in reception areas, focus groups
Legislators	+/-	1	Inform	Meetings, letters, memos
Other Public Agencies	+	2	Inform	Letters, meetings
Private Agencies	+	3	Inform and Engage	Letters, meetings
Advocacy Groups	+/-	3	Inform	Letters
Media	+/-	2-3	Inform	Editorials, interviews, social media
Citizens	+	2-3	Inform	Editorials, web site postings, social media
Vendors/Contractors	+	3	Inform	Letters

(Degree of Influence: 1=high; 2=medium; 3=low)



The Messages

A message designed to *inform* legislators, citizens, or vendors, for example, could look like this: “Technical violations increased by over 15% in the past two years for the County Probation Office. This has adversely affected our clients’ success, increased the workload of our officers and the number of days clients spend incarcerated, and driven costs up. The data does not support that the increase in revocations has had an effect on public safety. We are looking at changing our technical violation policy and procedure to ensure that revocation is a last resort and that we develop and utilize alternative sanctions for technical violations that do not involve a new offense.”

A message to *inform* and *engage* client families could read this way: “Technical violations increased by over 15% in the past two years for the County Probation Office. This has adversely affected our clients’ success, increased the workload of our officers, and increased the number of days individuals spend incarcerated. There is no data to support that public safety is enhanced, based on the number of new offenses committed by clients. We are looking at changing our technical violation policy and procedures to ensure that revocation is a last resort and that we develop additional sanctions for violations that do not involve a new offense. Your involvement in this analysis of our current policy and procedures will be an important way to help us ensure that we are taking the needs of individuals under supervision and their families into account when we begin to identify options and modifications.”

A message to invite clients to *participate* could read this way: “Technical violations increased by over 15% in the past two years for the County Probation Office. We are looking at changing our technical violation policy and procedures to ensure that revocation is a last resort and that we develop additional sanctions for violations that do not involve a new offense. We want to hear from you on this very important topic: how can we best serve your needs and maintain public safety? Your ideas and support will be important as we move forward.”

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

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



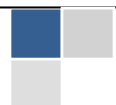
implementation period, we'll let you know immediately when new procedures are required so you can follow them with as little disruption to your workdays as possible.”

In addition, the agency developed two-way communication and feedback loops for the stakeholders, as well as performance indicators to measure the effectiveness of their communications.

A Sample Communications Action Plan

This example of a communications plan is based on the Prison Rape Elimination Act (PREA). The goal is to achieve full compliance with PREA Standards by March 1, 2014.

Objective: Implement a communications plan to increase and ensure stakeholder support for the PREA Standards implementation.



Communications Action Plan						
	STEPS	ACTIONS	RESPONSIBLE PARTY	PROGRESS	DATE	OUTCOMES
1	Benefits of PREA	Identify benefits and goals; report	Executive team	Executive team meeting scheduled 10/10	11/01/12	Report on benefits and goals by 11/01
2	Identify stakeholders	Conduct stakeholder analysis and force field analysis; report	OD director and management team	Meeting with eight managers as team participants	10/15	Report on stakeholder analysis and force field analysis by 11/01
3	Identify communications objectives	Review OD team report and develop communication objectives for key stakeholders	Executive team and PIO	Executive team meeting	12/15	Report on communications objectives by 12/20
4	Formulate messages	Review OD report and communication objectives	Executive team and PIO	Meeting scheduled	1/4/13	Messages to key stakeholders drafted
5	Deliver messages to stakeholders	Develop message content and delivery formats to stakeholders; deliver message to stakeholders	Executive team and PIO director	Message and format determined for key stakeholders; messages delivered	1/15	Messages delivered to stakeholders in multiple formats and schedules
6	Solicit stakeholder feedback	Hold focus groups; do surveys; conduct interviews	OD and PIO directors and staff, select managers and line staff	Continuous followup with stakeholders and request for feedback	2/1	Stakeholders provide feedback
7	Measure and analyze outcomes	Develop desired outcomes; measure and report	OD and PIO directors and executive team	Report on outcomes monthly	Monthly reports on 15th	Outcomes support PREA Initiative

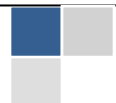
Notes: PREA = Prison Rape Elimination Act; OD = Organization Development; PIO = Public Information Office



IMPLEMENTATION PLAN PAGE 7

Next Steps

- When and where is your next meeting?
- What is the first activity (ies) you will be working on?
- Anything else?





Module Close

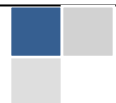
Key Points:

- Careful stakeholder analysis leads to better communications outcomes.
- The degree of influence, positive or negative, is critical to crafting the appropriate messages, delivery mechanisms, and feedback options to ensure, as much as possible, getting enthusiastic support from stakeholders and mitigating negativity.
- Feedback loops are an integral part of open communications.
- Keep the momentum going on your change effort once you leave this room and get back to work.





APEX Training Notes and Next Steps





Module 8.

Implement and Sustain Changes

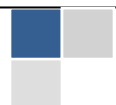
Overview

This module focuses on implementing and sustaining the change. The activities build on what participants have done so far in the training for their change effort work, creating strategies for enhancing the implementation and sustainability of their change effort goals.

Performance Objectives

Participants will be able to:

- Understand the importance of strategizing about implementation and sustainability throughout the entire change process.
- Develop a dashboard to track progress on goals and action steps.
- Identify enhancers and challenges to implementing change and develop strategies to incorporate enhancers and deal with challenges to implementation and sustainability.





Anticipatory Set Poem

Autobiography in Five Short Chapters by Portia Nelson

I.

I walk down the street.

There is a deep hole in the sidewalk.

I fall in.

I am lost . . . I am helpless.

It is not my fault.

It takes forever to find a way out.

II.

I walk down the same street.

There is a deep hole in the sidewalk.

I pretend I don't see it.

I fall in again.

I can't believe I am in the same place,

But it is not my fault.

It still takes a long time to get out.

III.

I walk down the same street.

There is a deep hole in the sidewalk.

I see it is there.

I still fall in . . . it's a habit.

My eyes are open.

I know where I am.



It is my fault.

I get out immediately.

IV.

I walk down the same street.

There is a deep hole in the sidewalk.

I walk around it.

V.

I walk down another street.

<http://www.panhala.net/archive/autobiography.html> accessed April 17, 2013




Implementation Dashboard Activity


Instructions: Choose 2 or 3 KPI's from Module 7 exercise.


For each: What is the target that your team is aiming for?






What percentage of change triggers red, yellow, or green lights?

Dashboard Example

Key:  Change for the Better or Target Met/Exceeded (+6% or more)


 Little to No Change (+/- 5%)


 Change for the Worse (-6% or less)

Key Performance indicator	Target	Progress	Result
Risk-needs assessments	90%	+ 95%	
Case plan completions	85%	-1%	
Housing stability	50%	-14%	
Treatment participation	30%	+5%	
Alcohol/drug free	20%	+22%	

Team Goal Dashboard

Key:  Change for the Better or Target Met/Exceeded (_____)

 Little to No Change (_____)

 Change for the Worse (_____)



Key Performance Indicators	Target	Progress	



Sustaining Change: Enhancers and Challenges

Examples and Worksheet

Example

One change team, whose goal was to implement new cross-gender policies and find solutions for operational limitations (one sub-goal in their agency's PREA implementation effort), discovered that there were structural barriers in several facilities that would become barriers to implementing one of their proposed policies. The policies and procedures were about incarcerated individuals' ability to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks." They also found that one of their members had been successful in writing successful grant applications for a previous change effort.

Their strategies to deal with this included:

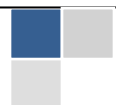
- Building a business case: The change team developed a detailed business case for the redesign of the facilities to comply with the PREA requirements including input from facilities, engineering, operations and medical staff. They knew that this had been a key piece in a previous change effort – the leadership team liked the detail and the professional way of presenting a request for funding.
- Applying for PREA equipment grants: Members of the change team did some research and discovered grants that were available for upgrading equipment to comply with PREA. They found several that could be helpful in supplying specialized shower doors and other devices.

Example

Another change effort in a jail setting was the redesign of the front office staff's work and workload. One goal was to cross train all team members so that everyone knows everyone else's job and do all the jobs the team is responsible for. They identified a barrier to sustaining this change after hearing from staff members who said: "We are short-staffed and too busy to right now to get our own work done let alone someone else's." and "We have no time to train each other thoroughly and I don't want anyone making mistakes when they do 'my' work!" During their interviews with staff, they also found that people liked the idea of flexible scheduling.

Their strategies to deal with this included:

- Getting work done: Help people understand that cross-training will allow staff to complete tasks daily, instead of building up when people are out of the office, as well allowing them to work together and complete otherwise overwhelming large tasks quickly.
- Making time: Two staff members arrive at 7AM and will cross-train one to two days a week for two hours each session. Each week different combinations of people will work together so staff will be exposed a variety of tasks.

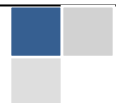




IMPLEMENTATION PLAN PAGE 8

Sustaining Change: Enhancers and Challengers

Enhancers: What Worked Well	<i>Strategies to Incorporate the Enhancers:</i>	Challenges: What Didn't Work So Well	<i>Strategies to Deal with the Challenges:</i>





Encouraging Buy-In

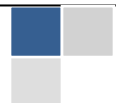
Worksheet

What was done to get people on board?	It worked well	It did not work well	How could it be adapted to work successfully with your current change effort?

What other ideas do you have for getting people on-board with the current change efforts?

Prioritize the above adaptations (table column 4) and the ideas and choose the top 3.

1. _____
2. _____
3. _____





Case Study:

Adapting and Modifying the Implementation Plan

A state department of corrections embarked on a major change initiative to enhance their mental health services. One Intervention Team was charged with developing a new system for providing therapeutic counseling and group interventions inside the facilities. They were energized about their implementation plan and well on their way to building contractual relationships with providers in the local communities to offer services to the offenders. With very little warning, the state legislature passed a managed mental health care law, mandating that all state agencies use managed care delivery systems. As the Intervention Team had been contracting with individual providers as well as local agencies, they were thrown off track by this new legislative requirement.

What would you do in this case?



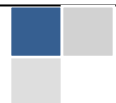
Module Close

Key Points:

- Thinking about, and developing, strategies to deal with challenges to sustainability needs to permeate the entire change process.
- Agility and adaptability are important attributes during implementation and sustaining changes so that the change effort does not get derailed.
- We can learn from our change effort history and use these learnings to develop strategies for enhancing our efforts and dealing with challenges to implementation, as well as gaining buy-in from others.
- Use key performance indicators developed for the action steps to track progress during and after implementation.
- Develop measurement, evaluation, and feedback processes to continually track and report progress.



APEX Training Notes





Module 9.

Workshop Close

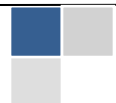
Overview

This module is designed to give participants the opportunity to prepare for and present the results of all of their work to each other and/or leadership. It is also designed to provide a review of the workshop and participants' expectations for the training, and to elicit their feedback.

Performance Objectives

Participants will be able to:

- Develop a plan to communicate to agency leadership what has been accomplished in the training as far as goal setting, communications planning, next steps in implementation and implementation planning, and thoughts on resources necessary for sustainability of the intended changes.
- Recall what was covered during the entire training session.
- Present the foundation of their implementation plans to leadership and other participants.
- Provide feedback on the training via discussion and the feedback form.

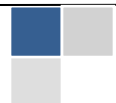




Implementation Plan/Presentation Form

Please pull these forms from your Participant Manual in this order:

- Team Development: Who is on the team, team roles, and who you will be adding to the team (Implementation Plan page 1, Module 3).
- Your refined effort goal and initial elevator statement. (Implementation Plan page 2, Module 5).
- Public Safety Model review (Implementation Plan page 3, Module 6).
- Implementation Planning: Future Vision (Implementation Plan page 4, Module 6).
- Key Performance Indicators (Implementation Plan page 5, Module 6).
- Communications Plan-Stakeholder Message Charts (Implementation Plan page 6, Module 7).
- Next Steps (Implementation Plan page 7, Module 7).
- Sustaining Change: Enhancers and Challenges (Implementation Plan page 8, Module 8).



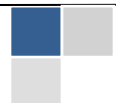
Module Close

Key Points:

- The APEX Public Safety Model domains can be used as a lens when problem-solving, decisionmaking, and planning. These questions can help agencies see how the whole system could be affected,
- Think “outside the box” in identifying a broad range of stakeholders who have interest in the outcomes the jail achieves. Reach out to stakeholders, build relationships, and develop partnerships that serve mutual interests.



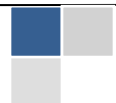
APEX Training Notes and Next Steps





Appendix

- **Forms**
- **Presentation Slides**





IMPLEMENTATION PLAN PAGE 1

Team Development

Choose the following team roles and list the responsibilities for each:

Role	Who	Responsibilities
Chair		
Co-chair		
Recorder/ Secretary		
Any Others		

Ground Rules: Create at least 3 for working together as a team:

1. _____
2. _____
3. _____





IMPLEMENTATION PLAN PAGE 2

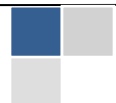
Write the Refined Goal Statement

Prepare the Initial Elevator Speech

The best way to SHARE your goal is with an elevator speech. Elevator speeches take as long as an elevator ride—and not to the top of the 108 story Sears (now Willis) Tower in Chicago. Most elevator speeches are designed to be completed in 30 seconds to two minutes. The idea is: if an idea can be presented in a compelling and clear way that adds value to the listener, they are more likely to become engaged and support the idea.

Read your Refined Goal Statement. Is it as clear and compelling as you can make it? Is it deliverable in under 2 minutes? Go ahead and revise it as an elevator speech. We'll share elevator speeches at the end of this activity.

Initial Elevator Speech



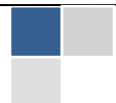


IMPLEMENTATION PLAN PAGE 3

Public Safety Model Domains Lens

3. Note the impacts of the domains on the goal and the impacts of the goal on the domains.
4. Review each domain using the questions on the Public Safety Model laminate.

Organizational Culture:
Leadership:
Strategic Planning:
Workforce Focus:
Stakeholder Focus:
Operations: Safe and Secure Supervision and Settings:
Operations—Process Management:
Measurement, Analysis, and Knowledge Management:
Results:





IMPLEMENTATION PLAN PAGE 4

Implementation Planning: Future Vision

Goal: _____

Action Step: _____

Resources Needed: _____

Responsible Party: _____

Performance/Outcome Measures: _____

Due Date: _____ **Actual Completion Date:** _____

Is this a good time to acknowledge/celebrate success? How? _____

Challenge/ barrier to this action step: _____

Action Step: _____

Resources Needed: _____

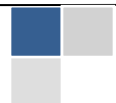
Responsible Party: _____

Performance/Outcome Measures: _____

Due Date: _____ **Actual Completion Date:** _____

Is this a good time to acknowledge/celebrate success? How? _____

Challenge/ barrier to this action step: _____





IMPLEMENTATION PLAN PAGE 5

Determining Key Performance Indicators

1. Create one performance measure for your goal in each of the Public Safety Model (PSM) domains.
2. Look at all the measures and prioritize them to determine which are the most critical to achieving the result you want.
3. These are your key performance indicators.

PSM Domain	Performance Measure
Organizational Culture	
Leadership	
Strategic Planning	
Workforce Focus	
Stakeholder Focus	
Operations – Safe and Secure Supervision and Settings	
Operations – Process Management	
Measurement, Analysis, and Knowledge Management	
Results	





IMPLEMENTATION PLAN PAGE 6

Communications Plan—Stakeholder Message Charts

The Elevator Speech: _____

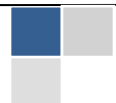
Internal & External Stakeholders	Degree of Influence - / + ; 1, 2, 3	Communications Objectives	Message Delivery Strategies	Feedback Options	Outcomes

Message – Stakeholder 1: _____

Internal & External Stakeholders	Degree of Influence - / + ; 1, 2, 3	Communications Objectives	Message Delivery Strategies	Feedback Options	Outcomes

Message – Stakeholder 2: _____

How will feedback be shared/communicated (Feedback Loops)? _____

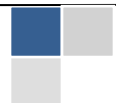




IMPLEMENTATION PLAN PAGE 7

Next Steps

- When and where is your next meeting?
- What is the first activity (ies) you will be working on?
- Anything else?

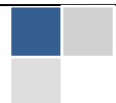




IMPLEMENTATION PLAN PAGE 8

Sustaining Change: Enhancers and Challengers

Enhancers: What Worked Well	<i>Strategies to Incorporate the Enhancers:</i>	Challenges: What Didn't Work So Well	<i>Strategies to Deal with the Challenges:</i>





Achieving Performance Excellence (APEX)

National Institute of Corrections

&

People in Charge, LLC



APEX Learning Objectives

- Use a systems-approach to decisionmaking.
- Identify organizational gaps and opportunities for improvement.
- Pursue sustainability through strategic implementation and communications.
- Apply APEX principles to real situations.



APEX Is . . .

- Agency-driven and owned.
- A way for correctional agencies to assess and enhance organizational culture.
- Designed specifically for agencies in all sectors of corrections.



APEX is not . . .

- A report card.
- An accreditation process.
- A process that requires public disclosure of the agency's performance to compare with any other agency.
- A mandate for any actions.

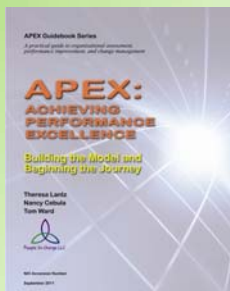


APEX Resources

- A series of seven Guidebooks.
- APEX Screener.
- Technical Assistance.



APEX Guidebook Series



1. APEX: Building the Model and Beginning the Journey
2. Culture and Change Management: Using APEX to Facilitate Organizational Change
3. Achieving Performance Excellence: The Influence of Leadership on Organizational Performance
4. Understanding Corrections through the APEX Lens
5. Applying the APEX Tools for Organizational Assessment
6. APEX Resources Directory Volume 1
7. APEX Resources Directory Volume 2



Agency Change Topic(s)



Systems Thinking

- A relationship exists between a system and its environment.
- A system can be a part of a larger system; it can contain subsystems.
- All parts of a system need to be working to ensure that the system operates properly.
- Systems have goals; subsystems develop their own goals to help the larger system reach its goals.



Benefits to a Systems Approach

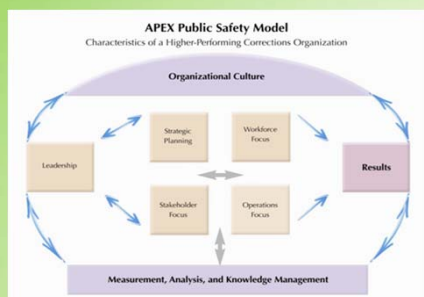
- Increase public and facility safety with enhanced operations.
- Reduce recidivism.
- Improve stakeholder communication and support.
- Enhance data collection, analysis, and inform decisionmaking.
- Efficient utilization of fiscal resources.



APEX Public Safety Model

- Based on the National Performance Excellence Program (Baldrige Award).
- Provides a Systems-Approach Lens for Correctional Organizations
- Encourages more effective decisionmaking.
- Helps avoid unintended consequences.





APEX Domain: Organizational Culture

- What people think about, pay attention to, and how they behave toward work and each other.
- The shared assumptions, values, beliefs, attitudes, norms and practices.
- “How things are done around here.”
- Culture is communicated and learned through observation.



APEX Domain: Leadership

- Applies primarily to those who lead the agency, set its direction, model its values.
- Includes how leaders are developed.
- Determines how managers and supervisors carry out the vision and mission.
- Reflects individuals' ownership of mission, vision, and values.
- Includes fiscal management and adherence to laws and regulations.



APEX Domain: Operations Focus 1

Safe & Secure Supervision & Settings

- Generally viewed as the heart of corrections.
- Includes the physical and mental well-being of all the people inside, and outside.



APEX Domain: Operations Focus 2

Process Management

- How the work is accomplished.
- How the organization designs, manages, and improves key work processes and related work systems.



APEX Domain: Stakeholder Focus

- How the organization determines and meets the **needs** and **concerns** of the supervised **population**, and other **stakeholder** groups.
- Focus is **analyzing** data gathered from stakeholders and **engaging** stakeholders to support the agency mission.



APEX Domain: Workforce Focus

- Recruitment.
- Staff deployment.
- Morale and engagement.
- Training and development.
- Resources and recognition.
- Healthy work environment.
- Communication.
- Processes to deal with workforce issues.



APEX Domain: Strategic Planning

- Identifying and sharing a vision and strategies for the organization.
- Setting and communicating measurable goals.
- Developing action plans.
- Identifying how everyone's work contributes to those goals and plans.



APEX Domain: Measurement, Analysis, and Knowledge Management

- How to measure progress and success.
- Identify **key** performance indicators.
- How data is collected.
- How the organization will respond to changes in the data to ensure it stays on course to improve performance.
- Timely and efficient data management technology.



APEX Domain: Results

Shows progress on mission, goals, and performance in five key areas:

- Operations Outcomes.
- Stakeholder Focus Outcomes.
- Workforce Focus Outcomes.
- Budgetary and Financial Outcomes.
- Leadership and Governance Outcomes.



Change Management Principles

1. Engage top leadership actively and visibly.
2. Commission a change team to guide the process.
3. Encourage participation from many people.
4. Create a dynamic vision of the future.
5. Share the future vision with the organization.
6. Develop action plans.
7. Monitor and evaluate implementation.
8. Communicate progress.



APEX Change Management Model



Iceberg Summary in 8 Steps

Set the Stage

1. Create a Sense of Urgency.
2. Pull together the Guiding Team.

Decide What to Do

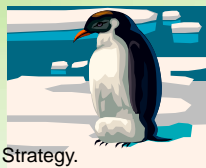
3. Develop the Change Vision and Strategy.

Make It Happen

4. Communicate for Understanding and Buy-In.
5. Empower Others to Act.
6. Produce Short-Term Wins.
7. Don't Let Up.


Make It Stick

8. Create a New Culture.

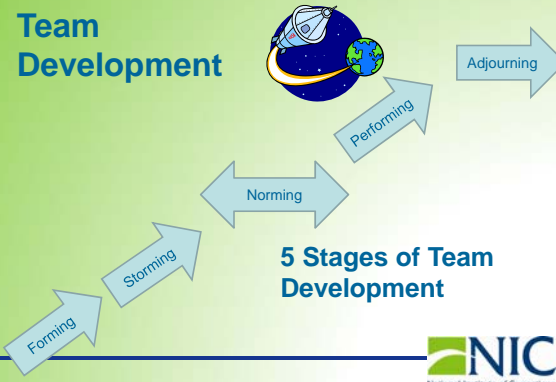


Optional:
APEX Change Management
Case Study


PREA Standards Implementation



Team Development



5 Stages of Team Development



Team Dysfunctions



1. Absence of trust.
2. Fear of conflict.
3. Lack of commitment.
4. Avoidance of accountability.
5. Inattention to results.



Team Development



1. List responsibilities of team Chair, Co-chair, Recorder/Secretary.
2. Create 2-3 ground rules.
3. Identify strategies to deal with teams when they are in the storming stage.
4. Identify strategies to deal with team dysfunctions.



Enhancing the Teams

What else does your team need?

- ☐ People: skills, knowledge, connections.
- ☐ Any resources.
- ☐ Other people.
- ☐ Time.
- ☐ Work space.
- ☐ Anything else.



Optional:

What is a Change Agent?

In your agency:

1. What does Change Agent mean in your agency?
2. What roles do Change Agents play?



Optional:

Change and the Tipping Point

Law of the Few

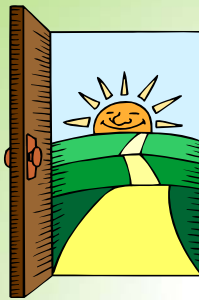
- Connectors
- Mavens
- Salespeople

Stickiness Factor

Power of Context



Day One Ends



Agency Assessment

- Formal
- Informal
- Internal
- External



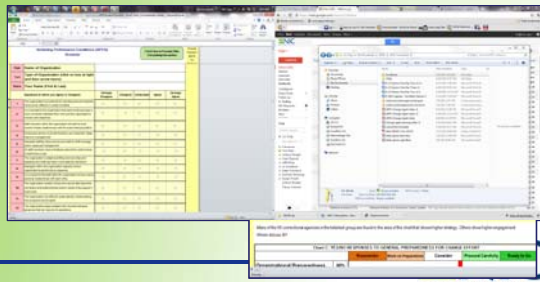
APEX Screener

A brief questionnaire that:

- Looks at organizational readiness and preparedness for change.
- Identifies areas that need work prior to any change effort.
- Compares strategy and engagement.



Screener Debrief in Small Groups



The External Environment

- Community
- Political
- Industry/Correctional
- Regulatory



Define the Goal

- Why is the change happening?
- What will change and why?
- How will success be measured?
- How will this affect agency mission, vision and values?



Developing SMARTS Goals

- SPECIFIC**—what will be accomplished.
MEASURABLE—easy to measure/show progress.
ACHIEVABLE—not too hard/not too easy.
RELEVANT—aligned with mission/vision.
TIME LIMITED—realistic deadlines.
SHARED—common goals allow collaboration.

Elevator Speeches



- 30 seconds to 2 minutes in length.
- Clear description of what you are talking about.
- WHY they should get involved.
- HOW they could be involved.

Build a Detailed Implementation Plan

This module includes:

- Keep Drop Create.
- Goal Review through Public Safety Model.
- Vision for the Future.
- Key Performance Indicators.



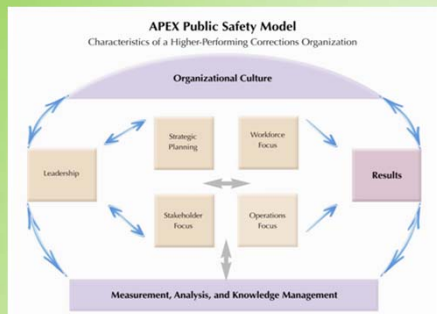
Keep Drop Create: What is Happening Now

Keep

Drop

Create





Future Vision

Describe what your goal looks like in the future when implementation is successful and sustained:

- Go 3 years out – It's 2015.
- 4 or 5 future points.
- **What** it looks like (not **how** you get there)
- Dream Large – Be Practical!



Implementation Plan:

- Timeline?
- Resources?
- People?
- Barriers and Challenges?
- Other?

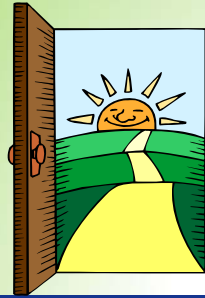


Key Performance Indicators

- Measure the right things.
- It is possible to measure the right things poorly.
- Measuring the wrong things well often causes negative consequences.



Day Two Ends



Communications Plan

Objectives

1. Articulate rationale, benefits, and goals.
2. Identify internal and external stakeholders.
3. Identify communication objectives.

Message

4. Address the communication objectives.

Plan

5. Deliver and reinforce message.
6. Encourage open communication.
7. Assess outcomes.



The Objectives

- Articulate rationale, benefits, and goals.
- Identify internal and external stakeholders.
- Identify communication objectives.



The Message

Address the communication objectives.



The Plan

- Deliver and reinforce message.
- Encourage open communication.
- Assess outcomes.



Next Steps

When is your next meeting?

What are your next two or three activities?



Implement the Change Management Plan



Implementation Dashboard



1. Choose 2 or 3 KPI's. For each:
2. What is the target that your team is aiming for?
3. What percentage of change triggers **red**, **yellow**, or **green** lights?



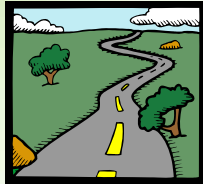
Team Presentations

Please Include:

1. Team Development
2. Refined Goal and Elevator Speech
3. PSM Review
4. Future Vision
5. Key Performance Indicators
6. Communications Plan-Stakeholder Message Charts
7. Next Steps
8. Sustaining Change: Enhancers and Challenges



**Good luck with your
APEX Journey!**



And Thank You!