Achieving Performance Excellence (APEX)
Guidebook Series

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

Understanding Corrections through the APEX Lens

National Institute of Corrections

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

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People in Charge LLC

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Foreword

Corrections is a *people* business. Stakeholders, especially individuals under supervision and in custody, their families, criminal justice and human service professionals, the public, and the agency's workforce, are part of a vast and complex network that determines every correctional agency's success. Corrections is also a *systems* business, in which high performance is made more complicated by interdependent operations that must always consider subsystem impacts on safety and security. In short, a multitude of factors determine higher performance in corrections.

Understanding Corrections through the APEX Lens, part of the APEX (Achieving Performance Excellence) Guidebook series, presents chapters on several of the APEX Public Safety Model domains: Operations, including Safe and Secure Supervision and Settings and Process Management; Stakeholder Focus; Workforce Focus; Strategic Planning; Measurement, Analysis, and Knowledge Management; and Results. Understanding and mastery of these domains can put a correctional organization on a fast track toward enhanced results.

The National Institute of Corrections hopes that the APEX Initiative benefits your organization and offers guidance and resources for your professional journey to achieving performance excellence.

Morris Thigpen
Director
National Institute of Corrections

Preface

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

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

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

The APEX Guidebook evolved from one guidebook with information on the APEX model, its domains, and organizational change into a series of books. The Guidebook series is designed to provide resources, information, and processes to correctional organizations as they travel the path of organizational change leading to higher performance.
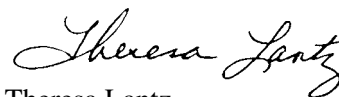
The APEX Change Agent Training will provide correctional agencies with capacity-building training and technical assistance in the APEX systems approach to organizational performance improvement.

Understanding Corrections through the APEX Lens is the second book in the APEX Guidebook series and is designed to help correctional practitioners deepen their knowledge of the Public Safety Model domains. It offers practical suggestions for improving performance and creating positive change by sharing best-practice methods and current literature on higher performance in corrections.

Respectfully submitted,

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PEOPLE IN CHARGE

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

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Introduction to Achieving Performance Excellence

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

APEX Guidebook Series Overview

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

APEX: Building the Model and Beginning the Journey

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

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

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

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

Understanding Corrections through the APEX Lens

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

Achieving Performance Excellence: The Influence of Leadership on Organizational Performance

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

Applying the APEX Tools for Organizational Assessment

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

APEX Resources Directory Volumes 1 and 2

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

USING THE ORGANIZATIONAL PROFILE

Fifteen staff and managers participated in the Organizational Profile to get a better idea of how their probation agency is dealing with its stakeholders and political environment. They learned that, although they are doing a pretty good job of dealing with their judicial overseers, there is a lack of trust and collaboration with other service providers in their jurisdiction. They downloaded several APEX books from the NIC website, including *Understanding Corrections through the APEX Lens* and the *APEX Resources Directory Volume 1*. They reviewed the sections on stakeholders to get ideas for increasing communication, building relationships, and improving collaborative initiatives with other agencies and external stakeholders as well as improving relationships with clients and their families.

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

How To Use APEX

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

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

Chapter 1: Introduction

The correctional agency's engine is its operations. Operations efficiency and effectiveness—the way employees get the job done every day—determine the entire organization's success or failure. An operations engine is fueled by its people. The people employed at the correctional agency, the people in its custody and supervision, and the stakeholders vested in the success of the organization give it its culture, morale, and appreciation for quality and excellence and, in so doing, represent the heart of corrections. This book is intended to deepen the correctional practitioner's understanding of operations and people. *Understanding Corrections through the APEX Lens* includes chapters on several of the APEX (Achieving Performance Excellence) Public Safety Model domains:

- **Operations Focus—Safe and Secure Supervision and Settings** is a practical guide to the management of all safety and security procedures; the management of individuals and populations under supervision; and the management of control, operations, and security in correctional environments.

- **Operations Focus—Process Management** describes the *what* and the *why* of process management. Various principles and practices are explained as well as the importance of leadership, tactics and strategies, human resources requirements, and a systems view of process management. A case study provides examples of a correctional agency's process-management techniques to revitalize its training academy.

- **Stakeholder Focus** sets the stage for building positive relationships with internal and external stakeholders. The exchange of information between agencies and stakeholders and engaging stakeholders in supporting the mission of the agency can lead to increased opportunities for clients, enhanced operations, and a positive relationship with the public.

- **Workforce Focus,** in combination with the "Team Development Guide" chapter in the *APEX Resources Directory Volume 2* and the "Workforce Focus Domain" chapter in the APEX *Resources Directory Volume 1,* contains guidance regarding concepts and approaches that contribute to developing a work culture that facilitates productivity and engages staff intellectually and emotionally.

- **Strategic Planning** is a key component in any leader's portfolio. This chapter discusses strategy development, implementation, sustainability, engagement of staff and other stakeholders, and communication throughout the planning and implementation processes.

- **Measurement, Analysis, and Knowledge Management** are essential in every successful correctional operation. This chapter offers guidance on using these tools to improve organizational performance and make meaningful use of information and knowledge.

- **Results,** the last domain, links to all of the other chapters in encouraging a results-focused way of approaching organizational systems thinking. Organizational performance and improvement outcomes are considered

in five key areas: operations, stakeholder focus, workforce focus, budgetary and financial issues, and leadership and governance. Correctional leaders need to be accountable for efficient and effective use of public funds and resources, and this chapter shows how such accountability can be accomplished.

The chapters in this book will assist correctional practitioners who are on the journey to higher performance by maximizing their efforts toward developing better relationships with staff and other stakeholders and optimizing their work systems, work processes, and operations.

Chapter 2: Operations Focus—Safe and Secure Supervision and Settings

As public administrators, the leaders of institutional operations must be responsive to those who pay the bills and operate according to one of the important principles on which our country was established: the rule of law.

—Judith Simon Garrett

Correctional organizations are charged with protecting the public by providing appropriate administrative and operational systems for the safety of staff and the safekeeping of individuals who are under their supervision and treatment. Nationally, corrections represents tens of billions of dollars in public costs. Whether offenders under the authority of the correctional system are on probation, assigned intermediate sanctions, committed to a detention facility, sentenced to prison, or under parole or some form of supervised community release, their management is affecting all facets of public safety, government, and public policy.

Although there has been a national decline in the growth of the total incarcerated population, many counties, states, and the federal system still experience increases. Correctional leaders are continually challenged to find ways to be more effective, cost efficient, and responsive to public expectations of safety, security, and crime reduction. The Achieving Performance Excellence (APEX) Initiative provides a systemic and holistic process for building organizational capacity and competency and for achieving higher performance.

This chapter focuses on three basic objectives to maintaining safety and security in corrections:

- Management of public, client, and staff safety and security procedures.

- Management of individuals and populations under supervision.

- Management of control, operations, and security of correctional environments.

Safe and Secure Supervision and Settings Defined

Corrections, and the social control it fulfills, is one of government's fundamental responsibilities to its citizens, ensuring a safe, orderly, and law-abiding society. In addition to protecting society, corrections is also legally responsible for providing a safe and secure environment for the people who live and work in correctional organizations. Maintaining a safe environment—whether it be in a secure facility, community center, or any other correctional operation—is the paramount priority for all concerned. This chapter reinforces standards of policy, practice, management, and response strategies to ensuring safe and secure supervision and settings of individuals involved in the correctional system in accordance with the law.

Management of Public, Client, and Staff Safety and Security Procedures

Engaging the APEX Assessment Tools and Guidebook allows staff to identify performance gaps that directly relate to or affect safety, security, and order in the agency's administrative and operational processes. Areas for review and improvement include the following:

- **Developing policy and defining effective practices and procedures.** To be effective and consistent in operations, correctional agencies need policies and standard operating procedures that cover all core processes that support maintaining a safe and secure environment. The *APEX Resources Directory Volume 1* contains examples of policies and procedures. Core processes include the following:

  - Key and tool control.
  - Population counts.
  - Searches.
  - Urinalysis and other drug detection methods.
  - Contraband control.
  - Inspections and tours.
  - Population movement, escorts, and transportation.
  - Admissions, intake, and discharge.
  - Inmate property.
  - Incident reporting.
  - Post orders and logs.
  - Investigations.
  - Audits.
  - Inmate property.
  - Data collection and reports, performance measures, and incident analysis.

- **Recognizing the role of leadership in mission success.** A correctional agency needs to have effective leaders to ensure that its mission, vision, and values are reflected in the direction, policies, systems, and practices being carried out; this supports ongoing success. Within the paramilitary organizational structure of many correctional agencies, leadership is distributed throughout the chain of command. Consistent policies, procedures, and performance expectations enhance overall safety, security, and good order for the public, staff, and clients. Industry best practices and standards, such as those found through the National Institute of Corrections (NIC), American Correctional Association, American Jail Association, American Probation and Parole Association, and other sources, serve as valuable resources for agency leaders in achieving and sustaining higher performance.

- **Addressing the agency/facility culture.** Culture has remarkable influence on an organization's performance and directly affects safe and secure supervisions and settings. How the staff and those under supervision engage with the agency's mission, vision, and values, and how they perform in accordance with the agency's policies and procedures, affects the overall success of their program.

- **Identifying strategies to implement change.** The implementation of effective change strategies during an agency's move to higher performance supports safe and secure supervision and settings. As those in corrections know, safety and security cannot be compromised during a change effort. Understanding the interrelationship among leadership, culture, and change management will provide stability and consistency when changes occur.

- **Building staff competency and capacity through human resources and training.** Corrections is a people business. One foundation of our success is building staff competency and capacity through effective hiring, promoting, and training in safety, security, programmatic, and operations systems in accordance with policies and best practices. The investment in staff development to meet organizational goals directly correlates with the overall success of the agency in meeting its mission.

Management of Individuals and Populations under Supervision

The Operations Focus domain addresses how effectively an organization designs, manages, and improves its key work processes to deliver value and achieve client and organizational success. The following are examples of ways to enhance organizational success and sustainability:

- **Using validated risk/needs assessments for classification and management.** The classification process is the foundation for effectively managing offenders in both confinement and the community. Whether a correctional agency is using a traditional clinical system or a best-practices, actuarial-based system, a consistent classification process and system is necessary for supporting effective, safe, and secure supervision and management of offenders. With the newer refined and research-validated risk and needs assessments, the classification process has been greatly enhanced in support of risk-reduction/recidivism programs and services. The field is evolving with growing research on *evidence-based practices* that offer models and effective work processes. NIC has been a driving force in this process.

- **Providing just and humane supervision and treatment in accordance with the constitution; state, federal, and local laws; and best-practice standards.** Conditions of confinement and the defining of incarcerated individuals' constitutional rights have been prescribed by courts, including issues related to health care, recreation, segregation, due process, religious practices, grievances, and access to avenues of communication. The most effective correctional agencies manage in accordance with current evidence-based/best-practice standards, using processes, programs, services, and treatment practices that meet legal compliance requirements and ensure just and humane environments for offenders. The most efficient agencies accomplish this with minimal waste in the expenditure of human and financial resources. Individuals under community supervision have due process rights regarding their services, treatment, remand, revocation, and return to confinement, all of which should be imbedded in agency policy, procedures, and work processes. Required management policies and work processes affecting those under correctional supervision cover the following (this list is not exhaustive):

  - Grievance system.
  - Disciplinary system.
  - Food services.
  - Medical/mental health services.

- Environmental (health/safety) conditions.

- Religious services.

- Access to legal resources or services.

- Classification/protective custody/administrative segregation.

- Recreation.

- Visits/mail/communication with community members.

- Sex assault prevention and intervention policy and process.

- Capital punishment.

- Security risk group management/identification process.

- Remands to custody.

- Due process hearings.

- Use of force.

■ **Implementing a system with a defined continuum of control/use of force to guide staff in responsive decisionmaking.** Whether in the community or an institution, correctional staff need policy guidance and training in the use of force. The policy and training should include a continuum of control and guidance regarding appropriate and effective staff responses to incidents. These responses should be based on a reasonable perception of threat at a particular time and place and should be directly correlated with reasonable and appropriate use of force necessary to resolve the threat.

Management, Control, Operations, and Security of Correctional Environments

The public has a natural tendency to judge correctional professionals on events that attract media attention. A security breakdown, whether it involves facilities or community operations, can erode public confidence in the agency's ability to manage and control offenders and ensure public safety. Meeting custodial and supervision requirements calls for mastering the basics of correctional environment management, control, and emergency response. The following areas significantly affect mission success:

■ **Sustaining safe, clean, well-maintained, and orderly physical settings.** In all correctional environments, safe, clean, well-maintained, and orderly physical settings demonstrate professionalism and attention to staff and offender well-being. In sharp contrast, disorderly environments affect the way staff and offenders perceive their value and worth to the agency, calling into question leadership and staff competency and commitment and the capacity of security management. If the number of incarcerated individuals exceeds the defined building capacity, the fundamentals of sanitation, inspections, and order grow exponentially important. Systems and work processes that support safe, clean, and orderly environments and allow offenders to personally develop, grow, and change include the following:

- Implementing a facility sanitation plan and inspection schedule (including outside buildings/grounds areas).

- Implementing a daily schedule of activities and events in housing areas.

- Using offender work assignments for maintaining sanitation standards.

- Incorporating sanitation inspections as part of daily staff tours.

- Posting behavioral expectations (inmate handbook, code of conduct, housing unit rules) to reinforce acceptable living conditions.

- Reinforcing safe, clean, and orderly physical settings in staff training and inmate orientation.

- Ensuring clear staff sight lines to facility/unit areas (mitigating blind spots), including the use of security cameras when the physical plant cannot be modified.

- Setting and enforcing policies governing the orderly, professional appearance of facility staff offices, community reporting offices, and ancillary work areas (e.g., vehicles, towers, outside observation/work posts).

■ **Maintaining security systems, equipment, supplies/tools, technology, and other necessary operational processes and items.** The advancement of security electronics and technology dramatically enhances operational and security processes and systems. At the same time, reliance on technology without considering system failure invites vulnerability. Maintaining security systems, equipment, supplies/tools, and other necessary processes and items supports a comprehensive approach to safe and secure environments. Examples include the following:

- Offender identification systems.

- Perimeter and motion detection systems.

- Video surveillance and recording.

- Locks and alarm devices.

- Key and tool electronic/manual control systems.

- Controls/panels for doors/gates, lights, climate control, water, communication.

- Fire and life safety alarms, devices, and equipment.

- Medical equipment (e.g., AEDs, CPR kits, oxygen tanks).

- Telephone monitoring and recording.

- Body alarms.

- Portable communication devices.

- Chemical agents (e.g., pepper spray, non-lethal smoke grenades).

- Restraint equipment.

- Weapons, ammunition, batons, protective gear for emergency/use-of-force response.

- Secure vehicles for transport.

- Drug detection and analysis equipment.

- Canines.

- Computers and tailored programs for online training, data review, and generating reports.

- Security glazing and cell construction to mitigate suicides and security tampering.

■ **Ensuring compliance with environmental health and safety codes and industry practices.** Operating 24/7 facilities requires compliance with environmental health and safety codes and industry best practices, including the following:

- Federal OSHA and state-specific standards.

- Building inspections.

- Food services inspections.

- Water and sewage inspections.

- Fire safety inspections.

- Hazmat standards.

- Best practices related to preventive maintenance systems.

- Waste management best practices related to hazardous, chemical, and medical waste and the materials used to clean up these substances such as mops, sponges, and cloths.

- Best practices related to the control of hazardous energy.

■ **Using staffing analysis and staff deployment processes.** Critical to ensuring safe and secure environments is determining appropriate staff assignments (post plan, caseload assignment) and deployments for each shift/day, with attention to roster management, reliefs, and time-off schedules. Inattention to managing these processes may create costly, redundant, ineffective, or inadequate work systems that fall short of operational needs. NIC has assistance for agencies in determining appropriate staff post assignments, levels, and allocation to support safe and secure operations. *Prison Staffing Analysis: A Training Manual With Staff Considerations for Special Populations* (Camp et al. 2008) and *Staffing Analysis Workbook for Jails* (Liebert and Miller 2003) are available from the NIC Information Center *(www.nicic.gov/library)*. The NIC Academy offers training programs, including Staffing Analysis for Jails.

■ **Implementing comprehensive emergency and incident command procedures.** Higher performing correctional agencies prepare for emergencies and critical incidents whether or not they have experienced these in the past. Emergency response plans for addressing all such contingencies (e.g., natural disaster, riot, fire, unanticipated death, evacuation, bomb, hostage situation, medical emergency, environmental emergency) are essential to contain, control, and resolve such events. These detailed plans need to address the complex universe of potential incidents, each clearly specifying:

- Command structure and lines of authority.

- First-responder duties and responsibilities.

- Notification responsibilities and interagency cooperative agreements that specify roles and response of external assistance.

- Clear policy guidelines on the use of force (deadly and nondeadly), covering staff emergency response teams, weapons, equipment, canines, hostage negotiations, and other issues.

- Protocols to ensure the security of unaffected areas and equipment.

- Communication responsibilities and documentation.

- Strategies to respond to and resolve the incident, including the use of additional staff and resources.

- Aftermath actions and returning to normal operations.

- Addressing staff and offender issues resulting from the emergency (e.g., employee assistance program, counseling, worker's compensation, medical attention).

- Conducting an evaluation of the emergency response and incorporating "lessons learned" into revised plans.

- Ensuring staff are trained in emergency response and their specialized roles in an emergency.

- Training staff in how to recognize and report signs of unrest or discord.

Emergency plans must take into consideration the facility plant design, staffing, and the classification of the facility and its offender occupants. The safety of the staff, offenders, and the public and the potential human and financial costs related to emergencies dictate that correctional agencies be prepared for the worst-case scenario.

Summary

Sustaining safe and secure environments and operations is at the heart of corrections. By incorporating a systems approach, the APEX Initiative assists agencies in meeting their mission of public, staff, and offender safety and security. The APEX Assessment Tools enable users to identify key areas in need of improvement and to develop a performance improvement implementation plan.

Key Points for This Domain

- Correctional agencies are legally responsible for the safety and security of the public, the supervised population, and the staff.

- The success of correctional agencies depends on their ability to identify and eliminate performance gaps that affect safety and security.

- It is essential to review policies and operating procedures related to managing supervised people to ensure that they cover just and humane treatment, risk evaluation, and the use of force.

- Public confidence in a correctional agency is critical and can be improved when an agency strives toward excellent leadership, well-maintained security systems, effective emergency procedures, approved environmental processes, effective staff, and a safe, clean, and orderly environment.

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Chapter 3: Operations Focus— Process Management

If you can't describe what you're doing as a process, you don't know what you're doing

— W. Edwards Deming

Higher performance is fueled by well-executed process management. Investing in this set of mission-critical tools gives a correctional agency a realistic awareness of what needs to be changed and how to make it happen. To be successful and to get the desired outcome, agency leadership must understand processes as systems and be committed to managing them as systems within larger systems. These "systems within systems" are foundational to the APEX Initiative. This chapter outlines the basic components, activities, strategies, tools, and outcomes for improving a correctional agency's performance in using process management.

What Is Process Management?

Whether a correctional organization accomplishes its mission depends on its work planning and execution, the result of which is known as process management. Success or failure in every correctional institution activity hinges on using process management skills to be efficient and effective. Is the agency efficient in doing things right? Is it effective in doing right things? This applies to the unplanned events as much as the planned ones. Correctional agencies rely on the emergency readiness procedures in place at the time an unexpected event occurs. When surprise situations hit, it is too late to invent standard operating procedures.

Ignorance of reality and the assumption that the unseen can do no harm rarely occur in correctional agencies that focus on how work is done, down to the sequence of activities that produce results. Analyzing workflow enables the development of procedural guidelines to add control, value, and productivity. Not a traditional "industrial" management approach, process management involves a correctional agency's staff and stakeholders; the whole system becomes engaged. This work typically involves activities such as offender movement; classification; intake and screening; risk and needs assessments for community case management; food service operations; developing and managing the agency budget; staff recruitment, hiring, training, promotion, and retention; and all other functions affecting goal accomplishment.

Work processes call for three different kinds of management activity:

1. Building work processes.

2. Crafting strategies, tactics, and activities to implement and manage these processes.

3. Measuring results and improving processes.

When upfront performance requirements are tied to outcome measurements, continuous performance improvement generally follows.

Why Use Process Management?

Higher performing correctional agencies are effective. They consistently deliver or exceed performance requirements. They are also efficient and are able to meet expectations quickly with minimal resources. For example, new staff hiring and training processes affect the quality (effectiveness) of the workforce and the workforce/agency operations (efficiency). These processes determine outcomes such as staff overtime costs and client supervision. Effective process management lowers costs, improves client supervision quality, and is a problem analysis diagnostic tool (evidence-based practice suggests that the first place to look for causes of failure is process management).

Most performance problems are not caused by agency employees but are brought on by the processes that support the agency's strategies, structures, and systems—the entire correctional organization. Nothing in this system operates independently. Poke a correctional agency in one function or service area and it will feel pain in another, often seemingly unrelated, place. Outstanding performance comes from aligning small units of work with the larger mission, vision for the future, and values of the organization. The road to optimum process management is paved with challenged assumptions about practices and habits of staff performance. Process management gives managers a structured and methodical process to inform evidence-based management decisions.

Leadership Mindset for Process Improvement

Senior leadership teams of outstanding correctional agencies are committed to safety and security, high stakeholder satisfaction, and the minimization of critical incidents. They know what higher performance means to each stakeholder and why it is important. They treat each other as adults, expect accountability for results, and encourage the same from their workforce as demonstrated in conversations, individual performance contracts, and performance appraisals. Micromanagement does not exist in these kinds of correctional agencies because every staff member is able to explain what mission success means in the language of his or her own job. Public responsibility and citizenship are valued in exemplary correctional organizations. Here, the workforce shows appreciation for ethics; safety, security, and public health; public welfare; the community; and the environment.

Of all these qualities, safety and security are most critical in a correctional environment. When the basic need to survive is threatened or safety and security are compromised, proactive leadership is impossible at any level of effectiveness. Safety and security are prime candidates for process management work for just this reason. Higher performance leadership teams rely on process management disciplines to build safe and secure processes that keep problems from occurring in the first place.

Process Systems View: An Integrated Whole

APEX higher performance correctional agencies foster an integrated, whole perspective. Processes are seen as systems within systems. The outcome of every event that occurs in the agency is determined by how the system linkages are based on data-driven, evidence-based thinking. Exhibit 1 shows these linkages.

Exhibit 1: Process Systems View

Inputs	Identify stakeholders (those who can influence success) and requirements; includes laws, resources, and constraints
Drivers	Establish leadership mission, vision, direction, and values
Data/Measures	Define success measures
Strategic Planning	Establish goals and improvement steps for each measure
Processes and Systems	Human resources systems and processes / Define, map, analyze, control, and continuously improve processes / Manage stakeholder relationships and commitments
Internal Results	Product/Service quality, operational performance
External Results	Stakeholder satisfaction and full-spectrum organizational performance

Tactical Planning and Strategy Development

In corrections, complex, physical, and dangerous situations can become chaotic without the order-restorative control and discipline that tactical planning provides. Process management offers the same kind of discipline that affects every line item of correctional agency operations, including (1) institutional safety and security; (2) inmate health; (3) institutional reputation and goodwill with stakeholders; (4) client/probationer/parolee supervision

effectiveness; (5) operational performance; (6) staff recruitment, development, deployment, and utilization; (7) facility infrastructure, materials, and supplies; and (8) financial performance and fiscal accountability.

Tactical process management planning considers long- and short-term goals and measures progress toward them. This helps compare progress between similar agencies. Mediocre performance often means low emphasis on goals, inconsistent or irrelevant measures, and data analyses with little relevance to future requirements. To create high-impact strategic plans:

■ Engage cross-functional teams to validate goals, develop measures, and design deployment strategies. (A diverse team is always smarter than any single person.)

■ Post results to create a common scoreboard showing broad, agencywide accountability and to ensure that the most important measures are recognized.

■ Revisit specific goals and measures frequently to challenge results and assumptions. This poses questions such as, "What is higher performance? According to whom? And, how good are we at it?"

Information and Analysis

Good carpenters measure twice and cut once. In corrections, measurement drives consistency, stakeholder focus, quality, and performance improvement. The best agencies create, gather, analyze, and track the relevant performance data on their essential processes. To assess the effectiveness and efficiency of its admissions processes, for example, a jail would want data related to types of admissions, booking information, timeliness of the booking process, property control, searches and contraband, bail/bonds, health screening, and so forth.

Teresa Amabile at Harvard University (Amabile 1989) has compiled assessment metrics to determine the climate for creativity, productivity, and innovation on 10 controllable factors:

■ **Management practices**

• Freedom to exercise individual control over work.

• Challenging work.

• Supervisory encouragement.

• Workgroup support and commitment.

■ **Organizational encouragement**

• Shared vision, learning opportunities.

• Few impediments.

■ **Resources**

• Sufficient resources, such as financial resources, staffing, knowledge, and information.

• Lack of unrealistic workload pressures, such as work overload and unrealistic deadlines.

■ **Outcomes**

  • Creativity: People are encouraged to use their creativity to improve work results.

  • Productivity: Effective and efficient work practices are encouraged.

No one prescription exists for what to measure and track. Higher performing agencies usually know what is important to both internal and external stakeholders and can define what to measure and how to measure quality, satisfaction, and excellence; apply these measures consistently; and relate what is being measured to the agency's other important measures.

For examples of corrections-specific performance measures, review the Association of State Correctional Administrators' *Performance-Based Measures System Resource Manual* (Association of State Correctional Administrators 2011) at *www.nicic.gov/Library/021116*.

Human Resource Focus

 Of all the factors in a higher performance equation, the Human Resource Focus domain is the only one in which investments on the front end exceed returns on the results end. Goals and objectives based on trends, fads, or arbitrary whims usually bring poor results. The dynamics of correctional operations require goals and objectives that use sound research based on what someone in the correctional field (or in a related function) has been able to do successfully at the target level. Suggestions include the following:

■ Follow up on benchmarking studies to stay current.

■ Engage employees at different levels to know, interpret, and analyze data.

CASE STUDY: MEASURING WHAT MATTERS

One state Department of Corrections (DOC) requires all of its correctional facilities to maintain monthly data on core areas of management, including critical incidents, human resources activities, population movement and count trends, inmate grievances and disciplinary reports, worker's compensation claims and on-the-job injury data, budget and staff overtime, food costs, maintenance work orders, and more. These data are collected by the respective units within each facility and posted in the warden's conference room for all staff to review. A monthly report is generated from the data comparing previous months' results and the prior year's summary information, broken down by quarter.

The state DOC calls this system STARS (Statistical Tracking Analysis and Review System). The process offers everyone in the organization the opportunity to compare activities and data among housing and functional units and about overall safety and security, fiscal accountability, and any other area of importance. On a monthly basis, each warden presents the information to other wardens in their respective districts for comparison purposes, discussion, and strategy development. This process reinforces an expectation of excellence, provides ongoing benchmarks of performance, and provides avenues for problem resolution.

Two especially strong benefits come from this information-posting technique. It provides every unit with a set of common benchmarks showing how their peer organizations are doing at any point on the items that the Department of Corrections finds are most important. It also gives the entire organization a common scoreboard that measures the most important factors driving performance in the state's correctional facilities.

- Use benchmarking data to make continuous improvements in many kinds of processes.

- Carefully examine best practice applicability; do not just copy what others have done.

- Set challenging, realistic goals and objectives based on facts and sound data.

- Capitalize on individual employee and workforce strengths in setting objectives.

- Compare the agency's fiscal accountability and performance with that of similar agencies' financial performance, based on cost per employee.

- Benchmark the relationships between operating results measures, safety, and other performance indicators.

- Review internal operations to study how quality and operational performance improvements might affect outputs or outcomes.

This sounds like a big commitment because it is. Results will show, however, that the time and effort spent here will pay off in outcomes.

Output and Outcome Drivers

Everything in a process drives its outputs. Outputs lead to outcomes that, when paired with results, are the bottom-line measuring processes. Few measures are more critical to performance success than those assessing quality, operational results, and stakeholder satisfaction. A way to look closely at what drives outputs and outcomes is a tool called the Kellogg Logic Model (W.K. Kellogg Foundation 2004). Exhibit 2, a sample logic model based on the Kellogg model, shows the relationship between each step in the logic model process (inputs, processes and systems, outputs, outcomes, and results).

Exhibit 2: Sample Logic Model—Output and Outcome Drivers

Agency Mission: Keeping state citizens, staff, and offenders safe by providing effective supervision in our institutions and communities.				
Inputs	Processes and Systems	Outputs	Outcomes	Results
• Laws	• Intake	• Offender intakes processed	• Declining recidivism	• Community support
• Regulations	• Classification	• Number of offender programming hours	• Efficiency improvements	• Stakeholder advocacy
• External requirements	• Staff development	• Meals served	• Robust production levels maintained	• Good inmate mental health
• Stakeholder demands	• Satisfaction surveys	• Sick call attendance		• Increase in public safety
• Sentencing guidelines	• Workload projections			

Each column in exhibit 2 supports the agency's mission statement. Inputs are fuel for processes and systems, which produce outputs. Typically, a correctional organization will manage thousands of processes: client assessment, population counts, report preparation and writing, classification, searches, disciplinary hearings, technical violations, sick call, and hundreds more. Outputs are the short-term units of production that can be measured. They become outcomes in the 1- to 3-year timeframe. Over the longer term, outcomes ultimately bring results, and these are the stakeholders' primary interest.

Processes and systems are often designed or analyzed around the Kellogg Logic Model to raise questions and challenge assumptions. Using the results column as a driver, a work team can ask a series of questions such as:

- What would long-term success look like?

- Is the end state described so that anyone can understand it?

- Would the definition of higher performance differ among stakeholders?

- What outcomes would yield these results at this level of quality or efficiency?

- How would we know if outcomes were outstanding?

- What long-term goals would be necessary to meet outcomes consistently?

- What about short-term goals?

- What metrics will measure results effectively and consistently?

- What resources would be needed to achieve results?

- Do these metrics make sense in the agency's human resources, stakeholder focus, financial efficiency, or other key areas of performance?

- What are the key outputs that consistently contribute to the outcomes needed?

- Can outputs be measured consistently?

The Kellogg Logic Model begins at either end to link inputs to results. Besides being used to analyze a system, it can guide the design of new systems and their processes and measures. The next section explains how to use the logic model to design new work processes.

Designing Work Processes

Imagine this problem: In a state correctional system, recidivism rates are rising, the budget is in sharp decline, projected incarcerations are increasing, and the number of beds is not expected to grow. This affects several departments in the agency. One of them is the reentry program. The commissioner calls on each warden to assemble a cross-functional team of experienced, knowledgeable staff and stakeholders with a broad grasp of the problem. Together, they must present a reentry plan that improves the situation by reducing recidivism. (More on how the team might complete this analysis, and the tools they have available to make informed, evidence-based decisions, is in *APEX Resources Directory Volume 1*.)

As the work starts, the conference room is soon covered with flipchart lists of potential causes contributing to reentry program failure. After wrestling with hundreds of inputs, laws, and requirements, the group tosses the complex front-end process design approach and begins at the results end of the logic model. They agree on what a perfect reentry process should look like and the outcomes that would bring about these results. Three results and two outcomes emerge (see exhibit 3).

Exhibit 3: Sample Logic Model—Outcomes and Results

Agency Mission: Keeping state citizens, staff, and offenders safe by providing effective supervision in our prison facilities and communities.				
Reentry Process Redesign				
Inputs	Processes and Systems	Outputs	Outcomes	Results
			• Declining recidivism • More efficient process	• Community support • Stakeholder advocacy • Increase in public safety

The team uses the results as goals. This lets them define the outcomes that would produce these results. They continue working the model from right to left to ask which work products would provide the outcomes. Their ideas start to flesh out the Outputs column of the model (see exhibit 4).

Exhibit 4: Sample Logic Model—Outputs, Outcomes, and Results

Agency Mission: Keeping state citizens, staff, and offenders safe by providing effective supervision in our prison facilities and communities.				
Reentry Process Design				
Inputs	Processes and Systems	Outputs	Outcomes	Results
		• Inmates trained in vocational skills • Skills match job market needs • Inmates are enthusiastic and personally committed to their reentry and development	• Declining recidivism • More efficient process	• Community support • Stakeholder advocacy • Increase in public safety

The output conversation drives the process conversation. The team asks, "How will we know what jobs are most marketable?" An analysis that poses this type of question expands to include processes such as intake profile development, orientation programs, and the critical inmate entry adjustment period.

These ideas are entered in the Processes and Systems column. Each suggestion is tested to ensure that it relates to the corresponding items in the other columns. The last step is to consider the inputs. Inputs must relate directly to processes or systems, and these must produce clear products or services (outputs), which must relate directly to the items in the Outcomes and Results columns. The team defines the community needs, parole eligibility date, and prerelease program plan as inputs (see exhibit 5).

The process design effort is a structured, evidence-based way to challenge assumptions and reasons for doing everything. This back-and-forth questioning and challenging exercise makes up the core of every successful process design.

Outcomes and Results

An agency's results and outcomes will always reflect its mission, vision, and values when the right data are used to measure inputs, processes, and systems. These data take many forms and data-collection methods vary widely. Of all best practices, the most common approach to higher performance is *evidence-based practices.*

When processes are run on historically based practices, especially those with proven successful track records, the temptation is to leave them alone. As the saying goes, "If it ain't broke, don't fix it." But an agency has to look beyond status quo performance. Managers typically allocate resources in different ways over time, spending high levels of time and energy early in the development phase of new projects because of the fear of failure. In time, they learn what works and what does not. This becomes the operating procedure. Success continues over time with good production and output.

Exhibit 5: Sample Logic Model—Inputs and Processes

Agency Mission: Keeping state citizens, staff, and offenders safe by providing effective supervision in our prison facilities and communities.				
Reentry Process Design				
Inputs	Processes and Systems	Outputs	Outcomes	Results
• Community needs	• Intake profile development	• Inmates trained in vocational skills	• Declining recidivism	• Community support
• Parole eligibility date	• Orientation program	• Skills match job market needs	• More efficient process	• Stakeholder advocacy
• Prerelease program plan	• Inmate entry adjustment period	• Inmates are enthusiastic and personally committed to their reentry and development		• Increase in public safety

During this time, the operating environment—now hidden behind the (working and seemingly effective) policies and procedures—is in constant change. What worked well yesterday may not be 100-percent applicable today and may be even less effective tomorrow, yet the policies and procedures are set in their original cast. The APEX systems approach cautions the higher performing manager to look beyond standard operations and to test the validity of historical strategies, structures, and systems. Looking beyond reacting to things and anticipating what might be requires discipline.

Wayne Gretzky, the great professional hockey star, summed up his secret to success on the ice: "I skate to where the puck is going to be, not to where it has been." With evidence-based practices, any agency can do what Gretzky did. The dynamics of today's correctional agencies require a continual process of renewal. This renewal can take many forms but will always include culturewide, evidence-based decisionmaking in which challenging assump-tions is more the rule than the exception.

Identifying Key Processes and Systems

Of the many ways to catalog human consciousness, none are a better fit to the subject of identifying key processes and systems than the four states of awareness originally presented by Abraham Maslow in the late 1940s:

■ **Conscious competence.** *You know that you know.* This is typical in people who have learned a lot about a subject (and know it).

■ **Conscious incompetence.** *You know that you don't know.* An example of this is when a student does not complete an assignment and hopes not to be called on in class about it.

■ **Unconscious incompetence.** *You don't know that you don't know.* For example, people who do not know that dietary and lifestyle choices relate to heart disease and Type-II diabetes are not likely to learn what foods and activity patterns might improve the quality and length of their lives.

■ **Unconscious competence.** *You don't know that you know.* This occurs when routines are so engrained that tasks can be done without thinking. Anyone who has driven 5 hours with no recollection of the trip has experi-enced this state.

Like everyone else, correctional employees do not learn much in a conscious competence state because the known is comfortable. They learn nothing at all in unconscious incompetence because there is no motivation to learn. Nor do they learn in unconscious competence because they are not focused on the task at hand. The only state that

drives learning is conscious incompetence. This complicates process improvement when the primary mode of action is reacting to crises, large and small. Playing whack-a-mole all day leaves little time for process analysis.

Processes now in place are "known knowns." The staff either invented or inherited these well-worn routines that are now comfort zones. Unless something is broken, there is no incentive to spend time analyzing the routines, and not much time is available for process improvement.

Stephen Covey, in *The Seven Habits of Highly Effective People* (1989) and *Principle-Centered Leadership* (1991), divides work time into four blocks based on importance and urgency (see exhibit 6).

Quadrant I events require fast action as emergencies, crises, and situations that signal immediacy: a prison riot, a hostage situation, an MRSA (methicillin-resistant staphylococcus aureus) or tuberculosis outbreak requiring medical intervention, or a correctional officer having a heart attack on the job.

Quadrant II events include routine transportation vehicle maintenance, contingency planning, emergency drills, succession management, coaching and developing correctional staff, management by walking around, and testing fire extinguishers.

Quadrant III events don't usually affect operations, but they demand attention. These might be gratuitous surveys on activities that have little or no bearing on the operation of the correctional agency, such as unplanned phone calls, inmate complaints that can be handled at a different level, or answering e-mails that were routed to the trash file before they were opened.

Quadrant IV includes activities that do not have to be done at all.

Typically, senior correctional agency managers handle everything in Quadrant I as a first priority. They then move to Quadrant III because it is more urgent than Quadrant II, and important work that is not urgent can be put off. Next, they move on to Quadrant IV, the unimportant activities that are not urgent. This pattern is common. Simple, inconsequential items are easy to check off, and eliminating them quickly is a reward for dealing with complex problems all day. Whatever the reason, the result is that most managers do not do enough of the Quadrant II work, which is where process management analysis and improvement sits. Ignoring a Quadrant II priority, such as vehicle maintenance, training, or emergency drills, eventually produces a Quadrant I emergency.

Quadrant II needs discipline, teamwork, good facilitation to keep the work on track, and a strong example from the boss that proactive work is important. The right talent for identifying the key processes and systems for review

Exhibit 6: Work Time

Quadrant I Important and Urgent	**Quadrant II** Important and Not Urgent
Quadrant III Urgent and Not Important	**Quadrant IV** Not Urgent and Not Important

is critical. Building relationships with those who can influence process outputs in the short term and outcomes over the long term are also important. Good candidates for this workgroup are:

- Employees who are most accountable for results, including managers and senior staff.

- Key outside stakeholders who can influence the agency's funding and reputation.

- Knowledgeable employees, even those who might do the most complaining.

- Internal stakeholders who depend on production levels and quality.

Typical process management activities include any of these events:

- Brainstorm the processes that produce the most important outcomes affecting the entire correctional agency and the results that represent the core mission and function (e.g., searches, tours, inspections).

- Identify stakeholder groups. In a correctional agency, this could be a division, facility, or all those involved in providing programming for the clients/offenders, such as volunteers or a statewide committee that provides housing for those in reentry programs.

- Analyze each stakeholder relationship and collaborative partnerships. Use a cross-functional team, a cross-division team, or an agencywide team for this analysis. Combining steps 3 and 5 may be possible, depending on staff skills.

- For each collaborative partnership, apply the Kellogg Logic Model or a similar tool to clarify the relationships between inputs, processes, outputs, outcomes, and results.

- Once the collaborative partnerships and key processes are identified, establish a steering committee or work-group representing the various organizations, divisions, sections, shifts, workforce segments, stakeholder groups, or other key players who can coordinate work handoffs and develop internal agreements. This step may be combined with step 3 if staff have the knowledge, skill, and time to do these steps together.

- Each collaborative partnership team maps the flow of inputs and information used in each process. A flow-chart will aid in mapping the relationships between steps in the process from beginning to end. This work encourages evidence-based practices.

A correctional agency's work culture gains maturity as more staff members are invited to have a stake in the mission and results of the whole organization. It's nice to say, "We have a shared vision," but people who actually contribute to that shared vision are more likely to take personal responsibility for its results. Encouraging staff to participate in identifying and developing processes and measuring success is one natural way to accelerate successful implementation.

Process Mapping

A chain of events that results in a product, service, or the delivery of some result is a process. Mapping a process helps you to understand it. This applies to the most seemingly simple processes because misunderstood processes cannot be managed with consistency and reliability.

Process mapping frames questions, the answers to which help explain how well activities eventually result in outcomes. The exercise in developing a picture map of a process involves focused communication that lets coworkers educate each other and is often more valuable than the final product. More than developing the visual instrument for problem solving or performance enhancement, a strong process-mapping exercise will consider everything important about the agency, including its unique culture, standards, operating practices, the way individuals are treated and behave toward each other, and the way operations are staffed. The map of a process is always based on the fact that the correctional agency is perfectly organized to perform the way it is performing right now. Understanding where the agency should be begins with knowing where the agency stands now. This discovery and those that follow in this chapter are incremental steps toward APEX higher performance.

Two cautions:

1. This material applies to important, urgent problems that demand solutions. Avoid jumping to premature conclusions. Haste—focusing only on answers without completely understanding the process—can be worse than doing nothing.

2. Not all of the processes can be addressed at the same time because analysis of them can divert resources from other work. Process mapping helps define the priorities and the appropriate order of things, including the project management analysis work itself.

The need to map a process may be the result of any number of concerns: strategic challenges, uncertain or decreased funding, declining outcomes, critical incidents, security or safety failures, and various types of complaints, media attention, or other warning signals. Triggers that can identify processes for mapping include:

- Change in results or opportunities.

- Troublesome relationships between divisions that depend on one another for success.

- Change in some developmental initiative.

- Consolidation of functions.

- Change in the amount, direction, or nature of the workload.

- Change in workforce demographics.

- Funding shifts.

- Problems with any individual or group (e.g., media, legislators, labor unions, offenders, staff, victims).

- Other factors that might affect a correctional agency's viability.

Process mapping should paint a clear picture and unite understanding about how things get done. This understanding should include the full picture of the system in its operating environment.

Exhibit 7 illustrates an example of a process map, which shows the process steps that track offenders through a Department of Corrections (DOC) system. Members of a DOC assessment and classification unit, a community supervision division, and a parole board developed the map to address a lack of clarity and continuity regarding

Exhibit 7: Parole Release Process Map
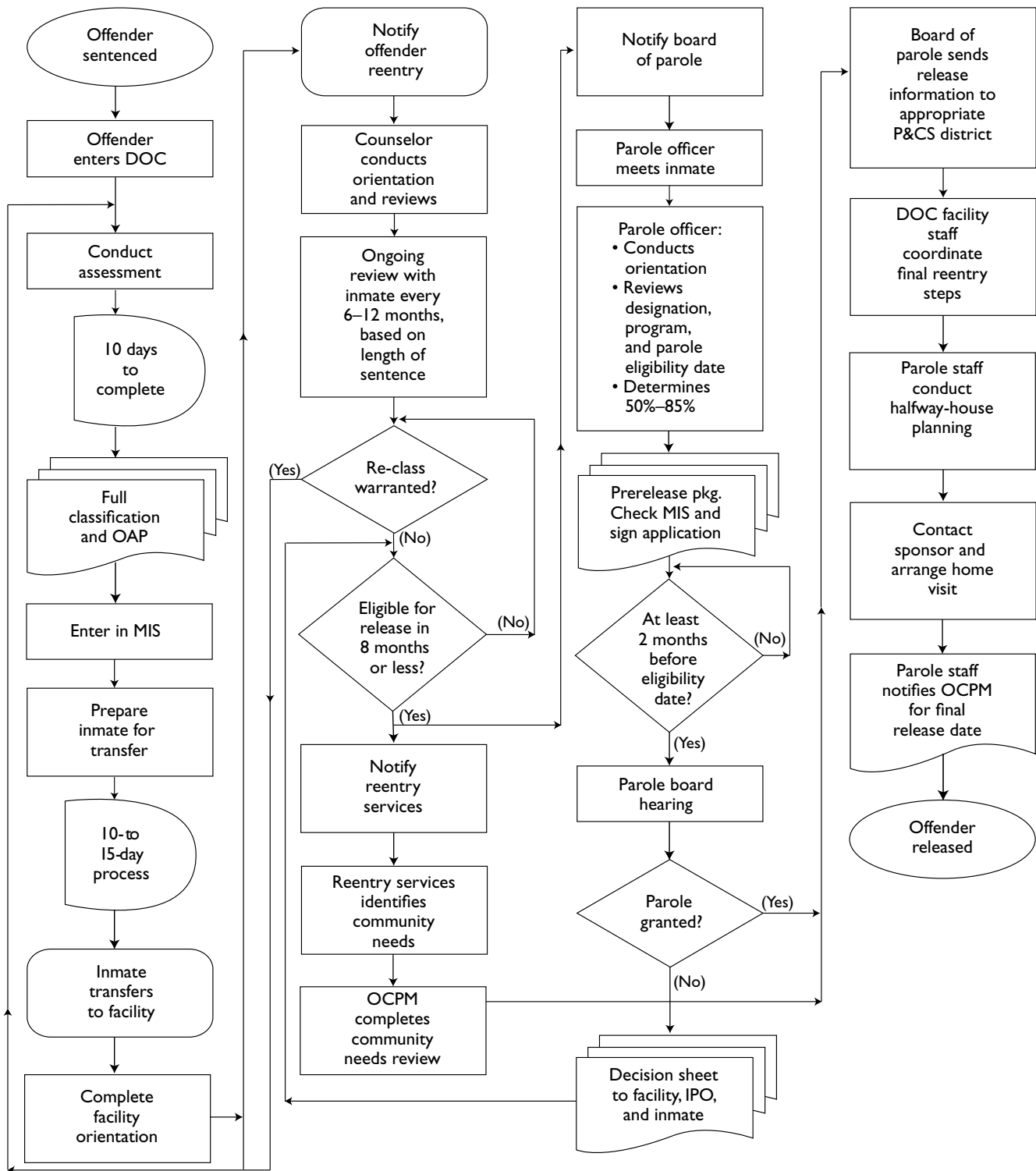
Note: DOC = Department of Corrections; IPO = Institutional Parole Officer; MIS = Management Information System; OAP = Offender Accountability Plan; OCPM = Offender Classification and Population Management; P&CS = Parole and Community Services.

decisions and classification determinations being made in their DOC system. Using a process map can bring to light how well the process works.

All three developers had a stake in the success of a clear process map and analysis: The assessment and classification unit conducts risk and needs assessments of inmates on a set schedule, which includes the initial classification review. The parole board representative also conducts reviews of inmates for purposes of parole eligibility and discretionary release consideration. The community supervision division relies on information from both the parole board staff and the facility assessment staff to develop its community supervision plan. By developing the process map, all staff recognized areas of redundancy, overlap, and miscommunication and determined where decision points occur. As a result of this process mapping, the flow of information and decisionmaking were greatly enhanced.

Evaluating Work Processes

In creating the process map example in the previous section, the correctional agency consolidated inmate processing from intake to release into 27 primary units of work, excluding time-delay choke points and yes/no questions that cause events to occur. Analyzing any of the hundreds of processes that make up those 27 units would require a closer look. Typical jail or prison inventory processes have 30–100 process steps between identifying a supply or equipment need and getting that item to the right place. These "deep dives" are not always necessary, but tools to help with such close examinations are offered in *APEX Resources Directory Volume 1*.

All correctional organizations are made up of bite-sized components (e.g., departments, functions, operations, procedures) that reflect the vision and operating values of everyone with a stake in the success of the agency. Each work process must be viewed as part of this larger system. The APEX model is founded on this systems view (see exhibit 8).

In the APEX Public Safety Model, *leadership* means the actual employees' thoughts and actions on the agency's shared vision and operating values. Effective leadership appeals to the most fundamental need to make a difference and be part of something worthwhile. Each element of the APEX model affects every agency process. Work processes evaluation asks whether the process is efficient and does what is intended and how well the organization's strategies, structures, and systems are effective and in sync with the working environment, stakeholders, and other factors affecting performance. High integrity here will bring better cost utilization, lower recidivism, reduced staff turnover, and a host of related benefits from evidence-based culture, beginning with effectiveness, efficiency, and safety.

Exhibit 8: APEX Public Safety Model
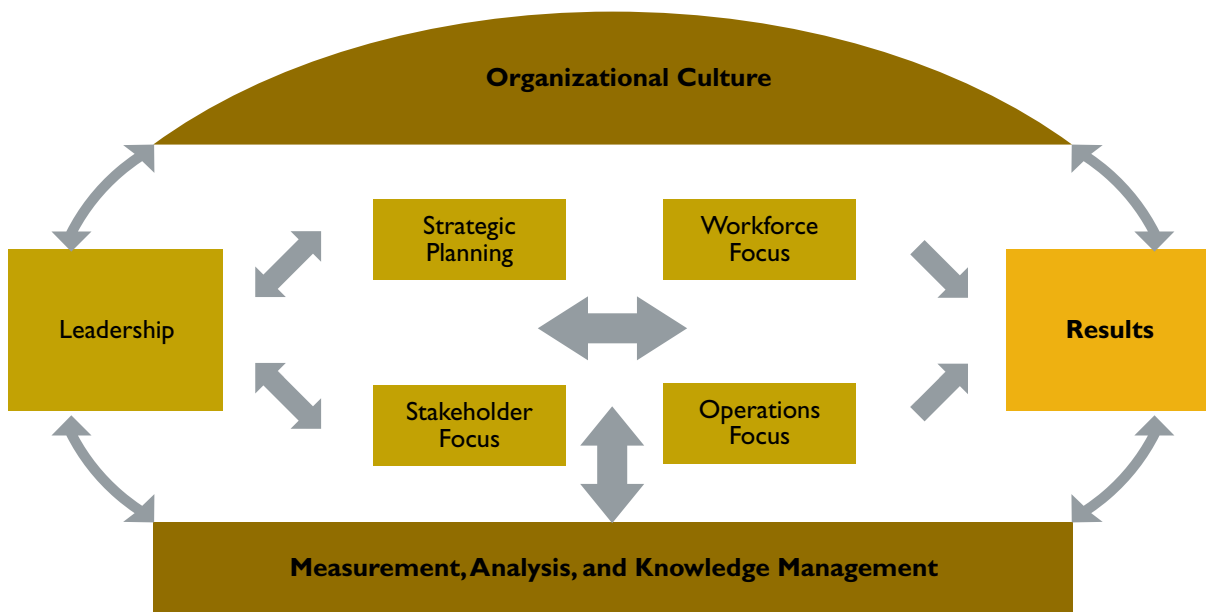
Note: The vertical, two-headed arrow pointing from the measurement, analysis, and knowledge management domain to the rest of the domains illustrates its foundational nature. The other two-headed arrows indicate the importance of feedback—a critical component of a higher performing correctional agency.

Process Management: Traditional versus APEX

Process management helps higher performing correctional organizations continually focus on error and defect prevention and on service or process quality that is aimed at meeting internal and external stakeholder needs. This requires seeing the whole agency as a single integrated system. Agencies using process management effectively differ from those that "get by" in many important ways.

Traditional
- Short-term focus: "If it ain't broke …"
- Reactionary tactical planning.
- Management by objectives planning.
- Bottom-line results measures.
- Argue to make the point.
- Parent–child or master–slave role.
- H.R. measures to reward and punish.
- Mistakes seen as always bad.
- Internal/external stakeholders are a pain.
- "Take it or leave it," power based.
- Careless or random processes design.
- "The way we've always done it."

APEX
- Decisions based on data and information.
- Proactive important/not urgent work.
- Stakeholder-driven, goal-based planning.
- Multiple, systemwide results measures.
- Challenge assumptions to make the point.
- Adult–adult roles at every level.
- H.R. measures to continuously improve.
- Mistakes seen as opportunities to learn.
- Stakeholders share mission success.
- Respect and listening, information based.
- Logic model documents processes.
- Outcome based and designed for results.

CASE STUDY: APPLIED LEADERSHIP AND THE HUMAN SIDE OF PROCESS MANAGEMENT

A state Department of Corrections training academy is set to reopen after being deactivated 18 months ago because of agency budget reductions. The newly appointed director is aware that the 20 reassigned staff have concerns about returning, with the potential of another involuntary transfer within a year. The director reviews the academy's prior operating systems and processes; analyzes the inputs, processes, outputs, and outcomes; and develops a strategy to ensure the academy's success.

First, the director personally interviews each of the 20 staff members and conveys three points:

1. Facts surrounding the situation and her plans for rebuilding the training academy.

2. Benefits for the employee to join her team, and the risks of another closure.

3. Essential knowledge that each employee needs before agreeing to rejoin the unit.

After these interviews, all but 4 of the 20 staff members accepted her offer to rejoin. The director and her staff understood that the support of key stakeholders was necessary for the academy to be successful. As a team, they identified stakeholders and established relationships through personal meetings with the key players to ascertain information related to their wants, needs, and expectations. Several program ideas and partnership opportunities emerged from these meetings, including distance learning for agency staff that dramatically reduces the costs of training and that documents both training and staff performance measures.

As with any significant change process, staff occasionally demonstrated low morale, and some had accountability issues. The director's strategy anticipated these performance issues and she met with each staff member to identify causes and remedies of any organizational dysfunction. Working together, they continued to address concerns and invest in sustaining the academy's progress.

At the end of the first year, the academy's performance measures indicated success, with an increase in the number of staff trained and the quality of the training and staff performance and a reduction in the costs of training. In addition, the academy's stakeholder base was strong and actively engaged in supporting the success of training efforts in line with the agency mission. As a result, the academy continues to receive funding as stakeholders support the value of the academy and its training programs.

The director's actions are a model of APEX higher performance in a number of ways.

- **Practicing transformational leadership.** This is a standout quality in virtually every study of a higher performing leader.

- **Having a systems view perspective.** An understanding of the agency's internal support systems and functions (operations) and the external environment is critical for success.

- **Coordinating work across program boundaries.** Identifying and engaging stakeholders, especially key stakeholders, promotes success in programs and change efforts.

- **Using the synergy of the staff.** Understanding that the leader is only as effective as the workforce, using a collaborative team approach harnesses the staff's creative energy and empowers them to be ambassadors of change for higher performance. This process will serve the leader well in normal periods of conflict and with issues of accountability.

A more detailed version of this case study can be found in *APEX Resources Directory Volume 1,* in the "Operations Focus" chapter.

Summary

This chapter underscores the value of mining ideas throughout the workforce, where those closest to the processes are best qualified to find and implement improvements. In one case, a state DOC implemented a process to continuously reevaluate all of its processes. In another, performance measures are carefully developed and regularly tracked, and results are shared across the agency. These kinds of innovative practices are not alone, and there are many other examples of success. Far more processes in agencies across the country, however, are currently in operation without documentation or analysis. Process management encourages documentation as a way of not only eliminating unnecessary steps and creating greater efficiency but also building awareness about the organization's operations and establishing goals and improvement steps for measures that inform strategic planning. The work of process management encourages the benchmarking of other operations to develop the measures that make sense at every level.

When agencies make process improvement a regular part of "business as usual," employees bring their creative and innovative ideas to the job. Good ideas get discussed in the staff break room. Higher performing correctional organizations have channels that encourage the sharing of ideas, so that work processes and the results correlate with organizational effectiveness, efficiency, enhanced service delivery, resource savings, reduced recidivism, higher levels of safety, and increased security for offenders and staff.

Key Points for This Domain

■ Processes are systems and should be managed as systems within larger systems, as an integrated whole.

■ Process management involves an agency's work planning and execution and the overall efficiency and effectiveness of its processes.

■ Tactical process management planning, gathering information and analyzing it, and focusing on human resources ensure higher performance.

■ The Kellogg Logic Model, a tool for looking at what drives outputs and outcomes, can be used to raise questions and challenge assumptions in a system. Beginning with its desired results, a team can work the model backwards to evaluate which inputs are necessary to achieve those results.

■ Work time can be divided into quadrants, defined by the degree of importance and urgency, and may be prioritized as (1) important, urgent; (2) important, not urgent; (3) not important, urgent; and (4) not important, not urgent.

■ Process mapping helps break processes into illustrated steps that can be analyzed and frames questions that can be answered through outcomes.

■ APEX process management differs from traditional process management because it is proactive, data driven, systemwide, and focuses on the long term.

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Chapter 4: Stakeholder Focus

The word customer is not popularly associated with correctional agencies, but the plain fact is that individuals under correctional authority and supervision are users and consumers of correctional system services, programs, and products. In addition, a broad spectrum of the public is among a wide group of stakeholders having both interest and investment in the outcomes of the correctional agency.

Higher performing correctional organizations are able to effectively engage offenders, clients, and external stakeholders, and the degree of their success in engaging these stakeholders can be a prime determinant of agency success. Poorly performing agencies, on the other hand, often fail to acknowledge the importance of stakeholders, whose investment and commitment can affect the success of an agency's mission and goals. The Stakeholder Focus domain addresses how correctional organizations engage, gather information, analyze relationships, build partnerships, and garner support from the individuals who are incarcerated and under supervision. It also addresses the importance of external stakeholders' support for agency success in effectively meeting the mission and strategic goals.

Stakeholder Focus Domain Defined

This domain explains two dimensions for correctional organizations:

1. Obtain and analyze information from all stakeholders.

2. Engage all stakeholders to serve their needs and the needs of the organization and to build productive relationships.

Obtain and Analyze Information

Correctional staff manage best when the offender population voluntarily complies with the organization's policies, procedures, rules, programs, and service requirements. Although offenders may not be in a position of authority, it is imperative that correctional staff communicate with them effectively about the issues and concerns they raise. Listening to and engaging these internal stakeholders allows correctional professionals to better manage the population, prevent incidents, and mitigate the need for the use of force.

Organizational processes that enable staff to engage effectively include classification systems, grievance procedures, offender focus groups, townhall meetings, the inmate disciplinary system, the offender incident-monitoring system, and daily staff contacts. Each of these processes allows offenders to share their satisfaction or dissatisfaction with the operations and staff. When these processes are analyzed, trend analysis identification will help staff make appropriate adjustments that can enhance and support the offenders' voluntary compliance to rules and regulations. When staff are open to feedback, they can communicate more effectively with the supervised population and enhance the overall agency work systems, processes, and operations in support of the agency's mission.

ENGAGING STAKEHOLDERS TO IMPROVE THE EFFECTIVENESS OF SUICIDE PREVENTION PROGRAMS

Few more challenging incidents in a correctional facility exist than preventing or responding to an offender suicide. One particular southern county jail experienced three inmate suicides by strangulation within 15 months. The persons who committed suicide shared double-bunk cells with other inmates. Two of these suicides occurred while the cellmate was out of the cell, and one occurred while the cellmate was asleep. The media reported each suicide in detail. Community mental health advocacy groups gave public responses to the media reports, indicating their displeasure and voicing criticism of the jail operations, its staff, and its mental health services. A thorough investigation of each suicide incident uncovered indications that each of the deceased inmates was in distress before the incidents; however, other inmates and family members did not notify facility staff. Housing and program staff did not pick up on any signs of concern. Facility leadership realized there was not a reporting culture or staff sensitivity regarding the offenders in distress and in need of mental health intervention.

The jail administrator responded to the media accounts of the suicides, announcing that the agency was making suicide prevention a priority. She established a multidisciplinary working group to identify, develop, and implement strategies to reduce the incidence of suicide attempts and eliminate deaths. The working group actively engaged the community, seeking dialogue and support, and made a special point of including community advocacy groups that had voiced criticism publicly.

Several months passed before the working group was able to gather all the available information, analyze their findings, and develop recommendations. One recommendation included the enhancement of intake screening by healthcare staff to identify signs of depression or suicidal thoughts. Another was the referral of at-risk individuals to facility-based mental health professionals at facility intake. The working group proposed that the agency enhance all-staff training on the mental health issues and needs of incarcerated individuals and on the signs of depression and suicide so that staff are able to make appropriate referrals to the health services unit. Three more recommendations encouraged interventions to directly benefit incarcerated persons:

- Collaborate with community advocacy groups and the local health department to better address suicide, and ways to report it, in inmate orientation and the inmate handbook.

- Hold ongoing discussions with the incarcerated population about the signs of depression and suicidal tendencies.

- Publish and post a suicide hotline number and mailing address in the event that offenders are uncomfortable talking with agency staff about their feelings.

Recommendations for external stakeholders' involvement include the following:

- Publish a flier for visitors encouraging them to report their concerns about suicide or self-harm to facility staff, and make it easy to do so.

- Enhance communication with and educate offenders' families on this sensitive issue.

- Collaborate with the media to get the word out about the jail's efforts to mitigate the issue of incarcerated individuals' self-harm and suicide.

The jail administrator and her leadership team moved quickly to implement the recommendations, demonstrating their strong commitment to offender safety and well-being. This began a long-term move toward a safe reporting culture for this sensitive, critical concern. Incarcerated individuals were encouraged to report concerns related to their own or others' depressed or suicidal behaviors, staff became increasingly active in referring inmates to mental health services, and the results from both of these efforts were positive. Family members began contacting the facility to report their concerns, and the hotline was used to report issues and concerns that were relayed to the facility for action. The media and advocacy groups reported increased confidence and satisfaction with the jail efforts and with the facility leaders and staff for their commitment to this issue. The working group continued to work on enhanced services and responses to mental health issues. The administrator aggressively monitored all efforts on this issue. The most important metric in this case was the results: Suicide attempts were drastically reduced and there was no incidence of suicide for the 18 months preceding this case report.

External stakeholders usually include the media, legislators, judicial staff, lawyers, labor unions, client family members, the general public, other government agencies, and advocacy groups. These stakeholders should have avenues of communication, support, and redress. Degree and quality of transparency, dialogue and information gathering, and acceptance of feedback affect agency operations, credibility, funding, oversight, and support.

Engage Stakeholders

Interpersonal communication skills and motivational interviewing are important competencies to develop or acquire in correctional staff. These skills are essential to behavioral change. Employees who are strong in these areas are better able to engage the supervised population effectively and professionally, which will ultimately help that population improve their compliance with terms of supervision or incarceration, sustain law-abiding behaviors, and create positive change in their lives. All of these outcomes support the agency mission and enhance public, staff, and offender safety.

For example, assume that a particular offender has a substance abuse problem. A well-trained staff member could establish a relationship with that offender and engage him or her in a productive, nonthreatening way. Both staff member and offender then agree on specific programs and services to address the offender's issues. Because the offender is effectively engaged in the process, he or she is more likely to complete an intervention when the benefit and change in behavior are recognized and rewarded. The staff member analyzes and supports the offender's efforts and learns how to replicate success with others. The results of one intervention with one offender will return an exponential benefit.

Internal and external stakeholders can influence the availability and effectiveness of programs and services to community-supervised and incarcerated populations. Advocacy groups can have an impact on how individuals access rehabilitative programs and services, including domestic violence, mental health treatment, sexual assault counseling, substance abuse programs, education, and vocational training. Correctional leaders who focus on external stakeholders are able to tap into community networks (public, private, and nonprofit) of resources,

programs, and services for the benefit of the supervised and/or incarcerated population and the community. In this way, correctional agencies that build partnerships with stakeholders are able to fortify the support system surrounding their supervised populations.

Many agencies realize the value of strong external stakeholder relationships when they are preparing and defending their budgetary requirements. The potential support that stakeholders can provide in enhancing the well-being of communities and improving public safety through targeted recidivism reduction programs and services is great. Thus, higher performing correctional agencies collaborate with external stakeholders to meet the strategic goals of reducing recidivism, changing lives, strengthening families and communities, and enhancing public safety.

Summary

The demand is now increasing for correctional agencies to be more transparent and collaborative with external stakeholders on operations concerns. Rarely can an agency expect success without understanding, appreciating, and engaging the supervised and incarcerated population and interested stakeholders because these individuals must ultimately support and invest in key agency objectives. These collaborative partnerships share a common commitment to public safety.

Key Points for This Domain

- A higher performing correctional agency is more effective in meeting its mission through open and effective communication with the supervised population and external stakeholders.

- Correctional agencies meet their operational objectives best when the supervised population complies voluntarily with agency policies, procedures, and behavioral expectations. Voluntary compliance is enhanced when both formal and informal communication avenues are available to address issues, concerns, needs, and services.

- External stakeholder engagement both supports and enhances a correctional agency's success. Transparency (without jeopardizing critical security operations) and open communication (listening and dialogue) with stakeholders build consensus, collaboration, and partnerships that can enhance and sustain operational and programmatic services.

- Effective stakeholder relationships enable the agency to address issues, concerns, complaints, and expectations and to develop stakeholder confidence and satisfaction with the agency.

Chapter 5: Workforce Focus

There is no doubt that staff are the most valuable resource of a correctional agency. Corrections is a people business, in that the work is not accomplished by bars and fences, prison cells, or the use of electronic monitoring. The work of corrections is accomplished by people, staff supervising offenders to carry out sentencing orders of the courts, and monitoring and guiding behaviors in what will hopefully be a crime free and productive completion of a criminal sentence.

—Richard P. Seiter, PhD

Creating an environment that engages the workforce intellectually and emotionally is key to meeting a correctional organization's mission and objectives. When workers are motivated to achieve performance excellence, both the recipients of services and the organization benefit. The Workforce Focus domain addresses workforce engagement and an organization's efforts to select, motivate, compensate, recognize, and reward employees for higher performance while developing competent future leaders. Personal engagement on the part of the employee—and the discretionary effort that often comes with that engagement—occurs when employees receive positive interpersonal and workplace support. In addition, the overarching influence of the organizational climate and culture has a direct impact on employee performance and well-being.

Workforce Focus Domain Defined

The Workforce Focus domain addresses an organization's ability to assess workforce capability and capacity needs and to build an environment conducive to higher performance. This domain examines how an organization engages, manages, and develops employees to use their full potential in alignment with the organizations' mission, strategies, and goals. Workforce refers to employees actively involved in accomplishing the work of the organization.

Higher performing correctional organizations understand that the capability and capacity of the workforce are critical to successful performance. Capability is the organization's ability to accomplish its work processes through the knowledge, skills, abilities, and competencies of its employees. Capability may include the ability to build and sustain relationships with stakeholders; develop or adopt new technologies, services, and processes; and meet the challenges confronting correctional systems. Capacity refers to the correctional organization's ability to ensure appropriate staffing levels so employees can successfully accomplish their work and meet the organization's goals.

Two other dimensions of Workforce Focus, engagement and environment, are significant to operational success and higher performance. Workforce engagement highlights the emotional and intellectual commitment that employees exhibit for work, performance, learning, and development and helps the organization meet its goals and accomplish its mission. Workforce environment describes how agencies build supportive and effective surroundings that encourage and enhance employees' work experience and performance.

CASE STUDY: WORKFORCE FOCUS IN ACTION— MOTIVATIONAL INTERVIEWING

A county probation department has decided to improve competency levels in staff motivational interviewing as a way to enhance its ability to manage offenders in the community more effectively. This effort aligns with the department's strategic plan. Building key workforce competencies supports the organizational mission of promoting public safety by influencing the success of the individuals under supervision. Before initiating this new requirement, the department head established a committee of probation staff to analyze the data related to client failure and success under supervision. Committee staff closely reviewed, assessed, and compiled data on the following:

- Agent/officer workload.

- Work processes and work climate of staff (workforce environment).

- Skills/competency of staff (workforce capability).

- Issues related to offender violations and success (work systems).

- Motivation of staff to engage in developing the necessary skill sets and the roadblocks to staff motivation (workforce engagement).

After a thorough committee review and report, the department leadership established an action plan for implementation of this new skill set, keeping staff updated on the plan and its completion milestones. This action plan covered the following issues:

- Projected impact of engaging clients in the process.

- Staff training requirements.

- Staff communication strategy that explained the rationale for implementing motivational interviewing.

- A process for inviting staff feedback before implementing the training.

- Cost–benefit analysis of the training and expected outcomes.

- Establishment of staff performance accountability and recognition measures.

- Strategies to empower employees to use the skills.

- Ongoing monitoring of the implementation process.

After 2 years, motivational interviewing has had a positive impact on the department's values and culture and has provided positive results in public safety with the reduction of client violations.

Workforce Engagement

Higher performing organizations know how to engage the workforce. They put systems in place to strengthen core competencies, support employees' professional and personal development, and emphasize performance excellence. These organizations encourage flexibility, innovation, knowledge and skill sharing, good communication

and information flow, alignment with organizational objectives, a focus on stakeholders, and quick responses to changing operational needs. High levels of workforce engagement have a significant, positive impact on organizational performance and facilitate safe and cooperative work environments.

Workforce Environment

Higher performing organizations develop proactive processes—with input from employees directly involved in the work—to ensure a safe and effective working environment. Processes are in place to ensure that minimum standards for workforce safety are met, and opportunities are provided for employee development and support. This includes formal and informal recognition avenues, personal and career counseling, cultural and recreational activities, educational opportunities, and special leave for family responsibilities as well as community and/or government service, flexible work hours and benefits packages, retiree and healthcare benefits, and ongoing access to employee-related services.

Connecting compensation and recognition systems to performance evaluations enhances workforce satisfaction, one component of a positive environment. People often think that good pay and promotion opportunities lead to higher performance. Research and literature show that these alone do not ensure higher performance. A positive workforce climate/environment has a greater effect on higher performance than pay. Other important factors include an effective problem or grievance resolution system, development and career opportunities, job security, and organizational support for addressing stakeholder needs.

CASE STUDY: PREPARING AN ENGAGED AND KNOWLEDGEABLE WORKFORCE—TRAINING ACADEMY EXCELLENCE

Recently, a state correctional training academy received its annual audit on more than 400 standards. The independent auditors gave the facility 100 percent on its compliance with all standards, for the second year in a row. It was noted that the facility was clean and orderly and that staff and trainees were committed, dedicated, motivated, and highly satisfied in their roles within the organization. When asked about their roles in the organization's mission, employees frequently and enthusiastically expressed commitment to the agency and mission and were able to articulate how their performance tied directly to mission success. Trainees understood their significance in the agency and the ethics and values that defined individual standards of conduct and behavior. In observing actual training sessions, the auditors noted the ongoing engagement of the trainees in learning the materials presented and the open communication between the trainers and trainees.

When discussing their observations with the academy director, the auditors discovered that there was a strategic plan that involved all staff in its development. Performance measures, based on goals and objectives, were identified and tracked on a monthly basis and posted in the staff dining area for all staff to see. The director made herself available, touring the academy daily to address any issues or concerns raised by staff or trainees. No incidents of academy staff discipline had occurred in the past 3 years. In the year the second audit was completed, the academy received the agency award for outstanding unit of the year.

Using APEX To Enhance the Workforce Domain

The APEX Assessment Tools can assist in identifying gaps in workforce engagement and environment and organizational performance. The APEX Initiative, through its change management process and Guidebook series, can help agencies craft plans to improve this critical area. The goal is to build an effective and safe environment that supports the workforce, enables employees to accomplish the organization's work, and stays focused on stakeholders and results. Activities to consider include the following:

■ Use workforce surveys, focus groups, blogs, or exit interviews with employees to identify and address factors that inhibit productive workforce engagement.

■ Identify and address workforce development needs in areas such as knowledge sharing, communicating, teamwork and teambuilding, problem solving, interpreting and using data, process management, working with and motivating volunteers, setting priorities in conjunction with strategic initiatives, and containing costs.

■ Provide opportunities for computer-based or distance learning, developmental assignments, peer training, coaching, and mentoring.

■ Develop a system for the exchange of knowledge between employees and leadership to ensure that higher performance work is sustained through personnel and leadership changes.

■ Reinforce ongoing awareness of workforce effectiveness and efficiency, leadership development effectiveness, and the efficacy of learning systems that affect individual, unit, or organizational performance.

■ Identify other measures of workforce engagement through surveys, data, or records to analyze absenteeism, staff turnover, use of sick time and worker's compensation, union and worker complaints, and other activities.

Summary

The success of any organization's mission rests with the dedication, efforts, and competency of the workforce. Identifying the performance gaps related to this domain provides Guidebook users with opportunities to implement strategies that improve organizational work processes, work systems, workforce capability, and engagement, all of which lead to a more positive and productive workforce environment.

Key Points for This Domain

■ The Workforce Focus domain addresses an organization's ability to assess workforce capability and capacity needs and to build a workforce environment conducive to higher performance.

■ Many factors, including the work environment and leadership support, contribute to worker satisfaction.

■ Aligning processes to the organizational mission, vision, policies, procedures, culture, and values of the workforce allows higher levels of workforce satisfaction, commitment, and individual performance.

Chapter 6: Strategic Planning

Planning is bringing the future into the present so that you can do something about it now.

—Alan Lakein

As correctional organizations move to higher performance, leaders discover that they need to involve staff as well as select stakeholders in their planning process if they are to create a shared and supported vision of the future. Leaders learn that mission success is accomplished through objectives and goals supported by strategies and actions that clearly align with that vision. Engaging staff and stakeholders in this fundamental work gives them a personal stake in implementing the plans. People support what they help to create, and coercing staff to buy into plans that were developed elsewhere can be problematic.

Strategic Planning Defined

Sound strategic planning, like a roadmap laying out a travel plan, directs an organization toward its goals and objectives. In their strategic plans, correctional organizations identify how they want their organization to look at some future time, obstacles to getting there, strategies to overcome those obstacles, and adaptable action plans to ensure implementation and sustainability (Rehm et al. 2002). An agency's ability to address strategic challenges, leverage its strengths, engage staff and stakeholders, develop and deploy action plans, address performance gaps, create and use performance projections and measures, and improve results are all determined by the effectiveness of its strategic planning.

Strategic planning in correctional organizations can be approached in different ways. Some choose to have the leader, or the executive team, develop the plan; others choose to engage staff and stakeholders as participants in the process (Axelrod 2010). The important considerations here are to use a structured approach that includes the components of a strategic planning process recommended by the APEX Initiative:

- Strategy Development.

- Implementation.

- Engagement.

- Communication.

Strategy Development

Well-developed strategies ensure that the organization meets its objectives with optimal efficiency and effectiveness, minimal waste of people's time and financial resources, and the least exposure to harm as quickly as possible. At a minimum, APEX recommends these measures and considerations:

- Ensure that staff and key stakeholders are all in agreement on the agency mission, vision for the future, and philosophical and operating business values that define how people are treated and how the organization operates.

- Differentiate future-oriented planning and short-term tactical planning with clear timeframes.

- Reach a common understanding of the organization's strengths, weaknesses, opportunities, and threats early in the planning process.

- Anticipate and document expected shifts in areas such as technology, laws, budget and resource allocations, and offender population demands.

- Insist on using evidence-based or best practices.

- Take external stakeholder needs, concerns, demands, and influence into account by understanding their interests as opposed to their positions.

- Use real data to get a realistic picture of workforce core competencies and talent gaps.

- Develop contingencies to ensure continuous organizational leadership sustainability so that the ability to implement the strategic plan fully is not lost.

- Identify solid, key strategic objectives and milestones to avoid the "ready, fire, aim" problem that precedes so many organizational failures.

- Identify the most important goals associated with these strategic objectives, specific performance measurements for the goals, and timetables for accomplishing them.

The capacity to achieve strategic objectives hinges on how well the organization can address challenges, capitalize on strengths and advantages, and discover and leverage opportunities for innovation. The ability to capitalize on existing core competencies, acquire new competencies whenever needed, balance short- and long-term challenges and opportunities, meet stakeholder needs, and adapt to changes in the environment will enhance the success of the planning process and the organization.

Implementation

Implementing a strategic plan requires a deliberate and comprehensive agenda that includes action plan development and deployment. Performance projections and measures need to be created to eliminate gaps between the current and desired states of performance. Action plans determine the path to meet strategic objectives, the human and fiscal resources required, the allocation schedules needed to meet the objectives, key performance measures to tell organizations how successful they are, and systemic evaluations to review and modify the plans during the implementation phase.

Key performance projections and measures provide data to measure progress on goals and objectives. The capacity to project performance gaps can be enhanced by scenario building, a process that asks stakeholder groups to envision future scenarios and determine the skills required to meet those future challenges. This allows leadership to adapt new courses of action as necessary.

CASE STUDY: WORKING TOGETHER TO CREATE AND IMPLEMENT A STRATEGIC PLAN

One state parole board had come under intense public and media scrutiny for its lack of effective policies, clear procedures, and consistency of operations in granting inmates parole. The newly appointed board chair recognized that the existing strategic plan was not used by anyone and was of no value to staff. The chair also discovered that the staff had little or no input in developing the strategic plan, the plan did not have clearly defined objectives, and there was no implementation strategy developed or deployed to meet the goals. In reality, the strategic plan was simply a paper document in a file drawer, allowing the board to say it had a "strategic plan in place." The chair decided that the board needed to engage in a process to address strategic challenges, develop a comprehensive plan to meet its strategic objectives, create action plans to achieve them, develop performance measures to know how successful they were, and implement plans for deployment and sustainability. The chair wanted to ensure that the development of a strategic plan would include staff input and participation, serve as a basis to move the organization from plan to action, communicate the board's goals and direction to stakeholders, and prioritize action steps to improve the performance of the board and staff while meeting the goals.

The chair identified eight key organizational staff who he believed were committed to the organization. He invited them to participate in the planning process. A trained professional was then engaged to facilitate the process. She encouraged open and free discussions. In preparation for the strategic planning conference, this strategic planning committee clarified the agency mission, vision, and values. They wrote a purpose statement so that everyone who participated in the process would be clear about what they were doing. During the planning conference, the participants reviewed the agency's current performance practices, agreed on priorities, developed a picture of the desired future state of the agency, and developed clear, measurable goals, action steps, responsibilities, accountabilities, and timelines to achieve the goals. The committee developed a communication strategy to disseminate the plan and engage others in its success.

The plan was presented to all staff and select stakeholders, including the Department of Corrections administrators and staff, reentry program staff, judicial representatives, community halfway-house staff, and several nonprofit agencies that worked with the parole board clients and their families. These presentations gave the planning committee a chance to vet the plan and get valuable feedback from key stakeholders. The committee took the feedback and incorporated as much as it could into the final version of the plan. This facilitated the implementation of changes in the parole board's processes and practices, as those who participated in the presentations and feedback sessions understood where they were going, felt engaged with their strategic plan, and felt that the clients' best interests were being served.

The committee reviews the performance results quarterly and modifies the strategic plan as needed. The plan is accessible to all staff and posted on the agency's website. Performance appraisals of staff are directly correlated to the achievement of the goals in the strategic plan. Staff are encouraged to suggest ideas to reinforce and enhance the strategic plan's goals and objectives. This strategic planning process has encouraged the parole board and its staff to make strategy part of everyday business. The focus on engagement, communication, and participation is moving the agency forward on the road to higher performance.

Engagement

Engagement of staff and key stakeholders can smooth the implementation and sustainability of a strategic plan. This variety of voices, perspectives, knowledge, and experience brings depth and comprehensiveness to that plan. Focusing on stakeholder engagement gets people on board, and those with vested interests are now better equipped to understand their impact on successful implementation.

Engaging all of these people can sound complicated and expensive. However, organizations that have brought staff and stakeholders into their strategic planning processes find that it pays off as implementation goes more smoothly and results are achieved more readily (McLagan and Nel 1997).

Each organization must determine which key stakeholders should be involved. A stakeholder analysis process can be as simple as brainstorming a list of candidates. The next step is to identify the key stakeholders in that list, those who could have the most impact on the strategic plan. These can be sorted into groups with common interests and/or traits. A list of potential key stakeholders might look like this:

- Labor unions and bargaining units.

- Governing boards or reporting organizations (e.g., county boards, governors, cabinet secretaries, parole boards).

- Nonprofits providing services to agency clients.

- Government agencies that serve agency clients and/or families.

- Volunteers.

- Criminal justice agencies.

- Advocacy groups.

Communication

Communication throughout the strategic planning process is a significant component that facilitates the successful achievement of strategic goals and objectives. How an organization communicates its action plans to the workforce is key to ensuring desired outcomes and sustainability.

Elements of a successful communications plan include the following:

- **Objectives**
  - Step 1: Articulate the rationale, benefits, and goals of the strategic planning process for the organization.
  - Step 2: Identify all internal and external stakeholders who can influence the organization's success and their level of support for and engagement in the strategic planning process.
  - Step 3: Identify the communication objectives for each stakeholder group.

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

- **Plan**
  - Step 5: Deliver and reinforce the message.
  - Step 6: Encourage open communication with stakeholders, including feedback processes.
  - Step 7: Assess the outcomes of the communications plan.

More on this communications plan format can be found in *APEX: Building the Model and Beginning the Journey.*

Summary

The Strategic Planning domain addresses the agency's strategy development, action planning and implementation, resources allocation, measurement and sustainability of accomplishments, and ability to adapt the plans when things change (and they will). Creating and implementing a strategic plan provides a roadmap for staff as they work to support the organization's mission, vision, values, and policies. This APEX domain encourages organizational goals to be focused, effective, efficient, and successful in meeting the ever-challenging demands of public service, good stewardship of public resources, and public safety.

Key Points for This Domain

- The Strategic Planning domain responds to the following questions: What is our mission? Where are we now? Where do we want to go? How will we get there? Who will go into the future with us?

- A strategic plan includes an agency's mission, vision, and values and an assessment of its strategically important strengths and challenges.

- Higher performing organizations develop (1) organizational strategies aligned with their mission that identify key strategic objectives and (2) detailed plans that lay out how to accomplish them.

- Implementation involves action planning, deployment strategies, performance measurement processes, and adaptation of the plan objectives as necessary.

- Engagement and communication are extremely important elements in successful implementation and sustainability.

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Chapter 7: Measurement, Analysis, and Knowledge Management

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

—H. James Harrington

The ability to collect, analyze, and track data over time, noting not only *what* has changed, but *how,* provides correctional organizations with a powerful tool. The Measurement, Analysis, and Knowledge Management domain focuses on how an organization selects, gathers, analyzes, manages, and improves its data, information, and knowledge assets as well as how it manages information technology. In addition, it examines how an organization uses the results of reviews to improve its performance.

When addressing this domain, correctional organizations must tie the functions of performance measurement and analyses to improving organizational performance. The organization must manage information, organizational knowledge, and information technology to develop and achieve higher performance objectives. A focus on this domain aligns the organization's operations with its strategic objectives.

This domain addresses two core areas:

1. Measurement, Analysis, and Improvement of Organizational Performance.

2. Management of Information, Knowledge, and Information Technology.

Measurement, Analysis, and Improvement of Organizational Performance

Higher performing organizations select, collect, align, and integrate data for tracking daily operations and overall organizational performance by effectively using performance measures. This includes progress relative to strategic objectives and action plans. Defining key organizational performance measures, including short- and long-term measures, and establishing a timeframe to track these measures allow organizations to use real data to support and enhance their organizational decisionmaking and innovations. Data can be obtained through benchmarking activities (i.e., identifying processes and results that represent best practices) and making comparisons with like organizations, both internal and external. Selecting and ensuring the effective use of stakeholder input (including complaints and criticisms) provides organizations with additional input. These activities are important components of information gathering.

Measurement agility—the ability to respond to rapid or unexpected organizational or external changes—ensures that the organization's performance measurement system is able to conduct the following activities:

■ **Performance review and analysis**

- Organizational review—Covers all areas of performance, including current performance and projections of future performance. Organizational performance reviews are informed by organizational performance measurement and by performance measures guided by strategic objectives and action plans. The reviews should also assess the organization's ability to respond rapidly to changing organizational needs and challenges in the operating environment.

- Performance analysis—Includes examining performance trends; organizational, correctional industry, and technology projections; and comparisons, cause–effect relationships, and correlations. Performance analysis supports performance reviews, helps determine root causes, and helps set priorities for resource use. Analysis draws on all types of data: data about individuals who are under supervision or incarcerated and about their families, data from external stakeholders, and fiscal, operational, and national correctional data.

■ **Performance improvement**

- Best-practice sharing—Using performance review findings to share lessons learned and best practices across organizational units and work processes.

- Future performance—Using performance review findings and key comparative data to project future performance.

- Continuous improvement and innovation—Using organizational performance review findings to develop priorities for continuous improvement and opportunities for innovation throughout the organization to ensure organizational alignment.

Management of Information, Knowledge, and Information Technology

The management of information and knowledge can feel overwhelming at times, as can maintaining an up-to-date and effective information technology system. However, these are critical components of a successful performance management system. This includes:

■ **Information and knowledge management**

- Properties—Managing organizational information and knowledge to ensure that accuracy, integrity, reliability, timeliness, security, and confidentiality are maintained.

- Information availability—Making needed information available to the workforce, partners, collaborators, and stakeholders as appropriate.

- Knowledge management—Managing organizational knowledge to accomplish the following:
  – Collection and transfer of workforce knowledge.
  – Transfer of relevant knowledge to and from stakeholders, partners, and collaborators.
  – Rapid identification, sharing, and implementation of best practices.
  – Assembly and transfer of relevant knowledge for use in innovation and strategic planning processes.

- **Management of information resources and technology**
  - Hardware and software properties—Ensuring that hardware and software are reliable, secure, and user friendly.
  - Emergency availability—Ensuring the availability of hardware and software systems, and of data, to serve stakeholders effectively in the event of an emergency.

Summary

In God we trust; all others bring data.

—W. Edwards Deming

This chapter stresses the importance of maintaining a deliberate focus on how the organization measures and analyzes information and how it uses this understanding to guide work processes to achieve organizational competence, organizational knowledge, improved performance, and organizational sustainability.

Key Points for This Domain

- Reviewing, analyzing, and improving performance leads to higher performance. Data should be included from the organization, other agencies, and stakeholders.

- Critical components for data and knowledge management include the reliability, security, availability, and ease of transfer of knowledge.

- Critical components for managing information resources and technology include the reliability and user friendliness of hardware and software and the availability of technology in an emergency.

Chapter 8: Results

The first seven domains of the APEX Public Safety Model are strongly related to and predictive of a correctional organization's outcomes. These seven domains are not, by themselves, outcomes. The eighth domain, Results, looks at all of the substantive results the organization has achieved in five key areas:

■ Operations Outcomes.

■ Stakeholder-Focused Outcomes.

■ Workforce-Focused Outcomes.

■ Budgetary and Financial Outcomes.

■ Leadership and Governance Outcomes.

Operations Outcomes

Operations outcomes include end-of-process measures for the quality of the supervised population and staff relationships and client engagement in programming. Risk reduction and offender health and safety are important end-of-process outcomes. Longer term impacts include recidivism, employment, and family stability. Effective process outcomes include measures for assessing the success of process designs, their implementation and management, and their subsequent improvement. For example, how often are certain work processes (e.g., client assessments, population counts, report writing, classification, searches, disciplinary hearings, technical violations) redone because of inefficient results or error? To what degree are redundant processes and procedures in place? Is there an effective process to address emergency preparedness and response time and changes in staffing levels? Inherent in the operations outcomes is the review of strategy implementation results to ensure that they allow the agency to accomplish goals and objectives and to build core competencies.

Stakeholder-Focused Outcomes

Stakeholder-focused outcomes entail all performance-related data that have an impact on an organization's stakeholders. Often, agencies focus on outcomes that measure the supervised population's results. However, it is important to consider other stakeholders as well. Boards, commissions, labor unions, ex-offenders, clients' family members, service providers, advocacy groups, and the media are all stakeholders. Each group has its own unique interests and may expect different outcomes. The Results domain focuses on how the organization satisfies these varied interests and how it sustains engagement with stakeholders. Organizations do this by sharing outcome measures for review, demonstrating progress and improvement in outcomes, addressing stakeholder complaints, and relating the agency's achievement of organizational goals.

Workforce-Focused Outcomes

Workforce-focused outcomes involve four major areas that demonstrate how an organization manages its most important resource: its staff. These outcomes demonstrate how well an organization creates and maintains a productive, caring, engaging, and learning environment for all members of the workforce. These include:

■ Workforce capability and capacity—Staffing levels, staff skills, staffing analysis, staff/client case ratios, and roster/workload management.

■ Workforce climate—Staff health, safety, security, services, and benefits.

■ Workforce engagement—Key measures that demonstrate the engagement and satisfaction of staff, including an assessment of organizational culture and knowledge sharing among staff.

■ Workforce development—Activities related to leadership, continuous learning, and staff skill and competency development.

Budgetary and Financial Outcomes

Budgetary and financial outcomes reflect how well the organization uses its fiscal resources. These outcomes demonstrate fiscal accountability and sustainability and achievement of goals within allocated resources. Cost-containment and reduction activities through ongoing analysis of budget drivers influence the management of the organization and its effectiveness, affecting every operating element. APEX provides correctional agencies with a systemic lens to use during cost-containment activities—ensuring that the impact of proposed changes in one area will not adversely affect other parts of the organization.

Leadership and Governance Outcomes

Leadership and governance outcomes examine the correctional organization's key performance results in the areas of senior leadership and accountability for consistent policies and decisionmaking. These outcomes examine how well the organization demonstrates fiscal responsibility, sustains high ethical development as it fulfills its societal responsibilities, and supports public safety and good order. The outcomes areas include the following:

■ Leadership—Senior leaders' communication and engagement with the workforce to deploy vision and values, encourage multiple avenues of communication, create a focus on action, and drive key values throughout all levels of the organization.

■ Governance—Effective fiscal accountability and adaptability and consistent and cohesive policies and procedures.

■ Law and regulation—Achieving and surpassing regulatory and legal requirements (e.g., Occupational Safety and Health Administration rules, public health codes, offender medical care).

CASE STUDY: HOW A RESULTS FOCUS CAN INFLUENCE HIGHER PERFORMANCE

Due to the economic downturn in state revenues, a large state correctional organization was given the mandate to be more efficient and effective and to control its administrative costs. To analyze its efficiency, effectiveness, and cost drivers, the director established a standing results and performance improvement workgroup. The director's charge to the workgroup was to:

- Establish criteria for performance measurement in the organization's operations and management systems.

- Correlate associated costs with performance measurements.

- Implement a data system that accommodates monthly input and review of the organization's administrative operations, performance measures, and costs.

- Develop a process to analyze outcomes in five key areas.

- Continuously monitor and implement strategies and cost efficiencies based on comparative data analysis and outcomes for performance improvement.

Using this results-based system, the organization implemented targeted strategies to enhance the effectiveness and efficiency of administrative operations that result in cost-containment outcomes. Mandatory staff overtime was found to be a major cost driver for the organization and was commonly perceived as adversely affecting facility safety and security. By conducting a staffing analysis and developing a system to track the causes of overtime according to line-item cost categories, the organization was able to adjust its staffing plans, train supervisors in roster management, track incidents in the housing units, and better manage its new hires for the facilities.

Workforce satisfaction, cost-containment measures, and incident reductions over time corroborated the success of the results-based focus. These outcome measures and the corresponding strategies for improvement are now tracked and openly communicated to staff and stakeholders. Each month, facilities compare their monthly, quarterly, and annual results with other similar facilities in the organization, setting benchmarks for continuous improvement and cost containment. Because of these efforts, the organization has also become more adept and effective in achieving its strategic goals.

- Ethics—Ethical behavior and stakeholder trust in the organization's senior leaders and governance. It is important for organizations to practice and demonstrate high standards of overall conduct. When conduct exceeds appropriate boundaries, measures should indicate the corrective response to reinforce high standards and professional accountability.

- Society—Fulfillment of an agency's societal responsibilities in support of public safety and community well-being (e.g., escapes, disturbances, recidivism, efficient water consumption, community work projects).

Summary

At one time, correctional organizations were managed in cloistered walls apart from public examination or scrutiny. Today's correctional organizations must openly demonstrate and validate their performance as efficient and effective users of public funds and resources. They are expected to be accountable to stakeholders for ethical leadership, operations, strategy, work processes, workforce safety and development, management of their supervised populations, and criminal risk-reduction efforts. Establishing systemwide performance measures is critical. Using these measures to effect mission-driven outcomes and performance improvement is vital to achieving performance excellence.

Key Points for This Domain

■ The Results domain examines organizational performance and improvement in five key outcome areas: operations, a stakeholder focus, a workforce focus, budgetary and financial areas, and leadership and governance.

■ Current levels and trends in key measures or indicators should be reviewed to provide real-time information and measures of progress for evaluation and improvement of processes, programs, policies, and procedures and to support workforce and stakeholders' expectations and satisfaction.

■ All key areas of organizational and operational performance—including the correctional organization's readiness for emergencies—should be evaluated by measures that are relevant and important to the organization and stakeholders.

■ All key areas for evaluation and improvement should be in alignment with the organization's overall strategy, goals, and mission.

Book Summary

T his book presents the APEX Public Safety Model, specifically with respect to raising the performance of correctional agencies. The efficiency and effectiveness of an organization's operations determines the organization's success. We begin with the Operations Focus domain, which is divided into two parts: (1) Safe and Secure Supervision and Settings and (2) Process Management.

Chapter 2 describes what constitutes safe and secure supervision and settings. Correctional agencies need to make efficient use of resources but also be responsive to the public's expectations. Safety and security procedures are critical. The management of those under supervision, as well as the management of the correctional environment through policy development, leadership, culture, and staff competence, are detailed in this chapter.

Chapter 3 focuses on process management, defining and encouraging the exploration of this topic because of its effectiveness in enabling higher performance in corrections. Process management is viewed in terms of leadership, the correctional agency as a whole, and how it affects planning, strategy development, information, analysis, and the human resources component. Designing work processes and determining what drives the output and outcome of these processes is discussed and illustrated through pertinent tables and diagrams. The chapter also identifies key processes, process mapping, and evaluation; provides an example of process mapping with respect to the parole process; and discusses how the APEX Public Safety Model improves traditional process management.

The Stakeholder Focus domain is defined in chapter 4. Open and effective communication with all of the stakeholders—from the supervised population to the general public—is critical in meeting the agency's mission. The chapter describes obtaining and analyzing data from stakeholders, engaging various stakeholders while making sure to serve their needs as well as the needs of the organization, and building productive relationships.

The Workforce Focus domain is defined in chapter 5, addressing the impact of assessing the capability and capacity of the workforce to improve the organization's environment and performance. Workforce engagement and the workforce environment are presented in detail and explain how APEX can enhance this domain.

How strategic planning helps determine the mission, vision, and values of the organization and how to lay out a plan to accomplish goals are discussed in chapter 6. Strategic planning is defined with regard to strategy development, implementation, engagement, and communication. Putting this all together enables organizations to build a sustainable strategic plan to increase their performance and achieve mission success.

The Measurement, Analysis, and Knowledge Management domain is highlighted in chapter 7. Measurement and analysis—reviewing and analyzing data to improve decisionmaking and effectiveness—leads to higher organizational performance. Managing information, knowledge, and information technology also are key to improving performance. The importance of reliability, security, availability, and ease of transfer of knowledge and the use of such resources and technology in an emergency are discussed.

The Results domain emphasizes the importance of looking at and analyzing outcomes. Chapter 9 focuses on key outcome areas that include operations, stakeholders, the workforce, budgetary/financial issues, and leadership/governance. Evaluating these areas and aligning them with workforce and stakeholder expectations helps the organization achieve its mission.

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- Operations Focus
  - Safe and Secure Supervision and Settings
  - Process Management

- Stakeholder Focus
  - Individuals under Supervision and/or Incarcerated
  - Stakeholder Families
  - External Stakeholders

- Workforce Focus

- Strategic Planning

- Measurement, Analysis, and Knowledge Management
  - Measurement and Analysis
  - Knowledge Management

- Results

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Afterword

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About the Authors

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

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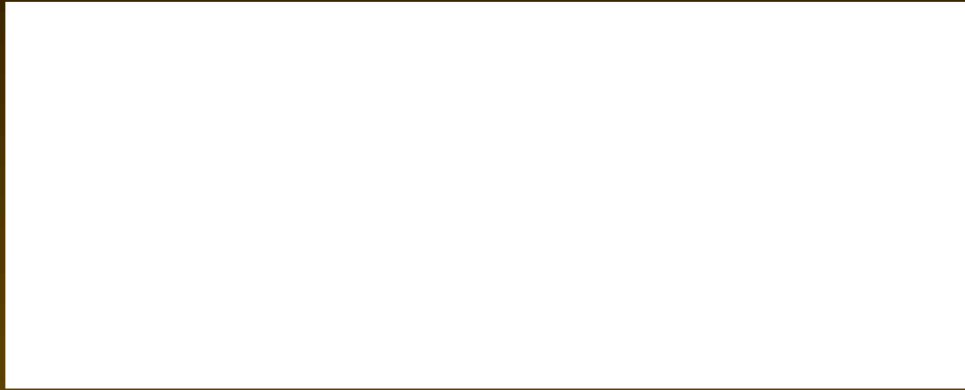n and delivery of leadership development programs.