U.S. Department of Justice
National Institute of Corrections

APEX

Change Agent Team Training

Curriculum

Achieving **Performance**

Excellence **APEX**

National Institute of Corrections

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Preface

The National Institute of Corrections (NIC) and People in Charge LLC are pleased to present the Achieving Performance Excellence (APEX) Change Team Training Curriculum – part of the APEX Initiative. The APEX initiative incorporates culture, leadership, performance measurement, results, and a change management strategy to help corrections agencies use their resources wisely to improve their organizational performance. In addition to the training, it includes these components: the APEX Guidebook series, the APEX Public Safety Model, the APEX Change Management Model, and the APEX Assessment Tools. NIC is pleased to make this Change Team Training available to correctional organizations around the country.

The APEX Change Team Training will provide correctional agencies with capacity-building training in the APEX systems approach to organizational performance improvement. This training is designed to create teams of internal change agents in all sectors of corrections. It will enable participants to build their skills and take the APEX components out to their agencies and successfully implement the APEX processes: assisting their agencies as they go through the culture and change management processes, developing integrated and holistic implementation plans to meet any identified gaps, developing comprehensive communications plans, and working toward sustaining the change efforts.

Thank you to all the practitioners who provided information, feedback, and support throughout the APEX Initiative. And thanks to Sherry Carroll (former NIC Project Manager) and Tracey Vessels (NIC Project Manager) for their creativity, support, and guidance.

Many thanks to the People in Charge APEX Change Team Training Team:

Theodis Beck	Calvin Brown	Mary Jo Caldwell
Elizabeth Craig	Emmitt Hayes	Theresa Lantz
Elizabeth Ritter	Tom Ward	

Respectfully submitted,

Nancy Cebula

Nancy Cebula
People in Charge LLC
Owner and Principal Consultant

Trainer Overview

Program:	APEX Change Team Training
Time:	3 days

Training Overview

The APEX Initiative Change Team Training consists of a 3-day training session with virtual follow-up. Training sessions work best with no more than 30 or so participants.

The training is designed to have the agency chose a change effort topic or topics for participants to work on during the training session. If there are multiple agencies in the training session, the Agency Change Topic Briefing will include all agencies' topics.

Usually a change leader will have been appointed for the agency's first APEX project prior to the training session. This individual will be integral to the training preparation. They will also be responsible for the briefing on the change topic and for sharing it with participants prior to the training workshop.

The APEX Initiative Training curriculum is presented in a modular format. Several modules have optional sections that can be added to the curriculum at the trainers' and agency's discretion.

Attachments included at the end of this document:

APEX Change Team Training: Agency-Provided Supplies, AV, and Room Set Up
Participant Agenda
Trainer Agenda
Curriculum Materials Chart

Training Purpose

The purpose of the APEX Initiative training is to train correctional practitioners in the APEX Initiative components, resources, and uses to improve organizational performance. It also provides an opportunity for the agency to get people organized into change teams and build the foundation of its initial APEX change effort's implementation plan.

Planning and Preparation

<u>Emails and Telephone Calls:</u>

- After the initial contact send contact person/planning group APEX Overview, sample Agenda, and link to APEX web page; set up introductory conference call.

- Introductory conference call– what is APEX and why training
    - Agency leadership/designated representatives; NIC staff member(s); consultants (optional)
    - Clarify questions about what APEX offers
    - What Training requires
        - Days – classroom, follow up
        - Agency responsibilities
        - NIC and consultant responsibilities
    - The agency situation
        - Why are they interested in APEX now
    - Potential change effort topics
        - Ask for "hot topics"
    - Begin discussion of who will attend training
    - Suggest they have staff "shadow" the trainers for capacity building

- When the decision to do the APEX training is made
    - Who the agency contact person will be
    - Clarify agency needs around APEX training
    - Who will attend the training
    - Pre work
        - *Our Iceberg is Melting*
        - APEX Screener
        - *APEX: Building the Model and Beginning the Journey*
    - Agency Topic(s)
        - When it will be determined
        - How it will be communicated to training participants
    - Dates and Logistics for training session
    - Who will print participant manual
    - Send Training Supplies and AV List to agency contact person
    - Send participant agenda to agency for review

- Two weeks before training:
    - Any reminders, last minute updates
    - Firm up participant numbers
    - Pre work reminders
    - Etc.

<u>Pre Work Assignments:</u>

- APEX Overview document
    - Why – sense of what APEX Initiative is; useful for executives to understand what APEX is when making the decision to host the training.

    - Send to agency contact to distribute to participants with their invitation to attend APEX training.
- Read *APEX: Building the Model and Beginning the Journey*
    - Why – give participants and others a deeper introduction to the APEX Initiative.
    - Send link to agency contact to share with participants two to four weeks prior to training.
- APEX Screener
    - Why – familiarize participants with this tool; provide data for discussing agency readiness for change and the APEX Public Safety Model domains.
    - Send link to agency contact to share with participants two to four weeks prior to training.
- Read *Our Iceberg is Melting* by Kotter and Rathgeber
    - Why – ground participants in change management principles and practice and give them a language to use during change efforts.
    - If NIC has funds for copies, send ten copies to agency contact one month prior to training. Otherwise, ask agency to purchase copies for distribution to participants.
- Other
    - Depending on the change topic, participants may be advised to read other APEX Guidebooks.
    - Additional pre work may be determined based on agency needs.

<u>Participant Manual:</u>

- If agency printing – send an electronic copy four to six weeks prior to training session to give adequate time to print and collate it.
- If NIC printing – send an electronic copy in case the agency wants to distribute it for participants to review ahead of time.

<u>Follow Up:</u>

Virtual follow up to check in with the teams working on the change effort, as well as providing information and/or suggestions to the agency change leader and training participants.

The Change Topic

The time allotted for an **Agency Presentation on Change Topic** will be determined by each agency/organization. If the participants come with a change topic chosen by their agency prior to the training, participants will work on that the training.

If the agency does not have a topic they want people to work on, a sample topic will be presented so participants can practice using selected APEX components and activities. Topics include managing caseload size; decreasing use of force; implementing a new risk/needs assessment tool; PREA Implementation; cost containment; code of silence;

and technical violations. During the planning, the trainers may want to ask the leadership if there is a topic that could be of special interest to the agency for the practice topic.

Change Leader

It is helpful for the agency to choose the change leader for the first APEX Initiative change project. This person will be the main contact for the training workshop and the follow-up. S/he will be the one inviting people to the training, providing the communications link between participants and trainers, and will have a leadership presence at the training workshop. S/he will help the trainers design part of the agenda when the teams get organized to work on the agency change goal/topic.

Trainer Notes

Throughout the curriculum, note places where you (trainers) have stories from real correctional experiences (or other places) and can highlight the speaking point. People love stories! And telling stories is a valuable way to show how these things are done in a correctional context.

Modules in this curriculum contain an overview, performance objectives, preparation notes, anticipatory set, instructional input, activities (including guided and independent practice), supplemental materials, key points to close the module, power point presentation, and a participant manual. Whenever you see this icon and descriptive phrase –  **APEX Opening Slide** – it denotes that a slide with this title is in the power point presentation.

The instructional input provides a script, which is a *guide*—the trainer may use either the scripted words or words of their choosing with the same ideas/concepts. As you know, it is important to check for comprehension and understanding throughout the workshop.

Start, Lunch, and End times will be negotiated with the host site. Breaks should be taken as the need arises.

Whenever possible, relate what is in the curriculum to the domains in the public safety model; ask the participants to do the same as often as possible.

And try to notice “aha” moments – when participants say something that shows that they understand the concepts being presented, tying things to the domains, etc.

Suggestion: The “One Clap” for positive reinforcement – when someone says something brilliant, showing understanding, or the like – Say “Let’s give ‘Mary’ One Clap” then clap once.

Additional content for this curriculum can be found in APEX Guidebooks www.niciclgov/apex.

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

Additional information on curriculum design and adult education can be found in NIC's publication *ITIP Toolkit: A Guide for Working with Curriculum Developers* found at http://nicic.gov/Library/024773.

Trainer Preparation
(based on what is in each module)

Module	Preparation
ALL	Read • *APEX: Building the Model and Beginning the Journey* • *Culture and Change Management: Using APEX to Facilitate Organizational Change* • *Our Iceberg is Melting* by John Kotter and Holger Rathgeber • Take the APEX Screener (nicic.gov/apex)
1	• Prepare chart paper with agency change topics/subtopics – if known ahead of time.
2	• Familiarize yourself with PSM domains. • Choose the topic to use for this activity. See Notes below. • Prepare System cards. Domain Bingo cards are in Participant Manual.
3	• Read *Culture and Change Management: Using APEX to Facilitate Organizational Change*. • Read APEX Change Management Case Study: PREA Standards Implementation (which combines the Public Safety Model and the Change Management Process) found in the Participant Manual. • Read *Our Iceberg is Melting*. • There are two optional activities that can be used at the trainers' discretion: *What is a Change Agent*, and *Change and the Tipping Point*. • Have chart paper ready as needed.

	• Change agent activity needs chart paper, scissors for cutting paper. • Trainers: review *APEX Resources Directory Volume 2*, “Chapter Five: Team Development”, Tuckman’s Stages of Team Development, Lencioni’s Team Dysfunctions, and Gladwell’s *The Tipping Point: How Little Things Can Make A Big Difference.*
4	• Trainer should take the screener prior to the training. • Read the Screener chapter in *Applying the APEX Tools for Organizational Assessment*. • Remind the agency that participants need to bring copies of their Screener to the training workshop. • Be prepared to add stories from your own experience that fit some of the sections. • Prepare chart for environmental scan large group exercise. • Give each group a blank sheet of paper for their own Sustainability Parking Lot.
5	• Write an example of a goal in the SMARTS format on chart paper for use during the SMARTS goal activity – see page 7. Here is an example if needed: “Our goal is to develop a standardized, more dignified, confidential, and efficient reporting method for staff, clients, their families, and outside agencies to be implemented by 11/1/13.”
6	• Have chart paper available for teams to use. • Familiarize yourself with the forms in the participant manual. • Read Chapters 4, 5, and 6 in *Culture and Change Management: Using APEX To Facilitate Organizational Change.* • Become familiar with how to develop key performance indicators (KPI’s). One resource is *Measuring Up: Governing’s Guide to Performance Measurement for Geniuses (and Other Public Managers)* by Jonathan Walters. Another is a You Tube video: *How to Develop Key Performance Indicators* by “virtualstrategist” http://www.youtube.com/watch?v=NCta6j5_FdM. • Print copies of the performance indicator cards for KPI activity—one set per team.
7	• Read Chapter 10: Developing a Communications Plan in *APEX: Building the Model and Beginning the Journey.* • Understand the importance of the degree of influence (negative and positive) in the Stakeholder Analysis section. • Draw the feedback loop on chart paper (see page 6 for example).
8	• Prepare by reviewing your personal history of change efforts and identifying strategies that worked to embed the changes into your agency’s culture.

	• Reading *Culture and Change Management: Using APEX to Facilitate Organizational Change* and/or *Leading Change* by John Kotter will be helpful. • Make sure that the Agency Experience with Change: Keep Drop Create charts (Module 1) are visible for Agency Enhancers and Challenges activity. • Have index cards (8 per participant) available for Enhancers and Challenges activity.
9	• Find out from executive team what they want in terms of presentations and add that to the Implementation Plan/Presentation documents 1-8 in this curriculum (see form at end of module and in Participant Manual). • Have a copy of the Implementation Plan/Presentation documents to show to participants.

APEX Initiative Change Team Training
Agency-Provided Supplies, AV and Room Set Up

Supplies:
- Participant Agenda
- Participant Manuals
- Power Point Presentation
- Handouts
- Chart Paper
- Easels (the number depends on the number of participants)
- Markers
- Tape (Masking or Blue) or Blue Tack for hanging chart paper on walls
- Optional: Public Safety Chart
- Optional: Scissors – 4 - 6
- Optional: Colored sticky dots (for voting) – 1 package

AV Supplies:
- Laptop
- Projector
- Screen
- Laser Pointer

Room Set Up:

- Tables for Change Teams – seating 6-8 per table
- Table for Trainers at back of room
- Tables for supplies and any additional materials

APEX Change Team Training
Participant Agenda

Time	Module
Day One Begins	Module 1.Welcome and Program Overview • Welcome, Introductions, and Expectations • APEX Overview • Agency Change Topic • Form Change Teams • Agency Experience with Change
	Module 2. APEX Public Safety Model • What is a System? • APEX Public Safety Model Overview • Systems Approach for Decisionmaking
	Module 3. Change Management and Organizing People • Change Management Principles and Process • *Our Iceberg is Melting* Debrief • Optional: Case Study • Change Roles • Team Development • Enhancing the Teams • Optional: What is a Change Agent • Optional: Change and the Tipping Point
Day One Ends	Day One Wrap Up
Day Two Begins	Day Two Review Preview
	Module 4. Agency Assessment: Laying the Groundwork for Change • Agency Assessment Overview • APEX Screener Debrief • Environment Scan and Analysis • Stakeholder Identification and Analysis

	Module 5. Define the Goal • Defining the Goal • SMARTS Goals • Elevator Speeches
	Module 6. Build the Implementation Plan • Implementation Plan Overview • Keep-Drop-Create: What is Happening Now • APEX Public Safety Model Review • Barriers and Challenges • Vision for the Future • Key Performance Indicators
Day Two Ends	Day Two Wrap Up
Day Three Begins	Day Three Review Preview
	Module 7. Communications Planning • Communications Plan Overview • Stakeholder Messages • Feedback Processes • Next Steps
	Module 8. Implement and Sustain Changes • Implement the Change Management Plan • Implementation Dashboard • Sustaining Change: Enhancers and Challenges • Encouraging Buy-In
Day Three Ends	Module 9. Workshop Close • Team Presentations • Training Recap and Feedback

APEX Change Team Training
Trainer Agenda

Please refer to the APEX Curriculum Materials Chart attached at the end of this agenda.

Time	Module Contents	Participant Manual Forms	Staffing
Day One Begins			
1 hr 50 min	**Module 1.Welcome and Program Overview**		
10 min	Welcome		Agency Leadership and Trainers
5 min	Anticipatory Set		Trainer:
25 min	Activity: Introductions and Expectations	Participant Introductions and Expectations	Trainer:
15 min	APEX Overview	Guidebooks Overview Table	Trainer:
20 min	Agency Change Topic		Agency Leadership
10 min	Activity: Form Change Teams		Trainer:
20 min	Activity: Keep Drop Create: Agency Experience with Change	Keep Drop Create Worksheet	Trainer:
1 hr 15 min	**Module 2. APEX Public Safety Model**		

Time	Module Contents	Participant Manual Forms	Staffing
15 min	What is a System?	What is a System Cards (Use from PM if not provided from Trainer’s Kit)	Trainer:
5 min	Instructional Input	Public Safety Model Laminate (or PSM pages in PM)	Trainer:
10 min	Public Safety Model		Trainer:
15 min	Activity: Domain Bingo	Domain Bingo Card	Trainer:
25 min	Activity: Systems Approach for Decisionmaking	Public Safety Model Laminate (or PSM pages in PM)	Trainer:
5 min	Module Close		Trainer:
2 hr 35 min Optional +25-80 min	**Module 3: Change Management and Organizing People**		
15 min	Anticipatory Set: Individual Change Process	Individual Change Experiences	Trainer:
15 min	Instructional Input	APEX Change Management Process Laminate (or CM page in PM)	Trainer:
30 min	Iceberg Debrief	Penguin Cards Our Iceberg is Melting Debrief Questions	Trainer:

Time	Module Contents	Participant Manual Forms	Staffing
(Opt) 30 min	(Optional) PREA Case Study	APEX Change Management Case Study: PREA Standards Implementation	Trainer:
5 min	Instructional Input		Trainer:
30 min	Activity: Change Roles Teach Back	Change Roles Teach Back	Trainer:
15 min	Instructional Input		Trainer:
20 min	Activity: Team Development	Team Development	Trainer:
20 min	Activity: Enhancing the Teams	Enhancing the Teams	Trainer:
(Opt) 25 min	(Optional) Activity: What is a Change Agent		Trainer:
(Opt) 25 min	(Optional) Activity: Change and the Tipping Point		Trainer:
5 min	Module Close		Trainer:
5 min	Day One Wrap Up		Trainer:
Day One Ends			
Day Two Begins			
5 min	Day Two Review Preview		Trainer:

Time	Module Contents	Participant Manual Forms	Staffing
2 hr 30 min	**Module 4. Agency Assessment: Laying the Groundwork for Change**		
10 min	Anticipatory Set: How Hot is Your Change Effort	How Hot is Your Change Effort	Trainer:
10 min	Instructional Input		Trainer:
20 min	Instructional Input	How to Interpret the APEX Screener	Trainer:
40 min	Screener Debrief	Participants need to bring color copies of their Screener Report that they completed as Pre-Work Screener Debrief FAQ's	Trainer:
5 min	Instructional Input		Trainer:
35 min	Environmental Scan and Analysis	Chart for Environmental Scan	Trainer:
25 min	Stakeholder Identification and Analysis	Stakeholder Web worksheet	Trainer:
5 min	Module Close		Trainer:
1 hr 35 min	**Module 5. Define the Goal**		
5 min	Anticipatory set Quote		Trainer:
5 min	Instructional Input		Trainer:
20 min	Activity: Defining the Goal	Define the Goal worksheets	Trainer:
10 min	Instructional Input		Trainer:

Time	Module Contents	Participant Manual Forms	Staffing
20 min	Activity: SMARTS Goals	Define the Goal worksheets	Trainer:
5 min	Instructional Input		Trainer:
25 min	Activity: Elevator Speech	Define the Goal worksheets	Trainer:
5 min	Module Close		Trainer:
2 hr 40 min	**Module 6. Build the Implementation Plan**		
5 min	Anticipatory Set Story/Video		Trainer:
5 min	Instructional Input		Trainer:
15 min	Keep Drop Create: What is Happening Now?	Keep Drop Create: What is Happening Now?	Trainer:
20 min	Review Public Safety Model	Public Safety Model Laminate Public Safety Model Domains Lens worksheet	Trainer:
15 min	Activity: Barriers and Challenges	Barriers and Challenges worksheet	Trainer:
50 min	Vision for the Future	Implementation Planning: Future Vision worksheet	Trainer:
10 min	Instructional Input	Key Performance Indicators	Trainer:
15 min	Key Performance Indicators		Trainer:

Time	Module Contents	Participant Manual Forms	Staffing
20 min	Independent Practice KPI's	Guiding Questions for KPI's Determining KPI's	Trainer:
5 min	Module Close		Trainer:
5 min	Day Two Wrap Up		Trainer:
Day Two Ends			
Day Three Begins			
5 min	Day Three Review Preview		Trainer:
1 hr 15 min	**Module 7. Communications Planning**		
5 min	Anticipatory Set story/video		Trainer:
10 min	Instructional Input		Trainer:
35 min	Activity: Stakeholder Messages	Communications Plan-Stakeholder Message Charts An Example of a Stakeholder Communications Matrix	Trainer:
15 min	Activity: Feedback Processes		Trainer:

Time	Module Contents	Participant Manual Forms	Staffing
5 min	Next Steps	Next Steps worksheet	Trainer:
5 min	Module Close		Trainer:
1 hr 35 min Opt + 15 min	**Module 8. Implement and Sustain Changes**		
15 min	Anticipatory Set Poem	Anticipatory Set Poem	Trainer:
10 min	Instructional Input		Trainer:
20 min	Implementation Dashboard	Implementation Dashboard Activity	Trainer:
30 min	Enhancers and Challenges	Sustaining Change: Enhancers and Challenges examples Sustaining Change: Enhancers and Challenges worksheet	Trainer:
15 min	Encouraging Buy-In	Encouraging Buy-In worksheet	Trainer:
(Opt) 15 min	(Optional) Case Study	Adapting and Modifying the Implementation Plan	Trainer:
5 min	Module Close		Trainer:
1 hr 20 min	**Module 9. Workshop Close**		

Time	Module Contents	Participant Manual Forms	Staffing
60 min	Team Presentations	Implementation Plan Forms: 1. Team Development Module 3 2. Goal/Elevator Module 5 3. PSM Review Module 6 4. Imp Plan/Future Vision Module 6 5. Key Performance Indicators Module 6 6. Communications Plan-Stakeholder Charts Module 7 7. Next Steps Module 7 8. Sustaining Change: Enhancers/Challenges Module 8	Agency Leadership Trainer:
5 min	Workshop Close	Feedback: Survey Monkey link	Agency Leadership Trainers
Day Three Ends			

APEX Change Agent Training
Curriculum Materials Chart

Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer's Kit
All				**Supplies for Slides/Videos:** Laptop Microsoft Power Point Screen Laser pointer - Optional	**General Supplies:** • Table tents for participant names • Name tags • Pencils/pens (1 per person) • Post-it notes (1 stack per team) • Chart paper/easels (1 per team) • Markers (3 per team) • Scissors (1per team) • Index cards (1 pack) • Tape or blue tack to hang chart paper on walls • Trainer Agenda • Participant Agenda
1 **Welcome & Program Overview** (1hr 50min)	10	Welcome		• APEX Opening Slide • APEX Learning Objectives	

Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer's Kit
	5	Anticipatory Set Activity or Video		• Video embedded in slide	
	25	Participant Introductions and Expectations	Participant Introductions and Expectations		One of each per group: • Chart paper • Easels • Markers
	15	Instructional Input: APEX Overview	Guidebooks Overview Table	• APEX is . . . • APEX is not . . . • APEX Resources • APEX Guidebook Series (2 slides)	
		Agency Change Topic Briefing			
	10	Activity 1: Form Change Teams			Chart paper hung on walls with team/workgroup topics written on them
20	20	Activity 2: Keep Drop Create: Agency Experience with Change	Keep Drop Create worksheet		3 whole group charts labeled: • Keep • Drop • Create
		Module Close			
2 **APEX Public Safety Model** (1hr 15min)	15	Anticipatory Set Activity: What is a System?	What is a System Cards (Use from PM if not provided from Trainer's Kit)	• Systems Thinking • Benefits to a Systems Approach	What Is a System Cards

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Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer’s Kit
	5	Instructional Input	Public Safety Model Laminate (or PSM pages in PM)	APEX Public Safety Model (2 slides)	
	10	Public Safety Model		APEX Domain slides: • Org Culture • Leadership • Ops Focus 1 • Ops Focus 2 • Stakeholder Focus • Workforce Focus • Strategic Planning • Measurement, Analysis & Knowledge Mgmt • Results	
	15	Activity: Domain Bingo	Bingo Card		Marker for each participant Optional: Bingo cards on cardstock
	25	Activity: Systems Approach for Decisionmaking	Public Safety Model Laminate (or PSM pages in PM)		
	5	Module Close			
3 **Change Management and Organizing People** (2hr 35min) Optional: +25-80min	15	Anticipatory Set: Individual Change Process	Individual Change Experiences		

Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer's Kit
	15	Instructional Input	APEX Change Management Process Laminate (or CM page in PM)	• Change Management Principles • Change Management Model	
	30	Iceberg Debrief	• Penguin cards • Our Iceberg is Melting Debrief Questions		Optional: print Penguin cards on cardstock
	Optional 30	(Optional) PREA Case Study	APEX Change Management Case Study: PREA Standards Implementation	APEX Change Management Case Study: PREA Standards Implementation	
		Instructional Input			
	30	Activity: Change Roles Teach Back	Change Roles Teach Back		
	15	Instructional Input		Team Dysfunctions	
	20	Activity: Team Development	Team Development		
	20	Activity: Enhancing the Teams	Enhancing the Teams	Enhancing the Teams	
5	Optional 25	(Optional) Activity: What Is a Change Agent		What Is a Change Agent	For each team: • 2 sheets of chart paper • markers • scissors
	Optional 25	(Optional) Activity: Change and the Tipping Point			Chart paper hung on walls labeled: • Mavens • Salespeople • Connectors

Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer's Kit
	5	Module Close			
4 **Agency Assessment: Laying the Groundwork for Change** (2hr 30min)	10	Anticipatory Set Activity: How Hot Is Your Change Effort	How Hot Is Your Change Effort		
	10	Instructional Input		Agency Assessment: Formal, Informal, Internal & External	
	20	Instructional Input	How to Interpret the APEX Screener	APEX Screener	
	40	Screener Debrief	• Participants need to bring color copies of their Screener Report that they completed as Pre-Work • Screener Debrief FAQ's	Screener Debrief in Small Groups	
	5	Instructional Input		The External Environment	
		Environmental Scan and Analysis	Chart for Environmental Scan		
		Stakeholder Identification and Analysis	Stakeholder Web worksheet		
	5	Module Close			
5 **Define the Goal** 35 (1hr 35min)	5	Anticipatory Set Quote			
	5	Instructional Input		Define the Goal	

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Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer’s Kit
		Activity: Defining the Goal	Define the Goal worksheets		
	10	Instructional Input		Developing SMARTS Goals	
		Activity: SMARTS Goals	Define the Goal worksheets		
	5	Instructional Input		Elevator Speeches	
20		Activity: Elevator Speech	Define the Goal worksheets		
		Module Close			
6 **Build the Implementation Plan** 20 (2hr 40min)	5	Anticipatory Set Activity or Video		Embed video in slide if using video	
25	5	Instructional Input		Build a Detailed Implementation Plan	
5	15	Keep Drop Create: What Is Happening Now?	Keep Drop Create: What Is Happening Now?	Keep Drop Create: What Is Happening Now?	
	20	Review Public Safety Model	• Public Safety Model laminate • Public Safety Model Domains Lens worksheet	APEX Public Safety Model Review	
	15	Activity: Barriers and Challenges	Barriers and Challenges worksheet	Barriers and Challenges	Chart paper for each team Colored dots 5/person or one marker each for voting
	50	Vision for the Future	Implementation Planning: Future Vision worksheet	Vision for the Future	

Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer's Kit
	10	Instructional Input	Key Performance Indicators	Key Performance Indicators	
	15	Key Performance Indicators			Performance Indicator cards on card stock
	20	Independent Practice KPI's	• Guiding Questions • Determining KPI's for KPI's		
	5	Module Close			
7 Communications Planning (1hr 15min)	5	Anticipatory Set: video		Embed video in slide if using video	
	10	Instructional Input		• Communications Plan • The Objectives • The Message • The Plan	Chart Paper for Feedback Loop
	35	Activity: Stakeholder Messages	• Communications Plan-Stakeholder Message Charts • An Example of a Stakeholder Communications Matrix		
	15	Activity: Feedback Processes			Chart Paper for Teams
	5	Next Steps	Next Steps worksheet	Next Steps	
	5	Module Close			

Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer's Kit
8 **Implement and Sustain Changes** (1 hr 35min) Optional + 15 min	15	Anticipatory Set Poem	Anticipatory Set Poem		
	10	Instructional Input		Implement the Change Management Plan	
		Implementation Dashboard	Implementation Dashboard Activity	Implementation Dashboard	
		Enhancers and Challenges	• Sustaining Change: Enhancers and Challenges examples • Sustaining Change: Enhancers and Challenges worksheet		8 index cards per team
20	15	Encouraging Buy-In	Encouraging Buy-In worksheet		
30	(15)	Optional – Case Study	Adapting and Modifying the Implementation Plan		
	5	Module Close			

Module	Time	Contents	Participant Manual Forms (PM)	Slides	Trainer's Kit
9 **Workshop Close** (1hr 20 min)	60	Team Presentations	Implementation Plan Forms: 9. Team Development Module 3 10. Goal/Elevator Module 5 11. PSM Review Module 6 12. Imp Plan/Future Vision Module 6 13. Key Performance Indicators Module 6 14. Comm Plan- Stakeholder Charts Module 7 15. Next Steps Module 7 16. Sustaining Change: Enhancers/Challenges Module 8	Team Presentations	Copies of the PM pages that teams will base their presentations on – Implementation/Presentation forms

Lesson Plans

Program:	APEX Change Team Training
Module 1:	Welcome and Program Overview
Time:	1 hour 50 minutes

Overview

This module is designed to:

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

The module begins with the agency executive, or their designee, welcoming participants. Facilitators introduce themselves and the objectives, agenda/logistics, and materials are reviewed. Participants introduce themselves and their expectations for the training are elicited. The components of the APEX Initiative are introduced and the agency leadership presents the change effort topic/topics.

Performance Objectives

Participants will be able to:

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

Preparation

Prepare chart paper with topics/subtopics – if known ahead of time.

Note to Trainer:

For all information provided today:

- Elicit participant response whenever appropriate.
- Subject matter experts from the agency will present the Change Topic and background information and any subtopics that may have been identified prior to the workshop.

Development Date: 03/08/2013

Revised: 07/30/2013

- Time will vary depending on agency requirements.

Time:

- Welcome: 10 minutes.
- Anticipatory Set: 5 minutes.
- Participant Introductions and Expectations: 25 minutes.
- Instructional Input: 15 minutes.
- Agency Change Topic Briefing: 20 minutes.
- Agency Change Topic Activities (Form Change Teams & Agency Experience with Change Efforts): 30 minutes.
- Module Close/Transition: 5 minutes.

APEX Opening Slide

WELCOME: 10 minutes

Timing
Welcome, objectives, agenda/logistics, materials review: 10 minutes

Note to Trainer
- Agency executive or designee will welcome the group and open the kick-off presentation. If not, trainer will do this.
- When finished, trainer will present the objectives, agenda/logistics and review the materials provided for participants.
- Note logistical issues (breaks, lunch, start/stop times, bathroom locations, etc.).
- Always check for clarity and understanding.
- Choose a topic to use as practice in the activities: Code of Silence, Cost Containment, Enhancing Technical Violation Policies, PREA, or an agency-specific topic.
- Prepare APEX slide show.

Welcome

Note to Agency Executive/Designee: Briefly introduce yourself and welcome participants to the program. **Then turn program over to trainers.**

Note to Trainer:

- Briefly introduce yourselves to the group (no more than 2 minutes each). Name, organization, experience with change efforts (if you have correctional experience, mention a correctional change effort you were in so they know you have correctional experience).

- If you have an introductory activity that you prefer, you can use it in place of the one suggested below.

Say: Welcome to the APEX Change Agent Training. APEX stands for Achieving Performance Excellence, and is based on the Baldrige Performance Excellence model modified specifically for correctional agencies.

This training is designed to provide you with principles that will enable you to accomplish the goals of this improvement effort, and introduce you to materials that will help drive agency improvement.

Specifically, we plan to help you lay a foundation for your agency-wide change effort by supporting the development of an implementation plan focused through the APEX lens.

Now we will review the objectives, materials and logistics for this training.

APEX Learning Objectives

Say: The learning objectives for this training are to:
- Use a systems-approach to decisionmaking.
- Identify organizational gaps and opportunities for improvement.
- Pursue sustainability through strategic implementation and communications.
- Apply APEX principles to real situations.

Ask: How do these sound to you? *[Trainer: check for understanding.]*

Note to Trainer:

- Go over Participant Manual.
- Review Logistics—restrooms, breaks, lunch, start/stop times, etc.
- Then proceed with text below.

Say: APEX has repackaged culture, change management, leadership, and other information into a roadmap for performance enhancement for correctional agencies.

As you participate in this training, you have two goals. One is to *learn the APEX Initiative components so you will be able to apply them in a variety of work situations*. The second is to *begin building an implementation plan for a change project using the APEX components during the training* and prepare a solid foundation so the work continues after the training ends until it is successfully implemented and sustained.

ANTICIPATORY SET: 5 minutes

Say: Margaret Mead said "Never doubt that a small group of thoughtful, committed citizens can change the world. Indeed it is the only thing that ever has." Well today we have a good-sized group, and we're just trying to change an agency, not the world. So we're in good shape.

[An inspiring video on can be added if trainers know of one.]

Activity: Participant Introductions and Expectations: 25 minutes

Timing and Purpose

- Introductions in large or small groups, trainer choice: 10 minutes
- For large groups, ask for name, facility, experience with change efforts.
- For small groups, trainer choice for introductions or use the introduction activity below.
- Participant expectations and report out: 15 minutes

Purpose: to make personal connections among participants and clarify expectations of participants and of the training team.

Say: As we begin our work together we'd like to take some time for all of us to get to know each other.

1. Let's divide into small groups of 4-6 ***[or select tables as groups],*** preferably an even number.
2. Now choose a partner within the group, and introduce yourself. Mention your name, facility, and experience with change efforts. Be brief—spend no more than 2 minutes on this.
3. Switch roles with your partner.
4. Introduce your partner to the rest of your small group.
5. We will ask you to introduce group members to all of us when you report out on your expectations for the training, in just a few minutes

[Trainer: As participants introduce themselves, prepare to shift to expectations.]

Note to Trainer:

- Materials needed: chart paper, easels, and markers for one large group or small groups.
- During this activity participants will be asked, “What do you hope to get out of the APEX Initiative Training? What are your expectations for this training?”
- Reponses to these questions will be recorded on chart paper.
- If already in small groups, groups will record and report out at the end of this session.
- If already in one large group, create one chart for the whole group; no report out is necessary.

Say: Let’s take a minute to think about our expectations for this training by asking two questions: What do you hope to get out of the APEX Initiative Training? What are your expectations for this training?

We’d like to record your responses to these questions so that we can hear each other’s expectations. ***[For a large group Say:]*** We’ll be recording these expectations for the whole group. ***[For small groups Say:]*** We’ll be handing out chart paper to each small group. Please record your expectations on the **Participant Introductions and Expectations** form in the Participant Manual, then share with your group. Take about 10 minutes. We’ll report out to the group at the end.

Note to Trainer:

- Large group: Record responses for large group. Review expectations to wrap up this activity
- Small groups: Keep small groups on task, and leave time for reporting out of small groups. Facilitate reporting out at the end, recording on an easel in the front of whole group as small groups report out.

Say: Let’s hear your expectations. And please do a brief introduction of your group members so we know who is in the room.

[Trainer: facilitate report out.]

Say: Now that you know each other and your trainers, and we've discovered your expectations, you're ready for some content. Let's take a look at the APEX Initiative from 35,000 feet—an overview, starting with a systems perspective.

INSTRUCTIONAL INPUT: 15 minutes

APEX is . . .

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

APEX is not . . .

Say: APEX is *not*:
- A report card.
- An accreditation process.
- A process that requires public disclosure of the agency's performance to compare with any other agency.
- A mandate for any actions.

APEX Resources

Say: In addition the APEX Initiative includes:
- A series of seven Guidebooks (Guidebooks Overview Document in Participant Manual).
- APEX Screener.

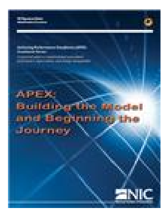
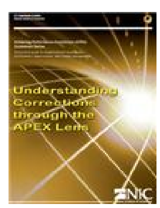
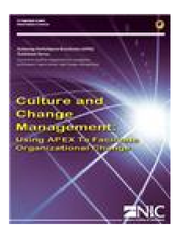
- Technical Assistance.

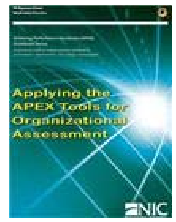
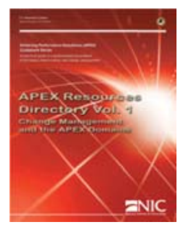
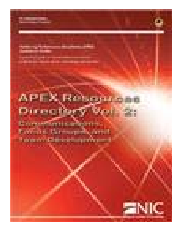
APEX Guidebook Series

Say: The APEX Guidebook Series is a set of seven books—a compendium of advice and best-practice guidance that informs correctional agencies interested in building a higher performing organizational culture:

Say: Please turn to the **Guidebooks Overview Table** in the Participant Manual, Module 1, while we briefly describe these seven resources. *[Trainer: A copy of what participants will see is right below, but please use the brief descriptions located after the end of this table for your description.]*

Guidebooks Overview Table

APEX: Building the Model and Beginning the Journey An overview of the APEX Initiative, including the APEX Public Safety Model—a systems approach to decision-making, the APEX Change Management Process, and Communications Planning.	
Understanding Corrections through the APEX Lens Presents several APEX Public Safety Model domains with “practical suggestions for improving performance and creating positive change by sharing best-practice methods and current literature on higher performance in corrections” (p. ix	
Culture and Change Management: Using APEX to Facilitate Organizational Change Contains chapters on organizational culture and change, change management in general, the APEX Change Management Model, communications planning during change, change management principles and practices case studies—Prison Rape Elimination Act (PREA), and changing culture during challenging times.	

Achieving Performance Excellence: The Influence of Leadership "Presents a breadth and depth of information about leading others and describes what leaders need to excel at and what up-and-coming leaders need to know as they prepare themselves for leadership positions. Taking a balanced approach to leadership allows correctional leaders to influence different people and diverse stakeholder groups in differing situations." (p. 71).	
Applying the APEX Tools for Organizational Assessment Contains detailed descriptions of the APEX Screener, the APEX Organizational Profile, and the APEX Inventory, as well as how to apply the tools in correctional settings.	
APEX Resources Directory Volume 1: Change Management and the APEX Domains Provides correctional practitioners with a variety of resources and interventions to assist them during change initiatives and performance improvement efforts.	 *In Press*
APEX Resources Directory Volume 2: Communications, Focus Groups, and Team Development Provide an overview of achieving performance excellence, a guide to NIC's resources, communications planning, a practical guide to leading focus groups, and materials on team building and development.	

Say:

1. *APEX: Building the Model and Beginning the Journey*, is a "cliff-notes" type overview of the APEX Initiative.

2. *Understanding Corrections through the APEX Lens*—describes several APEX Public Safety Model domains.

3. *Culture and Change Management: Using APEX to Facilitate Organizational Change*—helps correctional organizations gain a deeper understanding of their own

culture, providing best practice ideas on leveraging culture in creating and sustaining change.

4. *Achieving Performance Excellence: The Influence of Leadership on Organizational Performance*—focuses on the APEX Public Safety Model Leadership domain.

5. *Applying the APEX Tools for Organizational Assessment* describes the APEX Screener, the APEX Organizational Profile, and the APEX Inventory.

6. *APEX Resources Directory Volume 1* presents interventions, tool, references, assessment, and recommendations from the field for each of the APEX domains and Change Management.

7. *APEX Resources Directory Volume 2*—is a guide to NICs Resources, an APEX Communications Plan, Focus Groups, and Team Development.

[Trainer: Introduce agency leadership and give them the floor to explain the agency change topic (s), as well as time for questions and answers. Allow about 20 minutes. You may want to prepare Chart Papers with Chart Topics ahead of time.]

Activity: Agency Change Topic: 45 minutes

Note to Trainer:

- Introduce the agency leadership and/or change leader who will take care of the presentation and discussion of the agency change topic. Allow approximately 20 minutes.
- Facilitators will introduce and manage the activity (ies).
- If necessary, facilitate the Q&A, although this is usually not necessary.

Timing and Purpose

Agency Change Topic Briefing	20 minutes
Activity 1: Form Change Teams	10 minutes

Activity 2: Keep Drop Create 20 minutes

Purpose:
Activity 1: To divide into groups with participant input. Skip this activity if groups have been formed prior to the training workshop.
Activity 2: To think about agency's experiences during previous change efforts

Activity 1: Form Change Teams: 10 minutes

Note to Trainer

- This first activity is to help form teams/workgroups.
- Have team/workgroup subtopics/topics written on charts around the room.
- Ask participants to choose the subtopic/topic of highest interest by standing next to that chart.

Say: Now that you have an understanding of the agency goal and its topics, please look around the room. Go stand by the chart with the topic that you are most interested in working on today.

You might also want to have a second and/or third choice in mind. Just because you stand by one topic, it does not limit you to working on only that topic. Once we get the groups determined for today's activities, you can let other groups know that you would like to help with that one also.

[Trainer: Participants will move around the room. Once they seem to be settled, proceed with text below.]

Say: Take a look at your group. Do you have the right balance of members and knowledge? If not please make trades and/or reallocations with other groups—if you have too many lawyers in your groups, offer to swap one for a non-lawyer you see in the room.

[Trainer: If there is a topic without any people standing by it, ***Ask*** *the group:]*

Since no one has chosen to work on this topic today, does that mean that it will be tabled for later work? Or does it need to have a group get started on it today? If today is the answer, would two or three of you move to that topic and work on it today?

Now here's what we're going to do. Our next activity is about agency experience with change efforts.

Activity 2: Keep Drop Create: Agency Experience with Change: 20 minutes

Note to Trainer

- Label three charts *Keep*, *Drop*, and *Create*.
- Trainers write participants' words on chart.
- Proceed to activity below.

Say: This activity allows you to take a quick look at your agency's experiences during previous change efforts. Think about past change efforts and how things went:

- What worked well and you would like to **KEEP** in this change effort?
- What didn't work and you would like to **DROP** from this change effort or develop strategies to avoid in this change effort?
- What didn't exist? What would be helpful that you would like to **CREATE** in this change effort?

We will capture your words on these charts. It will be helpful if you first say which chart your idea goes on – Keep, Drop, or Create – and then say your idea.

All opinions are valid—the same item can show up on each chart, because one person might think it is good and want to KEEP it, another might think it was the worst thing ever and want to DROP it, and another might think it was missing from the change effort and want to CREATE it.

Use brainstorming to do this. No judgment—just let ideas bubble up. These lists can be useful reminders of what you want to work into this change effort to encourage successful implementation and sustainability.

[Optional: ask groups to note the items that could have a major impact on the current change effort.]

Turn to Module 1 in your Participant Manual and record the information on the **Keep Drop Create** (AGENCY EXPERIENCE WITH CHANGE) worksheet. *[Trainer: copy is immediately below.]*

Keep Drop Create: Agency Experience with Change

KEEP	
DROP	
CREATE	

MODULE CLOSE / TRANSITION: 5 minutes

Say: This module has set the stage for this training session, giving you an overview of the APEX Initiative. Your agency's change topic was presented; you sorted yourselves into change teams to work on the topic/subtopics; and you took a quick look at your agency's experiences during previous change efforts.

Before we move into a more detailed discussion of the Public Safety Model, let's take a few minutes to think about what energizes you about your agency's change topic *[Trainer – name the topic here.]* Spend a couple minutes talking in your teams and then we will hear a quick report out.

In the next module we will look more closely at one of the APEX components, the Public Safety Model. Keep in mind that there are two focuses during this workshop. One is to get into teams and begin building the foundation for your implementation plan. The other is to learn how to use the APEX models and processes in other change efforts, as well as in other parts of your work life.

Key Points

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

Lesson Plans

Program: APEX Change Team Training

Module 2: APEX Public Safety Model

Time: 1 hour 15 minutes

Overview

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

Performance Objectives

Participants will be able to:

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

Preparation

Familiarize yourself with PSM domains.
Choose the topic to use for this activity. See Notes below.
Prepare System cards. Domain Bingo cards are in Participant Manual.

Note to Trainer:

- Participants should have pulled out the laminated APEX Public Safety Model job aid to use while going through the 8 domains.
- If trainer is comfortable using only the PSM Model slide, the other slides can be skipped.
- For activities, use the agency's change topic or choose a topic from the following list to use: Code of Silence, PREA, Technical Violations, Cost Containment, or ask for a 'hot topic'.

Timing:
- Anticipatory Set: 15 minutes.
- Instructional Input: 5 minutes.
- Guided Practice Activity: Public Safety Model: 10 minutes.
- Independent Practice Activity: Domain Bingo: 15 minutes.
- Guided Practice Activity: Systems Approach: 25 minutes.
- Module Close: 5 minutes

Development Date: 03/25/2013

Revised: 10/21/2013

ANTICIPATORY SET: 15 minutes

Timing and Purpose

Activity 15 minutes

Purpose: To give a concrete example of a system and subsystems to model the definition of a system.

Note to Trainer:

There are two anticipatory sets to choose from: one using the human body to illustrate how a system works and one using a correctional system. Trainers are encouraged to use whichever they prefer.

The Human Body System
Print cards (at end of module) with the following subsystems for the human body written on them:

1. CIRCULATORY (heart and blood, goal: brings nutrients to cells in body)
2. MUSCULAR (connects with bones and tendons to move the body)
3. NERVOUS (brain, nerves, spinal cord, goal: responds to stimuli, moves muscles)
4. RESPIRATORY (lungs and blood, goal: brings oxygen into the body)

The Correctional Organization System
Examples for institutional and community-based corrections follow the Human Body System.

What is a System?

Option 1: The Human Body System Example

Say: Please have four people in your group take a card. These people represent subsystems of the human body. The rest of the people in your group represent the body system.

[Trainer: Copy of cards below:]

What Is a System? Anticipatory Set Cards

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

Say: These subsystems support the body system.

Those without cards will ask the subsystems the following questions:

1. What is your goal? *[Trainer: it is written on the card]*

2. What other subsystems do you interact with? *[Trainer: if participants are struggling answer is all other subsystems]*

3. Are you a necessary part of the human body system? *[Trainer: if participants are struggling answer is all parts are necessary]*

Now the subsystems will ask the human body system (those without cards) the following questions:

1. If it was 100 degrees in this room, how might the body respond to the change in environment? *[Trainer: answers might be: MUSCULAR SUBSYSTEM allows the body to fan itself or move to a cooler location, NERVOUS SYSTEM moves muscles to fan the body, etc.]*

2. If it was 32 degrees in this room, how might the body respond to the change in environment? *[Trainer: answers might be: MUSCULAR SUBSYSTEM moves to put on jacket, or move to a warmer location, NERVOUS SUBSYSTEM moves muscles to warm the body, CIRCULATORY SUBSYSTEM might constrict if too cold, etc.]*

3. Would the body rely on the subsystems to help it make this change? *[Trainer: answer- yes.]*

Option 2: The Correctional Organization Example

Say: A correctional agency is a system made up of subsystems. Different subsystems are dependent on other subsystems. When these all work together, the agency functions well.

Some that come to mind when thinking of an institution include administration, transportation, programs . . .

Ask: What other subsystems can you think of?

For <u>Institutions</u>, possible answers can include: security, food services, medical, mental health, programs, maintenance, etc.

Ask: How does security relate to food services, medical, programs, etc.?

PRESENTATION GUIDE **TRAINER NOTES**

In community-based agencies, subsystems can include assessments, administration, pretrial . . .

Ask: What other subsystems can you think of?

For <u>community-based</u>, possible answers can include: supervision, intake, half-way houses, specialty courts . . . .

Ask: How does supervision relate to intake, specialty courts, etc.?

Systems Thinking

Say: This activity was designed to help us define SYSTEM. Let's see if we can extend this model to corrections. In a system:

1. There is a relationship between a system and its environment.

Ask: *Is a correctional system (or agency?) affected by its environment?*

2. Each system can be a part of a larger system and it can contain subsystems.

Say: *A correctional agency is part of the larger criminal justice system, and can be divided into subsystems such as security and treatment.*

3. Every part of the system needs to be included to ensure that it will operate properly.

Ask: *Would a state correctional system work if information systems, a part of the system were not included?*

4. Systems have multiple goals and subsystems to develop their own goals that further the larger system's goals.

Ask: How c*an we apply this to correctional systems?*

5. Systems function well when ALL parts are working well on their own and effectively with other parts of the system.

Ask: *Can we apply this to correctional systems?*
[Trainer note: if the correctional system anticipatory set was used, skip this question.]

Say: APEX is a business model that offers a **systems approach** to change, specifically for correctional organizations. It provides multiple tools and strategies to build sustainable capacity toward higher performance, evidence-based practices, and data-driven decisionmaking. A systems approach is one that uses the definition of a system that we have just modeled.

Benefits to a Systems Approach

Ask: What are some benefits of a systems approach for correctional organizations?

Response: (Expect some or more of these responses, fill in those that aren't mentioned):

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

INSTRUCTIONAL INPUT: **5 Minutes**

Note to Trainer:
• This begins with a brief introduction of the Baldrige program – the origin of the PSM. • It then becomes a question and response large group activity.

- Make it as interactive as the participants may know this information, just not in this format.

APEX Public Safety Model

Say: The APEX Public Safety Model reflects the shared vision and operating values of everyone working in any correctional system. It is based on the National Performance Excellence Program, formerly known as the Malcolm Baldrige Performance Excellence Award Program, out of the National Institute of Standards.

This program is a national public-private partnership dedicated to educating organizations in performance improvement. Its focuses are:
- Helping organizations achieve best-in-class levels of performance.
- Identifying and recognizing role-model organizations.
- Identifying and sharing best management practices, principles, and strategies.

Ask: Many states have programs based on the national one—does yours? If so, have you participated in any of the reviews or reports?

[Trainer: Direct participants to the Public Safely Model Laminate, or the corresponding page in the Participant Manual].

Say: You have a laminated Public Safety Model in your Participant Manual. Let’s get that out now.

Say: The APEX Public Safety Model:
- Identifies the **systems** that build corrections excellence, presenting a holistic and complete picture of a correctional agency.

- Emphasizes the safety and security element in the Operations Focus domain. The correctional environment is one of the most challenging in the world—understanding and implementing the APEX Public Safety Model is so important.
- Adds the Organizational Culture domain because this is a critical component of a correctional system.

The eight domains are shown here on the APEX Public Safety Model. Notice how they all interact with each other, much like a well-oiled system. Let's work through each of the domains together.

GUIDED PRACTICE: 10 minutes

APEX Domain: Organizational Culture

Say: The Organizational Culture domain includes the values, norms, and assumptions of the organization as well as the ways that people behave toward one another in the organization. It is "how we do things".

Ask: What is one of the first things a new hire hears when they arrive at the facility or office after their initial training at your academy?

Response: example "Forget everything they told you there, this is how we do it here!" This is culture!

Ask: What example of your culture can you give us?

Response: (allow for various responses).

APEX Domain: Leadership

Ask: What do you think is included in the Leadership Domain?

Response: Leadership includes how the organization accomplishes its legal, ethical, and societal responsibilities, including maintaining public safety and responsible stewardship of public resources. It also includes top executives' responsibilities for running and guiding the organization and its staff members.

Ask*:* What are some examples of how leadership looks in your agency?

Response: (allow various responses).

APEX Domain: Operations Focus 1

Say: The Operations Focus domain is divided into two parts. The first part involves **Safe and Secure Supervision and Settings** which is a strong emphasis on providing safety and security for staff and all stakeholders. This is the heart of corrections and is included in every correctional agency mission statement we have seen.

Ask: How does it show up in your agency?

Response: (allow various responses).

Ask: What does Safe and Secure Supervision and Settings mean to you?

Response: (allow various responses).

APEX Domain: Operations Focus 2

Say: The second part of the Operations Focus domain is **Process Management**:

Ask: What processes do you use on a regular basis? What processes do you use only occasionally?

Response: (allow various responses).

Say: This domain involves **how** we do things – how the organization designs, manages, evaluates, and improves its work systems and varied work processes.

APEX Domain: Stakeholder Focus

Ask: What do you see in this domain?

Response: (allow various responses).

Say: The Stakeholder Focus domain includes how offenders/supervised population and external stakeholders are engaged. It also involves the ability of the organization to create improved and innovative services.

APEX Domain: Workforce Focus

Ask: How would you define Workforce?

Response: (mention if not mentioned:) The Workforce Focus domain includes all aspects of workforce management, development, engagement, and environment.

Ask: How does your agency deal with the workforce domain?

Response: (allow various responses).

APEX Domain: Strategic Planning

Ask: What do you see included in the Strategic Planning domain?

Response: (mention if not mentioned:) This domain involves how the organization develops and manages its strategy, plans, initiatives, and implementation.

Ask: When did your agency last go through a strategic planning process?

Response: (allow various responses).

APEX Domain: Measurement, Analysis, and Knowledge Management

Say: We know what we measure. What gets measured gets done. What gets done is what we know. What we don't measure we don't know!

Ask: What does your agency include in this domain?

Response: (mention if no one says this) The Measurement, Analysis, and Knowledge Management domain involves how the organization manages all of its data and information, including information technology and knowledge management systems, performance measurements, analyses processes, and responses.

APEX Domain: Results

Ask: What kinds of results are important to your agency?

Response: (allow various responses).

Say: The Results domain focuses on the outcomes, including those involving stakeholders, finances, the workforce, and leadership, and how effective the organization is at achieving its mission and goals.

Notice on your APEX Public Safety Model how everything points to the **Results** domain—a composite of stakeholder, cultural, financial, and internal operational performance results, including workforce, leadership, governance, safety, and social responsibility.

INDEPENDENT PRACTICE: 15 minutes

Activity: Domain Bingo

Timing and Purpose

Activity 15 minutes
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Purpose: To practice working with the domains and their definitions.

Note to Trainer:

- A copy of the Bingo card is located in the Participant Manual.
- Participants also need a marker.

Say: We're going to play a game of **Domain Bingo**. This is a stand up, walk-about activity to help us get more familiar with the domains. Turn to Module 2 in your Participant Manual to find your Bingo card. *[Trainer: a copy is included below:]*

Domain Bingo

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

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

Say: Take your bingo card and a marker. The object is not to fill out the card with what you know, but with what others know. Mingle, ask other participants to either give a brief example of an issue they have dealt with in the past 30 days that focused on one of the domains, or ask them to match a domain name with a domain definition. You are welcome to decide if they have the correct definition in mind. Then, cross off the square for the response they have given.

Your goal is to mark off 5 in a row or diagonally. Remember, you may only mark off a box if the answer has come from another participant. Once you have a bingo, then sit down**.**

[Trainer: facilitate activity.]

Say: This set of domains can be used to create your own systems approach to decisionmaking and/or problem-solving. Analyzing the effects of a decision for each of these domains gives a comprehensive view of the impacts any decision could have on the whole system. The following activity will help us take a look at this now.

GUIDED PRACTICE: 25 minutes

Activity: Systems Approach for Decisionmaking

Note to Trainer:

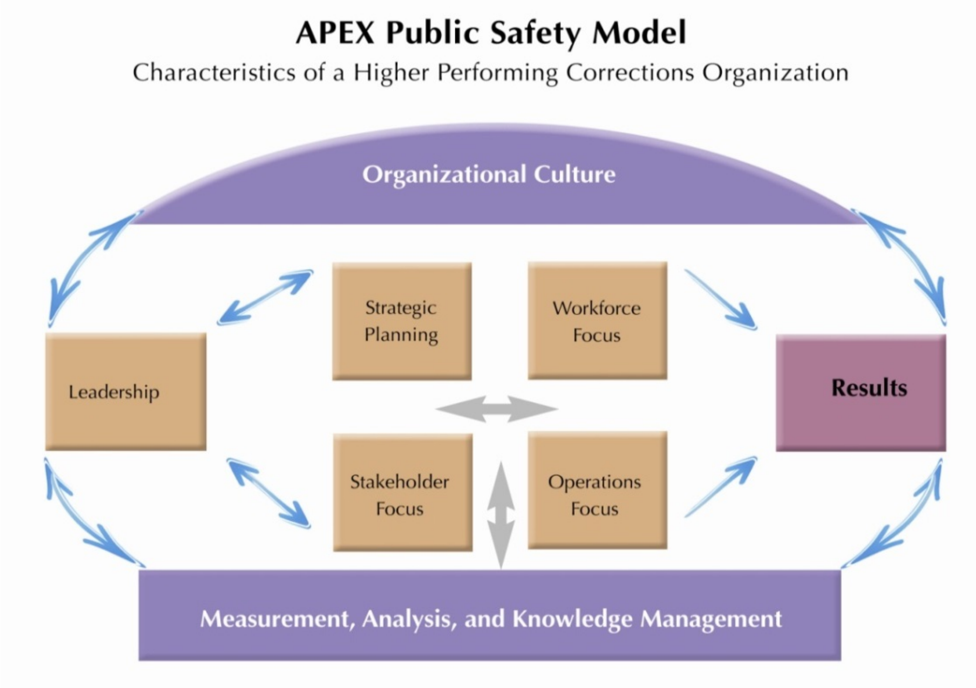
- 25 minutes with report out
- This activity may be done in large or small groups.
- The topic for this activity can be Code of Silence or one relevant to the agency.
- Report out may be done with chart paper in front of the whole group.

Say: We are going to use these domains as a lens for making a decision or problem-solving in a systemic manner.

The topic for our activity is: ________________________

Look at your APEX Public Safety Model—A Systems Approach to Corrections page in Module 2 of your Participant Manual or use the laminate. *[Trainer: A copy is included here:]*

The APEX Public Safety Model – A Systems Approach to Corrections
These domains can be used as a lens when problem-solving, decision making, and planning.



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

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

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

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

Workforce Focus:
- What stake (gain/loss) does our workforce have in this initiative? “What’s in it for me?”
- How can we effectively engage the workforce in the initiative change process and thereafter?

- Who should be engaged in planning and/or implementation?
- Who needs to be involved in sustaining the change?

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

Operations—Safe and Secure Supervision and Settings:
- How will this initiative affect our current operations?
- Will the initiative affect the safety and security of the public, staff, or offenders?
- What will change?
- What will stay the same?

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

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

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

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

[For a large group Say]:

- We will look at each domain.
- Ask yourselves: How would this domain be affected by the topic? Use the questions in the document as a guide.
- Using the domains as a lens is a key concept in this performance improvement process and encourages people to use a systems approach to thinking.

[For small groups Say]:

- We will assign each small group 1 or 2 of the domains.
- Answer at least the first two questions under your domain(s) for the topic.
- We will report out at the end of this activity

MODULE CLOSE / TRANSITION: 5 minutes

Say: This module has given you an introduction to the APEX Public Safety Model and its eight domains. We hope you are more familiar with the domains, and understand how they can be used as a systems approach lens for reviewing strategic issues and problem solving.

Key Points

- The APEX Public Safety Model presents a holistic and complete picture of a correctional organization.
- It provides a systems-approach to decisionmaking to understand how a decision affects other parts of the agency and to mitigate unintended consequences.
- In a system:
  - There is a relationship between a system and its environment.
  - Each system can be a part of a larger system and it can contain subsystems.
  - Every part of the system needs to be included to ensure that it will operate properly.

PRESENTATION GUIDE **TRAINER NOTES**

- Systems have multiple goals and subsystems to develop their own goals that further the big system's goals.
- Systems function well when ALL parts are working well on their own and effectively with other parts of the system.

What Is a System? Anticipatory Set Cards

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

Lesson Plans

National Institute of Corrections

Program: APEX Change Team Training

Module 3: Change Management and Organizing People

Time: 2 hrs and 35 minutes (Optional sections take 30, 25, and 25 minutes in addition).

Overview

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

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

Performance Objectives

Participants will be able to:

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

If case study is used:

- Interact with a case study with respect to the change management process.
- Understand how the change management process works with the public safety model and the communications planning process.

Development Date: 03/24/2013

Revised: 07/30/2013

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Preparation

- Read *Culture and Change Management: Using APEX to Facilitate Organizational Change*.
- Read APEX Change Management Case Study: PREA Standards Implementation (which combines the Public Safety Model and the Change Management Process) found in the Participant Manual.
- Read *Our Iceberg is Melting*.
- There are two optional activities that can be used at the trainers' discretion: *What is a Change Agent*, and *Change and the Tipping Point*.
- Have chart paper ready as needed.
- Change agent activity needs chart paper, scissors for cutting paper.
- Trainers: review *APEX Resources Directory Volume 2*, "Chapter Five: Team Development", Tuckman's Stages of Team Development, Lencioni's Team Dysfunctions, and Gladwell's *The Tipping Point: How Little Things Can Make A Big Difference*.

Note to Trainer:

- There is an optional PREA case study activity at the end of module.
- This module begins to get the teams organized to work on their goal.
- There are a number of sections in this module, including three labeled "Optional". Trainers should review them all and use the ones that best meet the needs of the agency in the training.

Time:
- Anticipatory Set: 15 minutes.
- Instructional Input: 15 minutes.
- Guided Practice Iceberg Debrief: 30 minutes.
- Optional PREA case study: 30 minutes.
- Change Roles: 30 minutes.
- Instructional Input: 20 minutes.
- Guided Practice: Team Development: 20 minutes.
- Enhancing the Teams: 20 minutes.
- Optional Activity: What is a Change Agent: 25 minutes.
- Optional Activity: Change and the Tipping Point: 25 minutes.

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ANTICIPATORY SET: 15 minutes

Individual Change Process

Note to Trainer:

- The purpose of this activity is to identify steps used in change processes and how they are similar and different from others.
- This activity begins to focus on Change Management as a process.
- Change Experiences Activity worksheet for the manual is included at the end of the module and asks the same questions as below.

Say: Let's take a quick look at your individual experiences with change processes. Think about something that you have recently tried to change in your individual life and are willing to share with at least one other person. Turn to **Individual Change Experiences** worksheet in your manual.

- Identify the steps you took as you worked on the change.
- Then find a partner at your table (if uneven number, one group can be a threesome).
- Discuss your change efforts and the steps you used to complete the change.
- What similar steps did you use?
- What did you do differently?
- How successful were your change efforts?

[Trainer: copy from Participant Manual is below].

Individual Change Experiences

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

Change effort topic: ____

List the steps you took:	

PRESENTATION GUIDE **TRAINER NOTES**

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

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INSTRUCTIONAL INPUT: 15 Minutes

Say: Julia Child said: "Good cooks don't use recipes; they use principles." It's the same in a change effort. Principles form the foundation of the APEX Change Management process.

Change Management Principles

Say: Here are some change management principles, culled from a variety of sources and experiences:

- Agency assessment. Encourage participation from as many people as is practical and possible at all levels and from all departments in the organization and all aspects of the change process.
- Engage top leadership actively and visibly.
- Organize people for results, adjusting as you go along. Everybody in the agency must be part of the change.
- Create a change team to guide the process. Define the Goal and Objectives in clear, easy-to-understand, yet

comprehensive ways. Create a dynamic vision of what the future state looks like.
- Share the future vision with the organization for review and feedback.
- Develop action plans to implement the future vision. Create the roadmap for change.
- Monitor and evaluate implementation outcomes.
- Create communication feedback loops, so staff know what is being done and the extent to which it is working.
- Communicate progress on implementation to the organization with opportunities for feedback from staff and other stakeholders.
- Focus on sustainability from the beginning. Consider the resources that will be required to meet goals and objectives; modify as necessary.
- Integrating the changes into the organizational culture. Enhance the chances for sustaining the changes. Monitor, evaluate, and communicate.

Change Management

Say: There are many processes to guide a change management effort. Here are some generic components that can be used to ensure that the process you use is complete and systematic.

You may want to pull out the laminated copy of the APEX Change Management Process from your Participant Manual and follow along.

The APEX Change Management Process was designed to give correctional practitioners a systemic way to approach, plan for, implement, and sustain organizational changes. It contains several generic components:

- Planning and assessing – lay the groundwork for change.

- Defining the goal – clearly describe the goal (the end state) of the change effort.
- Organize people for results – the people part of change efforts.
- Build the implementation plan – create the roadmap for change.
- Implement the plan – work on strategies and action steps.
- Sustain the change – make the changes a part of the organizational culture.

We are often asked about how to get buy-in for change from others in the organization. One way to do this is to get as many people as is practical to engage and participate in some aspect of the planning. That way they feel some ownership in the change management plan.

Say: You may recognize some of these principles and process components from *Our Iceberg is Melting*.

GUIDED PRACTICE: 30 minutes

Iceberg Summary in 8 Steps

***Our Iceberg is Melting* Debrief**

Timing and Purpose

Activity:	20 minutes
Share:	10 minutes

Purpose: To understand different factors in a change management process, and how different perspectives/personalities may affect a change effort.

Note to Trainer:

- Penguin cards are included in this section. A copy is in the Participant Manual.

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Say: Parables provide a model for looking at an issue in a different way. *Our Iceberg is Melting* (Kotter & Rathgeber, 2005) is a parable you may already be familiar with. The personalities of the penguins in this story and the way they worked through change are much like any potential change effort. Here's a quick review of the story:

***Our Iceberg is Melting* Summary with the Eight Steps**

Set the Stage. Fred, a young penguin, has made a discovery that the iceberg is melting. He decides to share the news with Alice. She convinces council members to meet with Fred to hear what he was to say, after which Alice convinces most members to act immediately, although some think there is no real problem (like NoNo). The council shares the information with the entire colony, creating a sense of urgency. Louis, the head penguin, pulls together a five-member team to help guide the colony through the coming difficult days.

1. Create a Sense of Urgency

2. Pull together the Guiding Team

Decide What to Do. The penguins need to decide on a plan of action now that their iceberg is melting and thus their home is in jeopardy. Their change team consults with other penguin colonies for solutions, but finds they need to find a solution that has not been tried before. The team meets a nomadic seagull scouting for a new home, and are able to visualize moving around and not staying in the same place forever, taking the seagull's idea and making it their own.

3. Develop the Change Vision and Strategy

Make it Happen. The penguins share their vision of a nomadic life with the whole colony. Some are onboard right away, some are thinking about it, some are confused, some are skeptical and some are completely opposed to the idea. Communicating for understanding and buy-in helps persuade most (but not all the NoNo's). Empowering those who are on

PRESENTATION GUIDE **TRAINER NOTES**

board helps persuade others to accept the new concept. Sending out penguin scouts for reports helps produce a short term win, convincing those who were skeptical

4. Communicate for Understanding and Buy-In

5. Empower Others to Act

6. Produce Short-Term Wins

7. Don’t Let Up

Make It Stick. Change isn’t easy, and the move to a new location is not as difficult the second year as it was the first. In time the new way of living will become second nature and eventually the colony will not remember when they didn’t move, thus completing the creation of a new culture.

8. Create a New Culture.

Which Penguin Are You?

Change doesn’t happen in a vacuum, and people (or penguins), the most important part of the change effort, all have different personalities and outlooks with respect to change.

Turn to the Penguin cards in your Participant Manual, Module 3. The main personalities/outlooks of the penguins in *Our Iceberg is Melting* are listed on the cards. Each person in the group should choose a character that they think represents their attitude in their most recent change effort. Then follow the debrief questions below. You will choose characters independently and work through debrief questions independently, and then share with your own group.

[Trainer: Copy of penguin cards below, copy of debrief questions follows:]

Penguin Cards

Fred Thinks outside the box, curious, creative, worried, yet willing to voice his opinion. *Most likely to say*: I'm worried, but I'm no one special. How can I make them understand and listen to me?	**Alice** Gets results, somewhat pushy but practical. Treats all equally, can't be intimidated. *Most likely to say:* Yes, we have a problem. I'll call a meeting so all can see how important this issue is.
NoNo Uncomfortable with change, pessimistic, manipulative. *Most likely to say:* This is dangerous. They will get hurt. We don't need to change. Let's just keep everything the way is it. It's too risky.	**Buddy** Charismatic, well-liked, not ambitious, trusted. *Most likely to say:* I don't understand what all the problems are, but I'm happy to help any way I can.
Professor Logical, reads a lot, curious, likes to "teach" not the most social. *Most likely to say*: This is amazing. I could gather data and analyze it to show the best way to proceed.	**Louis** Wise, experienced, respected, keeps his cool. *Most likely to say*: I'm proud of the team, the scouts, and the colony during this change effort.
Scout Has endurance and ability. Enjoys the excitement and finding information. Needs support. *Most likely to say*: I can't wait to discover what we need to get this change moving. This is exciting, but it's also hard work.	**SallyAnn** Young, somewhat emotional, wants to help, encourages buy-in. *Most likely to say*: We should all help out. Even I can make a difference.

Our Iceberg Is Melting (Kotter & Rathgeber, 2005)

Debrief Questions

1. What thoughts do you have about this parable and how the penguins handled their change effort? What do you currently do in your agency to build efficiency?
____
____
____
2. What did you find useful? ______________________________
____
____
____
3. How can this be applied to change in your agency? ______________________________
____
____
____
4. During past change efforts, who were you – Fred, Alice, NoNo? ______________________________
____
____
____
5. Think about the present time – what Icebergs is your agency dealing with? ______________________________
____
____
____
6. Who in your agency could be:
   a. Alice? ______________________________
   b. Fred? ______________________________
   c. NoNo? ______________________________
   d. Louis? ______________________________
   e. Buddy? ______________________________
   f. Professor? ______________________________

g. Scouts?____

h. SallyAnn?____

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

Say: Now let's share your debrief sheets with others in your team. You have about 10 minutes.

[Trainer: Allow 10 minutes, then do a brief whole group report out.]

Say: Let's see who is who in this group. By a show of hands, who changed from who they were in their last change effort, to who they want to be in their next change effort? *[Trainer: pause for hands with each of these questions.]* Who is Alice in their next change effort? Fred? Louis? Buddy? Professor? Scouts? SallyAnn? How about NoNo? Is there a place for NoNo in a successful change effort?

OPTIONAL PREA Case Study (Prisons example)

INSTRUCTIONAL INPUT: **20 minutes**

APEX Change Management Case Study: PREA Standards Implementation

Say: This is a briefing using the case study as an example of how an agency implemented a goal. Please turn to the PREA case study in Module 3 of your Participant Manual. *[Trainer: copy follows:]*

Note to Trainer:

Walk the group through the PREA case study, which can be found in their participant manual.

Refer back to the penguins' roles and the change management principles.

Make it as interactive as possible.

APEX Change Management Case Study
PREA Standards Implementation

Based on "Chapter 7: Change Management Principles and Practices in Action: Prison Rape Elimination Act" in *Culture and Change Management: Using APEX to Facilitate Organizational Change* (Cebula et al. 2012)

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

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

Plan and Assess

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

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

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

The Executive Team decided to use the APEX Public Safety Model as a systemic way to look at this issue and how it affects the organization in each of the domains. They discussed the impacts of the PREA standards and compliance to them for each of the domains: leadership; culture; operations; stakeholders; workforce; strategic planning; measurement, analysis, and knowledge management; and results. This gave them a comprehensive view of the impacts any decisions could have on the whole system.

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

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

<u>Define the Goal</u>

The facility Administrator and the Executive Team committed to an agenda to change the facility culture, enhance its operational procedures, and build and sustain a culture that supported sexual safety for those confined in the facility. The overarching vision or goal, developed with the input of managers and staff, was to:
A**chieve full compliance with PREA Standards by March 1, 2014.**

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As a result of discussions with staff, the Executive Team created several “sub-goals” to help them attain full compliance. These informed the development of a SMARTS goal: **A zero-tolerance policy and protocol that addresses sexual misconduct and abuse by staff and among those confined will be in place by January 1, 2014, with a thorough evaluation three months later to determine its effectiveness.**
The Executive Team’s vision was for CDC Kerry to be a facility where attitudes, expectations, policies, procedures, actions, and responses aligned to prevent sexual abuse. The Executive Team realized that this would require fundamental changes in the culture, as previous efforts to implement PREA standards had not met the desired outcomes. They believed the goal of zero tolerance could be achieved while creating a sustainable cultural change that naturally supported the effort. Based on the APEX Assessment results and the APEX Guidebook series, the Executive Team was better informed about what needed to change, how to implement the change, and what had to be done to sustain it.

Organize People for Results

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

Change Leader
The Administrator decided to appoint the Deputy Jail Administrator over operations to serve as the agency Change Leader. PREA compliance was considered such a high-profile issue for the Administrator that having a high ranking top executive as the Change Leader would demonstrate to all stakeholders the importance of this issue and the success of this change effort. Members of the Executive Team were available to stand in for the Deputy Administrator when she was unable to perform Change Leader functions. Providing backup in this way made it possible for the Change Team members and other stakeholders to have ongoing access to the facility leadership. This also meant that there was an increased need for communication and information sharing between the Administrator and the Executive Team, and consistency and continuity in the ongoing communication to all stakeholders.

Change Team
The Executive Team selected people to serve on a Change Team from across the agency. Frontline employees, supervisors, midlevel managers, and administration staff across all facility disciplines and units were selected to be on the PREA Change Team, as was the newly designated facility PREA Coordinator. Each team member had perspective on the overall organizational culture, had demonstrated a willingness to work for progress and change, and had personal power and influence within the facility. All of the team members were invited to a meeting with the Change Leader and the Executive Team to learn about their charge and scope of work. The Change Team members were

granted normal work time and/or were compensated to do this important work. During this change effort, the team members reported regularly to the Change Leader and Executive Team. They were held accountable for developing the change effort plan and for identifying strategies to implement the plan. Facility leadership committed to invest in the resources that the Change Team required and to provide support and guidance to the team as needed.

Engaging the Change Team and Building Capacity for Success
The new Change Team met to set ground rules for how the team would perform and conduct meetings. The members agreed that everyone was equal on this team and that it was a safe place to express ideas and disagreements. The PREA Coordinator educated the team on the PREA standards. Members of the Executive Team attended meetings to affirm the Change Team charter, share the APEX Assessment results, and participate in targeted discussions, including:

- Why change? What are the benefits, rationale, and goals?
- Where do we want to go? What outcomes are we looking for?
- How do we get there? What performance measures will be developed and analyzed?
- Who are our stakeholders and what roles do they play?
- How do we sustain our change?

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

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

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

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creating a safe and secure environment that was free from incidents of sexual misconduct.

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

Build the Detailed Implementation Plan

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

One of the first things that the Change Team did was to use the Public Safety Model Systems-Approach Lens to review their goal and get a sense of how their entire organization could be affected by PREA implementation. Here are their results:
Organizational Culture

- Message to send to staff is zero tolerance, must report; "It's the right thing to do"
- Have to leave out personal opinion/bias, must report regardless.
- Staff have to have buy in to change the organizational culture; Staff have to have buy in to report.

Leadership

- Need top down approach, buy in from executive staff, wardens, front line supervisors, trainers, and line staff
- Wardens need to reinforce message by supporting supervisors. Make sure message gets to all staff (ex: third staff staffing)
- Training staff need to be carefully selected - trainers need to buy in; On-the-job trainers need to re-enforce message

Strategic Planning

- Safety & security of the institution – supports agency mission
- Shall incorporate goal into strategic plan

Workforce Focus

- Safer facility, safer workforce; because it's the right thing to do (gain)
- Will lose staff if they don't like new PREA implementation (loss)
- Folks who don't like change, not like new procedures

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- How do you know you have buy in? Feedback from staff

Stakeholder Focus

- Safer environment for clients
- Change/end code of silence
- Make reporting safe
- Half way houses and contract facilities

Operations Focus

- Safer work environment
- General PREA education for staff
- Know policy and reporting requirements
- Let staff know reporting obligation & how to report; Know CPP
- Training from first day on job through OJT plus required training course for all staff (including MH contract programs)
- Protocol in place when staff don't report as they are supposed to; Progressive Discipline

Measurement, Analysis, and Knowledge Management

- Pre-post test results to measure change in attitude (not to measure competency only)
- Initial increase in reporting will show staff and client compliance and buy in
- Increase in disciplinary actions for staff who fail to report incidents

The Change Team reviewed all of the information that gathered earlier to help them develop a comprehensive change plan, an implementation strategy, and an evaluation process with critical performance measures and outcomes. The plan was communicated to all staff and other stakeholders and offered many opportunities for people to get involved through feedback sessions, planning for specific interventions, and committee membership to review a variety of policies and practices that were affected by PREA standards.

Implement the Change Management Plan

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

Sustain the Change

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

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

INSTRUCTIONAL INPUT: 5 minutes

Change Roles

Say: Let's start with a brief synopsis of how the penguins organized people (I mean penguins) into Change Teams.

Louis, Fred, the Professor, Alice, and Buddy formed a team to look into what to do about their melting iceberg. They met a seagull, a scout, whose role was to fly ahead of the group of nomadic seagulls, explore the territory, and look for possible new homes.

When they told their colony about the possibility of a nomadic life, some got on board to form a planning team. Some became scouts. Others didn't get involved and some even

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sabotaged the change effort.

But when the scouts came back from exploring for a new home, their excitement was contagious. Penguin children helped support the scouts. A second group of scouts found a new home for the colony, and the colony moved to the new home and new lifestyle successfully.

In the next activity we will look at the four main roles in a change effort. They are:

- Change Leader
- Change Team
- Steering Committee
- Intervention Team

Ask: Which of the penguins fits the role of the Change Leader?

Response: Louis

Ask: Which of the penguins fits the role of the Change Team?

Response: Fred, the Professor, Alice, and Buddy.

Ask: Where do the scouts fit in? Or the penguin children? Or others who supported the change effort?

Response: (answers will vary).

Say: Steering Committee or Intervention Team are most likely answers, but which is which? The next activity will help you understand these team roles better.

Activity Change Roles Teach Back: 30 minutes

Timing and Purpose	
Activity:	20 minutes
Report out	10 minutes
Purpose:	To understand team roles.

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Note to Trainer:

- Participants work in teams. Trainer's discretion for determining which team will work on which role.
- Assign one role to each team: Change Leader, Change Team, Steering Committee, Intervention Team – if more than four teams, assign two teams to work on one or more change role.
- Participants use the Change Roles Teach Back page in their Manual and read through the section that contains their team's assigned role and discuss the questions at the end of the document.
- A copy of the Change Roles Teach Back sheet is included at the end of this module.
- At the end of this activity, participants will report out.

Say: You will be working in your teams and studying one of the four main roles: Change Leader, Change Team, Steering Committee, and Intervention Team.

Let's turn to the **Change Roles Teach Back** document in your manual, find your role, and read through it. Then discuss, in your team, these four questions found at the end of that document.

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

[Trainer: copy of document follows:]

Change Roles Teach Back

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

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

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

- Selecting the Change Team members or participating with the most

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

Change Team-Works with the Change Leader, deciding how the change is managed and who is involved in planning and implementation. Members should be:
- Well connected.
- Interpersonally competent.
- Influential with their peers and others.
- Diverse, representing different disciplines and levels in the organization.

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

Effective Change Teams tend to follow a transformational approach to organization and leadership philosophy.
- All voices are equal on the change team, regardless of position.
- Evidence-based practices and data-driven decisionmaking are the rule, not the exception.

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

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

Steering Committee-May be formed to provide support to the change team in larger, organization-wide impact efforts. They can be used to engage various stakeholders to increase support for the change effort, to run interference with

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those who may wield negative influence, and to increase information. Membership often includes:

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

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

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

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

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

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

[Trainer: Facilitate report out of their responses to questions on the document, key learnings, clever ways of remembering their team role, anything else trainers pick up from eavesdropping on teams.]

Say: Now that you know more about the roles involved in a change effort, let's think back to those penguins again. We know that Louis was the Change Leader, and his Change Team included Fred, the Professor, Alice, and Buddy.

Ask: What role did the scouts play?

Response: (Maybe Intervention Team -researching a new

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home).

Ask: What about those penguin children?

Response: (Maybe Steering Committee – in engaging support for the change and the scouts).

Say: Now that we have learned about the various roles that can be used in change efforts, let’s take a look at how the people who fill those roles can get organized into teams to be as effective as possible.

INSTRUCTIONAL INPUT: 15 minutes

Say: Spending some time when a team forms to organize people pays off in increased productivity and decreased conflict and disagreement. Teams are about people and penguins. Everyone is different. The better the team works together, the better the outcome. But teams, just like our penguins, can get derailed at any point.

Team Dysfunctions

Say: Patrick Lencioni, who has studied team behavior for many years, offers insight into ways of dealing with derailing issues that he calls dysfunctions. These team dysfunctions form a pyramid. Teams start at the bottom of the pyramid and work their way up, level by level, as they master each one. Starting from the bottom these dysfunctions are:

Absence of Trust, Fear of Conflict, Lack of Commitment, Absence of Accountability, and Inattention to Detail.

Ask: What do you think is meant by the **Absence of Trust** dysfunction? *[Allow time for participants to call out items for each dysfunction then add]:*

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Say: Absence of trust is not having trust at a deep level, not being willing to share vulnerabilities and accept others without a secret agenda.

Ask: What do you think is meant by the **Fear of Conflict** dysfunction?

Say: Fearing conflict inhibits arguing ideas with passion. It creates an artificially harmonious climate that may be somewhat hostile. People may agree to something without believing in it because they don't want to rock the boat, and then sabotage the agreement later.

Ask: How about the **Lack of Commitment** dysfunction?

Say: Lack of commitment results in not doing what is best for the team or the greater good, but rather getting stuck on short term personal wins and one's own immaturity.

Ask: The **Avoidance of Accountability** dysfunction?

Say: When team members avoid accountability, they aren't willing to take responsibility for failure, and often assign blame to their leader or other team members.

Ask: The **Inattention to Results** dysfunction?

Say: Not knowing what success looks like, or why or how to measure success to determine when the group is off track is the basis of inattention to results.

More can be found on these and other team development topics in the *APEX Resources Directory Volume 2.* A copy of these dysfunctions in more detail can be found in the manual. *[Trainer – a copy in more detail is at the end of this module].*

Now that you know more about the roles in a change effort, and the dysfunctions that may affect a team, it's time to begin

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organizing change teams.

GUIDED PRACTICE: 20 minutes

Team Development

Activity: Team Development

Timing and Purpose	
Activity:	20 minutes
Purpose: To begin organizing the teams and planning strategies to deal with the storming stage.	

Say: Turn to the document **Team Development** in your Participant Manual and follow the instructions:

1. Choose the following team roles:
    a. Chair.
    b. Co-chair.
    c. Recorder/Secretary.
    d. Any others.
2. List responsibilities for each of the team roles.
3. Create at least 3 ground rules for working together as a team.
4. Identify strategies to deal with teams when they are dysfunctional.

[Trainer: copy of worksheet is below:]

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Team Development

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

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

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Ground Rules

Create at least 3 ground rules for working together as a team.

Team Development

Identify at least 4 strategies to deal with teams when they are dysfunctional.

Say: Now that you have started getting organized as a team, it is time to look at what could make your team more successful.

Enhancing the Teams

Activity Enhancing the Teams: 20 minutes

Timing and Purpose	
Activity:	15 minutes
Report out:	5 minutes
Purpose: To determine who else and what resources are needed by the teams.	

Say: Our penguins each had a different personality with different strengths, knowledge and skill sets. How do you get the right people on your team?

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Spend some time thinking about what makes a good team member, look back at your penguin cards, pull out the Public Safety Model with the domain questions to serve as a focusing lens, and then look at who else and what else you may need to enhance your chances of success.

Turn to the **Enhancing the Team** worksheet in your manual. Think about what your team may be missing that will become necessary as you work on creating and implementing your change effort plan.

- Identify the necessary skills and knowledge.
- Identify people who have these skills, knowledge, and connections, and
- Decide who you will invite to join the team.
- What else do you need to become a fully functioning team?
    - o Any resources?
    - o Time?
    - o Work space?
    - o Anything else?

[Trainer: copy of form is below:]

Enhancing the Teams

Part One: Skills and Knowledge Matrix

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

Skill or Knowledge	**Team Members with this Skill or Knowledge**	**Adequate Coverage; Any Gaps?**	**Who Else has This?**	**Who to Invite to Team?**

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Meeting facilitation	EC, TV, EH	No gaps		
Developing performance measures	NC, SW	Would like 5 to have this skill	Data Analysts; Researchers	MJC, ER, TW,

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

- What resources?
- Time away from your regular duties?
- Work space?
- Anything else?

[Trainer: give time to work, then facilitate report out]:

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Say: We will now hear a brief report out of one or two skills or knowledge you would like more of on your team and who you are thinking of inviting to join you.

[Trainer: after report out:]

Say: Now that you have a start on team structure, some ideas on who to add to the team and what other resources you might need, let's take a look at some more ways to encourage team success.

[Trainer: if not doing any of the optional activities that follow, please skip to the Module Close/Transition.]

OPTIONAL ACTIVITIES

What is a Change Agent

Optional Activity What is a Change Agent?: 25 minutes

Timing and Purpose

Activity:	10 minutes
Activity Report Out:	5 minutes
Sorting/Clumping:	10 minutes

Purpose: To apply the concept of change agent and their functions to participants' agency change effort.

Preparation: Two sheets of chart paper, markers, and scissors for each team.

Say: When you go back to your agency after this training, you may find yourself in the role of **change agent**. We can define a change agent as someone who helps bring about change; someone who helps others achieve something new.

Change agents play many roles in organizations and in change efforts.

Ask: What comes to mind when you hear the words change agent?

Response: (Mention those listed below if not offered by participants:)
- Communicate.
- Network.
- Facilitate.
- Educate.
- Coordinate.
- Engage others.
- Develop goals and objectives.
- Help design change efforts.

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- Monitor implementation plans.
- Ensure sustainability.

Say: Let's get a sense of what change agent means for you as you begin work on your change initiative. For this activity you will work in your teams. Each team will get two sheets of chart paper. At the top of each piece you will write one of two questions. Once a question is written for each piece of chart paper, participants will write their responses to the questions on chart paper.

The **first** question is: What does the term **change agent** mean in your agency/system?

The **second** question is: What roles do you see change agents playing?

You will have ten minutes to gather your ideas on the papers. Your team will then choose the top **five items** for each question – the most important functions that change agents provide during planning and implementation.

You have 10 minutes to do this and then we will hear your results.

[Trainer: give time and then facilitate report out].

Say: We will now hear your team's top five functions.

[Trainer: once report out is complete:]

Say: We'd like you to cut out your top five ideas from each chart. On this blank wall, we will sort all the items. Try to clump together items that are virtually the same. Leave those that are different as stand-alone items.

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Note to Trainer:

- Allow about 10 minutes for sorting.
- As teams are working on sorting help them clump together items that are the same, and keep items that are separate in their own space.
- While teams are sorting trainer may determine titles/headings for the clumps (or let teams do that if time allows). Write headings on a sheet of paper and hang over the appropriate clump.

[When all are sorted] **Say:** Let's take a look at how you've organized this information by reviewing the sorted information. Let me know if the right information is in the correct place.

[If allowing team to determine headings, after reading a clump, ***Ask****]:* **What heading could we generate for this clump of information?** *[Otherwise, write your headers at the top of each clump].*

Say: You have now developed a set of change agent functions for your agency. This list can inform your change effort work and future efforts. Take a look around your team and see if team members are comfortable with these functions. If not, you may want to revisit your skills and knowledge matrix and add some of these to it.

[Trainer: Transition to the next optional module or to the Module Close/Transition.]

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Change and the Tipping Point

Optional Activity Change and the Tipping Point: 25 minutes

Timing and Purpose

Time:	25 minutes
Briefing:	5 minutes
Activity:	10 minutes Large Group
	5 minutes Teams
Activity Report Out:	5 minutes

Purpose: To teach participants about the Tipping Point concepts and give them an opportunity to apply them to their change effort.

Note to Trainer

- This is done in large group.
- Determine three corners of the room that will hold a group of people. You may want to write the following names on paper signs to tape to those corners of the room: Mavens, Salespeople, and Connectors.

Say: The purpose of introducing T*he Tipping Point* is to help change leaders and teams choose people to join in the project and to begin thinking about the messages and how to make them memorable. Have any of you read this book?

The tipping point is when something—a trend, a new product, or anything different from the status quo--quickly catches on and is adopted by many. Often, there is no big thing that happens; little causes can have big effects!

This is similar to the hundredth monkey effect: New learning moves instantly from one group of monkeys to all related monkeys after a critical, but somewhat mysterious number is reached. Dramatically, there seems to be a moment when everything changes at once!

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According to Malcolm Gladwell in *The Tipping Point: How Little Things Can Make a Big Difference*, there are three driving forces of change:

- The law of the few.
- The stickiness factor.
- The power of context.

The **Law of the Few** says that there are three types of people who make good change agents because they have significant influence with others:

- **Connectors**. A handful of people who have an extraordinary knack for making friends and acquaintances.
- **Mavens**. These individuals spread the word throughout the organization about the change efforts because of their knowledge, social skills, and ability to communicate.
- **Salespeople**. I know, this isn't a term we use in Corrections very much. But what these people can do is very useful in helping others get on board with change efforts. These individuals have an indefinable trait that goes beyond what they say, which makes others want to agree with them.

Twenty percent of people make 80 percent of the difference.

- Finding those people who make the greatest difference is the best way to get started.
- Identifying and engaging the connectors, mavens, and salespeople within the culture will take the change effort forward exponentially.

The **Stickiness Factor** means that the message content is so clear, crisp, and memorable that people find it easy to keep in mind and share with others. The more practical and personal, the more people will remember it. Remember this when we get to Communications Planning later in this workshop.

The **Power of Context** is this: People are aware of, sensitive to, and responsive to their environment. Successful change efforts are based on implementation plans that consider the concept that little things matter.

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Think about the Broken Window theory. When someone breaks a window and no one repairs it, people assume that no one cares and no one is in charge. More windows will get broken. People begin to think that it is OK to do anything: graffiti, panhandling aggressively, mugging, and so on. Fix the small things and people think that someone does care and is in charge.

I want to share a little story: Once when waiting for a train late at night in Dublin, Ireland, an announcement was made that the train would be late, very late. The conductor had found some youths spray painting graffiti on the train. Passengers waited over an hour while the train was stopped and the youths cleaned up the graffiti. They understood the power of context in Dublin! *[Trainer: If you are not comfortable with this story, please include an illustrative story of your own or change the city].*

Next, we are going to ask you to use the **Law of the Few** to identify the value that each of you brings to change efforts and to begin to identify who in your agency might fit in the maven, connector, and salesperson categories.

Let's see who we have in this room. Just think about this for a minute. Who would you most like to be in this change effort? A Maven? A Connector? A Salesperson?

This is the corner where the Mavens will land. That one is for the Salespeople, and the one over there is for the Connectors.

Move to the corner that you feel most represents which of these roles you would like to play in this change effort.

Ask: *[Allow time for participants to choose corners, then* ***Ask****]*: In these groups, what value do you bring to the change effort?

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Response: (Allow time for a few reports from each group).

Say: Now get back into your teams. Do you have Mavens, Salespeople, and Connectors on your team? If not, spend a few minutes discussing how to balance your team:

- Are there any team members who would be willing to take on learning how to be a Maven, Salesperson, or Connector?
- Who else (from outside of your team) would be able to balance your team with their knowledge, skills, and connections?

We will report out key learnings from this activity.

[Trainer: Facilitate report out, then Transition to the Module Close/Transition.]

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MODULE CLOSE / TRANSITION: 5 minutes

Say: In this module we worked with change experiences through a Change Process Activity, looked more deeply into the parable *Our Iceberg is Melting* to discuss how it is applicable to your agency's change efforts, and briefly identified some principles of Change Management, which will be covered in more detail in coming modules.

You will have the opportunity to work with this process over the next couple of days as you begin to develop the Implementation Plan for your agency's change management effort.

This module has also focused on the roles involved in a change team, and getting teams organized to do work together. This applies to temporary teams, like your change teams, as well as permanent work teams.

This is also about enhancing teams. Defining the roles of a successful change agent and the importance of the tipping point model in a change effort are included in this module for additional work in this area.

Key Points:

- There are a variety of roles that people can take in any change process – even the No No's can add value.
- Participate in the planning process.
- Participation trumps buy in.
- Think about sustainability early in the change management process.
- All teams go through stages of development, and all stages must be experienced by the team members if the team process is to be successful.

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- Reviewing the skills and knowledge needed to get the team's work done can lead to invitations to new members and more successful planning and implementation.
- A team can overcome team dysfunctions by practicing the behaviors that will counteract each one.
- Optional: Change agents possess particular skills that can enhance any change team's efforts.
- Optional: Understanding what drives change can facilitate success – The Law of the Few (Mavens, Salespeople, and Connectors, The Stickiness Factor, and The Power of Context.

If the case study is used:

- Understand how the Change Management Process and the Public Safety Model Lens work together to facilitate change efforts.

See Chapter 5 in the *APEX Resources Directory Volume 2* for more information on team development: http//nicc.gov/Library/025303.

Reference:

Gladwell, Malcolm*. 2000. The Tipping Point: How Little Things Can Make a Big Difference.* New York: Back Bay Books.

Lencioni's Team Dysfunctions

Absence of Trust dysfunction:

- Outstanding teams have members who trust each other at a deep, fundamental level.
- This is not *predictive* trust, in which someone's behavior is known so well that others can predict that person's reaction when certain buttons get pushed.
- In this case, trust is an ability to share one's vulnerability, to say one doesn't know, and to ask for help and recognize weakness.
- The best teams are those that can accept members as adults, with no baggage, no subterfuge, and no secret agendas.

Fear of Conflict dysfunction**:**

- Only a team that has mastered mutual trust can be free to argue about important issues in a constructive, productive way.
- People can be passionate about their ideas without damaging the self-esteem of others or alienating relationships.
- A healthy climate for conflict requires openness to objection and debate and is neither openly hostile nor artificially harmonious.
- Fear of conflict can cause people to agree in the team setting and then sabotage the agreement when the meeting is over.
- When conflicts can be resolved effectively, teams are free to address commitment issues (see next dysfunction).

Lack of Commitment dysfunction:

- Teams that can mix it up and debate on an issue can agree to a consensus even when everyone may not be pleased from an individual perspective.
- A well-functioning team will always be committed to the team effort and will do what is best for the greater organization's team, even at the expense of sacrificing a short-term win for a smaller part of an organization, a unit, or a person.
- This reflects a personal maturity level that takes considerable work.
- After all of the ideas are put out on the table and everyone understands where the minority views lie, all commit to do what is best for the team.

PRESENTATION GUIDE **TRAINER NOTES**

Avoidance of Accountability dysfunction:

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

Inattention to Results dysfunction:

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

More can be found on these and other team development topics in the *APEX Resources Directory.*

Lesson Plans

Program:	APEX Change Team Training
Module 4:	Agency Assessment: Laying the Groundwork for Change
Time:	2 hours 30 minutes

Overview

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

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

Performance Objectives

Participants will be able to:

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

Preparation

- Trainer should take the screener prior to the training.
- Read the Screener chapter in *Applying the APEX Tools for Organizational Assessment*.
- Remind the agency that participants need to bring copies of their Screener to the training workshop.
- Be prepared to add stories from your own experience that fit some of the sections.
- Prepare chart for environmental scan large group exercise.
- Give each group a blank sheet of paper for their own Sustainability Parking Lot.

Development Date: 03/24/2013

Revised: 07/30/2013

Note to Trainer:

- Screener debrief: Be especially clear about the scatter plot – Chart B – it can be challenging to understand.
- Environmental Scan and Analysis**:** There is a large group exercise and a team activity.
- Stakeholder section: Trainer choice – can do as a team activity as it is written or as a large group discussion. Chart paper will be needed.

Timing:

Anticipatory Set: 10 minutes
Instructional Input: 10 minutes
Instructional Input: 20 minutes
Screener debrief: 40 minutes
Instructional Input: 5 minutes
Environmental Scan and Analysis: 35 minutes
Stakeholder Identification and Analysis: 25 minutes
Module close: 5 minutes

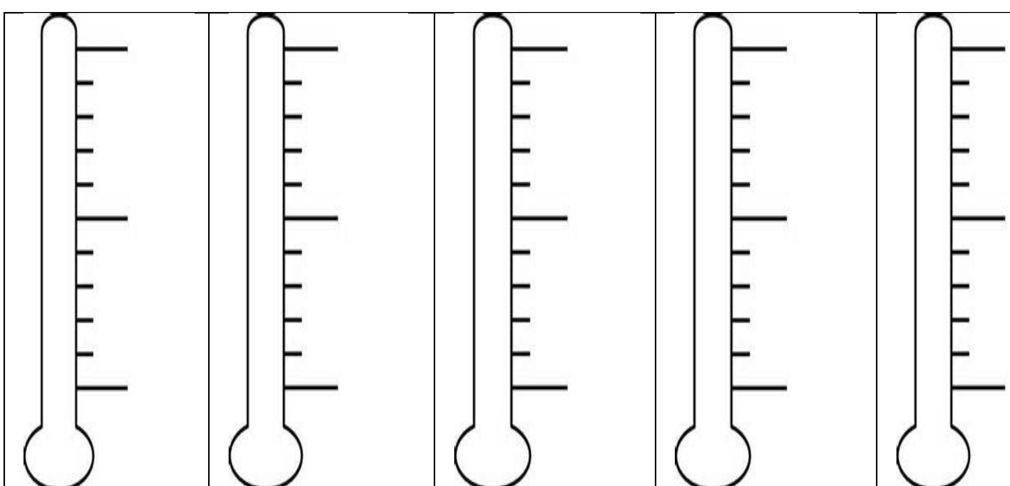
ANTICIPATORY SET: **10 Minutes**

Say: This module includes several tools that will help you analyze your agency's performance and plan for your change effort. Some of the areas that might have an effect on a successful change effort include: Laws and Regulations, Agency Assessment, Political Climate, Community, and Stakeholders.

Take a look at the *How Hot is Your Change Effort* worksheet in Module 4 of your Participant Manual. You'll notice that there are five different thermometers. Color in the thermometers for the DEGREE of impact you think these concepts have on creating a successful change effort.

Once you've completed your thermometers, find a team member to compare thermometers with. Note similarities and differences.

Discuss those you are not in agreement with—make a case for your opinion and see if you can come to agreement.



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

INSTRUCTIONAL INPUT: 10 minutes

Agency Assessment: Formal, Informal, Internal, and External Assessment.

Say: The better the planning—the better the results. Assessing the agency's need and capacity for change creates the groundwork and sets the tone for planning the change effort. The more care you take here the better facilitated the later stages are.

This stage in the process looks at the organization's operating environment, the conditions requiring change, and the agency's readiness to take it on. It is about gathering information to inform and drive planning, as well as gathering new information from outside sources. And it is about beginning the process of planning itself—looking at the data gathered and starting the process of deciding how to create the next steps for the agency

Ask: What is causing the agency to think about changing? How was that determined?

Response: (may vary).

Ask: What internal review have you done during the initial stages? What else did you do – any assessments or surveys?

Response: (may vary).

Say: A variety of tools may be used for Agency Assessment, including:

Formal Assessments:

- Quantitative Assessment Tools, such as the Screener.
- Security, Safety, Accreditation, and Other Audits.
- Level of trust within the organization.
- Gauging the agency's readiness/ willingness to change.
- Whether the leadership is committed.

- Focus groups.
- Surveys.

Informal Assessments:
- Keep Drop Create.
- Environmental Scan.
- Surveys.

Internal Assessments:
- Policy, Procedures, and Work Processes Review.
- Staff and other Stakeholder Survey / Analyses.
- Whether the leadership is committed.
- Surveys.

External Assessments:
- Environmental Scan.
- Staff and other Stakeholder Survey / Analyses.
- Surveys.

Ask: How have past efforts determined how ready the organization/facility/department was for change?

Reponses: (may vary).

Say: This is especially important when the reason for change is public or political pressure to **do** something. The APEX Screener can be used to assess readiness for change.

Ask: What other quantitative assessments have you used, if any?

Responses: (may vary).

Say: The APEX Resources Directory Volume 1 contains numerous assessment lists, all categorized with respect to domains.

Ask: What additional information sources have you used? How do you usually identify key stakeholders who could have an impact on the topic of this change effort? Have you led any focus groups to gather information? What types of surveys have you used?

Response: (may vary).

APEX Screener

INSTRUCTIONAL INPUT: 20 minutes

Say: The first agency assessment we are going to look at is the Screener.

Ask: What was it like to take the Screener—was it easy, challenging? Were some answers hard to figure out? What made it challenging?

Note to Trainer:
The scatter plot/Chart B explanation needs to be clear as it can be confusing to read for some participants.

Say: All of you have had the opportunity to take the APEX Screener and were asked to bring your report with you today. We are now going to go over the results. Not only are we asking you to participate in the discussion, we are also asking you to pay attention to how the debrief of the reports goes so you can help others in your agency when they take the Screener.

The Screener looks at Organizational readiness for change, and takes a brief look at organizational performance through the APEX Public Safety Model domains and the concepts of strategy and engagement.

It has been tested by people working in correctional agencies from all sectors: jails, prisons, and community corrections. Scores were compiled and analyzed to produce agency averages for each sector, so that people can see how their answers compare to those from the same sector of corrections.

The Screener Report is designed to provide a starting point for discussions about change and consists of three charts:

Chart A is about Organizational Readiness and compares the user's responses to the average from respondents in same-sector organizations.

Chart B is about **Strategy** and **Engagement**, and compares the individual's combined scores for strategy (strategic planning, measurement, and operations focus domain items) and engagement (stakeholder focus, measurement, and workforce focus items) to the same-sector respondents.

Let's talk a bit more about Chart B and the concepts of Strategy and Engagement.

Strategy is about how well an agency has developed its mission and vision statements, relates people's work efforts to goals that achieve mission and vision, is able to measure how well the goals are achieved, uses a systems-approach to planning, and has capacity to develop, implement, and sustain strategic plans.

Engagement looks at how much the agency is involved with stakeholders, including workforce, suppliers, clients, supporters, other agencies, their governance structure (county board, governor's office, parole board, etc.), the public and the media, and how well the agency shares information with stakeholders and provides opportunities for stakeholders to give feedback.

Some agencies possess a higher level of strategic awareness; others are doing a better job at engagement. High-performing organizations develop high levels of both.

Chart B shows if the organization is stronger in one of these two dimensions. Any significant imbalance in the organization between strategy and engagement will have implications in terms of impediments to successful change. People can identify strategies to deal with potential constraints to successful implementation.

Chart C: Organizational Preparedness can provide a sense of how prepared an agency is to take on a change effort. This score can give an idea of whether the agency is "doing corrections right"; that the basic elements of safe and secure supervision and settings are in place and functioning well. These elements include:

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

Chart C provides an opportunity to discuss what needs to be done to go from where you are today to get ready for undertaking the change effort. Let's look at the five possible preparedness results: Reconsider; Work on Preparations; Consider; Proceed Carefully; and Ready to Go.

If everyone on your team is in agreement that you are "Ready to Go", then GO! If not everyone is in agreement on this (and that is usually the case!), this is an opportunity to take a thorough look at the "Yes/No" questions, numbers 15 through 24. These can provide clues for things to consider as you move forward with the change effort.

A point to keep in mind is that the Screener can be taken again to see what progress has been made and to compare results over time.

Activity: Screener Debrief: 40 Minutes

Timing 40 Minutes Total

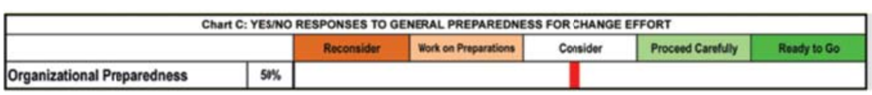
Activity Set Up	10 minutes
Activity: Comparing and Contrasting Screener	20 minutes
Activity Report Out	10 minutes

Purpose: To look at participant's own experience with the Screener.

Note to Trainer:

- Debrief options include having participants work in small self-managed groups or a large group discussion. If doing small groups, ask groups to talk through the Screener Debrief FAQ's, which can be found in the Participant Manual and at the end of this module. If doing a large group debrief, facilitate a discussion with the same questions.
- Check in with small groups frequently to make sure their questions about the Charts are answered. Pay special attention to their discussions of Chart B.
- At the end of the small/large group debrief and discussion, ask the following questions leaving time for discussion of each question.

Screener Debrief in Small Groups



Say: Now it is time to talk about your experience with the Screener and review your screener report.

It can be useful to walk through the individual items, sharing their respective scores and reasons for scoring, looking for patterns, noting consensus and diversity on high and low-scoring items.

[Trainer: For report out, after the groups have finished their

discussions, ask the following questions in large group:]

- What surprised you?
- Which questions' scores show some consensus across your group?
- What questions show some diversity on high and low scores?
- What did Chart B (the scatter plot) tell you about your agency/facility?
- What did you discover from reviewing Chart C?
- How ready is your agency/facility to change?
- What suggestions do you have for next steps?
- What are some key things you've learned from this?

INSTRUCTIONAL INPUT: 5 minutes

Say: Now we're going to assess the environment beginning with one short exercise and then the Environmental Scan.

The External Environment

Say: If you took a minute to close your eyes and pay attention to everything around you, you would be focusing on your personal external environment. When your eyes are open your visual sense dominates and you see what is happening on one level, but the other senses, what you touch, taste, smell, and hear, are also important indicators in your personal external environment.

[Trainer may want participants to try the above brief exercise if time permits.]

When we are in the assessment stage of a change effort, we want to take a look at what is going on in the agency's external environment. In the agency's case, this involves anything that is outside of the agency itself.

Ask: Why look at the external environment? What do you think? What can we learn from the environment?

Response: (may include: these things could get in the way of accomplishing our goal; we have a responsibility to our communities, state, etc.; it is good to know what is happening in our field).

Say: Just as your different senses affect your personal environment, there are different factors that affect your agency and are found in the external environment. Here are four that we are going to ask you to work with today:

- **Community**--state, region, jurisdiction, population, demographics, human services, criminal justice.
- **Industry/Correctional**—industry-wide trends, practices, technologies.
- **Political**—governing bodies, legislation, funding sources, support for corrections.
- **Regulatory**—agencies, trends, rules.

We want you to take a look at what is going on in each of these areas. It can be tempting to just list stakeholder groups here, but go beyond that and identify what is changing, increasing, decreasing, getting better, getting worse, innovations, new legislation or regulations, etc.

Activity: Environmental Scan: 35 minutes

Timing and Purpose

Activity	20 minutes
Activity Report Out	15 minutes

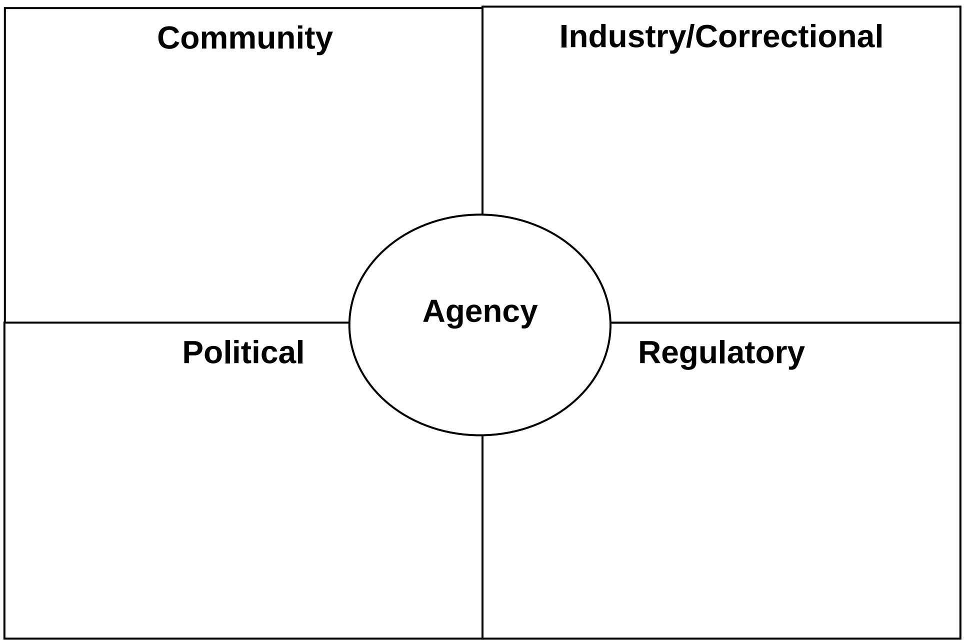
Purpose: To conduct the environmental scan and analysis.

Note to Trainer:

- Walk around the groups and remind them that they need to be looking outside their agency – at the environment.

Say: Turn to the **Chart for Environmental Scan** in Module 4 in your Participant Manual. *[Trainer: Chart is included here.]*

Chart for Environmental Scan



Say: Using the chart as a place to capture your thoughts, we are going to do a quick **environmental scan** about your agency's external environment with respect to your topic/change goal. You will be working in your teams. (You will probably want to allow more time than we are using when you do this in your agency).

As you work through this, remember that we are looking at the larger environment, **not** things that are inside your agency. This can include the State of X, X County, legislation at the state or federal level, new client interventions and treatment programs, correctional trends, changes in sentencing, etc.

With your chart in front of you, spend a few moments noting things in each of the environmental categories. Ask yourself these questions:

- What is happening?
- What is changing?
- What trends do you see?

Once you have jotted down a few things in each category, share this with your team members. Create a common chart for your team.

Identify the top 5 items from the scan that could have the most impact on *your team's change effort topic*. You don't need to rank the items 1 through 5, just list the top 5.

Note what the impact(s) could be for each.

[Trainer: Allow about 15 minutes for groups to work together].

Now let's briefly report out from each group—what are your top 5 items and their impacts?

[Trainer: After all groups have reported ***Ask]*****:** What similarities do you see? What differences? How might we use this chart to plan for success?

Response: (Answer if not already mentioned: We can use it for ideas that could arise during implementing and sustaining your change plan and turn into barriers or challenges to success.)

Say: We will ask you to refer back to these charts as you work on implementation and sustainability later in the training.

Say: Identifying and assessing key stakeholders is an important part of preparing for a change effort. We want you to think about all of your agency's stakeholders, both internal and external.

Activity: Stakeholder Identification & Analysis: 25 minutes

Timing and Purpose:

Set up	5 minutes
Activity	20 minutes

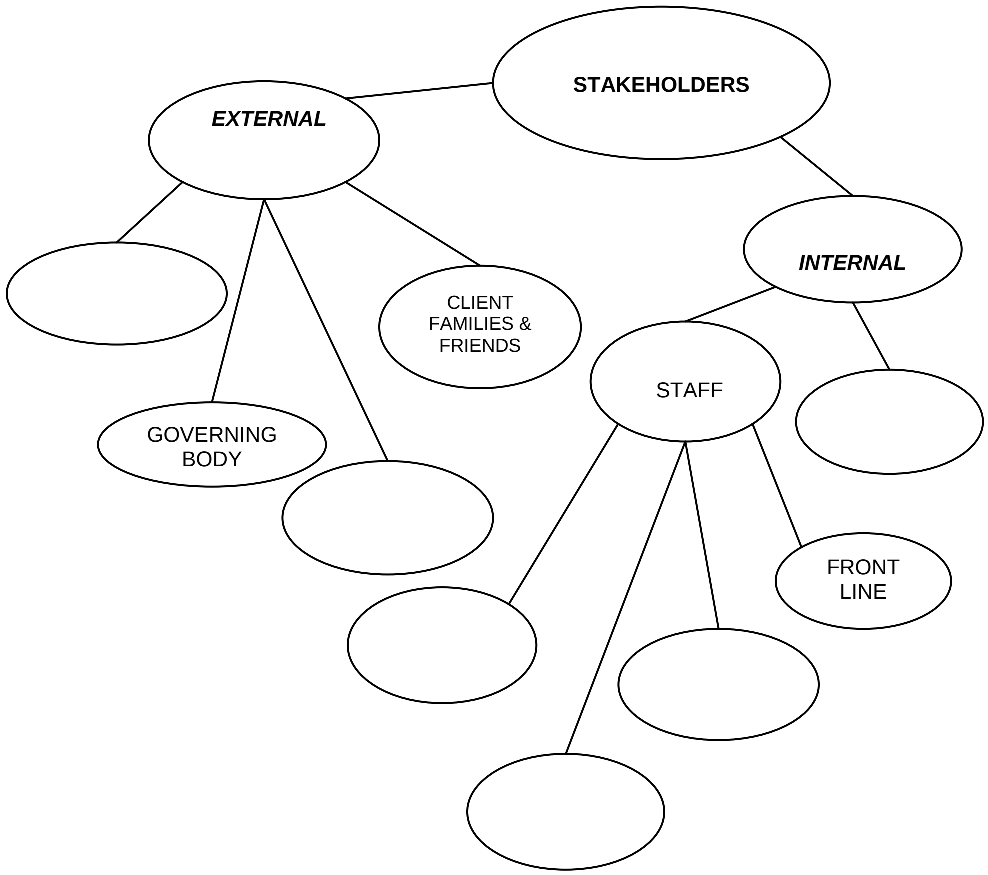
Purpose: To use a web to help identify stakeholders.

Note to Trainer

- The purpose is to identify stakeholders and how they might impact change efforts.
- Stakeholder web copy can be found at the end of this module
- Trainer choice – you can do this in small groups, as is written here or as a large group activity with trainers drawing the stakeholder 'web' on chart paper and scribing.
- Be sure to emphasize the importance of not overlooking or underestimating stakeholders. This is in bold in the text.

Say: For this activity you will use the Stakeholder Web worksheet in your Participant Manual and fill in the blank shapes and add new ones. The lines show stakeholders that are subcategories of the ones they are linked to, as in the example – FRONT LINE is connected to STAFF, which is connected to INTERNAL. You may decide to draw the web on chart paper so it is easier for all team members to see it, and then transfer the information to your Stakeholder Web.

Please note, that it is very important to be thorough in listing stakeholders. **When you overlook or underestimate a stakeholder it can lead to derailment of a change effort.**



Say: Once you have identified as many stakeholders as you can think of, prioritize them to determine who the **key** stakeholders are. Ask yourselves**: Who could have the most impact on the change effort?** Mark those stakeholders with an asterisk or number them in order of importance.

For each key stakeholder, briefly describe what their potential impact on the change effort might look like.

We will report out your findings in about 15 minutes.

[Trainers – for the report out, ask each group to report out one or two – depending on how long it took teams to work through 3 or 4 key stakeholders.]

Say: I would like you to share your findings this way. One team will report out on two key stakeholders and their potential impacts. The next team will choose two different stakeholders and report; etc.

MODULE CLOSE / TRANSITION: 5 minutes

Say: This module has given you a chance to experience a number of the tasks that can be found in the planning and assessing phase of a change effort. These include:

- Brainstorming items in the environment that may impact your goal/change effort and determining which are most important to your team's topic.
- Learning about how your Screener results compared to others in your agency and what that may mean for readiness for change.
- Looking at your agency's experiences during previous change efforts and noting what you need to pay attention to in this change effort.
- Identifying and assessing key stakeholders.

Key Points:

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

Lesson Plans

Program:	APEX Change Team Training
Module 5:	Define the Goal
Time:	1 hour 35 minutes

Overview

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

Performance Objectives

Participants will be able to:

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

Preparation

- Write an example of a goal in the SMARTS format on chart paper for use during the SMARTS goal activity – see page 7. Here is an example if needed:

  "Our goal is to develop a standardized, more dignified, confidential, and efficient reporting method for staff, clients, their families, and outside agencies to be implemented by 11/1/13."

Development Date: 03/24/2013
Revised: 10/21/2013

PRESENTATION GUIDE **TRAINER NOTES**

Note to Trainer:

- Have scratch paper and pens/pencils available for anticipatory set.
- Use the agency's topics (if workgroups are working on real topics) or the one used in the Public Safety Module activity (if this is a guided practice).
- Participants will work through the Define the Goal worksheets in their Participant Manuals in their workgroups.
- Check in regularly to see if groups need any help with the goal statements.

Time:

Anticipatory Set: 5 minutes.
Instructional Input: 5 minutes.
Activity: Defining the Goal: 20 minutes.
Instructional Input: 10 minutes.
Activity: SMARTS Goals: 20 minutes.
Instructional Input: 5 minutes.
Activity: Elevator Speech: 25 minutes.
Module Close: 5 minutes.

ANTICIPATORY SET: 5 minutes

I Googled “vague goal” and this quote came up:

When I sit down to write a song, it’s kind of an improvisation, but I formalize it a bit to get it into the studio, and when I step up to a microphone, I have a vague idea of what I’m going to do. – Paul McCartney

Paul McCartney did write some amazing songs, and had incredible success. However, in this module we are NOT going to follow in his footsteps.

INSTRUCTIONAL INPUT: 5 minutes

Timing and Purpose

Defining the Goal 20 minutes
SMARTS Goals 20 minutes
Elevator Speech 25 minutes

Purpose:
To write a clearly defined goal statement using the SMARTS format, refine the goal and create and share an initial elevator speech.

Note to Trainer

- Have chart paper available for groups.
- Participants should have a topic, or use the same topic from previous activities, PSM etc.
- Participants will need the Define the Goal worksheets from Participant Manual for all three linked activities.
- Participants work in their teams.

Define the Goal

Say: Defining the Goal is the process of getting very clear about what you want to **focus** on in your change effort. When your focus is clear and everyone knows what the change is for, it is easier to get everyone on board and gain momentum for your change effort.

In this module you will:

- Learn to narrow down your goal through a series of questions and then make sure it has the SMARTS goals elements.
- Craft an elevator speech to communicate about these goals, objectives, and why change is necessary.

GUIDED PRACTICE: 2**0 minutes**

Say: Turn to the **Define the Goal** worksheets in Module 5 of your Participant Manual. You will work through and answer these questions to help you think about the goal:

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

Say: You will have about 20 minutes to work on this. First, write your initial goal at the top of the page.

[Trainer: give participants 20 minutes.]

Say: You should now have a modified goal. Please write that down on the first page of your **Define the Goal** worksheets.

[Trainer: copy of first page is below:]

Define the Goal: Developing and Articulating the Goal

Write the Initial Goal

Conduct a Goal-Focusing Discussion

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

Write the Modified Goal

INSTRUCTIONAL INPUT: 10 minutes

Developing SMARTS Goals

Say: The six elements for SMARTS Goals, a way to write better goals, are:

- **Specific:** easily understood and specific to what will be accomplished.
- **Measurable:** easily measured so that there is no question as to whether it has been achieved or not.
- **Achievable:** achievable and not too difficult or too easy.

- **Relevant:** relevant, support the agency's mission and aligned with the future vision.
- **Time limited**: specific deadlines for completion.
- **Shared:** reinforce commitment and clarify direction and purpose.

Before we start to further refine your goal, let's look at a simple example. Say someone wants to set a goal to **stop drinking**:

Ask: How could we make this more **specific**?

Response: (examples: Are we talking about alcohol or hot chocolate? To what degree? Only on weekends or after 9 at night or never?)

Ask: How could we make this **measurable**?

Response: (examples: The number of drinks per day/week/month?)

Ask: How could we make this **achievable**?

Response: (examples: Going cold turkey may not work—think in terms of steps, or support needed).

Ask: How could we make this **relevant**?

Response: (examples: Ask Why? What is the future vision? To decrease dependency? To lose weight? To sleep better?

Ask: How could we make this **time limited**?

Response: (example: Set a reasonable deadline/timeline).

Ask: How could we make this **shared**?

Response: (example: Could you find someone to articulate this with and see if it makes sense to them? Might they even be on board with you in your change effort?)

So our simple stop drinking goal might sound like this:

Specific: I would like to stop drinking ______________(what)
Measurable: as measured by _________________ (units)
Achievable: by ________________(mention steps or supports)
Relevant: because___________________ (mention reasons)
Time Limited: by___________________(set a deadline)

The last element, SHARED, (the last S in SMARTS), may not be as important in a simple personal goal like this, but it is critical when setting a goal for an agency embarking on a change effort. It is not written into a goal statement, but rather is ***how to verbalize the goal with those who will be impacted by the change effort***. It is sometimes called an elevator speech. We'll spend more time on this when you start to focus on your agency's change goal later in this module.

FYI – Here is an example of a SMARTS goal.

[Trainer: Have this goal on chart paper and hang it up now – "Our goal is to develop a standardized, more dignified, confidential, and efficient reporting method for staff, clients, their families, and outside agencies to be implemented by 11/1/13."]

GUIDED PRACTICE: 20 minutes

Say: Now take a look at your modified goal and run it through the SMARTS checklist. The important thing here is to end up with a goal that clearly states the focus of the change effort; outcomes can be measured; is enough of a stretch to be a challenge and yet attainable; lines up with the agency's mission and vision; is time limited and can be shared in a way that leads to sustainability.

Using the **Define the Goal** worksheets, run it through the SMARTS Goal Questionnaire. Then write down your Refined Goal on the worksheet. You will have about 20 minutes to do this.

[Trainer: Give 20 minutes to do this. At trainer's discretion, this activity can become an activity between two teams, each checking each other for SMARTS. See Instructions on worksheet. Copy is below:]

Develop the Goal Using SMARTS

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

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

SMARTS Goal Questionnaire

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

Specific. What will the goal accomplish? How and why will it be accomplished?
Measureable. How will you measure whether or not the goal has been reached (list at least 2 indicators)?
Achievable. Is it possible? Have others done it successfully? Do you have the necessary knowledge, skills, abilities, and resources to accomplish the goal? Will meeting the goal challenge you without defeating you?
Relevant. What is the reason, purpose, or benefit of accomplishing the goal? What is the result (not activities leading up to the result) of the goal?

Time Limited. What is the established completion date and does that completion date create a practical sense of urgency?
Shared. Support and engagement from other staff and stakeholders?

Write the Refined Goal Statement

____

____

____

INSTRUCTIONAL INPUT: 5 minutes

Elevator Speeches

It's a terrible death to be talked to death!" – Mark Twain

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

In this case the elevator speech is essentially your Refined Goal Statement, delivered in oral form. In a later module we will work with your elevator speech to target specific stakeholder groups.

Here is an example of an elevator speech for a goal designed to **improve agency culture**. Let's have someone time the speech while I'm reading it:

"Three months ago, we asked all employees to take the Organizational Culture Assessment Instrument as part of our performance improvement efforts. We were pleased with the number of you who took the time to do it and to meet with your co-workers to discuss the results and send a report to Deputy Director Rodriguez. She found the majority of staff would like our agency culture to become more clan-like. She has been appointed to lead an initiative to change our culture in this direction. A team of people will be chosen to coordinate this important change effort. Information about it is on our intranet site. If you have an interest in becoming a change agent and participating in this challenging and rewarding effort, you can send an email to her at . . ."

Say: So how long was it? *[Trainer: allow timer input.]* Not too long, but not too short either. Just the right amount of detail without overloading the listener.

An Elevator Speech checklist would include:

1. 30 seconds to 2 minutes in length.
2. Clear description of what you are talking about.
3. Why they (those targeted) should get involved.
4. How they could be involved.

Did our elevator speech encompass all the items on the checklist? *[Trainer: yes it did, but you may want to reread elevator speech so participants can double-check.]*

INDEPENDENT PRACTICE: 25 minutes

Elevator Speeches

Say: We'd like you to take 15 minutes to work on and practice your elevator speech in your teams. Time it, and then write it down on your Define the Goal sheet. Then choose someone to deliver the elevator speech for your team.

[Trainer: Give 15 minutes and then have individuals deliver the elevator speeches, approximately 10 minutes more].

MODULE CLOSE / TRANSITION: 5 minutes

This module has helped you create a clearly defined goal statement.

Key Points:

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

Lesson Plans

Program: APEX Change Team Training

Module 6: Build the Implementation Plan

Time: 2 hours 25 minutes

Overview

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

- Use the Change Management Process and the Public Safety Model in implementation planning.
- Begin to build an implementation plan for their change effort.

Performance Objectives

Participants will be able to:

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

Preparation

- Have chart paper available for teams to use.
- Familiarize yourself with the forms in the participant manual.
- Read Chapters 4, 5, and 6 in *Culture and Change Management: Using APEX To Facilitate Organizational Change.*
- Become familiar with how to develop key performance indicators (KPI's). One resource is *Measuring Up: Governing's Guide to Performance Measurement for Geniuses (and Other Public Managers)* by Jonathan Walters. Another is a You Tube video: *How to Develop Key Performance Indicators* by "virtualstrategist" http://www.youtube.com/watch?v=NCta6j5_FdM.
- Print copies of the performance indicator cards for KPI activity—one set per team.

Development Date: 03/24/2013

Revised: 10/21/2013

Note to Trainer:

- This continues the teams/workgroups work at building the foundation of their implementation plans. These activities can also be used as group practice, with teams working on an agency-identified topic with no expectations for staying together as a team after the training.
- Move around the room, checking in with groups, answering questions as they arise, helping groups stay on task, etc.

Timing:
Anticipatory Set: 5 minutes.
Instructional Input: 5 minutes.
Keep Drop Create: What is Happening Now: 15 minutes.
Review PSM: 20 minutes.
Vision for the Future: 50 minutes.
Instructional Input: 10 minutes.
Key Performance Indicators: 15 minutes.
Independent Practice KPI's: 20 minutes.
Module Close: 5 minutes.

ANTICIPATORY SET: 5 Minutes

Say: This is a story about a group of people who, without properly preparing for a change, discover that they end up doing something that none of them really want to do:

It was a hot afternoon in Texas. A family is sitting on the porch playing dominoes. Father-in-law says, "Let's go to Abilene for dinner tonight." Wife says, "Sounds good to me." Husband, who thinks that a 53 mile one-way drive in the heat Just to go out for dinner is a bit excessive, decides to keep his opinion to himself because the first two speakers want to go. He says, "OK. I only hope your mother wants to go." Mother-in-law responds, "Of course! I have not had dinner in Abilene for a very long time."

The drive *is* long, dusty, and hot. When they arrive at the restaurant, the food is as bad as the drive. They arrive back home four hours later, worn out. One of says, rather untruthfully, "Nice trip, eh?" Mother-in-law says that she wished they would stayed home, but, "I didn't want to spoil all of your enthusiasm." Husband then says that he only went to satisfy the others. Wife says, "I only went along to keep the rest of you happy. I thought a long drive in this heat was a crazy idea." And father-in-law says, "I only suggested it because I thought the rest of you were getting bored playing dominoes."

The family sat in silence for a while – stunned that they had decided to change their plans for dinner by taking a trip no one wanted to take.

This parable is called the Abilene paradox – it has been used for over 40 years to illustrate what happens when a group of people set out to plan something and do not develop a sense of openness and honesty about what exactly they are planning to change and how they are going to do it. People kept quiet to "not rock the boat".

PRESENTATION GUIDE **TRAINER NOTES**

Have you ever gotten caught up in a similar planning paradox, with people who didn't want to "rock the boat"?
Now let's talk about how careful implementation planning can help avoid unintended consequences and avoid "dinner in Abilene".
(Reference: Harvey, Jerry B. (1974). "The Abilene paradox: the management of agreement". *Organizational Dynamics* 3: 63–80.

[An inspiring video on can be used instead of the Abilene Paradox if trainers know of one.]

INSTRUCTIONAL INPUT: 5 Minutes

 **Build a Detailed Implementation Plan**

Say: Here is where the implementation plan takes shape.

The implementation plan is a detailed project management tool, designed to assist the agency to manage and monitor project milestones, resources needed, responsibilities, timelines, goals, objectives needed to achieve the change effort goals.

It should convey a sense of urgency and the actions and innovations that will be required. This will help people throughout the organization clearly understand their roles and responsibilities during implementation and beyond. In just a few minutes you will begin to work on an implementation plan for your change effort goal.

In the next module you will also develop a communications plan to share the implementation plan to engage stakeholders in the vision, action plans, and progress as goals and objectives are achieved.

Now you are going to begin work on creating the foundation of an implementation plan. You will go through a series of activities and cover these topics:

1. Keep-Drop-Create: What is Happening Now.
2. Goal Review through the Public Safety Model systems-approach lens.
3. Barriers and Challenges.
4. Vision for the Future: Strategies and Action Steps.
5. Key Performance Indicators.

So, ready to get to work?

Remember to write the results of your work on the various forms in your Participant Manual to begin to create your implementation plan. And, as always, if you have any questions, please ask one of us to assist you.

After each activity, we will ask you to briefly share some of your discoveries. We will hear more of what you find when you give your team presentations at the end of this workshop.

We are going to start with a look at what your agency is currently doing that could impact your goals.

INDEPENDENT PRACTICE: 15 minutes

Keep Drop Create: What is Happening Now

Activity Keep Drop Create: What is Happening Now

Timing and Purpose

Activity:	10 minutes
Report Out:	5 minutes

Purpose:
To review what the agency is currently doing on the topic of each team's goal and identify things that can impact successful implementation and sustainability.

Say: Remember when we looked at your agency's experience with change at the beginning of this workshop? This activity uses the same Keep Drop Create process, with the focus on your group's goal. We want you to think about what is currently happening inside your agency that could affect your goal.

Turn to the Keep Drop Create form in Module 6 in your Participant Manual. You will work through these questions:

- What things are the agency currently doing that:
  - Work well and you would like to KEEP the agency doing to support successful implementation of your goal?
  - Didn't work and you would like to DROP because it could negatively affect your goal or develop strategies to avoid in this change effort?
  - And don't exist, would be helpful, and you would like to CREATE in this change effort to implement your goal?

- All opinions are valid—the same item can show up on each chart, because one person might think it is good and want to KEEP it; another might think it was the worst thing ever and want to DROP it; and another might think it was missing from the change effort and want to CREATE it.
- Use brainstorming to do this. No judgment—just let ideas bubble up.
- Note the items that could have the most impact on the implementation of your goal so you can develop strategies to deal with them later in your planning process.
- Circle the items that trigger thoughts of sustainability – they can be built into the implementation plan as well.

You will have 10 to 15 minutes to do this.

[Trainer: copy of form is below:]

Keep Drop Create: What is Happening Now

KEEP	
DROP	
CREATE	

[Trainer: After 10 minutes, check with teams and see if they are wrapping up. If they need a few more minutes, give it to them. Then do a quick report out.]

Say: Let's hear, briefly, what each team thinks will have the most impact on their implementation planning and lead to the long term success of your goal.

[Trainer: facilitate report out.]

Say: Now that you have discussed how current practice and policy can affect your goal, we want you to see how your goal looks through the lens of the Public Safety Model.

INDEPENDENT PRACTICE: 20 minutes

APEX Public Safety Model (slide and/or chart)

Activity Public Safety Model Review

Timing and Purpose

Activity:	15 minutes
Report Out:	5 minutes

Purpose:
To have the opportunity to view a specific goal through the PSM lens.

Say: Remember the Public Safety Model and how we used it as a systems-approach lens. Now you are going to use that to take a systems-approach to your group's goal.

Turn to the Public Safety Model laminate and look at your goal through the lens of each of the domains. In the Participant Manual in Module 6 there is a chart called **Public Safety Model Domains Lens** to capture notes*. [Trainer: copy of chart is below.]*

- Note the impacts of the domains on the goal and the impacts of the goal on the domains.
- Review each domain using the questions.

You will have about 15 minutes to do this. We will ask each team to share one or two key learnings from this activity in a brief report out.

Public Safety Model Domains Lens

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

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

[Trainer: facilitate report out].

Say: In the next activity you will create a picture of the most desirable future for your change effort, as well as strategies and action steps that will begin the formation of an implementation plan. Think about the discussions you have had in the earlier activities as there may be items and/or topics that could inform your next discussion.

Vision for the Future: Strategies and Action Steps

Activity Vision for the Future: Strategies and Action Steps: 50 minutes

Timing and Purpose

Activity:	40 minutes
Report Out:	10 minutes

Purpose:
To paint a picture of what the goal looks like when it is achieved and identify actionable steps, resources needed, etc. to implement one action step successfully.

Note to Trainer: This is an important activity- teams are beginning to put the pieces of their plan together. Check in regularly with groups to ensure that they are moving along and assist teams as needed.

Say: It's helpful to visualize what the agency would look like if the goal was achieved successfully. We want you to focus on the future and develop a picture of what successful implementation looks like. If everything was functioning smoothly, people were using the new behaviors, policies, procedures, etc.

- Go 3 years out – it is now 2017 [*or the current year plus 3*].
- Describe what you see in 4 or 5 bullets/future points.
- Review the information you generated during the Public Safety Model Lens activity earlier.

Now identify 1 or 2 strategies to get from today to the future for each point, including strategies to deal with the potential barriers or challenges that could get in the way of implementation. Also consider the ones you identified during the PSM review.

- Choose one of the strategies and begin brainstorming what action steps are needed to implement it. Things to include are:
    - Activities.
    - Milestones.
    - Timeline.
    - Resources Needed.
    - The people responsible for carrying this out.
    - Barriers or challenges.
    - Anything else relevant to your goal.

We did not include performance measures in this list because we will deal with these in the next section.

You can begin filling in the Implementation Planning: Future Vision form in your manual as you work on this activity. It isn't necessary to fill in all the lines on the form as some are to be completed as you implement your action steps outside of this workshop.

We will do a brief **interim** report out in about 40 minutes. We call it an interim report out as we realize that the work on your implementation plan is in the very early stages and nothing at this point is cast in concrete.

[Trainer: facilitate a brief report from each team after 30-40 minutes. Here is a copy of page 1 of the Implementation Planning: Future Vision from the Participant Manual]

IMPLEMENTATION PLAN PAGE 4

Implementation Planning: Future Vision

Goal Future Point 1: ____

Strategy/Action Step 1: ____

Timeline: ____

Resources: ____

____

People – Who's Responsible? ____

____

Barriers/Challenges and Strategies to Deal with Them:

________________________________ ________________________________

________________________________ ________________________________

Anything Else? ____

Strategy/Action Step 2: ____

Timeline: ____

Resources: ____

____

People – Who's Responsible? ____

____

Barriers/Challenges and Strategies to Deal with Them:

________________________________ ________________________________

________________________________ ________________________________

Anything Else? ____

Say: Now we will work through a short process to develop performance measures that could be used to measure progress on the action steps and strategies in your implementation plans.

Key Performance Indicators

Note to Trainer:

- Make this as interactive as possible – examples are provided but feel free to use some from your own experience.

Timing:

Instructional Input: 10 minutes

Activity: Key Performance Indicators:	15 minutes
Independent Practice: KPI's:	20 minutes

INSTRUCTIONAL INPUT: 10 minutes

Say: In your Participant Manual you will find an informational sheet called **Key Performance Indicators**. Please turn to that now. *[Trainer: this is basically the text participants will be reading with more examples and trainer directions embedded so an additional copy is not included here.]*

Say: Why Measure Performance?

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

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

Correctional agencies count and measure a lot of things. Think about what your agency measurements with respect to client treatment involvement.

Ask: How do you count or measure that?

Response: (Examples: number of clients attending group sessions; number of high risk offenders attending evidence-based programs; number of clients attending one-on-one therapy sessions; etc.)

Say: Key performance indicators are used to help organizations reach their goals. They are not just any measurement of performance. KPI's are like a guidepost—

strategically placed so you know that you are on the right path on the journey to achieve your mission, vision, goals, and higher performance.

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

- ✓ **Measure the right things.**

[Community-based] For example: Do you measure which manager trains the most case managers, or do you measure the manager whose trainees best apply the case management principles taught?

[Institutions] For example: Do you measure how many staff are trained in classification/assessments, or do you measure how accurately the assessment results enable proper housing and program placement?

- ✓ **It is possible to measure the wrong things**.

[Community-based] For example: Cost reduction—Do you measure cost per client rates or do you measure successful completion rates (which lowers costs over time due to decreased recidivism)?

[Institutions] For example: Cost reduction—Do you measure cost per client rates or do you measure successful completion of research-influenced programing (which lowers costs over time due to decreased re-arrest rates)?

- ✓ **It is possible to measure the right things poorly.**

[Community-based] For example: When looking at client satisfaction, are you measuring how much they like their officer or how well their officer understood their concerns.

[Institutions] For example: When looking at medical screening, do you measure how many screens are done, or how many are completed within 48 hours of arrival?

- ✓ **Measuring the wrong things well often causes negative consequences**.

[Both Institutions and Community-based] For example: Recycling program success measurement is the number of pounds of materials sent for recycling. This might encourage waste—as people print, and recycle, unnecessary documents, make purchases with no regard for packaging that would need to be recycled, etc.

When you are developing KPI's begin by **clearly defining the results** you want to achieve. Be specific.

Ask: If I say "I want to reduce recidivism" is that specific? What would be a better way to say it?

Response: (example: i.e. *[Community-based]* reduce incarcerations for technical violations by 30% over last fiscal year. *[Institutions]* increase completion of re-entry plans and assistance)

Say: Now let's look at **measurements** that would enable us to know what the progress is for this result/goal. Measurement requires several steps—determining the measure itself, the source of the data that will be used, and the frequency that the data is available.

There are many ways to look at **the measures**. Here are three common ones:

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

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

Ask: Say we want to reduce technical violations by 30% over last fiscal year. Is this something your agency already collects as data and if so, where does it comes from?

Response: (responses may vary).

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

Ask: What would the frequency be, or how often would an agency collect data to reduce technical violations for the above example?

Response: (responses may vary).

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

Now let's practice identifying KPI's.

GUIDED PRACTICE: 15 minutes

Key Performance Indicators

Timing and Purpose	
Activity:	10 minutes
Report out:	5 minutes

Note to Trainer:

- Print copies of the performance indicator cards—one set per team.
- The cards can be found at the end of this module.
- Be prepared with examples of your own.

Say: Let's use Employee Burnout as an example, since this is a concept that we are probably all familiar with. How would you describe burnout?

Response: (allow response time.)

Say: If we are planning to reduce employee burnout, think about the key performance indicators you would use to determine your agency's progress.

[Trainer: Hand out the sets of performance indicators cards to each table. Copy is below and at the end of module.]

Performance Indicator Cards

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

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

Say: You have a set of performance indicators on cards that may or may not be applicable to our target—reducing employee burnout. Your task is to determine which apply to the target. For each of those that apply:

- Note the data source and frequency on the card.
- Then prioritize them to determine which have the most impact on employee burnout—the KEY performance indicators.

You will have 10 minutes to do this. You will do this as a team.

[Trainer: Facilitate Report out– note similarities and differences across teams.]

Say: Now that you have had a chance to identify KPI's, we would like you to apply this to your goal using the Public Safety Model domains.

INDEPENDENT PRACTICE: 20 Minutes

Key Performance Indicators

Say: Earlier you looked at your goal through the public safety model lens. Now, let's look at how you could use this to set up key performance indicators. For each domain, you will create one performance indicator that would give you a measurement of one of the items on your list for that domain.

Turn to the **Guiding Questions for Key Performance Indicators** and the **Determining Key Performance Indicators** pages in Module 7 of your Participant Manual. *[Trainer: Two pages are included here:* ***Guiding Questions for Key Performance Indicators*** *and Determining Key Performance Indicators. Start off group by reading through the first few and then suggest that people read them on their own as they begin to work on the activity. Copy is here:]*

Guiding Questions for KEY PERFORMANCE INDICATORS

- What is the result you want to achieve?
- What would allow you to accurately measure progress on this result? (Write these in the Performance Measures column on the Determining KPI's form in your manual)
- What is the source of the data? Do you already have it? If not, who would be responsible for gathering it?
- What frequency makes the most sense for that result?

- How could it inform decisionmaking?
- How will the results be shared with others? What reports would be helpful to staff and pertinent others?
- As you work through the domains, are there measurements that show up on more than one domain?
- If so, would there be any difference in measuring, collecting, or analyzing for the different domains?

Determining Key Performance Indicators

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

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

Say: Begin by identifying one solid performance measure for each domain. Then prioritize them to determine which are the most critical to achieving the results you want. These are your key performance indicators. You have about 15 minutes to work on this. Then we will report out.

[Trainer: Allow time for practice.]

Say: We would like you to share with all of us two or three KPI's that you have begun developing.

[Trainer: facilitate report out.]

Say: As you build your implementation plans, how and what you communicate about the plans and the progress on the action steps and goal are critical components of successful implementation. In the next module we are going to talk more about communications and add to the work that you have done in previous modules.

MODULE CLOSE / TRANSITION: 5 minutes

Now you have laid the foundation for implementing your goals.

Key Points:

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

Performance Indicator Cards

Staff Turnover Data Source: Data Frequency:	**Staff Sick Time Taken** Data Source: Data Frequency:	**Staff Overtime** Data Source: Data Frequency:
Transfer Requests Data Source: Data Frequency:	**Incident Reports** Data Source: Data Frequency:	**Violent Incidents: Offender on Offender** Data Source: Data Frequency:
Violent Incidents: Offender on Staff Data Source: Data Frequency:	**Staff Grievances Filed** Data Source: Data Frequency:	**Offenders Receiving Treatment for Criminogenic Needs** Data Source: Data Frequency:
Offender Per Capita Operating Cost Data Source: Data Frequency:	**Senior Managers with Written Succession Plans** Data Source: Data Frequency:	**Use of Force** Data Source: Data Frequency:

Offenders Working FTE jobs Data Source: Data Frequency:	**Staff Training Hours** Data Source: Data Frequency:	**Staff Interaction with Coworkers** Data Source: Data Frequency:
Staff Substance Abuse Data Source: Data Frequency:	**Caseload Size** Data Source: Data Frequency:	**Employee Recognition System in Place** Data Source: Data Frequency:
On the Job Accidents Data Source: Data Frequency:		

Lesson Plans

Program:	APEX Change Team Training
Module 7:	Communications Planning
Time:	1 hour 15 minutes

Overview

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

Performance Objectives

Participants will be able to:

- Create a communications plan with feedback loops.

Preparation

- Read Chapter 10: Developing a Communications Plan in *APEX: Building the Model and Beginning the Journey.*
- Understand the importance of the degree of influence (negative and positive) in the Stakeholder Analysis section.
- Draw the feedback loop on chart paper (see page 6 for example).

Note to Trainer:

- This continues the teams/workgroups work at building a communications plan for their implementation plan.
- Move around the room, checking in with groups, answering questions as they arise, helping groups stay on task, etc.

Timing:

Anticipatory Set: 5 minutes.
Instructional Input: 10 minutes.
Stakeholder Messages Activity: 35 minutes.
Feedback Processes Activity: 15 minutes.
Next Steps: 5 minutes.
Module Close: 5 minutes.

Development Date: 03/24/2013

Revised: 10/22/2013

PRESENTATION GUIDE **TRAINER NOTES**

ANTICIPATORY SET: 5 Minutes

"Who's on First" Abbott and Costello

http://www.youtube.com/watch?v=airT-m9LcoY

'Youtube' link sent to Tracey and Liz for review on July 29, 2013.

[A different amusing video about communications can be used instead of 'Who's on First' if trainers know of one. Or the trainer can tell an amusing story about communicating.]

INSTRUCTIONAL INPUT: 10 minutes

Say: As you build your implementation plan, **communication** about the plans and current progress towards your goal is a critical component. In this module we will work on communications, building on the work that you have done in previous modules.

An effective communications plan can lead to better outcomes during change processes. Correctional agencies are the scrutiny of courts, regulatory agencies, state and federal legislators, the media and the public. Effective communication is necessary, and not just during a change effort.

The best communications plan is effective, efficient, accountable, and transparent. Successful agencies have proactive staff and leadership who are comprehensive in addressing the expectations of stakeholders.

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

Communications Plan (slide with steps)

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

B. The Message
Step 4: Address the communication objectives.

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

The Objectives

Say: The first step in developing a communications plan is to create communication objectives.

[Trainer: The following is an illustrative TRUE story that you are welcome to use here or not.]

I want to tell you a true story. An offender was representing himself in court after being arrested and jailed for stealing a purse. When he approached the woman in the witness stand and said “Did you really get a good look at my face when I stole your purse?” Did he really think through his communication objective?????

First we will look at articulating the rationale, benefits, and goals. This section may feel familiar, as you looked at some of these issues when you were filling out the Define the Goal worksheets earlier in this training.

PRESENTATION GUIDE **TRAINER NOTES**

The rationale for changing requires looking at "Why change?" Many corrections staff and stakeholders resist change, yet **say** they want things to get better. These questions can help leaders and change agents articulate the reasons for change efforts.

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

Let's look at the benefits of changing. Many challenges confront correctional agencies today. So why begin this change process? Sharing possible benefits with stakeholders, including staff and the supervised population, can mitigate potential resistance to the change effort.

Ask: What benefits do you think might result from successful implementation of your goals?

Response: (Share these if not mentioned:)

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

Say: You have spent time developing and refining your change effort **goal**. If you use this communications planning process for another initiative, this step is a reminder to make sure you have developed a clear, specific goal statement – using SMARTS or other goal setting method.

In the Module 3: Agency Assessment, you began to look at your **internal and external stakeholders**. We are going to take the stakeholder web you created and enhance and analyze it a bit later in this module.

Stakeholders drive an effective communications plan. Assessing stakeholders and their degrees of support helps focus communications objectives, message contents, and delivery methods.

Communications should be developed for and tailored to each stakeholder group. Communications objectives will depend on the degree of influence, power, and support of stakeholders.

You need to ask: is the message intended to persuade, inform, educate, create participation, change perceptions, influence behavior, engage, garner support, address concerns, or establish ambassadors of change? These objectives inform the content of the various messages.

The Message

Say: The next step is to develop the messages for the different stakeholder groups, based on the stakeholder assessment and the objectives that we just talked about. The idea is to create a message that effectively meets the agency's communications goals and proactively address any issues and concerns.

The Plan

Say: Now it is time to develop a plan that will help you track how and when the messages are delivered; make sure that the communications are open and feedback is encouraged and tracked, and that the communications effort is assessed.

If we want people to hear about what we are doing, we can learn from the advertising industry. Think about Super Bowl commercials. Are they shown once during the game? Or are they shown over and over again? Are there long versions and short versions? Advertising experts know that including a variety of delivery methods, and repeating it often, helps ensure that as many people as possible hear the message.

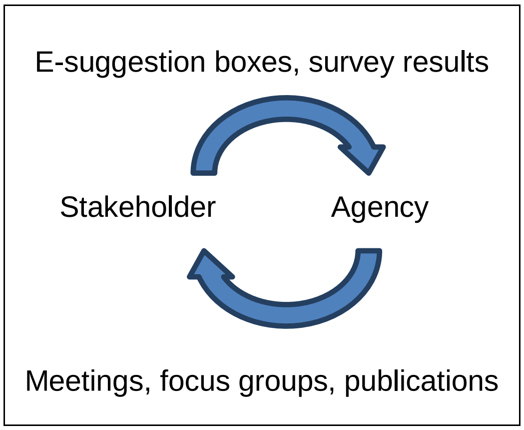
Ask: If you want to get a message out, what are some of the delivery methods your agency currently uses?

Response: (Use these examples if necessary: one-on-one meetings, emails, website notices, postings, memos, letters, brochures, policy changes, media releases, videos, training, newsletters, roll call announcements, staff meetings, speaking engagements with external stakeholders, meeting with leaders in other agencies and media representatives, posting progress reports, putting pamphlets and signs in facilities and offices, etc.)

Say: One of the goals of a good communications plan is to encourage **open communication, including feedback loops**. People need the opportunity to reflect on and respond to the messages. Opportunities for feedback provide support and cooperation for the change efforts, as well as increasing interaction with key stakeholder groups.

Feedback loops give people a chance to interact with and respond to the messages they are hearing and reading. Deliberate and ongoing communication will enhance support for implementing the change initiative. Feedback loops come in many forms. Here is an example of a very simple feedback loop. The arrows represent the flow of communications – agency communicate with stakeholder; stakeholder communicates with agency. An important part of the feedback cycle is letting stakeholders know that their feedback was heard and how it was used. This encourages ongoing two-way communications.

[Trainer – draw this example on chart paper.]



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

This is a piece that is often missing in change efforts, and other communications efforts. We communicate and then do not know, really, how effective our communications are. Some things that you can measure from a communications planning perspective could include:

- The type and amount of feedback.
- The number of supportive actions by the group (public testimony, media comments, etc.).
- The number of downloads of a website posting.

Ask: What other measures come to mind?

Response: (will vary).

Say: Now it's time for you to begin putting a communications plan together for your change effort. You will begin by creating messages for a few stakeholder groups.

GUIDED PRACTICE: 35 minutes

Activity: Stakeholder Messages

Timing and Purpose

Activity: 25 minutes
Report Out: 10 minutes

Purpose:
To continue the development of a communications plan.

Note to Trainer:

- Participants need the communications planning message charts from their manual.
- Be sure that "clients" or "offenders" or other label is included for the supervised population when talking about internal stakeholders.

Say: Your task is to continue the development of a communications plan for your goal, articulate the rationale and some benefits of the goal. Turn to the **Communications Plan Stakeholder Message Charts** in Module 7 in your Participant Manual. *[Trainer: copy is below, activity instructions precede this in the manual but are not copied here as they are referred to in the text.]*

PRESENTATION GUIDE **TRAINER NOTES**

Communications Plan—Stakeholder Message Charts

The Elevator Speech: ____

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

Message – Stakeholder 1: ____

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

Message – Stakeholder 2: ____

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

Say: For this activity you will need to review the **Stakeholder Identification and Analysis Web** you created in Module 4: Agency Assessment, earlier in this workshop. Add any additional stakeholders that could have an impact on your change effort.

Choose one internal and one external stakeholder group to use in this activity.

Determine the level of influence and whether it is positive or negative for each stakeholder group. Positive influence means that this stakeholder is likely to be supportive of the change effort. Negative means they may work against the effort. This will enable you to determine the kind of communications focus that each stakeholder group will require.

Use:

- 1 for high influence.
- 2 for medium influence.
- 3 for low influence.
- + for positive influence.
- – for negative influence.

Take a moment and turn to **An Example of a Stakeholder Communications Matrix** in your Participant Manual in Module 7. *[Trainer: copy is below, give participants a few minutes to look it over.]*

An Example of a Stakeholder Communications Matrix

- This is an example of what Steps 1-5 might look like if a probation agency decided to implement a policy for that allows discretion for applying graduated sanctions in the community in lieu of revocation for technical violations.
- **Goal:** To reduce technical violations by 30% over FY 2012 levels through the development and implementation of a graduated sanctions policy and procedures by June 2013.

Stakeholders	Influence (+/-)	Degree of Influence	Communications Objective	Message Delivery Strategy
Internal				
Staff	+	1	Engage and Participate	Meetings, newsletters, focus groups
Clients/Offenders	+	2	Engage and Participate	Meetings, postings, focus groups
Middle Management	+	1	Engage and Participate	Meetings, newsletters, focus groups
Labor Unions	+	2	Engage	Letters
External				
Client/Offender Families	+	2	Inform and Engage	Letters, postings in reception areas, focus groups
Legislators	+/-	1	Inform	Meetings, letters,

				memos
Other Public Agencies	+	2	Inform	Letters, meetings
Private Agencies	+	3	Inform and Engage	Letters, meetings
Advocacy Groups	+/-	3	Inform	Letters
Media	+/-	2-3	Inform	Editorials, interviews, social media
Citizens	+	2-3	Inform	Editorials, web site postings, social media
Vendors/Contractors	+	3	Inform	Letters

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

Say: Develop the communications objectives for each stakeholder group. For example, do you want them to participate in the change effort or are you just informing them of what is going to happen.

Then you will write an elevator speech/message for at least one internal and one external stakeholder group. Remember, from the elevator speech that you wrote about your goal (in Module 5: Define the Goal), that they are generally 30 seconds to two minutes in length.

In addition to presenting your goal in a compelling and clear way that adds value to the listener, we want you to include **something about how you would like them to be involved – that meets the objective you set for that stakeholder.**

Here is an example of an elevator speech for a group working on a goal to help their agency comply with the Prison Rape Elimination Act's standards:

"We are working on a more standardized, effective, and streamlined reporting methodology for staff, offenders, outside agencies, and offender families as a result of new federal legislation guidelines in order to reinforce our zero tolerance for sexual misconduct and sexual assault within the DOC. Reporting is one of the most important and essential steps of the whole process. Our ultimate goal is to break the code of silence. We hope that you will join us and bring your communications and networking skills to enhance this effort."

Identify the message delivery strategies and feedback options you will use for each.

Note some ideas for measuring whether or not the communications plan is successful for each stakeholder group.

You will have about 25 minutes to do this. Then we will hear what you created. We would like you to role play during the report out with one team member acting as a stakeholder and another as the change agent.

Say: Let's hear your elevator speeches. Remember, we want to hear the elevator speech delivered to a stakeholder by a change agent. *[Trainer: Facilitate report out.]*

[Optional]. Let's see if we can identify what your objectives are.

Feedback Processes

Activity Feedback Processes: 15 minutes

Timing and Purpose	
Activity:	15 minutes
Purpose: To examine feedback with respect to the team goal's action plan.	

Note to Trainer
- This is done in teams.
- Provide chart paper to groups.

Say: What have we heard about feedback? We know from our leadership and communications skills training that feedback is a "dish best served warm." In other words, it is important to give feedback in a timely way so that people can relate it to a recent behavior.

Feedback can be both negative and positive.

- **Positive feedback**: This can enhance change efforts and increase the results.
- **Negative feedback**: Sometimes feedback gets confused with corrective actions, because some provide negative feedback in this way. However in a change effort, negative feedback needs to be dealt with carefully so that it doesn't hamper implementation and sustaining changes.

Let's consider the concept of **constructive feedback**. We need this during change efforts. This is one way of discovering that something may not be working the way we thought it would.

However, we want to ensure that both positive and negative constructive feedback is included in any change effort.

Let's think about what we want to accomplish with feedback in a change effort.

Ask: Ideas?

Responses: (use ideas below if they do not arise during this discussion):

- Get information from others on processes, policies, action steps, etc.
- Influence future behavior.
- Reward good behavior.
- Create open communication channels with stakeholders.
- Check to see how our communications are working.

Say: A feedback loop ensures two-way communication, not just during change efforts. Remember that the APEX Communications Planning process encourages the development of feedback loops with stakeholders.

Simply put, this is a way of gathering some information or evidence, sharing it with others, understanding the consequences of the information, and some kind of action.

For example, we want to share what we are going to do with a stakeholder group. Our message would clearly describe what we are planning—gathering information or evidence.

We would deliver the message to the stakeholders—sharing it with others. It would include a request to get their input on how this could affect them—consequences.

We would include the process we have set up for them to give us their information, for us to let them know what we are doing with their input, and a way to continue two-way communication on this topic – action.

Now let’s practice using a feedback loop.

In your teams/workgroups, please use chart paper to record your response to the following questions:

What kind of feedback will be useful when implementing and sustaining your team goal’s action plan?

You will have about 10 minutes for this activity. Then we will hear a brief report out.

[Trainers: Facilitate report out.]

Say: One last item before we continue with your implementation planning. Sometimes it is easy to lose momentum after a workshop like this. We go back to work and get caught up in the day to day tasks and responsibilities. So, we want you to spend a few minutes working on the next steps you will take to continue this work on your goal and implementation plan once you leave this room.

Next Steps

Activity Next Steps: 5 minutes

Say: To keep the momentum going on your implementation planning, take a few minutes and schedule your next meeting and articulate what the next two or three things you will accomplish as you work to complete your implementation plan. Write these in **Next Steps** in Module 7 of your Participant Manual.

MODULE CLOSE / TRANSITION: 5 minutes

Now you have laid the foundation for communicating about your change effort.

Key Points:

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

Lesson Plans

Program: APEX Change Team Training
Module 8: Implement and Sustain Changes
Time: 1 hour and 35 minutes (Optional Activity: 15 minutes)

Overview

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

Performance Objectives

Participants will be able to:

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

Preparation

- Prepare by reviewing your personal history of change efforts and identifying strategies that worked to embed the changes into your agency's culture.
- Reading *Culture and Change Management: Using APEX to Facilitate Organizational Change* and/or *Leading Change* by John Kotter will be helpful.
- Make sure that the Agency Experience with Change: Keep Drop Create charts (Module 1) are visible for Agency Enhancers and Challenges activity.
- Have index cards (8 per participant) available for Enhancers and Challenges activity.

Development Date: 03/23/2013
Revised: 07/30/2013

PRESENTATION GUIDE **TRAINER NOTES**

Note to Trainer:

- Make this as interactive as possible: some items have suggested questions to ask the group; feel free to add others.
- If the group has done the Current System Analysis and/or the Keep Drop Create on Agency Change Experience, use those charts in the activity. If not, brainstorm things that can impact implementation of the change effort.

Timing:

- Anticipatory Set: 15 minutes
- Instructional Input: 10 minutes
- Implementation Dashboard: 20 minutes
- Enhancers and Challenges: 30 minutes
- Encouraging Buy-In: 15 minutes
- Optional Activity – Case Study: 15 minutes
- Module Close – 5 minutes

ANTICIPATORY SET: 15 Minutes

Say: Please turn to Module 8 in your Participant Manual. Before we go too much further into implementing and sustaining changes, I would like you to read the poem entitled "Autobiography in Five Short Chapters" by Portia Nelson. Once you have read it, take a few minutes to think about how it applies to your experience with change efforts. In your teams, have a discussion about what this brought to mind.

Your team task is to write a poem entitled "Change Efforts in Five Short Chapters". You will have 15 minutes for this, so if your poem is "Change Efforts in Three Short Chapters" that will suffice!

[Trainer: copy of poem is below:]

Anticipatory Set Poem

Autobiography in Five Short Chapters by Portia Nelson

I.

I walk down the street.
There is a deep hole in the sidewalk.
I fall in.
I am lost . . . I am helpless.
It is not my fault.
It takes forever to find a way out.

II.

I walk down the same street.
There is a deep hole in the sidewalk.
I pretend I don't see it.
I fall in again.
I can't believe I am in the same place,
But it is not my fault.
It still takes a long time to get out.

III.

I walk down the same street.
There is a deep hole in the sidewalk.
I see it is there.
I still fall in . . . it's a habit.
My eyes are open.
I know where I am.
It is my fault.

I get out immediately.
IV.
I walk down the same street.
There is a deep hole in the sidewalk.
I walk around it.
V.
I walk down another street.

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

INSTRUCTIONAL INPUT: 10 Minutes

Implement the Change Management Plan

Say: After the implementation plan has been completed, reviewed, and revised, it is time to go to work on the strategies and actions. Sounds easy, doesn't it! Many of you have been involved in implementing change efforts before.

Ask: What sorts of things did you do in the early stages of implementation?

Response: (Look for these things in their responses:)
1. Working on action steps.
2. Coordinating across divisions, offices, facilities, etc. as necessary.
3. Monitoring and tracking progress.
4. Review the APEX Public Safety Model domains to see what is working well and what could use improvement.
5. Communicate, communicate, and communicate again!
6. Adapting and modifying the plans as necessary.

Say: Some agencies create symbols of change that provide visual images to signify a new future.

Ask: Have you even done this? One institution used this metaphor to explain how they were involved in a fast-moving change effort and were reacting very agilely – “How do you change the tires on a truck that is moving 60 miles an hour? Put it on a train!” They used a drawing of a truck on a flatbed train car as their change team’s logo.

Say: Others hold funerals to bury their old ways, honoring them for their contributions so that they can move on to reinforce the new future.

Many successful change efforts provide people with “proof points” to validate progress: finding people who are doing small things right and crediting them to the change effort. Change Team efforts then expand toward difficult tasks and issues that begin to stretch and challenge people without overwhelming them.

Sustaining change goes hand-in-hand with implementing change.

Ask: How often have you seen a new process or program implemented and then, a while later, see people going back to doing things the way they have always done them?

Response: (will vary.)

Say: One of our colleagues calls this 3-week amnesia. It can be seen in many correctional agencies, as well as other types of organizations.

In addition to what was mentioned above, here are some other things that can be done to enhance implementation and sustainability. We’ll work with some of these in this module:

- Integrating changes into cultural norms. When people say “This is the way we do things around here,” you know that change has become a part of the agency’s culture!
- Continuous reinforcement of new behavior, policy, practice, etc.
- Celebrating successes.

- Planning for setbacks. Develop strategies or contingency plans to deal with what could go wrong.
- Hold people and the agency accountable for authentic implementation – real changes, real successes by monitoring, analyzing, and evaluating performance – then following up with people.
- Adapting as necessary.

Let's talk about celebrating successes for a minute or two.

We know from all of our leadership training that feedback can be a powerful motivator. Positive feedback will encourage those who become successful change agents throughout the agency. Being a change agent can be hard work! The "pat on the back" can be a useful motivator. Seeing others rewarded for successful change agent work can be a morale booster for other staff, as well as for the change agent.

Ask: How has your agency celebrated successes during change efforts in the past?

Response: (will vary.)

Say: Good intentions sometimes lead us astray. One agency decided to award a trophy every month to a staff person who made a positive contribution to their change effort. They thought this would show that lots of people were doing good work on the effort and that these efforts were happening all over the agency.

Unfortunately, some months there were no nominees for the award, but the Celebrate Successes team scrambled anyway to find an awardee. Staff started to nominate people for trivial things, like "cleanest desk" in the Facility Improvement category and "made the most pots of coffee" in the Staff Engagement category. The award started to lose its importance, so the team called a hiatus and regrouped.

They decided to change the process and only reward someone for an authentic contribution to implementing and sustaining changes. They developed parameters for the award nominations that linked the nominees' behavior to a specific key performance indicator, showed a direct link to one of the action plan objectives, and the like. This returned meaning to the success awards.

What does all this mean? It means doing what it takes to make the changes stick and become the new way of doing business. And whatever you decide to do to celebrate successful changes, make sure it is meaningful.

[Trainer please emphasize:] **Please note that a successful change effort requires that you are vigilant and take any action deemed appropriate to achieve your desired outcome. Also, when change has been successful, it provides a living example for future efforts.**

One of the ways that implementation and sustainability can be enhanced is through the careful monitoring and tracking of progress on the goal and the action steps in the implementation plan. We are going to take a look at one way of doing this next.

Implementation Dashboard

GUIDED PRACTICE: 20 minutes

Implementation Dashboard

Timing and Purpose

Timing

Activity:	15 minutes
Report out:	5 minutes

Purpose
To create an easy to read visual representation of progress on the change effort goals.

Say: Earlier you developed some key performance indicators to measure progress on your action steps and goals. During implementation, monitoring and tracking the progress continues.

Reviewing progress is one way to adjust and adapt the implementation plan to ensure that the end goal will be accomplished. It also lets you know if the change effort is going off track. Or if the end goal is now in need of some revision to reflect changes in the environment or other reasons for adjustment, i.e. the legislature passes new legislation that affects the goal, a new evidence-based practice emerges that could shift the goal in a better direction, etc. As always, sharing this information with key stakeholders is one way to continue the momentum of the change effort.

One way to monitor, track, and share progress on goals is to use a **dashboard**. A dashboard is a visual representation of progress on key performance indicators for achieving goals. Your task now is to create a dashboard to use to monitor and track progress on three of the KPI’s you developed in the independent practice in the last module.

Ask: Have you had any experience in using dashboards? (Aside from in your car or truck!)

Response: (will vary).

Say: Turn to the **Implementation Dashboard Activity** in Module 8 of your Participant Manual. Choose 2 or 3 KPI's for your dashboard. For each of the KPI's, determine the target you will be aiming for, and then determine what percentage of change triggers red, yellow, or green lights. You will have about 15 minutes to do this.

[Trainer: Copy is below. After 15 minutes, facilitate report out.]

Implementation Dashboard Activity

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

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

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

Dashboard Example

Key:

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

Little to No Change (+/- 5%)

Change for the Worse (-6% or less)

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

Team Goal Dashboard

Key: Change for the Better or Target Met/Exceeded (______________)
Little to No Change (______________)
Change for the Worse (______________)

Key Performance Indicators	Target	Progress	

Say: Visual representations like the dashboard can be useful in sharing progress on KPI's and goals in an easy to read and understand manner. Now we will take a look at things that can enhance and challenge implementation in your agency and with your change efforts.

GUIDED PRACTICE: 30 minutes

Sustaining Change: Enhancers and Challenges

Timing and Purpose

Timing
Activity: 20 minutes
Report out: 10 minutes

Purpose
To learn from the agency's history of change what can be capitalized on to enhance the current change effort and what could get in the way of implementing the changes, as well as developing strategies to incorporate into the implementation for each.

Note to Trainer:

- Use Enhancers and Challenges worksheet from Participant Manual.

- Provide 8 index cards to each participant.
- Have Keep Drop Create charts from Module 1 visible.

Say: Turn to the **Sustaining Change: Enhancers and Challenges** Examples and Worksheet in Module 8 of your Participant Manual and read through the first page with the examples.

[Trainer: copy is below:]

Sustaining Change: Enhancers and Challenges
Examples and Worksheet

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

Their strategies to deal with this included:

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

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

Their strategies to deal with this included:

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

Say: Now spend a few minutes thinking about what worked well in a previous agency change effort. *[Trainer: If they did the Keep Drop Create exercise on their agency's experience with change* ***Say:*** *You may want to refer back to the Keep chart from the Keep Drop Create exercise earlier in this training.]*

Let's call the things that worked well the **enhancers.**

Now spend a few minutes thinking about what did not work so well *[Trainer: Refer them to the Drop chart if that activity was done earlier]* – the **challenges** of your previous change effort. Pay special attention to those that could have an impact on your current change effort.

Discuss the enhancers and challenges that each of you came up with. In your teams, come to agreement on 4 enhancers, and 4 challenges that could have the most impact on your current change effort. Write one on each of the eight index cards that you feel had the most impact on your change effort.

[Trainer: Hand out cards].

Say: Refer back to the **Enhancers and Challenges Examples** in your Participant Manual. These two examples show how two real change teams dealt with issues that arose during their implementation.

Say: Now spend a few minutes sharing your cards with your table team members. As you lay your cards out, sort them/match them with others that are the same.

Prioritize the two sets of cards (enhancers, challenges) based on the amount of impact they could have on their efforts to implement and sustain their current change goal.

Review the two sets. See if any of the enhancer's ideas could be used as strategies to deal with the challenges.

For the top 3 **enhancers**, develop strategies to incorporate these into implementation. For the top 3 **challenges**, develop strategies to deal with these during implementation.

Write these on the **Enhancers and Challenges** worksheet in Module 8 of your Participant Manual. *[Trainer: copy is below:]*

Sustaining Change: Enhancers and Challenges

Enhancers: What Worked Well	***Strategies*** *to Incorporate the Enhancers:*	**Challenges**: What Didn't Work So Well	***Strategies*** *to Deal with the Challenges:*

Say: You may want to review your implementation plans to see if/how any of these could be included in the strategies and actions in the plans.

[Trainer: Ask two teams to meet and discuss their findings. If an odd number of teams in the room, work in groups of two or

three teams.]

[Trainer: Facilitate Report out -- what they learned from each other.]

Say: Now we are going to look at another way of encouraging successful implementation and sustainability – gaining buy-in from people who are not involved directly in the change effort.

Activity Encouraging Buy-In: 15 minutes

Timing and Purpose

Timing
Activity: 10 minutes
Report out: 5 minutes

Purpose
To discover ways to encourage buy-in for this change effort from those not involved in the change team.

Say: We often hear that one of the major obstacles to sustaining change is the lack of buy-in from others inside and outside of the organization. At your tables, talk about times when you think that this has happened. You can use the **Encouraging Buy-In Worksheet** in Module 8 of your Participant Manual for this activity. Spend a few minutes answering the questions individually. Then discuss the questions and answers with your team:

- What was done to get people on board?
- What worked?
- What didn't work?
- How could it be adapted to work successfully with your current change effort?
- What ideas do you have for dealing with this issue with the current change efforts?

Identify the top 3 and in 10 minutes we will ask you to share them.

[Trainer: Copy is below. Facilitate report out.]

Encouraging Buy-In
Worksheet

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

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

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

1. ______________________________
2. ______________________________
3. ______________________________

Optional Activity:
Case Study – Adapting and Modifying the Implementation Plan: 15 minutes

Please turn to **the Case Study: Adapting and Modifying the**

Implementation Plan in Module 8 of your Participant Manual. Read through it and discuss what you might do in this situation with your team. *[Trainer: copy is below:]*

Case Study:
Adapting and Modifying the Implementation Plan

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

What would you do in this case?

MODULE CLOSE / TRANSITION: 5 minutes

Say: Much of what happens during implementation and sustaining changes occurs in real time. How might you use one of the activities we just did when you are working on your implementation plan? *[Large group discussion]*

Key Points:

- Thinking about, and developing, strategies to deal with challenges to sustainability needs to permeate the entire change process.

- Agility and adaptability are important attributes during implementation and sustaining changes so that the change effort does not get derailed.

- We can learn from our change effort history and use these learnings to develop strategies for enhancing our efforts and dealing with challenges to implementation, as well as gaining buy-in from others.

- Use key performance indicators developed for the action steps to track progress during and after implementation.

- Develop measurement, evaluation, and feedback processes to continually track and report progress.

Lesson Plans

Program: APEX Change Teams Training

Module 9: Workshop Close

Time: 1 hour 20 minutes

Overview

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

Performance Objectives

Participants will be able to:

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

Preparation

- Find out from executive team what they want in terms of presentations and add that to the Implementation Plan/Presentation documents 1-8 in this curriculum (see form at end of module and in Participant Manual).
- Have a copy of the Implementation Plan/Presentation documents to show to participants.

Development Date: 03/28/2013

Revised: 10/21/2013

PRESENTATION GUIDE **TRAINER NOTES**

Note to Trainer

- This is the culminating report out for this training.
- Time will vary based on the number of groups presenting.
- Facilitators will need to calibrate timing of other modules to allow for presentation time.
- Note that these are interim presentations; plans are unfinished.
- Thank agency representatives for coming.
- For this end of training check-in, encourage participants to share thoughts about the day and the entire training session.
- What is covered each day may vary slightly due to different groups' taking varying amounts of time for the activities, guided practices, and discussions.
- Congratulate them on work well done.
- Invite agency leadership to say something in closing.
- Have them fill out the feedback form.

Team Presentations

Activity Team Presentations: 60 minutes (may vary depending on the number of teams)

Timing and Purpose	
Activity	60 minutes
Purpose: To give teams a change to prepare for and present the results of their work.	

Note to Trainer:

- If agency wants other information included in the presentations, make sure to let the participant know this in the paragraph below.
- When it is time for the presentations to begin say “Let’s welcome our guests”.
- Ask agency representatives to briefly introduce themselves.
- Set up the team presentations.
- Teams prepare for and present the results of their work to each other and/or leadership.
- Each team will have a limited amount of time to present—generally 10-15 minutes.
- Total time depends on the number of teams.

Say: It is now time to get ready to present your initial organizational work on your goals. In a few minutes, agency leadership will be arriving and you will present to them and to each other. Remember, these are interim plans – no one expects finished plans in the time that you have had in this training!

Please turn to the **Implementation Plan/Presentation** form in your Participant Manual in Module 9. We would like you to present, briefly:

[Trainer: If agency leadership wants additional information, say that here.

- Team Development: Who is on the team, team roles, and who you will be adding to the team (Implementation Plan page 1, from Module 3).

- Your refined effort goal and initial elevator statement. (Implementation Plan page 2, from Module 5).
- Public Safety Model review (Implementation Plan page 3, from Module 6).
- Implementation Planning: Future Vision (Implementation Plan page 4, from Module 6).
- Key Performance Indicators (Implementation Plan page 5, from Module 6).
- Communications Plan-Stakeholder Message Charts (Implementation Plan page 6, from Module 7).
- Next Steps (Implementation Plan page 7, from Module 7).
- Sustaining Change: Enhancers and Challenges (Implementation Plan page 8, from Module 8).
- And anything else you would like to include.

We are going to hear a report from each team on the current state of their change plans. In your presentation, be sure to allow time for comments and questions.

Remember that these are unfinished plans—just the foundation of the implementation plans. Teams will continue to work on them once they leave this workshop.

And now we will turn the room over to the teams and let them begin their presentations.

[Trainer: Facilitate the presentations as necessary.]

Training Ends

Activity Recap and Feedback: 20 minutes

Say: It's time to recap the day and the training!

Good Job everyone! You've worked hard and covered a lot of ground during this training. Now you have the beginnings of some solid implementation plans. Before we say good bye, any questions or comments about your training today or the past two days?

We have a question for you to discuss as a team:

Ask: What is thing that is a significant “take-away” from this training? What is one commitment you can make to ensure that your initiative moves forward?

[Trainer: Facilitate report out.]

Say: Highlights from the training include the Public Safety Model Systems-Approach Lens, the Change Management Plan, and Communications Planning, and Implementing and Sustaining Changes.

[Trainer: Mention some things from the training that stand out to you – strengths-based feedback to the group]

Note to Trainer:

- If agency leader/representative wants to say any closing words, this is a good time for them to do so.
- Invite all trainers and NIC representatives to say something in closing as well.
- Give participants the Survey Monkey URL or tell them when they can expect an email with the link.
- If the agency has a training evaluation form they want completed, hand that out or let an agency representative take care of it.

WORKSHOP CLOSE: 5 minutes

Say: We will be collecting your feedback on this training session through Survey Monkey. Here is the URL or you will be receiving an email with the URL in it.
[Trainer: If the agency has its own training evaluation, hand it out or have an agency representative do so.]

PRESENTATION GUIDE | **TRAINER NOTES**

We have enjoyed working with you and appreciate your enthusiasm and openness to learning about APEX. Thank you and good luck with your change efforts! We look forward to hearing how they all turn out. Safe travels home, all!

[Trainer: Provide opportunity for all trainers and NIC staff to say closing words.]

Implementation Plan/Presentation Form

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

- Team Development: Who is on the team, team roles, and who you will be adding to the team (Implementation Plan page 1, from Module 3).

- Your refined effort goal and initial elevator statement. (Implementation Plan page 2, from Module 5).

- Public Safety Model review (Implementation Plan page 3, from Module 6).

- Implementation Planning: Future Vision (Implementation Plan page 4, from Module 6).

- Key Performance Indicators (Implementation Plan page 5, from Module 6).

- Communications Plan-Stakeholder Message Charts (Implementation Plan page 6, from Module 7).

- Next Steps (Implementation Plan page 7, from Module 7).

- Sustaining Change: Enhancers and Challenges (Implementation Plan page 8, from Module 8).

APEX Trainers' Kit Documents

with Specifications by Module

Module 1: none	
Module 2:	
What Is a System? Print on card stock – 1 page Single side Black and white 1 set per table group Cut apart at gridlines	**10 Sets**
PSM laminate Print on paper stock – 2 pages Double side Color Laminate 1 per participant	**Place in participant manuals** **Inside front pocket**
DOMAIN BINGO Optional – form is also in Participant Manual Print on card stock – 1 page Single side Black and white 1 per participant	**30 each**
Module 3:	
APEX Change Management Process laminate Print on paper stock - 2 pages Double side Color Laminate 1 per participant	**Place in participant manuals** **Inside front pocket**
Penguin Cards Print on card stock – 2 pages Single side Black and white 1 per table group Cut apart at gridlines	**10 Sets**
Module 4: none	
Module 5: none	
Module 6:	

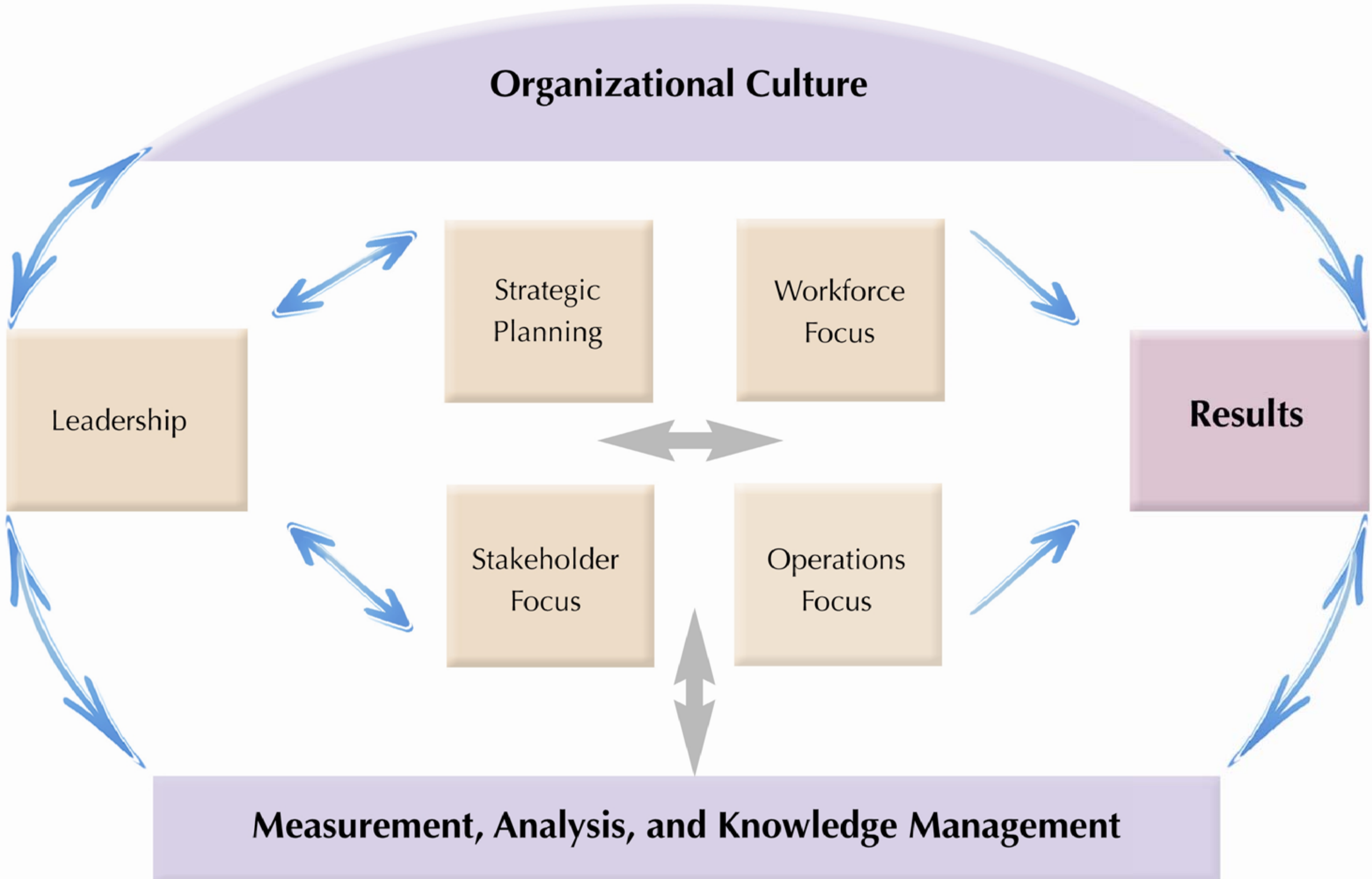
Performance Indicator Cards Print on card stock – 2 pages Single side Black and white 1 per table group Cut apart at gridlines	**10 Sets**
Module 7: none	
Module 8:none	
Module 9:	
Implementation Plan 8 pages Print on paper stock Single side Black and white Staple 10 copies	**10 sets**
General Support Items	
1 Participant Manual per participant **1 Set of APEX Guidebooks for class reference** **Trainer Name Badges** **Participant Name Tents** **Assorted Colors Index Cards** **Assorted Colors Post-it Notes** **Assorted Colored Dots**	

What Is a System? Anticipatory Set Cards

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

APEX Public Safety Model

Characteristics of a Higher Performing Corrections Organization



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

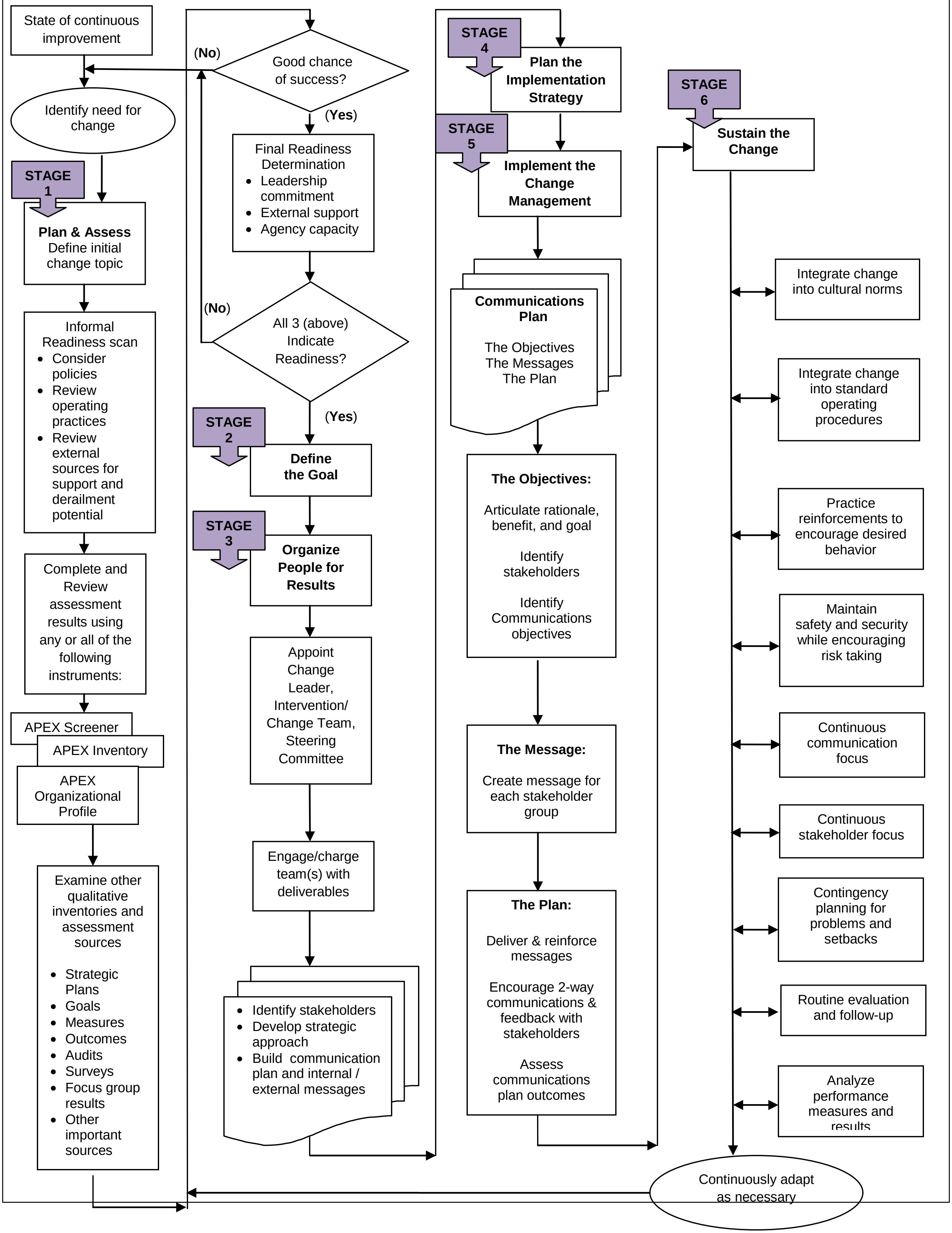
APEX Public Safety Model	
Organizational Culture: • How will this initiative or problem-solution affect our culture? • How will the culture affect this initiative? • What needs to change in the culture for this initiative to be successful? • What strategy do we use to influence the culture change?	**Operations—Safe and Secure Supervision and Settings:** • How will this initiative affect our current operations? • Will the initiative affect the safety and security of the public, staff, or offenders? • What will change? • What will stay the same?
Leadership: • How important are leaders and leadership to the success of this initiative? • Who can shut down or impede this initiative? • Which leaders have the most to gain or lose in this effort? • Who can champion this initiative? • What do leaders need to do to make this initiative successful?	**Operations—Process Management:** • How will it affect the way we perform and conduct our work and work processes? • What will change? • What will stay the same? • What work processes need to be changed and how will we implement them?
Strategic Planning: • Are there valid strategic reasons to pursue this initiative? What are they? • How does this initiative relate to our agency vision, mission, and values? • How does it support our agency strategic plan and goals? • Can we incorporate the initiative into our overall agency strategy?	**Measurement, Analysis, and Knowledge Management:** • What performance measures will we use to assess our initiative success? • How can the data inform and support our decision-making? • How can we share the data and findings across the organization? • How will we know that our efforts with this initiative are successful? • What data is ideal to have? • How can we best collect, analyze, and share data and information?
Workforce Focus: • What stake (gain/loss) does our workforce have in this initiative? “What’s in it for me?” • How can we effectively engage the workforce in the initiative change process and thereafter? • Who should be engaged in planning and/or implementation? • Who needs to be involved in sustaining the change?	**Results:** • What specific outcomes will indicate our overall organizational success with the initiative? • How will the success of this initiative empower us to make further changes? • If we are successful, what else may we affect? • How can we sustain the results? • How will we share the results with stakeholders?
Stakeholder Focus: • Who may affect and influence the outcome of this initiative? • How can we engage stakeholders in the process and success of the initiative? • What is the potential gain or loss of stakeholders? • Which stakeholders would add value to the initiative and engage in its planning and/or implementation? • What communications plan and strategies should we use to gain support and neutralize resistance?	

PSM Domain Bingo

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

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

APEX Change Management Process Map



APEX CHANGE MANAGEMENT PROCESS

Plan and Assess

1. What is causing the agency to think about changing and why?
2. What does the APEX Public Safety Model systems-approach reveal about the topic?
3. What internal and external information sources could shed light on this topic?
4. How ready is the agency for change and how open and willing are people to making changes?
5. How can a “Sustainability Parking Lot” help track issues to be dealt with later?

Build the Detailed Implementation Plan

1. What does the external environment tell you about potential impacts on the agency and this change effort?
2. What can be learned from the organization’s history, previous change efforts, and the current state of the agency to inform the current change effort?
3. What does the future state of the agency look like when the change is successfully implemented?
4. How can the implementation plan be communicated to internal and external stakeholders, including the various action plans?

Define the Goal

1. What is causing the change and why is it necessary?
2. Who will be impacted and how?
3. How can the agency communicate the goal clearly? SMARTS Goal format:
   - SPECIFIC—what, why, and how.
   - MEASURABLE—easy to measure/show progress.
   - ACHIEVABLE—not too hard/not too easy.
   - RELEVANT—aligned with mission/vision.
   - TIME LIMITED—realistic deadlines.
   - SHARED—common goals allow collaboration.

Implement the Change Management Plan

1. How can others get engaged in the change vision and action plans for implementation?
2. What will it take to successfully complete the action steps?
3. How will the work be coordinated across divisions, offices, facilities, etc.?
4. How will the agency know that the plans may need adapting and modifying as necessary?
5. How will progress on goals and objectives be monitored, tracked, and communicated

Organize for Results

1. What roles will be needed in this change effort: Change Leader, Change Team, Steering Committee, or Intervention Teams?
2. What team development process will be used to kick off the change effort teams?
3. How can managers and employees who are not involved be engaged in the change effort?
4. How can key stakeholder expectations be assessed?

Sustain the Change

1. How can the changes be integrated into cultural norms?
2. What can be done to positively reinforce the changes?
3. How will risk be managed?
4. How will the agency handle ongoing evaluation and follow-up?
5. What ways can be used to celebrate successes?

Penguin Cards

Fred Thinks outside the box, curious, creative, worried, yet willing to voice his opinion. *Most likely to say*: I'm worried, but I'm no one special. How can I make them understand and listen to me?	**Alice** Gets results, somewhat pushy but practical. Treats all equally, can't be intimidated. *Most likely to say:* Yes, we have a problem. I'll call a meeting so all can see how important this issue is.
NoNo Uncomfortable with change, pessimistic, manipulative. *Most likely to say:* This is dangerous. They will get hurt. We don't need to change. Let's just keep everything the way is it. It's too risky.	**Buddy** Charismatic, well-liked, not ambitious, trusted. *Most likely to say:* I don't understand what all the problems are, but I'm happy to help any way I can.
Professor Logical, reads a lot, curious, likes to "teach" not the most social. *Most likely to say*: This is amazing. I could gather data and analyze it to show the best way to proceed.	**Louis** Wise, experienced, respected, keeps his cool. *Most likely to say*: I'm proud of the team, the scouts, and the colony during this change effort.
Scout Has endurance and ability. Enjoys the excitement and finding information. Needs support. *Most likely to say*: I can't wait to discover what we need to get this change moving. This is exciting, but it's also hard work.	**SallyAnn** Young, somewhat emotional, wants to help, encourages buy-in. *Most likely to say*: We should all help out. Even I can make a difference.

Performance Indicator Cards

Staff Turnover Data Source: Data Frequency:	**Staff Sick Time Taken** Data Source: Data Frequency:	**Staff Overtime** Data Source: Data Frequency:
Transfer Requests Data Source: Data Frequency:	**Incident Reports** Data Source: Data Frequency:	**Violent Incidents: Offender on Offender** Data Source: Data Frequency:
Violent Incidents: Offender on Staff Data Source: Data Frequency:	**Staff Grievances Filed** Data Source: Data Frequency:	**Offenders Receiving Treatment for Criminogenic Needs** Data Source: Data Frequency:
Offender Per Capita Operating Cost Data Source: Data Frequency:	**Senior Managers with Written Succession Plans** Data Source: Data Frequency:	**Use of Force** Data Source: Data Frequency:

Offenders Working FTE jobs Data Source: Data Frequency:	**Staff Training Hours** Data Source: Data Frequency:	**Staff Interaction with Coworkers** Data Source: Data Frequency:
Staff Substance Abuse Data Source: Data Frequency:	**Caseload Size** Data Source: Data Frequency:	**Employee Recognition System in Place** Data Source: Data Frequency:
On the Job Accidents Data Source: Data Frequency:		

Team Development

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

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

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

1. ______________________________

2. ______________________________

3. ______________________________

Write the Refined Goal Statement

____

____

____

____

____

Prepare the Initial Elevator Speech

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

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

Initial Elevator Speech

____

____

____

____

____

Public Safety Model Domains Lens

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

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

Implementation Planning: Future Vision

Goal: ____

Action Step: ____

____

Resources Needed: ____

Responsible Party: ____

Performance/Outcome Measures: ____

____

Due Date: _______________ Actual Completion Date: ________________________

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

Challenge/ barrier to this action step: ______________________________________

____

Action Step: ____

____

Resources Needed: ____

Responsible Party: ____

Performance/Outcome Measures: ____

____

Due Date: _______________ Actual Completion Date: ________________________

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

Challenge/ barrier to this action step: ______________________________________

____

Determining Key Performance Indicators

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

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

Communications Plan—Stakeholder Message Charts

The Elevator Speech: ____

____

____

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

Message – Stakeholder 1: ____

____

____

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

Message – Stakeholder 2: ____

____

____

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

____

____

Next Steps

- When and where is your next meeting?

- What is the first activity (ies) you will be working on?

- Anything else?

Sustaining Change: Enhancers and Challengers

Enhancers: What Worked Well	***Strategies*** *to Incorporate the Enhancers:*	**Challenges**: What Didn't Work So Well	***Strategies*** *to Deal with the Challenges:*

Achieving Performance Excellence (APEX)

National Institute of Corrections

&

People in Charge, LLC

APEX Learning Objectives

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

APEX Is . . .

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

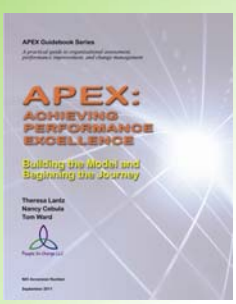
APEX is not . . .

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

APEX Resources

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

APEX Guidebook Series



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

Agency Change Topic(s)

Systems Thinking

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

Benefits to a Systems Approach

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

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APEX Public Safety Model

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

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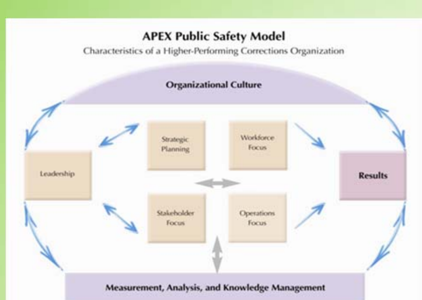

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APEX Domain: Organizational Culture

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

APEX Domain: Leadership

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

APEX Domain: Operations Focus 1

Safe & Secure Supervision & Settings

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

APEX Domain: Operations Focus 2

Process Management

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

APEX Domain: Stakeholder Focus

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

APEX Domain: Workforce Focus

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

APEX Domain: Strategic Planning

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

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APEX Domain: Measurement, Analysis, and Knowledge Management

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

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APEX Domain: Results

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

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

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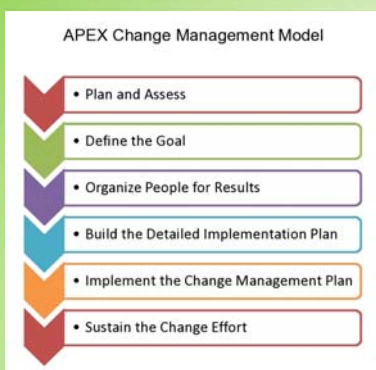
Change Management Principles

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



Iceberg Summary in 8 Steps

Set the Stage

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

Decide What to Do

3. Develop the Change Vision and Strategy.

Make It Happen

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

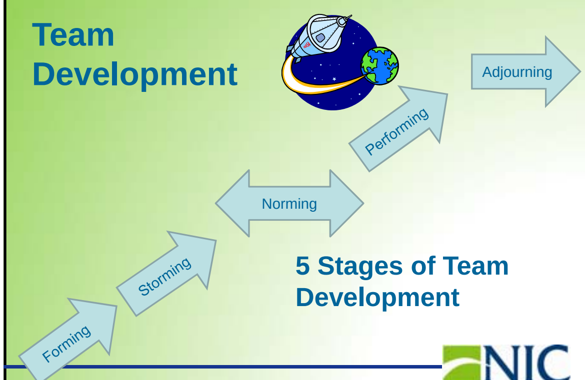
Make It Stick

8. Create a New Culture.

Optional:
APEX Change Management
Case Study

PREA Standards Implementation

Team Development



5 Stages of Team Development

Team Dysfunctions

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

Team Development

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

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Enhancing the Teams

What else does your team need?

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

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Optional:
What is a Change Agent?

In your agency:

1. What does Change Agent mean in your agency?

2. What roles do Change Agents play?

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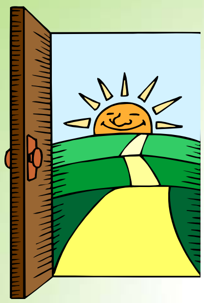
Optional:
Change and the Tipping Point

Law of the Few
- Connectors
- Mavens
- Salespeople

Stickiness Factor
Power of Context

Day One Ends



Agency Assessment

- Formal
- Informal
- Internal
- External

APEX Screener

A brief questionnaire that:

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

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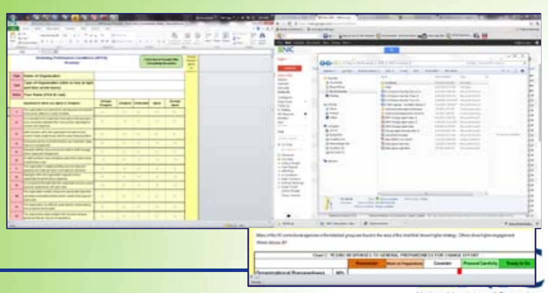
Screener Debrief in Small Groups



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The External Environment

- **Community**
- **Political**
- **Industry/Correctional**
- **Regulatory**

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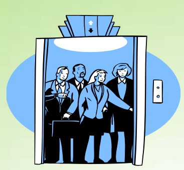
Define the Goal

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

Developing SMARTS Goals

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

Elevator Speeches



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

Build a Detailed Implementation Plan

This module includes:

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

Keep Drop Create: What is Happening Now

Keep | Drop | Create

Future Vision

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

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

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Implementation Plan:

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

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Key Performance Indicators

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

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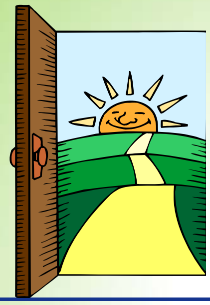
Day Two Ends



Communications Plan

Objectives

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

Message

4. Address the communication objectives.

Plan

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

The Objectives

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

The Message

Address the communication objectives.

The Plan

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

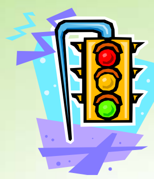
Next Steps

When is your next meeting?

What are your next two or three activities?

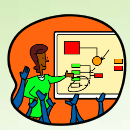
Implement the Change Management Plan

Implementation Dashboard



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

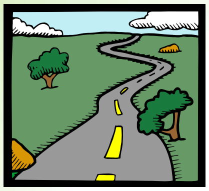
Team Presentations



Please Include:

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

Good luck with your
APEX Journey!



And Thank You!

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