Senate Committee on Public Safety
Senate Subcommittee No. 5 on Corrections, Public Safety and the Judiciary
Senator Loni Hancock, Chair

Effective Correctional Officer Preparation and Support: Issues and Opportunities

March 15, 2016
10:00 a.m. – 12:00 p.m.
State Capitol, Room 4203

CALIFORNIA LEGISLATURE

STATE CAPITOL
SACRAMENTO, CALIFORNIA
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AGENDA

March 15, 2016
10:00 a.m. – 12:00 p.m.
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Effective Correctional Officer Preparation and Support: Issues and Opportunities

I. **Welcoming Remarks and Introductions**

- Senator Hancock, Chair, Senate Public Safety and Senate Subcommittee No. 5 on Corrections, Public Safety and the Judiciary
- Other members of the Committees

II. **Promoting Change through Correctional Officer Recruitment, Training and Support**

- Scott Kernan, Secretary, California Department of Corrections and Rehabilitation

III. **Current and Emerging Practices Impacting the Effectiveness of Correctional Officers**

- Stacy Lopez, Associate Director, Peace Officer Selection and Employee Development, California Department of Corrections and Rehabilitation
- Kenneth Pogue, Undersecretary of Administration and Offender Services, California Department of Corrections and Rehabilitation
- Robert Barton, California Inspector General

IV. **Best Practices for Supporting an Effective Correctional Officer Workforce**

- Robert Brown, Senior Deputy Director, National Institute of Corrections

V. **Observations from the California Experience**

- Chuck Alexander, State President, California Correctional Peace Officers Association
- Michael Minor, Director for the Division of Juvenile Justice, California Department of Corrections and Rehabilitation

VI. **Public Comment**

Speaker Biographies

WITNESS BIOGRAPHIES

Scott Kernan, Secretary of the California Department of Corrections and Rehabilitation, was appointed to the position by Governor Edmund G. Brown Jr. on December 28, 2015.

> Scott Kernan has served as undersecretary for operations at the CA Department of Corrections and Rehabilitation since March 2015. He was the owner of Kernan Consulting from 2011 to 2015. Kernan served as undersecretary for operations at the CA Department of Corrections and Rehabilitation from 2008 to 2011, where he was Chief Deputy Secretary of Adult Operations from 2007 to 2008 and deputy director of adult institutions from 2006 to 2007. He served as warden at CA State Prison, Sacramento from 2004 to 2006 and warden at Mule Creek State Prison from 2003 to 2004, where he served as a chief deputy warden from 2001 to 2003 and as a correctional administrator from 2000 to 2001. Kernan served as a correctional captain at the CA Department of Corrections and Rehabilitation from 1991 to 2000, where he was a correctional lieutenant from 1987 to 1991, an associate budget analyst from 1986 to 1987, a correctional sergeant from 1985 to 1986 and a correctional officer from 1983 to 1985. He served in the U.S. Navy from 1979 to 1982.

Stacy Lopez was appointed as Associate Director, Peace Officer Selection and Employee Development, California Department of Corrections and Rehabilitation in January 2015.

> Associate Director Lopez began her career in 1992 at the State Controller's Office. She transferred to the California Department of Corrections and Rehabilitation in 1995 and has held various positions within the Division of Adult Parole Operations, Division of Adult Institutions, and currently in the Division of Administrative Services. In March 2009, Ms. Lopez was appointed as the Associate Director of the Office of Business Services. In February 2012, she transferred to Human Resources, where she first served as the Chief, Office of Resource Planning, and then becoming the Chief, Office of Training and Professional Development in May 2013.
>
> Associate Director Lopez is responsible for the management and operation of the Peace Officer Selection and Employee Development which includes over 400 staff and 600 correctional peace officer cadets. She has statewide responsibility and oversight of the peace officer selection process, training academy and departmental training.

Kenneth Pogue was appointed Undersecretary of Administration and Offender Services at the California Department of Corrections and Rehabilitation in July 2015.

> Prior to his appointment he served as assistant secretary in the Office of Legislation since 2013. Pogue served as a deputy attorney general at the California Department of Justice, Office of the Attorney General from 1999 to 2013 and was an associate at the Law Offices of Porter, Scott, Weiberg and Delehant from 1997 to 1999. He was a contract attorney at the Law Office of Robert Tronvig in 1997 and served as a contract district attorney at the San Diego County District Attorney's Office in 1996. Pogue earned a Juris Doctor degree from the University of the Pacific, McGeorge School of Law.

Robert A. Barton was appointed to the position of Inspector General by Governor Brown on August 26, 2011.

As Inspector General, he is responsible for providing contemporaneous public oversight of internal affairs investigations and the disciplinary process of the Department of Corrections and Rehabilitation and performs other statutorily required reviews of the state correctional system. Mr. Barton also serves as chairman of the California Rehabilitation Oversight Board (C-ROB), which reports to the state legislature on the progress made by the Department of Corrections and Rehabilitation to provide effective rehabilitative programs to California's inmates and parolees.

Prior to his appointment, Mr. Barton served as the Senior Assistant Inspector General for the Central region of California. Before joining the Office of the Inspector General, he was a deputy district attorney in the Kern County District Attorney's Office from 1988-1999, and supervising deputy district attorney for gangs, prison crimes, juvenile crimes, and truancy prevention, from 2000-2005. Mr. Barton began his public service with the Fresno County Sheriff's Department in 1984, while completing his Bachelor of Science Degree in Criminology at California State University, Fresno, summa cum laude. He attended law school at University of California, Davis, King Hall, graduating with American Jurisprudence awards in Contracts and Criminal Justice Administration. He holds a lifetime California Community College instructor credential in the field of law and has been an adjunct professor at Bakersfield College and California State University, Bakersfield.

Robert M. Brown, Jr. (Bob) was named Senior Deputy Director, National Institute of Corrections (NIC) in April 2015.

Bob began his career with the Bureau of Prisons in September 1996, serving as a Correctional Program Specialist with the National Institute of Corrections for two years before beginning his fourteen years of service as Chief of the Academy from February 1998 to November 2012. In November of 2012, Mr. Brown was named Deputy Director of NIC, then Acting Director from January 2013 through February 2015 and is currently serving as Senior Deputy Director. Prior to joining the NIC and the Academy, he served in a variety of administrative capacities during a twenty-eight-year career at the University of Southern California (USC). During the last ten years at USC, he served as an Assistant Athletic Director, Director of Development for the School of Business Administration and Director of Development for the Institute of Safety and Systems Management. Prior to that, he was the Executive Director of the Center for Training and Development, Public Sector Programs, Programs in Corrections, the Correctional Administration Institute, Educational Programs in Corrections and the Judicial Administration Institute. In these capacities, he served as the administrative director and training coordinator for a variety of correctional and other public sector programs throughout the United States. Under Mr. Brown's leadership, the programs provided executive, middle management, supervisory, team building, strategic planning and other training courses for correctional managers for a number of states and agencies. He was

responsible for directing the curriculum design, instructor coordination, technical assistance supervision and evaluation.

Mr. Brown earned his Bachelor of Science degree in Criminology in 1968 from CA State University, Long Beach. He holds a Master's degree in Public Administration, 1970 from the USC and has completed additional graduate course work toward his doctorate. Throughout his career, he has been an instructor or guest lecturer on various subjects in leadership, management, organization behavior, strategic planning, criminal justice, law enforcement, court management and corrections.

Chuck Alexander began serving as the President of California Correctional Peace Officers Association (CCPOA) in January 2015.

As the son of a military man, Texas-born Chuck Alexander spent most of his young life traveling around the world, getting his education from schools in Okinawa and Spain. After attending college in Virginia, Alexander followed in his father's footsteps and enlisted in the Army. He was stationed in Alaska, where he repaired and serviced the Army's fleet of helicopters.

Alexander has been a correctional peace officer and CCPOA member for more than 20 years. As a corrections academy graduate, he was assigned to the California Medical Facility in Vacaville. During the late '80s and early '90s, Alexander was involved in opening two new prisons, Chuckawalla Valley State Prison in Blythe, and Pelican Bay State Prison in Crescent City, where he is currently employed.

As Pelican Bay's chapter president, Alexander served on the Association's Board of Directors for several years before being appointed to the Executive Council in 2002, as the Rank and File Vice President for the members who work within the Department of Corrections' Adult Division.

As CCPOA's Executive Vice President, Alexander's duties included standing in for the state president at various press conferences, legislative hearings, and departmental meetings, while supervising the administration of CCPOA's headquarters office in West Sacramento. In addition, Alexander also oversaw CCPOA's contract negotiations with the state's Department of Personnel Administration.

January 1, 2015 Chuck Alexander began serving as the President of CCPOA. In this position he leads an organization with over 30,000 members.

Michael Minor, Director for the Division of Juvenile Justice (DJJ), was appointed in March of 2012.

Mr. Minor started his career as an entry level Officer in 1986, and during his 29 years of service he has worked in numerous capacities to include Superintendent, Major, Captain, Lieutenant, Sergeant and Youth Correctional Counselor. As Director, he is responsible for overseeing the state's three (3) secure facilities and one fire camp. As part of the

State's juvenile justice system, DJJ provides services to the most high risk/high need youth.

Director Minor has managed the DJJ through its most challenging years. Prior to becoming Director, the State had entered into a legal settlement to reform its system, known as the Farrell lawsuit. The resulting consent decree and subsequent remedial plans were described by the court expert as one of the most far-reaching in American juvenile justice history. The remedial plans included court oversight in health care, dental care, mental health, education, disability rights, safety & welfare and effective programs for sex offenders. He provided leadership and oversight during the development and implementation of the Integrated Behavior Treatment Model (IBTM). The IBTM is the cornerstone of the Division's reforms. It is a cognitive behavior approach to assessing, understanding and treating youth and is based on the principles of effective intervention. He implemented an innovative quality assurance process which supports the IBTM and professional development. He uses strength based approaches for on-going training, coaching and mentoring of staff. Under his leadership, the DJJ successfully fulfilled all requirements of the Farrell lawsuit, leading to the termination of the case in February 2016, and ending over a decade of litigation. In addition, the nationally recognized former safety and welfare court expert recognized DJJ as one of the most progressive juvenile justice systems in the nation.

Mr. Minor earned a Bachelor of Arts Degree in Criminal Justice from the Union Institute & University, Sacramento and is a graduate of the United States Army Non-Commissioned Officer's Academy.

California Corrections Chief Aims to Change Prison Culture

(Don Thompson, Associated Press, SFGate, February 10, 2016.)

SFGATE http://www.sfgate.com/news/article/California-corrections-chief-aims-to-change-6819757.php

California corrections chief aims to change prison culture

Don Thompson, Associated Press Updated 12:19 pm, Wednesday, February 10, 2016

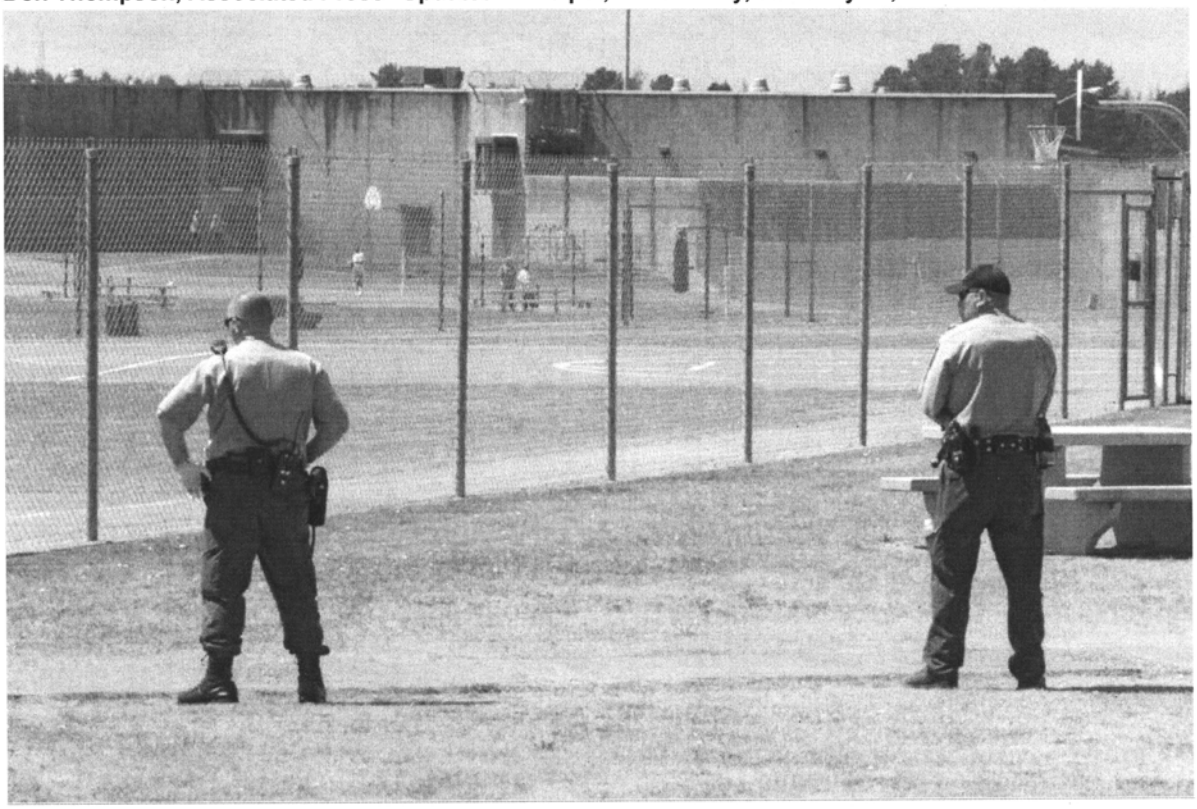

IMAGE 1 OF 3

FILE In this Aug. 17, 2011 file photo, correctional officers keep watch on inmates in the recreation yard at Pelican Bay State Prison near Crescent City, Calif. Scott Kernan, the newly appointed Secretary of ... more

SACRAMENTO, Calif. (AP) — California's new corrections chief plans to add training on diversity and leadership for prison employees and to examine what has been effective in other states to change employees' attitudes as he tries to alter a culture that often pits prison guards against inmates and outsiders.

"They (guards) have worked under very difficult situations and we have to figure a way to get them engaged in the rehabilitation process and not just be somebody counting heads," Scott Kernan told The Associated Press in an interview.

He took over as secretary of the Department of Corrections and Rehabilitation last month after starting as a correctional officer himself in 1983. Kernan worked his way up through management at a time when California prisons were so crowded that federal judges

eventually set a limit on the inmate population.

Crowded conditions meant a violent atmosphere, few rehabilitation programs and an us-against-them attitude from guards, Kernan said.

"It's just emotional survival. You tend to paint, for example, all inmates with a broad brush of negativity, and I think we've got to change that," he said.

Altering that culture is his top priority as secretary, now that prisons are less crowded and state policymakers are emphasizing inmate rehabilitation, he said.

Kernan, 55, assumed the top post days after the state inspector general said the union that represents most correctional officers is encouraging a code of silence. The report came more than a decade after the department first tried to end a culture in which prison guards protect one another when they witness wrongdoing.

It was part of a scathing investigation that found guards at an isolated state prison created a culture of racism and used an alarming amount of force against inmates, among many other problems.

Kernan plans more training for rank-and-file employees, leadership programs for supervisors, and a search for practices that have worked in other states as he tries to change attitudes. He also plans to work more cooperatively with the inspector general's office and inmates' attorneys who filed the class-action lawsuits that largely drive prison policies and led to the federal population cap.

The additional training is patterned after that being offered at High Desert State Prison after the inspector general's report. That includes stress management and diversity classes for all employees and a national executive training class for wardens.

"The more training officers have, the better suited they are to contributing to a better correctional system," said Nichol Gomez-Pryde, spokeswoman for the California Correctional Peace Officers Association. She added that the majority of correctional officers are professionals who take their duty and oath seriously.

However, the union is suing the department and Inspector General Robert Barton over the months-long investigation at High Desert.

Barton alleged the union advised members not to cooperate and otherwise tried to hinder the

investigation. The union says the department and inspector general violated employees' rights by requiring them to talk to investigators.

Barton praised Kernan for taking positive steps.

"Thus far, Secretary Kernan has indicated a willingness to advance the Governor's vision for a more rehabilitative prison system," Barton said in a statement.

Kernan was the department's undersecretary of operations until Gov. Jerry Brown appointed him to replace departing secretary Jeffrey Beard.

Kernan also said California is on a pathway to regain responsibility for the prison medical system more than a decade after a federal judge seized control as inmates died from neglect or malpractice.

Barton's office on Wednesday said that an inspection found maximum-security Pelican Bay State Prison is now providing adequate medical care.

It's the seventh prison to receive a passing grade since the inspections started last year. But the federal court-appointed receiver who runs the prison medical system has only returned one prison, in Folsom, to state control.

Kernan said he expects that pace to quicken as he works cooperatively with the receiver and Barton's office.

Inspections have found sub-standard care at three other state prisons.

An Update to the Future of California Corrections

(January 2016; excerpt taken from page 20.)

ADMINISTRATION

Succession Planning and Retention

Like most entities throughout state government, retention and succession planning has been an ongoing challenge for the Department. Succession planning provides the ability to forecast future workforce needs and develop strategies to promote a talented, competent workforce, and to mitigate the loss of institutional knowledge through attrition. The Department is currently underprepared for the impending retirement of highly skilled and experienced custody and technical supervisors, managers, and executives and previous efforts have not been robust enough to address the problem. The Department currently has 7,465 employees in supervisory, managerial and exempt classifications. Recent data show that approximately 74 percent of those employees will be at or reach retirement age in the next ten years. Furthermore, of the 74 percent, approximately 71 percent of those employees will be at or will reach retirement age in the next five years.

To address this issue, the Department will work with other agencies to design staff development programs. Specifically, the Department plans to create improved leadership training curricula which will enhance leadership skills and support continuous organizational development. The training will focus on executives as well as prepare employees for positions such as Warden and Superintendent. This training is imperative to prepare the Department's supervisory and managerial staff to assume executive-level positions as more executives retire. An effective succession management plan will help prepare staff to be successful future leaders.

Correctional Officer Academy

The Department has made concerted efforts to recruit qualified correctional officer candidates to fill vacancies to enhance the safety of the institutions and the public. The Department participated in approximately 400 recruiting events in 2015 and completed other hiring efforts utilizing promotional videos, advertisements, and outreach—particularly in communities where prison vacancies are difficult to fill. In addition, in 2015, the Department focused recruitment efforts on military veterans. The recruitment efforts contributed to the Department receiving 38,706 correctional officer applications in 2015. Also in 2015, the Department's correctional officer academy was able to graduate 2,542 cadets for a graduation rate of 94 percent.

California Basic Correctional Officer Academy Curriculum

State of California
Department of Corrections and Rehabilitation
Basic Peace Officer Institute
Richard A. McGee Correctional Training Center

BASIC CORRECTIONAL OFFICER ACADEMY

CLASS SYNOPSIS

I-16

October 19, 2015 to January 15, 2016

(12-week)

RICHARD A. MCGEE
CORRECTIONAL TRAINING CENTER

BASIC CORRECTIONAL OFFICER ACADEMY

ACADEMY ADMINISTRATION

R. CALDERON
Academy Administrator

J. Lowe, Captain
Academy Commander

Course Curricula - 480 Total Hours

SUBJECT: **ALARM RESPONSE**

Alarm Response Plan provides cadets the knowledge and skills to safely respond to emergencies and/or disturbance. Tactically deploy staff and munitions to effectively control and resolve incidents of violence in an institutional setting. Provides training of the Alarm Response Plan and three levels of response, as well as the officers role and responsibility in a disturbance. This course will also provide cadets the ability to provide and coordinate an immediate tactical team response to an incident. This training contains classroom lecture and practical application.

Course Hours: *28*

SUBJECT: **APPLICATION OF RESTRAINT GEAR**

This course provides the cadet an overview of various types of restraint gear used by the Department, each with positive benefits and inherent drawbacks. The training provides instruction on how and when to restrain a combative inmate. The course provides direction to the cadet regarding policies and procedures related to the use of restraint gear, as it pertains to use of force options.

Course Hours: *6*

SUBJECT: **APPRENTICESHIP PROGRAM**

This course provides the cadet with the purpose, function and application of the Correctional Peace Officer Apprenticeship program, including a historic overview. Defines the training requirements for Correctional Officer (CO) during their two year apprenticeship and details the CO's responsibility for the program including: training opportunities, financial compensation, program components, and recordkeeping responsibilities.

Course Hours: *1*

SUBJECT: **ARMSTRONG OVERVIEW**

This course is designed to teach cadets about effective communication, harassment prevention, sensitivity awareness, and provides an overview of the Americans with Disabilities Act and the Fair Employment Housing Act, as well as Section 504 of the Rehabilitation Act of 1973. Participants will become familiar with the Disability Placement Program (DPP). Participants will be able to identify a qualified inmate in the DPP and understand the importance of providing reasonable accommodations to inmates with disabilities.

Course Hours: *2*

SUBJECT: **ARREST AND CONTROL**

This course provides the cadet with the skills to perform specific self-defense moves and control holds in compliance with the California Department of Corrections and Rehabilitation's (CDCR) Use of Force policy and the Peace Officer Standards and Training Commission (POST) guidelines for arrest and control. This training provides the participants with the knowledge and skills needed to defend themselves without the use of a weapon. Cadets will learn the importance of a career-long commitment to practicing weaponless defense skills.

Course Hours: *16*

SUBJECT: **COMMUNICATION DE-ESCALATION TECHNIQUES**

CDCR is committed to resolving conflicts at the lowest and least invasive level, avoiding the use of force. Our correctional culture values positive interactions between correctional officers and inmates and promotes the development of safe conditions in correctional settings. This lesson provides cadets with the skills and practice in effective communication and de-escalation techniques, designed to prevent situations from escalating. In addition to the 28 hours of classroom instruction, the communication/de-escalation training is threaded throughout additional courses in the 12-week Academy.

Course Hours: *28*

SUBJECT: **CORRECTIONAL TACTICAL TRAINING**

Correctional peace officers are expected to maintain order, confront and control disorderly conduct, and affect the arrest of individuals who are in violation of State laws. COs must have basic skills in unarmed self-defense to maintain the security of all persons. Failure to attain these skills may result in serious injuries and/or death.

Course Hours: *24*

SUBJECT: **CDCR FORM 22: REQUEST FOR INTERVIEW**

This course teaches staff to understand the importance of the written request process for inmates/parolees and their role in responding to requests for an interview, item or service. Cadets will be able to process and respond to CDCR Form 22, regarding written inmate/parolee requests in a professional manner, in accordance with departmental policy and procedures. The main focus emphasizes encouraging cadets to use verbal communication to resolve inmate request on an

Course Hours: *1*

SUBJECT: **CELL EXTRACTIONS**

This course provides training to the cadet regarding compliance with the Department's Use of Force Policy during an extraction. This course teaches the cadet knowledge, confidence, and the ability to perform the duties of an extraction team member. Provides training on identifying safety equipment and weaponry authorized for use during an extraction. Upon completion the cadet will understand how to conduct a cell, dorm, and yard extraction in a safe and efficient manner.

Course Hours: *7*

SUBJECT: **CHEMICAL AGENTS**

This course teaches the cadet proper application, skills, knowledge and use of CDCR-approved Chemical Agents. Provides instruction on the importance of policies and procedures of the CDCR in using chemical agents and devices as use of force options. Provides the abilities required to safely use and select the appropriate chemical agents and means of delivery. This course requires exposure to the following agents: Oleoresin Capsicum (OC), Chloroacetophenone (CN), Orthochlorobenzalmalononitrile (CS).

Course Hours: *10*

SUBJECT: **CUSTODY STAFF RESPONSIBILITIES**

Cadets will understand their responsibilities as they relate to the Armstrong Remedial Plan (ARP), the Disability Placement Program (DPP), and relevant policies and procedures. As mandated by the Armstrong v. Brown lawsuit, the Department is required to conduct targeted training for employees whose duties and responsibilities are impacted by the provisions of the ARP. This course will ensure custody staff receive required training regarding their responsibilities for ensuring compliance with the ARP and DPP.

Course Hours: *2*

SUBJECT: **DRUG AWARENESS**

This course teaches the cadet about various drugs found inside an institution. It covers drug identification; how drugs are introduced and transported; and where they are commonly found. It also teaches the effects of drugs, signs and symptoms for an inmate under the influence, and the problems that surround drugs in an institution setting. This course provides training that enables the cadet to recognize drugs and offender manufactured alcohol, as well as teaching them the appropriate action to take for offenders under the influence of drugs and confiscate confiscating drugs or alcohol.

Course Hours: *3*

SUBJECT: **EEO SEXUAL HARASSMENT PREVENTION**

This course introduces and explains Federal Law, State Law, and the departmental policies and requirements regarding Equal Employment Opportunity and Sexual Harassment. Cadets will have the knowledge and skills to ensure discrimination, retaliation, and sexual harassment do not occur in the workplace. This lesson will also sensitize cadets to the importance of maintaining cultural awareness, cooperation, and respect when interacting with staff, offenders, and the public. It conveys the importance of a hostile-free work environment and explains the procedures or course of action to report and/or file a complaint at the formal or informal level. It also explains the roles and responsibilities of supervisory and non-supervisory personnel.

Course Hours: *4*

SUBJECT: **EMERGENCY OPERATIONS**

This course teaches the cadet how to respond to an institution disturbance or natural disaster in compliance with laws, rules, regulations, and policies, including the components for the CDCR's Emergency Operations Plan, Incident Command Post, Standardized Emergency Management System, National Incident Management System, as well as the following roles and responsibilities of the Crisis Response Team, Peer Support Program, mutual aid from other institutions and from various outside agencies.

Course Hours: *2*

SUBJECT: **ESCAPE PREVENTION**

This course provides cadets with an understanding of their role in preventing escapes and how conducting inmate counts provides for the safety and security of the institutions, employees, inmates, and the public. This course covers preventive measures and a pro-active approach to decrease the possibility of an escape. Emphasis is on conducting proper security checks, searches, and identifying escape paraphernalia and escape tools. This course provides training in the steps to be taken in the event of an escape.

Course Hours: *2*

SUBJECT: **ETHICS/CODE OF SILENCE**

This course provides training on the importance of ethical behavior and identifies unethical behavior, the Code of Silence, and the appropriate actions to take according to CDCR policy. The very nature of a CO's job mandates a standard of ethics above that which is required for the general public. Ethics and code of silence training continues to be a significant part of the Department's approach in teaching employees what to do if they observe unethical behavior.

Course Hours: *4*

SUBJECT: **EXPANDABLE BATON**

The purpose of this course is to provide the cadet with the basic knowledge, skills, and abilities to properly use the Expandable Baton. Failure to attain these skills may result in serious injury and/or death. This training includes classroom lecture and practical application.

Course Hours: *20*

SUBJECT: **FEMALE OFFENDERS**

This lesson is an introduction to working with female offenders in CDCR. CDCR recognizes the importance of managing the female offender population through appropriate and effective communication strategies.

Course Hours: *1*

SUBJECT: **FIRE SAFETY**

This course provides cadets with their roles and responsibilities in the fire safety plan. The training explains fire prevention techniques, dangers of smoke inhalation, fire evacuation plans and routes to be followed, as well as responsibilities pertaining to inmate/staff accountability during and after an evacuation.

Course Hours: *2*

SUBJECT: **FIREARMS & QUALIFICATIONS**

This course serves to satisfy the classroom portion of firearms familiarization and range qualifications, as outlined by POST for Penal Code (PC) Section 832 required training. This course teaches the cadet safety rules, nomenclature, qualification requirements, and familiarization with the operation and shooting techniques for the following weapons:

-Ruger Mini-14
-Smith and Wesson .38 revolver

Course Hours: *60* ***(24 hours of course attributed to PC 832 firearms instruction)***

SUBJECT: **FIRST AID & CPR**

This course provides the cadet with the working knowledge of the use of Automated External Defibrillation (AED) and administering standard first aid and/or infant, child and adult CPR in emergencies.

Course Hours: *8*

SUBJECT: **IMPACT MUNITIONS / ARMED POST ORIENTATION**

This course provides training in understanding the departmental policy for deploying approved impact munitions, strengths and weaknesses of impact munitions and identifying injuries that can result from deployment of less-lethal weapons which includes the 40mm multi launcher. Cadets will be able to perform with an inventory of weapons and munitions, as well as reading post orders upon assuming an armed post. Cadets will be able to check for weapons malfunction and be able to transition between weapons when appropriate.

Course Hours: *12*

SUBJECT: **INFORMATION SECURITY AWARENESS**

This course provides cadets with the training and understanding of how to use and protect information assets. Cadets will understand the importance of information security and privacy. Cadets will also learn the factors to consider when supervising inmates who have been granted computer access.

Course Hours: *2*

SUBJECT: **INMATE COUNT**

This course explains the policies and procedures regarding the different types of counts a CO will conduct. This includes the steps to be taken when conducting a count, including but not limited to: Close A, Close B, Emergency, Out-Counts, Positive/Negative Counts, and Standing Counts. Practical applications used during this training illustrate different types of situations that may arise during counts.

Course Hours: *3*

SUBJECT: **INMATE DISCIPLINARY PROCESS**

This course provides the cadets with information and skills for preventing, identifying, and reporting inmate misconduct. The training provides an overview of the classification process. The course explains all the steps in the disciplinary process, including professionalism, being fair, firm, objective, consistent, and using good communication skills. A definition and explanation of progressive discipline is given. Due process rights are explained to include: loss of privileges, who conduct hearings, types of CDCR 115, Rules Violation Reports.

Course Hours: *4*

SUBJECT: **INMATE/PAROLEE APPEALS: FORM CDCR 602**

This course teaches cadets the importance of the inmate/parolee appeals process and their role in resolving inmate/parolee appeals. This course teaches cadets how to solve problems and be proactive to avoid appeals and also provides the cadets with a variety of tools to resolve issues once an appeal has been submitted.

Course Hours: *1*

SUBJECT: **INMATE/STAFF RELATIONS**

This course provides cadets with the skills and ability to effectively communicate in a positive manner with inmates during the performance of their duties. The training defines and explains over-familiarity and the consequences of engaging in this type of behavior and/or activity. The cadet is provided with training on dealing with questionable behavior of fellow staff members and inmates when observed.

Course Hours: *4*

SUBJECT: **INMATE WORK INCENTIVE TRAINING PROGRAM**

This course teaches the purpose of the Inmate Work Incentive Training Program, how it is implemented, and how it applies to supervising inmates. This course provides the cadet with the skills required for completing a CDCR 1697 (Inmate Work Supervisor's Time Log) and CDCR 191 (Inmate Time Card), as well as training on reading the Daily Movement Sheets. The importance and the responsibility of keeping accurate and daily timekeeping records of inmates are stressed throughout the course. The training utilizes practical application developed to help the cadet understand some of the different types of situations that can occur throughout an inmate's work assignment.

Course Hours: *4*

SUBJECT: **INTEGRATED HOUSING**

This course provides an overview of the Integrated Housing Policy (IHP) that ensures housing practices are completed efficiently, to ensure inmate safety, security, appropriate treatment, and rehabilitative needs are being met. This training provides cadets the skills necessary for sound decision-making in executing policies and procedures associated with the IHP. Cadets will know the correct housing codes, classification, and disciplinary procedures to follow in all aspects of IHP.

Course Hours: *1*

SUBJECT: **KEY AND TOOL CONTROL**

This course introduces the concept of key and tool control, and why this is essential for the safety and security of the institution: to prevent escapes, to provide consistency, and ensure accountability. Cadets will learn the steps to take when dealing with discrepancies such as keys/tools found to be broken, missing and/or unaccounted for. Additionally, this course provides training regarding disciplinary action that can result from employee negligence related to key and tool control.

Course Hours: *4*

SUBJECT: **LEGAL ISSUES**

Cadets will be able to identify and understand the legal issues that affect them in carrying out their duties as COs. The training will provide an understanding of the relationship between laws and departmental policies, and how they are both applied within an institution.

Course Hours: *2*

SUBJECT: **MANAGING STRESS**

This course teaches cadets that the ability to manage stress in a correctional environment is essential for a CO's health and productivity. Cadets learn that the negative effects of stress can hinder their ability to provide a safe and productive correctional environment, placing staff members, and the community, at risk. This course will provide students an introduction on the identification of stress, the body's reaction to stress, as well as strategies and resources available to help minimize the impact of stress.

Course Hours: *2*

SUBJECT: **MENTAL HEALTH SERVICES DELIVERY SYSTEM (MHSDS)**

This course provides cadets a basic understanding of the CDCR's Mental Health Services Delivery System (MHSDS). This training educates cadets in the understanding of the MHSDS and the responsibilities of institutional staff in the MHSDS. Components include: Mental Health Services Delivery System Overview, Recognizing Signs and Symptoms of Mental Disorders, and Heat Related Pathology.

Course Hours: *8*

SUBJECT: **ORIENTATION TO CDCR**

This course provides a broad overview of the various adult and juvenile facilities, and the adult and juvenile parole operations. Primary focus is on institutions, their mission, and the divisions that comprise the institution and their function. Descriptions of the various institutions, their custody levels, and physical plants.

Course Hours: *1*

SUBJECT: **ORIENTATION TO PHYSICAL FITNESS TRAINING**

This lesson increases the cadet's level of strength, muscular endurance, cardiovascular endurance, coordination, and flexibility. The goal is to ensure cadets can meet the standards necessary to complete the daily duties as a CO and assist them in completing the Physical Fitness Training Test within the allotted time.

Course Hours: *24*

SUBJECT: **OVERVIEW OF DEVELOPMENTAL DISABILITIES PROGRAM**

According to the Clark Remedial Plan (CRP), this course will include training on CDCR's plans, policies, and procedures to ensure inmates in the Developmental Disabilities Program have equal access to programs, services, and activities without discrimination. The training provides information regarding appropriate adaptive support services and other reasonable accommodations.

Course Hours: *2*

SUBJECT: **PC 832 ARREST/FIREARMS**

This course is required for all correctional peace officers. The course covers the following POST Learning Domains: Leadership, Professionalism, and Ethics, Introduction to the Criminal Justice Systems, Policing in the Community, Introduction to Criminal Law, Laws of Arrest, Search and Seizure, Presentation of Evidence, Investigative Report Writing, Use of Force, Crime Scenes, Evidence, and Forensics, Arrest and Control, Firearms, Crimes Against the Criminal Justice System, Cultural Diversity/Discrimination.

Course Hours: *26*

SUBJECT: **PEACE OFFICER BILL OF RIGHTS/OFFICE OF INTERNAL AFFAIRS**

This course is an introduction and overview of the Peace Officers Bill of Rights (POBOR) and the Office of Internal Affairs (OIA) and its composition. The training provides cadets with an understanding of the peace officers due process if under investigation. Cadets will have an understanding of the POBOR as it applies to their positions as COs, and the role of CDCR and OIA in relation to the correctional peace officer and POBOR. Professionalism, basic responsibility, conduct, and ethics are all discussed, as well as the reporting of misconduct and the various types of disciplinary action an employee may undergo or be faced with when involved in an investigation.

Course Hours: *2*

SUBJECT: **PREVENTION OF INFECTIOUS DISEASE**

This course is designed to provide training to ensure that the cadet can protect themselves from occupational exposure to bloodborne diseases, and if exposed, will know the immediate steps to take to minimize the possibility of becoming infected. Cadets will obtain the information and basic skills necessary to protect themselves and their coworkers from exposure to and contamination from bloodborne pathogens, as well as other infectious diseases and skin infections.

Course Hours: *4*

SUBJECT: **PRISON RAPE ELIMINATION ACT (PREA)**

This course provides training on CDCR's Prison Rape Elimination Policy which provides guidelines for the prevention, detection, response, investigation, community re-entry, and tracking of offender sexual assaults and sexual misconduct between offenders and/or staff and offenders.

Course Hours: *2*

SUBJECT: **"R" IN CDCR - PART 1**

This course will provide an overview of the Division of Rehabilitative Programs (DRP) to include how rehabilitation pertains to the correctional process, the importance of rehabilitation, programs offered by DRP, different treatment methods, and the process for identifying offenders.

Course Hours: *2*

SUBJECT: **"R" IN CDCR - PART 2**

The course will provide training on the role of a CO in the offender rehabilitation process. The training includes information regarding the components of a CDCR Reentry Hub and the programs offered by the Community and Reentry Services Unit within DRP.

Course Hours: *2*

SUBJECT: **RADIO COMMUNICATIONS/ALARM DEVICES**

This course provides the cadet with an understanding of the CDCR's policies and procedures regarding the use of radio communications and alarm devices. Provides the cadet with instruction on how to operate and communicate with radios during emergency and non-emergency situations.

Course Hours: *4*

SUBJECT: **REPORT WRITING**

This course provides an understanding of how to properly document information regarding incidents. Cadets will know all the required reports and forms utilized by the Department. This lesson ensures cadets understand the importance of effective writing in a correctional setting, the characteristics of effective writing, grammar, punctuation, and the principles of clear written communication.

Course Hours: *20* ***(2 hours of course attributed to PC 832 Arrest)***

SUBJECT: **SEARCH AND INMATE PROPERTY**

This course trains the cadet on procedures on how to handle, search, and inventory inmate property. COs must know the departmental policies governing inmate property and the institution's operational procedures.

Course Hours: *16*

SUBJECT: **SECURITY THREAT GROUP**

This course provides the cadet with training regarding the Department's policy in addressing gang management. The Security Threat Group policy defines staff responsibilities and establishes a uniform process for the prevention, identification, interdiction, and management of security threat groups and individual affiliations within the CDCR.

Course Hours: *6*

SUBJECT: **STAFF RIGHTS AND ASSIGNMENT RESPONSIBILITIES**

This course has been designed to teach the new cadet about the Informational Practices Act. The training provides the cadets with an understanding of what their duties and responsibilities will be according to their assignments. This also includes the review of Post Orders, and policies and procedures related to the positions.

Course Hours: *3*

SUBJECT: **STAFF SUICIDE PREVENTION**

This course teaches cadets the importance of suicide awareness to reduce employee suicides and attempted suicides within CDCR by educating and training staff. This training assists staff in their recognition of those who may be in need, and provides resources to work through any personal or professional issues.

Course Hours: *1*

SUBJECT: **STRATEGIC OFFENDER MANAGEMENT SYSTEM**

This course will introduce the cadet to the Strategic Offender Management System (SOMS). This training provides instruction and hands on application in a computer lab for the cadet to acquire the knowledge and skills in: SOMS Overview and Fundamentals, Retrieving Information in SOMS, Managing Offender Movement in SOMS and Managing Offender Counts in SOMS.

Course Hours: *4*

SUBJECT: **TRANSPORTATION OF INMATES**

This course provides cadets with the skills and abilities to provide safe, secure, and humane transportation of inmates to medical services, court appearances, institutional facility transfers (internal and external) and parole release. This training will also provide the entry-level CO with the knowledge to keep inmates, themselves, and the public safe during the transportation process.

Course Hours: *2*

SUBJECT: **USE OF FORCE**

This course will introduce the cadet to the policies, procedures, and legal ramifications associated with the use of force. This lesson has been designed to provide cadets the tools necessary to determine the appropriate steps to take when use of force is necessary and unavoidable. The goal of this lesson is to create an atmosphere within the Department where minimal and reasonable force is used to maintain the safety and security of inmates, staff, and the institution. The training utilizes extensive scenarios, as well as videos, that provide the cadet situations in which they must use discretionary decision-making in determining appropriate use of force options.

Course Hours: *8*

SUBJECT: **VICTIM OF CRIMES**

This lesson provides cadets with basic knowledge of the impact of crime on victims, their responsibilities as they pertain to child victimization, domestic violence, and services available from the Department. Cadets learn the basic information on reporting requirements for child victimization and mandated reporting.

Course Hours: *3*

SUBJECT: **WORKPLACE HEALTH AND SAFETY**

The goal of this course is to ensure that cadets are able to perform their duties in a healthy, safe, and secure work environment. Cadets will receive training to ensure that safety practices are followed, and the importance of reporting and correcting unsafe workplace conditions, by reporting accidents, and acting as a safety role model, using proper safety equipment.

Course Hours: *4*

SUBJECT: **USE OF FORCE REFRESHER**

This lesson provides cadets with four additional hours of training on CDCR's UOF policy. The goal is to re-enforce the UOF training cadets received during the first week of the academy prior to reporting to their assigned institution.

Course Hours: *4*

ADDITIONAL TRAINING (INFORMATIONAL)

SUBJECT: **CCPOA**

A presentation by the California Correctional Peace Officers Association (CCPOA) explaining CCPOA's mission and the Peace Officer's Procedural Bill of Rights.

SUBJECT: **COMPANY MEETINGS AND EVALUATIONS**

This is used for meeting with cadets and allows time to address any issues/concerns cadets may have regarding the academy.

SUBJECT: **CADET ON-SITE INSTITUTIONAL TRAINING**

Cadets will spend time at various adult institutions and receive structural On-the-Job Training (OJT) to complement the training received in the academy. This OJT provides the cadets with insight to the various levels of inmate housing (Level I through Level IV) facilities.

SUBJECT: **EXAMS**

Major exam are administered per POST requirements and cover the courses presented to the cadet during each week of instruction.

SUBJECT: **GRADUATION**

This period of time is utilized for the cadet check-out process, inspection, and the graduation ceremony.

SUBJECT: **ORIENTATION/REGISTRATION**

This period of time is devoted to the intake process of new cadet arrivals, distribution of study materials (workbooks), uniform necessities, linens, and housing/living quarters assignments. This time also allows for the processing and completion of necessary paperwork.

Achieving Performance Excellence (APEX) Guidebook Series

Culture and Change Management: Using APEX to Facilitate Organizational Change

(National Institute of Corrections; excerpt includes Chapters One, Two and Three.)

U.S. Department of Justice
National Institute of Corrections

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Culture and Change Management:

Using APEX To Facilitate Organizational Change

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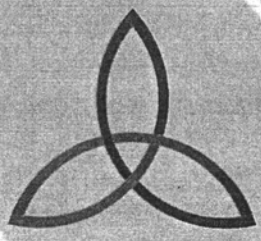
Tom Ward



People in Charge LLC

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Chapter 1: Introduction

Good cooks rely on principles, not recipes.

—Julia Child

The culture of an organization is one of the most influential factors in its ability to sustain a change effort. Deeper than the more superficial climate or morale, culture differs based on where it is on two continuums: between an external or internal focus, and between structure and control versus flexibility and agility. Chapter 2, "Organizational Culture and Change," focuses on this balance through the Competing Values Framework and discusses the four types of cultures that are created from the two continuums (see exhibit 1 in chapter 2 for an illustration of the framework).

Looking at where an organization falls on the Competing Values Framework helps point a path to successful change through the APEX (Achieving Public Excellence) Change Management Model. The groundwork for this model is laid out in chapter 3. Research on what enables successful change plans indicates that the human component is critical. Further research finds that engaging stakeholders through awareness, desire, knowledge, ability, and reinforcement is important for change to take place at all. Change efforts also succeed using Kotter's Eight-Step Process, detailed in this chapter.

The APEX Change Management Model is introduced in detail in chapter 4. Based on research and current best practices, it provides a step-by-step plan for creating and sustaining change that can be put to work in any correctional organization. A process map in this chapter helps illuminate how it all fits together to support change initiatives. Chapter 5 expands on this model, detailing elements for successful change that can become part of a successful plan.

Communication is central to any change effort, and chapter 6 explains how to put together a communications plan for change. This plan must be written with a focus on aligning with Prison Rape Elimination Act (PREA) standards, but should be adaptable to any communication issue. Chapter 7 includes an example of the APEX Change Management Process in action, presenting a case study where an agency shifted its culture to implement PREA standards. This detailed case study is complete with sample documents to enable others to follow this process. Chapter 8 contains an APEX Change Management Model with respect to reentry. Case studies of successful reentry change initiatives are cited and links to additional resources are provided.

Chapter 2: Organizational Culture and Change

If you want to change the culture, you will have to start by changing the organization.

—Mary Douglas

Every organism, and every *organization* of organisms, must deal with two fundamental issues to survive within its environment. The need for balance is the same for individuals and all of their organizations, whether formal or informal, public or private, temporary or permanent.

First, an organization has to determine the value it will place on an internal focus to maintain its day-to-day processes as opposed to the value it will place on an external focus to monitor and respond to its environment. Second, an organization has to choose how much it will value stability and control to maintain its identity and structure as opposed to valuing flexibility and agility to adjust to changing demands. The choices an organization makes determine how well it will survive and thrive.

The concept of "culture" has a complicated history. In the past it referred to the cultivation of an appreciation of the arts or the pattern of human knowledge that depends on symbolic thought and social learning. The definition used most recently in examining organizational culture is: the shared assumptions, values, beliefs, attitudes, norms, and practices of an organization or group. The problem is that usually people do not have any clearer notion of exactly what "assumptions," "values," or "beliefs" are than they do of what is a "culture."

Instead of trying to define exactly what a culture is, it is easier to describe what a culture *does:* it tells people in an organization what will be expected of them and what they can expect of others. People will learn when they know what the expectations are, but more often they learn culture by watching others.

When people have been initiated into a shared organizational culture, they take for granted a set of assumptions, values, beliefs, and attitudes. Edgar Schein, a pioneer in the study of organizational culture, describes culture as "A pattern of shared basic assumptions that was learned by a group as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way you perceive, think, and feel in relation to those problems" (Schein 2005:17).

Schein (1999) identifies three levels of organizational culture. The first level is what is seen in an organization—its formal structure and chain of command, position titles, policies, procedures, and public image. The second level is what an organization says, such as its mission and values statements, codes of conduct, and even the name it calls itself. The third level deals with tacit assumptions in the organization requiring indepth analysis.

The first two levels are easier to change than the third level. Organizations often do a paper implementation by making changes such as renaming a program, adopting a new mission and values statement, or rewriting policies or procedures. Mission and values statements are declarations of the *ideals* of an organization, not descriptions of the *realities* of daily behavior. An organization may have a value statement such as "We value open and honest

Note: "Organizational Culture and Change" was originally written by Christopher A. Innes, Ph.D.

communication throughout the agency" when the real value, as expressed in day-to-day behavior, may be closer to, "We value telling others only as much as we have to."

The majority of organizational change efforts fail because they are limited to the first two levels of organizational culture; they never reach beyond the ideals to confront the realities. Underlying these more visible layers is the third level: the deep assumptions that guide organizational culture and that can make or break any change effort. People immersed in a culture usually can only partly explain the unwritten rules or underlying assumptions. They just *know* what is right or wrong when they see it.

Many of the basic assumptions are erroneous or unflattering. For example, the belief that the organization is at the mercy of outside forces and has little control over its own future may produce a deep cynicism that is seldom voiced. The effect of reduced budgets and cutbacks by external forces may lead staff to believe they have no control over the future operations of the organization. Other cultural assumptions may concern human nature, such as if people can be trusted to do the right thing without being closely supervised, if they will always resist change, or if they usually act selfishly rather than for the common good of the organization. Finally, organizations develop their own rhythm based on their view of how quickly things should happen and if they believe a can-do attitude is more important than slower, more deliberative decisionmaking.

Because of their assumptions, organizational cultures often differ in the degree to which they want staff to respect authority or closely follow established procedures versus allowing staff more discretion and greater decisionmaking power. Compared to other industries, correctional agencies also experience uniquely traumatic experiences such as riots, homicides, staff misconduct, and high-profile crimes. An organization's history, combined with its culture, has a powerful effect on how the people within that organization perceive and respond to the challenges represented by external or internal pressures.

None of the differing assumptions, values, beliefs, or attitudes of a particular culture are necessarily wrong for that organization. Some thrive in a competitive culture based on self-interest while others survive in a culture based on a sense of duty and self-sacrifice. Which culture an organization adopts over time depends on the organization's purpose and whether its cultural framework helps achieve its goals. When a culture is no longer working,

CULTURE, CLIMATE, AND MORALE

How culture relates to climate and morale is often confusing, in part because research literature about climate or morale has not made the difference between them clear. Climate and morale are more superficial and change more easily than culture, often in response to temporary events such as a change in leadership. An organization needs to have a positive climate to do culture work, but a negative climate can be improved more easily than changing the culture. People in an organization may be unhappy or frustrated with how things are going at any one time, but that may not have anything to do with the fundamental beliefs and assumptions that underpin their organizational culture. Since dysfunctional cultures usually breed poor organizational climates, a first step in culture change is often to make symbolic gestures by fixing something particularly irritating or frustrating for staff (e.g., providing more dependable communication devices or increasing the use of video surveillance).

Source: D. Denison, "What is the Difference Between Organizational Culture and Organizational Climate?" *Academy of Management Review* 21:619–54, 1996.

however, organizations are faced with the complicated task of *deliberately* changing the cultural framework. If cultural frameworks are mostly unspoken and invisible, then directly changing them is difficult. Trying to argue people into changing their assumptions or values seldom works.

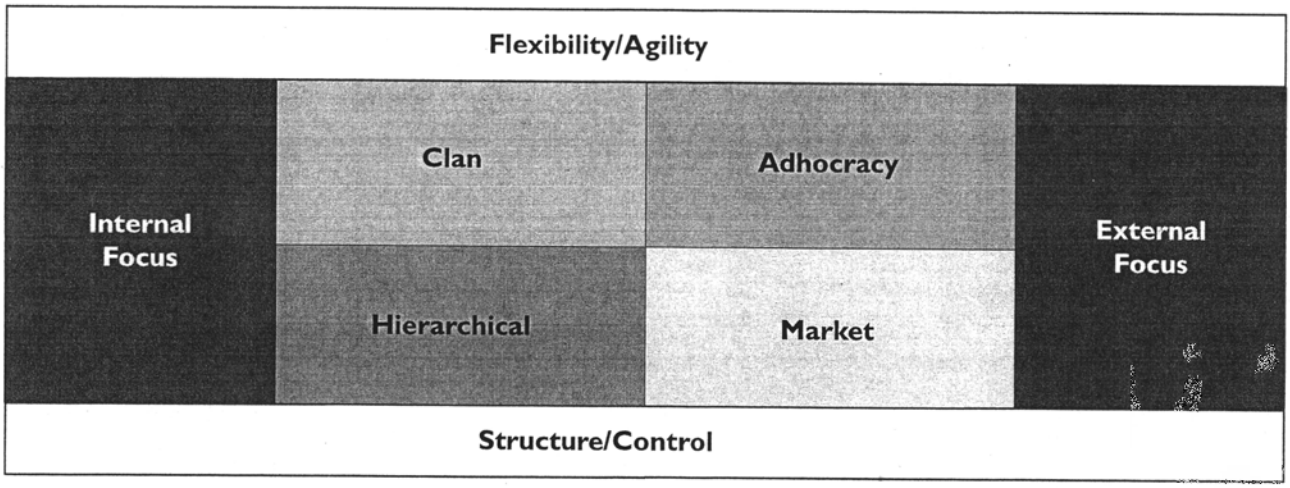
This gives rise to the truism, "You don't change cultures by trying to change cultures." Cultures are learned based on what works; therefore, to change a culture leaders have to show that something else works better. The success and sustainability of organizational change will ultimately rest on responses and adaptations to the challenges and changes in the environment that gave rise to the need for organizational change. Changing an organizational culture is like learning to ride a bicycle; one keeps trying until he/she stops falling off. When a change effort starts to encounter resistance, it is often because it chafes against the underlying cultural assumptions of the organization. Then the real work of cultural change actually begins. The Competing Values Framework, which has been used by correctional agencies across the country, is one approach for diagnosing and changing organizational cultures.

Competing Values Framework

The Competing Values Framework, based on the work of Kim Cameron and Robert Quinn (2006), suggests that every organization must balance competing values between an internal focus versus an external focus, and between structure and control versus flexibility and agility. Exhibit 1 illustrates this framework. The grid in the exhibit shows the four types of cultures that are created in their purest form, depending on where they are placed along the competing values dimensions.

An organization that places a higher value on the effective integration and a seamless unity of processes (internal focus) and also highly values reliability and clearly defined structures and roles (stability and control) is labeled *hierarchical* in this framework. This type of culture is very typically found in correctional organizations.

Exhibit 1: Competing Values Framework



A very different type of culture exists when an organization places the same high value on effective integration and a seamless unity of processes (internal focus), but also highly values flexibility, discretion, and dynamic change (flexibility and agility). In the Competing Values Framework, this type of culture is labeled *clan* to capture the more familylike feel of organizations with this kind of culture. One way to contrast these two cultures is to say that in a hierarchical culture there is a strong emphasis on "doing things right," whereas in a clan culture the emphasis is on "doing things together." A common issue in correctional organizations is when there is the perception that the organization is too hierarchical and people want it to become more clanlike in the way it operates. Whenever there is a call for more teamwork or eliminating silos, it is a call for a more clanlike culture.

While hierarchical and clan cultures have an internal focus in common, two other cultural types (market and adhocracy) have an external focus; i.e., they place a high value on interacting with and/or competing against those outside the organization, such as customers, market competitors, and shareholders. These two cultures are more common in the private sector and differ from one another in the value they place on stability and control versus flexibility and agility.

An organization with an external focus that also highly values stability and control is labeled a *market* culture on the grid. By contrast, an organization with an external focus that also highly values flexibility and agility is labeled an *adhocracy*. This label is rooted in the phrase *ad hoc* and implies an organization that values a dynamic approach with specialized, often temporary, ways of organizing its work. While a market culture might emphasize "doing it fast," an adhocracy might emphasize "doing it first."

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

A correctional agency, on the other hand, would not last long if it adopted the same style. This does not mean that even the most hierarchical organization might not benefit from a little experimental risk taking. In fact, borrowing an element from a different cultural type and experimenting with it is a basic strategy for changing an organization's culture. For example, focusing on results enables an internally focused organization, such as a correctional agency, to move in an externally focused direction. Workforce development, on the other hand, could move the same organization toward a more clanlike culture. Many of the organizational change models proposed in recent years, such as Total Quality Management, reengineering, and downsizing, fit directly into the Competing Values Framework.

Keeping in mind that these are pure types used as examples, reviewing the details of each culture type helps to better understand how they work. Examining the leadership style, value orientation, theory of high performance and definition of success, and workforce development and preferred staff competencies gives one a sense about how it would feel to work within a particular culture. It also clarifies how disastrous it could be for an organization to have a leader with a style or a human resources strategy that clashes with its culture. The irony is, organizational change requires that a change must, to some degree, clash with the existing culture.

CULTURE TYPES

Adhocracy Culture

Description: Externally focused and valuing flexibility and decentralized decisionmaking intended to produce an organization that is agile, innovative, responsive, and constantly reinventing itself.

Value orientation: Creativity.

Theory of high performance: Innovation, expansive vision, and new resources will drive performance.

Definition of success: Leading the field in producing innovations.

Leadership type: Innovator, entrepreneurial, and visionary.

Human resources role: Fostering change and facilitating transformation.

Staff competencies: Systems thinking skills, organizational change abilities, collaborative, and consultative.

Market Culture

Description: Externally focused and valuing stability and control, this type of organization functions internally like a market by encouraging competition between units and rewarding bottom-line success.

Value orientation: Competition.

Theory of high performance: Competition and customer focus will drive performance.

Definition of success: Market share, achievement, profitability.

Leadership type: Hard driving, competitive, goal oriented, and productive.

Human resources role: Strategic business partner.

Staff competencies: Business and marketing skills, strategic analysis and leadership, achievement orientation.

Clan Culture

Description: Internally focused and valuing flexibility and decentralization, this type of organization values shared goals, participation, inclusiveness, and individuality.

Value orientation: Collaboration.

Theory of high performance: Individual development and participation will create higher performance.

Definition of success: Organizational commitment, participation, personal development, and familylike work environment.

Leadership type: Facilitator, mentor, and team builder.

Human resources role: Champion for employees, supportive, and responsive to employee needs.

Staff competencies: Good social and communication skills, cooperative, committed to organizational and personal development and improvement.

CULTURE TYPES (continued)

Hierarchical Culture

Description: Focused on rules, specialization, and accountability to produce an organization that functions smoothly and reliably.

Value orientation: Controlling.

Theory of high performance: Control and efficiency with well-defined and effective processes will produce higher performance.

Definition of success: Efficiency, timeliness, consistency, and stability.

Leadership type: Coordinator, monitor activity, and organizer.

Human resources role: Selection and assignment of specialists, skill maintenance and improvement, rule enforcement.

Staff competencies: Process orientation, customer relations, and service needs assessment.

These four types of organizational cultures provide a conceptual model that allows people to think through strategies to manage and change organizational cultures. No organization is a pure example of any one type, and most organizations mix different types depending on the roles and functions of the organization's different departments or divisions. In correctional facilities, line-level custody staff will have a different subculture from that of the central office. One of the strengths of the Competing Values Framework is an easy-to-use questionnaire, called the Organizational Culture Assessment Instrument (OCAI), which organizations can use to plot their location on the culture grid. This is incorporated into the APEX Inventory assessment tool. It can be found at *http://www.ocai-online.com/products/ocai-one.*

A Fresh Look at Correctional Cultures

Most correctional agencies, because of their public safety mission and militaristic, chain-of-command organizational structure, cluster in the hierarchical cultural type. The image of hierarchical cultures has usually been presented in negative terms in research, which is a reaction to what was perceived as the stifling cultures of rigid bureaucracies and the authoritarian leadership styles they employed. Rensis Likert (1961), for example, presented a typology of leadership styles that argued that the kinds of leadership and cultures typical of hierarchical organizations were to be avoided. In 1964, *The Managerial Grid* (Blake and Mouton 1964) labeled hierarchical cultures as having an "impoverished style" of management. While these theorists focused on corporate cultures, the tone they set toward hierarchical organizations has had a strong influence in how many view them, including those in corrections.

A better way of describing correctional culture from within the Competing Values Framework requires correctional organizations to look at the mission of corrections and how it has molded the organizational culture. Brad Bogue (2010) has pointed out that corrections shares a number of attributes with other high-reliability organizations that are characterized by complex, tightly interconnected processes intended to position the organization to

respond instantly to potentially catastrophic events. Other examples of organizations that need to have high-reliability cultures are air traffic control, nuclear power plants, air and rail transportation systems, aircraft carrier deck operations, combat operations units in general, and firefighters. These seemingly very different types of organizations all share some essential elements that reveal the cultural characteristics they have in common.

Foremost among them is a *preoccupation with failure,* meaning that the organization strives to be constantly aware that any incident can mushroom into a crisis and that organizational readiness is essential (Weick and Sutcliffe 2001). This readiness involves close ongoing monitoring of operations to identify potential risks and respond to them quickly. In addition, a *reluctance to simplify* and *sensitivity to operations* are parts of the culture of a high-reliability organization. These organizations resist oversimplification of practices or processes by relying on redundancy, multiple levels of review, and close coordination across operational units to avoid gaps in the system. *Sensitivity to operations* refers to the close monitoring of operational details, frequent program reviews or audits, and preoccupation with adherence to operating procedures.

Two other characteristics of high-reliability organizations that are familiar to anyone working in correctional organizations are *deference to expertise* and a *commitment to resilience*. High-reliability organizations place a high value on expertise and skill, especially when they have been gained through years of hands-on experience. During critical incidents, agencies must have the capacity and the confidence in their staff to shift decisionmaking to the front lines where instant responses are necessary. A commitment to resilience is when organizations display a high level of organizational pride in meeting challenges and overcoming adversity. The camaraderie and morale commonly observed in high-reliability organizations such as correctional agencies is a fundamental expression of the cultural values underlying this type of organization. Like deference to expertise, commitment to resilience adds to the dynamic qualities of organizations and works to counterbalance the rigidity that a preoccupation with failure, reluctance to simplify, and sensitivity to operations can create in those same organizations.

From the perspective of the Competing Values Framework, high-reliability organizations can be seen as hierarchical organizations with values that are more clanlike. These values serve to keep the organization from becoming too rigid in its operational posture and allow it to pivot rapidly in a crisis. This mix of values has been learned by the organization and the profession at large as it has dealt with the unique challenges of working in corrections. This balance, however, can be upset when an organizational culture has "overlearned" these lessons; an organization may then be *too* preoccupied with failure to the point that it avoids any risks, relies too heavily on command and control, and is inflexible in its operations.

The idea of cultural change may actually be a misnomer—what most correctional agencies need to do is to rebalance their culture by bringing forward and emphasizing expertise and resilience.

Discussing cultural issues in a correctional setting from the rebalancing perspective may be a more constructive approach. Rather than stressing the need for cultural change, the message from leadership can be to focus on the need to rebalance or restore the culture. The goal is then to bring back the core values of *expertise* and *resilience* in the face of challenges. Framed in this way, many of the problems associated with the idea of forcing people to change are avoided.

Since 2000, the National Institute of Corrections (NIC) has been carrying out a project on prison culture that seeks to help institutions assess and change their cultures. Dozens of institutions were assessed by a team of outside correctional professionals during a multiday, onsite visit. The assessment used a number of techniques, including

observation of operations on all shifts, individual interviews and discussions with focus groups comprising staff and incarcerated individuals, and the administration of a modified version of Cameron and Quinn's (2006) OCAI. NIC found that the current culture was skewed heavily toward the lower left corner of the grid (the hierarchical culture), while the preferred culture tended much more toward the upper left corner of the grid (the clan culture). Issues raised by staff in interviews and focus groups involved problems with communication, mutual respect, lack of trust, and similar themes that point to a desire for a more clanlike organizational culture.

Institutions assessed in this project participated because they had intractable problems that they identified as being cultural, at least in part. The dissatisfaction of the staff may be due to the lack of deference to expertise and a commitment to resilience. This does not mean the staff had a theory of how a high-reliability organization should operate, but it could mean that they had an intuition that their organization was not working the way it should. Their frustration does not mean that they want to replace their culture with a clan culture, but they do want to see their culture become more balanced.

Leadership and Culture Change

In a typical hierarchical correctional organization, cultural rebalancing nearly always requires a special brand of leadership, and transformational leaders are the most effective in creating changes within an organization (Eggers and Gray 2012). The concept of transformational leadership is part of the Full Range Leadership Model (Bass and Avolio 1994). This model compares three types of leadership: laissez-faire, transactional, and transformational. In contrast to the first two, transformational leaders are able to motivate staff to go beyond where they would otherwise be willing to go.

THREE TYPES OF LEADERSHIP

Transactional: Based on exchanges between leaders/followers.

Laissez-faire: Lack of leadership, "anything goes" sense of responsibility.

Transformational: Encourages change, makes it possible for others to take responsibility and be accountable.

"The transactional leader works within the organizational culture as it exists; the transformational leader changes the organizational culture" (Bass and Avolio 1994:24). Transformational leaders influence staff by increasing awareness of the importance of achieving organizational goals, creating a vision and required implementation strategy, motivating staff commitment to the organization, and encouraging personal development and organizational excellence. A transformational leader is one who influences staff by acting as a role model, creating inspiration, encouraging innovative thinking, and functioning as a coach or mentor to individual staff (Bass and Avolio 1994). In the Competing Values Framework, a transformational leadership style is characteristic of an adhocracy or clan culture. If a hierarchical culture such as corrections adopts this style, it should move the organization into a more balanced, high-reliability organization.

Positive leadership (Cameron 2008) is another management style that transforms organizations. In this style, extraordinary performance is *expected* in the organization. "Without being Pollyannaish, it emphasizes positive communication, optimism, and strength as well as the values and opportunity embedded in problems and weaknesses" (Cameron 2008:2). Positive organizations focus on thriving by stressing the strengths, capacities, and potential of staff as well as by creating an organization that works to facilitate the best of the human condition and foster organizational virtuousness.

ORGANIZATIONAL VIRTUOUSNESS

Virtuous organizations are those that provide a positive environment for workers, clients, and stakeholders. They have organizational goals that are meaningful, as well as policies and practices that provide benefit to their customers/clients, workforce, and other stakeholders. There are three characteristics that help define the virtuous organization: human impact, moral goodness, and social betterment:

- **Human impact.** The organization hires people with moral character and meaningful purpose and creates an environment where coworkers treat each other and stakeholders fairly.
- **Moral goodness.** The organization is value driven and its goals, policies, and procedures reflect what is good and right.
- **Social betterment.** The organization's results produce benefit to others.

Source: K. Cameron, J. Dutton, and R. Quinn, *Positive Organizational Scholarship: Foundations of a New Discipline* (San Francisco: Berrett-Kohler, 2003).

Correctional leaders struggling with a dysfunctional culture may see a leadership change as an unrealistic goal, but the concepts of transformational and positive leadership styles are well grounded in research and practice (Cameron 2008). The styles can be broken down into specific strategies and actions that correctional administrators, managers, and line supervisors can learn and use. Cameron (2008), for example, lists four organizational development strategies that create a more positive and higher performing organizational culture:

1. Creating a positive tone in the organizational climate.
2. Promoting positive interpersonal relationships with and between staff.
3. Stressing positive communication at all levels of the organization.
4. Infusing purpose and meaning into the work life of all staff.

There is no shortage of culture change resources, including theories, books, training programs, and consultants, each with their own set of principles, concepts, strategies, and techniques. Most have been tried in organizations, including corrections, and most have failed to produce lasting change, mainly because change is not a theoretical exercise. Cultures are learned in the first place and are maintained because they seem to work; new cultures will be learned and maintained only if they work better than the old culture.

A useful way to think about what an organization needs to do is to look at what it is trying to accomplish: (1) fix a specific problem, (2) work to improve how things are done, or (3) implement something new. When working to improve how things are done, the goal is to increase the efficiency or effectiveness of existing operations, practices, or processes. Improvements are not fundamental changes to operations—they only make the current way of doing things work better. On the other hand, when an organization is trying to innovate, it is seeking a new, more effective way of doing things. The difference is that a successful innovation will achieve higher levels of performance than the old way of doing things, *even when the old way was working as well as it could.* Since innovation is much more costly and difficult than a simpler improvement, an organization must very carefully consider whether an investment in a large-scale innovation effort is feasible and will be worth it.

Deciding which of these two—organizational development versus organizational innovation—will be attempted is fundamentally strategic. Boonstra (2004) draws a distinction between *planned change* and the kind of organizational development referred to here as organizational *innovation*. Planned change is more limited in scope and focuses on incremental improvements in the existing organization and its culture. For example, Cameron (2008) lists *positive communication* as one of the most effective ways to improve organizational performance. Research has shown that just increasing the ratio of positive messages to negative ones has a measurable effect on performance. Positive statements include expressions of appreciation, support, helpfulness, approval, and compliments, whereas negative statements express criticism, disapproval, dissatisfaction, cynicism, or disparagement. Greater use of more positive statements and fewer negative ones has a powerful effect on an organization's climate and culture.

Before an organization undertakes the intensive work of a lengthy cultural change process, it needs to know if it is really ready. Many of the organizations involved in the NIC culture project had dysfunctional cultures, but were not ready to change because the organization as a whole was not working. These organizations did not consistently follow the accepted standards of professional practice in corrections, and the assessment team was able to point to clear deficiencies. Other organizations worked well enough, but the more objective observers on the team identified areas of correctional policy or practice that could be improved. An organization with basic deficiencies or where simpler operational improvements are available is unwise to try large-scale efforts for change. However, if an organization is ready to undertake such a transformation, correctly implementing the change is crucial to long-term success.

Implementation of Culture Change

Implementation has now become an evidence-based practice. A clear, step-by-step process can be used to make permanent changes to an organization. Dean Fixsen and his colleagues (2005) at the National Implementation Research Network have led the way in synthesizing this body of knowledge. They define implementation as the art and science of incorporating into the routine practice of an organization an innovative policy, practice, or program. "According to this definition, implementation processes are purposeful and are described in sufficient detail such that an independent observer can detect the presence and strength of the 'specific set of activities' related to implementation" (Fixsen et al. 2005:5). Implementation is not about what people see or what an organization says, it is about what an organization does. Paper or process implementations focus on the surface aspects of the culture, but real implementation has to be about the underlying behavior of the organization. To implement anything, specific people within an organization must perform specific activities that are visible, verifiable, and represent new patterns of doing the work. Successful implementation occurs when a well-planned and purposeful program is executed through each stage of the process.

IMPLEMENTATION FIDELITY

- The degree to which an innovative program follows the original program design.
- The faithful implementation of the program's components.

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

The first step in the Fixsen et al. (2005) model is *exploration and sustainability.* Failing to invest the resources and take the time necessary to complete this step causes most implementation failures. During this step, the leadership, the Change Team, and a staff workgroup or advisory committee must identify precisely what the change being proposed will involve, what evidence shows that it is a workable solution for the organization, whether it is feasible to adopt the change, and how the organization can be prepared for the change. This group also has to assess whether resources are available to implement and sustain the change, how fidelity in the implementation will be monitored and maintained, how success will be measured, and how turnover will be managed to renew the effort as personnel change.

Cameron and Quinn (2006) have a six-step process for change that essentially expands on the first step of the Fixsen et al. (2005) model. The first two steps in their process involve the development of agreement by key staff, including those who will be directly involved in the culture change effort, on what the current culture is and what the desired future culture should look like. It is important that this process be inclusive and that it involve all of the important subgroups within the organization who are essential to success. The next stage is a review to determine what the change from the current to the desired future culture will and will not mean for the organization and each of its subgroups. Cameron and Quinn (2006) label the fourth step in the process "identify illustrative stories" to point to the need for an organization to create a shared narrative of the history and future of the organization. They say "... the team should identify two or three incidents or events that illustrate the key values they want to permeate the future organizational culture" (Cameron and Quinn 2006:97). These are success stories that can be used as examples of the organization at its best, especially stories that highlight expertise and resilience. The fifth and sixth steps are to develop a strategic plan and an implementation plan. In the Fixsen et al. (2005) model, the implementation plan is expanded into five more steps.

After the initial groundwork has been done, the next step in the Fixsen et al. (2005) model is to launch the installation stage of the change initiative. During installation, all of the necessary people and resources are put into place. If staff need to be hired, reassigned, relocated, trained, equipped, or supplied, this should be done, together with all of the necessary bureaucratic adjustments to infrastructure, rules, and regulations. The installation stage is the next opportunity to familiarize the organization with the change.

The third stage, initial implementation, is where many organizations begin and soon fail. It is usually the first time that the people working in the organization really see changes taking place, and often they do not like what they see. Change in theory is too abstract to arouse much concern, particularly in organizations where change efforts have come and gone many times before. Change is probably not real unless it is uncomfortable; it is at the point of initial implementation that behaviors are changing and the underlying assumptions of the organization's culture are being challenged. A higher degree of tension, raised voices, and some melodrama can be expected, which

should be welcomed rather than suppressed or ignored. Ignoring difficult issues is part of what has maintained the undesirable culture in the first place.

Moving from initial implementation to full implementation is an incremental process as the innovation expands across and is integrated into the practices and procedures of the organization as a whole. The tasks of full implementation include maintaining and improving skills and activities, integration and coordination, and changes in policy to adjust to new ways of operating. Most initial implementations take place in pilot sites that have been chosen because they are a more friendly organizational territory, so full implementation usually involves expanding into less hospitable parts of the organization. Hopefully, the organization learned enough lessons during the initial implementation to be equipped to anticipate and respond to most of the issues that arise during the full implementation.

Each attempted implementation of an innovation will also create opportunities for more improvement as it becomes an accepted part of the way things are done in that organization. The *innovation* stage begins to emerge from the process of full implementation when staff stop coping with the change and start making further improvements. Unfortunately, some of the suggested "improvements" may simply be backsliding or may represent a drift away from the original goals of the change effort. The best way to avoid either backsliding or drift is to ensure that the innovation has been fully implemented with fidelity before beginning any modifications.

Finally, a distinct stage of sustainability needs to take place, during which the effects of the change settle into the organization's culture. The challenge during this stage is to renew the change as turnover brings new staff into the organization as other staff leave.

Immunity to Change

Any change, even a change for the better, is always accompanied by drawbacks and discomforts.

—Arnold Bennett

In the brief presentations above on leadership types, change, and implementation, the many difficulties of making changes in an organization and its culture have been noted only in passing. The actual implementation of a large-scale change in any organization rarely proceeds smoothly through a set of predictable stages.

Robert Kegan and Lisa Lahey (2009) have closely examined the idea of "immunity to change" as a predictable and manageable transition point in any change process. Kegan and Lahey provide a structured approach to developing an immunity map that has proved useful for guiding change efforts in a number of settings. Mapping out the process of undertaking change first involves developing a clearly defined improvement goal. This is what should have come out of the exploration and sustainability stage of the implementation process. The second step requires a fearless inventory of what the organization is doing (or not doing) that works against accomplishing the goal; how the organization has defined its current and preferred future culture should have shed light on how it works against itself.

The difficult work of describing what people do to reinforce the current culture and create obstacles to the preferred culture should be done thoroughly. An honest examination of how the existing culture is perpetuated provides insights into the unacknowledged values, assumptions, and beliefs that constitute that culture. Holman

(2010) has used the concept of "engaging emergence" to explore a number of practical approaches to help an organization both uncover its assumptions and envision itself in alternative ways. One of the best ways to reveal the role of cultural assumption is to do the opposite of the usual practices.

At the individual level, this occurs when people begin the action stage of change, whereas at the organizational level it starts at the initial implementation stage. What is labeled as denial or resistance and treated as an obstacle to progress can just as easily be seen as a natural reaction to changing conditions.

Summary

The paradox of changing organizational cultures is that they do not change by *trying* to change. They change by changing *behavior,* and behavior changes when the new way of doing things works better than the old way. Resistance to change, even sharp conflict within the organization, is part of the process—the growing pains that accompany any significant change. During the installation and initial implementation stages, there are many opportunities to encounter and work through these issues. Taking the time and energy to do so will provide the organization with the essential knowledge to proceed to full implementation and sustainability.

Using the Competing Values Framework helps an organization see how to proceed in the quest for higher performance. It provides a valuable framework for understanding the organization's culture and how that culture supports or hinders the organization's growth. The next chapters offer guidance and examples to consider when putting these concepts into practice.

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Chapter 3: Introduction to Change Management

This chapter presents information on managing change and the results to be expected, and offers development and implementation guidelines for correctional organizations engaged in large-scale cultural change. It lays the groundwork for the next chapter on the APEX Change Management Model.

Barrier Points to Change Management

The most successful change management strategies take the human side of change management into account. Studies of 1,500 organizations where 90 percent of change management failed took human motivation for granted. In correctional organizations, virtually everything involves human factors; every new procedure involves changing human behavior to at least some degree. If new standard operating procedures are not implemented or Prison Rape Elimination Act (PREA) action requirements are ignored, poor change management execution is the first place to look for the root cause of failure. Whether transforming entire systems or executing one-time interventions, change management is a key performance determinant.

The five best change management practices have been identified and validated through research by Prosci, a non-profit organization specializing in the study of successful change efforts. When Prosci founder Jeff Hiatt studied Bell Labs engineering project failures, he discovered that most breakdowns occurred when all of the project management milestones indicated they should *not* have broken down. Looking into the causes (using many of the project analysis and process improvement tools available in the *APEX Resources Directory Volume 1*), Hiatt discovered that 90 percent of project management failures occurred because of failure to recognize what he calls the "people side of change."

After testing, questioning, and conducting postmortems on these failed projects, Hiatt identified five barrier points that are arranged in a hierarchy and that if not fully addressed in order, will exponentially increase the chance of project failure. These rules for shaping human behavior to be able to create and sustain change apply universally; the results coincide with the APEX best practice case results (Hiatt 2006).

Change management is unlikely to be successful without establishing the following:

- **Awareness.** Everyone who is expected to implement or support the change must be aware of what is happening and why, what the intended result is, and what role each individual is expected to play in creating the difference between the current state and the future state.
- **Desire.** Everyone who in any way can influence the outcome of the change effort must have the desire to help make it happen. They must know what is in store for them if the change is successful and, conversely, if the effort should fail. Desire cannot happen without first creating and firmly anchoring awareness. A complete change management strategy will entail mapping out the entire organization of management team members,

Note: "Introduction to Change Management" was originally written by Tanya Rhone.

staff, stakeholders, and anyone else who needs to support the effort. Those directing the change effort will need to assess each member of the organization to determine who is and is not on board, how to best convince those who are resistant, and how to develop a contingency plan to deal with their lack of support if it cannot be obtained. Many a project, change effort, culture change initiative, and simple process alteration has been derailed by an influential negative person. If the project is worth doing, this is worth addressing.

- **Knowledge.** Those called on to implement the change must know not only what is expected, but they must also have the knowledge to carry it out. Change efforts often begin with a facsimile of this element in the form of a directive, memorandum, staff rollcall announcement, bulletin, or other type of proclamation. If the change fails, it is often the case that those called on to carry out the order are not aware of what it really means to them and the organization. If the first two barrier points are met, knowledge can and should be next. It is the third barrier point that will block perfect execution.

- **Ability.** Knowing *how* is the essential outcome of knowledge. Having the ability to carry out the change process may involve personal training, instruction, on-the-job practice, mentorship, and/or coaching. Watching a training video alone does not create competitive, world-class ability. People can be aware of what is required and their personal role in the change, become fully engaged with the desire to do their part, and know what is expected and how to do their jobs; however, if they lack the ability, resources, or infrastructure to carry out the required change, the effort will likely fail.

- **Reinforcement.** After the change effort begins, it needs continuous reinforcement. This comes in face-to-face conversations between employees and their supervisors, from the senior official, and from those in the most influential positions to make the message understood and real. Reinforcement is not a one-time requirement. It must be done at least seven times and through different channels and media. Failure to reinforce a change initiative is a barrier point that can kill the effort.

Prosci (Hiatt 2006) calls this the ADKAR model (Awareness, Desire, Knowledge, Ability, and Reinforcement). Whether the change is a simple project management initiative or a complex culture change transformation, failure to execute at any of these ADKAR barrier points will kill most change efforts. This applies to all projects that require people to change what they are doing now and begin doing something different. As the previous chapter demonstrates, people naturally resist change. Most change efforts in correctional organizations do not require transformational change. Changing a standard operating procedure for intake or classification is not normally expected to disrupt the lives of staff too much or encounter too many roadblocks, or even passive resistance. Even in these cases, however, the five barrier points still apply (Hiatt 2006).

Kotter's Eight Steps

Corrections best practices in change management that result in large-scale organizational culture change all appear to take the five barrier points into account. In addition to the barrier points, these more complex change initiatives include eight qualities or attributes. To varying degrees, and sometimes in a different order, all successful culture change initiatives resemble an approach to successful organizational change suggested by Dr. John P. Kotter, a Harvard Business School professor and organizational change management authority (Kotter 1996).

Kotter's eight-step process (Kotter 1996; Kotter and Rathgeber 2006) for successful change efforts is as follows:

1. **Increase urgency.** Behavior precedes attitudes. By creating a sense of urgency among influential stakeholders, people can become "pumped up" and inspired to want to change. The sense of urgency gets people ready to take action.

2. **Build the change team.** A Change Team is made up of people from each level within the agency who have the skills and desire to make the effort succeed. Members should be the kinds of people who are credible, have good reputations, and act as an extension of senior management.

3. **Get the vision right.** Establish a simple vision that focuses on emotional triggers that explain what is changing and what the new desired state will look like, who will be involved, and what will change. This vision should also explain what will not be altered, clearly defining the boundaries to exclude any unacceptably dangerous strategies and setting the stage for making the vision a reality in the most effective way. This vision message can be articulated in a "1-minute elevator speech" or in two short sentences. Make the statement emotionally powerful enough to touch stakeholders' heartstrings.

   Martin Luther King did not say, *"I have a change management plan."* He proclaimed, *"I have a dream."*

4. **Communicate for buy-in.** Engage as many people as possible. Communicate the essentials simply in a way that appeals and responds to people's needs. Do the homework to understand what people are feeling and address their needs with simple, heartfelt messages. Use different channels that declutter communications and leverage technology. The goal is to create awareness and a desire to change at the gut level. Symbols speak loudly in this type of communication and repetition is important.

5. **Empower action.** Remove obstacles, enable constructive feedback, and build opportunities for senior management to provide support. Provide the training, knowledge, and skills employees need to make change happen because without the ability to do what is expected, it will be impossible for employees to make the desired change. Commitment will increase in relation to the opportunity to contribute.

6. **Create short-term wins.** Set easy-to-achieve, bite-sized goals and a manageable number of initiatives, being careful to complete current stages before starting new ones. Encourage broad participation that assigns responsibility for outcomes and holds individuals personally accountable for results.

7. **Do not let up.** Encourage ongoing progress reporting on achieved and future milestones that focus on tangible performance gains and concrete proof of effectiveness.

8. **Make change stick.** Continuous reinforcement from both supervisors and senior executives is critical to sustaining any change effort. Tolerating low commitment to change is an invitation to mediocrity that inhibits the process of weaving the desired change into the culture. Continuous reinforcement through frequent communication with staff is an effective way to make the change stick.

Much of the good, qualitative information used to inform a strong change management strategy comes from understanding stakeholder positions. One desired outcome of the stakeholder analysis is to understand the problem landscape of change resistance. John Kotter (1996) offers this guidance for engaging stakeholders:

1. **See.** They must visualize the problems and successes during the change process. Dramatic, compelling situations must be experienced, captured, and shared.

2. **Feel.** When people see something new that is compelling to them, they have a visceral response that reduces negative emotions, complacency, and cynicism.

3. **Change.** Emotionally charged ideas change behavior and reinforce that change.

HERE'S WHAT'S IN IT FOR YOU

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

Considering both the Kotter literature (Kotter 1996; Kotter and Cohen 2002; Kotter and Rathgeber 2006) and the Prosci ADKAR model (Hiatt 2006) in light of the corrections best practices that were studied to develop the APEX Guidebook series, a correctional model for large-scale organizational change begins to emerge. This model can guide cultural transformation, resulting in an organizational climate capable of yielding higher performance and limited only by the resources and resourcefulness of the senior management team.

Summary

Organizations that want to change but do not take the human side of change management into account are statistically more likely to fail than those that invest in the human side of the organization. Prosci (Hiatt 2006) identifies five key factors that management needs to focus on when considering the human component: awareness, desire, knowledge, ability, and reinforcement. Failure to consider these factors constitutes a barrier to success. Kotter's (1996) eight-step process includes the following qualities or attributes of successful organizational change: creating urgency, building a Change Team, getting the vision right, communicating for buy-in, empowering action, creating short-term wins, not letting up, and making change stick. The next chapter introduces the APEX Change Management Model.

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2015 Special Review: High Desert State Prison Susanville California

(Office of the Inspector General; excerpt taken from pages 13 through 14.)

perception and subsequent treatment either in favor of or against a given person or group. In policing, this has resulted in widespread practices that focus undeserved suspicion on some groups and presume other groups innocent.

Research has shown that it is possible to address and reduce implicit bias through training and policy interventions with law enforcement agencies. Research suggests that biased associations can be gradually unlearned and replaced with nonbiased ones.[13]

In 2015, the US Department of Justice (DOJ) announced six cities to host pilot sites for the National Initiative for Building Community Trust and Justice, which will seek to assess the police-community relationship in each of the six pilot sites, as well as develop a detailed site-specific plan that will enhance procedural justice, reduce bias, and support reconciliation in communities where trust has been eroded. One of the host pilot sites is Stockton, CA. The three-year grant has been awarded to a consortium of national law enforcement experts from John Jay College of Criminal Justice, Yale Law School, UCLA's Center for Policing Equity, and the Urban Institute.

In addition, law enforcement agencies can request training, peer mentoring, expert consultation, and other types of assistance on implicit bias, procedural justice, and racial reconciliation through DOJ's Office of Justice Program's Diagnostic Center. The initiative launched a new online clearinghouse that includes up-to-date information about what works to build trust between citizens and law enforcement.[14]

THE NEED FOR INCREASED INMATE PROGRAMMING AND STAFF RESILIENCY TRAINING

As described earlier, HDSP houses high security (Level IV) general population and sensitive needs inmates and medium security (Level III) sensitive needs inmates. Three of the institution's four main yards are classified as Level IV housing. HDSP also maintains a stand-alone administrative segregation unit. As a high security institution, HDSP houses the most violent and dangerous male offenders.

Prison populations consisting predominantly of people serving long sentences can be difficult to manage because inmates can have a sense of hopelessness and a "what have I got to lose" attitude that can lead to continued criminality and violent behavior. Couple this with half of the HDSP inmate population[15] needing protection due to vulnerability based on commitment offense or disability, and correctional officers can be unprepared for dealing with these populations. One way to mitigate these behaviors is through meaningful programming opportunities and programs that offer incentives to those who participate, whether that means extra privileges or activities that give a sense of accomplishment. Unfortunately, HDSP's Level IV sensitive needs yard has very few programming opportunities, and the enhanced program facility on its Level IV general population yard, by staff's own account, consists mainly of inmates resistant to

[13] An article from the Fordham Law Review related to implicit bias can be found in Appendix F.
[14] The clearinghouse can be found at www.trustandjustice.org.
[15] Two of the four main facilities at HDSP house inmates designated as sensitive needs.

programming. Increasing programming on these yards and ensuring the right population is placed into the EPF could reduce the violence and continued criminality that exists at HDSP.

Working around such dangerous individuals on a daily basis can be a highly stressful experience. CDCR does not have a program that adequately trains its staff or gives them the tools to cope with working in such a stressful environment. Additionally, in the tightknit, rural community of Susanville, where many people work and socialize together, there are few outlets for staff to seek assistance when they feel their complaints of mistreatment are not being addressed by prison leadership. There have been staff suicides reported and some staff reported retaliation for bringing misconduct forward.

There is a staff resiliency training program being developed by the Center for Mindfulness in Corrections,[16] which CDCR is considering piloting at one of its Level IV institutions. The program is geared toward developing consistent and healthy self-care practices and a "safe environment to disengage from negative drama." This type of resiliency program is showing promising results in law enforcement agencies across the country. The department should consider piloting this or a similar program at HDSP, and then expanding statewide.

In addition, CDCR should ensure HDSP is following the requirements of DOM Sections 33010.30 – 33010.30.3, related to staff in high stress assignments. High stress assignments are defined as those in controlled housing units requiring direct and continuous contact with inmates confined therein because they present too great a management problem for housing in general population settings. Such housing unit assignments include, but are not limited to: SHUs, ASUs, psychiatric services units, and protective housing units. The policy requires:

- Employees be carefully evaluated before such assignment.
- Employees to have demonstrated a high degree of maturity, tolerance, and ability to cope with stressful situations.
- Assignments shall be limited to no longer than two years, with exceptions allowed by the warden when the employee indicates a desire to remain, or the employee's performance is completely satisfactory and does not reflect the effect of undue stress.
- Supervisors to evaluate the performance of employees on a continuous basis.
- Supervisors to act promptly to remedy stress-related problems that appear to adversely affect the employee's physical and mental health and effectiveness.
- Supervisors to take remedial action including placement in a less stressful assignment in or outside of the unit.

Increasing meaningful inmate programs and maximizing the EPF participation incentives, with the goal of decreasing inmate criminality and violence, while at the same time giving staff the tools to cope with working in a uniquely stressful environment, should result in improved staff morale and a healthier more resilient staff.

[16] An outline of the resiliency program can be found in Appendix G.

California Resolves long-running Lawsuit over Youth Prisons

(Don Thompson, Associated Press, Fresno Bee, February 25, 2016)

CALIFORNIA FEBRUARY 25, 2016 5:42 PM

California resolves long-running lawsuit over youth prisons

BY DON THOMPSON
Associated Press

SACRAMENTO, CALIF. — California on Thursday resolved a long-running lawsuit over poor care at juvenile prisons, and both sides said conditions have greatly improved.

An Alameda County judge approved an agreement between the parties to dismiss a 2003 lawsuit against what was then called the California Youth Authority.

The system was known then for imposing long periods of solitary confinement and employees' frequent use of pepper spray against youthful offenders.

California has since dramatically reduced the population of what is now known as the Division of Juvenile Justice, from about 10,000 youth nine years ago to about 700 now.

"They've come a very long way, and they've made some remarkable transformations," said Sara Norman, an attorney with the nonprofit Prison Law Office that filed the lawsuit. "We do have some concerns about some ongoing problems, but we are confident that they have the tools they need to continue to improve."

Corrections officials and attorneys representing juveniles agreed in 2004 to six areas of reform, including limiting employees' use of force. The state also agreed to improve education programs, dental and medical care, and the treatment of those with disabilities.

The last area resolved with Thursday's dismissal involved improving mental health treatment and adopting policies aimed at stemming violence and deterring future criminal behavior.

"We have shifted from a very punitive correctional model to ... positive reinforcement to help shape behavior," division Director Michael Minor said in an interview.

Other states can look to California as a leader in the scope of its reforms, its reduced use of isolation as punishment, its juvenile sex offender treatment program, and the way it tries to reduce the use of force, he said.

A court-appointed special master, Nancy Campbell, praised the divisions' employees and leaders in a 34-page report recommending dismissal of the lawsuit. But she cautioned that shifting employees' attitudes will remain a long-term process.

"Culture change is incredibly hard," said Norman, adding, "I think they know that they have a ways to go."

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