CORRECTIONS
CAREERS

# EUROPEAN CAREER COUNSELLING GUIDELINES FOR STAFF WORKING IN CRIMINAL CORRECTIONAL JUSTICE SYSTEM

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This material was developed within the CCJ4C project especially for the project partners in order to be used in the partner countries (Romania, UK, Germany, Lithuania, Portugal, Italy, Belgium, Turkey, Danmark).

Honorary Mention: Bremen Ministry of Justice, Germany, Leader of WP2, namely „Policy Context Analysis in CCJ Careers".

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# OBJECTIVES OF THIS MODULE

To explain the background to this project, its aims and objectives.
Whatever the historical reality, in recent years many prison systems have been described as being in a state of permanent crisis. The suggestion that an organisation is permanently in a state of crisis has grave consequences for its inherent stability and for the confidence of the staff who work in that organisation.

This is what has happened in many prison systems across Europe and in the partner countries. Organisational change, sometimes of a radical nature, is a fact of life in all institutions. In respect of prison systems this has implications for the work which staff are expected to



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undertake and for the type of staff which the organisation wishes to employ. In respect of the staff themselves it is likely to imply a change in the way they approach their daily work and their attitude to prisoners. It may also affect job security for both existing and for new staff, who can no longer look forward to a lifetime guarantee of employment. Many existing staff can be expected to respond positively to the challenge of change. Others may find it impossible to cope, even though they are willing. A third group may simply be unwilling to try. The organisation needs different strategies to deal with all of these responses.

It is possible to develop appropriate response strategies provided it is accepted that prison systems are no longer static hierarchical organisations but are dynamic institutions, subject to continuous change and development. If staff at all levels can be encouraged to recognise this fact, they can be given the opportunity to direct and drive change rather than merely to respond when things go wrong. This will only be possible if there is a change in both the traditional culture and the organisational structure of the prison and the prison system. In the context of what we are concerned with in this study, this means that senior management must be willing to trust junior staff, rather than to assume that they will get things wrong if they are not controlled in all aspects of their work. It also means that junior staff, particularly those who deal directly with prisoners, must be willing to accept responsibility for their actions and to use their initiative in a positive manner when appropriate.




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## THE AIMS OF THIS PROJECT ARE:

- Develop, test, and set in place a working methodology for starting or improving the career guidance process in the criminal correctional justice (CCJ), focusing on the competencies needed to manage own career. This will be done with direct end user involvement (prison staff), employers (prison administrations), workplace (prison), further training (companies and NGOs).

- Put on the European public agenda the need of a structured and guided approach to career management in prison system, starting with the involvement of the direct interested parties. This will be done with direct involvement of prison administrations, trade unions and international professional bodies

## OUR OBJECTIVES ARE:

- With a co-production approach and using the foresight techniques, run an analysis of the interested parties, possible scenarios and key factors in career guidance in CCJ careers;

- Collect the systemic and individual needs of those key actors, identifying the policy approach on career guidance for prison staff, correctional officers;




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- Develop ready-to-deploy solutions for the correctional staff, prisons, prison administrations and responsible public authorities: profile of competencies (complex cartography of skills, behaviours and attitudes) needed to support career management, interactive tool to help users navigate the profile, self-asses, obtain development solutions and support in personalised learning pathways to strengthen the competencies;

- Pilot and embed the solution at prison administration level

- Use public policy tools like structured public hearings, committee meetings, direct advocacy, to present the results of the methodology and push for its valorisation at European level.

## OUR CCJ4 PROJECT RESPONDS TO THE CALL FOR PROPOSAL GENERAL OBJECTIVES IN THE FOLLOWING WAY:

- To promote innovation in education and training fields through European cooperation at both policy and practice levels: criminal correctional justice is a "Cinderella" in education, both for inmates but even more so for prison staff. Some advancement was made through European projects, but at this date we have no supportive system for career management skills for correctional staff. It is challenging and innovative direction, supporting the decade-long aim of this partnership to promote the concept of "learning prisons", where all involved actors bring equal experienced in a lifelong learning approach. This project is key corner stone in promoting this, as correctional staff is the most important educative agent with the least recognition of this informal status, for the most vulnerable group of adults, prisoners.

- To empower key stakeholders in developing and mainstreaming policy innovation: in this project we have the full spectrum of the social dialogue partners when it comes to correctional staff from prisons and we also have representation power, engaging with partners



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that are international professional body and trade unions, prison administrations and we also have access through our partnership to all key networks in criminal correctional justice. But most importantly, all the developments are made from and by the stakeholders, we educate and support them on how to put their developments in policy language and through the project we offer them to possibility to organise and deliver policy workshops at national level and in Brussels. Also our key stakeholders have made available through the project lifetime to organise individual lobby activities, with the support of experienced coordinator.

## THE AIM OF THIS PRIORITY 3 WE ARE ADDRESSING IS TO:

1 Support greater understanding of career management skills; CCJ4 is responding to this by:

- developing a portfolio of these skills but in a more complex manner, under the form of profile of competencies, with an on-line tool detailing
- the career management competencies
- the career management competencies expressed at four phases of development
- the indicators that suggest competence
- the four-stage learning taxonomy that frames the performance indicators, and



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- the nature of local standards and how to construct them.

2. Creating, experimenting and sharing a methodology under which the profile was built, in such a way that it can be replicated to other professions within the prison, to other geographical contexts, but also outside of the justice system, with the certification of being piloted in one of the most restrictive learning environments, a prison.

3. Explore the use of innovative technology to support development of career management skills. CCJ4 is responding to this by:

- innovating the process of putting in place a career management: foresight techniques, advocacy methods, lifelong learning approach of co-production, all mixed for justice settings

- innovating the deployment of a career management process by first supporting the skills needed to deliver such a process, for the staff, the HR, the management, the administration, the policy structure

- preparing an interactive tool that offers entry points to all interested parties, using the profile of competencies as a centralised hub to guide further interaction, and providing artificial intelligence solutions based on the input of users and set up of initial structures.




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# MANAGING CHANGE

## OBJECTIVES OF THIS MODULE

To introduce various models designed to manage change.
We all face changes in our lives some we welcome others we fight against and the same is true for organisations. The final objective of this project is to introduce change into your organisations and this can be difficult.  Part of the skills you need as a good facilitators in a workshop is to understand the nature of change and be prepared for the reactions, the emotions and may be the resentment that participants may display.

Change management is a discipline in its self and you are not expected to be an expert in the field but being aware of the various models will assist you.

## CHANGE MANAGEMENT MODELS

Set out below are a number of common change management models which are commonly used, you will see links to follow for further reading if you want to go into more depth.

Change is nothing new, Machiavelli quoted:
"It ought to be remembered that there is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things. Because the innovator has for enemies all those who have done well under the old conditions, and lukewarm defenders in those who may do well under the new. This coolness arises partly from fear of the opponents, who have the laws on their side, and partly from the incredulity of men, who do not readily believe in new things until they have had a long experience of them."

Managing change and learning to adapt to it takes time, energy, efforts and training



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# CHANGE MANAGEMENT: AN OVERVIEW

Change Management is the term that is used to refer to the change or transitioning people, groups, companies and projects from one state to another. When this term is applied to businesses and projects, it may refer to a process of transitioning the scope of the project in such a way that it can meet changing requirements and objectives. What happens is that after a certain point in time some changes may need to be introduced as far as functioning, operations, marketing, finance or the other aspects of an organisation are concerned so as to improve its chances of reaching its goals. Change management involves the application of structured methods and a pre-planned framework so as to steer an organisation from its current state to a desired state.

# MAJOR APPROACHES & MODELS OF CHANGE MANAGEMENT

In order to manage change and implement change strategies, it is important to avoid implementing irrelevant or random methods and try to focus on a suitable plan of action. Change management is an ongoing process that takes time, expertise, dedication and efforts to implement and run. It requires the involvement of people or staff of the company and may also result in these people being affected by the changes too. Before adopting one of the many effective and popular change management approaches and models, an organization must first figure out why it needs the changes and how will the changes benefit it.

The following are some of the best strategies and approaches to implement change management.



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## 1 Lewin's Change Management Model

(https://journals.sagepub.com/doi/full/10.1177/0018726715577707)

Lewin's Change Management Model is one of the most popular and effective models that make it possible for us to understand organizational and structured change. This model was designed and created by Kurt Lewin in the 1950s, and it still holds valid today. Lewin was a physicist and social scientist who explained the structured or organizational change through the changing states of a block of ice. His model consists of three main stages which are: unfreeze, change and refreeze. Let's look at these stages in detail:

- **Unfreeze:** The first stage of the process of change according to Lewin's method involves the preparation for the change. This means that at this step, the organization must get prepared for the change and also for the fact that change is crucial and needed. This phase is important because most people around the world try to resist change, and it is important to break this status quo. The key here is to explain to people why the existing way needs to be changed and how change can bring about profit. This step also involves an organization looking into its core and re-examining it.

- **Change:** This is the stage where the real transition or change takes place. The process may take time to happen as people usually spend time to embrace new happenings, developments, and changes. At this stage, good leadership and reassurance is important because these aspects not only lead to steer forward in the right direction but also make the process easier for staff or individuals who are involved in the process. Communication and time thus are the keys for this stage to take place successfully.

- **Refreeze:** Now that the change has been accepted, embraced and implemented by people, the company or organization begins to become stable again. This is why the stage is referred to as refreeze. This is the time when the staff and processes begin to refreeze, and things start going back to their normal pace and routine. This step requires the help of the



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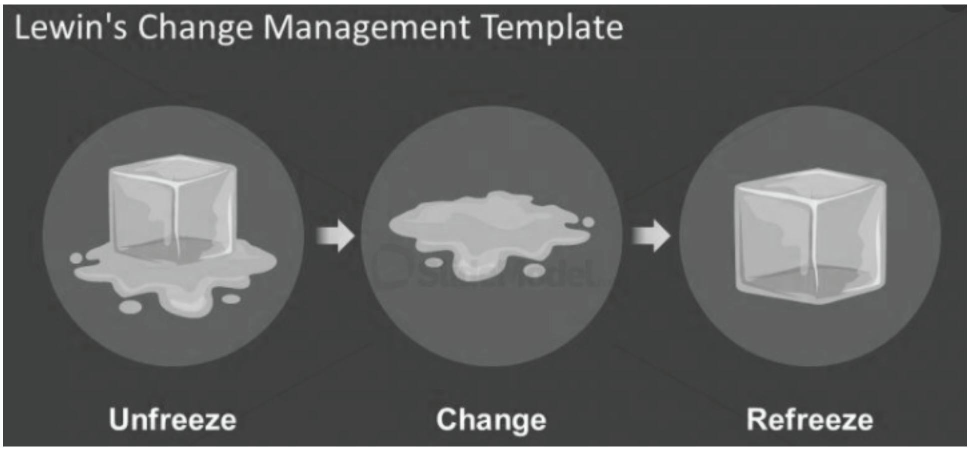
people to make sure changes are used all the time and implemented even after the objective has been achieved. Now with a sense of stability, employees get comfortable and confident of the acquired changes.




## 2 McKinsey 7 S Model
(https://en.wikipedia.org/wiki/McKinsey_7S_Framework)

McKinsey 7-S framework or model is one of those few models that have managed to persist even when others came in and went out of trend. It was developed by consultants working for McKinsey & Company in the 1980s and features seven steps or stages for managing change.

**STAGES:**

**1. Strategy** – Strategy is the plan created to get past the competition and reach the goals. This is the first stage of change according to McKinsey's 7-S framework and involves the development of a step-by-step procedure or future plan.

**2. Structure** – Structure is the stage or attribute of this model that relates to the way in which the organization is divided or the structure it follows.



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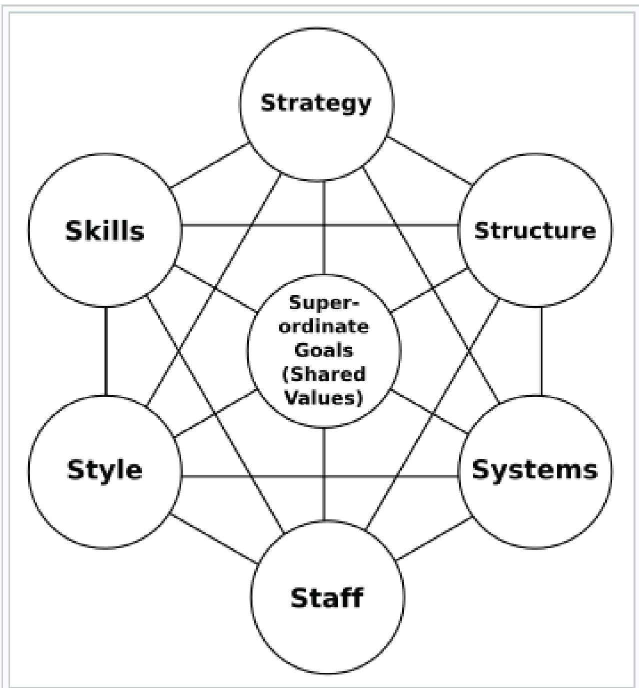
**3. Systems** – In order to get a task done, the way in which the day-to-day activities are performed is what this stage is related to.

**4. Shared values** – Shared values refer to the core or main values of an organization according to which it runs or works.

**5. Style** – The manner in which the changes and leadership are adopted or implemented is known as ‘style’.

**6. Staff** – The staff refers to the workforce or employees and their working capabilities.

**7. Skills** – The competencies as well as other skills possessed by the employees working in the organization.



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## BENEFITS OF THIS MODEL

- This model offers ways and methods to understand an organization and get a deep insight into the way it works.

- This model integrates both the emotional as well as the practical components of change that is something that is important to create ways to enable employees deal with transition easily.

- This model considers all parts to be important and equally worth addressing and thus does not leave out some aspects that may be of importance.

- This model also offers directional factor to organizational change.

## DISADVANTAGES OF THIS MODEL

- Since all the factors are interrelated and interdependent on one another, the failing of one-part means failing of all and this is the greatest disadvantage of this model.

- This model is complex as compared to the others and differences are not focused upon in it.

- Organizations that have used this model have experienced more cases of failure, and this too can be considered as one negative associated with it.



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## 3 Kotter's change management theory

(https://papers.ssrn.com/sol3/papers.cfm?abstract_id=3538817)

Kotter's change management theory is one of the most popular and adopted ones in the world. This theory has been devised by John P. Kotter, who is a Harvard Business School Professor and author of several books based on change management. This change management theory of his is divided into eight stages where each one of them focuses on a key principle that is associated with the response of people to change.


**STAGES**

- **Increase urgency** – This step involves creating a sense of urgency among the people so as to motivate them to move forward towards objectives.

- **Build the team** – This step of Kotter's change management theory is associated with getting the right people on the team by selecting a mix of skills, knowledge and commitment.



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- **Get the vision correct** – This stage is related to creating the correct vision by taking into account, not the just strategy but also creativity, emotional connect and objectives.

- **Communicate** – Communication with people regarding change and its need is also an important part of the change management theory by Kotter.

- **Get things moving** – In order to get things moving or empower action, one needs to get support, remove the roadblocks and implement feedback in a constructive way.

- **Focus on short term goals** – Focusing on short term goals and dividing the ultimate goal into small and achievable parts is a good way to achieve success without too much pressure.

- **Don't give up** – Persistence is the key to success, and it is important not to give up while the process of change management is going on, no matter how tough things may seem. Incorporate change – Besides managing change effectively, it is also important to reinforce it and make it a part of the workplace culture.

**BENEFITS OF THIS MODEL**

- This is a step-by-step model that is easy to follow and incorporate.

- The main idea behind it is to accept the change and prepare for it rather than changing itself.

**DISADVANTAGES OF THIS MODEL**

- Since it is a step-by-step model, no step can be skipped to reach the one after that.

- The entire process given in this model can be very time-consuming.



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# 4 Nudge Theory
(https://en.wikipedia.org/wiki/Nudge_theory)

Nudge Theory or Nudge is a concept that finds use in behavioral science, economics, and political theory but can be applied to change management in organizations and businesses as well. This theory is mainly credited to Cass R. Sunstein and Richard H. Thaler. Nudging someone or encouraging and inspiring them to change is the basic essence of this theory. Nudge theory is not only helpful in exploring and understanding existing influences but also explaining them to either eliminate them or change them to an extent where positives may begin to be derived.


It is important to note that there are many unhelpful 'nudges' around which can either be deliberate or may just be accidental. What this theory mainly seeks is to work upon the management as well as the understanding of the many influences on human behavior that lead to changing people. It focuses on the design of choices which is responsible for directing our preferences and influencing the choices that we make. What this theory says is that choices must be designed in such a way that it can be aligned with the way people think and decide.



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As compared to other theories, Nudge Theory is more sophisticated in its approach and is radically different from other ways of transitioning. This theory eliminates traditional change methods like punishment enforcement and direct instructions. One of the main benefits of this theory is that it takes into account the difference in feelings, opinions, and knowledge of people and also considers the reality of the situation as well as the characteristics of human nature and behavior. It thus minimizes resistance from employees of a company and is very well applied in several industries.

## ADKAR model[5]

[5] https://books.google.co.uk/books?hl=en&lr=&id=Te_cHbWv-ZgC&oi=fnd&pg=PA1&dq=adkar+model+change+management&ots=1rlQl6v0IO&sig=Wt-9eXKj2RZTaY7cLYsCEmM0q6o#v=onepage&q=adkar%20model%20change%20management&f=false

ADKAR model or theory of change is a goal-oriented tool or model which makes it possible for the various change management teams to focus on those steps or activities that are directly related to the goals it wants to reach to. The goals, as well as the results derived and defined using this model, are cumulative and in a sequence. This means that while using this model, an individual must get each of the outcomes or results in a certain orderly fashion so that the change can be sustained and implemented. The model can be used by managers of change to find out the various holes or gaps in the process of change management so that effective training can be offered to the employees. The following are some of the things for which this model can be used:

- To provide help and support to employees to go through the process of change or transitioning while the change management is taking place.
- To diagnose and treat the resistance shown by employees towards change.
- To come up with a successful and efficient plan for the professional as well as personal improvements of employees during the change.



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**ADKAR Model basically stands for**


**BENEFITS OF ADKAR MODEL**

- The model offers the capability of Identification and evaluation of the reasons why changes made are not working and why desired results are not being obtained.

- The model makes it possible for one to break the changes into different parts and then figure out the point where change may not be as effective as planned.

- It offers both business dimension of change as well as people dimension of change.

## 6 Kübler-Ross Five Stage Model

https://en.wikipedia.org/wiki/K%C3%BCbler-Ross_model

The Kübler-Ross five stage model was developed by Elisabeth Kübler-Ross after she pursued her research on the dying and death. This model is also thus known as the Grief Model as it talks about the various emotional states and stages a person goes through when he/she discovers that he/she may be nearing their end. The model can also be applied to other life situations such as loss of job, changes in work and other less serious health conditions. The model helps to understand and deal with personal trauma and has been widely accepted worldwide. The following are the various stages that are associated with the Kübler-Ross model:

- **Denial** – Denial is the first stage of the model and is a stage when one is unable to accept the news. It is like a buffer or defence that a person tends to create due to the inability to absorb the news. One may experience shock as well as a sense of numbness during this stage and this happens because every person shows resistance towards change and may not



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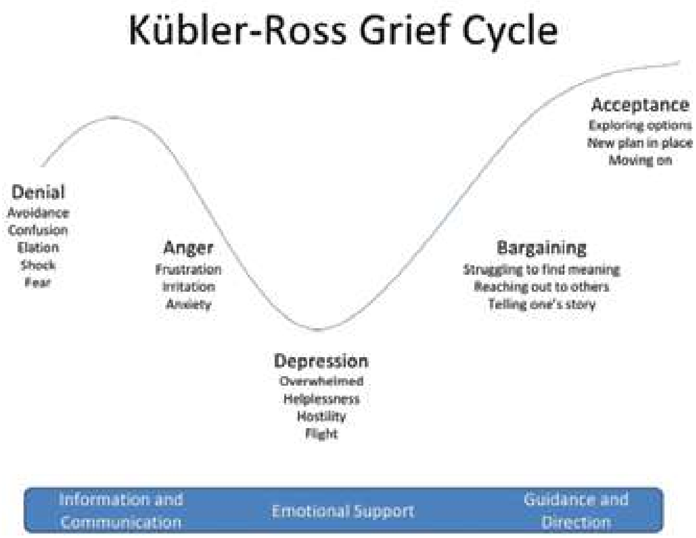
want to believe what is happening.

- **Anger** – When the news actually gets absorbed, then the first reaction is usually that of anger. The denial converts into anger when one realizes that the change will actually affect them and is for real. One starts looking for someone to blame during this stage. For different people, there can be different ways of directing anger.
- **Bargaining** – The next step or stage involves bargaining so as to avail the best possible solution out of the situation or circumstance. Bargaining is a way for people to avoid ending up with the worst case scenario and is a natural reaction to avoid the extreme change.
- **Depression** – When one realizes that bargaining isn't working, he/she may end up getting depressed and may lose all faith. This is the phase when one is not bothered by anything and moves into a sad and hopeless state of mind. There are many ways to observe or identify depression and some of them include low energy, non-commitment, low motivation and lack of any kind of excitement or happiness.
- **Acceptance** – When one realizes that there is no point in being depressed or fighting change, he/she may finally accept what is happening and may begin to resign to it. There are different ways in people handle this stage. While some may begin to explore the options left with them to make the most of the situation, others may just feel that no option is left for them and may just resign to destiny.



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# DECISION MAKING

## OBJECTIVES OF THIS MODULE

To introduce a model around which decisions can be examined and formed.

### Introduction

For many organisations, the process by which decisions are made is not clear. Within public sector judicial systems many countries have no formal decision-making process at all, with decisions being made using experience and rank. Whilst this may not be considered a problem within many organisations if no standard process exists for arriving at a decision it makes the examination of 'Good' or 'Poor' decisions difficult for those tasked with managing individual or organisational performance.

With this in mind let us consider one such decision-making model. The UK College of Policing National Decision-Making Model.

https://www.app.college.police.uk/app-content/national-decision-model/the-national-decision-model/



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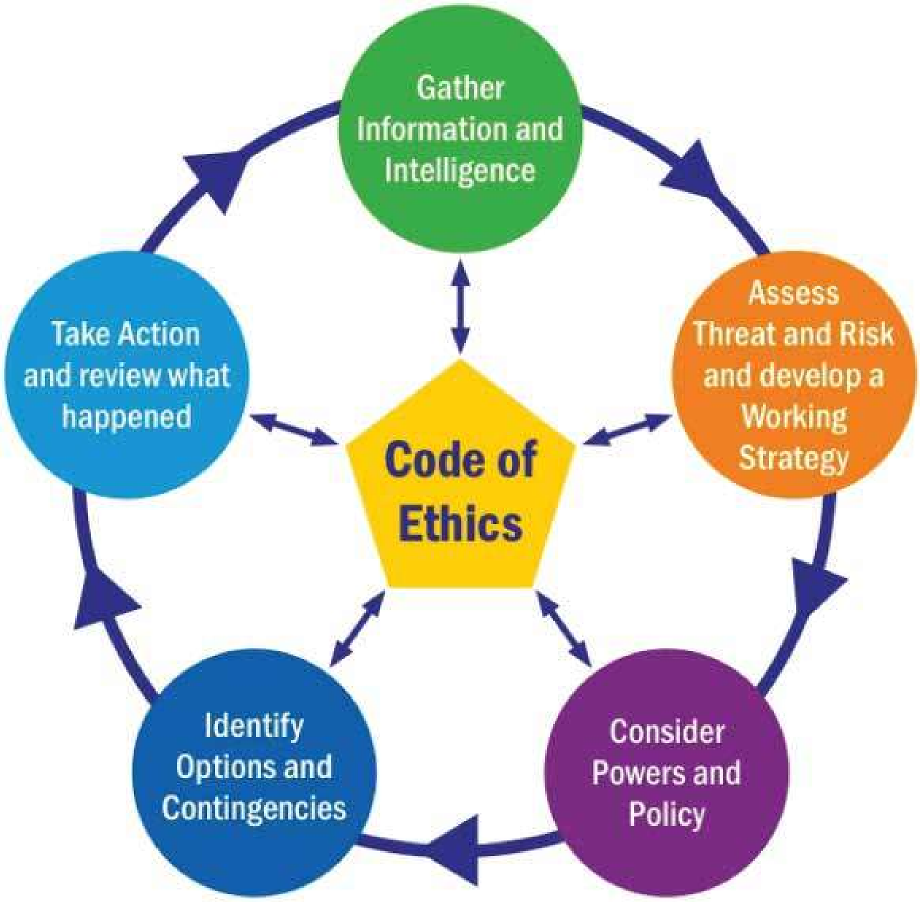
## A Decision-Making Model




Before we look in depth at this model it is worth considering the consequences of decisions. The decisions we make every day have consequences, whether that is in our personal life or our professional life. Sometimes the result of our decision is the intended outcome but other times the outcome is not what we intended. We call this the Decision Paradigm. Let's look at this from the lens of professional operational decisions, the sort of decisions you and your management are making every day.



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## Decision Paradigm

Operational decisions are often made without the full information being available in a dynamic (moving) environment which is time critical. The consequences of such decisions can have catastrophic consequences if wrong; we saw this in the case of the Metropolitan Police killing of Jean Charles de Menezes on July 22 2005.
https://aftermathnews.wordpress.com/2007/10/09/cctv-proves-police-lied-de-menezes-behaved-normally-before-being-murdered/

This case attracted international attention and the decisions made by the operational commander, Cressida Dick (now the Metropolitan Police Commissioner in the UK) resulted in a decision paradigm being developed by the UK police.
This paradigm highlights the risk involved in dynamic decision making and the consequent examination by others of that decision. With hindsight, decisions can be challenged if they did not result in the intended outcome. The question is was the decision made at the time a reasonable decision based on the information available at the moment and was the decision maker acting competently or incompetently.

Decisions have four possible outcomes as described overleaf.



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## Decision Paradigm

| | |
|---|---|
| **A**<br>**Right Decision**<br>**Right Result** | **B**<br>**Right Decision**<br>**Wrong Result** |
| **C**<br>**Wrong Decision**<br>**Right Result** | **D**<br>**Wrong Decision**<br>**Wrong Result** |

In a perfect world all our decisions would all fall within sector ‘A’ in which case everyone is happy, and the decision maker gets all the praise.

However, we have all made decisions which have resulted in outcomes that fall within sector ‘B’. In these circumstances we can face criticism and examination. Questions may be asked. Why did you make that decision? Why did you not make another decision? Who failed? What was the damage? In these circumstances you, and possibly your organisation is under scrutiny. The best outcome is that you can demonstrate that your decision was based on the best information available at the point of making the decision and that you acted with professionalism and competence. You can demonstrate that by outlining the stages you considered in arriving at your decision, in other words your decision can be audited.

In these circumstances you want those examining your decision to come to the conclusion that you made the right decision for the right reasons, that you were professional and competent in that decision making process and that it was ‘Unfortunate’ that the desired outcome did not happen but neither you nor your organisation were ‘Incompetent’, just unlucky.

Decisions which fall within sector ‘C’ we call LUCK! The chances are no one will question you as to your decision-making process because on one will ever know you actually made the wrong decision but despite that you got the desired outcome.

Decisions which fall within sector ‘D’ is the most uncomfortable place to find yourself. Not only can those examining your decision prove you made the wrong decision, but the outcome was negative too. In these circumstances accusations of incompetence, unprofessionalism and corruption are common. You do not want to be in sector ‘D’.



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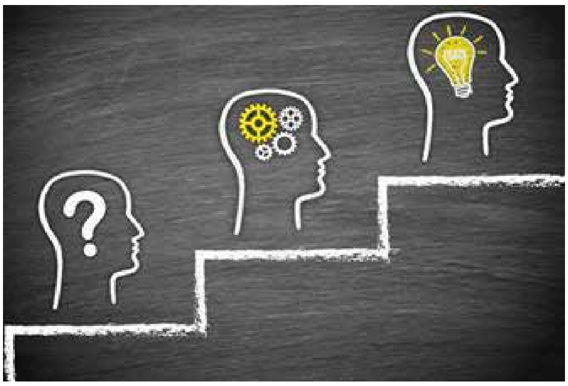
## Using a Decision-Making Model (DMM)

Decision making is often complex, decisions are required in difficult circumstances and they are open to challenge. Adopting a DMM will provide a concerted drive to ensure a greater focus on delivering the mission of the organisation, acting in accordance with its values, enhancing the use of discretion, reducing risk aversion and supporting the appropriate allocation of limited resources as the demand for them increases.

Understanding and practising a DMM will help staff develop the professional judgement necessary to make effective decisions. It will also help them learn from decisions that have successful outcomes, as well as the small proportion that do not.
Decision makers are more likely to receive the support of their organisation in instances where they can demonstrate that their decisions were assessed and managed reasonably in the circumstances existing at the time. This applies even where harm results from their decisions and actions.



## Application

A DMM is suitable for all decisions. It can be applied to spontaneous incidents or planned operations, by an individual or teams of people, and to both operational and non-operational situations. Decision makers can use it to structure a rationale of what they did during an incident and why. Managers and others can use it to review decisions and actions taken. The



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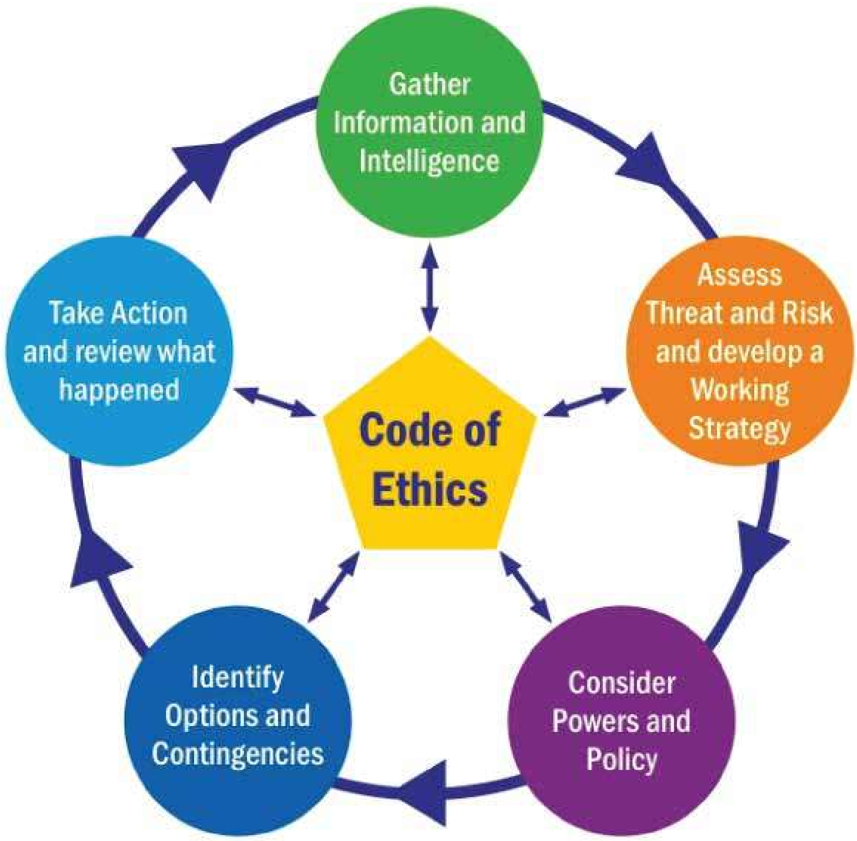
inherent flexibility of a DMM means that it can easily be expanded for specialist areas. In every case, the model stays the same, but users decide for themselves what questions and considerations they apply at each stage.

In a fast-moving incident, the organisation should recognise that it may not always be possible to segregate thinking or response according to each phase of the model. In such cases, the main priority of decision makers is to keep in mind their overarching mission.

## The Model

This Decision Making Model has six key elements. Each component provides the user with an area for focus and consideration.



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The pentagon at the centre of the DMM contains the Statement of Mission and Values of the organisation.

For a Police organisation this might be:

To make communities safer by upholding the law fairly and firmly; preventing crime and antisocial behaviour; keeping the peace; protecting and reassuring communities; investigating crime and bringing offenders to justice.


To act with integrity, compassion, courtesy and patience, showing neither fear nor favour in they do. To be sensitive to the needs and dignity of victims and demonstrate respect for the human rights of all.

To use discretion, professional judgement and common sense to guide actions and be accountable for decisions and actions. We will respond to well-founded criticism with a willingness to learn and change.

In the face of violence we will be professional, calm and restrained and will apply only that force which is necessary to accomplish our lawful duty.

Our commitment is to deliver a service that we and those we serve can be proud of and which keeps our communities safe.

Whatever an organisations Statement of Mission and Values is, the need to keep it at the heart of every decision within the DMM differentiates this DMM from many other decision-making models.

The corners of the values pentagon connect to and support the five stages of the decision-making process. One step logically follows another, but the model allows for continual re-assessment of a situation and the return to former steps when necessary.



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## Explaining the DMM

The pentagon at the centre of the DMM reminds us to keep the organisations mission and values at the heart of the decision-making process.

The following table gives examples of the types of questions and considerations that decision makers should think about, but they are not the only ones for every situation. They are a prompt or aid only. It would not be helpful to be more specific; decision makers must be free to interpret the DMM for themselves, reasonably and according to the circumstances facing them at any given time.

**Central Pentagon: VALUES** **Statement of Mission and Values**

Throughout the situation, you could ask yourself:

- Is what I'm considering consistent with the Statement of Mission and Values?

(You are wanting to ensure that decisions reflect an understanding to act with integrity, be willing to take risks and protect the human rights of all.)

- What would the organisation expect of me in this situation?
- What would any victim(s), inmates, and the wider public expect of me in this situation?

**Stage 1: INFORMATION. Gather Information and Intelligence**

During this stage, the decision maker defines the situation (i.e., defines what is happening or has happened) and clarifies matters relating to any initial information and intelligence.

- What is happening?
- What do I know so far?
- What further information (or intelligence) do I want/need?



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**Stage 2: ASSESSMENT. Assess Threat and Risk and Develop a Working Strategy**

This stage involves assessing the situation, including any specific threat, the risk of harm and the potential for benefits.

- Do I need to act immediately?
- Do I need to seek more information?
- What could go wrong? (and what could go well?)
- How probable is the risk of harm?
- How serious would it be?
- Is that level of risk acceptable?
- Is this a situation for this organisation alone to deal with?
- Am I the appropriate person to deal with this?

**Develop a working strategy to guide subsequent stages by asking yourself:**

- What am I trying to achieve?
  (Amongst other things consider discrimination, good relations and human rights.)

**Stage 3: POWERS AND POLICY. Consider Policy and Powers**

This stage involves considering what powers, policies and legislation might be applicable in this situation.

- What powers might be required?



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- Is there any national guidance covering this type of situation?
- Do any local organisational policies or guidelines apply?
- What legislation might apply?

If there is a good rationale for doing so, it may be reasonable to act outside policy.

**Stage 4: OPTIONS. Identify Options and Contingencies**

This stage involves considering the different ways to make a decision (or resolve a situation) with the least risk of harm.

**Options**

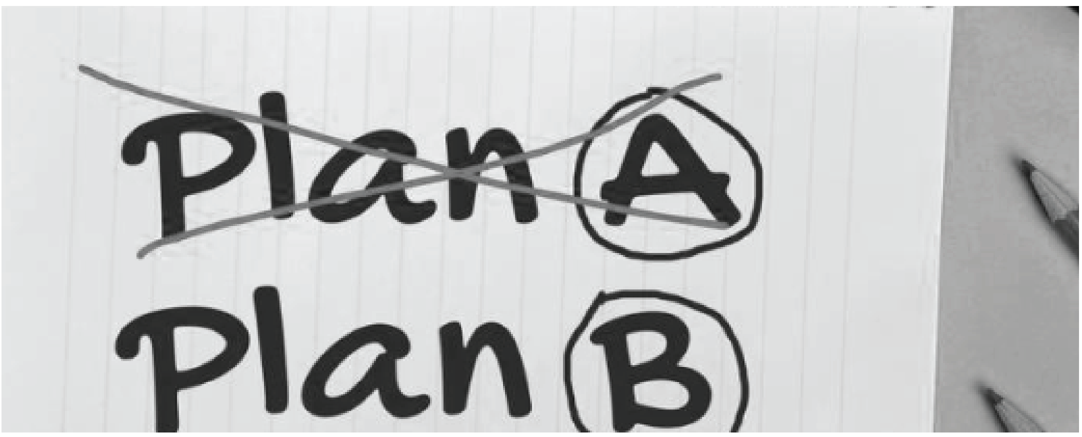
- What options are open to me? Consider the immediacy of any threat; the limits of information to hand; the amount of time available; available resources and support; your own knowledge, experience and skills; the impact of potential actions on the situation and the public.

If you have to account for your decision, will you be able to say it was:

- Proportionate, legitimate, necessary and ethical?
- Reasonable in the circumstances facing you at the time?

**Contingencies**

- What will I do if things do not happen as I anticipate?



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**Stage 5: ACTION and REVIEW. Take Action and Review What Happened**

This stage requires decision makers to make and implement appropriate decisions. It also requires decision makers, once an incident is over, to review what happened.

**Action**

**Respond.** Implement the option you have selected.

- Does anyone else need to know what you have decided?

**Record: I**f you think it appropriate, record what you did and why.

**Monitor:** What happened as a result of your decision?

- Was it what you wanted or expected to happen?

If the incident is continuing, go through the DMM again as necessary.

Review

If the incident is over, review and reflect on your decisions, using the DMM

- What lessons can you take from how things turned out?
- What might you do differently next time?

**Recording What Was Done and Why**

Decision-makers are accountable for their decisions and must be prepared to provide a rationale for what they did and why. In some circumstances the need to document decisions may be prescribed by statute, required by organisational strategies, policies or local practices, or left to the decision-maker's discretion.

Whatever the circumstances, the organisation should recognise that it is impossible to record every single decision and that not all decisions need to be recorded. In most instances professional judgement should guide whether or not to record the rationale, as well as the nature and extent of any explanation. The record should be proportionate to the seriousness



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of the situation or incident, particularly if this involves a risk of harm to a person.
In addition to using the DMM to determine their actions, decision makers may also find it useful for structuring the rationale behind their decisions.

**The mnemonic VIAPOAR will help users remember the key elements of the DMM.**

| | |
|---|---|
| **V** | **Values** |
| **I** | **Information** |
| **A** | **Assessment** |
| **P** | **Powers and policy** |
| **O** | **Options** |
| **A** | **Action** |
| **R** | **Review** |

**REVIEWS/DEBRIEFS**
The DMM is ideal for examining decisions made and action taken, whether by a supervisor, an informal investigation or a formal inquiry.

**Task**
Does your organisation have a Statement of Mission and Values? If it does what are they? Compare and contrast the decision making model described here against your organisations advice on making decisions.



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# WILL A WORKSHOP ENHANCE THE PROJECT OBJECTIVES?

## OBJECTIVES OF THIS MODULE

To introduce the concept of the Workshop as a tool to gather quality data around a desired outcome.

In this module we will look at:

1. Is a workshop the right method to use
2. Advantages and Disadvantages of a workshop

## 1. IS A WORKSHOP THE RIGHT METHOD TO USE

When engaged in any project it is important to ensure that the project objectives are accomplished; how you accomplish them requires careful consideration. One tool available is a Workshop however to organise a workshop takes a lot of time and effort so before you decide to commit to one you need to analyse if this method is the best way to achieve a particular objective.



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**Questions to ask yourself.**

1. Why do you need a workshop? What do you want to achieve?
2. Do you really need a workshop to achieve that?
3. If yes, what is your vision of success (ideal outcome) for this workshop?
4. What outputs/results do you want to have by the end of the workshop?

Analysing these questions should lead you to a clear decision for conducting a workshop or choosing another method.

## 2. ADVANTAGES AND DISADVANTAGES OF A WORKSHOP

To help you decide if a workshop is the best way forward let us consider what they aim to achieve and some of the problems with them.

**ADVANTAGES**

- At the beginning of something new a workshop is often a great way to begin the process.
- Knowledge improvement. Participant's may come from different countries, ministries, departments, and other workplaces.
- The opportunity to network.
- Workshops combine training, development, team building, communications, motivation and planning.
- They involve staff so increase the sense of ownership and empowerment and facilitate the development of organisation and individuals.
- Effective in managing change and achieving improvement.
- Good for the creation of initiatives, plans, process and actions to achieve business and



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organisational aims.

- Great for breaking down barriers, improving communications inside and outside of departments, and integrating staff.
- Workshops are particularly effective for customer relationship management (CRM) development.
- Assist in focusing on the people's key priorities and personal responsibilities/interest, to assist with business and departmental aims.
- Can provide possible solutions to a specific problem. Participants discuss the topics, problems, questions, ideas, and possible solutions.
- Increases buy-in and involvement more than conventional training courses because members participate, and the content and output are created by the delegates.
- Can provide quality analysis of complex issues so that decision makers are provided with the best available data to consider in their decision making.

**DISADVANTAGES**

Workshops can have negatives too.

- Some people do not understand what a workshop is and see it just as another 'meeting'.
- Availability of participants. Workshops can require a significant mix of staff and time commitment by the participants. Finding dates and times for the workshop can challenge individual schedules and workloads.

- Availability of workshop rooms. It can be difficult to find an available meeting room, especially for a whole day or may be two.
- Workshop cost. Workshops require a sizeable investment including the effort of the workshop participants, who are often very busy with other work. It may be difficult to convince management that the



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outputs/results of a workshop will be worth the time spent in a workshop, especially if they do not clearly see the difference between workshops and normal meetings.

- It may also be necessary to obtain an offsite room for the workshop (e.g., at a hotel) in order to prevent workshop participants from being interrupted or tempted to leave the workshop to perform other duties.

A false impression by participants of completeness at the end of the workshop. Because workshops are of very limited duration (i.e., a very small number of days), results produced during the workshop may well be incomplete and require considerable development before they are completed.

Stakeholders (especially management) may get the false impression that the conclusion of the workshop is the conclusion of the project and that no additional time is therefore needed to finish items.

- Intimidation. Some participants may be intimidated from actively participating and voicing their own opinions because of the presence of other participants, especially if some of the other participants have assertive personalities or rank and tend to dominate the discussion.

- Fear. Some participants may be afraid to raise issues and concerns, especially if they involve sensitive information or are inconsistent with the positions of their superiors.

**Task.**

Considering your own organisation, if you wanted to run a workshop which of the 'Advantages' outlined above do you feel would persuade your management to agree to it?

Considering your own organisation, what do you feel would be the greatest perceived obstacles as outlined in the 'Disadvantages' to running a workshop?



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# PLAN AND PREPARE YOUR WORKSHOP

## OBJECTIVES OF THIS MODULE

Objectives of this module
To introduce a structure around which a workshop could be planned.

Workshops are an extremely flexible and effective method for training, learning, development, change management, team building and problem solving, and virtually any organizational challenge.

You can run any sort of workshop you want - your options are as wide as your imagination and certainly not limited to off-the-shelf or tried and tested formats.
If running workshops is new to you then following a simple structure may assist you.


**Workshop Structure**

In this model there are five key phases in preparing your workshop:

1. Analysing
2. Planning
3. Developing
4. Rehearsing
5. Evaluating

The distinction among these phases will help you focus on answering the right questions at the right time.



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## 1 Analysing

Before preparing and running a workshop, you must be confident it's the best way to get the outcome you need. Can you achieve your objectives by gathering data, conducting interviews, or visiting other organisations?

If you decide that a workshop would assist you in gathering ideas, values, data then you need to plan it.

You must be clear on the context of the workshop.

- Why do you need a workshop? What do you want to achieve?
- Do you really need a workshop for that?
- If yes, what is your vision of success (ideal outcome) for this workshop?
- What outputs do you want to have by the end of the session?
- Analysing should lead you to a clear objective for the workshop.
- Workshops are often scheduled weeks or months in advance. Preparing a workshop will force you to think ahead of your project plan.

## 2 Planning


Planning is about creating the structure of the workshop. Start planning a workshop with the end in mind. Visualise the outcome and outputs you want. Then, work backwards so your plan really gets you there.

It's better if you can create a detailed plan for your workshop, planning what you want do to for each session during the workshop. This includes:

1. Setting a time and venue well ahead of the day
2. Consider refreshments
3. Decide who to invite
4. Consider workshop size, ideally 8 to 12
5. Headlines for each moment of the workshop
6. Establish agreed outputs or results
7. The detail of each activity: what you will tell the participants and ask them to do



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8. A time box for each activity

9. Who does what and when

10. What materials you'll need for the session

11. Invite suggestions from delegates beforehand to maximise commitment and empowerment.

12. Design a follow up plan


At each moment of the day, you should be able to picture exactly what you do with your audience. The more people in the room the clearer you have to be.

In my experience, if you're clear on the context and what you want to get out of the workshop, planning becomes easier so spend time in the 'Analysis' phase.

## 3 Developing

The Developing phase is about creating the content you will need (or sometimes, finding it, if you already have a log of content and exercises).

If you think you're going to reuse the content, I encourage you to write down as soon as possible what actually happened in the workshop, reflect on what went well and what did not. This will allow you to remember what happened and have other team members run similar workshops.

There's a reason I make a distinction between planning and developing. Both activities require you to focus on different things:

Planning is about creating the outline of the workshop, the objectives. This is what I want to get to from this workshop.

Developing is putting all the things in place to be ready to execute your plan. This is how I intend to get there.



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**Remember**
**Your Objectives are set in stone, your Plans to achieve them are set in sand. They may shift and move but you must keep your eye on the objective.**

## 4 Rehearsing

If you feel nervous at the beginning of a workshop, the chances are that you didn't spend enough time rehearsing with your team.

Rehearsing is a good way to gain confidence and reality-check to discover if there are any issues in the plan. In the ideal situation, you'd like to run a pilot workshop. But it's hard to find time for this (except if you run the same workshop several times with different groups).

Fortunately, you can get your team ready just by going through the plan ahead of the workshop. Make sure everyone is clear on what they have to do and say.

**How much time to spend Planning and Rehearsing?**
This is my rule.
**If I had eight hours to chop down a tree I would spend six sharpening my axe.**



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## 5 Evaluating

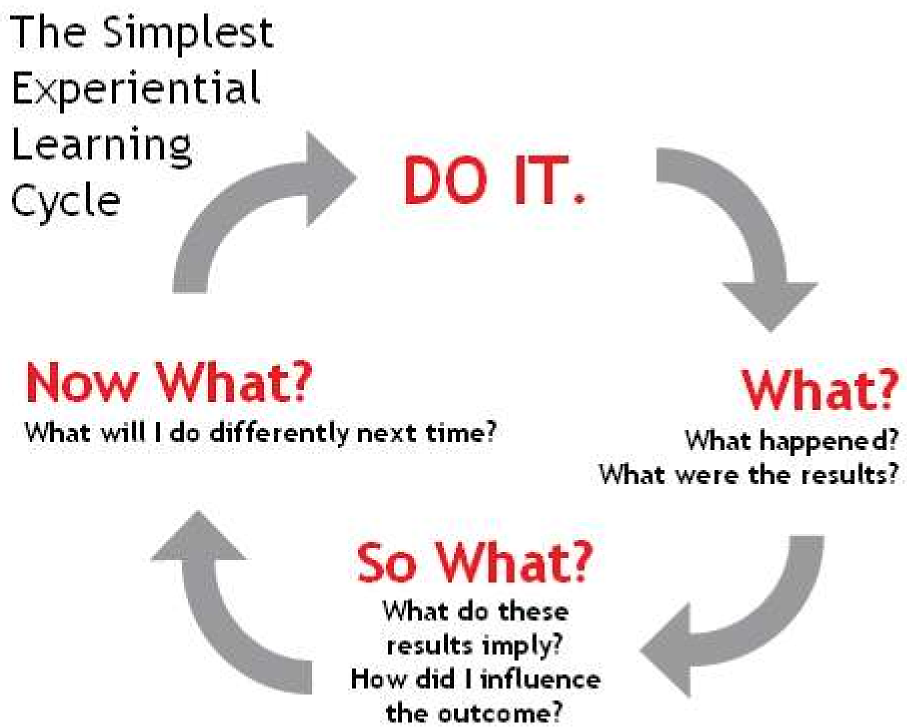
Evaluating how the workshop went will help you achieve two things:

1. On a project-level, you'll get a clear understanding of the problems that need to be solved in order to ensure that the rest of the project is going to run smoothly;

2. On a personal level, it's the best way to improve your ability to run workshops. It's also the chance to improve your preparation process.

You can evaluate the workshop and the process with your team or by yourself.
A simple model to use when evaluating is the Experiential Learning Cycle.

**Task**
Think of an issue you have faced in the workplace where you now think a workshop would have benefited the situation.
How do you think a workshop would have enhanced the final outcome?



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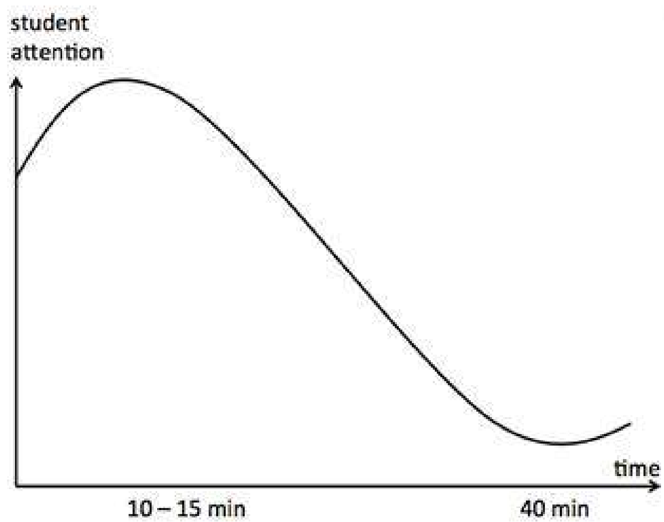
# CONSIDER WORKSHOP ACTIVITIES

## OBJECTIVES OF THIS MODULE

To introduce the need to design various activities within a workshop to enhance concentration and cater for different learning styles.
Involving Participants
Workshops are much more effective and enjoyable if they involve participants in activities, discussion, and interaction with each other.

**Attention spans and enjoyment**
Educational psychologists agree that the average attention span of a student is around 12 minutes, after that student attention fades and they turn their attention to other things, social media, day dreaming, chatting to their colleague. If delegates are not enjoying the workshop and being stimulated, they will not work for you and you risk failing to meet your objectives.




**Learning Styles**
Different people learn differently, some like to talk, others to read, some like to problem solve, some people are more graphic and like to learn with images.



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These learning styles are called the Kolb learning styles, Google 'Kolb Learning Styles to learn more.


You should attempt to include activities that cover a range of learning styles to maximise the learning experience.

To increase your chances of keeping the audience engaged and working enthusiastically the facilitators needs to design a number of activities to use within the workshop which will change the mood and energy level every 15 to 20 minutes.

**Variation of methods and activities**

Varying methods of presentation and activities will help keep people focused, and assist people with different learning styles to participate fully in the workshop,

Some possibilities to consider:

- Include some sort of hands-on activity where people can be physically active.
- Include both group and individual activities. Keep groups to 2 or 3 people if possible, this will increase participation
- Activities should be entertaining, or at least involving. Avoid standing at the front of the group reading out power point slides
- Include various kinds of audio-visual material where appropriate: Power Point, videos, flip chart, handouts, live internet access etc.
- Include innovative ways of exploring issues: a role play, interactive problem solving
- Split the delegates into smaller groups to discuss an issue and present their findings to the rest of the group



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- Can you use a quiz to test knowledge?
- Consider groups researching different issues on the internet and bringing their findings back to the group. This will depend on internet access and delegates having smart phones or laptops
- If skills are being taught always include practice of the skill, even if only for a short time, this gives participants the chance experience using the skill
- Do you have a case study to demonstrate a point?
- Use the knowledge in the room. Does someone have experience in a particular matter? Can you use that delegates experience for the benefit of all?

**Break out rooms**

One way to facilitate greater concentration in a workshop is to use breakout rooms. If you have the opportunity to use separate rooms or areas within the building that small groups can use to carry out tasks this can really concentrate activity and produce quality results.

**VALUE DELEGATES EFFORTS.**

**Never ask delegates to undertake an activity then not allow them to present, share or contribute their findings to the rest of the group. You MUST value their work and give them the opportunity to share their hard work.**

**Task**

Reflect on your own experience of workshops, meetings, projects. Can you identify any of the activities mentioned in this module?

What are they?

If they worked well why?

If they did not work well Why?



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# RUNNING AND ORGANISING THE WORKSHOP

## OBJECTIVES OF THIS MODULE

To introduce practical suggestions to aid a well run workshop.

## ORGANISING THE ROOM AND YOURSELF

**Before the day of the workshop**
If possible find out about the space you'll be using. If the space is your own, you can choose the room or place that would be best and set it up beforehand. If you're being assigned space in another facility, you may be able to request a particular type or size of room, or may be able to get it set up in a certain way (chairs in a circle, comfortable furniture, etc.). You need to think about how you'll use the space: Will people need to move around a lot? Will there be bulky equipment to move around? Do you need a screen or a flip chart or whiteboard? The more you can learn about the space and the more you can set it up for your needs before participants arrive, the smoother your presentation will go.

Whoever is organizing your venue will appreciate clear instructions ahead of the event. From experience you need to be specific in your instructions to the event managers in the way you want your room set up. Many times I have arrived at a venue with 1 hour to go only to find the room has been arranged in a different format to that which I asked for. It is not a good start to your workshop when you have to personally move desks and chairs before the delegates arrive and its embarrassing when some students arrive early to find you moving furniture!

In an attempt to avoid this, ensure that you give clear instructions on how you want your room arranged, consider emailing a diagram to reinforce the style you require. Below I have set out your options.



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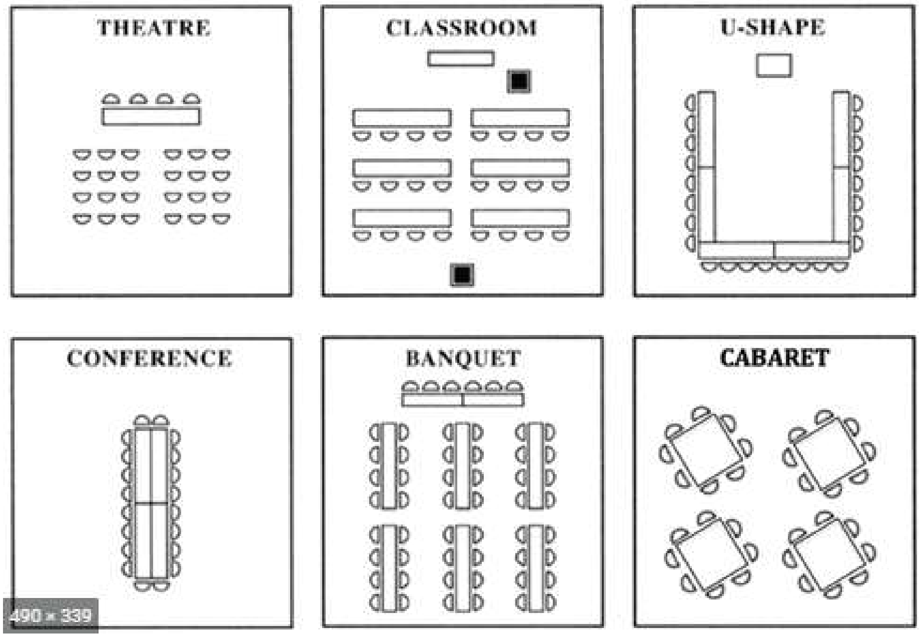


**Theatre**
Good for a conference but delegates cannot communicate or see each other easily. This is not a good configuration for an interactive workshop.

**Classroom**
Good for an event where you require delegates to make notes or follow your presentation in a document but again not an effective set up for a workshop.

**U-Shape**
This configuration allows all delegates to see each other and the facilitator to get 'into' the group. It allows movement by the facilitator so they can get out from behind the lectern. Consider this set up for a workshop as it also allows delegates to move their chairs into the centre so that groups can form, you may ask for groups of 4 so two delegates can move into the centre and sit opposite their team members.

**Conference**
Once again students can see each other and can communicate with their neighbours however the facilitator can only communicate with delegates from the front or by standing behind them. I do not favour this set up for a workshop.



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**Banquet**

This set up can work well in a workshop. You have ready made 'Groups' around the tables and you can get delegates to move from their starting position to join another table. It allows the facilitator to move between groups to monitor and assist and all delegates to see the front of the room to view Power point, Flipchart etc. I have used this set up to good effect in the past.

**Cabaret**

This set up can work well in a workshop. Once again you have ready made 'Groups' around the tables and many of the advantages of the Banquet set up. One downside is that many delegates need to turn round to see the front of the room.

**TIPS AROUND THE ROOM**

If at all possible visit the workshop room days before the event to check it out. From experience here are some tips to look for:

- Is it big enough for the number of delegates invited?
- Put the air conditioning on, how loud is it? Can you easily be hear from the back of the room. If this is an issue do you need a microphone?
- Put the projector on and attach your laptop, bring up one of your presentations, what is the quality of the projected image? Often venue projectors are poor quality. Have the IT department show you how to set up your laptop to the projector, get the IT phone extension and write it down so that if and when the IT fails you can quickly get hold of the technician.

- Put the lights on and get the staff to show you how they work. Ask if the front lights can be dimmed or switched off so that the screen is in darkness to improve picture quality.



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- Establish where refreshments will be served and arrange timings.
- Listen for outside noise, traffic, building work, will this be an issue on the day?

**Remember your objectives are set in stone so if you had planned one set up and on arrival you find something different, make it work, alter your plans. Never be afraid to ask the venue organisers to re-configure the room for you.**

**Tips for you the facilitator**

Much of the success for the event will depend on YOU.

Delegates will be looking to you for enthusiasm, energy, professionalism and creativity. You have a lot to think about. Here are some tips:

- First impressions. You have about 10 seconds to make your first impression, make sure its positive.

- Check that you look professional. Establish what the delegates dress code will be so that you can dress accordingly. My rule of thumb is a little smarter that the delegates are dressed. So if the delegates are in formal business dress, ties, suites... Then I would also wear suit and tie and keep my jacket on.

If delegates are in casual business dress, no tie, no jacket then I would wear a tie but I may remove my jacket.

If delegates are in casual dress I would be in casual business.

The reason for this is that you do not want to look so out of step with the audience that they do not relate to you. If you dress more casual than the delegates their first impression may be that you are not taking this event seriously. If the delegates are dressed in casual clothes and you are in a three-piece suit their first impression may be that you are out of touch.

- Do not start your workshop with an apology, 'Sorry to drag you here', 'Apologies for the IT issues'. Instead welcome your guests with enthusiasm and tell them what a great day it will be.



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**Humour**

Some presenters will tell you that humour is good in a presentation. My experience of 30 years suggests different. Firstly you are not there to entertain. A joke that offends one person in the audience will ensure that the person is not fully engaged with the event. Humour does not cross cultures and borders, what you find funny may not be considered funny in another culture. My experience is that it is safer to engage in humour that comes from the group rather than tell jokes.

**Non Verbal Communication (NVC)**

We all have habits and ways in which we stand, talk and engage with others. Whilst this may not be an issue socially when you have 12 people staring at you and the nerves kick in, those habits can become exaggerated and new NVC traits may reveal themselves. We could talk for a day on the subject but my best tip is this.

Have a colleague observe you when you rehearse the presentations and on the day ask them to give you feedback when you finish. What did you sound like, how did you stand, how did you deal with questions and so on. This will assist you to develop as a facilitator over time.

**Take everything you need**

Don't assume any of it will be there unless you've specifically arranged for it and even then you can't be sure.

- If you're going to ask people to write something, or if they might want to take notes, make sure you take enough pencils and paper for everyone and a pencil sharpner.
- Collate all printed material you want to hand out and take 2 or 3 extra copies.
- Take flip chart, markers for recording ideas, questions, comments, or for documenting what goes on in small groups.



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- Make sure your presentation is working as you intend on power point.
- Print out your presentations so that if the IT fails you have a back up.
- Name cards.  Is the venue supplying them or do you need card that you can fold in half and place by each delegate.
- Any other props you intend to use.

**Task**

Reflect on your own experience of giving presentations within your organisation.

Identify elements that went well and why that was.

Identify elements that could have gone better.

Next time what might you consider doing differently and why?



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CORRECTIONS
CAREERS

# DESIGNING A SURVEY OR QUESTIONNAIRE

## OBJECTIVES OF THIS MODULE

To introduce methods and considerations when designing a questionnaire or survey to gather data ahead of a workshop.

As mentioned in other modules before doing any data collection you need to ask yourself, ‘Is this the best way to get the data I need’? You may decide that instead of running a work shop you could get the data you need by sending out a questionnaire, or you may consider that before the workshop runs you can get some data to assist the workshop in this way. Either way if you decide to produce a questionnaire you need to think about what questions you ask and how you ask them.

Designing a survey or questionnaire involves much more than just choosing what questions to ask.

You won’t have the benefit of body language or voice tone to help convey your questions’ meaning so you need to carefully craft your written questions.

**There are three main pints to consider.**
1. Asking the right questions
2. Asking those questions of the right sample of people (representative and appropriate)
3. Using the data correctly (accurately, and without misrepresentation).



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**Where to start.**

Ask yourself these questions.

1 What am I really trying to find out?

Your research objectives should be the primary consideration when deciding which questions to include and which to leave out.

2 How long does the questionnaire need to be?

As a general rule, try only to ask about things that you need to know. Avoid making the questionnaire to long this can put people off. It can also be unhelpful to seek views on topics that will ultimately not influence the decisions we make or the priorities we set.

3 Who will be answering the questions?

Will the people who read the questionnaire be mixed in terms of their knowledge of the subject or experience? If so, it is vital to make questions simple and easy to understand and to avoid any technical or specialist language. If you need to explain things in too much detail you might be targeting the wrong people.

4 What order should the questions be in?

You need them to flow naturally rather than jumping from one thing to another. You might want to start by understanding the person's familiarity with the topic of the questionnaire section – e.g. frequency of violent attacks in prison.

Each section the questions should start broad, before narrowing in focus. If required, "summative" questions – such as an officer's overall experience of violence within prison should go at the end of the section.

5 What do I need to know about the individuals who respond?

You should consider asking some demographic questions so you understand more about the person and can analyse the data by a variety of characteristics. As a rule, more personal or more sensitive questions should be positioned towards the end of the questionnaire, since people are less likely to complete the other questions if they are put off straight away.



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# WRITING GOOD QUESTIONS

The best questions are those that get a clear and honest response from the person who is completing the questionnaire. You want all your potential respondents to understand exactly what the question is asking about, with little or no room for alternative interpretation. You also want to minimise the possibility that the answers will be unduly influenced by the way in which the question is asked.

**You can achieve this by thinking about the following rules:**

- **Keep language simple and questions short.** If you need to explain anything, avoiding leading the respondent to a particular answer.
- **Avoid using jargon**, acronyms, abbreviations, and specialist terms.
- **Be specific** when you ask about factors like frequency, so saying "daily", "more than once a week" and so on, rather than "regularly".
- **Avoid phrasing in the negative**, particularly where you are asking how much someone agrees or disagrees with a statement. It is simpler to answer the question, "To what extent to you agree that prisoners should pay for their phone calls?" than "To what extent do you agree that prisoners should not have to pay for their phone calls?"
- **Avoid multiple questions** they create confusion and complexity that could leave a respondent unclear of what you are asking.

For example, consider a question which asks whether you agree or disagree with this statement:

"In a prison setting, doctors should spend more time on face-to-face appointments and



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cell visits than on telephone consultations."

This consists of three separate statements, which could be asked or compared in different ways:

'doctors should spend more time on face-to-face appointments'

'doctors should spend more time on cell visits'

'doctors should spend less time on telephone consultations'

Think about exactly what you want to know and what you need to ask to find out about it.

- **Avoid any question wording that could "lead"** the respondent to a particular answer. For example, people can be drawn towards something that looks like the "right" answer (this is sometimes known as 'social desirability bias').

For this reason it is important to avoid suggesting one response is more desirable than another. Do not lead them by descriptions such as "How often do you watch **quality** current affairs programmes on TV?" or "People at our establishment love their jobs. How much do you love your job?"

- **Read the questions out loud** to see whether the wording is natural or can be improved.
- **Test understanding** and clarity of the questions on someone who is not involved in the project and who can look at it with fresh eyes. Be open to criticism, feedback is a valuable gift.

# OPEN AND CLOSED QUESTIONS

There are broadly two different ways you can ask questions and the choice you make will have a big impact on how easy it is to analyse the responses, and what you will be able to learn from the information you collect. There are advantages and disadvantages to asking questions in each of these ways.

## Closed questions

Closed questions provide respondents with a list of answers to choose from and are the easiest kind to analyse afterwards because everyone is choosing from the same group of possible answers.



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Make sure your list is comprehensive, is ordered in a sensible way, and has enough detail to match your objectives without being to long: select the most important/frequent options and then provide other catch- all responses, such as 'Other'.

For example:
Which of the following News channels did you watch for at least five minutes yesterday? (Tick all that apply.)

- BBC
- Al Jazeera
- CNN
- Realitatea TV
- Other (please specify)
- None of these

It is good to bear in mind that respondents are more likely to choose items from the top of a list rather than the bottom. To counter this, it is standard practice to reverse or rotate the response options when conducting on online or telephone surveys, though the order should remain logical to help people find the response they are looking for.

Closed questions often measure a range of options so that respondents can pick the one that most closely matches their position on issues, such as: their agreement or disagreement with a statement, the level of their satisfaction with something, how they would rate something, the extent to which they find something appealing, or how likely they are to do something in the future.




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## Bipolar or Unipolar scale

If the range goes **from positive to negative**, it is called a bipolar scale because it has two polar opposites with balanced options on each side of neutral.

An example of a bipolar scale is:

**Q. To what extent were you satisfied with the service you experienced?**

| | |
|---|---|
| □ Very satisfied | *This is the most positive answer* |
| □ Fairly satisfied | |
| □ Neither satisfied or dissatisfied | *This is the neutral answer* |
| □ Fairly dissatisfied | |
| □ Very dissatisfied | *This is the most negative answer* |

Some ranges of options are about the **degree to which the respondent feels the presence or absence of something.** This will not have opposite options and will instead start from a 'zero' option (e.g. 'Not at all'). This is called a unipolar scale.

An example of a unipolar scale is:

**Q. Did you enjoy the experience?**

| | |
|---|---|
| □ Enjoyed very much | |
| □ Enjoyed somewhat | |
| □ Enjoyed a little | |
| □ Did not enjoy at all | |

Here 'Enjoyment' is the feeling being measured.



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## Open questions

Open questions allow someone to give any answer rather than pick from your list of options. In other words, there is an element of 'free text'.

These questions can provide richer and more individual responses and can be useful when you are not quite sure what the responses will be, or in situations when you want to encourage more detailed feedback. As such, they can be good for bringing out the fine detail of the varied experiences of different individuals, and can be used to generate quotes, which can help bring the research to life.

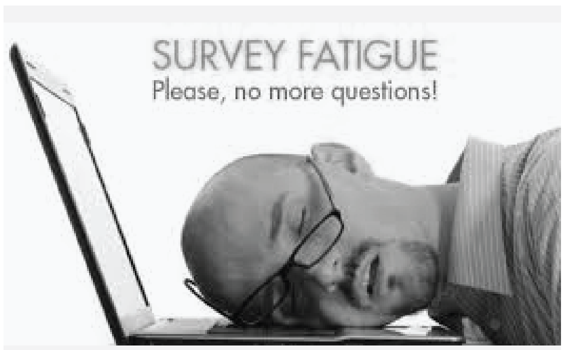
There are, however, a number of possible downsides:

- It is more time-consuming to analyse free text feedback - You may still be able to draw numerical data from open response questions, but you will first have to "code" the responses, which means classifying them into different groups
- Responses may go off on a tangent that is not relevant to the research
- It can be difficult to draw firm conclusions that can be applied to the general population
- It is harder to compare findings across repeated surveys as the form of the responses will differ
- Free text questions are more time consuming to answer and they often require more thought than closed questions, which could be off-putting.

## Impact of Survey Fatigue

There are question types, such as huge grids of radio buttons, that place a heavy burden on your respondents and increase their mental fatigue during the survey.

Sometimes these questions are necessary but avoid them if you can.



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Similarly, you don't want to write complex questions that tax respondents' working memory or comprehension. Poorly designed questions tend to produce higher non-response rates and may impact your ability to act on your data.

## The Effect of Survey Question Wording

Writing questions with the right wording is one of the most difficult parts of creating surveys. Asking a question doesn't sound complicated, but remember that collecting data remotely removes the ability to explain your meaning or offer additional information.

If you use obscure or mysterious language, inaccurate terminology, or very technical words, your respondents may not be willing (or able) to provide answers.

It's also vital to avoid asking two questions at once (e.g. "Please rate your experience with the food AND drink").

## How You Order Your Questions

Each survey question should follow a logical flow. Jumping around from topic to topic may confuse your respondents and cause them to skip questions or abandon the survey altogether. Be sure to carefully test your survey once it's completed so you can identify any inconsistencies in the survey taking experience.

**Task**

Try to write a bipolar scale question about an issue in your organisation.

Try to write a unipolar scale question about an issue in your organisation.



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# RISK ASSESSMENT AND MANAGEMENT

## OBJECTIVES OF THIS MODULE

To provide delegates with an understanding of the generic principles of risk management and risk assessment. To appreciate the affects within their organisational role.

### Introduction

Your role within this project is not to make the final decision as to the future shape of the system, your role is to explore options and present the best data to the decision makers. However if within this project you consider risk assessing your options you will discover many of the potential risks that decision makers may put forward as reasons not to change. Eliminating or reducing some or all of these risks may go a long way to achieve lasting positive change.

Risk management and risk assessment form part of any good work practice. Sound risk assessment and management are the foundation for creating a robust contingency plan.

The thought processes and rationale in relation to each stage of risk assessment and risk management , enable initial, and continuing management of any risk associated with an operation, project, function, activity or process. A contingency plan is a treatment for when, despite all best efforts, an event occurs which was not intended and requires particular attention.

The maximum benefit is usually obtained if the risk assessment and risk management process is applied from the very beginning.

Risk management does not have to prevent success or development, however the process of risk management does introduce measured, balanced, and documented processes that provide identification of risks and minimise loss or harm to the operation, project, function, activity or process. The process can protect the unit or department involved from adverse occurrences, or at least identify the possible difficulties and how best to try to prepare for them.



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# WHAT IS RISK?

There are probably as many definitions of the word 'risk' as there are risk managers. Here are a few:

**Risk** The possibility that something unpleasant will happen; a situation that could be dangerous or have a bad outcome
(New Pocket Oxford Dictionary – 2001 edition)

**Risk** The chance of something happening that will have an impact upon objectives. It is measured in terms of consequence and likelihood. AS/NZS 4360:1999

**Risk** Uncertainty of outcome (whether positive opportunity or negative threat). It is the combination of the chance of an event and its consequences. Office of Government Commerce (UK) Management of Risk 2002

A future and therefore uncertain event that could have an adverse/negative effect on the organisation.

Clearly we associate risk with the possibility of an adverse outcome, and rightly so.
However, risk is as much about identifying opportunities as avoiding or mitigating/reducing loss or danger.

The best way to avoid risk is to do nothing. Obviously this would lead to not achieving objectives or coping with occurrences during our daily duties.
Risk should be viewed as an opportunity that managed properly can result in success.
So risk can be both a negative or positive situation.



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# RISK ASSESSMENT

Risk assessment is nothing more than identifying risks that are associated with a particular task, role, objective, or event.

First, the risks should be identified, and then evaluated in order to get the level of risk into context in relation to the event, activity, or objective.

Once the risks have been identified and evaluated, they need to be considered in relation to the activity, and a list drawn together of possible consequences of the adverse effect of the risk becoming a reality. The possible consequence should then be measured in relation to the taking of the risk resulting in a positive outcome, or in an objective being achieved.

The next task is to consider how the negative consequence of the risk can be eliminated, reduced, transferred, or otherwise dealt with. This also includes creating a contingency plan.

Having put together this assessment all decisions and considerations should be recorded, and the risks and contingency plan should be communicated to relevant individuals or departments.

At the conclusion of the particular activity a review should be made, re-examining the identified risks and examining other unforeseen risks or occurrences that have arisen, and any policy adopted should be amended accordingly.

Risk assessment is important, both for the safety of individuals and property, and also to ensure the successful conclusion of a particular activity or event. However, the risk assessment and treatment should not be so complicated that it in itself hinders the possibility of a positive outcome.

In the unfortunate event of something going wrong, despite the best efforts of a risk assessment, if an enquiry or investigation is launched a well conducted risk process will provide some form of mitigation/easing of the potential criticism.



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## RISK CULTURE


Risk is part of our lives. We cannot eliminate risk, we can only attempt to control or reduce it. One more element that it is important to understand before we look at how to profile and manage risk, is the organisation and individual acceptance of risk. By understanding this we can see why organisations and people act as they do.

Is this individual/organisation from a 'Risk Embracing Culture'? Do they take risks or are they form a 'Risk Averse Culture' and shy away from taking risks?

## THE RISK AVERSE CULTURE

People or organisations from this culture will not embrace change. They like things to stay as they are, for them change is a threat.

Organisations within this culture will value stability and staff who have been with them for many years. They will be more comfortable putting energy into solving problems within their own organisation than looking outside at the wider threats. Such an organisation will have a defined structure of control and command; they will favour a hierarchy, decisions passed up the line. They will find it difficult to change strategies and move quickly to take advantage of changing circumstances, they will not like to change policy documents to reflect a changing environment but attempt to stay within the existing conditions. Finally they will have a blame culture, mistakes will be personalised, individuals will be named and shamed for mistakes.




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# THE RISK EMBRACING CULTURE

In contrast individuals or organisations from within this culture take a different view on risk. Their attitude will be one of, 'Let's go for it!' 'We can do this.' They will enjoy the challenge. Within such organisations the value comes from innovation and motivation. It does not matter to such an organisation what length of service the individual has or the amount of training or qualifications they hold. If they have a good idea it will be listened to and valued. Within such organisations people will be empowered to make decisions and act independently from management control.


When those from risk embracing cultures look at the world they look outside of their own organisation. They are looking for what is on the horizon not what is in the back yard. They are looking to the changing needs of the public, the evolving technologies within their sector. Such organisations will look to change policy and procedure to reflect the changing external environment and values. Finally mistakes made within such organisations will be used as opportunities to learn and will be de-briefed and built upon.

# IS RISK A NEGATIVE SITUATION?

Risk can be viewed as either Static or Pure, Dynamic or Business.

Static or Pure Risk would include:

- Criminal behaviour
- Personal safety
- Policing interruption.



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Dynamic or Business Risk would include:

- Political change
- Legal change
- Engagement with the community
- Partnering with another agency
- Financial health
- Technical innovations

The difference between the two categories is that Static or Pure Risk will always result in loss if it occurs, a negative consequence - loss of property, loss of life, loss of the organisation effectiveness or reputation with the community. Dynamic or Business Risk MAY result in a positive consequence. A new political regime may favour the organisation, a change of law may result in more beneficial powers, new technology may present an opportunity to enhance our capability, partnering with another agency may give access to valuable intelligence. It may also be the case that loss will occur as a result of these changes.

## THE COST OF GETTING IT WRONG

There are essentially three elements to the costs that risk incurs.

**Loss costs.** These are the costs that can be attributed to the results of a risk- related incident taking place. There are three main elements to loss costs:

**Direct Costs** Those costs that are directly related to the loss - the property stolen, the damage to a community, the cost of damage to buildings following a bomb.

**Indirect Costs.** Those costs that are only incurred as a result of the incident but are not initially apparent. These would include investigation costs. the fees incurred by the use of a forensic specialist service, the time and effort spent to recover lost computer data, increased security, fire or safety measures introduced to cover vulnerabilities highlighted as a result of the incident.

**Consequential Costs.** The financial, reputation and operational losses that arise from the inability of an organization to operate effectively because of the incident, service lost due



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to staff engaged in the event or the loss of reputation because of unfavourable publicity.

**Risk Treatment costs.** The costs associated with the treatment of identified exposures. These would include increased patrols in an area, investment in new equipment and training, physical security measures.

**Risk Management costs.** The costs directly associated with the Risk Management (RM) process. This would include the cost of the RM department itself, the cost of ongoing risk surveys and reviews, any special programmes such as public and employee awareness programmes.

| | |
|---|---|
| Time of Blast. 03.20 | |
| Losses. | 0 injuries, 0 deaths |
| Property Damage | 84,200 |
| **Total Costs 18 Months After Blast** | |
| Employee Terminations 44 Average Service 5.5 years | |
| Cost of Recruiting Replacements | 52,000 |
| Production Down Time Cost | 90,000 |
| Overtime to Meet Production Schedule | 51,100 |
| Executive Time Directly Related | 96,200 |
| Helping Employees | 16,300 |
| Temporary Agency Personnel | 28,500 |
| Union Contract - salary issue at next bargaining period | 100,000 |
| Increased Security Costs (1 year) | 69,300 |
| Property Damage (not covered by insurance) | 22,480 |
| Employee Time Lost - day following blast | 77,300 |
| Reports, Police, Insurance | 8,800 |
| Training Costs (for replacements) | 75,000 |
| Scrap and Rework - New Employee Errors | 40,000 |
| | |
| **Total Cost** | **726,980** |

Example
Showing the True Costs of Loss
Bombing in offices of an
International Company's
Headquarters



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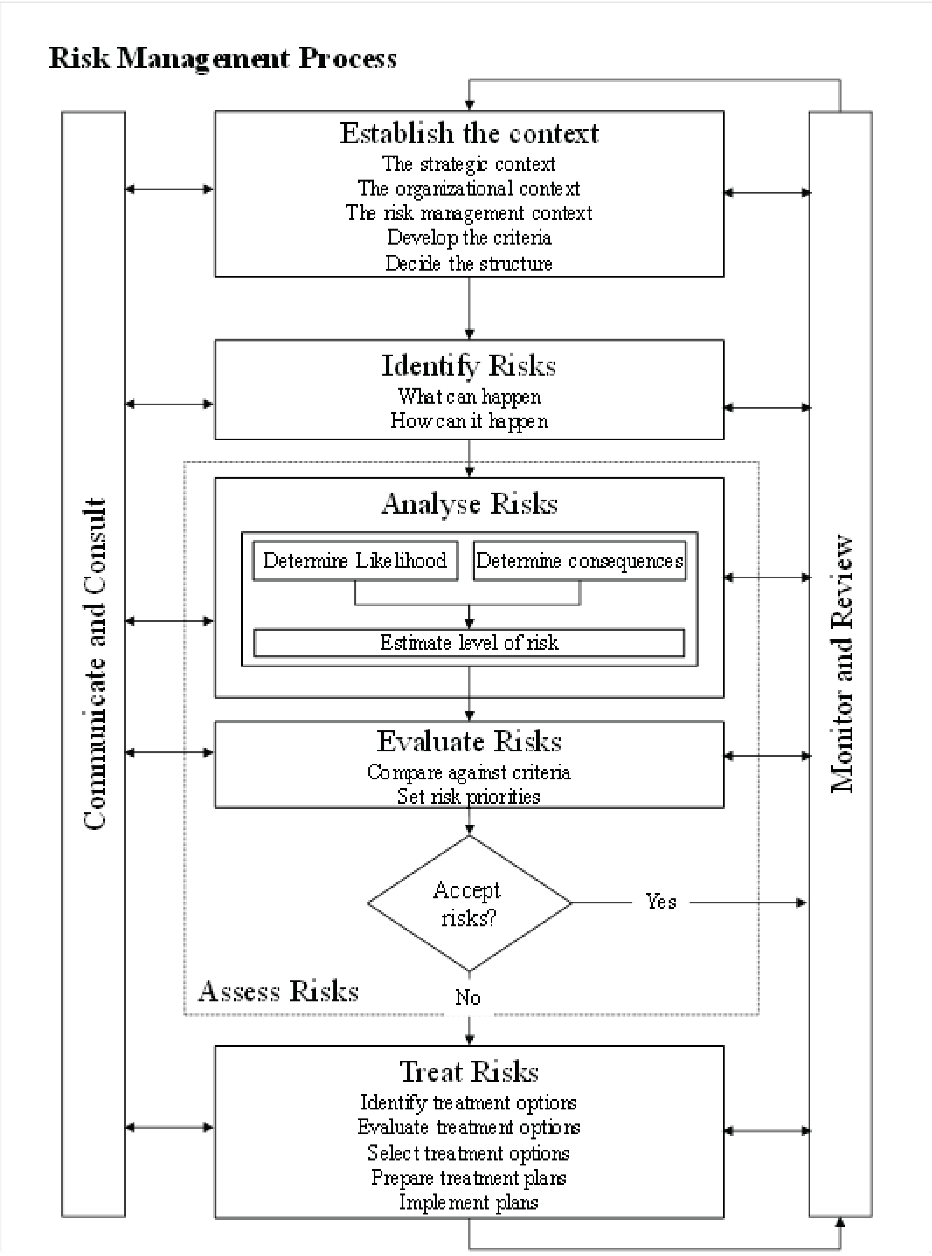
# THE RISK MANAGEMENT PROCESS

## Main Elements

The main elements of the risk management process as shown in Figure 1 are:




The risk management process will be explored during the face to face session.



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## 3PLEM

One framework to consider when establishing the risk context is the 3PLEM model, this was developed by UK Policing and is considered a best practice model in many regions.

The principle is that you look at the following six areas and assess if potential risks exist in any of them in relation to your intended actions.

- **Partnership/Organisation and Community**
  Individuals in the organisation, such as employees, management, senior management, and volunteers, business or commercial partners
- **Physical**
  Is anyone likely to get hurt? Police, public, offenders
- **Psychological**
  Is anyone likely to suffer psychological damage
- **Legal**
  Are you acting under recognised legal powers
- **Economic**
  How much is likely to cost your organisation and the wider community
- **Moral/Ethical**
  You may have the legal power to act in this way but are you acting ethically and morally

By considering 3PLEM you will demonstrate that you have considered a wide range of risks. Having identified the risk you have to measure them so that the decision makers in the organisation can decide if the present risks are acceptable to take or not. To do this a common method used is to enter each risk into a risk matrix and establish a value for each identified risk. This is risk analysis.



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# ANALYSE RISKS

The aim of risk analysis is to identify the minor acceptable risk and the major unacceptable risks. The source of the risk should be analysed together with their likelihood and consequence. Once identified minor acceptable risks should be removed from further process, although they should be listed to demonstrate the comprehensiveness of the process.

Two common types of analysis aim to measure the consequence or impact and the likelihood of a risk occurring, both are called qualitative measures as opposed to quantitative as they do not rely on any statistics.

## Qualitative measure of consequence or impact.

| Level | Description | Example detail description |
|---|---|---|
| 1 | Insignificant | No injuries, low financial loss |
| 2 | Minor | First aid treatment, on-site release immediate containment, medium financial loss |
| 3 | Moderate | Medical treatment required, on-site release contained with outside assistance, high financial loss |
| 4 | Major | Extensive injuries, loss of production capability, off-site release with no detrimental effects, major financial loss |
| 5 | Catastrophic | Death, toxic release off-site with detrimental effect, huge financial loss |

Measures should reflect the needs and nature of the organisation.



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## Qualitative measure of likelihood

| Level | Descriptor | Description |
|---|---|---|
| A | Almost Certain | Is expected to occur in most circumstances |
| B | Likely | Will probably occur in most circumstances |
| C | Possible | Might occur at some time |
| D | Unlikely | Could occur at some time |
| E | Rare | May occur only in exceptional circumstances |

The combination of these two measures will provide a risk matrix within which risk can be analysed.

| Likelihood (probability) | Consequence | | | | |
|---|---|---|---|---|---|
| | Insignificant 1 | Minor 2 | Moderate 3 | Major 4 | Catastrophic 5 |
| A (almost certain) | H | H | E | E | E |
| B (Likely) | M | H | H | E | E |
| C (moderate) | L | M | H | E | E |
| D (unlikely) | L | L | M | H | E |
| E (rare) | L | L | M | H | H |

Legend:
E: extreme risk; immediate action required
H: high risk; senior management attention needed
M: moderate risk; management responsibility must be specified
L: low risk; manage by routine procedures



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From experience when risks are analysed they are not examined in fine enough detail and a false measurement is arrived at, for example:

Your organisation is planning to contraband products entering the prison by increasing the searching facilities and using state of the art scanning equipment.

A common risk assessment would look at may be:

- Loss of evidence
- Cost of equipment
- Cost of training

This is then assessed as one risk assessment with one value placed on it.

However if more detail is examined the following additional considerations may be identified.

- Cost of extra staff to deal with finds
- Criticism from prison reform groups
- Politicians disagreeing with the moved
- Human rights groups
- Reputational damage to the organisation
- Riots inside prisons
- Local police costs of dealing with offenders
- Pressure of local courts...

Each of the risk considered needs to be separately measured so that a detailed picture is established and individual risks can be individually treated and considered.



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# EVALUATE RISKS

Compare the estimated levels of risk against the pre-established criteria.

This part of the process enables risks to be measured and rated in relation to being a high or low risk of happening, the probability or occurrence, with significant or insignificant consequences.

Evaluation assists the process of deciding what treatment, if any, is required.

This part of the process involves balancing the risk against the cost of dealing with it by whatever means. It also involves other issues such as resources and legal requirements.

The decision might be that the risk is acceptable and will not be treated. This is not the conclusion of the process. The risk should still be monitored and communicated as with the other risks identified.

# TREAT RISKS

If the organisation decision makers do not have the appetite to proceed with the current risk level then treatment of the risk by either reducing its consequence or its likelihood is the next step.

The higher the risk rating as a result of the analysis, the more urgency needs to be attached to its treatment.

It should be noted that the treatment of the risk is the responsibility of the 'risk owner' and that any risk management services operating in the organisation really only have an advisory role.



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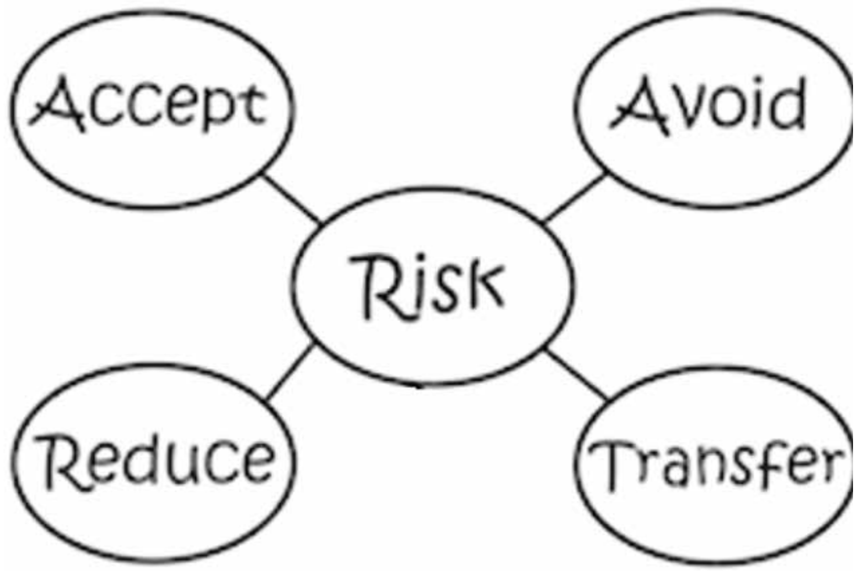
At the highest level, risk control strategies include:

- **Transfer**
  risk transfer means sharing with another party the burden of loss or benefit of gain, for a risk.

- **Reduction (frequency or severity)**
  risk reduction means actions taken to lessen the probability/likelihood or the negative consequences, or both, associated with a risk.

- **Avoidance**
  risk avoidance means decision not to become involved in, or action to withdraw from, a risk situation.

- **Retention**
  risk retention means acceptance of the burden of loss, or benefit of gain, from a particular risk.



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# MONITOR AND REVIEW

Monitoring and reviewing the risk that has been identified, analysed and evaluated has to be an ongoing process.

The risk may, or may not, move up or down the scale in relation to impact depending upon the treatment and clearly monitoring and reviewing are important to ensure the best measures are being used to treat risks identified, and unnecessary time and expense are not being used on risks that have been moved up or down the scale, or perhaps no longer exist.

In order to monitor and review the risks identified they need to be recorded on a Risk Register. This register identifies the risk, the probability, the impact, and the treatment. Regular reviews of the register will ensure the correct resources and treatments are being applied to specific risks as and when required.

# COMMUNICATION AND CONSULTATION

Unfortunately, whether we are prepared to admit it or not, communication and consultation within any organisation are rarely what they should be. There are many factors that make communication and consultation difficult.

It is important to establish how the risk management process is being implemented, to consult with all parties, either involved or affected by the processes, and to consult at regular intervals to ensure the findings of monitoring are communicated, and to draw upon all sources of information.



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Too often failure to consult and communicate leads to misunderstanding of objectives.

For further reading on law enforcement and prison estates risk assessment go to:
https://www.gov.uk/guidance/risk-assessment-of-offenders
https://robinainstitute.umn.edu/news-views/risk-assessment-and-implementation

**Task**

From your experience identify one area of risk in your work. Think of the negative impacts that may happen and how likely they are to happen and place them on the matrix shown on page 14.

Then look at risk treatments on page 17. From your matrix identify the risk with the highest score, now think about the most appropriate treatment or combination of treatments to reduced the risk value.

You may be able to think of treatments that would reduce the likelihood/probability? And or the Consequence/harm/loss?

Finally estimate what the risk value might be if the organisation applied your suggested treatment/s. This what you would demonstrate to the decision maker.



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