



OE

ORGANIZATIONAL | EFFECTIVENESS

# **Organizational Effectiveness Handbook**

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## ***APHSA Overview***

The American Public Human Services Association (APHSA), founded in 1930, is a nonprofit, bipartisan organization of state and local human service agencies and individuals who work in or are interested in public human service programs. APHSA pursues excellence in health and human services by supporting state and local agencies, informing policymakers, and working with our partners to drive innovative, integrated and efficient solutions in policy and practice.

APHSA's Organizational Effectiveness (OE) team provides consulting products and services to help state and local public human services agencies continuously improve their performance and capacity. APHSA's OE consultants have facilitated more than 60 improvement projects with public human service organizations in over 25 states. This handbook is a compilation of tools and materials developed in the course of completing and reflecting on those projects.

## ***Organizational Effectiveness Team***

### **Phil Basso**

Phil Basso is APHSA's Director of Organizational Effectiveness, specializing in products and consulting services that help agencies improve their performance and capacity. Prior to joining APHSA in 2003, Phil worked for over 15 years in the corporate sector, including eight years as a human resources and general management executive. During Phil's APHSA tenure the OE team has successfully delivered over fifty field consulting projects with members at the state, regional and local levels. Phil earned a BA in Sociology from SUNY-Binghamton, an MLR from Cornell University, and 18 doctoral credits in Education from The College of William and Mary.

### **Melissa Kanaya**

Melissa Kanaya, APHSA Senior Program Associate, has main oversight responsibility for the Positioning Public Child Welfare Guidance, a project to develop standards and guidance for the field of public child welfare, and also has responsibility for a broad range of project

management efforts. Prior to this position, Melissa worked in direct service to start an AmeriCorps Program and was a Program Coordinator of a welfare-to-work program. Melissa has a Bachelor of Arts degree from the University of Washington, a Master's degree from Georgetown University, and a Master's degree from American University.

## **Kathy Jones Kelley**

Kathy Jones Kelley, APHSA Organizational Effectiveness Consultant, specializes in products and consulting services that focus on the continuous improvement of organizational performance and performance capacity. Kathy has worked in the human services field since 1983 and since 1992 has focused on the development and delivery of training curriculum, transfer of learning, and organizational effectiveness products and services for the child welfare field. Kathy has led major improvement efforts in Pennsylvania promoting workforce development, leadership development and organizational effectiveness and their impact on child and family outcomes in child welfare.

## **Robin O'Brien**

Robin O'Brien, APHSA Organizational Effectiveness Consultant, has 15 years experience managing projects and programs in the nonprofit, public and corporate sectors. Since joining APHSA in 2005, Robin has spearheaded OE product development and marketing efforts and led or facilitated strategic planning, workforce capacity building, and continuous performance improvement efforts for a range of state and local human services agencies. Robin received BA's with honors in History and Government & Politics from the University of Maryland at College Park and a Masters in Industrial-Organizational Psychology from Baruch College, City University of New York.

## **Jon Rubin**

Jon Rubin is an Organizational Effectiveness Consultant with APHSA serving state and local members by providing program development consultation and continuous improvement support. After receiving his Masters Degree in Social Work from Temple University, Jon began his career as a social worker in the child welfare field, eventually becoming a supervisor and Administrator for Child Protective Services at the county level. During that time, Jon frequently provided training and technical assistance regarding child protective services to staff and the local community along with his other duties. After 15 years of direct service practice, Jon became an Organizational Effectiveness Specialist for Pennsylvania's Child Welfare Training

Program and prior to joining APHSA served as the Interim Director for the Training Program. Jon is also an experienced therapist, having provided individual, family, and group therapy.

## Contact Us

For additional information on APHSA and/or the Organizational Effectiveness Department visit our web-site at [www.aphsa.org](http://www.aphsa.org) or email us at [oeinfo@aphsa.org](mailto:oeinfo@aphsa.org).



## *Acknowledgments*

APHSA is continuously improving its Organizational Effectiveness (OE) products and services based on the real life experiences of the states, counties, and organizations that have engaged in continuous improvement efforts with our OE staff. We would like to acknowledge the following states, counties, and organizations for the contributions they have made:

### **Arizona Department of Economic Security**

- Workforce and HR Functional Capacity-Building Institute
- Supervisor and Manager Development- Various Local Offices
- Sustainability- Developing an Internal OE Consulting Team

### **California Health and Human Services Agency**

- Workforce and HR Functional Capacity-Building Institute
- (for both the State and LA County)
- Comprehensive Organizational Assessment- Ventura County
- HR Functional Assessment and Improvement Planning- Ventura County
- Supervisor and Manager Development Program- Ventura County
- Executive Team Assessment and Improvement Planning- Santa Cruz County
- Positioning Public Child Welfare Guidance Institute- Calaveras County
- Sustaining TANF-Child Welfare Collaboration (Linkages)

### **Casey Family Programs**

- Developing an Internal OE Consulting Team (Technical Assistance Unit)

### **Center for Workers with Disabilities**

- Stakeholder Assessment and Planning- Rhode Island Summit

### **Colorado Department of Human Services**

- Positioning Public Child Welfare Guidance Institute- Larimer County
- State-wide Practice Model Development and Implementation

### **Delaware Department of Health and Social Services**

- Strategic Support Function Improvement- Policy Support

**District of Columbia Child and Family Services Agency**

- Positioning Public Child Welfare Guidance Institute
- Workforce and HR Functional Capacity-Building Institute

**District of Columbia Department of Human Services**

- Major System Transformation

**District of Columbia Department of Disability Services**

- Leadership Team Development and Agency Continuous Improvement

**Florida Department of Children and Families**

- HR Function Team-Building

**Ohio Department of Job and Family Services**

- Retention and Succession Planning- Greene County

**Kansas Department of Social and Rehabilitative Services**

- Strategic Planning and Linkage to Regional Office Planning
- Positioning Public Child Welfare Guidance Institute

**Idaho Department of Health and Welfare**

- Workforce and HR Functional Capacity-Building Institute

**Louisiana Department of Social Services**

- Strategic Planning

**Maryland Department of Health and Mental Hygiene**

- Executive Team Development and Services Integration Planning-
- Montgomery County

**Maryland Association of County Human Services Administrators**

- Strategic Planning

**Maryland Department of Human Resources**

- Positioning Public Child Welfare Guidance Institute- Baltimore County

**Michigan Department of Human Services**

- Practice Model Development and Implementation

**Minnesota Department of Human Services**

- Linking State-wide and County-level Strategic Planning
- Practice Model and Training System Innovation
- Executive Team Assessment and Improvement Planning - Hennepin County

**Mississippi Department of Human Services**

- Comprehensive Organizational Assessment, Strategic and Improvement Planning
- HR Service Delivery and Program Improvement Planning

**National Campaign to Prevent Teen and Unplanned Pregnancy**

- Institute to Strengthen Pregnancy Prevention Services for Youth in Foster Care

**New Mexico Children, Youth, and Families Department**

- Practice Model Development and Implementation

**New York State Department of Family Assistance**

- Workforce and HR Functional Capacity-Building Institute
- Executive Team Assessment and Development
- Leadership Team Assessment and Development - Yates County

**North Carolina Department of Health and Human Services**

- Comprehensive Organizational Assessment; On-Line Tool Development and Implementation- Association of County Directors
- Planning for Multi-Year Improvement of Work Support Strategies

**North Carolina Children and Family Services Association**

- Strategic Planning

**Pennsylvania Department of Public Welfare and the University of Pittsburgh School of Social Work**

- Strategic and Improvement Planning; Development of Organizational Effectiveness Practice Team- Child Welfare Training Program (University of Pittsburgh)
- Embedding Continuous Improvement Practices at the Central Office, Regional Offices, Various Counties, and the Quality Assurance Function
- On-going Capacity Building of Organizational Effectiveness Practice Team, Supervisors, and Leadership - Child Welfare Training Program (University of Pittsburgh)
- Strategic Planning for Continuous Improvement- Pennsylvania Office of Children, Youth and Families
- Child Welfare Practice Model Supervisory Skills Development - Pennsylvania Office of Children Youth and Families
- Strategic Planning/Communications - Pennsylvania Children and Youth Administrators

**Public Consulting Group**

- Workforce Capacity Building for Child Welfare and Juvenile Justice Division

**SNL Financial (for-profit financial institution)**

- Workforce Capacity Building- Strategic Assessment and Improvement Planning
- HR Function Continuous Improvement
- Executive Coaching

**Tennessee Department of Children's Services**

- Workforce and HR Functional Capacity - Building Institute
- Mission, Vision and Values Development

**Tennessee Department of Human Services**

- Supervisor and Manager Team Development - District 6

**Texas Department of Family and Protective Services**

- Leadership Team Development- All Child Protective Services Regions
- Staff Retention and Culture Change - Houston Region
- Continuous Improvement: Retention and Disproportionality- Child Protective Services
- Sustainability - Developing an Internal OE Consulting Team

**Virginia Department of Social Services**

- Workforce and HR Functional Capacity - Building Institute
- Comprehensive Organizational Assessment - Hampton County
- Positioning Public Child Welfare Guidance Institute - Charlottesville

**United States Marine Corps, Family Services Unit**

- Strategic Performance Management

**Washington Department of Social and Health Services**

- Workforce and HR Functional Capacity-Building Institute

**West Virginia Bureau of Families and Children**

- Succession Planning- Initial Business Case Development

**Wisconsin Department of Children and Families and the University of Wisconsin at Madison**

- Practice Model Development and Alignment
- Embedding Practice Model and Continuous Improvement - Various Counties
- Training System Innovation and Building OE Capacity

## *Organizational Effectiveness Theory and APHSA Contribution*

In formulating our strategy and continuously improving our products and services, the APHSA OE team draws on our experiences working with the agencies acknowledged above and on our review of several theoretical perspectives to identify the basic principles conducive to guiding OE initiatives. Members bring to the team a range of intellectual influences. We examine these influences as a team to identify the value they provide to the agencies we serve and develop models, tools, and methods to put that value into practice. We then refine these models, tools, and methods in partnership with our clients. At times, this process leads us to contribute something new to the theory and practice of OE.

The following are the primary academic and applied sources that have influenced the development of the models, tools, and methods in this handbook. These theories provide the essential conceptual framework and support for APHSA's current technical assistance efforts to help human service agencies' improve their OE capacity.

Theory and APHSA Contribution	“Academic” Sources	“Applied” Sources
<p><b>Relationship-Task Balance</b></p> <p>Proficiency in fostering relationships and accomplishing tasks are not either-or or zero-sum propositions. Each benefits from advances in the other or suffers from the lack of those advances.</p>	<p>Daniel Goleman</p> <p>Megan Tschannen-Moran, <u>Trust Matters</u></p> <p>Lee Bolman and Terrance Deal, <u>Reframing Organizations</u></p>	<p>Ken Blanchard</p> <p>Noel Tichy</p> <p>Joseph Grenny, <u>Crucial Conversations</u></p>
<p><b>Open Systems</b></p> <p>Social systems, including agencies, are comprised of inputs, performance capacity (leverage of inputs), performance outputs, client impacts, and relationships within their environment (e.g., stakeholders), all of which are dynamic and interrelated.</p> <p><b>APHSA</b> is defining and testing core “drivers” of performance capacity as well as “levers” that cut across all drivers, including Time Management, Partnership and Collaboration, and Communication.</p>	<p>Wayne Hoy and Cecil Miskel, <u>Educational Administration</u></p>	<p>Peter Senge (Open Systems)</p> <p>Literature on Systems of Care and Services Integration (parallel processes)</p>
<p><b>Functional Capacity</b></p> <p>Building and sustaining organizational capacity requires a rational organizational structure with well-aligned departments, roles, functions and hierarchical levels.</p>	<p>Henry Mintzberg</p> <p>Abraham Maslow</p>	<p>David Ulrich</p>

<p><b>APHSA</b> is defining and testing a model through which organizational activity and the capacity and credibility of its strategic support functions can best be understood and improved.</p> <p><b>APHSA</b> is defining and testing a range of effectiveness indicators for building an organization’s workforce, data and analysis, finance, quality, and service capacities.</p>		
<p><b>Experiential Learning</b></p> <p>Learning is accomplished best by reflecting on one’s own concrete experiences, forming new ideas about them, making specific changes to one’s actions and behaviors, considering the impact of those changes, and making related adjustments. This process constitutes an ongoing cycle when it works effectively.</p> <p><b>APHSA</b> is defining and testing methods for removing barriers to and enabling experiential learning for teams of adult professionals, including working inductively and “inside-out.”</p> <p><b>APHSA</b> is defining and testing how experiential learning can be combined with classroom-based training for maximum impact on performance.</p>	<p>John Dewey</p> <p>Chris Argyris (double-loop learning)</p> <p>David Kolb and Roger Fry (single-loop learning)</p> <p>Malcolm Knowles</p> <p>Cognitive Learning and Development Theories (e.g., Jean Piaget)</p>	<p>“Knowing-Doing Gap”, “Learning by Doing,” and “Execution” (Harvard Business Review)</p> <p>Kaplan and Norton W.E. Deming</p> <p>Six Sigma</p> <p>Literature on Therapeutic Practice (a parallel process)</p>
<p><b>Readiness</b></p> <p>Readiness to learn, change and perform differently progresses through stages of awareness, application, success, and internalization.</p>	<p>Anita Barbee</p>	<p>See <u>Why CEOs Fail</u>, <i>Fortune</i>, June 1999</p> <p>See <u>Good to Great</u></p>



<p><b>APHSA</b> is defining and testing a model for determining a client’s readiness and the appropriate type of engagement for them to progress through readiness stages.</p> <p><b>APHSA</b> is also defining and testing factors for readiness to apply and become self-sufficient with ongoing experiential learning.</p>		<p>Peter Senge (Learning Organizations)</p>
<p><b>Empowerment</b></p> <p>Energy and buy-in for change aligned to system goals are achieved best through enabling discretion within clear and healthy boundaries.</p> <p><b>APHSA</b> is defining and testing specific techniques for clients to use in creating a culture of empowerment.</p>	<p>Rensis Likert</p> <p>National Implementation Research Network (NIRN)</p>	<p>Peter Drucker</p> <p>Literature on Therapeutic and Family Engagement Practices (parallel processes)</p>
<p><b>Impact Evaluation</b></p> <p>Professional development interventions should not be evaluated as products with presumed cause and effect links between participant satisfaction, participant retention of concepts and knowledge, later participant performance, and impact on the overall organization and customers.</p> <p><b>APHSA</b> will be defining and testing an alternative to the Kirkpatrick model for evaluating staff development and training efforts, based on the precept that the impact of professional development services must be focused on participant performance itself.</p>	<p>Michael Fullan, <u>Leading in a Culture of Change</u></p> <p>Donald Kirkpatrick (see for a formative but contrary viewpoint)</p>	<p><u>The Making of an Expert</u>, HBR, July-August ‘07</p>

<p><b>Facilitation</b></p> <p>Effective consulting and facilitation rely on participant safety, energy, induction and context focus, leading to participant accountability, deduction and more systemic generalizations and connections over time.</p> <p><b>APHSA</b> is defining and testing specific, replicable techniques for facilitation along these lines.</p>	<p>Expectancy Theory</p> <p>Mihaly Csikszentmihalyi’s Theory of Flow</p> <p>Amy Edmondson’s Safety and Accountability Model</p>	<p>Tim Gallwey</p>
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Based on the theoretical and field practice perspectives in the table above, we have developed the models, tools, and methods that make up the APHSA OE framework for continuously improving agency performance and performance capacity. Key OE models include the following:

1. DAPIM™ model, which identifies the steps of systematic continuous improvement (Define, Assess, Plan, Implement, Monitor);
2. Organizational System model, which identifies how the major work of organizations leads to positive outcomes for their clients;
3. Pyramid of Influence model, which identifies how strategic support functions build capacity and credibility through Operations, Key Processes, Structure and Culture, and Strategy work;
4. Learning by Doing, which identifies how adults learn through concrete experience and structured reflection; and,
5. Readiness model, which identifies indicators of organizational preparedness for OE work.

The learning by doing model was first developed by David Kolb; the other models were developed by the OE team. The application of these models and the tools that translate them into practice are explained later in this handbook.



## ***Purpose of the Organizational Effectiveness Handbook***

The Organizational Effectiveness Handbook (OE Handbook) is a compilation of tools and materials developed by APHSA's OE team since early 2004. The OE Handbook has multiple purposes and uses based on the individual needs of our clients. The overarching purpose of the handbook is to help an organization make continuous improvement a way of doing business.

The OE Handbook can be used in its entirety by facilitator(s) (either internal or external to the organization) guiding an organization through a continuous improvement effort. The handbook can also be used in smaller pieces, as individual chapters are designed to enable facilitators and/or leadership teams to drive continuous improvement in specific parts of their organization or in areas of particular challenge.

Whichever use the client chooses, it is important to understand that aspiring OE facilitators and/or leadership teams cannot simply read the OE Handbook and be prepared to implement OE. Through years of work with state and local human services agencies, APHSA has found that the best way to learn continuous improvement is through a live learning by doing process in which experienced facilitators help participants draw on their knowledge and background to troubleshoot a real life situation in a hands-on way. Through this experience, participants become familiar with the models, tools, and templates in the OE Handbook and see how they play out in real life situations. After experiencing the continuous improvement process first-hand, the participant newly proficient in OE can return to the handbook again and again as a now familiar resource when facilitating and/or leading continuous improvement efforts.

## ***Introduction to Organizational Effectiveness***

Organizational Effectiveness (OE) is a systemic and systematic approach to continuously improving an organization's performance, performance capacity and client outcomes. "Systemic" refers to taking into account an entire system or in the case of OE an entire organization; "systematic" refers to taking a step-by-step approach. In simple terms, therefore, OE is a step-by-step approach to continuously improving an entire organization.

Organizations operate as systems that are made up of the following interconnected moving parts: the aim of the organization (**strategy**) shared and seen as important by staff within the

organization and stakeholders external to the organization; resources put into the organization to achieve the strategy (**inputs**); ability the organization has to advance toward outcomes using available resources (**performance capacity**); activities of the organization towards outcomes (**performance actions**); results of system performance (**outputs**); changes in lives as a result of system performance (**outcomes**); and feedback from clients, staff, partners, key other stakeholders, and the community about how well the organization is achieving its desired outputs and outcomes (**feedback from the environment**). Feedback drives continuous improvement of strategy, which in turn drives continuous improvement of inputs, performance capacity, and performance actions, which in turn drives continuous improvement of outputs and outcomes.

<b>D A P I M <sup>TM</sup> M O D E L</b>	APHSA has developed a systematic approach called the “DAPIM <sup>TM</sup> ” approach to continuous improvement that enables real life work teams to drive continuous improvement. The approach involves
<b>DEFINE</b>	<b>defining</b> priority improvements in operational terms; <b>assessing</b>
<b>ASSESS</b>	observable, measurable strengths and gaps and identifying root causes and general remedies for priority gaps; <b>planning</b> quick wins, mid-term, and longer-term improvements; <b>implementing</b> action
<b>PLAN</b>	plans while managing communication and capacity; and, <b>monitoring</b>
<b>IMPLEMENT</b>	progress, impact, and lessons learned impact for accountability and on-going adjustments.
<b>MONITOR</b>	

The seven interconnected parts of the organizational system and five steps of the DAPIM<sup>TM</sup> continuous improvement approach contain within them many discrete tasks and individual and group areas of work. All organizations have strengths and gaps across this array of systematic and systemic work. This handbook is designed to help organizations leverage their strengths, close their gaps, and continuously improve across all areas of work.

# Overview of the Organizational Effectiveness Handbook

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OE HANDBOOK	The OE Handbook is divided into four major chapters:
<b>Chapter I</b>	<b>Chapter One:</b> Systemic Continuous Improvement Work
<b>Chapter II</b>	<b>Chapter Two:</b> Systematic Continuous Improvement Work
<b>Chapter III</b>	<b>Chapter Three:</b> Facilitating Continuous Improvement
<b>Chapter IV</b>	<b>Chapter Four:</b> Continuously Improving from the Inside Out - Tip Sheets, Templates, Tools, and Resources

**Chapter One: Systemic Continuous Improvement Work** introduces facilitators and leadership teams to models, tools, templates, and methods to assess strategic readiness through reflective thinking and define the aim and game plan of the organization through strategic planning. It provides more detailed guidance on how to define particularly challenging aspects of strategy – vision/mission/values, organizational roles, and use of strategic support functions. Resulting work products include a high level organizational assessment and a strategic playbook. The assessment identifies the organization’s strengths, gaps, and priorities for systematic continuous improvement at a high level. The strategic playbook outlines what the organization is, what it intends to do and why, how it will do it, and what it needs to succeed.

**Chapter Two: Systematic Continuous Improvement Work** introduces facilitators and leadership teams to the DAPIM™ and learning by doing approaches to systematic continuous improvement. Teams engaged in a facilitated learning by doing project or institute become familiar with models, tools, templates, and methods to continuously improve in priority areas, e.g., those identified using chapter one. Work products include the development and implementation of rapid and long-term continuous improvement plans as well as related communication and capacity plans. Participants also learn and practice monitoring techniques to assess their progress and adjust their continuous improvement work as needed.

**Chapter Three: Facilitating Continuous Improvement** introduces facilitators to the art and science of continuous improvement facilitation. This chapter can benefit organizations seeking to develop in-house facilitation teams, training organizations aiming to become more consultative and facilitative in their practice, and organization leaders seeking to strengthen their own facilitation skills. Participants are introduced to markers of effective facilitation, the flow of continuous improvement projects using the DAPIM™ approach, typical challenges OE

facilitators face and ways to overcome them, and tools and techniques to help facilitators be successful.

***Chapter Four: Continuously Improving from the Inside Out - Tip Sheets, Templates, Tools and Resources*** compiles an array of tools that a facilitator needs to facilitate team activities and drill down continuous improvement efforts in specific areas of challenge. Since each effort using the DAPIM™ approach is unique to the client and its real life situation, facilitators must be prepared to adapt pre-set agendas and other materials to emerging and evolving needs of participants. Chapter four provides a tool kit of team activities, templates, tools, and resources covering the areas of drill down continuous improvement encountered most frequently by APHSA's OE facilitators. Any OE facilitator needs to know how to identify and facilitate the right team activities based on the root causes and remedies that emerge from clients' continuous improvement efforts and the facilitator's evolving understanding of the client's strengths and gaps. OE facilitators are encouraged to add to this tool kit based on their own experiences.

In closing, the materials in this handbook aim to help facilitators and leadership teams guide an organization through a continuous improvement process. In keeping with the APHSA OE Department's core belief that adults learn best by doing, the OE Handbook is meant to serve as a resource for reinforcement and sustainability after individuals and teams have experienced a learning by doing continuous improvement effort first hand.

## ***Acronym List***

The following is a list of acronyms in the Organizational Effectiveness Handbook:

**AAR** – After Action Review

**APHSA** – American Public Human Services Association

**CI Team** – Continuous Improvement Team

**DAPIM™** – Define, Assess, Plan, Implement, Monitor

**HR** – Human Resources

**OE** – Organizational Effectiveness

**OE Handbook** – Organizational Effectiveness Handbook

**PPCWG** – Positioning Public Child Welfare Guidance