DEPARTMENT OF CORRECTIVE SERVICES
NEW SOUTH WALES

MAXIMUM SECURITY INSTITUTIONS
FORMAL & INFORMAL POWER STRUCTURES
Maximum security
Institutions: formal
& Informal power...

199-1284333
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Society is more familiar with crime and its community consequences than with its aftermath for the offender. Prisons are largely out of sight and out of mind. They represent a separate world about which the community knows very little. This world, which is difficult to understand, alien to all but those who live and work in it. This is true of all prisons, particularly true of maximum security institutions.

This paper was developed with contributions from a number of senior staff with a wealth of experience in maximum security settings. It presents a unique Australian picture, a ‘window’ into the operation of a maximum security institution. The text provides professional insights into the culture, beliefs and value systems of staff and prisoners and identifies many of the complex issues confronting Superintendents and correctional staff. These men and women work on intimate terms with violence and intimidation, doing a difficult job, in extremely difficult circumstances. They deserve high level professional recognition and the appreciation of the Community. Clearly, however, there are opportunities for improvement.

This paper was conceived as part of the foundation for improvement. It aims to:

- Support the induction of institutional staff, developing an understanding of the culture within which they must work, alerting them to the risks of apathy and the evolution of corrupt behaviour.
- Provide contemporary local information for other individuals and groups active within the Criminal Justice System.
- Briefly review current management strategies and practices.

The management of offenders in custody is at the core of the Department’s function. To be effective in this endeavour we must understand and respond to the culture and dynamics found within prisons.

In a field where very little authoritative local documentation is available, this paper presents a concise professional view of the way correctional institutions operate. I believe an understanding of its content is essential for any person who hopes to contribute to the Department’s future.

[Signature]

Director-General
INTRODUCTION

This paper presents a view of power structures typically found in New South Wales maximum security institutions. It describes both formal and informal structures, inter-relationships and culture, all of which strongly impact on the overall management of the State's institutions.

To understand life in a maximum security institution, a person must acknowledge the existence of both formal and informal hierarchies of power. While the structures are, in reality, integrated, they have very different objectives and must therefore be separately considered.

The formal structure aims to meet community expectations, is supported by legislation, policy, procedure, systems and resources, is predictable, can be easily defined and is often disregarded.

The informal structure supports the achievement of personal objectives. It is fluid and dynamic, depends primarily on human interaction (most of it face to face - not recorded) and is much more difficult to define. The informal structure is, however, substantial and influential, as real as the formal structure.

While there are clear differences between maximum security institutions, these differences are primarily matters of emphasis and detail, except in special purpose facilities. In this context it is possible to describe generally the effect of formal and informal hierarchies.

Although a substantial body of academic material is available in relation to administrative structures, cultural influences, inter-relationships between prisoners and staff, prisoner hierarchies and sub-cultures, most of this material relates to overseas experience.

The report of the Nagle Royal Commission changed the face of NSW prisons. As far as the Department is aware, the post Nagle prison system has not been empirically scrutinised and/or systematically described. In reading the document it must be recognised that many of the assumptions and conclusions do not claim an empirical base. The observations and comments concerning the informal structure are essentially based on personal experience, a wide range of anecdotal information and the combined experience of several individuals who have worked in institutional settings for many years.
1. CORPORATE AND LEGISLATIVE BACKGROUND

1.1. The Role and Purpose of Prisons

It is reasonable to claim the Department of Corrective Services is the oldest institution in Australia. In 1787, 11 ships left the shores of Britain transporting male and 192 female criminals on the first of many eight month voyages to New South Wales. In its early years NSW was basically nothing more than an open prison. The structure and culture described in this document is firmly rooted in these historical origins.

In principle, prisons exist to protect the freedom, property and life of each individual within society and to contribute to the maintenance of social order and harmony.

It is generally recognised that imprisonment has three universal goals: punishment, incapacitation and rehabilitation:

- **Punishment** - with two discrete aims:
  - Retribution: Social vengeance. An eye for an eye and a tooth for a tooth.
  - Deterrence: Prevention of wrongdoing through fear of punishment.

- **Incapacitation/Isolation** - Removal from society to prevent further wrongdoing.

- **Rehabilitation** - Treatment and re-education of offenders with a view to social reintegration.

1.2. Legislation

The Prisons Act and Regulations form the core of a body of legislative material administered by the Department in support of its day to day functions. The Act makes provision for the establishment, regulation and control of prisons and the custody of prisoners. The Regulations give effect to the principles set out in the Act.

1.3. Corporate Position

The Department's Corporate Mission, Philosophy, Policy and Procedure flow from these universal goals and the Legislation.
Through most of their history New South Wales prisons have been managed along traditional lines, with a focus on supervision and control. Today, the approach is moving toward a more participative, interactive style, characterised by Unit and Case management.

The Appendices include an outline of the Department's Mission and Goals (Appendix 2), sources of Policy and Procedure (Appendix 3) and a summary of Management Philosophy (Appendix 4).

2. MAXIMUM SECURITY INSTITUTIONS

At present there are nine maximum security institutions operating in New South Wales. These institutions can be loosely divided into three classes:

- Goals of Classification - Centres primarily dedicated to the detention of long term, A category prisoners.
- Reception and Assessment Prisons - Centres primarily dedicated to the short term holding of prisoners for a variety of purposes.
- Special Purpose Facilities.

2.1. Goals of Classification

The primary purpose of these institutions is to house prisoners who require maximum security supervision. They are required to address the specific program needs of prisoners with a view to inmates progressing through the system to eventual release. Program needs include:

- medical care
- psychological counselling and care
- education
- work
- drug and alcohol programs

2.2. Reception and Assessment Prisons

Three institutions provide the primary reception and assessment facilities for sentenced and remand prisoners. They accommodate prisoners who, in the main, are awaiting classification, further charges and court appearances in the metropolitan area, legal appointments, medical appointments, psychological assessments etc., for short periods of time.

2.3. Special Purpose Facilities

Three institutions are dedicated special purpose facilities. These are the Special Purpose Prison (Witness Protection Program), Special Care Unit (penal therapeutic community) and the Prison Hospital. None of these facilities can be described
as a typical maximum security institution. Clearly, the special nature of institutions modifies the generic operating systems and inhibits the infrastructures described in this document.

Descriptions of individual institutions and their common structural features included in Appendix 5.

2.4. **Operational Systems**

Operational systems within NSW prisons reflect specific legislative and regulatory requirements which establish the principles of custody, treatment and care of prisoners. The detail of operational systems are determined from this platform with proper regard to the specific needs of individuals living and working within institutions. Systems are substantially common throughout the prison system. Principal systems in current operation within institutions are described in Appendix 6.
FORMAL HIERARCHY/RANK STRUCTURE

Mark Fitzpatrick and Joe Sim ("British Prisons" 1982), describe the hierarchical structure within the prison system as follows:

"By tradition, prison officers have been organised on a paramilitary basis, which remains generally intact in the contemporary prison system. Prison Officers are organised in a strictly military hierarchical system. At every level of this hierarchy, there are formal limits and delimitations of authority. Each officer has a particular place in the chain of command and gives and receives orders according to his or her status."

"Most officers wear regulation uniform, with senior ranks distinguished by epaulets and braid on the rim of their hats. Basic-grade officers address seniors as 'Sir', and due deference is publicly demonstrated."

"Prison Officers tasks are clearly defined, and discretion, in principle at least, reduced to the minimum. Prison Rules, Standing Orders and Circular Instructions are designed to prescribe a way of handling every possible situation. Orders handed down from above are supposed to be taken unquestioningly."

This is a fairly apt description of the hierarchical structure generally found in NSW prisons.

0.1. Staff Structure

Custodial ranks include those of:
- Superintendent
- Deputy Superintendent
- Senior Assistant Superintendents
- Assistant Superintendents
- Senior Prison Officers
- 1st Class Prison Officers
- Prison Officers

Industrial staff include:
- Manager of Industries
- Assistant Superintendent Industries
- Senior Overseers
- Overseers
FORMAL HIERARCHY/RANK STRUCTURE

Professional staff and administrative staff include:
- Psychologists
- Education Officers
- Welfare Officers
- Probation & Parole Officers
- Drug & Alcohol Workers
- Prison Chaplains
- Administrative and Clerical Support Officers
- Stores Officers

0.2. Primary Staff Functions

Superintendents are responsible for the overall management of their institutions to the Director General through a Regional Director, Prison Operations. In particular, they are responsible for:
- Maintenance of security, good order and discipline within the prison.
- Daily operation of the institution, including the effective co-ordination of work.
- Treatment and care of offenders in custody.
- Efficient and effective use of resources.

All staff (medical excepted) working within NSW institutions are required to report and be accountable to the Superintendent for the performance of assigned duties.

The primary function of all custodial staff is the secure containment of offenders in custody. While in essence all custodial officers are governed by this primary responsibility, the specific duties vary significantly and are determined by the institution to which the officer is attached. Custodial and Industrial officers report through the rank structure.

Professional and Administrative staff are responsible directly to the Superintendent for the delivery of services, consistent with philosophy and policy, in their particular area of responsibility.

All Officers are obliged to perform duties ethically and legally, in a manner which protects the public and ensures the humane treatment and care of prisoners.

The authority of institutional staff is underpinned by legislation detailed in the relevant Acts and Regulations. Operational systems, policy and procedure give effect to the legislation and define the extent and limits of authority.

A Formal Organisation Chart and Functional Chart are depicted on the following pages. Clearly, the charts do not include reference to prisoners as the formal structure and hierarchy does not allocate authority to prisoners.
GAOL MANAGEMENT STRUCTURE
GENERIC FUNCTIONAL CHART

SUPERINTENDENT

STAFF DEVELOPMENT

- Co-ordinate staff development programme
- On the job training
- Occ. Health & Safety
- Staff Rehabilitation
- Supervision of Trainees
- Staff Development
- Plan prepare staff for organisational change

CONTAINMENT

- Production
- Trade Training
- Employment
- Wages

INDUSTRIES

- Internal & External Maintenance

PRISONER SERVICES

- Welfare Services
- Drug & Alcohol
- Education Program
- Library
- Probation & Parole
- Psych Services
- Assessment & Counselling
- Special Needs Groups
- Health Maintenance
- Medical Liaison
- Religious Liaison

ADMINISTRATION

- Budget Control
- Financial Reporting
- Accounts
- Prisoner Records
- Main Support

ADMIN

STORES

- Stock Control
- Purchasing & Supply
- Stocktaking
- Inventories

STORAGE

- Storekeeping
- Purchasing & Supply
- Stocktaking
- Inventories

SECURITY

- U & C Watches
- Towers & Security
- Posts
- Searches
- Armory & Weapons
- Review Post Duties
- Visitation ID
- Electronic Security Systems

ACCOMMODATION

- Unit/Wing Management
- Unit/Wing Stores
- Cell Allocation
- Cell Equipment
- Hygiene
- Communication
- Catering
- Hobbycraft

M.S.W. Maximum Security Institutions
Formal and informal power structures
INFORMAL STRUCTURE

The functioning of individuals within most organisations depends not only on processes and interaction, but also on structures and relationships that are not formally recognized or acknowledged.

Decision making and action affecting the organisation by individuals within the formal structure occurs regularly in most organisations. Any big administrative entity has its cliques, informal networks and individuals with access to informal decision making well outside their jurisdiction and official status.

Informal structures aim to balance, divert and sometimes undermine formal structures, capturing power and influence. The informal structure gives individuals outside the official chain of command power not allocated to them by virtue of their position in the formal structure.

In most organisations the informal structure may be tapped and positively manipulated by management to the advantage of corporate objectives. In a penal setting this is simply not possible. formal and informal regimes exist in constant competition.

In a maximum security setting the informal structure seeks to challenge, alter and obstruct the lawful framework and administrative procedures regulating the life of institutions. It interferes with security and good order of the prison, often consciously putting at risk the safety of staff and inmates alike.

At best, the informal structure, if accepted and understood, may be neutralised. At worst, it creates an institution that is totally dysfunctional with potential for dangerous and destructive outcomes.

The informal structure in a prison, as in any large administrative or bureaucratic system, develops and constantly evolves, adjusting to external influences and local conditions. It includes prisoners, their access to internal and external resources, staff and the role that they play in the management of these individuals and most importantly the inter-relationships within the institutional community. The following is an attempt to describe the culture, the hierarchy of power and dynamics within the informal structure.

1. GAOL CULTURE

Gaol 'culture' is not a new phenomenon in Australia. Historically, it relates to a glorified convict past and continues as a logical heritage derived from this legacy. As these issues have been canvassed extensively in many publications at both academic and popular levels, it is not proposed to re-write history or trivialise. It is however, important to refer to this factor as it may well explain the deeply ingrained attitudes and perceptions of ordinary citizens.
Until recently the stigma of imprisonment in Australia has not been as odious and distasteful as it is in many other countries and cultures. There has always been some degree of sympathy for the 'underdogs', a perception that many criminals are attempting, albeit by illegal means, to redress social injustices. Rigid bureaucratic systems were and are often the object of ridicule and challenge, "rules are meant to be broken".

These beliefs, attitudes and perceptions have begun to alter as the community at large has been subjected to:

- a general lowering of economic standards, visible poverty and hardship experienced by the average law abiding citizen;
- exposure to the findings of a number of Royal Commissions and public inquiries which have revealed large scale corporate crime and public sector corruption;
- the drug culture and its impact on all levels of Australian society; and
- a series of notorious murders where the crimes involved horrendous violence with some elements of thrill killing.

1.1. Prisoner Culture

Fundamental to understanding the culture and the criminal sub-culture existing within New South Wales gaols is a knowledge of the environment and the individuals that live and work within it. A maximum security gaol is a closed system to which the general community is only permitted restricted access.

By the virtue of its purpose, maximum security prisons accommodate the most notorious, dangerous and destructive offenders in custody. Apart from the simple deprivation of liberty, the essential nature of a maximum security prison restricts the day to day social, sexual and economic interaction of offenders as well as limiting the ability of offenders to make decisions or take action on matters that affect their day to day functioning.

The introduction of new sentencing legislation, combined with the level of recidivism means that N.S.W. maximum security establishments accommodate seasoned prisoners, well versed with the system, some of them spending more time in prison than out of it. A good percentage of these offenders are poorly socialised, lack understanding and respect for social norms and often have poor or impaired impulse control. For many of these individuals, identity and self esteem is closely related to preserving status and lifestyle in prison, regardless of penalties or human cost.

Although it is difficult to predict the behaviour of individuals, it is widely acknowledged that past behaviour is the best indicator of future behaviour. It follows that a fair percentage of serious offenders in maximum security institutions will be non-conformists who will seek to continue criminal activity while in prison. It would be naive to expect otherwise.
The restrictions and limitations imposed on them by the system must be met and defeated. To these individuals the term 'beating the system' takes real meaning. Further, operational systems within institutions have been altered and have difficulty responding to rapid changes within information technologies. Consequently, attempts to thwart criminal activity have only limited success.

The beliefs, values and behaviour of individuals living and working within the environment have changed over the years. In the 70's prisoners were typically serving terms for property related crime. Today the majority of prisoners are serving terms for drug related crime. The code of silence which was strong among prisoners a decade ago is being broken by an increasing number of offenders currently undergoing incarceration.

The principles of criminals of "yesteryear" essentially:
- "don't give your mates up";
- "don't steal from your mates";
- "don't harm women and children";
- "don't victimise the weak";

have given way to the glorification of power, strength, violence and greed:
- "might is right";
- "I'm all right Jack, f..k you";
- "if you can be conned you can be f...d";
- "kindness is weakness";

Further, contemporaneous community problems, particularly those concentrated in lower socio-economic groups (drug and alcohol use, prolonged unemployment, family breakdown etc.), are magnified by the prison environment.

This matrix has produced a unique, continuously evolving culture which is highly antagonistic, often prone to violence, intimidation and disruption. It is a culture, highly committed to its goals, using manipulation, threat and fear as its mainstays in a tense, dangerous and unpredictable environment.

1.2. Staff Culture

Custodial staff culture is dominated by a number of factors:
- Society's negative perception of the role of the Prison Officer;
- Highly regulated task definition but minimal clarity of fundamental role;
- Relatively low rewards.

The findings of the Nagle Royal Commission and the resultant press coverage appeared to have confirmed a community perception that prison officers are dumb thugs. Fluctuating morale and defensive attitudes, an obvious response to this position, have been aggravated by a high level of philosophical and organisational reform and a negative and sometimes inaccurate portrayal of custodial officers by
INFORMAL STRUCTURE

the media. Feelings of isolation and rejection have lead to a "siege/ghetto" mentality. The sum of these issues has established the low social desirability, low status and unattractiveness of this type of work.

It is important to note that custodial staff work in an environment where:

- The introduction of meaningful systems of personal performance assessment is extraordinarily difficult and;
- Consequently, it is difficult to implement the concept of merit as the sole criterion for promotion, seniority or staying power, tend to dominate.

As a result -

- Effort and achievement is not viewed as a path to reward and;
- Mistakes are perceived as leading to punishment, tending to be covered up rather than reviewed and corrected as part of a development and education process;

The tenets of the staff prison culture can be captured:

- "If you can be conned, you can be f....d";
- "An officer should always support his fellow officer";
- "An officer is always right";
- "Criminals have no rights";
- "Head Office is full of wankers living in ivory towers"
- "People who do not wear uniforms have no idea of what gaol is about"
- "Don't do the crime if you can't do the time".

It is easy to observe some unfortunate parallels between this and the inmate culture.

Historical conflicts and open resentment against non-custodial staff (who are perceived to be sympathetic to prisoners) as well as head office staff have led to antagonism, divisions and poor communication. In this environment custodial staff are not given to a philosophy of co-operation, accommodation and compromise.

These issues have been recognised by the Department. A positive strategy, embracing a matrix of human resource development initiatives, has been introduced to change the attitude and culture of custodial staff. The pursuit of an effective personal performance assessment system continues, entry requirements have been upgraded, pre-service and in-service training have been enhanced and new promotional and executive development programs have been introduced. Already, there are optimistic signs that a new generation of prison staff is emerging.

2. HIERARCHY OF POWER

In attempting to describe the hierarchy of power it is pertinent to briefly explore the position of prisoners within the formal structure. Offenders are considered powerless, without any access to decision making affecting their day to day functioning. Their autonomy is restricted, they are dependent on the system for their care and are controlled by regulation and routine.
The reality is that the operational systems, practices, procedures and procedures within the formal structure are often ignored or disregarded by prisoners in order to satisfy their needs; and by staff for reasons of expediency, carelessness, lack of competence or corruption.

2.1. Prisoner Hierarchy

The informal prisoner hierarchy is dynamic, complex and exists at a number of levels.

Prisoners fall into two basic categories:

- Conformists - Prisoners who co-operate and conform. They are usually uninvolved in goal politics, assaults or drugs. They are usually employed, interested in personal development and pursuing legitimate personal goals.

- Non-conformists - usually unco-operative, often violent, seeking either to covertly or overtly undermine, subvert or disrupt the system.

Although prisoners who fall into the first category constitute the majority of offenders in custody, it is evident that prisoners belonging to the second category (as a percentage of the prison population) increase markedly in maximum security settings. Such prisoners have the capacity to cause disruption which is highly disproportionate to their numbers.

In participating in the informal hierarchy, prisoners assume a range of identifiable roles, readily observed in NSW gaols. The following is a general description of the more common role types.

**Organiser/Heavy**

Intelligent, charismatic, has definite leadership qualities, normally wealthy, usually a member of organised crime with access to external resources (organisation, people and money). Often but not always has a capacity for extreme violence. Visibly may be among the best behaved. Able to manipulate his/her way into key employment positions (usually sweepers) to have continuous access to decision makers. Will attempt to bribe, coerce and corrupt individuals to achieve ends. The most powerful members of the informal hierarchy. Takes whatever he or she wants by force. Uses violence and intimidation as a means to an end. Sometimes employed by the 'organiser' as an enforcer and collector. Ruthless muscle-men.

**Predator**

One who uses violence and intimidation to obtain sex and material items from other prisoners, particularly those weaker than themselves. They are primarily motivated by self gratification.
**INFORMAL STRUCTURE**

<table>
<thead>
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<th>Role</th>
<th>Description</th>
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<tr>
<td>Dealer</td>
<td>Obtains, distributes and deals in drugs and other material items not provided by the prison system. Usually acts for others.</td>
</tr>
<tr>
<td>Bush Lawyer</td>
<td>Obstructs prison administration using legal and other avenues of complaint. Advises and encourages other prisoners to challenge all aspects of decision making.</td>
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<tr>
<td>Rebel</td>
<td>Non-conformist. Does not like rules or authority, is constantly disruptive and may be violent.</td>
</tr>
<tr>
<td>Con-Man</td>
<td>Highly manipulative, self serving, conniving. No allegiance to either prisoners or staff. Uses the system to get what he or she wants.</td>
</tr>
<tr>
<td>Swinger</td>
<td>Cautious. Does not want to upset either prisoners or staff. Tends to go with the strength, depending on personal circumstances at the time.</td>
</tr>
<tr>
<td>Loner</td>
<td>Tends to maintain a distance from both staff and prisoners.</td>
</tr>
<tr>
<td>Conformist</td>
<td>Prisoner who wishes to serve his/her sentence trouble free and get out in the shortest possible time. Usually obtains employment and conforms to acceptable standards of behaviour while in prison.</td>
</tr>
<tr>
<td>Cat</td>
<td>Known homosexual or transsexual.</td>
</tr>
<tr>
<td>Rat</td>
<td>One who is psychologically or behaviourally disturbed. May be constantly disruptive by virtue of his or her condition.</td>
</tr>
<tr>
<td>First-timer</td>
<td>A prisoner who has no knowledge of the system and its pitfalls. Usually at risk from others. Particularly at risk are young offenders and those with non-English speaking backgrounds. Sometimes on protection from the prison community.</td>
</tr>
<tr>
<td>Peter Thief</td>
<td>One who steals from other prisoners. At high risk of physical harm if caught.</td>
</tr>
<tr>
<td>Rock Spider</td>
<td>One who has been convicted and sentenced for the sexual assault of a minor. Despised by prisoners and staff and the least respected. Usually on protection from the prison community.</td>
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Informer/Dog

One who provides information to authorities on others, revealing prisoners, staff and/or members of the community. A prisoner is a known informant. Protection is exclusive to survival.

These role types are by no means exhaustive or mutually exclusive. Prisoners may assume more than one role and/or change roles depending on the make-up of the prison community. Similarly, a person may assume different roles during subsequent terms of imprisonment.

In observing individual role types and groups functioning within the prison, contradictions can and do emerge. As a result, it is necessary to qualify the preceding descriptions.

The prisoner sub-culture has no consistent philosophy, nor has it any requirement to adhere to socially acceptable conduct. In exercising their capacity for violence many of the gaol “heavies” and their close associates carefully pick their mark. They often victimise others, weaker than themselves, for the very same crimes that they themselves commit. For example some prisoners who are considered heavies have been convicted of violent crimes against minors. The irony of this situation is that despite a professed adherence to the 'code', they function unchallenged owing to their well known propensity for violence.

Other individuals who may have some impact on the informal structure are offenders who are corrupt professionals or others of higher education able to stand remote while exercising substantial influence throughout the structure. The influence of these persons is difficult to characterise.

In addition to the above role types, gangs based on ethnic origin or common interest (e.g. bikies) etc., coalesce to form power groups within the institution. The influence of these groups within the informal power structure varies according to the nature of the group, the numbers in the group and the role types assumed by those within it.

Fortunately, informal groups and the wider structures of which they form part are not normally cohesive or focused on a planned purpose. As a result, much effort is directed to rivalry or inter group dominance reducing the potential for subversive pressure applied to breakdown formal regimes.

The following is an attempt to describe a typical functional prisoner hierarchy identifying the operative groups and detailing the profile of individuals found in key positions of power.

1. Most Powerful - Organisers or Heavies - "Masters"

Behaviour

Based on conscious decision making not impose. Plans for outcomes over the long term.
INFORMAL STRUCTURE

Aims
Continue criminal activity to preserve personal status, lifestyle and criminal code. Range of activity, normally concentrated on supply and distribution of drugs.

Methods of operation
Usually employs others to carry out actions. Intimidation, threats, bribes and control through fear. Violence used discriminately to achieve desired results, e.g. payment of debts or as penalty for not conforming to criminal code. Violence seldom used gratuitously.

Resources
Access to internal and external resources, money, drugs and cultivated networks of people both inside and outside the prison system, particularly in criminal circles. Ready access to the legal system and an awareness of how it can be used to advantage.

Personality Traits
Intelligent, charismatic, manipulative, ruthless, with well developed conceptual thinking, decision making and social skills.

2. Second most powerful - Standover Merchants/Heavies - "Army"

Behaviour
Primarily based on instructions from others. Some degree of unplanned action and impulsive behaviour.

Aims
Earn rewards such as drugs, money and local power. Establish credentials and identity within criminal culture (making a name). Preserve personal status, lifestyle and criminal code.

Methods of Operation
Intimidation, threats and control through fear. Violence used discriminately to achieve desired results for employer. Violence also used for personal gratification.

Resources
Access to material rewards provided by employer and to a network of individuals within criminal circles.

Personality Traits
Usually bright and ruthless with a capacity for extreme violence. Places great emphasis on loyalty to the criminal code.

N.S.W. Maximum Security Institutions
Formal and Informal Power Structures
3b. "Swingers"

As described earlier, those who go with the strength. May conform or be involved in minor criminal activity depending on the group.

3c. "Uninvolved"

Not involved with criminal culture. Conforms to the formally acceptable standards of behaviour, is employed, usually participates in programs which enhance personal development (education, trade training, counselling etc.).

4. "At Risk"

The "at risk" category can be divided into two groups.

4a. General Risk

Individuals who, by virtue of age, appearance, crime, medical, physical or mental condition are known to be at risk from the prison community. Includes first timers, child molesters, young offenders or offenders of youthful appearance, physically or mentally disabled, psychiatrically or psychologically disturbed, non-English speaking offenders, offenders infected by the HIV virus, known informers, ex-law enforcement agency officers. Objects of violence and intimidation for personal gratification. Someone to kick, sexually abuse and strip of personal possessions.

4b. Informers - "Dogs"

The second group are those prisoners from any of the preceding groups who covertly inform on persons (prisoners, staff) involved in illegal activity. The information may be exchanged to prevent major disruption to the institution and their personal lives, to prevent harm to other prisoners and/or staff or as an act of revenge. Superintendents may grant additional privileges such as telephone calls or visits in order to maintain an effective intelligence network within the institution although this type of action is not encouraged or sanctioned by the Department. If an informer is found out his/her life is in extreme danger.

A chart depicting the structure of the prisoner hierarchy outlined above is provided in Chart 3.
INFORMAL STRUCTURE

CHART 3
SUMMARY OF PROFILE PRISONER HIERARCHY

ORGANISERS/HEAVIES
"Masters"

STANDOVER MERCHANTS
"Army"

OTHERS
"Population"

SMALLTIME OPERATORS

SWINGERS

UNINVOLVED

AT RISK PRISONERS

INFORMERS/DOGS

First Timers
Chid Movers
Known informers
Psychiatrically, Psychologically Disturbed
Physically & Intellectually Disabled
HIV/AIDS infected
Young Offenders
N.I.E.S.B.
Peter Thief

N.S.W. Maximum Security Institutions
Formal and Informal Power Structures
2.2. **Informal Staff Hierarchy**

Staff in a perfect organisation are aware of and committed to the ideals of the organisation and to maintaining high standards of ethical and work performance. Although power, money, status and financial security are important, these elements are not the primary motivators for work. In the perfect environment, the impact of the informal structure on the organisation is positive.

Public sector management is, however, constrained in providing rewards for superior performance and restricted in imposing sanctions for work which is unacceptable. The prison environment is an extreme of this condition. Here it is even more difficult to establish and monitor standards. Power, money, status, security and the quest for position are seen as the primary motivators. In these circumstances, the formal structure is highly vulnerable to abuse and a climate is created in which inferior work, low morale and corruption may flourish.

Staff generally fall into two categories:

1. Staff who have knowledge and a clear concept of their professional role and its requirements. The following sub-groups belong to this category:
   - Staff who carry out their role competently and professionally;
   - Staff who make a deliberate conscious decision to be corrupt for personal gain. This occurs when the value systems of staff equate with those of the incarcerated populace.

2. Staff who are confused or do not understand the role and its requirements or who fail to recognise the necessity for clear personal boundaries. This category includes staff who:
   - are socially immature
   - are naive
   - are easily intimidated
   - are emotionally unstable
   - have poor self esteem
   - aim only to be popular
   - try to keep the peace or cover up mistakes at any cost.

In this environment, executive management must adopt a hands on approach, simply to be aware of the forces acting against corporate objectives.

**Superintendents**

Superintendents sit at the top of the formal hierarchy and are well placed to also occupy that position within the informal structures. His or her authority to control the institutional environment, use resources, grant and reduce privileges, influence classification and placement are all high value currency, if used. In informal situations. Two extreme management styles can be identified:
INFORMAL STRUCTURE

A pro-active management style provides higher levels of interaction between management, staff and prisoners. This means that risks to prison operation are identified earlier and can be addressed before they develop as major issues. In this type of environment, the influence of the informal structure is substantially reduced. In short, where Superintendents take control in this manner the informal hierarchy has little influence on the decision making process, rather it attempts to influence staff at an individual level.

The alternate extreme is a passive/reactive approach. Normally at this extreme survival is the primary aim and the informal hierarchy is seen to pervade all aspects of prison decision making. Depending on their knowledge of the job, skills and capacity to lead, Superintendents may rely, to varying degrees, on another staff member or prisoner for decision making and to carry out the duties of his or her position ("eminence grise" - power behind the throne).

Deputy Superintendents

Deputy Superintendent's are powerful players in the prison setting if only because they must assume responsibility for operation of the prison whenever the Superintendent is absent, effectively 5-6 months per year. They are also directly responsible for the supervision of custodial staff and the daily security of the institution. The Deputy Superintendent has available personal authorities of substantial value in the informal network and a high level of persuasive authority with the Superintendent.

Wing Officers and Unit Managers

Wing Officers and Unit Managers occupy the positions with constant daily contact and control of prisoners. They are positioned to make or influence decisions regarding job allocation, cell allocation, visits, telephone calls, leisure-time activities. These issues are major factors for prisoners, if used, the powers are substantial currency in informal transactions. In some circumstances wing officers can be more significant informal authority figures than the Superintendent.

Industries/Activities/Visits Staff

Staff controlling industries, leisure activities and visits are similarly placed to dispense favours of value. Their power is significant as a result but is not comparable with that of staff who have effective control of living arrangements.

Executive/Non-Custodial staff

The power of Executive and Non-Custodial staff, while substantial in formal decision making, is in most instances dissipated as they must deal with the whole prison population in the context of a limited brief which does not touch on the majority of day to day privileges. Their direct contact with individual prisoners is intermittent. The group includes some Executive Officers, Psychologists, Education Officers, Welfare Officers, Chaplains, Nurses, Probation and Parole Officers.
Tower/Gate Officers

The least powerful among staff in terms of the informal hierarchy are those with little or no contact with prisoners and as a consequence have little or no capacity to affect the lives of prisoners. The group includes tower officers, gate officers, and those on patrol and escort duty.

Emergencies

The informal staff hierarchy outlined above applies to the daily operation of a maximum security institution. However, during emergencies such as riots, disturbances, escapes, hostage taking etc., the informal structures normally operative are overturned and armed and perimeter staff, particularly tower officers, assume a high level of importance.
INFORMAL STRUCTURE

INFORMAL STAFF HIERARCHY

The probable structure of the informal staff hierarchy during normal operations is depicted in Chart 4.

![Chart 4: Summary of Profile Informal Staff Hierarchy]

- Superintendent
  - Proactive
  - Reactive
- Deputy Superintendent
- Wing Officers
  - Industry Officer
  - Advocacy Officers
  - Visitors
  - Other Executive Staff
  - Education, Psychology, Welfare
- Gates
  - Towers
  - Escorts
  - Officers

N.S.W. Maximum Security Institutions
Formal and Informal Power Structures
INFORMAL HIERARCHY

Charts 5 and 6 attempt to merge the informal staff and prisoner hierarchies in terms of the influence one has on the other. The "at risk" category is not shown on the charts as they do not constitute a threat to the power of the formal structure. In other words, prisoners in this category cannot form an "alternative government".

N.S.W. Maximum Security Institutions
Formal and Informal Power Structures
INFORMAL HIERARCHY (2)

STAFF

Reactive/Passive Superintendent

Deputy Superintendent

Wing Officers

Industry Officer

Activities Officer

Visits

Other Executive Staff

Education, Psychology, Welfare

Gates

Towers

Escorts

INMATES

Masters

Army

Others

"Populace"

May be Prop "Grey Eminence"

N.S.W. Maximum Security Institutions

Formal and Informal Power Structures
2.3. Dynamics

The dynamics of formal structures differ significantly from those of informal structures. Within formal structures the following should be clearly defined:

- relationships between people;
- job description and allocation;
- mission and objectives; and
- desired outcomes.

The dynamics of informal structures are infinitely more complex, depending on environment, culture, history and values of the organisation. Even when an informal structure is focused on achieving a particular outcome, the results can be unpredictable as it is subject to rapid change. In a maximum security prison the factors of change are magnified by the transient nature of the inmate population and high staff turnover.

Formal leaders have authority, the right to command, enshrined in legislation, allocated by virtue of their position within the organisation, or delegated by superiors. In contrast, all informal leaders have personal power. They are powerful by virtue of their ability to influence, persuade and act, without formal authority.

In a maximum security institution informal structures exist, in close competition with formal authority. A few prisoners at the top end of the informal hierarchy, organisers/heavies, control its operation. Their communication network is swift, extensive and extremely effective. The formal channels of communication are often ignored in favour of the use of visitors, prisoners on escort, discharged prisoners, and corrupt staff to increase the speed of communication and reduce chances of interception.

Prisoners are in the best position to know and understand developments within the prison, particularly those which relate to covert or unlawful activity. Their access to intelligence concerning prisoners and staff is often superior to that which is available to formal authority. It is not uncommon for staff to hear sensitive information from prisoners before receiving advice through official channels. Often information which is strictly confidential, classification, transfers etc., is found to be in prisoner hands when that information should not be available generally.

These prisoners are always aware of the location and movement of particular prisoners as well as other prominent criminals within the general community. They are well informed of all significant occurrences within any of the institutions in New South Wales. They decide what should happen and organise the action necessary to execute those decisions.

Clearly major players have access to substantial external resources. By virtue of their personal networks they are able to control and manage all types of business including large drug trafficking operations and those which require the movement of large sums of money all over the world.
The dynamics of any group or organisation depend on its aims and expected outcomes. In prison the type of outcomes sought by the informal hierarchy fall into two broad categories.

**Specific**
- Planned, organised (criminal activity)

**Non-Specific**
- Disregard or overcome restrictions imposed by virtue of imprisonment. Action may be planned or ad hoc. The functioning of the informal hierarchy facilitates the achievement of the following:

<table>
<thead>
<tr>
<th><strong>To be achieved</strong></th>
<th><strong>Method of operation</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Operate Criminal Enterprise</td>
<td>Import and distribute drugs, including smuggling drugs and contraband into prison. Trade in material items not available in prison. Collection of payments for the above. Movement of money. Corruption of staff.</td>
</tr>
<tr>
<td>Access to information which is Classified or Restricted</td>
<td>Obtain employment which may allow access to computer based information or documents. Blackmail, bribe or corrupt staff. (e.g. movement, classification &amp; placement, location of other prisoners). Manipulate indiscreet staff. Maintain external network of significant persons.</td>
</tr>
<tr>
<td>Assisting Escapes</td>
<td>Planned and organised with access to internal and external resources.</td>
</tr>
</tbody>
</table>

**Influence within the prison to facilitate:**
- **Job allocation**
  - Manipulation, intimidation and bribery
- **Access to services**
  - Manipulation, intimidation and bribery
- **Freedom of movement**
  - Manipulation, intimidation and bribery
- **Additional privileges such as telephone calls, visits etc.**
  - Manipulation, intimidation and bribery
- **Access to material items such as televisions, radios, cassette recorders, toasters, electric jugs etc.**
  - Intimidation, theft, force, gambling and barter
- **Sex**
  - Intimidation, force and barter
Reinforcement of power of informal hierarchy

Violence, Intimidation.

Prisoners

Action ranges from threats to assaults and ultimately murder. May extend to the families of prisoners.

Staff

Bribery, threats, assaults and set-ups.

CASE STUDIES AND EXTRACTS FROM INTERCEPTED CORRESPONDENCE

The following case studies and extracts from intercepted correspondence between prisoners provide some insight into the dynamics and influence of the informal structure.

Case study 1 - Drug Operations Controlled from Gaol

After a long investigation into the importation and distribution of drugs into Australia, members of the Combined Drug Task Force entered a maximum security institution in metropolitan New South Wales with a search warrant and searched a prisoner’s cell. The documents and items found on that search combined with information and evidence uncovered by the Combined Drug Task Force revealed a major drug importation racket being run from within the prison. The method of operation used was as follows:

- arrangements would be made by the subject with prisoner syndicates to import heroin through his network in Hong Kong.
- with access to two telex numbers in Hong Kong, the subject would inform Hong Kong (via visitors to the prison) as to the quantities required and where it was to be sent to.
- the subject’s outside contacts would liaise with the criminal network of prisoner syndicates to arrange delivery and payment.
- the subject also used the telephones inside prisons to organise methods of payment, ensure that Telex messages were sent and received and iron out ‘hiccups’ concerning deliveries.
- the subject would receive a percentage of the value of the heroin introduced into Australia (mainly, New South Wales and Victoria).
- Information indicates that the subject was involved in the movement of large amounts of money within Australia and overseas.

The investigations by the Combined Drug Task Force in 1985/86 culminated in the conviction of the subject for importation of substantial quantities of heroin.

Case Study 2 - Escape

In September 1990, a prisoner committed for trial for serious offences escaped from a metropolitan maximum security prison shortly after arrival from another prison. Inquiries revealed that this prisoner escaped by hiding in a vehicle leaving the institution.
INFORMAL STRUCTURE

Investigation revealed that one of the primary factors contributing to the escape was the prisoner's employment as a wing sweeper, a short time prior to the escape. This ultimately gave him a reasonable chance of unsupervised access to the vehicle used in the escape.

The information available suggests that the prisoner should not have been employed as a sweeper. He had recently escaped from a maximum security institution in Brisbane; he had only just arrived on transfer from another institution (given the limited jobs available he should have registered for work and taken his place in the employment queue); and was committed for trial on major offences.

Although it was not substantiated, it is assumed the method used to obtain employment as a sweeper was as follows. A vacancy was created in the wing. The 'head Sweeper' approaches the Wing Officer and strongly recommends that this particular prisoner fill the vacancy. The wing officer contacts the Assistant Superintendent Industries with this request. The day after his arrival the prisoner was appointed a wing sweeper without any formal registration for employment.

In this case the mechanics applied by the informal hierarchy to circumvent formal operational systems and manipulate staff are demonstrated.

Case Studies - Letters

Extract 1

The following extract from an intercepted letter illustrates access to intelligence and restricted information as well as possible influence on the classification and placement of prisoners:

"Dear M. Hello buddy. Thanks for the card. I am sorry that I am late sending you this card. I hope you are doing well. M, just take it easy for a while. Everything will fit in slowly. I think I will be up that way soon. I do not know why, but they will shift me again soon. When I see you I will talk to you a lot more. You will get to Parklea soon. I know that, so do not worry.

You have one problem there, the man with the white hair (the australian) very dangerous man with his mouth. I do not trust him at all & I think he is stopping you from going there. Anyway, just take it easy. Let me know if you want anything or if I can do anything for you. I am back in Maitland."

Extract 2

This letter from Parklea demonstrates the informal intelligence network, the ease with which prisoners in other gaols can be intimidated and threatened and the capacity of the informal hierarchy to implement its own brand of action in other institutions and in the community.

"C, How are you my good friend, very well I hope. Firstly before I begin I must ask you a very important question from myself and N. I want you to answer it as my friend and if there is a problem myself and N want to know so we can sort out the
problem if there is one. C. we received a message that you informed us where he had something hidden. Some bloke called F got pinched but he was minding it for L and L says that you knew where the item was hidden and then you went to Berrima. so you can see what N and myself want to know they say you are on protection. So I want to know from you so I can take action. Before you write to anyone at the M.R.P., myself and N want to know so we can take our own action. So besides that I hope things are okay and that get this problem sorted out first and then he will try to help you with your one J''.

C - Prisoner at Berrima on protection.

Author - Standover man at Parklea employed by organiser.

N - Organiser at Parklea.

L - Drug dealer at Assessment Prison (MRP).

F - Friend of drug dealer

J - Girlfriend of C residing in the community

Extract 3.

An extract from a letter intercepted outside normal channels, indicating indiscreet/corrupt behaviour by an officer:

"Firstly I wrote you a letter via JC; did you get it? Please let me know in your next letter. I have a screw very, very much on side and he told me that inter-gaol mail is being carefully looked at and in some cases opened and if they don't like what they see they photostat it. I am always careful as I can be and I don't take any chances and have a few methods of getting the mail I want sent to you put in after the check point".

Extract 4.

From the same letter, indicating a disregard of formal systems as well as obtaining material items which have either been stolen or obtained by intimidation.

The only good thing to come out of me getting tipped from the M.T.C is that I now have the chance to spend a little time with my mate T. S got him a sweepers job too. I think I already told you he got 12 with a 9. I am proud of him because he handled it well. He is up for classo Tuesday and its certain that he'll be making his way to Parklea, he should be there in about 3 weeks he'll be looking you up he and Mick are very close. Mick visits him once a week so you and I will have much better communication shortly. I also must say this that S looks after me like a son, everytime I finish in the C.I.P, TV, Jug, Toaster. Sweepers job in 6 wing the moment I arrive each time".

Extract 5.

From the same letter, planning to interfere with Crown witnesses, discussing contribution to be carried out in the community and disregarding formal systems.
"I saw the newspaper that R looks like running true to form. What's going on mate? Can they fit you on the shit I read about today, R2 you and him?? Will anything become of it? Dear friend if he can do any damage get it put off for as long as you can until I am out. I heard that they look like giving him a licence if that's true stall it as long as you can as there won't be any hurry as they know you are doing the big one. Get it put off until I am out and I'll fix him work it out and let me know via M if something must be done then I promise you I'll do it. I am with you all the way and will share the good times and the bad to get where we are going. Well mate I had intended to send this letter a couple of days ago, but I decided to wait until today as M's coming out to visit and I'll give it to him to post."

Extract 6. An extract indicating sexual intimidation and rape of young first offenders and carelessness or incompetence of staff.

"the terrible part of this story is that when young receptions come in they are put in C wing. Now this is the terrible part, the D wing sweepers are all aboriginal inmates. They come over when the C wing officer is busy, get through the door and wait for young first offenders to put all their belongings in their newly allocated cell, come in on them and rape them."

2.4. Inter-dependence of Staff and Prisoners

As maximum security prisons are closed communities there is an obvious need for staff and prisoners to co-exist in an intrinsically hostile environment. Notwithstanding this, there is a clear inter-dependence between staff and prisoners. The level of antagonism in the relationship between prisoners and staff varies, depending on individuals and circumstances, from an uneasy truce to grudging cooperation to acts of violence and destruction.

Institutional staff clearly have a special duty of care towards offenders in custody. They are required to ensure prisoners are held in secure custody, treated humanely and their needs are attended on a daily basis. Prisoners on the other hand rely on institutional staff to provide for their daily needs.

Given this dependency and the cost to both staff and prisoners of maintaining a constantly antagonistic relationship, it is inevitable that mutual inter-dependence will develop between the groups. This simply means an acceptance by the prisoner that the officer is doing a job and a realisation by the officer that the job would be easier and more rewarding if the respect and co-operation of the prisoner was obtained. The inter-dependence increases in locations with long serving prisoners and staff. At the extreme, in unit and case managed environments, staff and prisoner inter-dependence is very high.

Inter-dependence has potential to become sinister, corrupting staff and involving them in criminal activity. Corruption may start with something of little significance, bending the rules, granting a favour or privilege inappropriately or turning a blind eye to minor breaches of prison discipline. Clearly, the risk and opportunity for corrupt conduct increases as inter-dependence develops.
There are three types of relationships which develop between core prisoners. These relationships are parasitic or symbiotic with core prisoners able to assume the role of host, invader or symbiote dependent on the situation and the individuals involved.

The first of these relationships, "staff as master", is based on officers using the corrupt or criminal activity. Prisoner(s) are controlled by way of intimidation or blackmail.

The second of these relationships, "partners in crime", is based on a consensus between prisoner(s) and staff regarding criminal activity, joint decision making, division of work and sharing of profits or benefits.

The third of these relationships, "prisoner(s) as master", is based on prisoner(s) determining the corrupt or criminal activity. Officer(s) are controlled by reward, intimidation or blackmail.

Many officers are initially innocent parties who succumb to prisoner requests which appeal to their emotions or their natural sense of justice. Once an officer demonstrates a willingness to help prisoners, the escalation of that willingness into criminal activity becomes a distinct possibility in the hands of experienced manipulators.
INFORMAL STRUCTURE

3. IMPACT OF INFORMAL STRUCTURE

The informal structure impacts to varying degrees on all management functions formally governing maximum security institutions. It ignores or disregards the operational systems, corrupts and intimidates staff and prisoners, facilitates criminal activity and accounts for most of the disruption occurring within the institution.

3.1. Overall Management of Institution

The three primary responsibilities of the prison system are:
- the secure custody of prisoners;
- duty of care to offenders in custody;
- good order and discipline of the institution

Running contrary to these responsibilities, the issues which dominate criminal sub-culture within the institution and consequently the informal power structure, are access to drugs, sex, money and other items which make life in prison much easier to endure.

The consequences of a large prison population competing for access to these items is organised violence (assaults on staff and prisoners), intimidation, sexual assaults, theft, staff corruption, an increasing number of offenders seeking protection and sometimes the death of offenders in custody.

3.2. Staff

The impact of the informal structure on staff may be:
- Altering work role and function.
- Corruption.
- Demoralisation and brutalisation.
- Aggravated stress
- Fear
- Harm to physical and emotional well being.

3.3. Prisoners

The impact of the informal structure on the prisoner population is:
- Reinforcement of criminal ethics; (criminals remain active as criminals).
- Recruitment and training for future criminal activity.
- Obstruction of improvements and/or choices more in tune with societal values and expectations.
- Harm to physical and emotional well being.
- Demoralisation and brutalisation.
3.4. **Decision Making**

Decision making may not be consistent with legislation, policy and guidelines and therefore not directed at the achievement of institutional aims and objectives.

### 4. SUMMARY

The informal hierarchy is dynamic, action and results oriented, and flexible enough to restructure and accommodate unexpected changes. It is effective and highly active in the prison environment. It represents, to varying degrees, a constant threat or challenge to legitimate administration.

Sadly, examples of staff using the informal structure and its dynamics to achieve organisational aims are not uncommon. The use of the informal structure in this context is often seen as expedient (cutting corners), although it reflects the naivety, ignorance and incompetence of staff who resort to this method of operation. It occurs on their own initiative, normally with a clear awareness of its inappropriateness.

Each time the informal hierarchy is used for formal purposes it is legitimised in the eyes of both staff and prisoners. The inherent danger in the frequent use of the informal hierarchy is that it becomes an ingrained part of the system, a part that cannot be easily accessed or controlled.

This general position must, however, be qualified. As a source of intelligence for authority, the informal network is invaluable. The use of information gathered in this manner must, however, be dealt with carefully, within formal mechanisms.

One of the most crucial factors which emerge is the importance of formal leaders and their management style. Pro-active, competent management counteracts much of the prominence and effectiveness of informal forces.

On the other hand this balance can be dramatically shifted in favour of informal forces by passive, re-active management. The cost of a thriving informal hierarchy is shared between the Department, its staff and prisoners.
CONCLUSION

The public has been vitally interested and increasingly concerned about the inroads made by organised crime into our society and corruption in our institutions. It has been and continues to be a major political issue. These concerns have resulted in a number of Royal Commissions and Public Inquiries during the last decade. The findings of these Commissions of inquiry and intelligence gathering through a range of law enforcement agencies indicate that Australia has increased in importance and attractiveness to organised crime. They have also indicated connivances between organised crime, business leaders, and public officials.

As a result of community expectations, resources to combat organised crime have increased. Better and more sophisticated surveillance and investigation of organised crime activities have led to the conviction and incarceration of a number of organised crime figures. The majority of these persons are accommodated in maximum security institutions.

The priority issues for correctional administrators are no longer those that relate only to security, good order and the safety of staff and prisoners. Increasingly, concerns include the prevention of criminal activity within the prison itself and the extension of this activity into the community.

The operational methods of the criminal sub-culture within prisons have become extremely sophisticated and cannot be detected by an already overextended institutional staff. Attempts to corrupt and intimidate staff have increased and become more subtle.

The post Nagle period has seen prisoner privileges (introduction of telephone calls, contact visits etc.) increase substantially. Although this has been a significant step forward in terms of humane treatment, improving contact with family, friends and the community, it has increased the opportunity to manipulate the system to conduct criminal operations.

The informal structure and its negative impact can never be totally eliminated. There are currently in excess of 2000 prisoners imprisoned within maximum security gaols in New South Wales. It is not possible to monitor or scrutinise all of their activities. However, what can be achieved is to minimise the number of prisoners involved in criminal activity by making it more difficult for the key players within the institution to operate outside the law.

This is achieved by:

- minimising their access to illicit information, decision making and influence;
- improving and enhancing the general security of the institution;
- ensuring the on-going monitoring of key areas for both staff and prisoners;
- assisting staff to function more effectively;
CONCLUSION

- ensuring local procedures are up-to-date and known;
- providing adequate protection for individuals who are instrumental in the resolution or prevention of major crimes;
- reducing prison populations within maximum security institutions to manageable, institutional design, levels.

The range of initiatives outlined in Appendix 1 constitute the specific action taken by the Department to neutralise negative influences within the prison system.

They are, however, simply the beginning of what must be a revolution in the management approach in place within NSW prisons. The future will see total commitment to staff training and pro-active management techniques, spearheaded by Unit and Case Management.

Community and political commitment to making the prison system work is currently strong. Essentially the competition between formal and informal structures is the core of this issue. As such the issue is simple "who controls NSW prisons".

The Department is determined to respond to this challenge and leave the community in no doubt.
APPENDIX 1 - INITIATIVES TO MANAGE INFORMAL POWER STRUCTURES

Accepting that the control of negative elements of prison culture and its supporting power structures is a key objective in the management of maximum security institutions, the Department has instituted a matrix of initiatives aimed at negating or neutralising the impact of the informal structures in New South Wales prisons. The primary initiatives over recent years have been:

0.1. **Unit and Case Management**

Unit and Case Management is the general expression used to describe a whole range of strategies which centre on a more personalised, interactive approach to the management of prisoners. An outline of the approach is included in Chapter 2. To date the approach has been formally adopted in Lithgow and the Multi-Purpose Unit at Goulburn. Extensions are being implemented as resources become available.

0.2. **Functional Team Structures**

To improve performance in functional streams, staff teams have been formed to concentrate on specific areas of responsibility in some institutions. Depending on specific requirements, these functions have been defined to include containment, business and administration, staff and inmate development and prison industries.

This process is designed to group related activities and focus individual effort to achieve clearly defined functional and institutional needs. All team members participate in the definition of functional objectives and assume their accountabilities in terms which are clearly understood.

0.3. **Drug Detector Dogs**

The Drug Detector Dog Unit commenced operation in 1980-81 with two dogs. The dogs are used in routine and surprise searches of institutions as well as in the regular high profile search of visitors, co-ordinated under Police supervision.

The Unit was expanded in 1988 to ten dogs and currently operates with eighteen dogs. The main kennel complex is based at Windsor with dogs kennelled at Goulburn, Lithgow and Maitland.
0.4. **Special Investigation Unit**

The Special Investigation Unit consists of a number of New South Wales Police Officers seconded to the Department to investigate allegations of criminal activity by Departmental staff. The Unit was established in 1981.

0.5. **Security Overalls**

Security overalls were introduced in 1987. The overalls are worn by all prisoners in maximum and medium security institutions during contact visits. The overalls are designed to make the concealment of prohibited articles and substances difficult. Information suggests that the introduction of these overalls has been responsible for a marked reduction in drug trafficking on visits.

0.6. **Urinalysis Program**

The Urinalysis Program was introduced in May 1988 to combat the problems associated with the use of drugs in prison. Legislation was introduced which requires prisoners to supply specimens of urine to prison officers upon request.

The computerised selection of inmates for testing commenced in 1989. The program is divided into the following categories:

- Random testing, where 5% of each institution is tested weekly.
- FRC Testing, where certain inmate groups are targeted. These would include such groups as prisoners involved in day/weekend leave, works release, educational and vocational training etc.
- Target testing, where reasonable cause exists.

An average of 350 to 400 drug reports are processed each week and statistics indicate that the program has had an impact on the use and detection of drugs in prison.

0.7. **Banning of Jogging Shoes**

During September, 1988 a particular brand of jogging shoes (Roos), popular among prisoners, was identified as an effective way of transporting prohibited substances or articles. The shoe contained a hidden pocket/compartment capable of concealing contraband. This brand of shoe has been banned and all items available through activities examined closely.
0.8. **Searching of Visitors**

In 1988, the first combined operations using Drug Detector Force and Departmental officers were introduced. These operations, initiated on the basis of intelligence, information received or at random, target prison visitors. Visitors, particularly those under suspicion of drug-taking, are thoroughly searched prior to entering the visiting area.

These searches have resulted in a number of drug offence convictions.

0.9. **Amendments to Legislation - Positive Urine Samples**

During 1989 the prison regulations were amended to make a positive urine analysis an offence against prison discipline.

0.10. **Computerised Rosters**

Computerised rostering for staff was introduced in Cessnock gaol in 1987. Since this time most major institutions have been given access to this facility.

Under this system the Roster Clerk allows the computer to make the initial selection of officers for posts within the institution. The Roster Clerk may, in certain circumstances, overrule the selection if the officer chosen by the computer program is not able to perform the duties required of a particular post.

The element of bias towards certain officers, by the Roster Clerk, has been virtually eliminated by this initiative. The current system makes it extremely difficult to manipulate the duty rosters of custodial staff. Complaints of victimisation or favouritism made by staff are easily investigated by accessing relevant computer records.

0.11. **Code of Conduct - Anti-Corruption Plan**

During March, 1990, the Department's Code of Conduct was adopted. The Code sets out the standards of ethics and professional behaviour required of all employees of the Department. It also includes a statement of values and highlights the Department's commitment to positive action against corruption, inefficiency and unethical behaviour.

An Anti-Corruption Plan which applies to all areas of Corrective Services was introduced during March, 1990 to complement the Department's Code of Conduct. The plan aims to identify and eradicate corrupt practices and unethical behaviour and to instil corporate and personal behaviours which will ensure probity and professionalism.
APPENDIX 1 - INITIATIVES TO MANAGE INFORMAL POWER STRUCTURES

0.12. Procedures for Dispensing Methadone

Prisoners participating in the Methadone Program are now required to remain in a holding yard/area for fifteen minutes after receiving their methadone. They are subsequently searched by officers prior to leaving this area. This procedure, introduced in July, 1990, has, to a large extent, eliminated the practice of prisoners withholding and accumulating methadone for the purpose of trade. Additionally, the likelihood of 'heavies' intimidating prisoners on the program for their methadone has been reduced.

0.13. Compulsory Searching of Institutions

In September, 1990, monthly searches of institutions became compulsory. These searches must cover all areas of the institution, with the Superintendent required to report results to their respective Regional Director.

These searches have made it more difficult for prisoners to hide items of contraband, particularly drugs and weapons.

0.14. Private Property Policy

The revised Prisoners Private Property Policy was introduced in September 1990 to rationalise levels of privately owned property in cells and in the property store. Its aim was to improve safety for both staff and prisoner alike and the security of the institution. The quantities of private property previously permitted prisoners encouraged sexual and material victimisation by 'heavies' and 'predators' and severely obstructed searching and security checks within institutions.

Although there was substantial resistance to the introduction of this policy by groups of recalcitrant prisoners who had most to lose, the aims of the policy have been achieved. It seems property loss/theft, stand over tactics and violence have decreased and security has been enhanced.

0.15. Analysis of Inter-Gaol Mail

The Department's Internal Investigation Unit has been involved in the analysis of inter-gaol mail and the monitoring of prisoners private cash. All transactions where money is being sent out regularly to persons known to be associated with drugs are now investigated.

0.16. Restrictions on Visits

Prisoners' visitors who introduce or attempt to introduce contraband into the prison during visits may be placed on box visits or banned from visiting any institutions for a period of time as warranted by the particular incident. Prisoners involved in such incidents are placed on box visits.
0.17. **Photograph Identification of Prisoners.**

Prisoners have been issued with photo identification cards, enabling more through a prison to be monitored and/or restricted more effectively.

0.18. **Contact Officer for Internal Investigation Unit.**

To enable the Internal Investigation Unit to access information more efficiently and effectively a contact officer (usually a commissioned officer) has been established in each institution. This officer passes on information concerning any individual or group which has the potential to affect the good order, discipline and security of the institution.

0.19. **After Hours Inspections**

Superintendents are required to inspect their institution outside working hours at least once per week. These inspections have no pattern.

To ensure these inspections take place Superintendents are required to log each visit in their journal which is subject to periodic examinations by the Regional Director.

0.20. **Introduction of A1 Facility**

The A1 classification for prisoners, already in the Prisons Act, has now been introduced to identify and accommodate a small group of recalcitrant prisoners who do not conform to the lawful rules and requirements of the prison system.

This particular classification and program enables administrators to remove those prisoners who present a threat to the security and good order of the prison from the general prison population. It is not segregation, but a planned program with an interactive style of management. The major aim of the A1 program is to develop a positive social and work ethic in prisoners, prepare them for return to normal prison life, and in doing so de-glamorise the concept of the 'criminal elite'.

The A1 Program was implemented at Goulburn Training Centre in April 1991 and has the capacity to accommodate 60 prisoners. An additional A1 facility, which will accommodate a further 50 prisoners, is planned for Maitland. Construction is currently subject to the tendering process.

0.21. **Prisoner Domestics to Replace Sweepers.**

Prisoner employment practices have been modified to provide for the employment of Prison Domestics in lieu of Sweepers to reduce the power base of influential prisoners.
When employing sweepers the history of the prisoner is considered to be of crucial importance. The prisoner's warrant file is examined and the prisoner's general prison history taken into account prior to the allocation of employment. In the event of the warrant file or inquiries revealing a previous escape or attempted escape, the prisoner will not be employed as a Domestic.

There are no "head" prisoner domestics, and all prisoner domestics are paid an identical wage.

The Deputy Superintendent is responsible for allocation of employment and for monitoring the prisoner's work performance. Prisoner domestics are rotated every three months to ensure that they are not ensconced in a position for a prolonged period, thus preventing the establishment of a stable power base.

0.22. Witness Protection Program

The Witness Protection Program commenced operation in 'A' Ward of the Long Bay Prison Hospital. The program was relocated to the Special Purpose Prison in February, 1989.

The level of protection available in the Witness Protection Program provides incentive for offenders in custody to supply information to the various law enforcement agencies regarding the commission of crime.

The existence of this program has resulted in a number of successful major prosecutions.

0.23. Internal Investigation Unit

The Internal Investigation Unit (IIU) commenced operation in 1985 and consists of custodial officers. It was established primarily to combat staff corruption and drug trafficking within N.S.W institutions.

Today the IIU consists of three sections, Intelligence, Surveillance and Investigations. The work done by the Unit enables the Department to maintain a highly credible anti-corruption policy.

The activity of the IIU in the prevention of serious disruptive/illegal events within and beyond NSW Prisons is well documented. It monitors, as far as possible, the criminal sub-culture in the institutions. As a consequence, the Department has been able to plan its response to identified situations. On many occasions intelligence gathered by the IIU has led to action which has enhanced the safety of both staff and prisoners, reduced costs and prevented damage to property.

The Unit has clearly been the single most important factor, to date, working against corruption in NSW prisons.
APPENDIX 2 - CORPORATE MISSION AND GOALS

The Mission of the Department of Corrective Services is:

"MANAGING OFFENDERS IN THE PRISON AND THE COMMUNITY"

The Department achieves its Mission by:

- Managing services and programs to Contain, Supervise, Develop and Care for offenders in prison and in the community to satisfy Legislative and Community requirements;
- Providing services and resources towards achievement of corporate goals;
- Developing responsible, qualified and committed staff.

Flowing from the Mission are the following Organisational Goals pertaining to the management of offenders in custody.

- Faithfully carry out the penalties imposed by the Courts;
- Contain and supervise offenders in custody;
- Provide opportunities for offenders to improve their ability to live within the law;
- Provide programs that allow for the recompense of the victim and/or the community;
- Meet the special needs of offenders with mental or physical impairment;
- Provide a safe workplace, equality of opportunity free from discrimination, career development and training to all staff;
- Conserve public finances by ensuring cost-effective operations and management strategies.
APPENDIX 3 - ADMINISTRATIVE POLICY AND PROCEDURE

Departmental Policy and Procedure, Local Standing Orders and Duty Statements outline the detailed procedural requirements which give effect to the legislation.

Departmental Policy and Procedure - found in:
- Policy and Procedures Manual
- Classification Manual
- Delegation Manual
- Ethnic Affairs Policy Statement
- Personnel Handbook
- Accounting Procedures Manual
- Records Procedure Manual

Every institution is issued with copies of each Manual/Handbook.

Local Standing Orders - prescribe local policy and procedures relevant to the institution for which they are issued. Local standing orders are determined by individual Superintendents.

Duty Statements - detail the tasks assigned to each rostered position within the institution and may prescribe the times at which each of these tasks are to be carried out.

All of these documents can be found in an area within the institution, easily accessible to staff, e.g., Main Gate or the Deputy Superintendents Office.
0.1. **Traditional Management**

Most major maximum security institutions are managed along traditional lines with a focus on supervision and control. Management is highly dependent on a system of command, rule enforcement, centralised decision making and reliant on bureaucratic systems to facilitate day to day operation.

The routines and processes of traditionally managed institutions are not flexible, limiting input into the decision making process and do not encourage or promote interaction between staff and prisoners.

Recent developments in correctional management do not favour the rigour of this approach but a range of constraints control the implementation of more effective models.

0.2. **Unit and Case Management**

Unit Management is a system of decentralised management based on:

- a high degree of structured and unstructured interaction between staff and inmates;
- decision making delegated to the lowest appropriate level;
- the stability of staff assigned to accommodation units.

Case Management personalises Unit Management by the allocation of case loads to individual officers establishing formal processes for staff/prisoner interaction.

The Department is committed to the introduction of Unit and Case Management and has developed a plan for the implementation of this concept in all New South Wales institutions.

Unit and Case Management was fully implemented at Lithgow and the Multi-Purpose Unit at Goulburn Training Centre on commencing operation late in 1990.

0.3. **Prisoner Employment**

The Government is committed to the concept of 'Every gaol a factory, every prisoner a worker' to increase the offender's ability to live within the law on release.

The Department's strategy in support of this policy aims to develop skills and a responsible work ethic in prisoners by providing each of them with the opportunity to work and engage in vocational training. The policy is resolute and individual institutions actively support the achievement of this goal.
Statistically, the typical offender in the State's institutions is a male, aged between 18 and 29 and has a long history of unemployment and frequent job changes. In an endeavour to instil good work habits and skills the Department has expanded prisoner employment opportunities creating real and meaningful work for prisoners in diversified areas of employment.

The Department's emphasis is on revenue producing industries with a view to making institutions self sufficient. It is envisaged facilities will operate on a self-funding basis where costs, including officers' salaries, will be absorbed. However, at this stage the Department cannot satisfy this objective, particularly in maximum security institutions. The employment opportunities in these institutions are substantially less than the actual prisoner populations and in the main consist of positions in institutional maintenance and services.

0.4. **Prisoner Education**

The literacy and numeracy skills of the prison population are generally poor. As these skills are fundamental to the expectation that individuals may live and work as law abiding citizens, institutional educational programs focus on this basic requirement.

For offenders beyond this basic level, higher education is normally available to enhance vocational skills and obtain further qualifications.
0.1. Gaols of Classification

**Goulburn Training Centre**

This institution commenced operation in 1882 and has the capacity to house 344 prisoners in single cell accommodation. A minimum security section (X-wing), located outside the walls, accommodates a further 90 C category prisoners in single cell accommodation. Goulburn is a gaol of classification currently housing the majority of protection prisoners and all of the A 1 category prisoners in New South Wales.

The gaol is in the main traditionally managed. The Multi-Purpose Unit, however, applies the principles of unit and case management. Plans are in place to extend this management concept. The High Security Unit which houses the State's most recalcitrant prisoners is also located at the Centre.

Goulburn Gaol services the Local and District Courts in southern New South Wales, functioning as a reception prison for both sentenced and unsentenced prisoners. The average number of prisoners held at Goulburn during the preceding six months was 510, of which 130 were located in X wing. The prisoner employment profile is 369 and comprises 167 positions in domestic services and a further 202 in Prison Industries. The authorised staff establishment consists of 203 custodial officers, 43 industrial officers and 13 prisoner services staff.

**H.M. Gaol Maitland**

This institution commenced operation in 1849 on completion of the south-east wing and was substantially extended during the next 30 years. Maitland currently has the capacity to house 77 prisoners in single cell accommodation and a further 76 in multi-cell accommodation.

Maitland is a traditionally managed institution. The introduction of unit and case management is constrained, at this stage, by both structural and staff resource issues. Maitland is a gaol of classification currently housing long term prisoners as well as about 50 protection prisoners.

Maitland Gaol services the Local and District Courts in northern New South Wales, functioning as a reception prison for both sentenced and unsentenced prisoners. The average number of prisoners held at Maitland during the preceding six months was 175. The prisoner employment profile is 108 and comprises 63 positions in domestic services and a further 45 in Prison Industries. The authorised staff establishment consists of 95 custodial officers, 12 industrial officers and 4 prisoner services staff.
APPENDIX 5 - MAXIMUM SECURITY INSTITUTIONS

Lithgow Correctional Centre

This institution commenced operation in 1990 and has the capacity to house 300 prisoners in single cell accommodation. Lithgow is a gaol of classification which currently houses long term prisoners in single cell accommodation.

Lithgow is managed in conformity with the principles of unit and case management and provides prisoners with extended hours out of cells.

The average number of prisoners accommodated at Lithgow is 300. The prisoner employment profile is 230 comprising 50 positions in domestic services and a further 180 in Prison Industries. The authorised staff establishment consists of 141 custodial officers, 24 industrial officers and 11 prisoner services staff.

John Moroney Correctional Centre - Windsor

The John Moroney Correctional Centre is due to commence operation during the fourth quarter of 1991 and has not been substantially described in this document. The Centre has been purpose built to facilitate unit and case management and maximise educational and employment opportunity for prisoners.

0.2. Reception and Assessment Prisons

The Assessment Prison

This institution commenced operation in 1909 and has the capacity to house 200 prisoners in single cell accommodation and another 16 in dormitory type accommodation. Its main purpose is to accommodate prisoners with medical appointments or those who, by the nature of their illness/condition, require 24 hour medical coverage. The institution also accommodates the overflow of remand and trial prisoners from the Remand Centre. Owing to the necessity to facilitate a high turnover of remand prisoners and prisoners on medical hold, this institution is not a formal gaol of classification.

The Assessment Prison is a traditionally managed institution. The introduction of unit and case management is constrained, at this stage, by both structural and staff resource issues.

The average number of prisoners held at the Assessment Prison during the preceding six months was 340. The prisoner employment profile is 202 and comprises 187 positions in domestic services and a further 15 in Prison Industries. The authorised staff establishment consists of 142 custodial officers, 13 industrial officers and 5 prisoner services staff. It is located at the Long Bay Correctional Centre.

The Reception Prison

This institution commenced operation in 1914 and has the capacity to house 323 prisoners in single cell accommodation. It is the major reception prison for sentenced prisoners in New South Wales. New receptions are held there until classified and transferred. Sentenced prisoners with further court appearances in the metro-
politican area are also held at the Reception Prison until courses are finalised. Owing to the necessity to facilitate a high turnover of new receptions, this institution is not a formal gaol of classification.

The Reception Prison is a traditionally managed institution. The introduction of unit and case management is constrained, at this stage, by both structural and staff resource issues. The Reception Prison also accommodates approximately 100 category protection prisoners.

The average number of prisoners held at the Reception Prison during the preceding six months was 520. The prisoner employment profile is 151 and comprises 139 positions in domestic services and a further 12 in Prison Industries. The authorised staff establishment consists of 168 custodial officers, 8 industrial officers and 10 prisoner services staff. It is located at the Long Bay Correctional Centre.

The Remand Centre

This institution commenced operation in 1967 and has the capacity to house 224 in single cell accommodation. It is the major reception prison for remand and trial prisoners in New South Wales. The average number of prisoners held at the Remand Centre during the preceding six months was 370.

The Remand Centre is a traditionally managed institution. The introduction of unit and case management is constrained, at this stage, by both structural and staff resource issues.

The prisoner employment profile is 112 positions, all in domestic services. The authorised staff establishment consists of 150 custodial officers, 9 industrial officers and 6 prisoner services staff. It is located at the Long Bay Correctional Centre. Owing to the necessity to facilitate a high turnover of remand prisoners, this institution is not a formal gaol of classification.

0.3. Special Purpose Facilities

Special Purpose Prison

The Special Purpose Prison is a maximum security prison within the Long Bay Complex which services the Witness Protection Program. The Witness Protection Program commenced operation in May, 1987. The program was initially located in a ward within the Prison Hospital and subsequently transferred to the Special Purpose Prison in February, 1989.

The institution has the capacity to house sixty prisoners in single cell accommodation. Its main purpose is to accommodate and protect those prisoners who provide information/evidence concerning major criminal activity of individuals or groups to relevant authorities. Entry into the program is determined by an inter-departmental committee comprising N.S.W. Corrective Services, N.S.W. Police Service, Federal Police Service and the National Crime Authority.
The average number of prisoners held at the Special Purpose Prison during the preceding six months was 38 with the majority of those prisoners employed. The authorised staff establishment consists of 69 custodial officers, 3 industrial officers and a psychologist.

Special Care Unit

The Special Care Unit Program commenced operation in January 1981 in a single autonomous unit/wing located within the walls of the Assessment Prison at Long Bay. It was established as a penal therapeutic community with two specific aims. First, to afford prisoners the opportunity to examine self-defeating behaviours in a supportive environment and provide skills and knowledge required to manage them. Second, to train staff in the effective management of prisoners without recourse to traditional rule enforcement and control methods.

The Special Care Unit was the first N.S.W. establishment to implement unit and case management principles. Staff with experience in the unit are used to seed the balance of the prison system, extending the understanding and application of more effective methods of prisoner management.

The Special Care Unit has the capacity to house 27 prisoners in single cell accommodation. The average number of prisoners accommodated during the preceding six months was 25. The authorised staff establishment consists of 30 custodial officers and a senior psychologist.

Prison Hospital

This institution commenced operation in May, 1987 and comprises 4 wards. Admission, Medical, Long Term Psychiatric and Forensic. It has the capacity to house 120 prisoners in single room accommodation, its purpose is the accommodation of prisoners who require either medical or psychiatric treatment.

The average number of prisoners housed at the Prison Hospital during the preceding six months was 92. There are no prisoners employed in the hospital with domestic services carried out by civilian personnel. The facility is jointly managed by the Departments of Corrective Services and Health. The authorised staff establishment of Corrective Services personnel is 111 custodial officers, 3 industrial officers, a number of part-time and full-time prisoner services staff, nursing staff and medical officers.

0.4. Common Structural Features

Maximum security institutions are closed, secure facilities designed for the specific purpose of containing, controlling and managing offenders in custody. Common to this category of institution are:

- High Wall - surrounding the institution.
- Armed Towers - staffed on a continuous basis.
- Main Gate - the entry and exit point for vehicular traffic and institutional staff.
• Administration Block - accommodating the Superintendent, Superintendent and others.

• Accommodation Units/Wings.

• Holding Yards (except Prison Hospital and Special Care Unit).

• Segregation and Protection Units (except Prison Hospital and Care Unit).

• Dry Cell.

• Visiting Facility - with the capacity for contact, non-contact and legal visits.

• Prisoner Facilities - various, depending on institution, generally includes an Activities Centre; Gymnasium; Chapel; Clinic; Library; Education Centre; Oval.

• Workshops (except Prison Hospital).

• Interview Rooms and Professional Offices.

Given differences in age, purpose and prisoner populations, these features may vary widely in appearance and operation from institution to institution.
APPENDIX 6 - OPERATIONAL SYSTEMS

0.1. Admission

New arrivals are admitted by reception room staff. The admission process includes sequentially:

- Formal identification of the Prisoner.
- Process accompanying documentation, including warrants, police receipts for property, monies etc.
- Strip search - To ensure contraband not introduced into the prison.
- Interview - To ascertain personal details and identify special needs.
- Issue prison clothing and approved private property.
- Medical Assessment - includes obtaining blood for HIV testing.
- Private property is listed on a property card and non-approved property placed in storage. An acquittance is obtained from the prisoner signifying that the property is correct.
- Allocation of accommodation. New arrivals, except those prisoners who have been segregated or require protection, are placed in the reception wing until interviewed by the Reception Committee the following day. Segregation and protection prisoners are placed in units provided for that purpose. Prisoners returning from court, medical appointments etc. are returned to their original accommodation.

0.2. Classification

The institutional Reception Committee interviews all new receptions within 48 hours of arrival, makes recommendations to the Manager, Prisoner Classification on security ratings and placements for short term prisoners and advises prisoners of programs and daily routine. It meets as often as is necessary (usually every working day), with membership being determined by the Superintendent, consistent with guidelines detailed in the Classification manual.

The Program Review Committee prescribes and reviews programs designed for each prisoner and reviews the programs and placement of every long term prisoner within the institution once every six months. It reviews the development program of each prisoner within 28 days of reception. It is permanently chaired by the Superintendent or nominee. Membership is determined by the Superintendent, consistent with guidelines detailed in the Classification manual. Members must have the capacity and experience to contribute to the statutory responsibilities of the Committee as well as being able to assist the Superintendent in the case management of each offender. The frequency of Committee meetings is demand driven, usually once per fortnight.
The Classification Committee interviews all long term prisoners usually at the Long Bay Complex and when necessary at major reception prisons. The Committee functions to determine an initial security rating and to identify, where practicable, program needs which are to be developed and reviewed at the gaol of classification. A further function of this Committee is the review of recommendations by institutional Program Review Committees in relation to security ratings and program needs for sentenced prisoners. The membership of the Committee is specified by Clause 10 of the Prisons (General) Regulations.

0.3. Accommodation

An officer nominated by the Superintendent is responsible for co-ordinating the transfer of prisoners from the reception wing to more permanent accommodation. This usually occurs within one or two days of the initial reception, but may take longer depending on the extent of overcrowding in other wings/units.

Factors common to accommodation areas are:

- Management - by a Wing Officer (1/C P.O.) and an Assistant (P.O.).
- Stores - items necessary for health and well being of prisoners, (clean linen, towels, toiletries etc.) issued by accommodation staff.
- Showers - communal
- Sweepers - employed to assist the Wing Officer with the maintenance of hygiene in the wing and perform other miscellaneous duties;
- Cell Housing - usually two prisoners to a cell;
- Meals - prepared in a central kitchen and distributed by wing sweepers;
- Cell and Wing Access - only permitted at specified times, the exception being sweepers, who have continuous access;

Some of these factors have been varied at Goulburn Multi-Purpose Unit and Lithgow. Specifically:

- Management - in unit and case management environments a team approach is adopted. A Senior Assistant Superintendent, designated Unit Manager, assumes management responsibility, supported by a multi-disciplinary team. Characterised by a higher level of participative decision making.
- Showers - within cells.
- Cell Housing - one prisoner to a cell.

0.4. Protection and Segregation

Each major maximum security institution has a protection and administrative segregation facility. The placement of a prisoner on protection or administrative segregation is authorised by the Director-General or Superintendent pursuant to Section 22 of the Prisons Act.
Protection is available for prisoners at risk in the general prison system. It is given to a prisoner expressing concern for his or her safety or by determination of the Superintendent/Director General. Given overcrowded protection facilities, the frequent necessity to protect protection prisoners from each other, management of such a facility is a complex and difficult task.

Segregation is an administrative process initiated by the Superintendent when, in his or her opinion, a prisoner represents a threat to the safety of prison officers or prisoners and/or the security, good order and discipline of the institution.

The Act vests authority to place prisoners on protection or segregation in the Director-General and Superintendents. In addition, the Director-General has delegated this authority to senior management.

Any period of segregation exceeding 6 months requires the approval of the Minister.

0.5. Requests and Complaints

Prisoners have access to institutional staff on a daily basis. Formal access by prisoners to the Superintendent is provided Monday to Friday during business hours. If a complaint is not resolved to the satisfaction of the prisoner, he or she is advised of the other formal avenues of complaint or inquiry including:

- The Official Visitor
- The Ombudsman
- The Visiting Justice or Chamber Magistrate
- Member of Parliament
- Member of the Police Service
- Independent Commission Against Corruption

Correspondence and communication between a prisoner and the above officials is unrestricted and privileged.

0.6. Food and Diet

Food services in each of the major maximum security institutions are centralised, and dispatched to the wings/units at meal times for distribution to prisoners. The kitchen provides three meals per day:

- Breakfast - Continental (cereal, toast, spread and milk)
- Luncheon - Sandwiches (Weekdays) Hot Meal (Weekends & Public Holidays)
- Dinner - Two course meal consisting of main course and dessert. Fresh fruit is also provided.
APPENDIX 6 - OPERATIONAL SYSTEMS

Existing menus have been developed to provide a balanced and varied diet, exceeding the minimum requirements of recommended dietary allowances specified by the Commonwealth Department of Health. The menus follow a four week cycle and change seasonally. Other entitlements include the issue of 7 slices of bread per day, 21 coffee sachets, 21 tea bags and 250g of margarine per week.

A vegetarian diet is provided for those prisoners who choose not to consume animal products.

0.7. Health, Psychological and Welfare Services

Comprehensive health, psychological and welfare services are available in all maximum security institutions. Access to services is available to all prisoners.

Medical Services

Medical services are provided by the Department of Health through the Prison Medical Service. The Service provides:

- Emergency medical services on a 24 hour basis.
- Medical assessment of newly received prisoners and treatment where necessary.
- Medical and Dental services for general consultation, diagnosis and treatment.
- Specialist medical and dental services.
- Hospital services.
- Optometry services.
- Prescribed medication, issued at specified times, usually twice per day.

Psychological Services

Psychological Services are provided by clinical psychologists employed by the Department. Psychologists are administratively responsible to the Superintendent with professional supervision provided by a Regional Senior Psychologist.

Psychologists provide individual and group counselling for prisoners, treatment plans, professional assessments and reports on prisoners to a number of statutory bodies including Local and District Courts, Serious Offenders Review Board, Offenders Review Board and Mental Health Tribunal.

In addition, psychologists participate as members of Classification and Program Review Committees, Gaol Management, Case Management and Unit Management teams.

Welfare Services

Welfare services provide liaison and support for offenders and their families both during incarceration and to assist reintegration into the community on release.
Specific prisoner support activities include:
- liaison between prisoners and families.
- liaison with legal advisers
- liaison with various community organisations.
- assistance with bail arrangements.
- arranging storage of private property
- arranging matters relevant to community re-integration, including employment and accommodation.

Welfare officers also refer families of prisoners to community agencies for practical assistance relating to a range of problems including financial assistance, legal aid and accommodation. In the event of a death, welfare officers provide support and assist with funeral arrangements.

Welfare services are provided by qualified officers.

**Drug and Alcohol Services**

A program of drug and alcohol rehabilitation is conducted by a full-time drug and alcohol worker in each major maximum security institution. The programs include:
- group counselling
- individual counselling
- social and living skills programs.

### 0.8. **Prison Discipline**

Prison discipline is covered by Sections 23 to 26 of the Prisons Act and Clauses 146 to 182 of the Prisons (General) Regulations.

Prison offences specified in the Regulations fall into two classes:
- Minor Offences - which may be adjudicated by the Superintendent or referred to the Visiting Magistrate.
- Major Offences - which must be referred to the Visiting Magistrate.

Offences beyond the scope of the Prisons Act and Regulations are dealt with by Police and the Courts in accordance with the general practices of criminal law.

On receiving a report of misconduct, the Superintendent will confirm that the elements of an offence are made out, determine the category of offence and, as appropriate, charge the prisoner and deal with the offence or charge the prisoner and refer the matter to the Visiting Justice.

In hearing the matter, a Superintendent must conduct the inquiry expeditiously, with as little formality and technicality as is possible. Superintendents must ensure that the rules of natural justice are applied and that adjudications are consistent with the
APPENDIX 6 - OPERATIONAL SYSTEMS

Prisons Act and Regulations. The Superintendent is not, however, bound by the Rules of Evidence. Prisoners are entitled to be heard at inquiries and can examine and cross examine witnesses, but are not entitled to be represented. There is no right of appeal against the decision of a Superintendent.

The Superintendent may either dismiss a charge or impose the following penalties:
- reprimand/caution.
- deprivation of specified amenities or privileges for a period not exceeding 28 days.
- cellular confinement for a period not exceeding 3 days with or without deprivation of amenities or privileges.
- cancellation of bonus wage payments for a period not exceeding 14 days.
- In addition to the above penalties the Superintendent may order a prisoner to pay compensation to the amount of $50.

The Visiting Justice hearing a disciplinary offence effectively convenes a session of the Local Court and is bound to apply the same rules as govern proceedings in that jurisdiction.

The Visiting Justice may either dismiss the charge or impose the following penalties:
- reprimand/caution.
- deprivation of specified amenities or privileges for a period not exceeding 56 days.
- cellular confinement for a period not exceeding 28 days with or without deprivation of amenities or privileges.
- cancellation of bonus wage payments for a period not exceeding 14 days.
- extension of a prisoners minimum or fixed term by a period not exceeding 28 days.
- In addition to these penalties the Visiting Magistrate may order a prisoner to pay compensation to the amount of $300.

The Visiting Magistrate may also refer any matter to Local or District Courts.

0.9. Leisure-Time Activities

Inmates in maximum security institutions are entitled to participate in leisure-time activities during those hours they are out of cells. Generally such activity occurs between the morning and evening musters.

Each maximum security institution has an activities area and an oval to cater for inmate activities.
The management, supervision and the encouragement of prison arts and crafts is the responsibility of the Programs Division Superintendent and Activities Officer in each institution. A number of staff are assigned to supervise and provide assistance to prisoners participating in leisure time activities.

The following types of activities are available:

**LEISURE** - Table Tennis, Pool, Darts, Cards, Chess, Draughts, Bananman TV, Weights, Squash, Paddle Tennis, Running (Oval), Touch Football

**HOBBY** - Pottery, Leatherwork, Painting, Music, Toy manufacturing

Prisoners participate in hobby activities by application to the Superintendent. Hobbies which require implements or substances which may be dangerous are not permitted in cells.

Maximum security prisoners are not permitted to participate in external sporting programs.

### 0.10. Weekly Purchases

Prisoners may purchase items from an approved list through the 'Buy-up' system. The monetary limits which apply to the weekly purchase of groceries and toiletries are:

- **Initial buy-up on reception.** $35.00
- **Workers** (including those unemployed but willing to work when work is available), appellants and unsentenced inmates. $30.00
- **Non workers** (Dismissed workers, prisoners who refuse to work and segregated prisoners) $7.00
- **Special buy-ups** (Easter, August & Christmas) $35.00

In addition to normal buy-ups, prisoners may, subject to satisfactory behaviour, be permitted by the Superintendent to obtain specific items for personal comfort. Items permissible in maximum security are a radio, television, an electric jug or toaster and items required for approved leisure time activities (Running shoes, hobbycraft material etc.). These are regarded as "one off" purchases.

Prisoners are required to produce their identification card when collecting buy-ups.
0.11. Prisoner Employment

The provision of employment in maximum security situations presents particular difficulties. As a result, most maximum security institutions have only limited available employment, most in domestic services. Inmates who wish to work register with the Assistant Superintendent, Industries. A list is maintained and vacancies are usually filled on a first in first served basis. This general rule is varied where particular trade skills are required.

Most institutions have some revenue producing industry. These include metalwork, timber products, plastics, printing and bricklaying.

Domestic positions support gaol operation and include hygiene, maintenance and catering.

Prisoners who do not register for work, or who have been dismissed, are not paid. Non workers (those awaiting employment) receive $4.50 per week or can elect to take an issue of tobacco, papers and matches. Depending on the industry, productivity of the inmate and budgetary limits the weekly earnings for workers range from $7.00 upward.

0.12. Visits

Visits are available to prisoners to provide social contact and support specific purposes. Apart from the restrictions placed on visits by legislation and policy, all visits, excluding those by Departmental officers, are supervised by institutional staff who remain within sight but out of hearing. The types of visit available are:

Contact visits
Contact visits are available to all prisoners in order to enable them to maintain relationships with family and friends. Departmental policy stipulates a minimum allocation of 1 contact visit per month. All institutions in N.S.W exceed that minimum and permit at least 1 contact visit per week. The frequency and duration of these visits vary from institution to institution depending on the availability of space and staff resources.

Box Visits
Box visits prevent contact between visitors and prisoners. Prisoners who breach prison discipline, particularly those prisoners who attempt to introduce drugs and/or other contraband into the prison, may be placed on box visits by the Superintendent for a specified period.

Additional Visits
Visits additional to those generally permitted are available with the Superintendent’s approval to meet specific circumstances. These would include, for example, resolution of family problems or emergencies and visits by interstate or overseas visitors.
Case Visits

Case visits are available to allow prisoners to prepare for legal proceedings. They may include meetings with a co-accused or children involved in criminal proceedings. These visits usually take place in the contact visiting section unless involved are prisoners (See Inter-Gaol visits).

Compassionate Visits

Compassionate visits are available for prisoners to visit immediate family members in special circumstances, including illness, deaths, births and weddings. These visits normally require prisoners to leave the prison (under escort in the majority of instances) and require the approval of the Regional Director.

Inter-Gaol Visits

Inter-Gaol visits between prisoners may be permitted for both compassionate and/or legal reasons. Prisoners who are co-accused with pending court proceedings have access to inter-goal case visits subject to approval of the Regional Director. The frequency of visits depends on the time needed to prepare the case and the prisoner requesting the visit may be required to pay the cost of the escort. Compassionate inter-goal visits may be permitted between prisoners with close family relationships.

Legal visits

Legal visits between prisoners and their legal advisers are permitted to enable prisoners to prepare for legal proceedings. Legal advisers have access to their clients 7 days per week during business hours. There are no restrictions on frequency or duration. In most institutions offices are set aside for visits of this type. From time to time legal advisers request that prisoners be escorted to a particular venue outside the institution for the purpose of consultation. This is subject to the approval of the Regional Director.

Religious visits

Prisoners have access to Prison Chaplains during times prisoners are out of cells. In certain circumstances out of hours contact may occur with the approval of the Superintendent. As there are Prison Chaplains nominated for each institution, access to prisoners by other Ministers of Religion are co-ordinated by the Prison Chaplain Advisory Group with the approval of the Superintendent. These visits usually occur in the chapel or an office.

Professional visits

Professional visits are made by Departmental personnel including Welfare Officers, Psychologists, Drug and Alcohol Workers, Community Corrections Officers, Education Officers and Prisoners Aid. Clearly, visits vary according to the nature of the issue addressed and the professional discipline of the staff member.
APPENDIX 6 - OPERATIONAL SYSTEMS

Additionally, prisoners have regular access to support groups including Alcoholics Anonymous, Prison Fellowship, Drug and Alcohol Counsellors, the Civil Rehabilitation Committee, St. Vincent de Paul and the Salvation Army. These visits occur on a periodic basis, with the Superintendent's approval.

The Prison Medical Service arranges and co-ordinates referrals and visits by prisoners to Medical Officers and specialist Medical Officers for the purpose of consultation, diagnosis and treatment. Circumstances dictate the frequency and duration of these visits. Venues range from the institutional clinic to consulting rooms or hospital.

0.13. Written Communication

Prisoners are permitted 6 general letters per week for which they must purchase pre-stamped envelopes or aerograms. Inmates who wish to post more than 6 general letters must have the Superintendent's approval. The regulations permit the Superintendent or a delegate to read and or inspect letters sent to or by prisoners, subject to the following exceptions, which are privileged.

Letters to and from:
- The NSW Ombudsman
- The Commonwealth Ombudsman
- The Privacy Committee
- Members of Parliament
- Members of the Police Service
- Members of the Legal Profession and
- The Independent Commission Against Corruption

Letters to these individuals and bodies are posted immediately at Departmental expense.

0.14. Telephone Calls

Subject to the availability of telephones, prisoner entitlements are as follows:
- Unconvicted prisoners are permitted to make up to three (3) local or "fringe area" telephone calls per week at Departmental expense.
- Convicted prisoners are permitted one (1) call per week at Departmental expense.
- Additional phone calls must be approved by the Superintendent, except in unit and case management environments where authority is vested in the unit manager.

Calls are subject to the following conditions:
- The prisoner must meet the expense of STD or ISD calls.
- Reverse charge calls can be made.
Calls to the Ombudsman are made at Departmental discretion.

Inter-gaol telephone calls are only permitted with the approval of the Superintendents of both institutions.

The duration of the call is between five and ten minutes depending on the demand and factors relating to the conduct and institution of the inmate.

Telephone calls are controlled by Wing/Unit Officers who prepare a schedule for each day and maintain a record of calls. Connection is established by the Wing Officer and conversations may be monitored on a parallel line.

Telephone calls are a privilege. Access may be denied as a disciplinary measure.

0.15. Discharges

Authority to discharge prisoners is vested in the Superintendent or a delegate.

In discharging a prisoner the discharging officer must:

- Check and deliver prisoner's private property and obtain an acquittance.
- Search the prisoner.
- Confirm all Departmental property has been returned by the prisoner.
- Check warrants to ensure no legal impediment to release exists.
- Initiate action to ensure special instructions are carried out. These may include relay of information to police or immigration authorities.
- Check fingerprint and personal details to confirm prisoner identity.
- Ensure the disbursement book is signed by the prisoner to account for all monies issued.
- Issue Discharge Certificate.

0.16. Institutional Routine

An institution is managed on a daily basis in accordance with an established routine.

Generally the routine includes set times for the following activities:

- Breakfast
- Morning Muster
- Lunch
- Afternoon Muster
- Cease Work
- Evening muster, meal and lock in.

Times vary between institutions, depending on physical facilities and staffing.

N.S.W. Maximum Security Institutions
Formal and Informal Power Structures
0.17. **General Security**

It is self evident that maximum security institutions require a high level of general security. The principal measures are as follows:

- Perimeter security comprising armed officers in towers, positioned in strategic locations surrounding the institution.
- Maintenance of perimeter security by regular patrols.
- Regular inspection of all areas by Commissioned Officers.
- Regular searching of prisoners and the institution.
- Monitoring and control of prisoner movement.
- Maintaining a capacity to manage emergency situations, including the training of institutional staff and an emergency unit;
- Electronic surveillance and monitoring.
- Establishment and maintenance of plans to cover contingencies including riots, hostage situations, escapes, deaths, fires etc.
- Maintenance of an armoury containing arms, chemical agents and instruments of restraint.

In addition, the concept of dynamic security, which depends on a knowledge and understanding of individual prisoner's state of mind, behaviour pattern and routines, is an integral part of case and unit management and is encouraged as far as possible in other institutions.

0.18. **Rosters**

Custodial duty is governed by a 28 day roster which identifies shifts on-duty, rostered days off, periods of leave and detached duty. A new roster is published a week prior to the expiration of the previous one and displayed in an area accessible to staff.

A daily roster is generated from the 28 day roster, at least three days in advance and details the assigned post an officer is required to work on a particular day.

The roster system not only serves to inform the officer of his duty requirements, it also guarantees that the institution is staffed adequately by ensuring staff are available to perform all established positions.

0.19. **Staff Training**

All custodial staff are required to complete a 12 week pre-service training program at the Corrective Services Academy before appointment to an institution.

Further training is managed at institutional level, co-ordinated by a qualified Staff Officer (Sr. Asst. Supt.). The Staff Officer develops and delivers an annual training program in conjunction with the Gaol Management Team and the Corrective Services Academy.
Training and development programs cover all elements of Prison Officer work and aspects of personal development. Specific training includes career path planning, staff counselling, communication skills, problem solving, conflict resolution, administrative procedures, security procedures and relevant policy and legislation.

Components of the program are delivered, as appropriate, within the institution in formal session, informally on the job, at the Corrective Services Academy and at external facilities.
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