GAOLS AND GOALS:
FROM INMATE CONTAINMENT
TO COMMUNITY PROTECTION

CONTRIBUTORS
Bill Anscombe
Wayne Bartley
Kim Blinkhorn
Stuart Campbell
Ross Lay
Jeff Richards

Moira Magrath
Renee Mc Guinness
Tim Putnam
Ken Studerus
Kim Watson
Colleen Subir

Executive Development Program
DOCS  November 1992
CONTENTS

EXECUTIVE SUMMARY

INTRODUCTION

ORGANIZATIONAL STRATEGIES
  PROGRAM EVALUATION
  PERFORMANCE MANAGEMENT
  AREA MANAGEMENT
  BUSINESS PLANNING
  CONCLUSION

INDIVIDUAL STRATEGIES
  RECRUITMENT
  TRAINING
  CONCLUSION

RECOMMENDATIONS

APPENDIX
1.0 EXECUTIVE SUMMARY

The Project brief focussed on "doing more with less". At a correctional centre level strategies were required for the more efficient use of buildings and non-building solutions to operational needs.

The suggested strategies, when accepted, will change the management culture and focus managers to think laterally about problems and to develop outcomes, driven by solutions. The new Corporate Plan requires managers to think outside the walls of the correctional centre and return law abiding citizens to the community. The outcome is not simply containment required but longer term community protection.

This essential management cultural shift from building and capital solutions to outcome driven solutions is supported by:


- Development of Managers suited to the changed management environment through Manager Training and enhanced selection and recruitment of managers.

Due to the funding constraint imposed upon the Department of Corrective Services, the advent of private competition and the very large infrastructure resources and operational costs of the Department, the management cultural shift requires immediate adoption and an implementation phased in over a two year period.
1.1  RECOMMENDATIONS

1.1.1  Revise Mission Statement as follows:

To protect the community by managing prisoners in an environment which is safe, secure, fair and humane and by actively encouraging personal development through correctional programs.

1.1.2  that the Department of Corrective Services accept program evaluations fundamental and integral to all discrete programs.

1.1.3  that program managers be deemed responsible for program evaluation.

1.1.4  that all managers be skilled in the principles and process of program evaluation.

1.1.5  that middle and senior managers be responsive to the outcomes of

1.1.6  in changing the Mission of the Department to focus the attention of middle managers outside the "bricks and mortar" focal point, that Department of Corrective Services implement a purpose-built Performance Management System for Governors and Deputy Governors.

1.1.7  that the Performance Management System should be capable of clearly and effectively communicating strategic goals and should require the individualization of same by middle managers.

1.1.8  that a variant of Management by Objectives, incorporating both a dialogue between Deputy Governor and Governor-Regional Commander and the development of generic goals relating to new strategic priorities by Senior Management, is recommended.

1.1.9  that from the inception of the Performance Management System work should commence on refining Performance Indicators in relation to achievements of high level goals both in and outside institutions: the assistance of the Community Corrections Service may be useful.

1.1.10  that Area Management should continue to be implemented not only for the dividends it pays to institutionally oriented goals but should be put to the service of community protection in as direct a way as possible.

1.1.11  that indicators of inmate success should be further developed and utilised in future implementation and augmentation of the area management strategy.
1.1.12 that the role of each of the correctional centres be determined by consultation with the Assistant Commissioner Operations, Regional Commanders and Governors.

1.1.13 that the Strategic Plan be approved and adopted and form the basis of the development of the business plans.

1.1.14 that a method of acknowledgment be developed for the recognition of successful Governors who, through their Business Plans, demonstrate strategic thinking, appropriate utilisation of available resources and achieving the departments mission.

1.1.15 that the Department should seriously consider a spill of Governor’s positions to allow recruitment of staff from within and without DCS who possess the predetermined competencies.

1.1.16 in order to prevent the loss of significant operational knowledge by this process, existing managers should be afforded a rigorous training and development program over twelve to eighteen months specifically targeted at the key learning areas.
2.0 GAOLS AND GOALS
FROM INMATE CONTAINMENT TO COMMUNITY PROTECTION

2.1 INTRODUCTION

The project given to this group was as follows:-

"Funding constraints in future years will require managers to do more with less."

"What strategies can be put in place at an institution level to

a) make more efficient use of existing facilities; and

b) result in other than building solutions to address operational needs."

2.2 THE PROCESS

We initially looked at the disincentives to good management. These included the obvious issues such as the prevailing culture, the maintenance of myths, public perception, lack of incentives, instability of political and administrative leadership, the sending of mixed messages such as delegating functions to governors but maintaining central funding. We prioritised these disincentives and agreed that one of the key concerns has been the lack of clear direction and philosophy.

Clearly, one of our major recommendations is a slight change to the present Mission Statement.

To protect the community by managing prisoners in an environment which is safe, secure, fair and humane and by actively encouraging personal development through correctional programs.

We want to emphasise the obvious shift in the Corporate Plan away from security and containment to dynamic interactive program driven management. The emphasis is on returning inmates to the community who have benefited from personal development programs. The degree of community protection is not simply measured by secure containment of inmates but, in the longer term by community integration of former inmates.

The community is best protected from the fact of, and the cost of, crime if an
inmate is returned to the community as a law abiding citizen (effectiveness) and if the containment required by the Court is at the lowest appropriate cost (efficiency).

2.3 EFFICIENCY AND EFFECTIVENESS

We saw that efficiency can be seen as a catch cry when what is really needed is effectiveness. Peter Drucker says,

"It is effectiveness and not efficiency which service institutions lack. Effectiveness cannot be obtained by business like behaviour as the term is understood - that is by greater efficiency. To be sure efficiency, is necessary in all institutions. Because there is no competition in the service field, there is no output or imposed cost control on service institutions as there is for business in a competitive market. But the basic problem service institutions have is not high cost but lack of effectiveness. Some are efficient but they tend not to do the right things".

This group saw our task as not simply to come up with lists of ways to more efficiently use existing facilities, but more importantly, changing the management culture of the Department of Corrective Services such that managers at the institutional level wanted to manage efficiently and effectively and also knew how to manage efficiently and effectively.

2.4 MINDSET CHANGE

Consider the following:-

The governor of (say) Cooma Correctional Centre is running four (4) programs. The Centre is full and he is asked to run another program and take more inmates. The mind set and outcomes are as follows -

MINDSET A

<table>
<thead>
<tr>
<th>Program 1</th>
<th>Program 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ Program 2</td>
<td>+</td>
</tr>
<tr>
<td>+ Program 3</td>
<td>+</td>
</tr>
<tr>
<td>+ Program 4</td>
<td>+</td>
</tr>
<tr>
<td>+ Program 5 NEW</td>
<td>+</td>
</tr>
</tbody>
</table>

= OUTCOME
The same scenario but with a different mind set to management has the following result:

MINDSET B

Program 1  (2) __________
Program 2  
Program 3  (4) __________ = OUTCOME ++
Program 4  
Program 5  (6) __________
NEW
3.0 PROGRAM EVALUATION

3.1 INTRODUCTION

The current generation of managers is the first to be made accountable for their managerial behaviour and program outcomes. Carrots and sticks no longer feature in the corporate lexicon.

As public corporations sharpen their philosophical and operational definitions, management is responsible for applying a positive correlation between corporate objectives and program outcomes. One of the new tools that can assist in producing successful outcomes is Program Evaluation (PE).

For Program Evaluation to become part of the management culture of the Department of Corrective Services, it is necessary to review the contribution of the past to current problems with program evaluation. It is also necessary to determine why managers would want to embrace program evaluation. The corporate environment can then be manipulated to furnish managers with the opportunities and skills to develop as program managers and evaluators and experience the intrinsic rewards that accompany these developments.

3.2 THE PAST TO 1991

3.2.1 It was in the mid 1980s that the Department of Corrective Services (DCS) adopted corporate objectives and integrated strategic planning into its operations. In the "post Nagle" period (1978ff) the positive shifts in philosophy and challenges to the established culture of the DCS were not underpinned with redefined corporate goals.

3.2.2 The 1986 foray into corporate planning was essentially a "top down" affair. Voluminous planning statements were prepared to weight the shelves of planners and senior managers. However, these remained largely unreferred to either as bench marks or guides to subsequent operational activity.

3.2.3 For the DCS, there was a fracture line between the former organisation goal "To manage offenders in prison and in the community" and the programs that supported the operations of the department. This corporate goal had two major problems:
it provided neither the stimulant nor sign post for organisational direction and change, and

it remained unconnected to what the department continued to do.

3.2.4 A legacy of this development was a middle management echelon more than a little cynical about the relevance of corporate goals and the planning process. These organisational elements remained remote from operational practice. The prevailing corporate culture did not yield to executive pronouncements, training or re-training.

3.2.5 Program initiatives were put in place mainly on the basis of persuasive submissions and remained in place, absorbing resources and frequently expanding, without analysis or evaluation. Program relevance, efficiency and effectiveness were rarely formally tested.

3.2.6 The relentless increase in the prison population and the corresponding commitments to capital works projects provided a further distraction from evaluation processes. Program evaluation (PE) was perceived as the province of the senior executive; it was an undertaking remote from middle management. It was also an unrefined and undeveloped tool.

3.3 THE FUTURE FROM 1992

3.3.1 Out of the mix of developments that coalesced at the beginning of 1992, program management was propelled to new prominence. Two of the contributive factors were:

the DCS released a completely revised Corporate Plan, and

the Premier’s Department Office of Public Management provided a new tool for program managers - program evaluation as outlined in the Planning and Monitoring Your Program kit.

3.3.2 The primary distinction between the corporate goals of 1992 and those that previously existed, is not so much their content, but the strong alignment of the political process and the department’s senior executive with the new corporate definitions.

3.3.3 Middle managers have been squeezed in these developments. Senior management has endeavoured to invest middle management with new responsibility, accountability and autonomy. Middle managers
have also been pressured by "the rank and file" to act as their representative in the presence of these perceived impositions. Middle managers have something of an identity crisis in this situation. There is conflict as to whether they should accept the role and performance redefinitions as stated in the DCS's Corporate Plan, or resist ownership of the change process.

3.3.4 The 1992 Corporate Plan is clear in its devolvement of program management responsibility away from "head office" to the regions and line managers.

3.3.5 Program evaluation is no longer the preserve of a "head office unit" that makes excursions into the real world of operations. Managers are now responsible for indigenising corporate goals and policy into their own programs. They are responsible for resourcing programs, for the maintenance of standards within programs, and the evaluation of those programs.

3.3.6 This scenario suggests:

- senior management has not yet been able to create a viable coalition with middle management regarding program management, and by extension, program evaluation.

- middle management is comfortable with traditional programs - the perceived *a priori* of correctional operations.

- middle management is less comfortable with having to attach what is done to what the organisation is in business to achieve, and even more uncomfortable with being the evaluators of what they are responsible for.

- the Corporate Plan’s inversion of the accepted ranking of what constitutes the primary and secondary modes of prisoner management represents the opportunity for program management and evaluation to be integrated into the psyche of middle management.

3.4 SPLICING THE PROGRAM EVALUATION GENE INTO PROGRAM MANAGEMENT

3.4.1 The Office of Public Management’s (OPM) Planning and Monitoring Your Program (1992) kit suggests that PE has been a "largely intuitive" exercise. PE requires a more objective and structured basis for it to be successful.
3.4.2 PE, using the OPM model (p.6), has the following utility:

- provides staff with data that demonstrates they are on, or not on, the right track
- argues the case for more or less resources
- modifies strategies that are not working well
- introduces new initiatives.

3.4.3 PE ensures that the following seven elements are part of the evaluation process (OPM p.6):

- identifying intended program outcomes; specifying what happens when the program is working well
- describing how the program would operate in an ideal world
- identifying the factors, both within and beyond control, that impact on program success
- identifying what makes the program work well
- developing performance (not busyness) indicators to assess how well the program is operating
- determining to what the program performance will be compared
- ensuring all required information is accessible.

3.4.4 Once middle management discover the control and impact they can have on program outcomes through PE in their own situation, two developments occur in tandem:

- the process of program management and evaluation can be directly related to the manager's own performance appraisal and those of her/his staff.

PE at the local level contributes to the organisation's overall evaluation of that program.
3.5 PROGRAM EVALUATION AND THE 1992 CORPORATE PLAN

3.5.1 Prisoner Management Performance Indicators

while the Performance Indicators in this section of the Corporate Plan are not inconsistent with the DCS’s Vision or Mission, neither are they obviously contributive to them.

program managers can take refuge in outcomes such as "program brought in on budget" or "95 per cent of inmates managed under interactive inmate management model". These "outcomes" do not necessarily reflect an outcome for the inmate as opposed to the program.

3.5.2 Prisoner Development Performance Indicators

these could be expanded to include "Percentage of inmates released at expiration of minimum term by the ORB" - this would be a clearer indicator of the contribution of prisoner programs to suitability for release.

another performance indicator could be "Percentage of inmates released to parole who successfully complete their order". Measurement should not be confined only to the period of incarceration.

3.6 RECOMMENDATIONS

3.6.1 That the Department of Corrective Services accept program evaluation as fundamental and integral to all discrete programs.

3.6.2 That program managers be deemed responsible for program evaluation.

3.6.3 That all managers be skilled in the principles and process of program evaluation.

3.6.4 That middle and senior managers be responsive to the outcomes of PE.
3.7 CONCLUSION

3.7.1 Three elements combine to ensure the success of PE becoming a feature of the operational culture of the DCS:

Interaction

Managers will require a high level of interaction with the corporate commitments of the DCS and with their fellow peer and senior managers.

Attitude

PE is not done because it is on the "do list" for the day. For the manager, PE becomes a litmus test of program relevance, efficiency and effectiveness. However there is usually a lag between behavioural change and attitudinal change.

Structure

PE is part of the structure of program management. It is not an intuitive nor subjective commentary on a program. PE is not an optional appendage to program management; it is integral to the substance of operations.

3.7.2 These three elements are the medium in which the PE message is transmitted. The environment for a successful PE outcome will include:

Marketing

Acceptance of the need for a marketing strategy and for managers to give ownership to PE (that strategy will also need to be exposed to the rigours of PE!).

Training

Managers responsible and accountable for program outcomes will need to be skilled up in the techniques and processes of PE (this training strategy will also need to be exposed to its own PE).

Celebration of Outcomes

Once PE has run its course, managers and staff must see the impact of PE in terms of modifications, more or less resources, abandonment or whatever to the related program.
4.0 PERFORMANCE MANAGEMENT SYSTEMS AT THE GOVERNOR AND DEPUTY GOVERNOR LEVEL

4.1 INTRODUCTION

Management libraries are often crammed with volumes espousing the great benefits to be had by instituting a Performance Management System within an organisation. Why is it then that managers at the "front line" so often repeat their cynical anecdotes about the failure of such systems to make any real difference? Even in organizations where the system itself is credible amongst staff, is "user friendly" and has the important characteristics of objectivity and 'content validity', some systems fail as tools of organizational change. Isn't it therefore a little too risky to place any great faith in the ability of this type of management strategy to effect change within the ranks of Governors and Deputies?

This section of the report will seek to justify a negative answer to that question and in doing so make recommendations as to the type of Performance Management System needed at this level.

4.2 CURRENT INITIATIVES WITHIN DEPARTMENT OF CORRECTIVE SERVICES IN PERFORMANCE MANAGEMENT

Attempts to date to introduce a P.M. system within Department of Corrective Services include the design of an instrument for staff up to the rank of Senior Assistant Superintendent and the piloting of the system following wide consultation with staff and unions. To date emphasis has been placed on developing generic dimensions of performance and measuring achievements by use of a type of Behaviourally Anchored Rating Scale. The system developed has a high probability of acceptance on the basis of implementation methods to date and on its potential for objectivity.

However, it is axiomatic to Performance Management theory that the type of system chosen must be related to the purpose of the appraisal process. The system failures mentioned earlier are often attributable to systems which do not suit organizations.

"If that is achieved on the job is most important, an appraisal system which emphasises actual results, such as (a Management By Objectives) system, is the most appropriate. If what is done in the job matters most, the emphasis should be on actual behaviour on the job in which case systems such as BARS .... should be considered. If what people are on the job counts the most, systems which emphasise personal characteristics are the logical choice, for example graphic rating". (Employee Assessment 1988)
In looking at middle management relationships in the Department of Corrective Services (Deputy Governor - Governor, Governor - Regional Commander) it is evident that a P.M. system should be able to work in conjunction with other strategies (Area Management, Business Planning, Program Evaluation etc.) as a tool for the implementation of strategic goals in an operational setting. As such, an outcomes or results orientation is much more appropriate for this organizational level where managers have significant discretion in how they discharge their key accountabilities.

In short, the system proposed for the ranks of Senior Assistant and below is not suitable for Deputies and Governors. This view is also held by the Manager of Performance Management Implementation within Department of Corrective Services.

4.3 WHAT DOES A PERFORMANCE MANAGEMENT SYSTEM NEED TO DO TO ADDRESS COST EFFECTIVENESS?

The short answer to this all-important question is that a P.M. system needs to communicate and individualize strategic objectives which themselves, will contribute to cost effectiveness. Changed high level objectives should be expected to result in changed performance outcomes and a suitable P.M. system for middle managers is therefore, crucial. Of the common failures referred to in the Introduction to this section, another way in which P.M. systems are seen to fall short of their potential is in their "... failure to ... form an integral part of an organization’s forward strategic plan." "As a result. P.M. systems frequently perpetuate the status quo when change is needed, and increase directive, top down control, with working to regulation, when the organization’s mission demands initiative and innovation ..."

The problem so clearly perceived by senior management, that Governors commonly propose "bricks and mortar" oriented responses to operational problems and devise costly programmes involving both capital works and extra staffing is exacerbated by a failure in communication. At the commencement of this report this failure was described as the inability of Governors to grasp the full impact of the Department of Corrective Services’ Vision and their confusion as to two aspects of the Mission statement viz: community protection and inmate rehabilitation (viewed as a separate issue). Logically, therefore, the required redefinition of the Mission such that community protection is described as being addressed post-release as well as within the "bricks and mortar" should be communicated via the Performance Management System.

If an internalization by Governors and Deputies of this philosophical shift has properly occurred then it will manifest itself in the goals Governors set or in the action plans they design arising out of key accountabilities determined (depending on exactly what sort of Performance Management System is decided upon). This was what was earlier referred to as the individualization of strategic goals.
To place the conceptual in an operation at context, in order to address the questions of cost effectiveness and non-bricks-and-mortar programmes, the Corporate Plan must refer middle managers to a Mission which, consistent with the Vision groups prisoner rehabilitation and development as crucial aspects of community protection—especially post release. A Governor's "definition of success", is, in Programme Evaluation terms, the answer he or she makes to the question "What will happen if the gaol/programme is successful?"

Traditionally, even discounting for a moment the swing of the "correctional pendulum", success has been defined in terms of institutional activity yet only when the "big picture" is perceived will capital and staff intensive solutions to problems recede as yardsticks of success.

The Performance Management System chosen for the management level of Governors and Deputies must, firstly, be able to communicate the strategic shift and secondly, must require the individualization of it within the bounds of autonomy afforded to gaol managers.

4.4 A SUGGESTED PERFORMANCE MANAGEMENT SYSTEM FOR GOVERNORS AND DEPUTIES

"Management by Objectives" is a very commonly used method of performance which has enjoyed some 35 years of prominence.

For the relationships being discussed M.B.O. offers scopes for a real dialogue to take place between appraiser and appraisee as to individual goals to be pursued in fulfilment of key accountabilities over the period of the review cycle. However, in seeking to introduce significant change, a "dialogue" is easily compromised if there is not a significant degree of consensus to begin with as to core business functions. As this is unlikely given the fundamental nature of changes proposed an M.B.O. system should be used in conjunction with action planning based on some generic goals designed by senior management. These generic goals should be directly related to strategic priorities and more specifically, to the new outcomes for Governors of contributing to community protection, post release.

In this way, the personal planning effort of individual Governors and Deputies can be drawn away from institutional goals as being the only focus of their managerial skill and decision-making prowess. This is an essential step in getting them to "think outside the square" or outside the bricks and mortar of their institution and to question whether a traditional "build another wing" solution will really satisfy the pre-eminent goals. Area Management, Programme Evaluation techniques and the closely related discipline of business planning can all contribute to the achievement of the revamped strategic goals but a hybrid M.B.O. Performance Management system is the organizational strategy which individualizes changes and demonstrates whether there is effective commun-
ication from senior to middle management.

A diagrammatic representation of this process is attached. This Coopers and Lybrand diagram illustrates the crucial requirement that the right mix of communication of high level goals from the "top down" and communication of achievable results from the "bottom up" is the recipe for effective Performance Management which has an inbuilt responsiveness to changing strategic priorities. The ‘review loops’ in the diagram, represent systematic formal feedback which allows senior management to utilize information coming from operational managers to fine-tune strategies and to assess the suitability of the knowledge, skills and abilities possessed by managers in achieving desired outcomes.

4.5 A NOTE ON PERFORMANCE INDICATORS

Any system of Performance Management based on "outcomes" requires the development of Performance Indicators which have some numerical component. However, any enterprise which deals with intangible outcomes like "community protection from crime" will find the development of meaningful performance indicators problematic. Indeed, the resources of social scientists over many years have not produced a definitive account of the causes of criminal behaviour; nor therefore on how the community may be protected from it. However, this is not to assume that it is impossible to delineate factors which appear to relate to offender success on release.

By logging the progress of individual offenders from reception to release and highlighting incidents, factors and aspects of such progress which are of criminological significance a "ballpark" assessment of the performance of an institutional programme can be made. Over time, each manager could obtain increasingly accurate date on the performance of individual programmes within a gaol.I This could be supplemented with information from the Community Corrections Service and, in certain cases from offenders themselves, as to post release progress.

Eventually, Department of Corrective Services managers would become much more adept at answering the ‘big’ question:

Given what we know about the prisoner, are our efforts likely to result in the enhancement of community protection within and outside the four walls?

A comforting statement for those who fear we may be venturing into an area requiring an enormous amount of work without guarantees of success is found in an N.C.O.S.S. monograph. "(Performance) Indicators take time and money to develop and it is sensible to expect that the first set will require refinement and
thinking. Don't expect to get all the indicators right the first time out and don't be afraid to refine them as the organization gets better at their development".

4.6 RECOMMENDATIONS

4.6.1 In changing the Mission of the Department to focus the attention of middle managers outside the "bricks and mortar" focal point, Department of Corrective Services should implement a purpose-built Performance Management System for Governors and Deputy Governors.

4.6.2 The System should be capable of clearly and effectively communicating strategic goals and should require the individualization of same by middle managers.

4.6.3 A variant of Management by Objectives, incorporating both a dialogue between Deputy Governor and Governor-Regional Commander and the development of generic goals relating to new strategic priorities by Senior Management, is recommended.

4.6.4 From the inception of the system work should commence on refining Performance Indicators in relation to achievements of high level goals both in and outside institutions, the assistance of the Community Corrections Service may be useful.
4.7 CONCLUSION

Inculcating a changed perspective on the correctional effort is the first step toward cost effectiveness and "out of the square" thinking. As part of a Performance Management system it may cause initial dissatisfaction but it is worth it.

Asking an experienced middle manager to devise his or her personal goals in fulfilment of a changed strategic objective, with which he or she may not entirely agree, is certain to engender internal conflict for the manager. The process required of the manager and the unease experienced will however, disallow a disguised superficial treatment of the objective.

A properly constructed Performance Management System at middle management level will incorporate this dynamic and prove extremely useful as a strategic management tool and change agent.
To really make it work . . .

Corporate Vision

Divisional Goals and Workplan

Group/Section/Team Plans

Individual Job Objectives

Management Performance Culture
5.0 AREA MANAGEMENT AS A STRATEGY FOR CONTRIBUTING TO COMMUNITY PROTECTION

5.1 INTRODUCTION

The desire of senior management for far reaching changes in methods of institutional management is already manifesting itself in the implementation of area management incorporating case management. In this section of the report the aim is to demonstrate how these strategies, extremely useful in their own right as institutional management tools, also directly contribute to the achievement of community protection, post release.

5.2 THE BENIFITS OF AREA/CASE MANAGEMENT WITH REFERENCE TO THE STRATEGIC SHIFT ADVOCATED.

If the way an inmate is managed inside a Correctional Centre brutalises an inmate or makes the inmate dependent and unfit for survival outside, expedient management systems can be seen to contribute to crime rather than diminish it. Area management utilising case management provides and must maintain a "prison environment that reflects the diversity, demands and expectations of ordinary community life". Techniques that area and case management utilise include:

5.2.1 Dynamic security - as the name suggests it implies that staff engaged in dynamic security need to play an active role in institutional life. They are not simply passive observers, but need to listen, observe and communicate with inmates under their control. Clearly, this is a more normal way of relating to others and more nearly approximates relationships in the wider community.

5.2.2 Intake and assessment - Inmates would be assessed while they become orientated to prison, its rules and expectations. Assessment will involve custodial staff, the inmate, programs and industry staff in devising an individual plan for the inmates. This will cover family needs, emotional and social stability, and ability to mix with particular groups in the prison. This is a recognition that the classification process must aim to maximise the potential for an inmate to continue constructive supportive relationships with those on the outside.
5.2.3 Inmate planning - The recognition of inmates’ objectives and expectations for their period in prison, their job and educational aspirations and release preparation strategies is a crucial means of giving inmates the ability to exercise some control over their lives - even while in prison. The ability to control one’s own actions and to appreciate the nexus between acting in a certain way and the consequences that flow, is a major indication of enhanced ability and motivation to live lawfully.

5.2.4 Education and training - Imparting basic skills of literacy, numeracy and living skills is obviously directly linked to success upon release as well as institutional related goals.

5.2.5 Industry - It can be seen that making prison industry a part of area management implementation, habits of industry, regular efforts and the work ethic are maintained while in custody.

5.2.6 Pre-release and personal development programs - Area management can promulgate a cohesive approach to preparing offenders for release to the community by utilising the special expertise of professionals in the field of drug and alcohol, parole and psychology.

5.3 INDICATORS OF SUCCESS RELATING TO INMATES

If area management is to successfully contribute to community protection both within the institution and upon release of an inmate, it is necessary to measure achievement against a range of criminologically valid indicators:

- Reduction of impulsive behaviour
- Improved opportunity to communicate
- Learning socially acceptable behaviour
- Reduction of physical violence
- Reduction of number and severity of disciplinary offences
- Reduction of and need for segregation/protection
5.4  RECOMMENDATIONS

5.4.1 Area management should continue to be implemented not only for the dividends it pays to institutionally oriented goals but should be put to the service of community protection in as direct a way as possible.

5.4.2 Indicators of inmate success should be further developed and utilised in future implementation and augmentation of the area management strategy.

5.5  CONCLUSION

By approximating the normality of community life and by focusing on outcomes directly related to community protection, area management can significantly contribute to the strategic shift which this report assert is basic to the cost effectiveness question.
6.0 BUSINESS PLANNING

6.1 INTRODUCTION

Business plans are a part of the organisational planning process which is in turn driven by the governmental planning cycle.

DOCS, in adopting the three-tier heirarchic method of planning - business, strategic and corporate, has provided the direction and framework to ensure an integrated and systematic model to achieve the Department’s identified mission.

This model pivots around the identification of objectives at each level of the organisation where each objective directly links with the objectives of the next order of planning. The totality of objectives must be consistent with the achievement of the Department’s mission.

In terms of business plans, the development of the objectives relate specifically to programs executed within the correctional centre. To measure the achievement of these objectives, relevant and valid performance indicators need to be developed. These indicators measure the extent to which the objectives have been reached in terms of efficiency and effectiveness.

Program evaluation is the method by which a program/activity is assessed in achieving the overall corporate objectives and strategic priorities.

Similarly, the performance management of the Governor and Deputy Governor is directly linked to the achievement of the objectives of the business plan.

The business plan therefore is a Governor’s most important management tool, serving to provide the focus for the selection of programs and the deployment of resources. It must complement the regional strategic plan and identify the role of the correctional centre within the statewide system.

6.2 THE FORMULATION OF THE BUSINESS PLAN

In terms of the widened focus of the Governor, the overriding consideration is the development of a Business plan which is consistent with the Department’s mission of protecting the community both whilst the inmate is incarcerated within the correctional centre and upon release to the community.

Essentially the business plan requires the Governor to visualise the role of the Correctional Centre within a span of five years having regard to the present and
projected operating environment. Contingency plans must be identified to address the potential volatility of the operating environment over this time frame.

Particular emphasis must be given to the operation over the next 12 months as it is this period which forms the basis of the budget bid and subsequent financial allocation in line with the role of the Correctional Centre and strategic priorities.

6.3 THE PROCESS

The process entails the identification and prioritising of the specific activities/programs required to achieve the objectives, costing the program, assessing the resources available, determining the shortfall and developing lateral strategies to address the needs both on a short and long term basis and assessed in terms of risk analysis. The requirement to achieve the objectives within the operating environment (i.e. with limited capital options) will necessitate strategic thinking and innovative responses and the identification of benchmarks.

In the development of the programs it is essential that functionally relevant and readily collectable performance indicators are identified to enable the Governor to assess the success of the implementation of the program and to identify areas of concern.

The business plans should be flexible and reassessed on an ongoing basis to ensure relevance and to respond to variations in requirements by the Department. They should also reflect the reality of the financial restraints placed on the Department.

6.4 RESOURCE ALLOCATION

The business plan provides the focus and priorities for the deployment of resources: staff, financial and capital. The Governor determines present resource allocation and plans for the strategic use and acquiring of resources in the long term. The Correctional Centre is not a stand alone institution but is required to fill a specified role in the region and in the state wide system.

6.5 PERFORMANCE MANAGEMENT

Performance indicators provide the Governor with the basis for evaluating the success of the programs undertaken and consequently the basis for determining the effectiveness and efficiency of the staff in achieving the objectives of the Correctional Centre.
Correctional Centre.

6.6 PROGRAM EVALUATION

In the reviewing of programs the Governor undertakes a planned series of program evaluations. This process should be ongoing with priorities for the process determined by such factors as the cost of the program, its political significance, whether or not the program appears to be in difficulties (i.e., if the risk management needs reviewing) and if the operational environment changes to the extent that the program may not meet the new objectives of the department.

The primary criteria for evaluation of programs is determined by the mission of the department - how does this program contribute to protection of the community.

6.7 PRESENT SITUATION

In the present round of preparation of business plans a major flaw has been the unavailability of the Department's Strategic Plan. This has necessitated the Governors to prepare their business plans by referring to the Corporate Plan. Another difficulty has been the lack of direction in terms of the role of each of the Correctional Centres and how each centre relates to the regional system and the statewide system. There has been limited training for the preparation of the Business Plans; however, a format has been provided. It is anticipated that the business plans due for completion on 7 Dec will represent the first step in formalising the process on a departmental basis. Prior to the review of the business plans for the Budget bids for 1993/94 financial year the process will be further developed and appropriate direction and training provided.

6.8 RECOMMENDATIONS

6.8.1 that the role of each of the correctional centres be determined by consultation with the Assistant Commissioner Operations, Regional Commanders and Governors.

6.8.2 that the Strategic Plan be approved and adopted and form the basis of the development of the business plans.

6.8.3 that a method of acknowledgment be developed for the recognition of successful Governors who, through their Business Plans, demonstrate strategic thinking, appropriate utilisation of available resources and achieving the departments mission.
6.7 CONCLUSION

The role of the Correctional Centre is determined by management, the business plan provides the framework for the operation of the Correctional Centre. It is the means by which the Governor identifies priorities, programs, resource allocation and is also the means by which the department assesses the performance of the Governor.

The more successful the Governor is in meeting the objectives of the institution within available resources, the more successful the Department views the Governor as a manager.
7.0 RECRUITMENT AND TRAINING

7.1 INTRODUCTION

The Department of Corrective Services as an organisation has a different focus from the past. Its managers now have different and new responsibilities requiring greater competencies and skills. The strategies for change proposed earlier in this paper are new to current managers. They grew up in a climate which emphasised containment of prisoners. The Department’s new Mission Statement which has an emphasis on development of prisoners as well, requires that recruitment and training integrate these strategies.

7.2 RECRUITMENT

We cannot expect all managers to be capable of meeting the Department’s objectives with existing recruitment practices.

The two most appropriate strategies are 1. external applicants and 2. training current staff in key learning areas. Some advantages and disadvantages in targeting these groups are considered below.

The knowledge, skills, attitudes and behavioural characteristics required for a manager’s position within the institution must be identified.

They include: performance appraisal, interviewing, counselling, report writing, negotiation, contracting, interpersonal and leadership skills as well as knowledge of business planning, financial planning and programme evaluation.

Advertisements should therefore reflect these requirements. For example an advertisement for a future Governor may resemble the following:

**ESSENTIAL:** DEMONSTRATED ABILITY IN PLANNING AND EVALUATION. EFFECTIVE NEGOTIATION SKILLS. CAPACITY TO IMPLEMENT ORGANISATIONAL OBJECTIVES. SUPERIOR COMMUNICATION SKILLS. EXPERIENCE IN FINANCIAL ADMINISTRATION. AWARENESS OF CURRENT CORRECTIONAL ISSUES. ABILITY TO IMPLEMENT EEO AND OH&S POLICIES

**DESIRABLE:** AWARENESS OF CURRENT DEPARTMENTAL OPERATIONS AND PROCEDURES. RELEVANT TERTIARY QUALIFICATIONS

This type of advertisement will attract applicants who will succeed in the managerial role.
7.3 RECRUITMENT TARGETS

External applicants for Senior and Middle Management positions.

Advantages

- there may not be sufficiently qualified personnel to fill the position immediately
- introduce fresh ideas into the organisation
- motivate / challenge existing staff

Disadvantages

- resentment and possible sabotage (industrial action)
- loss of productivity during induction phase

The former could be overcome by enterprise agreements. The latter may be insignificant in the long term.

Identify and train existing staff and facilitate advancement within the organisation.

Advantages

- With a fully functioning performance management system in place we have in depth knowledge of the individual’s capability
- The availability of existing facilities
- motivating and providing incentives for staff
- creation of career paths
- opportunities for secondments allowing staff to remain productive while acquiring new skills
- reducing attrition rates
Disadvantages

probable costs
positions may not be available for suitably trained personnel
training benefits may be exported
difficult cultural transformation for existing staff

Research suggests one effective strategy is to spill all promotional positions and refill them in accordance with the abovementioned methods ensuring that selection criteria are linked to performance criteria. One advantage of this strategy is that it addresses the issues immediately rather than waiting for the process of natural attrition. A disadvantage is that it does not give current managers much time to acquire the requisite skills.

Therefore the most appropriate strategy is:

To spill all promotional positions over a period of twelve to eighteen months during which existing managers can be afforded the opportunity to acquire the necessary skills.

7.4 TRAINING

Training must target the changed role of managers within the organisation both in respect of management competencies and methods of achieving often nebulous outcomes (community protection).

To cement the credibility of training within the Department promotion should be dependent upon the attainment of competencies.

In the long term independent accreditation of DCS training programmes should be seen as a desirable goal however this process should be rigorous.
7.5 TRAINING STRATEGIES

WHAT TO TRAIN?

Develop training content by key learning area as identified above (recruitment).

WHO TO TRAIN?

Potential Managers

1. Identify staff endowed with those elements identified above.
2. Conduct gap analysis
3. Train to gaps

Current Managers

1. Implement Performance Management System
2. Use above to identify requisite elements
3. Via Performance Review contract training schedule for gaps

HOW TO TRAIN?

1. Establish competency based training
2. Recognise and accredit existing competence in key learning areas by formal process where appropriate
3. Develop variety of training methods based on individual needs and appropriate to each key learning area
WHERE TO TRAIN?

The most appropriate accredited learning location for each key learning area. e.g: Corrective Services Academy, Distance Learning Centre, Regional base, institution etc.

WHO WILL TRAIN?

Accredited trainers with operational understanding selected as appropriate for the key learning areas.

Ensure acquisition of skill is transportable to the institutional setting. Measure skill transfer.

MANAGEMENT COMMITMENT

Initiate formal career planning system to capitalise on the investment in training.

7.6 RECOMMENDATIONS

The Department should seriously consider a spill of Governor’s positions to allow recruitment of staff from within and without DCS who possess the predetermined competencies.

In order to prevent the loss of significant operational knowledge by this process, existing managers should be afforded a vigorous training and development programme over twelve to eighteen months specifically targeted at the key learning areas.

7.7 CONCLUSION

Drawing on both the external environment as well as the organisation’s current resources provides the best mix of personnel to formulate creative “non bricks and mortar” solutions to operational problems.
8.0 CONCLUSION

Competition in corrections, increasing inmate populations, huge infra structure costs for correctional centres, demands for better effectiveness, a dynamic mission to an inmate population in real need and a community requiring maximum cost effectiveness, demands a new style of correctional centre manager with enhanced skills of creative thinking.

The adoption of our program will see managers doing more with less and solutions of a non-capital nature.
INNOVATIVE PROGRAMMES & PROJECTS

PREAMBLE:

The following are innovative programmes and projects which could be undertaken at minimal cost to the Department of Corrective Services and generally using existing resources to their maximum capacity.

What is required is a change of management culture and an empowering of offices, particularly at the institutional level, to be prepared to take some significant and innovative risks. The predominant management culture in Corrective Services has been a hierarchical management whereby the taking of risks was neither encouraged nor rewarded.

Much of the innovation in programmes and projects relates to a change in the mindset where there is a de-emphasis on security and an increased emphasis on creative solutions to problem solving. In particular, the concentration of these suggested programmes and projects relates significantly to effectiveness and delivering better quality of services to prisoners and thereby turning out of the gaol system, a better quality of person than on efficiency measures as such.
ALTERNATIVE ACCOMMODATION SOLUTIONS

Given the increasing gaol populations and the lack of further capital solutions, a number of proposals can be advanced which would be minimal cost and involve programmes rather than bricks and mortar solutions.

ADULT FOSTERING

Selected and classified individuals, particularly those with poor family backgrounds, could be placed with appropriate families in order to experience a re-family orientation. Issues such as certification, identification and training would need to be addressed and appropriate families need to be found.

However, the potential for this programme with "C" category prisoners exists and there are significant numbers of families that would be prepared to accept people on an adult fostering arrangement. This scheme could run with "C" category prisoners in the last three to six months of their sentence, being placed with appropriate families and perhaps, in appropriate programmes or employment.

Examples of adult fostering have occurred within New South Wales but without the formal backing of the Department. Additionally, the Mother and Childrens' Committee can approve of women with young children being placed out of the prison and the Adult Fostering Scheme would only be an extension of that to many other categories of offenders.

OUTDOOR PROGRAMMES & ADVENTURE CHALLENGE PROGRAMMES

Again with selected individuals of a low security rating, potential exists for non-capital solutions and yet ones which offer more effective correctional opportunities. Programmes such as outdoor and wilderness programmes have been run by the Community Corrections Service in canoeing and fishing programmes have very specific aims for very specific offenders with measurable outcomes. It could be that offenders live for periods of up to three months with a correctional staff member performing significant challenges and learning adequate skills.

BORSTALL BIKE RIDE

The opportunity for running innovative programmes exist such as the programme which runs from the United Kingdom in which Borstall offenders travel from England to Wales under the supervision of an officer. Programmes such as these are distinctly possible for lower security offenders.
UTILISATION OF FACILITIES FOR THERAPEUTIC COMMUNITIES

The potential exists at some institutions for the utilisation of presently under utilised resources. For example, at Cooma there was a house that was completely un-utilised. As a number of "C" category prisoners work outside the gaol on a regular basis it seems only a small matter to also arrange for the house which is next to the gaol to be utilised for "C" category prisoners and arranged on therapeutic community basis. That would involve prisoners learning skills in negotiation, cooking, budgeting and a range of other skills which would better equip them for community living.

The expected resources would include assistance from the psychologist and other gaol personnel.
EFFICIENCY MEASURES

MORE PRECISE CLASSIFICATION

Quicker and more precise classification based on danger ratings and a range of other objective measures would enable prisoners to be classified at a level which is acceptable to the community and which requires the minimum cost. Given the very great differentials between minimum and maximum security incarceration, the efficiency of the classification system and its effectiveness are areas which would significantly improve the cost efficiency of the Department.

The recognition of offenders held at a higher security rating than is required is a recognition that inefficiencies exist within the system.

TARGETED BAIL

The situation currently exists where all offenders who are either refused bail or who cannot reach bail, are placed in a maximum security situation. A proposal exists for the classification of prisoners at the court basis so that low security persons need not be taken to high security gaols. Equally, short-term prisoners need not to be taken immediately to a reception prison of a high security nature in order to be classified, often to a Regional gaol closer to their place of residence and at a very low classification. Such rigidity in the system builds in its own inefficiencies. The savings are not only savings to Corrective Services but to the Justice Portfolio as a whole and particularly to the Police Department where costs of escorts etc. are very high.

QUEUED IMPRISONMENT

The potential exists for maximum utilisation of existing resources by queuing prisoners to commence their gaol sentence on certain dates. In the United States gaol sentences are given such as three months to commence on 9 December 1992. In respect of periodic detention, there is a short period of queuing of often, one or two weeks prior to imprisonment actually taking effect.
SHORTER SENTENCES

Research evidence indicates that shorter sentences are the most effective way of reducing the prison population and it may be that the Department of Corrective Services needs to target public opinion such that they are ready to accept shorter sentences for non-violent offenders.
CONTRACTED SERVICES

The potential exists for significant contracting out of services which will result in more efficient use of current resources. Resources such as prison officer time in the transportation of prisoners from one gaol to another for psychological services are hidden costs which when costed out at a cost centre level, mean that the contracting of services to local private contractors is often more cost effective.

WORK GROUPS ON A COMMERCIAL BASIS

The United Kingdom Bulldog Programme is a programme where offenders are placed into work groups and where they can obtain employment in the work group while the income is provided by contracting for particular jobs.

In New South Wales the potential exists for prisoners to be contracted in work groups for such purposes as heritage restoration work and for tree planting programmes or projects of an environmental nature. The general thrust of the programme however, is not to build industries in the gaol but rather to take prisoners into the community to perform worthwhile community work. Programmes such as the Glen Innes Bicentennial Park have enormous potential for the future.

RE-INKING PROGRAMME

The potential exists for industries such as a Re-Inking Programme in our gaols. Much consumable computer equipment (ribbons etc.) are able to be re-used but are labour intensive. Such programmes could operate for the benefit of the efficiency of the overall New South Wales Government from a prison location.

PERIODIC DETENTION CENTRES

Potential exists in Regional areas for the creation of Periodic Detention Centres on a small scale. It could be for non-violent offenders that Periodic Detention Centres, Bail Hostel and low security imprisonment could operate from a range of community facilities including alcohol and drug rehabilitation programme, emergency accommodation refuges, proclaimed places and other facilities deemed suitable.

GROUP HOMES

It would be feasible to create in Regional areas, small group homes similar to the accommodation provided for intellectually handicapped people as a result of the Richmond Report. It would be conceivable that many prisoners in the system need not be detained in prisons but could be detained in the community in homes established for that purpose and run with the staffing of a particular prison officer and with possibly adequate electronic monitoring or other such monitoring as is deemed necessary.
The home could serve for periodic detention purposes, securing of low security prisoners and people in the last six months of their term on imprisonment. It would provide an effective half-way house or bridge back into the community and at a significantly smaller cost than institutionalisation.

A careful programme of reintegration into the community and a careful selection of offenders could have very significant results both for efficiency but more importantly, effectiveness of prisoner re-entry into the community.
PHILOSOPHICAL CHANGES

The Department of Corrective Services needs to pioneer some philosophical changes in the community attitude to prisoners.

USER PAY PRISONERS

With selected prisoners and selected offences it may be possible for the Department to levy a cost of incarceration against the prisoner. For example, where a prisoner has large assets and where the prisoner has benefited from criminal behaviour, it may be that the Department can partition for the sale of the assets in order to pay for the imprisonment cost of the offender. It seems and unjust situation that an offender can benefit from his offence and then the community pay for his incarceration. This option would be particularly applicable to fraud, large scale armed hold-ups or the results of importation or supplying of illicit drugs.

VICTIM OFFENDER RECONCILIATION

The potential exists for victim and offender groups to be undertaken in gaol with the benefits being accruable to both parties in the reconciliation.

TICKET OF LEAVE PROGRAMME

The potential exists for certain offenders to be out-placed with particular employers. This is a scheme that would be particularly applicable to the rural areas where offenders could be placed on large holdings and work for an employer who has the essential security and maintenance of the prisoner. There would of course be some administrative costs and some requirement for checking the arrangements but the potential exists and has been used in New South Wales on previous occasions.

The costs of the scheme would be borne by the offender from the wages paid to him by the employer. The benefits to the offender are specifically in the areas of learning skills and being in a non-institutional setting. It should be noted that the Northern Territory has a programme which works by placing young offenders with pastoralists and agriculturists in order to learn skills that would be useful in the future.

MEDIATION

A significant change at a local level could occur where a prisoner is involved with custodial staff in the formulation of goals and objectives for his term of imprisonment. In particular, skills could be listed as to the attainment of those skills and opportunities made for those skills to be developed.