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Service correctionnel
Canada

Correctional Service
Canada



FIRST ANNUAL REPORT
1980-81
INSPECTOR GENERAL'S BRANCH

Canada



MEMORANDUM

NOTE DE SERVICE

TO
A

Mr. D. R. Yeomans
Commissioner of Corrections
Commissaire aux services correctionnels

c.c. SMC Members
Membres du CSG

FROM
DE

Inspector General
Inspecteur général

SUBJECT
OBJET

Annual Report -
Inspector General's Branch


In response to your memo dated July 14, 1980, attached is the report of activities in the Inspector General's Branch for the period January 1, 1980 to March 31, 1981.

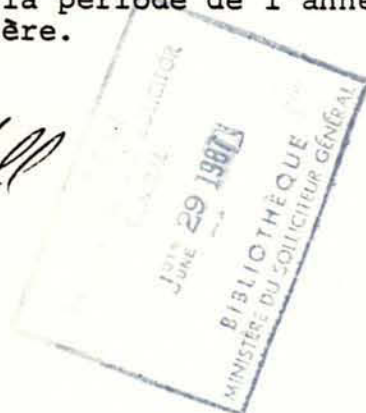
As agreed, future reports will conform to the fiscal year period.

Rapport annuel -
Bureau de l'Inspecteur général

Veillez trouver ci-joint, en réponse à votre memo du 14 juillet 1980, le rapport des activités du Bureau de l'Inspecteur général pour la période du 1 janvier 1980 au 31 mars 1981.

Comme il a été convenu, les rapports à venir seront en conformité à la période de l'année financière.


A.F. Wrenshall
Inspector General
Inspecteur général



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FIRST ANNUAL REPORT
INSPECTOR GENERAL'S BRANCH
THE CORRECTIONAL SERVICE OF CANADA

1980-81

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FIRST ANNUAL REPORT
INSPECTOR GENERAL'S BRANCH
THE CORRECTIONAL SERVICE OF CANADA

INTRODUCTION

As this is a first attempt at an Annual Report by the Inspector General's Branch, its writers have not felt constrained by precedence and have, instead, attempted to give an overview of the "state of the union", as was requested by the Commissioner in his instruction to produce an Annual Report. Far from attempting to be an exhaustive review of The Correctional Service of Canada, the report attempts to zero in on matters where improvements have been noted or where ongoing concerns exist. For the most part this report covers Inspector General's Branch activities for the 1980 calendar year. We expect, however, that our next report will cover the 1981/82 fiscal year and, at the same time, serve as an annual report on audit activities to the Comptroller General of Canada.

Background

In this first Annual Report, it is perhaps appropriate to give a brief outline of the history of the Inspector General's Branch. The Branch came into being in April, 1978, with the appointment of an Inspector General. This appointment was made in response to recommendation No. 28 of the Parliamentary Sub-Committee on the Federal Prison System which stated:

"An Inspector-General of Penitentiaries should be established, reporting directly to the Commissioner. This person should be charged with inspecting institutions and investigating irregularities, but he should refer criminal investigations to the appropriate police force."

At this point the Latin motto "de nihil nihil fit" comes to mind, for it is worthy of note that the Service was already blessed with a small nucleus of professionals who had been previously manning the Management Review Division. This fact was not overlooked by the Commissioner, who also noted that, although competent Management Reviews were being conducted, inadequate attention was being given to observations made in the team's reports. Accordingly, the newly-appointed Inspector General was given the task of establishing more rigorous monitoring procedures to see that these observations were acted upon.

As foreseen by the Parliamentary Sub-Committee, special inquiries quickly became an important additional function of the Branch, but rather than maintain a large group of highly-trained investigators waiting to respond to the need for special inquiries as they occur, the Branch has frequently solicited assistance from the Regions and institutions when special inquiries were called for. What has resulted appears to be a productive mix of line and investigative experience which has helped to keep special inquiry reports both comprehensive and realistic. In a recent inquiry, the Commissioner reached outside the Service for the participation of a Board member with a view to giving more public credibility to the results of special inquiries without having to go so far as to convene a judicial inquiry.

A Financial Audit Division was established and staffed. With the Audit Services Bureau picking up the slack, the Financial Audit Division has quickly re-established the three-year cycle for financial audits as required by Treasury Board.

During 1979, responsibilities for accreditation and personnel auditing were added to Branch duties, effectively consolidating the audit function within the one Branch at NHQ. The Branch also is responsible for coordination of auditing by Central Agencies and the Office of the Auditor General within the CSC.


Overview of Auditing
Procedures and Scheduling

The past year brought with it a number of somewhat subtle changes to the Branch "modus operandi": The Financial Audit Division moved toward a "systems-based" approach to financial auditing; the Commissioner added "Commissioner's Visits" and recommendations arising from special inquiries to the Monitoring and Implementation function, requiring progress reports from these activities in addition to the more traditional audit observations, and the Branch issued a rather voluminous bilingual compendium of guidelines for Regional Inspection Checklists. A complete listing of scheduled Branch activities appears as Appendix 'B'. It will be noted that most but not all of the scheduled activities were completed. This is perhaps because an unusual number of ad hoc special inquiries and special projects were carried out by the Branch.

In looking ahead, we foresee the need for further exploration of the "systems-based" approach to auditing of all kinds. While the present detailed, comprehensive, and front-line approach to auditing is very effective, it is also very human resource intensive. If we are to meet our present objective of auditing maximum security institutions every two years, all other units within the Service every three years, and Regions and Headquarters Branches every five years, there are definite resource implications. We are therefore looking carefully toward "systems-based" alternatives which we hope will not require increased human or monetary resources.

Finally, in managing an activity which, by its very nature, often has an adversarial quality to it, I would indeed be remiss if I did not, on behalf of the entire staff of the Inspector General's Branch, acknowledge the excellent cooperation and very positive response that we have received from across The Correctional Service of Canada. In my almost three years now as Inspector General I have been impressed again and again by the professionalism and sincere

concern I have found within the CSC. It is the concern, professionalism and the desire to improve that I feel yield the positive response to our audit observations and recommendations that I have noted. By the same token, it is the strictly professional approach with which the officers of this Branch carry out their duties that allows and fosters the climate for improvement. May I take advantage of this opportunity to express my sincere personal appreciation to both auditor and auditee for the excellent response afforded me from both staff and line personnel.



A.F. Wrenshall
Inspector General

MANAGEMENT REVIEW

The following pages contain a general summary of what the Management Review Analysts consider to be the main strengths and weaknesses in the CSC. The statements are their opinions and general impressions on specific subjects, primarily as a result of on-site audits of institutions.

We have also included in Appendix 'A' detailed tables showing all the different areas we have reported upon in our management reviews, and their frequency and institution of occurrence.

PART I
AREAS WHERE MAJOR IMPROVEMENT
HAS BEEN IDENTIFIED

A. Case Management System

The new case management system which was introduced in the institutions in the fall of 1980, provides the Service with a comprehensive system for ensuring better individual program planning for each inmate from the beginning to the end of each sentence. Based on our reviews, the institutional staff are quite receptive to the new system. Hopefully, the new system will bring together the different sectors of the institutional socialization division (namely living unit/classification, social development, recreation, arts and crafts, etc.) into a total program approach. It should also provide for better co-ordination with the other sectors of the institution (e.g. school, workshops) regarding the inmates' programs. It will provide for a more structured and detailed documentation of the case history of the inmate which also was inadequate in the past; and it should also assist in bringing about a closer working relationship between parole officers and institutional staff.

B. Community Participation in Institutions

We are pleased to report that the degree of community participation in our institutions, in terms of numbers and scope, is very good.

Citizens Advisory Committees are in place in most institutions and they are doing much to keep the community informed on the activities, programs and problems of the institutions. The Committees are now becoming more aware of their role, and they are of much more assistance to institutional management (i.e. making program recommendations).

There are many different community-based social and cultural programs involved in the institutions, such as A.A., Native Groups, Self-Help Groups, and many others.

There are also many other programs involving the community such as programs for physically and mentally handicapped children, "scared straight" programs, etc.

Staff in some institutions participate in social events involving the community and the inmates, such as field days and Christmas parties.

In summary, we have noted so many good programs involving inmates and people from the community, that perhaps an inventory listing of all of these should be prepared and published so that the public will be made more aware of the degree of these very positive programs.

C. Dress and Appearance of Institutional Security Staff

A new uniform for security staff has been introduced over the past three years. We have noted that in most institutions the security staff looked neat and tidy, and presented a good appearance. Uniforms are clean and pressed. Generally speaking we feel that there has been an improvement in this area, over the past few years.

D. Use of Inmates on Construction Projects

We have noted an increase in the past year in the number of institutions in which inmates are used on construction projects. We are referring here to projects done and management by institutional staff, and particularly to projects done by outside contractors. We see an increase in the latter type and in these projects the construction firm hires a number of inmates and pays them a specific wage, usually minimum rate or in some cases the prevailing rate for the particular trade.

E. Agribusiness

We have seen a vast improvement in this program in the past year. There is a more organized approach to the program at all three levels in the Service. Yearly objectives have been established for each operation, more emphasis has been placed on productivity levels; work standards have been developed for inmate labour; more product specialization is taking place. The Service is now virtually self-sufficient in some areas, and moving toward self-sufficiency in others.

F. Cleanliness of Institutions

We have seen a considerable improvement in the cleanliness and housekeeping of our institutions, both inside and outside, including institutional grounds. Acceptable standards for cleanliness appear to have been increased and there seems to be a higher priority placed on the cleanliness and housekeeping of the institutions.

In particular we noted that hygiene and overall cleanliness of our kitchens and messes has improved in the past year.

On the negative side, we have noted in many institutions that many of the inmate cleaners are employed for only a few hours a day. Their main task is to clean floors. We would like to see more attention given to using inmate work gangs to do such cleaning jobs as washing walls, windows, ceilings, etc.

PART II
AREAS WHERE IMPROVEMENTS
ARE STILL NEEDED

1. Manpower Planning

Many institutional staff are of the opinion that there is very little effective manpower planning taking place throughout the CSC. They are referring mainly to their own career development and the lack of formal control mechanisms. They also suggest that very little attention is given to the comments made in performance evaluations with regard to career development. Some supervisors seem to put a lot of effort into completing that section of the appraisal form. However, very little follow-up seems to take place.

2. Problems in Implementing the Canadian Human Rights Act

Since the introduction of the Canadian Human Rights Act in 1978, until very recently, the Service has experienced problems in meeting the 30 day and 60 day limits imposed for responding to inmate requests to see their files. This problem is due to many reasons amongst which seems to have been the initial lack of sufficient staff to deal with the workload, the absence of an adequate records system and the lack of an updated procedures manual containing the necessary guidelines in the exemptions criteria. Furthermore, it appears that the lack of training has had an adverse effect on staff at all levels. Also, there is still a resistance on the part of the classification officers and the parole officers with regard to the Act, in that because the inmate has access to his file, they are reluctant to include in their reports all pertinent information.

3. Program Staff - Hours of Work

In most institutions, more recreation staff are on duty during the day when the inmates are at work, than in the evening when the inmates are on leisure time. Some institutions have attempted to move towards having more recreation staff on duty during the evening, and some have been successful in getting more staff to work in the evening. But we feel that additional efforts are needed in this regard.

The same applies to Classification Officers and Living Unit Development Officers, and we feel that at least some of the complement at each institution should be on hand in the institutions during the evening.

4. Long Term Dangerous Offenders

Since the abolition of capital punishment in 1975, our maximum security institutions have been receiving inmates sentenced to incarceration for life without parole eligibility before 25 years.

A large portion are young inmates who become totally discouraged with the system because the length of their sentence takes away any hope for an earlier return to society. Some have become violent to the point that they do not hesitate to kill when they meet any form of resistance. Since 1975 at Archambault alone, there have been 16 inmate murders. Also, the hostage-takings by such inmates are potentially extremely dangerous. They can and do cause among the other inmates and among our staff, a constant atmosphere of fear and apprehension.

There is little that can be done for this category of inmate. The new case management system does not appear to be geared to deal with sentences of this length. We feel the Service must continue to bring to our political masters the serious concerns caused by these inmates and to ask that this extreme kind of sentence be reviewed.

5. Emergency Response Training

In many institutions we identified a need for more intensive and ongoing training for institutional emergency response teams. Since this group plays such a key role in institutional disturbances, their training should be as up-to-date as possible. We have found that in many cases training is given when the response team is formed but ongoing training afterwards is neglected.

6. Simulation Exercises of Institutional Contingency Plans

Very few institutions have held adequate simulation exercises to test their contingency plans. These simulation exercises should involve all the key institutional staff who would be required to participate actively in the event of a hostage taking incident, a riot, an escape, or any other form of major disturbances; not just the Institutional Emergency Response Team.

We have reported on this item in most institutions over the past 2-3 years, and we are not aware of very many institutions that have taken steps to correct the situation. We see a need for more active involvement of regional staff to work with the institutions to rectify this situation.

7. Emergency Disaster Plans

Most of our institutions are without proper emergency disaster plans, to be used in the event of a situation similar the recent Mississauga incident.

This type of plan would be developed for each facility, and we see the need for regional and national headquarters involvement in providing assistance to the institutions.

8. Construction Program

For many years now there have been ever-changing programs for the construction of new institutions, and the major renovation or redevelopment of existing institutions. Two such institutions audited in the past year, which are experiencing problems with the foregoing are: Archambault - where the building of common dining facilities for inmates has been on and off for about 7 years. Also, the staff mess and staff lounge at Archambault are in the same situation. Bowden - major redevelopment of the whole institution has been in the planning stages for 3-4 years.

The constantly changing construction program has resulted in long delays in getting major construction projects done and this has proved frustrating for institutions in that they are severely delayed in getting new programs going, and in improving the effectiveness of existing programs.

9. Staffing Problems
Psychiatrists and Nurses

The C.S.C. has had problems for many years in filling psychiatrist positions. At one point in 1980, we understand that almost 50% of the approximately 20 psychiatrist positions across the country were vacant.

Salary is a big problem. We are paying psychiatrists about \$45,000 annually which is considerably lower than the salary received by psychiatrists in provincial systems. In addition to the salary, our lack of research facilities, the fact that 2 of our 3 RPC's are not accredited, and the current feeling that few want to go into forensic psychiatry, are said to be some of the other difficulties encountered in attracting psychiatrists.

We have also had problems in attracting nurses and here again the problem appears to be a combination of salary and lack of fringe benefits which are available in outside hospitals.

INMATE EMPLOYMENT

10. Inmate Employment - General

Although there have been considerable gains made in the past year in obtaining new contracts for our industrial shops there are still some shops that do not have enough work and are therefore not manned to full inmate capacity.

Also, on paper, institutions report a work placement for most inmates but in many cases the inmates are not kept busy for the full work day. Even in the shops that have sufficient work, the work pace or level of productivity in many shops is far below that of private industry. The end result of this situation is that most inmates do not develop good responsible work attitudes that will assist them later on the street.

One form of incentive has been the introduction of the monetary bonus system but, overall, this has not proved to be a stimulating device. The instructors also face a difficult task in trying to motivate inmates to increase their level of efficiency because the inmates do not apparently feel that there are any negative motivators such as sending them to a facility with less privileges and programs. Many of our programs such as mail bag repair are monotonous and uninteresting and a further complication is that inmates can transfer from one job to another quite often. Staff try to get them to remain in a work program for a reasonable period of time, but there is little that they can do to hold him/her in a program should the inmate wish to be transferred.

We hope that the new case management system, with its emphasis on individual program planning, will be of assistance in this area.

INSPECTOR GENERAL'S BRANCH
FINANCIAL AUDIT DIVISION

State of the Art

During the past year a separate Annual Report on Financial Audits was presented to the Commissioner covering the fiscal year 1979-80. The Financial Audit program for the 1980-81 year was approved by the Senior Management Committee in March of 1980 and all elements of the approved program up to December 31, 1980 have been met as planned.

The year 1980 was significant for the Financial Audit Division in that we began the implementation of a Systems based audit approach and, in conjunction with our Finance Branch added further refinements to our follow-up procedures. It is noteworthy as well that improved co-operation from field units is evident in the way that Audit Reports are received and actioned. It is our belief that this reflects the overall management style of the Service with regard to the implementation of change.

The current report includes several audit items which we believe to be significant in dealing with the Service as a whole and it should be noted that as they are national in scope corrective action may take longer than many detailed institutional observations.

Industrial Inventory Control

THERE IS A LOSS OF OVERALL CONTROL OF INDUSTRIAL INVENTORIES AT THE INSTITUTIONAL AND NATIONAL LEVELS.

Responses

An inventory of industrial materials was taken on December 5, 1980, at all locations across the country and it will be the responsibility of all Institutional Heads to ensure the availability of accurate inventory values in the future.

Inspector General's Conclusions

While the compilation of a National Industrial Inventory at a given date will establish its position at that time we anticipate that the continuing problem will not be solved until a national study is undertaken which will establish adequate standards for industrial inventory records including valuation and reconciliation procedures.

Correctional Service of Canada Person-Year Control

THE MANPOWER UTILIZATION CONTROL SYSTEMS AS THEY RELATE TO PERSON-YEARS ARE INADEQUATE.

Findings

The Service is utilizing staff on construction projects and this manpower utilization is not always recorded as person-year consumption with the result that person-year utilization reports to Treasury Board are not accurate.

Inspector General's Conclusion

To this point in time the observation has been accepted as factual however, we see no evidence of corrective action being taken.

Sub-Allotment Control

THERE ARE INADEQUACIES IN THE SUB-ALLOTMENT CONTROL SYSTEMS AT THE REGIONAL LEVEL.

Findings

Treasury Board Guidelines require control of Departmental funds at the sub-allotment level (Region) to the same degree as if it was an

allotment approved by Treasury Board. Regional Financial Audits carried out in 1980 determined that Regions were not exercising ongoing sub-allotment control but were doing so on a monthly basis.

Inspector General's Conclusion

Our review of responses to Regional Audits indicates that National Headquarters has undertaken the development and implementation of a system to correct the present situation. When this has been completed and in place the Service will be meeting Treasury Board Guidelines.

Personal Service Contracts

THE SERVICE HAS NOT BEEN MEETING TREASURY BOARD REQUIREMENTS WITH REGARD TO THE APPROVAL AND CONTROL OF PERSONAL SERVICE CONTRACTS.

Findings

A Financial Audit performed in 1980, on our handling of Personal Service Contracts indicates that improvements are required in our compliance with recommended procedures. Our contract files were found to lack altogether or to have, in many cases, poor documentation. In addition our findings indicate many examples of employee-employer relationships.

Inspector General's Conclusion

Subsequent to the completion of our audit, controls and procedures were implemented which will ensure compliance with Treasury Board requirements.

Inmate Operated Ventures

THERE IS A LACK OF PROCEDURES FOR THE OPERATION AND CONTROL OF INMATE OPERATED VENTURES.

Findings

Our Institutional audits have identified instances where inmates are operating properly authorized commercial ventures within the confines of the Institutions. We have encountered difficulties when reviewing the control of cash, banking, inventory of supplies, inventory of equipment, etc., as well as guidelines for the payment of inmates. In addition, questions arise in the areas of institutional authorities and responsibilities when dealing with these ventures.

Directives are lacking and as a result, institutions and reviewing organizations are unsure of the ground rules.

Inspector General's Conclusions

There is the need for the issuance of Directives and operating procedures in the area of Inmate Ventures.

Industrial Accounts Receivable

OUTSTANDING ACCOUNTS RECEIVABLE ARE IN MANY CASES NOT COLLECTED ON A TIMELY BASIS.

Findings

Due to the systems employed and the fact that they are in the developmental stage, instances have been found where undue delays have been experienced in the collection of Accounts Receivable. In addition procedural misunderstanding with regard to responsibilities have resulted in accounts receivable from the 1979/80 year not been subjected to collection procedures in some instances.

Inspector General's Conclusion

The systems and procedures with regard to Industrial accounts receivable require ongoing review and refinement in order to ensure that the final product will correct the problems identified in our audits.

Food Services

INFORMATION PRODUCED BY INSTITUTIONAL FOOD SERVICES REPORTS IS INACCURATE WITH THE RESULT THAT INPUTS INTO DEPARTMENTAL BUDGETING IN THAT AREA ARE NOT RELIABLE.

Findings

The lack of consistency applied across the Service in the area of accounting for meals and rations issued has created inaccuracies in per diem calculations. The overall roll up of these inaccurate calculations produces incorrect figures at the Institutional, Regional and National levels with the final result being that information used in the Service Budgeting process contains inaccuracies.

Inspector General's Conclusions

The proposed study to be carried out in the area of Food Services will address the above problem along with other aspects of the Food Services Area.

Interface of Finance and Personnel at Regional Level

THERE ARE INADEQUACIES IN FINANCIAL SYSTEMS AND OPERATIONS RELATING TO THE INTERFACE OF THE FINANCIAL AND PERSONNEL FUNCTIONS AT THE REGIONAL LEVEL.

Findings

Treasury Board Circular Letters require the Head of a Departmental Financial Function to be responsible for Financial Procedures and Financial control as they interface with the personnel function. Regional Financial Audits carried out in 1980 indicated that this responsibility was not being met.

Inspector General's Conclusion

This function has now been accepted as a responsibility of the Financial Area and they are addressing the problem with a view to developing solutions to meet Treasury Board requirements.

MONITORING AND IMPLEMENTATION

Introduction

A national follow-up system was developed by the Inspector General's Branch in early 1979 and ratified by the Senior Management Committee in June, 1979. The system was developed to comply with audit guidelines of the Comptroller General. The Senior Management Committee constitutes the Departmental Audit Committee, chaired by the Deputy Head, as described in Treasury Board Standards for Internal Audit.

The system has standardized the follow-up process on a national basis and has had a very positive effect on the implementation of action plans and correction of problems identified at all levels of the organization. It has also served as a useful tool in keeping senior management informed regarding the status of audit observations implementation and identifying areas where additional corrective action is required.

Follow-Up System - General

Prior to the development of the present system, follow-up on observations was carried out on a sporadic basis with resultant lack of corrective action being taken and a definite "laissez-faire" attitude on the part of many managers. With senior management's support, the system has been instrumental in making all managers aware of the importance of follow-up action on identified problems and the requirement for the development of realistic action plans.

As a result of the success experienced with the system developed for management reviews, the Inspector General's Branch has developed similar systems and procedures for follow-up on various other

functions, i.e. Commissioner's/SDC visits, Wardens/Directors Conferences, Special Inquiries, Financial Audits, Classification and Staffing Audits. Although most of the forementioned systems and procedures have only been recently implemented, they are, generally speaking, achieving the positive results for which they were developed.

Procedures and Responsibilities

The follow-up system is activated immediately an audit/review of a responsibility centre is completed and follows through until the audit/review cycle has been approved as final by the Senior Management Committee.

The process involves extensive consultation with Offices of Primary Interest, the evaluation of action plans submitted by the responsible managers, meetings and/or conference calls to discuss proposed action, preparation of progress reports to SMC with recommendations for either further follow-up or completion of audit cycle. The cycle, providing all target dates are met, is complete within one year after initial audit/review.

System-Deficiencies

Although the follow-up system has proven to be a valuable management tool and has been very well accepted by all levels of management, there are certain deficiencies inherent within the system. These deficiencies, although not serious enough to drastically affect the system, do have an adverse effect on the overall effectiveness and efficiency of the system. The deficiencies considered to warrant discussion are as follows:

- a) Target Dates - We continuously stress that all action plans must contain target dates; however, many plans are still received without projected completion dates. As a general rule, target dates are met. Nevertheless, there are still many managers who do not always project realistic completion target dates for the problem at hand.

- b) Type of Response - All action plans should provide the what (will be done) and the when (it will be done). There has been a tremendous improvement in this area; however, some responses still contain pages of historical data and discussion, but not these two essential elements.

- c) Certification - Senior Management has delegated the responsibility for the certification of completed actions to the responsible regional manager. At present, there is a possible requirement for 5 separate certifications prior to audit/review cycle completion. Although this has not posed any serious problems in certain areas, in other areas it has caused serious delays.

- d) Consultation - There is a definite lack of consultation between different organization levels and between OPIs and OCIs. On many occasions, responses are received from two different levels on the same subject which contradict each other. Further, many responses are received from both the OPI and OCI although the system requires that consultation should take place and only one response received which represents the views of both parties. In particular, there appears to be a lack of consultation with the Region concerned when observations arising from institutional audits are directed to NHQ Branches for response.

Conclusion

Senior management is more aware of the current status of implementation and are in a better position to provide direction on the action required and expected in order to resolve major problems.

SPECIAL INQUIRIES

Introduction

A small investigative unit was formed in 1979. This highly mobile team is called upon to attend on short notice, anywhere in Canada. The Special Inquiries Unit conducts inquiries into alleged irregularities, major security incidents occurring in correctional institutions and any other matter of public interest or concern to the Commissioner of Corrections or the Solicitor General. The purpose and main thrust of Special Inquiries is to prevent the recurrence of the unfavourable event or situation under inquiry by identifying its causes and recommending revisions to existing policies, procedures and practices.

Deficiencies

In 1980, 29 Special Inquiries or Projects were conducted as follows:

Alleged Irregularities	11
Major Security Incidents	9
Matters of Concern	6
Monitoring of Implementation	<u>3</u>
TOTAL	29

Corrective Action

Whenever feasible, recommendations were made aimed at correcting the particular deficiencies identified. Generally speaking, these have been well received by the field and the recommended action was initiated within short time frames.

Issues of General Concern

While of each of the special inquiries conducted dealt with one or more matters of serious concern to the Service, two of these matters became issues of concern in several inquiries with a common thread in all of them. It is felt that they are worthy of repetition here.

a) Control and Coordination of
Emergency Responses

Our inquiries into four separate and very serious incidents, three of them hostage-takings, in three separate Regions, all identified problems in coordination and control of emergency response teams. We feel there is a definite need for a review of formal control and coordination/communication procedures during emergency responses. Each emergency response team must function as a team and lives may depend on accurate giving and receiving of orders. Emergency response team members must know who is in charge at all times and act only on their commands. Emergency response equipment and training should be reviewed with a view to reflecting this philosophy.

b) Use of Firearms

The same four inquiries mentioned above gave rise to concern over staff attitudes toward the use of firearms. While employing firearms as "the ultimate use of force" appears to be fairly well understood, our special inquiries have revealed what appears to be a rather general misconception of what is usually referred to as "warning shots". We feel that training manuals and Divisional Instructions should all make it quite clear that warning shots are not to be fired except as a last moment warning that the ultimate force is about to be used.

ACCREDITATION

State of the Art

During the 1980-81 fiscal year, the Correctional Service of Canada continued to be involved in an Accreditation program which has had an impact on all levels of the organization. Accreditation was implemented both with a view to improvement in the CSC and to provide an objective system by which facilities could measure and evaluate their programs and procedures against practices recognized in the Corrections field.

An assessment of the potential advantages and disadvantages of accreditation to the Correctional Service of Canada took the form of a pilot project in the Atlantic Region during 1979. As a consequence of the exercise two Community Correctional Centres, three District Parole Offices, and two institutions were accredited during the fall of 1979 and the Spring of 1980. The outcome of the pilot project was the decision to seek accreditation for all of the CSC facilities on a three year schedule of implementation. The Inspector General's Branch was given the responsibility for the coordination of the accreditation process.

Thirty-five units undertook accreditation during the 1980-81 fiscal year. These facilities included Institutions, Community Correctional Centres, and District Parole Offices in each Region of the Correctional Service of Canada.

Problem Areas

As with any project which has the size and scope of accreditation, a number of problems have been experienced. Significant delays in the submission of Plans of Action and policy documentation to assist the facilities were encountered from several NHQ Branches. In addition, the lack of bilingual staff at the Commission on Accreditation for Corrections has resulted in lengthy delays in the submission of

Self-Evaluation Reports from Québec Region to the Commission. The situation has arisen due to the necessity to translate the reports into English. Furthermore, due to the widespread locations of many CSC installations and the different rate at which facilities have been progressing, the scheduling of audits and pre-audits on a cost effective, "pairing" basis has been very difficult.

Differences between the U.S. and Canadian legal and criminal justice systems have sometimes elicited confusion from American consultants. As one remedy, Corrections personnel from Canada, both within the CSC and provincial systems, have received and will continue to undergo training as auditors from the Commission. Those CSC staff who have been trained as auditors have become in-house resources for the accreditation effort.

Conclusion

Prior to the end of the 1980-1981 fiscal year, it is expected that 1 Community Correctional Centre, 7 District Parole Offices and 2 Institutions will undergo accreditation audits. The remaining facilities which started the process in 1980 are expected to seek accredited status before the Fall of 1981. During the Spring of 1981, additional facilities from all Regions will begin the accreditation exercise. Meanwhile, a study to identify and isolate costs associated with accreditation is to be undertaken.

REPORT ON THE STAFFING ACTIVITIES
OF THE CORRECTIONAL SERVICE OF CANADA

This report is based on findings from Departmental and Public Service Commission Staffing Audits carried out during the period of September, 1978 to April, 1980. To highlight the weaknesses and show the progress made in corrective measures, five elements of concern to the staffing function are addressed in this report: policy making, planning, organization and resourcing, communication and control.

a) Policy

The audits revealed a need for the Staffing Division at National Headquarters to develop and disseminate staffing policies throughout the Service.

In response, the Staffing Division at National Headquarters in consultation with regional staffing personnel has set priorities for the required policies. Policy on the Roles, Responsibilities and Authorities in Staffing was presented to and accepted by SMC. Other policies are now at different stages of development and three are expected to be promulgated by June, 1981.

National Headquarters has also negotiated with the Public Service Commission to introduce new norms for CX external recruitment and amended selection standards to help attract qualified persons to the WP group.

b) Planning

Staffing is involved in operational planning and with integration of its objectives with certain related programs such as Official Languages plans. Planning with respect to departmental future resources and needs is done through Manpower Planning and Policy and Planning.

c) Organization and Resourcing

National Headquarters Staffing experienced extensive turnover of staff during 1980 but are now operating at full complement. Staffing is delivered on a team basis approach with teams of Staffing Officers and assistants assigned a caseload on a divisional basis for Headquarters positions and on geographical basis for those in the regions.

In the regions, staffing caseload is assigned either on a divisional basis or according to occupational groups.

A need for training line managers in staffing has been noted, particularly with respect to the aims of the staffing process and the use to be made of selection tools. National Headquarters are planning to offer training to line managers early in 1981. Training in staffing is generally underway in the Regions and will be continued according to needs.

d) Communication

The NHQ Staffing Division has instituted the use of a Staffing Communiqué that serves to communicate instruction and guidance to staffing offices throughout the department. It is particularly useful in signalling new developments.

In addition, communications with the field are further encouraged by the total involvement of NHQ staffing officers assigned to particular regions as well as by the Chief, Staffing Policy and Planning providing advice on policies. Also, the input of the field as well as of personnel at NHQ is sought in the development of staffing policies. Senior Management is also involved in discussing the drafts before final policy is approved.

A Staffing conference was held in November, 1980 for all officers of the Service and allowed for discussion of common problems as well as for informing on new developments.

e) Control

Steps have been taken to correct the weaknesses noted in the audit with respect to the controlling function.

National Headquarters Staffing was found lacking in the provision of functional control over the activities of the regional offices. However, since this observation was made, Staffing, through the involvement of the National Headquarters Staffing Officers assigned to the regions will be able to have a feel of the field activities and through the monitoring of the new staffing action forms and of posters will be in a position to evaluate the quality of information contained in those documents and take action as required.

Weaknesses in controls and such areas as lack of mechanisms to monitor staffing actions and identify workload problems were observed in regional operations. However, all regions agreed to remedy their respective weaknesses.

Conclusion

The staffing service provided by National Headquarters and the Regions is generally good. Progress has been made in the communication of information and in providing guidance to the regions. Policy development is now underway and the more critically needed policies are scheduled for promulgation during the first half of 1981.

Data on the speed of staffing has not been analysed. However, according to general opinion, staffing is considered too slow. The staffing units have developed or will be developing mechanisms that will monitor the progress of staffing actions and will permit the identification of problem areas that could be improved.

Weaknesses still exist in the area of documentation and in the use of staffing tools that need to be corrected to provide evidence that selection is made according to merit. It is expected that sensitization of line managers to the staffing process through training will facilitate improvement in this area. Other technicalities will still need to be resolved by staffing personnel.

PERSONNEL CLASSIFICATION AUDIT IN
THE CORRECTIONAL SERVICE OF CANADA

From the early 70's until April of 1980, classification audit had been utilized mainly in the format of selective coincidence for group allocations or levels. There were some few general audits performed by Treasury Board, however, there was no systematized or comprehensive audit plan in effect that would regularly report upon the state of classification administration in the Service.

The classification audit program initiated by the Inspector General's Branch will be perceived as new and different from the historic approach within this Service. It is a structured program, adopting some recent guidelines from the Treasury Board Classification Audit Group, as to scope and format. The first cycle of Regional audit visits was completed February 1, 1981. Many corrective actions have already begun on initial audit observations, however, several require discussion and resolution in order to finalize the audit reports. Generally, regional reaction to the audit visits has been positive and receptive.

General Observations

1. REGIONAL MANAGERS PERCEIVE LITTLE CHANGE IN CLASSIFICATION SERVICE PROVIDED IN RECENT YEARS.

Although managers have dealt with program changes with inevitable organizational modification, there is a general perception that classification service has not adapted in order to provide increased assistance. Close liaison and understanding is essential between the classification and program managers for mutually acceptable and valid organizations.

CONCLUSION

Classification audit perceives a requirement to re-examine goals, policies and objectives of the function as they relate to the present requirements of program managers.

2. COMMUNICATION AND INFORMATIVE FEEDBACK PERTAINING TO CLASSIFICATION ADMINISTRATION HAS DECREASED OVER THE PAST SEVERAL YEARS.

Internal regional communication is generally good with some exceptions. Regional classification specialists are limited regarding the feedback that they can provide program managers, in view of the present pattern of classification delegation.

CONCLUSION

The classification auditors suggest that the improvement of regular functional communication and exchange of information, will provide increased understanding and acceptance of the function to managers.

3. TRAINING OF MANAGERS IN THE CLASSIFICATION FUNCTION HAS DIMINISHED IN MOST REGIONS.

Classification-related training for managers has diminished in all but one region, due to perceived priorities of regional classification. Training normally provided would encompass position evaluation and the preparation and provision of valid job descriptions and accurate organization charts.

CONCLUSION

Classification audit endorses a continuing program of training for managers. Training produces improved documentation and understanding of the classification system.

4. THE CYCLICAL REVIEW OF POSITIONS HAS LAGGED AS AN ONGOING CLASSIFICATION PROGRAM.

The personnel management manual PMM505-3 clearly provides for an ongoing cyclical review program. The program ensures the review of every position in a given organization at a specified time; i.e. every two-three years for positions subject to change, every five years for positions not subject to change.

CONCLUSION

The auditors feel that pursuit of an ongoing cyclical review program improves the currency of position documents and increases managers awareness and acceptance of classification service.

5. MANAGERS PERCEIVE THAT CLASSIFICATION SERVICE IS TIME CONSUMING AND NOT RESPONSIVE TO SPECIFIC NEEDS.

The present pattern of classification delegation makes limited use of the regional classification specialists. Many submissions must be forwarded to NHQ for decision thus relegating regional classification to a liaison role which in itself is time consuming. This procedure hampers the timely acquisition of classification decisions and excludes regional participation in the final process.

CONCLUSION

The classification auditors suggest that the present pattern of classification delegation be re-examined with a view to maximize utilization of regional resources, thus improving time frames for classification services and increasing regional input in the process.

6. CLASSIFICATION DOCUMENTATION PROVIDED ON POSITION FILES IS OUTDATED AND INCOMPLETE IN MANY INSTANCES.

Classification records require a decision form, an approved job description, a valid authorized organization chart, a rationale supporting the classification decision. In many cases in most regions visited, there was a lack of valid organization charts and a large proportion of decisions with no rationale as to the allocation of category, group and supporting evaluations.

CONCLUSION

The auditors are concerned with the lack of required documentation on the position files and advocate a return to the criteria enunciated in the Personnel Management Manual on the subject of necessary document pertaining to valid positions.

MANAGEMENT REVIEW REPORTS
JANUARY - DECEMBER 1980
SUMMARY OF COMMON OBSERVATIONS
PROGRAMS

OBSERVATIONS	S.M.I.	ROCKWOOD	M.I.	R.P.C. (ONT.)	R.P.C. (PAC.)	BOWDEN	P. for W.	MISSION	SASK. PEN.	SASK. FARM	C.B.I.	FRONTENAC	SPRINGHILL	PITTSBURGH	C.D.C.	MONTEE	ST-FRANCOIS	R.R.C. (ONT.)	NO. OF TIMES OBSERVED UPON
1. Role of LU Needs Review						X				X		X		X					4
2. Range Meetings - Lack of	X	X								X		X		X			X		6
3. LU Meetings - Lack of	X					X						X		X			X		5
4. Psychiat./Psych. - Needs Integration						X	X	X	X		X								5
5. Reception process- Need for						X	X		X										3
6. I.P.P. Reports - Lack of		X				X				X									3
7. Pre-Release Prog- ram Required					X	X				X	X								4
8. Recreation - Needs Review	X		X						X										3
9. Parole Service - Integration								X	X		X								3
10. Chaplains - Review Role									X		X				X				3

INSPECTOR GENERAL'S BRANCH
AUDITS SCHEDULED AND COMPLETED
FOR THE PERIOD JANUARY 1, 1980 TO MARCH 31, 1981



Management Review Schedule

<u>Institution</u>	<u>Actual Audit</u>	<u>Scheduled Audit</u>
RPC Ontario	January 14, 1980	January 14, 1980
RRC Ontario	January 14, 1980	January 14, 1980
Bowden	February 18, 1980	February 18, 1980
Prison for Women	February 18, 1980	February 18, 1980
Mission	March 24, 1980	March 24, 1980
Saskatchewan Penitentiary	March 24, 1980	March 24, 1980
Saskatchewan Farm Annex	March 24, 1980	March 24, 1980
NPS Calgary District	May 5, 1980	May 5, 1980
Collins Bay	May 5, 1980	May 5, 1980
Frontenac	May 12, 1980	May 12, 1980
CDC Québec	June 9, 1980	June 9, 1980
Dorchester	March 2, 1981	June 16, 1980*
Central Ontario District	June 9, 1980	June 9, 1980
Springhill	June 16, 1980	March 2, 1981*
Archambault	October 27, 1980	October 27, 1980
Security	Aug. 11-Oct. 10, 1980	Aug. 11-Oct. 10, 1980
Pittsburgh	July 14, 1980	May 12, 1980*
Beaver Creek	November 3, 1980	Unscheduled**
Prairie Region	January 12, 1981	January 5, 1981*
NPS District Office (Vancouver)	March 2, 1981	February 23, 1981*
RRC Québec		March 30, 1981***
Warkworth		March 30, 1981***

- * Scheduled date differs from actual audit date
 ** Unscheduled audit
 *** Audits not yet conducted

Financial Audit Schedule

<u>Institution</u>	<u>Actual Audit</u>	<u>Scheduled Audit</u>
Beaver Creek	April 21, 1980	January 14, 1980 (3)
Landry Crossing	January 7, 1980	January 7, 1980
Montreal District Office	January 14, 1980	January 7, 1980
Laval District Office	March 10, 1980	January 7, 1980
RHQ Pacific	February 4, 1980	January 28, 1980
Pandora CCC	January 28, 1980	January 21, 1980
Mountain	February 4, 1980	January 28, 1980
Ferndale	February 11, 1980	January 28, 1980
Elbow Lake	February 4, 1980	January 28, 1980
Agassiz Work Camp	February 4, 1980	January 28, 1980
Matsqui Trailor Camp	January 28, 1980	January 28, 1980
Grierson CCC	March 10, 1980	March 10, 1980
Oskana CCC	March 3, 1980	March 10, 1980
Edmonton District Office	Not done	March 10, 1980 (3)
Winnipeg District Office	March 17, 1980	March 10, 1980
Calgary District Office	March 17, 1980	March 10, 1980
Matsqui	January 10, 1980	January 31, 1980
RHQ Québec	March 10, 1980	March 3, 1980
Frontenac	January 7, 1980	December 10, 1979
Ontario Western NPS	Oct., 79-March, 80	Oct., 79-March, 80
Ontario Central NPS	Oct., 79-March, 80	Oct., 79-March, 80
Ontario Eastern NPS	Oct., 79-March, 80	Oct., 79-March, 80
Ont. Corr. Staff College	April 8, 1980	April 8, 1980
Prison for Women	April 14, 1980	April 14, 1980
Beaver Creek	April 21, 1980	April 21, 1980 (1)
NPS Québec East	April 21, 1980	April 21, 1980
RHQ Prairies	June 2, 1980	June 2, 1980
NPS Atlantic	June 2, 1980	June 2, 1980
NHQ: Mat. Management	June 30, 1980	June 30, 1980
Laval Institution	July 15, 1980	July 15, 1980
Bowden	September 8, 1980	September 8, 1980
NHQ Personnel	September 29, 1980	September 29, 1980
Mission	October 27, 1980	October 27, 1980
Dorchester	December 1, 1980	December 1, 1980
RHQ Ontario	December 8, 1980	December 8, 1980
RHQ Atlantic	January 19, 1981	January 19, 1981
Edmonton Institution		February 2, 1981 (2)
NPB Pacific	February 23, 1981	February 23, 1981
B.C. Pen. (Closing)	February 23, 1981	February 23, 1981
NPS Pacific	March 9, 1981	March 9, 1981
Grierson CCC	January 29, 1981	Not scheduled (1)

Audit Services Bureau

Regional Stores - Quebec
 - Ontario
 - Pacific
Montée St-François
Regional Staff College (Prairies)
Brandon District Office
Thunder Bay District Office
Kenora District Office
Thompson District Office
Regina District Office
Prince Albert District Office
Edmonton District Office

Note 1: Subsequent to approval of Audit schedule by SMC the audit of Grierson CCC and a review of Beaver Creek were added to our schedule.

Noté 2: A combination of a loss of audit staff and the addition of the Grierson audit required the delay of Edmonton Institution audit to 1981/82 and the inclusion of the B.C. Penitentiary audit under those done by A.S.B.

Note 3: Due to staff illness, Beaver Creek and Edmonton NPS rescheduled to the 1980/81 year and completed April, 1980 and October, 1980 respectively.

Aside from items covered in Notes 1, 2 and 3 all others were completed during the period January, 1980 to March, 1981.

Classification Audit Schedule

<u>Region</u>	<u>Actual Audit</u>	<u>Scheduled Audit</u>
Ontario	April 14 - May 7, 1980	April 14 - May 7, 1980
Prairie	June 9 - 27, 1980	June 9 - 27, 1980
Québec	August 25 - Sept. 17, 1980	August 25 - Sept. 17, 1980
Atlantic	Oct. 26 - Nov. 8, 1980	Oct. 26 - Nov. 8, 1980
Pacific	January 12 - 31, 1981	January 12 - 31, 1981

