

**OPERATIONS MANAGEMENT
FRAMEWORK PHASE II:
OPERATIONS DESIGN REPORT**



correctional services

Department:
Correctional Services
REPUBLIC OF SOUTH AFRICA



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ABBREVIATIONS & DEFINITIONS

AG	Attorney General
CDC	Chief Deputy Commissioner
CFO	Chief Financial Officer
CMA	Case Management Administration
CMC	Case Management Committee
COC	Chief Operations Commissioner
COE	Centre of Excellence
Comm. Corr.	Community Corrections
DCS	Department of Correctional Service
DMAIC	Define, Measure, Analyse, Improve and Control
DPSA	Department of Public Service Administration
DPWI	Department of Public Works and Infrastructure
FY	Financial Year
G8	Group Eight
GDP	Gross Domestic Product
GITO	Government Information Technology
HCC	Head of Centre/ Head of Community Corrections
HO	Head Office
HR	Human Resources
ICT	Information and Communications Technology
IIMS	Integrated Inmate Management System
Inc. & Corr.	Incarceration and Corrections
LOC	Local Operations Centre
MA	Management Area
M&E	Monitoring and Evaluation
MOC	Management Area Operation Centre
MTEF	Medium Term Expenditure Framework
NGO	Non-Governmental Organisation
NOC	National Operation Centre
OM	Operations Management
OMF	Operations Management Framework
PDCA	Plan, Do, Check and Act
PERSAL	Personnel and Salary System
PMO	Project Management Office



RD	Remand Detainees
Remand Det.	Remand Detention
SAPS	South African Police Services
SDM	Service Delivery Model
TOO	Theatre of Operations
US	United States
WS	Work Streams



OFFICIAL SIGN-OFF

A handwritten signature in black ink, appearing to read 'KJ Katenga', written over a horizontal line.

KJ Katenga

Project Sponsor

Date: 8 February 2021

A handwritten signature in black ink, appearing to read 'JM Mkabela', written over a horizontal line.

JM Mkabela

Chief Operating Commissioner

Date: 2021-02-11

A handwritten signature in black ink, appearing to read 'A Fraser', written over a horizontal line.

A Fraser

National Commissioner

Date: 2021/02/11

EXECUTIVE SUMMARY

The South African macroeconomic conditions are currently constrained, with low economic growth, increasingly strained fiscal and mounting debt obligations requiring cost-containment measures and increased operational efficiency. Within this context, service delivery must continue in a manner that is effective while maximising resource efficiency in ensuring the mandate of Government is fulfilled.

In this regard, the recent national budget speech of February 2020 by Finance Minister Tito Mboweni indicated a planned downward adjustment of the public sector wage bill of R160 billion over the Medium-Term Expenditure Framework with R37 billion in savings planned for FY2020/21. The implication is that improvements in the operational environment are an urgent necessity, requiring new and innovative approaches to service delivery.

The Department of Correctional Service (DCS) has developed a five-year plan to mobilise its resources to contribute to one impact statement: **Safer and empowered communities through sustainable economic development**. To this end, a clear and concise Service Delivery Model (SDM) was developed in accordance with the Department of Public Service Administration regulations regarding the Operations Management Framework. Following from this, the DCS embarked on an Operations Design process which sought to articulate how services should be conducted to optimally deliver upon the SDM. Detailed Business Process Mapping was performed across several Management Areas, Regional Offices and the Head Office to unpack the manner in which different components of the SDM are being realised within current operations. The exercise would need to consider the priorities of the sixth South African Administration and how they were realised within operations management in DCS.

The process analysis exercise uncovered key overlying themes and recurring gaps over the different components of the SDM due to the absence of managerial line of sight and an understanding of the on-ground service delivery environment. Information flow bottlenecks occur at the Regional level because of the ranking system, which results in reporting lines that are not aligned to the functional hierarchy. Information from Correctional Centres and Management Areas generally flows along complex pathways before reaching Head Office in either an aggregated or altered form.

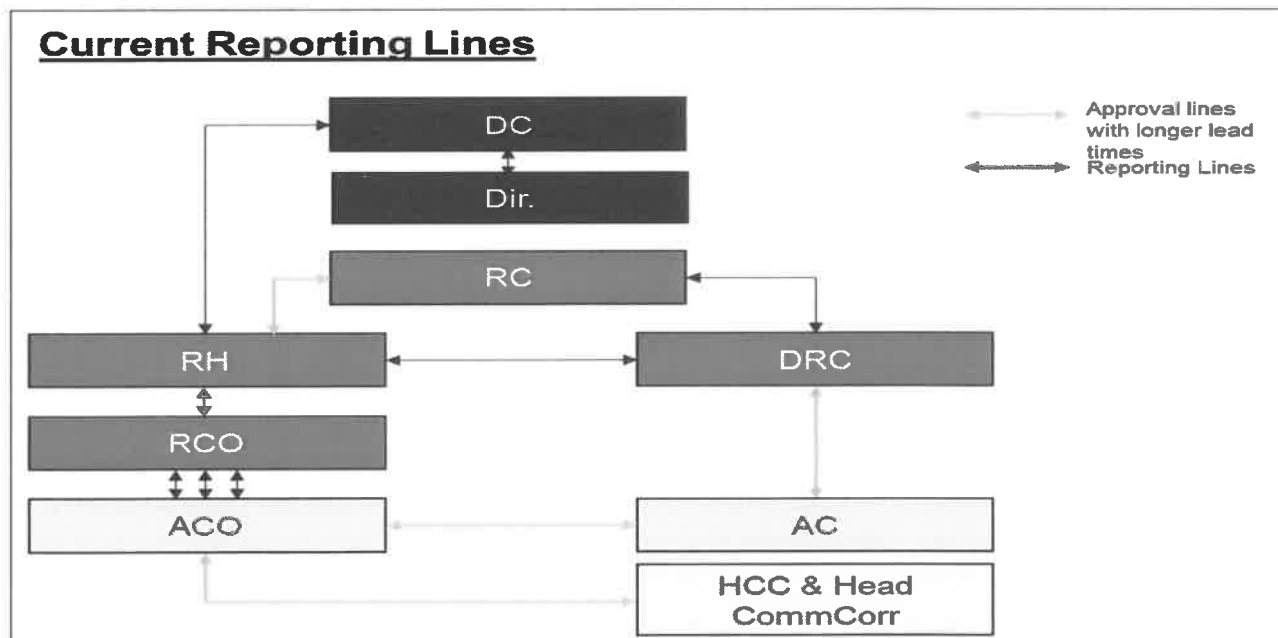


Figure 1: As-Is Information Flow

Support processes are not always non-responsive to the needs of core functions because of several reasons. The analysis of the information flow strongly indicates a lagging communication flow between operations and Head Office, convoluted approval channels; duplications of functions as well as a lack of explicit coordination down the managerial structures. Core processes are also impacted by the allocation of resource at the centre level. Shift patterns are not inconsistent across centres and do not optimally align to service delivery requirements. Additionally, the reliability of ICT infrastructure and systems were identified as gaps across all services as they would unlock efficiencies in information management decrease administration, which often pulls human capital away from service delivery functions.



The analysis prompted the development of an innovative Operations Design that expanded upon the “Centre of Excellence” and “Theatre of Operations” concepts proposed within the DCS SDM. The Operations Design breaks away from the conventional structuring of government operations and introduces functionality that improves operations management whilst encompassing best practice in continuous and sustainable improvement.

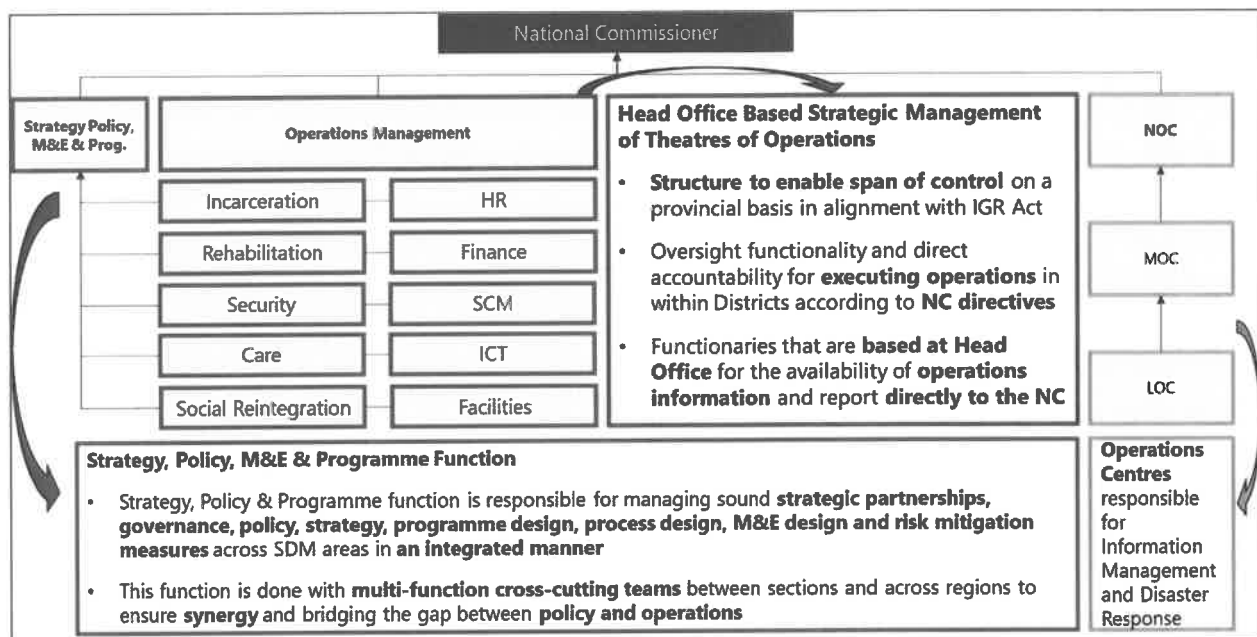


Figure 2: Proposed Operations Design

Fundamental to the implementation of the proposed Operations Design is the development of structured information flow protocols that distinguish between different reporting lines. Whilst robust information systems are being developed for implementation in the short to medium term, the proposed information flows within the Operations Design can be realised utilising the existing infrastructure and human resources currently available.

Due to the innovative nature of the recommended Operations Design, it is imperative that DCS follows a structured Change Management road map to ensure that implementation is as smooth as possible. To this end, a dedicated PMO with cross-functional representation will assist in reducing risk throughout the process. Of note are the risks regarding cultural and historical dynamics within the DCS that must be managed closely through identified mitigation factors.

1. INTRODUCTION

The Minister of the Department of Public Service and Administration (DPSA) is responsible for the final approval of organisational changes made within national government departments according to the Public Service Regulations, 2016, Part 3, Section 36(a). Accordingly, the DPSA developed the 2016 Operations Management Framework (OMF) as a guideline to government institutions to assist in the processes of organisational development. The purpose of the OMF is to provide a link between strategy and operations to enable better operationalisation of the Department's strategy, as indicated in the figure below.

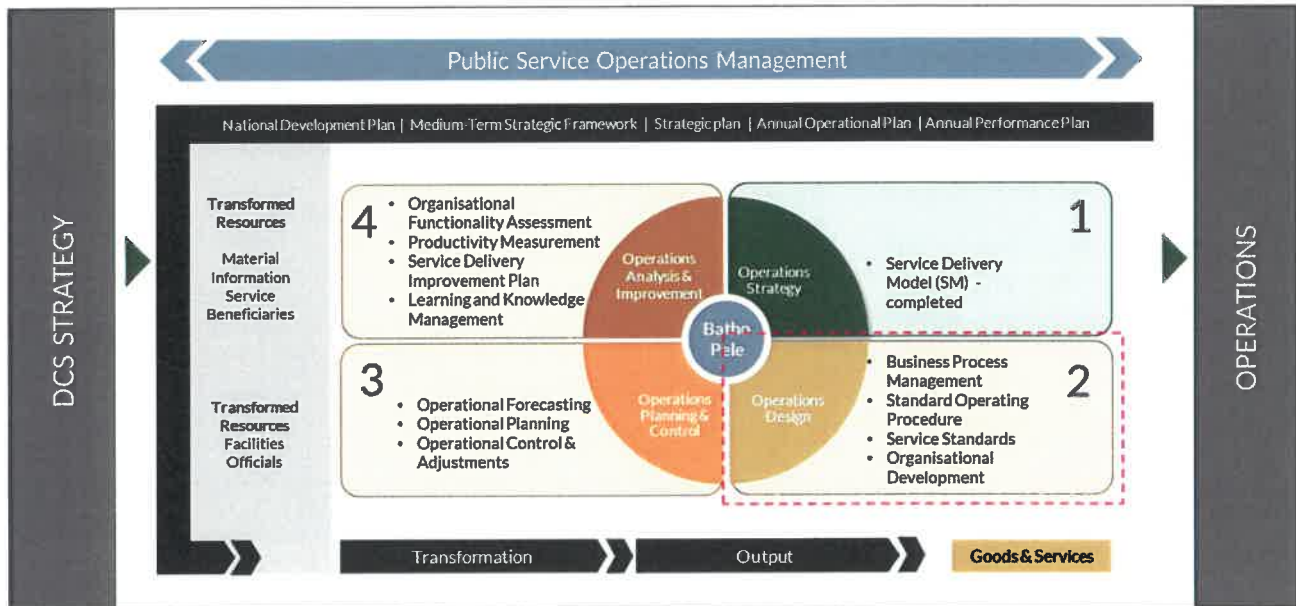


Figure 3: DPSA Operations Management Framework (OMF)

The SDM was prepared in accordance with Public Service Regulations, Part 3, Regulation 36(a) and with the 2016 version of the OMF. It articulated the core services that are provided by the DCS to fulfil its mandate, namely: Incarceration, Rehabilitation, Security, Care and Social-Reintegration which are delivered within its theatres of operations (i.e. Correctional Centres, Community Corrections and Productions Sites within Management Areas). Support functions (i.e. Facilities Management, ICT, Human Resource Management and Supply Chain Management) provide the resources required to operationalise the core services and exist in both the Theatres of Operations and the Centre of Excellence. Lastly, the centre of excellence fulfils strategic functions for the DCS that are articulated as:

- Strategy & Planning,
- Monitoring and Evaluation,
- Policy & Programmes development,
- Risk & Governance Management,
- Strategic Partnerships, and
- Finance Management

The figure below visually summarises all components of the SDM.

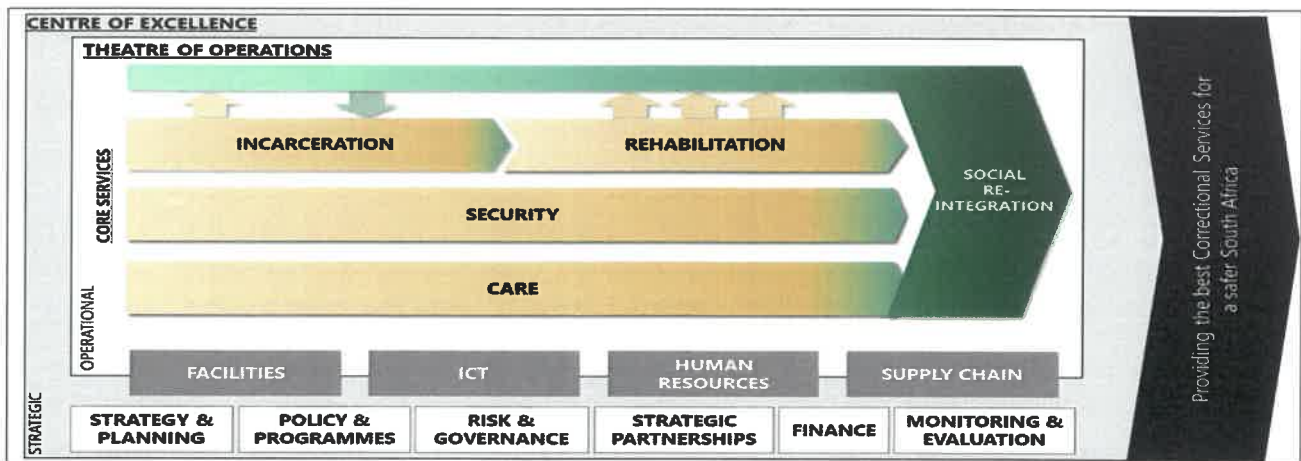


Figure 4: DCS SDM

Upon completion of the SDM, the OMF indicated the need for Operations Design to develop an operational environment that ensures that the mandate of the DCS is accomplished through the SDM. Operations Design has four key elements that are required to develop effective operations that align with the SDM. The table below describes each element in detail.

Component	Description
<i>Business Process Management</i>	A disciplined approach to the identification, design, execution, documentation, measurement, monitoring and control of business processes within an institution. The alignment between this component of the OMF and the Revised Framework for Strategic and Annual Performance Planning is such that business process outputs should be incorporated in the Annual Operational Plans of the institution, thus enabling strategic alignment between day to day activities and an institution's strategic outcomes.
<i>Standard Operating Procedures</i>	Detailed specifications of the activities that should be performed by the right person, at the right time and in the right facility to deliver the required services at the desired level of quality. These specifications draw from the analysis of and redesign of processes in alignment with the SDM.
<i>Service Standards</i>	A tool for the transparent communication of the expected level of service to be provided to service recipients.
<i>Organisational Development</i>	The development of an organisational structure that responds to the mandate of an institution. The organisational structure must be developed through sound principles that ensure that every role is value-adding and contributes to the effective and efficient execution of the services and business processes within the organisation. It is often the misalignment of organisational structures (to the mandate) that contribute significantly to poor service delivery and frustration across various levels of an organisation.

Table 1: Operations Design Components



2. APPROACH AND METHODOLOGY

2.1 Business Process Management Framework

Within Business Process Management, the DPSA OMF highlights six distinct phases that must occur in a sequenced and methodical manner to ensure that the business processes developed, enables the fulfilment of the organisation's mandate through the SDM. The figure below details each phase and what is required of each phase in the process.

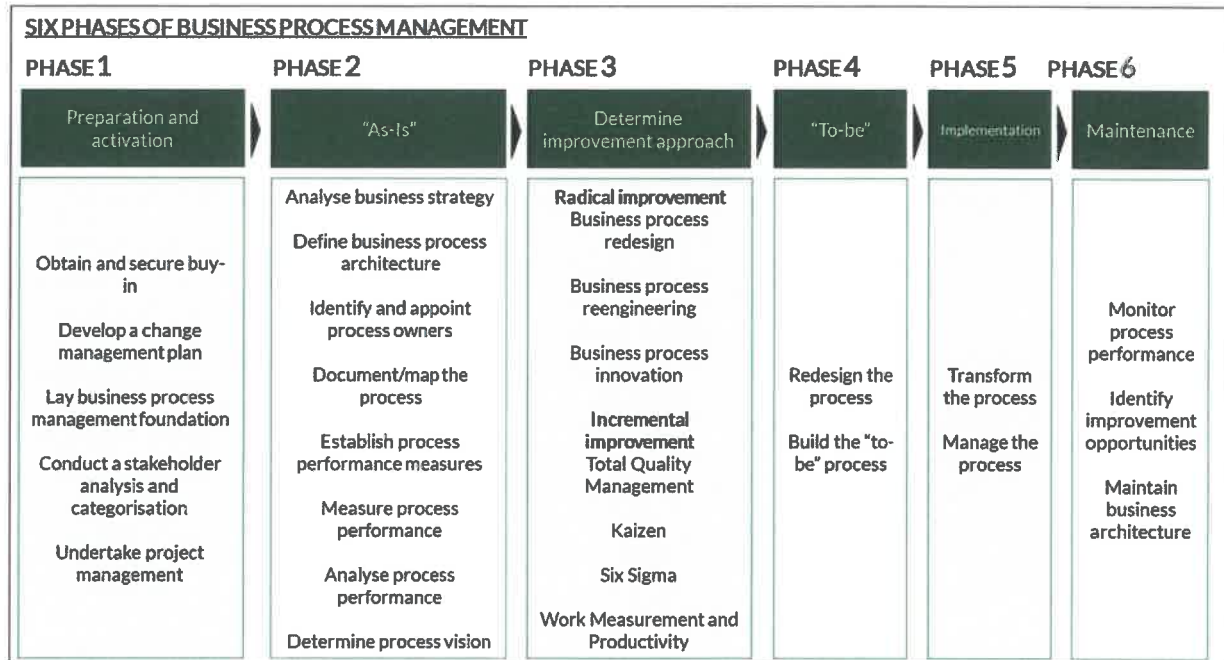


Figure 5: Six Phases of Business Process Management

2.2 Project Governance

The figure below illustrates the governance structure for the project with the following table indicating the roles and responsibilities of each stakeholder.

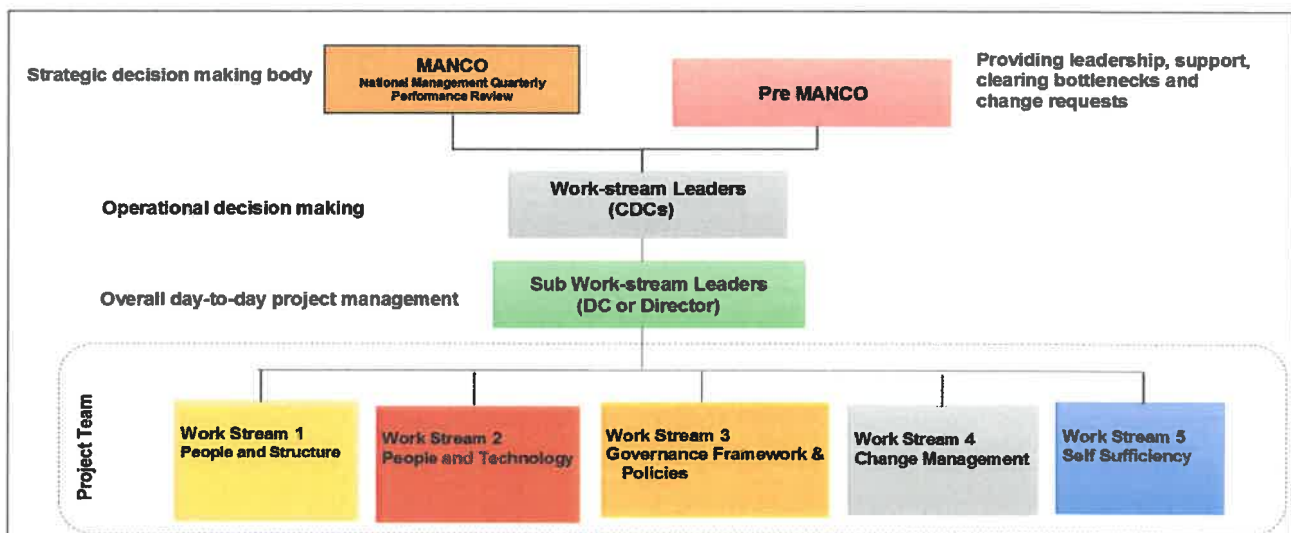


Figure 6: Project Governance Structure

Of significance to this report were Work Stream 1: People & Structure and Work Stream 2: People & Technology. These workstreams were mostly responsible for the translation of the SDM into the aforementioned components of the Operations Design.

<i>Project Role Players</i>	<i>Roles and Responsibilities</i>
<i>Steering Committee</i>	Strategic decision-making body
<i>Project Task Team</i>	Operational decision-making body
<i>Project Manager</i>	Overall day to day project management
<i>Sponsor</i>	Provides leadership, support, clearing of bottlenecks and enabling change requests
<i>Project Management Officer</i>	Guidance and monitoring of day to day project activity
<i>Project Team</i>	Active participation in day to day project activities and producing the required deliverables

Table 2: Roles and Responsibilities

2.3 Project Plan and Deliverables

The original project plan was adjusted to expedite the delivery of an appropriate microstructure for the DCS whilst still following a structured and methodological approach that speaks to the requirements of the OMF. Below is a summary of the project milestones with deliverables and dates thereof. It was anticipated that upon close out of the project, DCS would be in a position to roll out a revised microstructure that is capacitated with the necessary tools to implement the SDM.

<i>Milestone</i>	<i>End-Date</i>	<i>Deliverables</i>
<i>As-Is Process Mapping</i>	14 February 2020	As-Is Processes
<i>Process Gap Analysis</i>	28 February 2020	Gap Analysis Report
<i>Operations Design</i>	28 February 2020	Operations Design & Microstructure proposals
<i>Business Process Reengineering</i>	30 July 2021	To – Be Processes
<i>Service Delivery Tools</i>	30 November 2021	Reviewed SOPs, Service Delivery Charter and Service Standards
<i>Implementation planning</i>	31 March 2023	Implementation Plan and Handover documentation

Table 3: Project Milestones and Deliverables

Several Management Areas were identified for detailed business process mapping across week-long engagements. Representation from Regional Management, Area Management and Centre Management was requested to form part of the project team within each of the respective Management Areas. These stakeholders worked alongside the core project team from Head Office (lead onsite by the Project Manager), which also included the appointed services providers, to execute the business process mapping. Additionally, two Regional Offices (i.e. the Western Cape Regional Office and the Free State & Northern Cape Regional Office), C Max Correctional Centre in Pretoria and Head Office were identified as areas for detailed process mapping. The figure below summarises the structure of the business process mapping schedule followed.



Sub-work stream 2.1: Incarceration, Rehabilitation and Care	Modderbee	09 – 13 Dec 2019
	Pietermaritzburg	04 – 08 Nov 2019
Sub-work stream 2.2: Security, Facilities and Social Reintegration	Barberton	11 – 15 Nov 2019
	Pollsmoor	12 – 22 Nov 2019
Sub-work stream 2.3: ICT, HR, Finance & Supply Chain Management and all other Administration, Strategic Management, Legal Services, Internal Audit and Communication	St Albans	25 – 29 Nov 2019
	Grootvlei	02 – 06 Dec 2019
	Head Office, CMAX, Regions	13 – 14 Feb 2020

Figure 7: Work Stream 2 Process Mapping Schedule

The “As-Is” Process Mapping represents the current business process within the DCS Core and Support functions, not the ideal process. The “As-Is” Process map is used as a basis to analyse business processes. The “To-Be” process is the improvement of the current business processes and it is necessary to make a comparison between the current service delivery results and the ideal service delivery results.

The “To-Be” business process mapping was scheduled to be conducted at, Modderbee Management Area Gauteng Region, Kgoši Mampuru II Management Area (C-Max CC) Gauteng Region, Grootvlei Management Area FS&NC Region, Pollsmoor Management Area Western Cape Region, Pietermaritzburg Management Area KwaZulu Natal Region, Barberton Management Area LMN Region, St Albans Management Area Eastern Cape Region and the two Regional Offices of Western Cape & FS&NC. The figure below summarises the structure of the business process mapping schedule followed.

Sub-work stream 2.1: Incarceration, Rehabilitation and Care	Modderbee	21 – 25 Sep 2020
	Pietermaritzburg	14 – 18 Sep 2020 02 – 05 Nov 2020
Sub-work stream 2.2: Security, Facilities and Social Reintegration	Barberton	05 – 09 Oct 2020
	Pollsmoor	19 – 23 Oct 2020
Sub-work stream 2.3: ICT, HR, Finance & Supply Chain Management and all other Administration, Strategic Management, Legal Services, Internal Audit and Communication	St Albans	17 – 21 May 2021
	Grootvlei	07 – 11 Dec 2020
	National Head Office	18 Feb – 03 May 2021
	C-MAX CC, Gauteng Region	12 – 17 Jul 2021
Sub-work stream 2.3: ICT, HR, Finance & Supply Chain Management and all other Administration, Strategic Management, Legal Services, Internal Audit and Communication	Western Cape Regional Office	21 – 25 Jun 2021
	FS&NC Regional Office	07 – 11 Jun 2021

Figure 8: Work Stream 2 To-Be Process Mapping Schedule

During the business process mapping, several key themes were highlighted for further assessment and would form the basis for a more detailed gap analysis that is elaborated in the report. The themes are highlighted in the figure below.

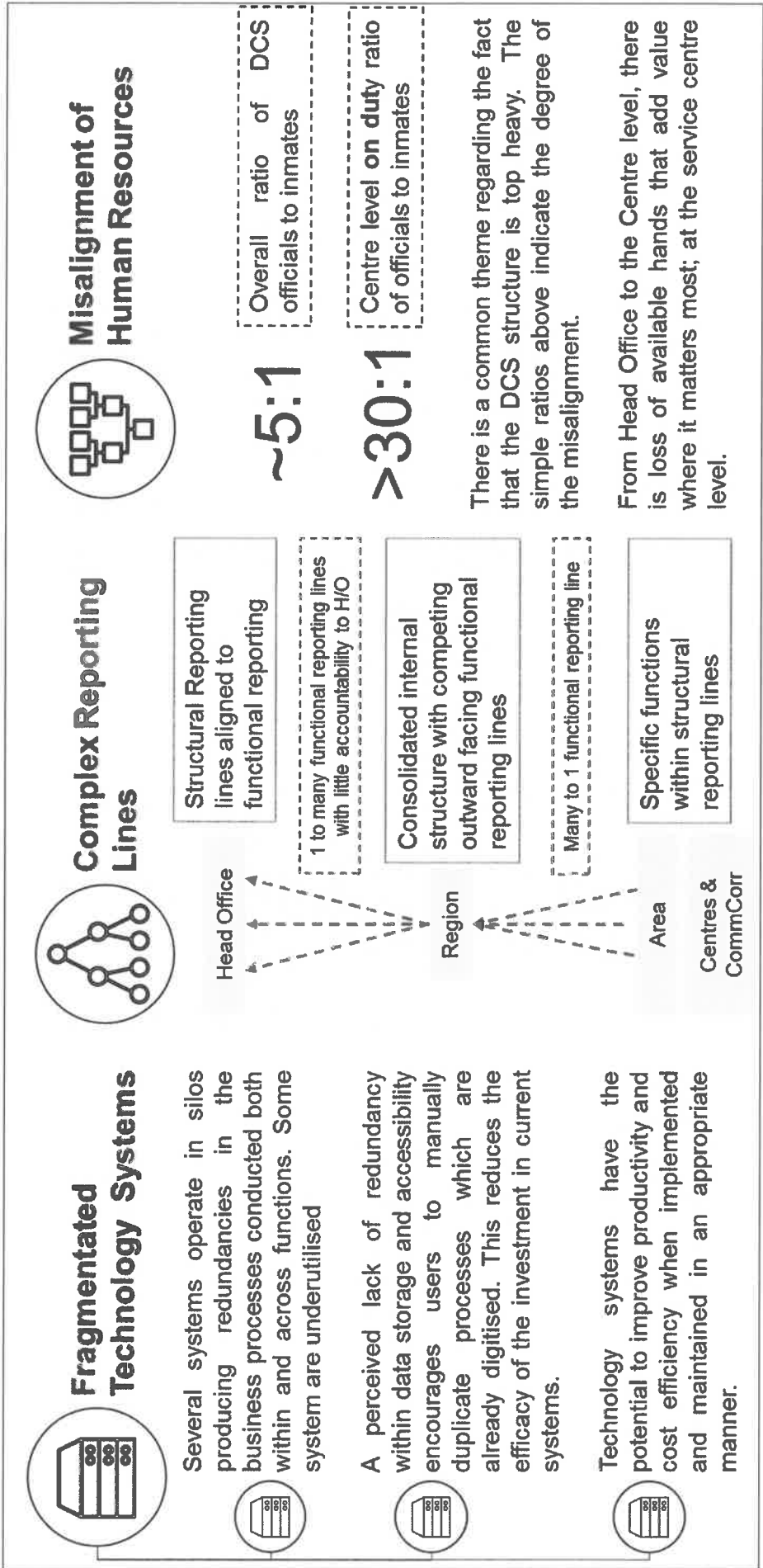


Figure 9: Preliminary findings of the Business Process Mapping



3. SITUATIONAL ANALYSIS

The following section unpacks the South African macroeconomic environment within which DCS operates and the five-year strategy to fulfil its mandate within this context. All Rand values presented below are in real terms, meaning that nominal Rand values have been adjusted for headline inflation. This enables a timeline assessment of growth and decline in these values that are not impacted by price fluctuation.

3.1 Macroeconomic environment

The South African macroeconomic environment is highly constrained. Annual economic growth (measured as GDP growth) has been subdued and below the required 5% threshold articulated in the National Development Plan, which would enable sustainable job creation and economic activity. In this constrained environment, government expenditure has overtaken government revenue resulting in consistently rising budget deficits. This has resulted in increased borrowing to balance for income shortfalls, thus increasing debt servicing costs requirements which further added to future budget deficits. In this respect, South Africa seems trapped in a vicious circle which impacts on the resources available for service delivery and nation-building. According to the National Treasury, government debt reached R2.81 trillion in FY 2018/19, which represented 55.6% of GDP. This has been watched closely by major credit rating agencies such as Moody's, Fitch and Standard & Poor who, as of 2019, had a negative long-term outlook on the quality of South Africa's sovereign debt which puts upwards pressure on debt service costs going forward. The figure below highlights trends in both real economic growth¹, general government budget deficits and debt service costs.

Additionally, expenditure estimates on public sector employee compensation have been indicated in the figure below, as it has become a matter of importance in public discourse. Adjusted for inflation, compensation to public sector employees grew approximately 3% per annum over the observed period. Of note is the fact that compensation to public sector employees accounts for 43% of government expenditure. Typical rhetoric regarding this figure is the fact that government is bloated and has too many employees for the revenue it receives, and the level of service delivery provided. The recent national budget speech of February 2020 by Finance Minister Tito Mboweni indicated a planned downward adjustment of the public sector wage bill of R160 billion over the MTEF period with R 37 billion in savings planned for FY2020/21.² This suggests that government bodies (including Departments) will need to find mechanisms to improve service delivery without expanding human resource requirements going forward.

¹ Worldbank Statistics, South African Economic Growth

² National Treasury, 2020 Budget Speech



Economic and National Treasury Budget Statistics (R million)

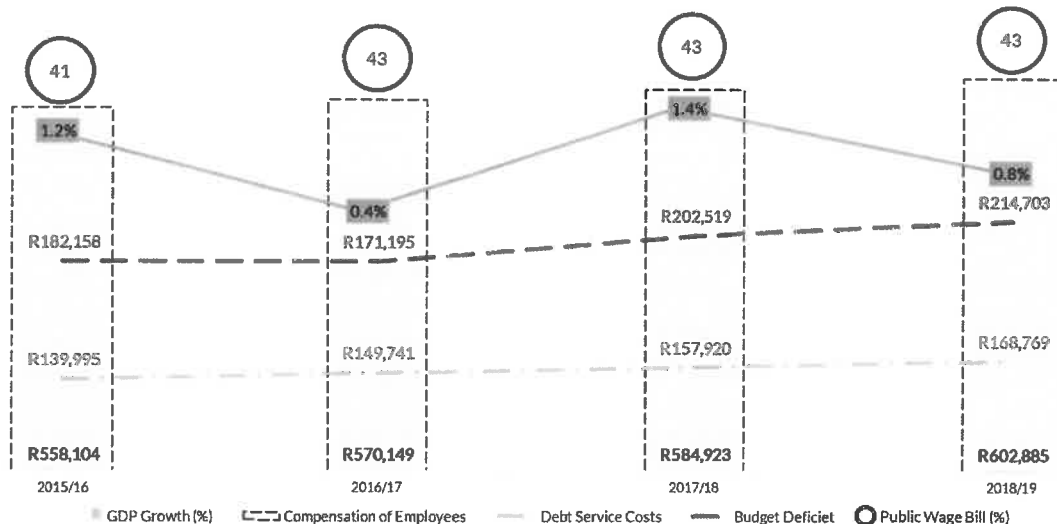


Figure 10: Economic and Government Expenditure Statistics³⁴

3.25 Year Strategy Review

The mandate of DCS is the driving force behind its operations. This is governed mainly by the Constitution, Legislative Mandates and White Paper on Corrections in South Africa (2005) and White Paper on Remand Detention in South Africa (2014). The strategy for the DCS going forward seeks to realise impacts drawn from the seven key priorities of the sixth South African Administration.

High levels of poverty and inequality have been identified as being pivotal contributors to the chronically high levels of crime in South Africa. Increasing crime rates pose a threat DCS in terms of housing capacity as it has become stretched over several years, and the overcrowding of correctional centres has become increasingly common. Due to these capacity issues, a greater focus has been placed on rehabilitation and, ultimately, the social reintegration of offenders into society. A potential area of respite for DCS is that inmate population trends seem to have begun stabilising since FY2005/6 as indicated in the figure below. The decline in the inmate population between FY2004/5 and FY2005/6 was as a result of the Special Remission Programme which released offenders who met the criteria for special remission in that financial year; approximately 31 865 offenders within correctional centres were released at the time combined with a decline in the average number of Remand Detainees.⁵

³ National Treasury Estimates of National Expenditure 2019 & 2020

⁴ Statistics South Africa, Financial statistics of consolidated general government expenditure (2005 – 2018)

⁵ Department of Correctional Services, Annual Report FY2005/6

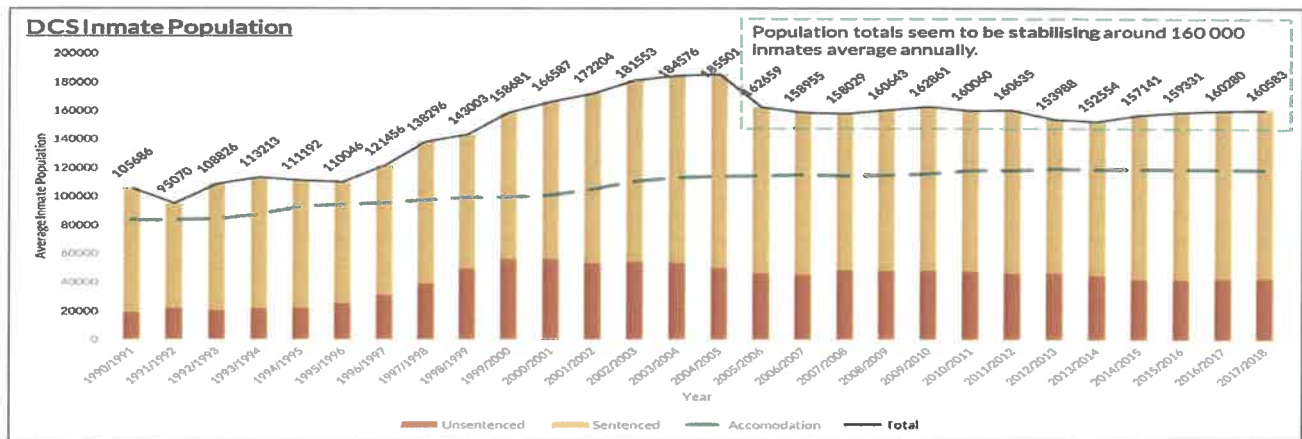


Figure 11: DCS Inmate historical population⁶

As mentioned, the core focus of DCS is Incarceration and Rehabilitation, with other services (such as Security and Care) creating an enabling environment to drive justice and reform within correctional centres. However, as highlighted in the DCS 2020-2025 Strategic Plan, inadequate access to rehabilitative programmes to prepare inmates for successful reintegration into society has proved itself to be an obstacle in achieving the ideological objective of the White Paper on Corrections in South Africa. Reoffending rates are high, and this is partially due to environmental causes, as well as a lack of access to effective rehabilitation programmes. Additionally, due to government budgetary constraints, there has been funding cutbacks across most public services. This has had a direct impact on the level of services DCS can offer and the levels of organisational change that can be implemented in order to more effectively fulfil their mandate.

Over the next five years, DCS aims to remedy their institutional challenges around operational inefficiencies in correctional & rehabilitative programs and case management in order to fulfil their vision of providing the best correctional services for a safer South Africa.




Mandate Of DCS		
DCS has 3 Mandates which dictates the activities and governing of the department. DCS's Mandate and strategic focus is outlined below: Constitutional: Public Administration must be governed by the democratic values and principles enshrined in the Constitution of the Republic of South Africa, 1996. Legislative: The Roles and Responsibilities of the Department are determined by a range of legislative mandates. Policy: The Policy Mandates of the Department are governed by The White Paper on Corrections in South Africa (2005) and The White Paper on Remand Detention Management in South Africa (2014).		
DCSVision	DCSMission	DCSValues
Providing the best correctional services for a safer South Africa 	Contributing to a just, peaceful and safer South Africa through effective and humane incarceration of inmates and the rehabilitation and social reintegration of Offenders. 	Core values that underpin the culture of the Department are as follows: <ul style="list-style-type: none"> Development Integrity Excellence Accountability 
Impact	1. Safer and empowered communities through sustainable economic development	
Outcomes	A. Improved safety and security of inmates, parolees and probationers, officials, stakeholders, assets and Information. B. Improved case management processes of inmates C. Increased access to needs-based rehabilitation programmes to improve moral fibre D. Successful reintegration all those placed under the care of the Department E. Healthy incarcerated population F. High performing ethical organisation.	

Figure 12: DCS Strategy Summary

⁶ Average Inmate Statistics: Accommodation & Lockup History: 1965/66 To 2017/18



3.3 DCS Personnel Expenditure

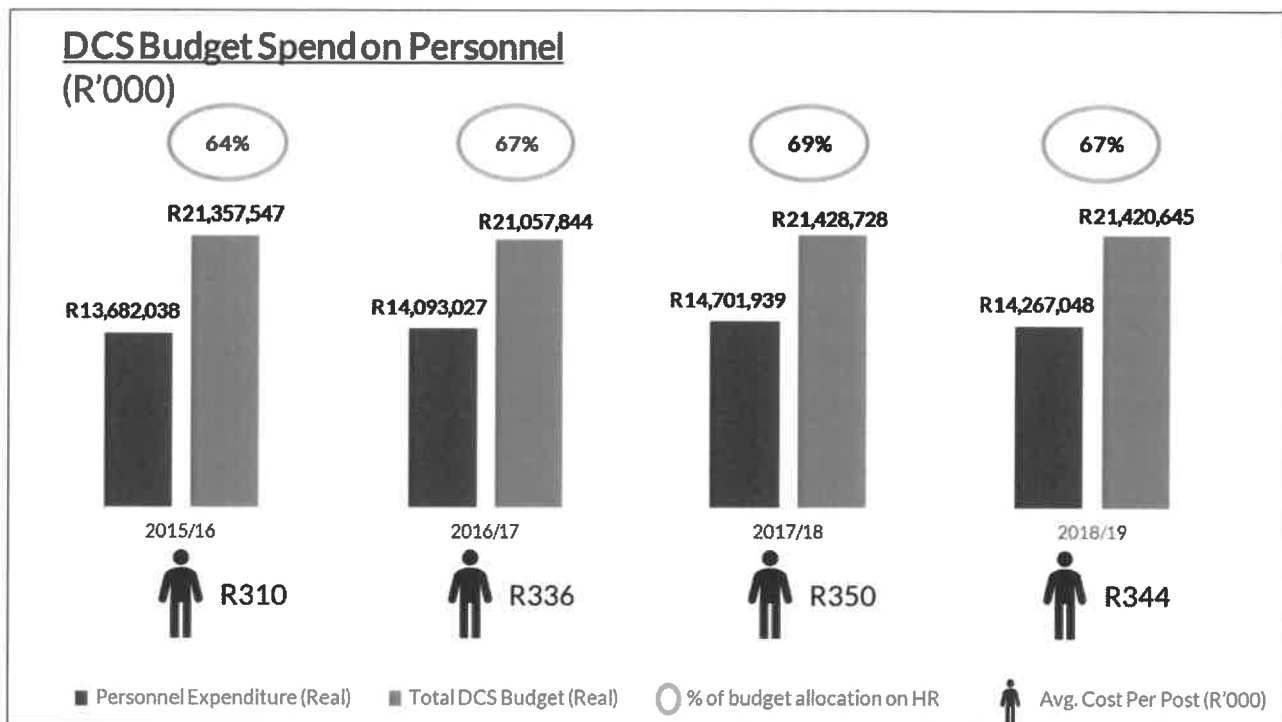


Figure 13: DCS Budget Allocation to Human Capital

The figure above indicates that over two-thirds of DCS' budgetary spend is on personnel, leaving less than a third of the budget for non-personnel related resource expenditure, e.g. facilities infrastructure & services, ICT infrastructure & services and Supply Chain related spending. The current budget allocation implies that DCS sees human capital as a critical resource in delivering its service. This is mostly true at a centres level where human interfaces are still necessary to provide core DCS services such as Security, Rehabilitation and Care. In this regard, all components of the DCS SDM would benefit from more significant investment in ICT infrastructure and services to decrease administrative burden and duplications. Investments in fit for purpose facilities for correctional and rehabilitation programmes would enable the targeted social-reintegration outcomes as well the self-sustainability strategy being developed within DCS.

In real terms, the Administration, Incarceration, Rehabilitation and Social Reintegration programmes have seen steady growth in terms of personnel budget allocations while the Care programme saw a decline over FY 2018/19. Incarceration and Administration are the two main areas of personnel spend within DCS. Over the observed period, an average of 63% of total personnel spend has been on the Incarceration programme followed by Administration, with an average spend of 19%. The significant spend on Incarceration is due to the number of posts within incarceration, the largest of which being security officials, which make up 74% of the Post Establishment (as of 31 January 2020). The figure below breaks down the personnel expenditure per programme.

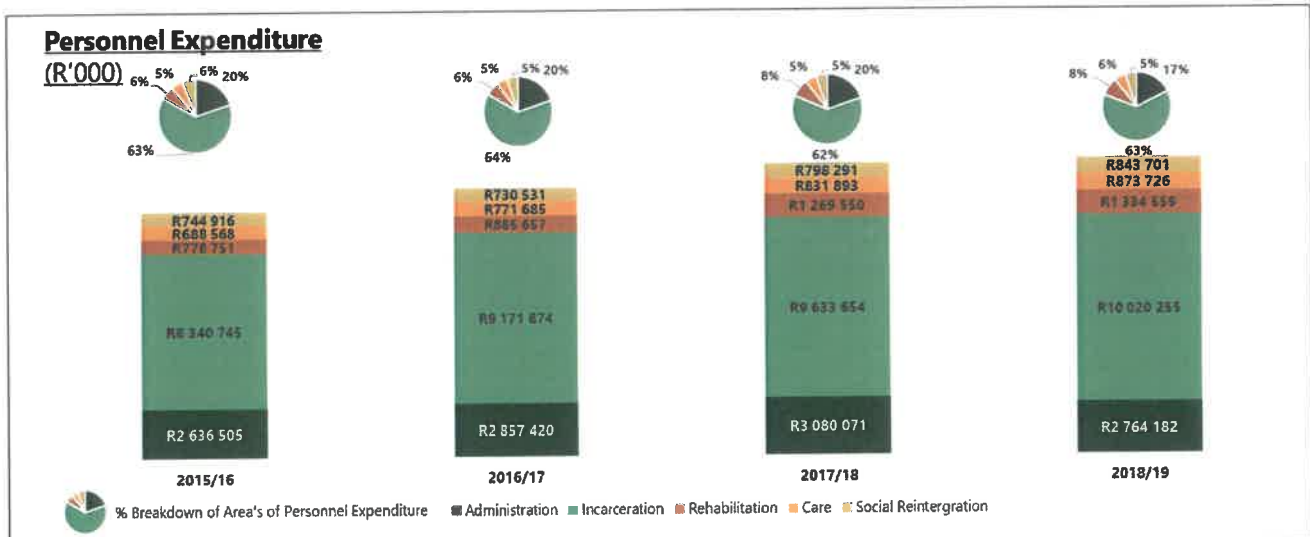


Figure 14: DCS Personnel Expenditure (R'000)

Over the observed period, the most considerable proportion of overtime expenditure was on Care programme personnel and Incarceration programme personnel, with an average of 47% and 46% of overtime expenditure respectively. Overtime expenditure on Incarceration is partially due to inefficient utilisation dynamics regarding security officers (which include shift patterns) although, Incarceration costs are the highest out of all programmes when looking at both overall personnel spend, and overtime spend. In contrast, only 5% of personnel spend has been dedicated to the Care programme; yet it has the highest average overtime expenditure. A key driver for this disproportionate spend on Care personnel over time is attributed to the utilisation pattern of medical staff, which are allocated day shifts and earn overtime for every hour worked during the nightshift.

Overtime Expenditure (R'000)

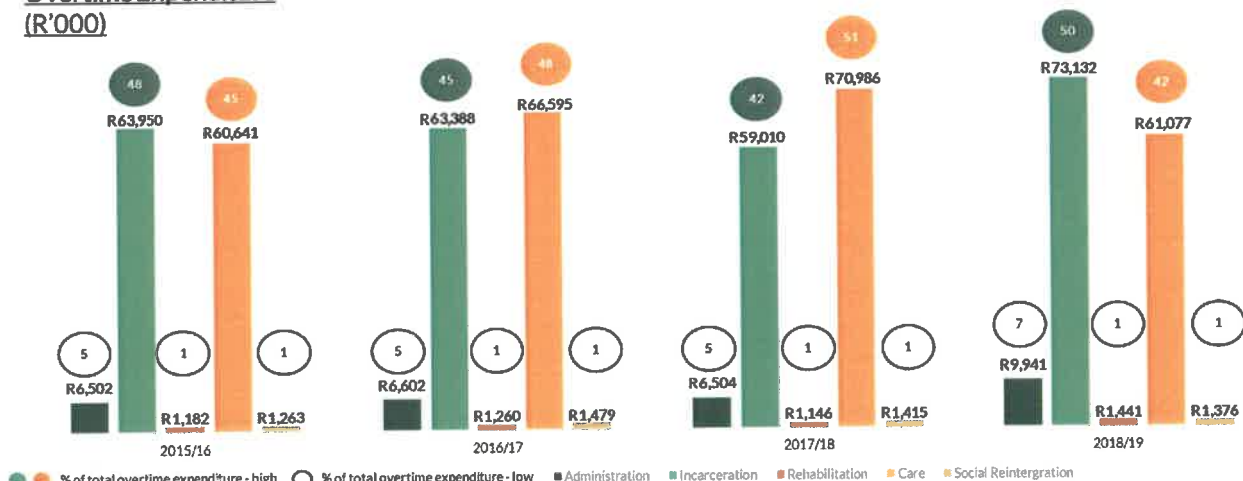


Figure 15: Overtime Expenditure

There is currently an 8% vacancy rate across the DCS, as indicated in the figure below. It is essential that vacancies at a Centre and Management Area level are filled to enable service delivery. Vacancies within Head Office and Regions present an opportunity for reallocating posts accordingly, thereby enabling the principles of the Operations Design as articulated.

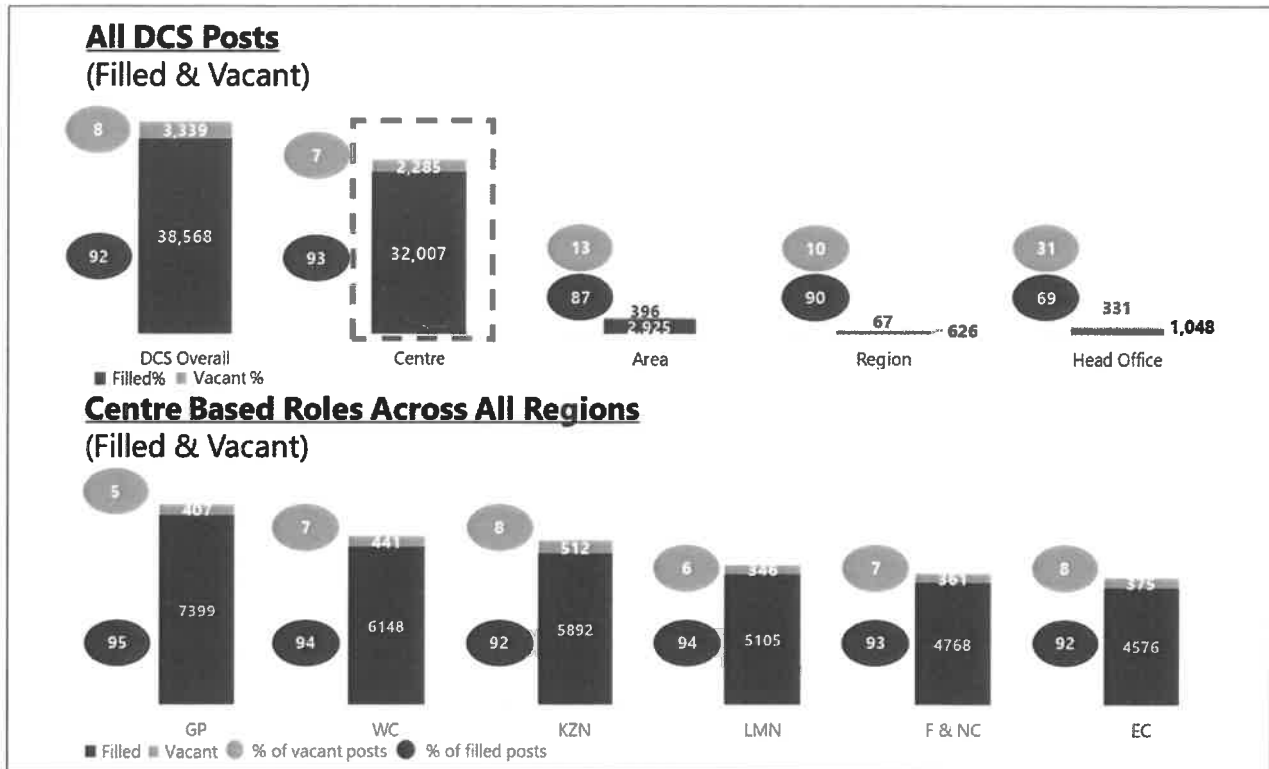


Figure 16: DCS Vacancy Rates

4. PROCESS FINDINGS

The process analysis exercise uncovered key overlying themes and recurring gaps over the different components of the SDM that were centralised around the absence of managerial line of sight and understanding of the on-ground service delivery environment. Enabling-support functions are currently non-responsive to needs due to the lack of integration between functions and the absence of an operational overview from a strategic perspective. Lagging communication flow and approval channels; duplication of functions as well as a lack of explicit coordination down the managerial structures came out strongly through the analysis.

4.1 Core Processes

4.1.1 Security

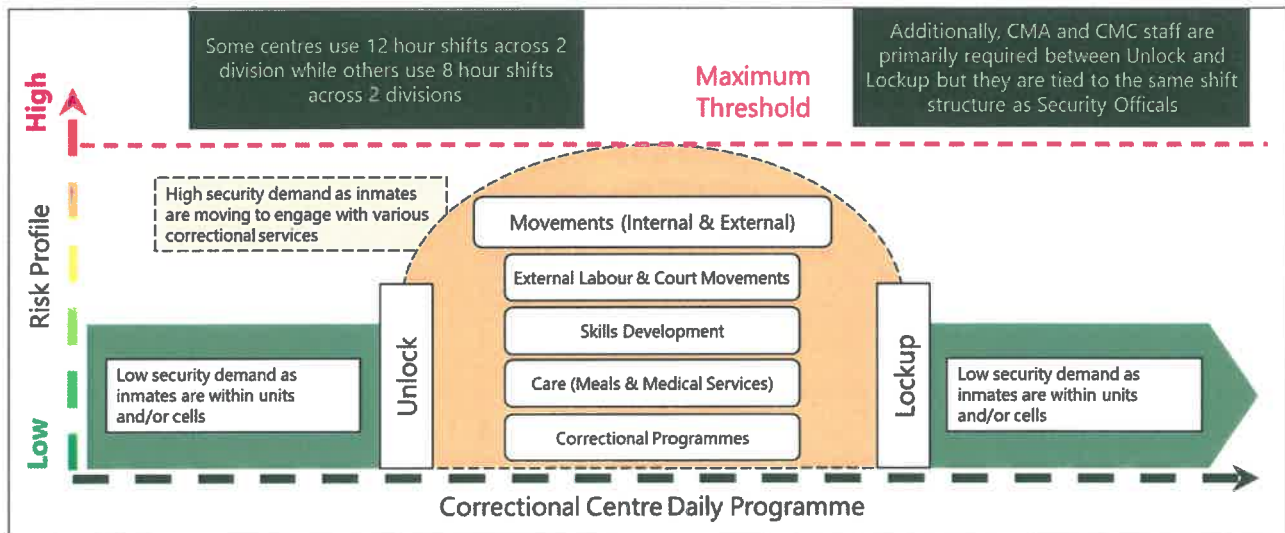


Figure 17: DCS Shift Structure and Demand

The figure above illustrates the demand for security personnel based upon changes in overall security risk during the daily structured programme of a correctional centre. Currently, DCS Centres manage shift structures independently, with shift patterns implemented at the discretion of the Centre Management or in consultation with Area Management. The non-standardised approach to shift patterns makes it difficult to plan human resources effectively, particularly regarding synchronising personnel needs to operational requirements which follow the daily structured programme of any centre. The added complexity of leave and absenteeism within centres can further strain the available human resources.

Based on the levels of activity within Centres, the highest security demand occurs between the unlock and lockup period, when inmate movements are at their busiest and require the most supervision. Between the lockup and subsequent unlock period is where security risks are lowest as the majority of inmates (excluding those returning from courts or external medical facilities) are within the confines of their cells and therefore require limited security supervision. Aligning the shift structures to activity levels within Centres could potentially result in improved employee utilisation.

The current functional separation between external security and internal security at centre level limits flexibility as the former is highly variable depending upon the number of offenders who require escorts to courts and medical facilities. The Corrections Services Act of 1998 defines a Correctional Centres “...as a place for the reception, detention, confinement, training or treatment of persons liable to detention in custody or to placement under protective custody, and all land, outbuildings and premises adjacent to any such place and used in connection therewith and all land, branches, outstations, camps, buildings, premises or places to which any such persons have been sent for the purpose of incarceration, detention, protection, labour, treatment or otherwise..”. This implies that production sites used in rehabilitation services can be regarded as part of the Correctional Centre. In this regard, internal security could be viewed as security personnel who provided a secure environment for all components of the daily structured programme, including work teams. This leaves external security as a resource that responds to escorting needs outside of the Correctional Centre on an as-need basis.

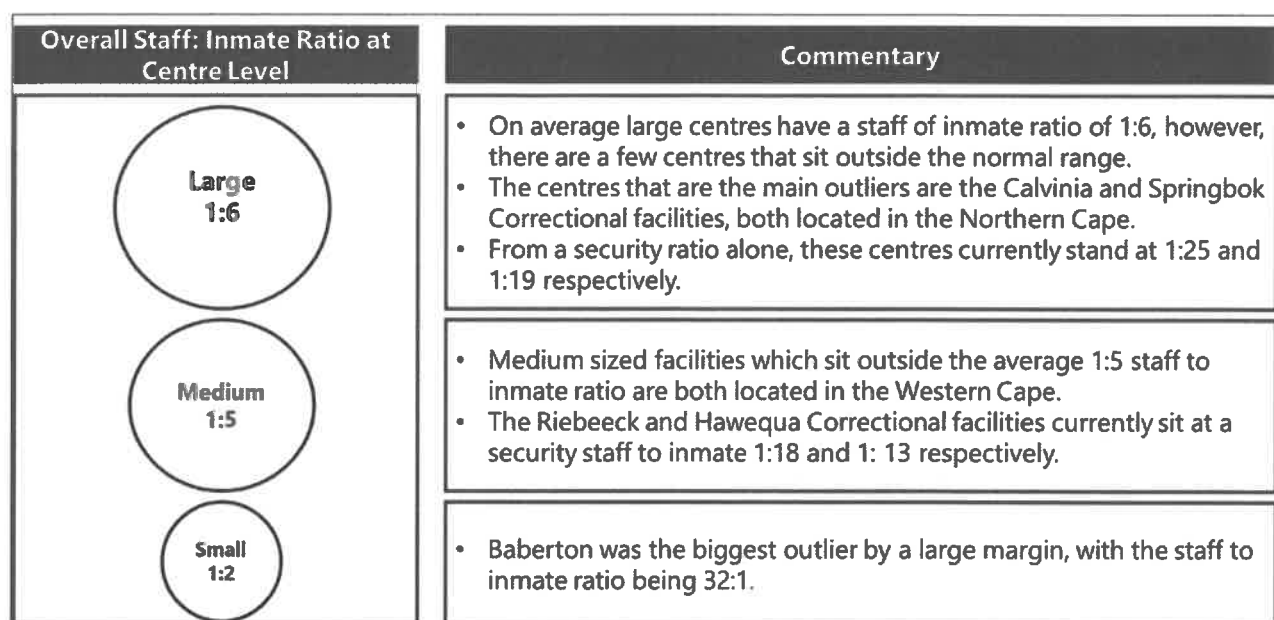


Figure 18: Centre Based Staffing Ratio

At a Centre level, DCS is well capacitated, with an average vacancy rate of 7% at Centres across all Regions. Gauteng is the most capacitated Region with 95% of posts filled, and KwaZulu Natal and The Eastern Cape are the least capacitated, with 92% of posts filled. There is an overall low variability of inmates to staff ratio in the Regions (3:1), with the Western Cape being the only outlying Region (2:1). However, when looking at Centres based on their size⁷, there are significant discrepancies, as indicates in the figure above. Despite the above-average ratios, the outliers in each of these Centre size ranges sit outside the average range by a large margin. The significant disparities in inmate to staff ratios are partially due to the non-standardised allocation of resources across centres resulting in small centres being relatively well capacitated and larger centres being relatively under capacitated.

4.1.2 Incarceration

Process gaps in Incarceration are linked to ICT gaps, sharing of human resources and coordination with external stakeholders. Unreliable ICT infrastructure and systems result in duplication between manual and digital processes. The lack of identification on admission can result in re-offenders being processed as new offenders, thus duplicating work done already and impacting on the quality of sentence planning processes. Poor coordination between DCS and SAPS regarding Remand Detainee release to court results in late arrivals and Head of Centres being found in contempt of court. CMA shift patterns do not align with admission and release peak demand times which creates backlogs in administrative processes. Additionally, Security officials also perform CMA and CMC duties. This can impact on the quality of Case Management services as CMA and CMC duties often come second to Security functions.

4.1.3 Rehabilitation

Process gaps in Rehabilitation are linked to the sharing of human resources, insufficient Security personnel and skill gaps, together with a lack of direction from upper management levels. The participation of offenders in Rehabilitation programmes is dependent on the limited availability of security officials at any given time to maintain the minimum required security standards. This can result in potentially qualifying offenders being unable to engage in programmes, leaving them idle, which impacts upon the intended rehabilitative reform. This has a direct impact on the productivity of DCS production sites as they remain underutilised, limiting their contribution to self-sustainability. Security officials who conduct the programmes are not always sufficiently skilled, and often the focus is on completion of targets as opposed to the intended rehabilitation and behavioural change outcomes that are a part of the programme design. The South African

⁷ Taken from 2016 OD proposals. More than 1500 inmates = Large Centre, 1500 – 800 inmates = Medium Centre, Less than 800 Inmates = Small Centre

economy has a significant gap in the availability of vocational skills, and this could present an opportunity for the reintegration of trained offenders through strategic partnerships.

4.1.4 Social Reintegration

Preparation for social reintegration should commence before the offenders' are released, i.e. during incarceration. After their release, interventions should support their immediate transition from the incarceration into the community and reinforce the gains achieved through rehabilitation until a successful reintegration is completed.⁸ Post-release reintegration programmes should form part of broader crime prevention strategies that are designed to provide a comprehensive approach to public safety.

Probationers and Parolees encounter a myriad of challenges with respect to securing employment due to their criminal records and social factors such as negative peer influence and absence of family. Offenders placed under Parole generally received little pre-release support in securing accommodation and are often unable to find suitable living arrangements. Social isolation is a core experience of many Parolees who may end up homeless or with unstable, unsuitable housing. Parolees who are reoffend often point to lack of suitable housing as a key factor in their unsuccessful transition to life in the community.

The level of supervision and control must be commensurate with the risk of recidivism, but the rapid and consistent enforcement of supervision conditions may reduce recidivism. Communities have a key role to play in the successful reintegration of Probationers and Parolees. However, specific strategies are required to mobilize and sustain, community interest and involvement in assistance and supervision programmes.

A fundamental gap in the current method of social re-integration is that it is primarily focused on the monitoring of released offenders. Processes to enable the reintegration of probationer and parolee offenders are unclear at service delivery level beyond the provision of dedicated social workers within community corrections centres. It would be ideal if resources were available to guide released offenders into community-based support services such as cooperatives and NGOs. DCS has a need for skilled labour to improve upon the quality of service delivery within its Rehabilitation programmes. Trained parolees and probationers could be brought back into DCS as service providers to train current offenders, thus creating a virtuous cycle which hastens the Rehabilitation process and provides sustainable jobs for released offenders.

The lack of digitisation within community corrections centres increases the administrative burden on officials which limits service productivity. Additionally, inadequate systems integration limit the continuity of case management once offenders are released from centres which impact upon the quality of bespoke service delivery that is required per case. Community corrections centres also require additional capacity in term of Security, particularly in high-risk areas that are characterised by gangsterism and social unrest.

4.1.5 Care

Care is among the high-risk components within DCS, which covers healthcare, environmental care, as well as nutritional care. The significant gaps identified were as a result of poor management, lack of facilities and equipment as well as the lack of priority given to environmental and nutritional care, which are often performed in an ad-hoc manner by Security officials. The weak interface between the management levels and Centres, particularly regarding environmental and nutritional care, can result in systemic illness risks and legal risks within the DCS environment. In this regard, proactive and consistent strategies are required to prevent these risks, which could prove costly to resolve once realised.

Human Resources utilized by the healthcare function are highly specialized, and the lack of competitive tariffs for these posts results in a high turn-over of staff. This impacts service delivery as the unique dynamics of offender care, as well as patient rapport, needs to be redeveloped. A further finding is regarding vacant posts in crucial areas such as psychiatry, which poses an indirect risk to offenders and officials well-being within Correctional Centres.

⁸ Fox, A. 2002. "Aftercare for Drug-Using Prisoners: Lessons from an International Study", The Probation Journal, 49, 120 - 129

Procurement and the payment of external service providers have similar challenges and risks. Delayed payment processes, as well as insufficient stakeholder engagement, results in clinics and service providers declining to work with DCS, particularly in rural areas where service providers are limited.

4.2 Support Processes

4.2.1 Facilities

Facilities is a critical component within the DCS value chain, enabling all the core functions through the provision of maintenance, construction as well as facilitating the external service provision of these functions. The position of facilities as a function within DCS is however subdued, and their mandate is unclear due to this function being under the Incarceration branch within the DCS structure. A lack of clear direction and management of this function from Head Office and Regions which has resulted in Facilities being managed independently within Management Areas. This mismanagement has resulted in a reactive maintenance culture and the deterioration of DCS facilities through the following aspects:

- The lack of stakeholder management with external stakeholders (particularly DPWI)
- The lack of contract management of specialized technical services related to facilities management which affects nutrition processes under Care services such as agricultural production and kitchen equipment maintenance
- Supply Chain Management processes that are not conducive to required facilities expenditure
- Minimal funding for maintenance

4.2.2 Human Resources

Human resource management, specifically at the centre level, is essential to ensure the functioning of correction centres in the current system. Several gaps were identified during the business process mapping, which impacted upon the quality and effectiveness of service delivery.

- In terms of performance management, supervisors and managers are not always well versed in performance management processes and systems. This results in individual performance management that does not adhere to the required standards. Additionally, HR personnel may conduct performance assessments on behalf of supervisors due to competency gaps.
- A general indication of deliberate non-compliance to specified HR processes was highlighted during the business process mapping. This can be attributed to the non-segregation of support functions from the operational line, which can often lead to deviations from standard procedures. Attendance and duty sheet management currently sits within the operational line (i.e. under Head of Centres); however, the quality thereof impacts on the availability of resources leading to overtime. This seems to be difficult to address due to the current rank system, which requires significant routing for problems to be addressed.
- HR roles at a Centre and Management Area level are not adequately delineated with HR officials conducting several overlapping functions in some Management Areas. Additionally, due to Centre-based and Non-Centre-based allocations of roles, HR Officials within centres can be pulled into other non-HR based functions such as Security work.
- A significant gap with the HR function is the management of the post establishment. A common issue is a misalignment of the post establishment and the reality on the ground regarding the number and nature of posts that are funded, the functional allocation of those posts and the whether the posts are actually filled. Skills gaps have been identified when it comes to the manner in which personnel engage with the PERSAL system, which contributes to some of the issues within the post establishment.

4.2.3 ICT

ICT is a fundamental component to an organization of the magnitude of DCS in terms of size as well as geographic scope. The lack of capacitation of ICT at a centre level in terms of resources as well as infrastructure results in complexities regarding the implementation of systems that would allow DCS to function more efficiently. The shortage, as well as misallocation of technicians, results in a reactive approach to ICT; where a crisis response approach rather than a proactive approach is practised. Furthermore, the silo management structure of DCS results in ICT not always being included in relevant projects and developments. Moreover, issues relating to inadequate maintenance and availability of basic ICT infrastructure (such as two-way radios, printers, scanners and computers) makes it difficult for Centres and Management Areas operate effectively.



4.2.4 Legal Services

The specialized skills of legal service employees within DCS are being underutilized due to insufficient administrative capacity; resulting in these resource performing administrative duties on top of legal responsibilities. This results in shared resources not being available to complete the required tasks in Management Areas which results in work overflows to the Regional structures as well as Head Office. The current lack of insight into prevailing risks and challenges within the environment leaves DCS exposed to numerous legal risks, both internally and externally. For example, the lack of capacity at Management Area level results in Legal Service staff being unable to attend legal procedures when they simultaneously occur within multiple Management Areas which increases the likelihood of litigation and resulting in additional costs and workloads. A better mechanism for coordinating Legal Services across the Management Areas is required to maximise economies of scale in the delivery of these services.

4.2.5 Supply Chain Management

Several supply-chain functions are not being performed effectively and efficiently. In terms of contract management, it is fragmented between Head office and Regional Offices. Head office does not have a holistic view of all contracts that are approved and executed at a Regional level which has resulted in audit queries by the Auditor General. Of note are the functional gaps in the Contract Management Directorate within DCS which require immediate attention to ensure that there is proper segregation of duties and proactive contract management.

In terms of procurement, the current Delegations of Authority make it difficult for Management Areas and Centres to procure goods and services without lengthy approvals at the Regional level. This results in the practice of subdividing procurement of frequently purchased commodities and services which is frowned upon by National Treasury. Due to the nature of the price quotation process, the price of goods may vary significantly based on the quotes received, impacting upon the optimal use of budgets. Ideally, these items should be contracted to maximize economies of scale and allow for low price variability.

In terms of asset management, loss and disposal processes lack strong investigative capacity and skills, which results in many asset losses being written off by DCS and lack of accountability over assets. It then falls on DCS to utilise a constrained budget to either replenish lost assets or not replace them which impacts upon service delivery.

4.2.6 Finance

Skills gaps have been identified in the budgeting process at the centre level. Cost centre owners inadequately plan for their needs resulting in the frequent over expenditure and the need to reallocate budgets. This has become the norm when it should not as it increases the administrative burden on finance officials and delays the delivery of services because of lengthy approval processes.

Sundry payments must be processed by State Accountants who are situated within Management Area offices. Petty cash procurement is currently executed through sundry payments meaning that far-flung Centres must travel significant distances to deliver source documentation within a specified timeframe for the processing of sundry payments. Due to the time restrictions, the value of the sundry payment can be lower than the cost of delivering the source documentation in terms of employee hours, vehicle wear and tear and fuel costs. A digital solution that would enable the transfer of this source documentations from Centres to Management Area offices followed by monthly delivery of all physical source documentation would be more cost-efficient.

4.3 Management Processes

DCS operates within an environment of high risk and complexity, delivering upon a progressive and comprehensive mandate whilst adhering to cultural and historical operating systems and models. The current management structure contains three levels of administration/management (i.e. Head Office, Regions and Management Areas) and a single operational interface at Centre level. The excessive layers of administration and management result in process duplications, high turn-around times, as well as inadequate responsiveness from higher levels.

4.3.1 Functional Alignment to SDM

An assessment of SDM components along the functions in the macrostructure reveals misalignment within Head Office as it is not clear who owns and who is accountable for the different SDM components. This ambiguity has resulted in a top-heavy organisational structure, duplication of operational tasks such as approvals and M&E processes between management levels, complicated information and communication channels for reporting and approvals, as well as the intermixing of operational and strategic functions at management levels.

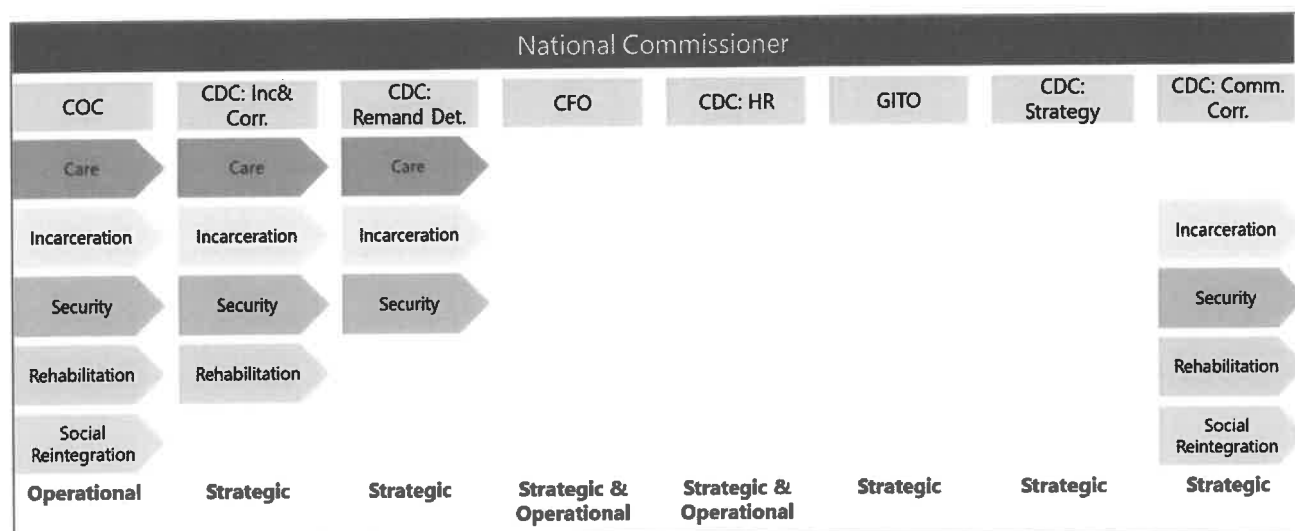


Figure 19: Misalignment to SDM

The DCS SDM demarcates operational and strategic components of the core services between ‘Theatre of Operations’ and ‘Centre of Excellence’ respectively. The current non-alignment of the organisational structure to the SDM hinders the implementation of DCS’ strategic outcomes from enabling the transformation from an incarceration-based model towards one focused on restorative justice, and particularly its implementation at the service centre level.

The Chief Operation Commissioner is currently responsible for overall operations management within DCS as the direct supervisor of Regional Commissioners. However, the dual responsibility of Regional Commissioners to manage both the strategic and operational functions of their respective Regions further obscures reporting lines as well as the Head Office’s overview of DCS functional and strategic requirements. This overlaps into the strategic components undertaking operational activities leading to additional management complexities. The duplication of strategic functions by the different management levels means that the DCS operates with minimal standardisation and creates a breach between the overall strategic direction and the corresponding operational implementation.

The following factors complicate the implementation of the ‘Centre of Excellence’ and ‘Theatre of Operations’ concepts that the SDM proposes:

- The lack of a clear line of sight from Head Office to Operations and vice versa,
- The fragmentation of functions and a lack of cohesiveness in policy development,
- Misalignment of Operations and Strategy,
- Duplication of tasks at multiple levels, resulting in ambiguous reporting and policy implementation,
- Lack of capacity at the operational interfaces, i.e. Management Areas and Centres, and
- Lack of automated systems to enable real-time information access and transparency of operations

4.3.2 Reporting Lines

Miscommunication and the rank-based status-quo in reporting protocols both result in a bloated Head Office that is absorbed in undertaking additional administrative duties, due to no direct reporting channels from Head Office to Management Areas. Head Office as the ‘Centre of Excellence’ is required to assume operational functions that should be limited to the ‘Theatre of Operations’ according to the SDM.

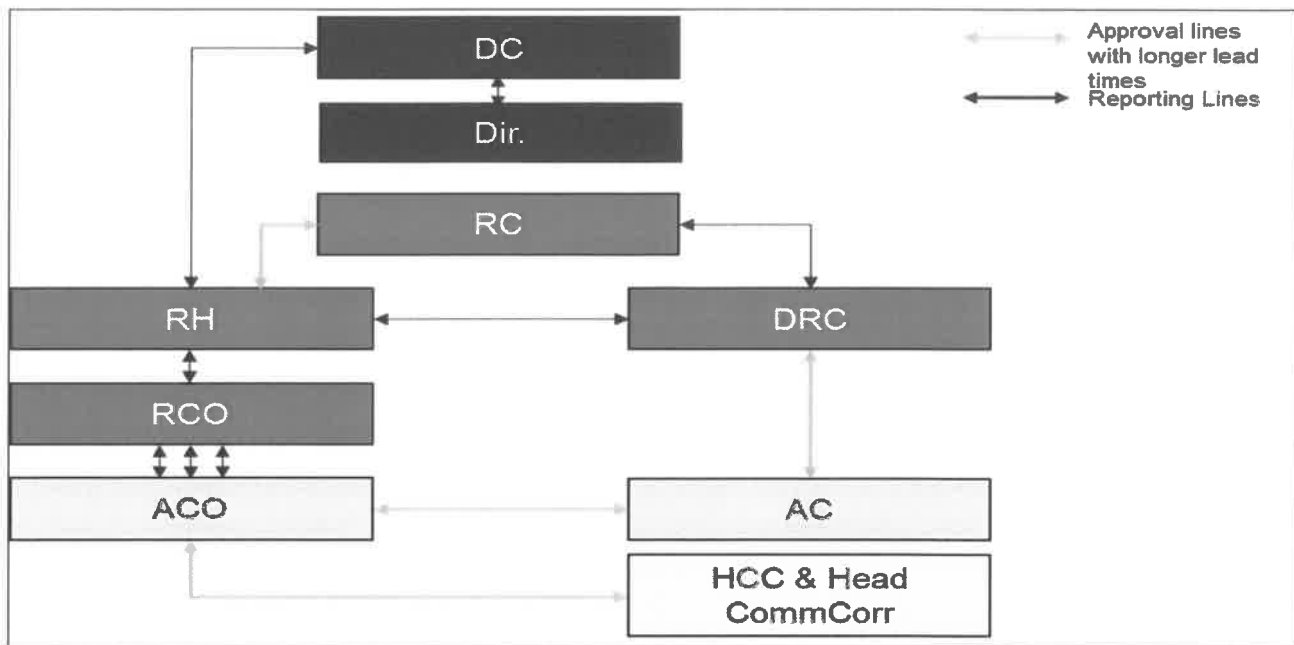


Figure 20: As-Is Information Flow

The duplication of functions coupled with long reporting lines results in a DCS that is stagnant and unresponsive to operational needs. The submission of similar information and requests from different Management Areas currently follows multiple pathways through Regions up to Head Office based on rank rather than functional reporting. This leads to inconsistent information flow and approval processes which result in reduced responsiveness and operational alignment. The current reporting lines, shown in the figure above, illustrate the unnecessary chains of information transfer, where information flows within silos in each of the management levels. The transmission pathways exemplify the redundancy in the current role of Regional Offices as they largely fulfil an intermediary function between the 'Theatre of Operations' and the 'Centre of Excellence'.

4.3.3 Ranking System

The complexity within the reporting lines lies in the misalignment of the ranking system to the hierarchical structure within DCS. If one looks at the hierarchical structure with the Regions being omitted in their current form, it is easy to observe a clear alignment in hierarchy and ranking. However, the ranking within the Regional structure overlaps with certain ranks at a 'Centre of Excellence' level and a 'Theatre of Operations' level, as indicated in the figure below.

The poor alignment of Regions both in terms of function and rank results in a barrier between Policy development at Head Office and Operations at Management Areas and Centres, as opposed to the connecting role that the Regional Offices are meant to perform.

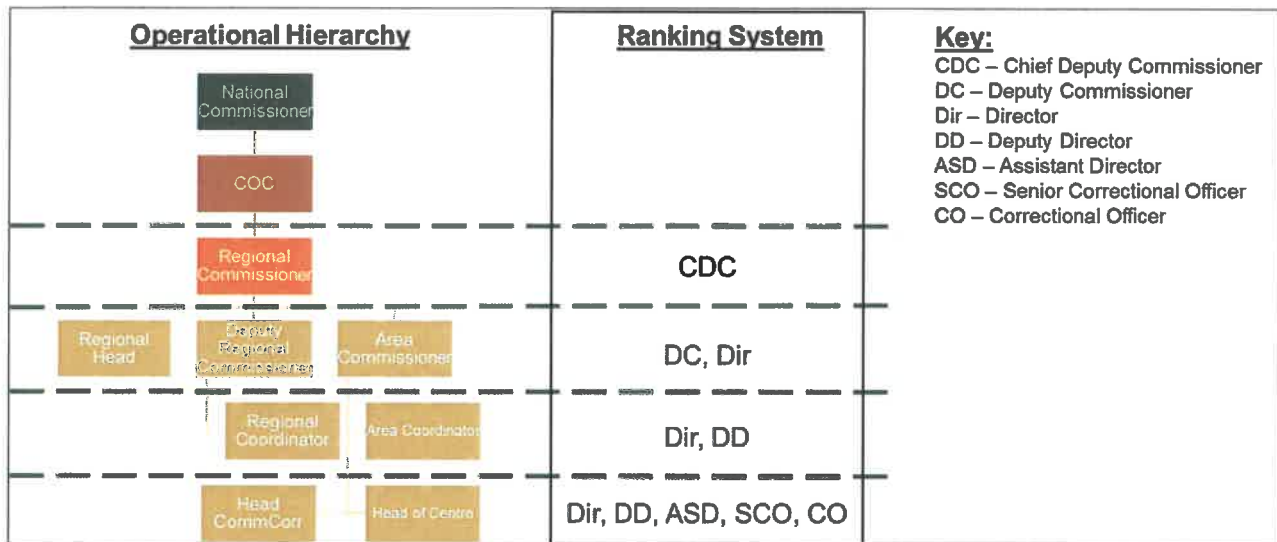


Figure 21: Ranking System Complexity

4.4 Bottlenecking at Regional Level

The current staff distribution within the organisational structure, illustrated in the figure below, does not align with the functions and roles assigned to the different management levels. Currently, Management Areas and Centres lack the capacity and authority to conduct operations autonomously, and Regional Offices are used to fulfil the role of an information transit between Management Areas and Head Office. They are currently responsible for the consolidation and verification of submissions from Management Areas and the review and dissemination of policy and procedure to Management Areas. The transfer of accountability for operations from the data source and/or service-provider at an operational level to the Regional Offices results in bottlenecks and less than ideal response times.

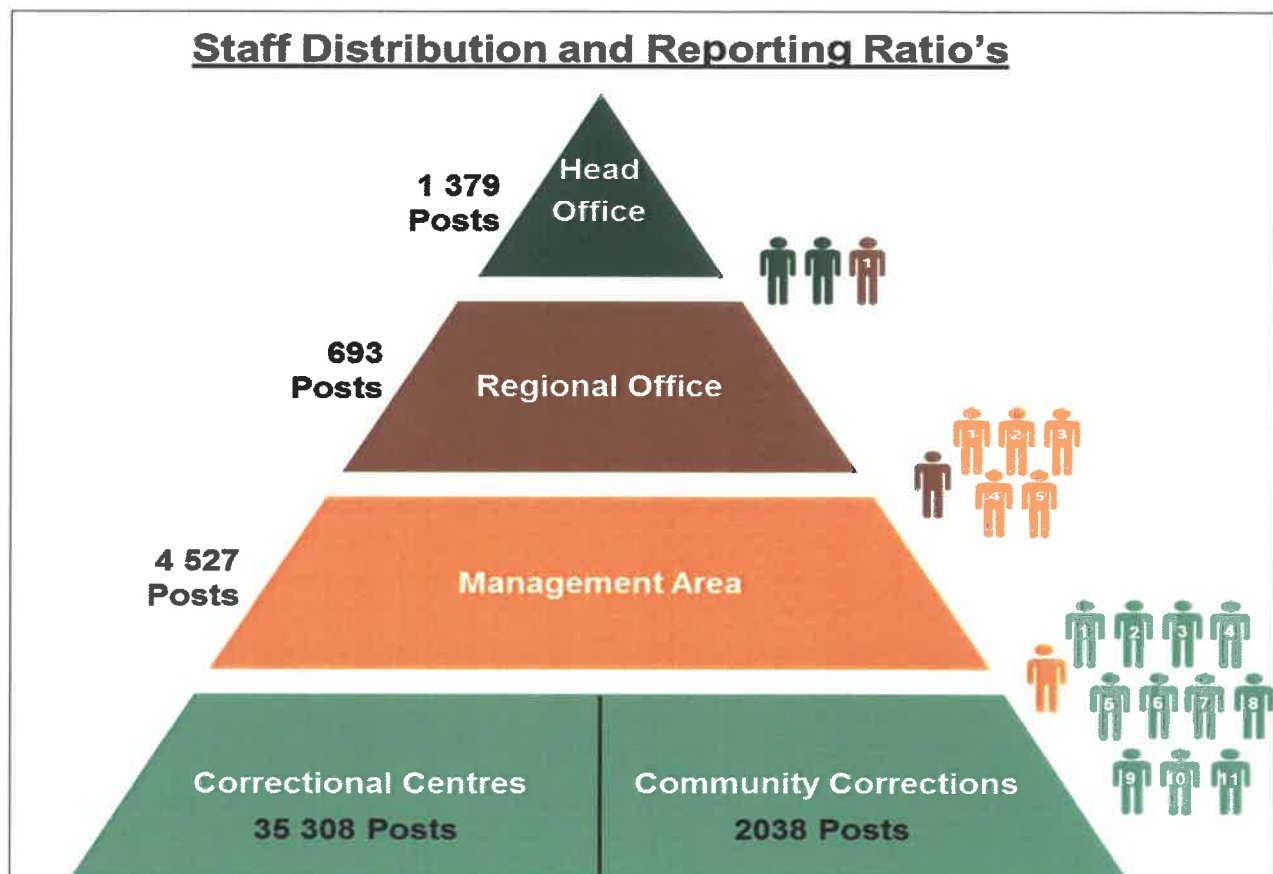


Figure 22: Staff Distribution and Reporting Ratios

The figure above illustrates the bottleneck from a personnel perspective where there is an anomaly in the ration of staff from Head Office to the Regional Offices. However, from Regional Offices to Management Areas and from Management Areas to Centres, the ratios are as expected in a management structure.

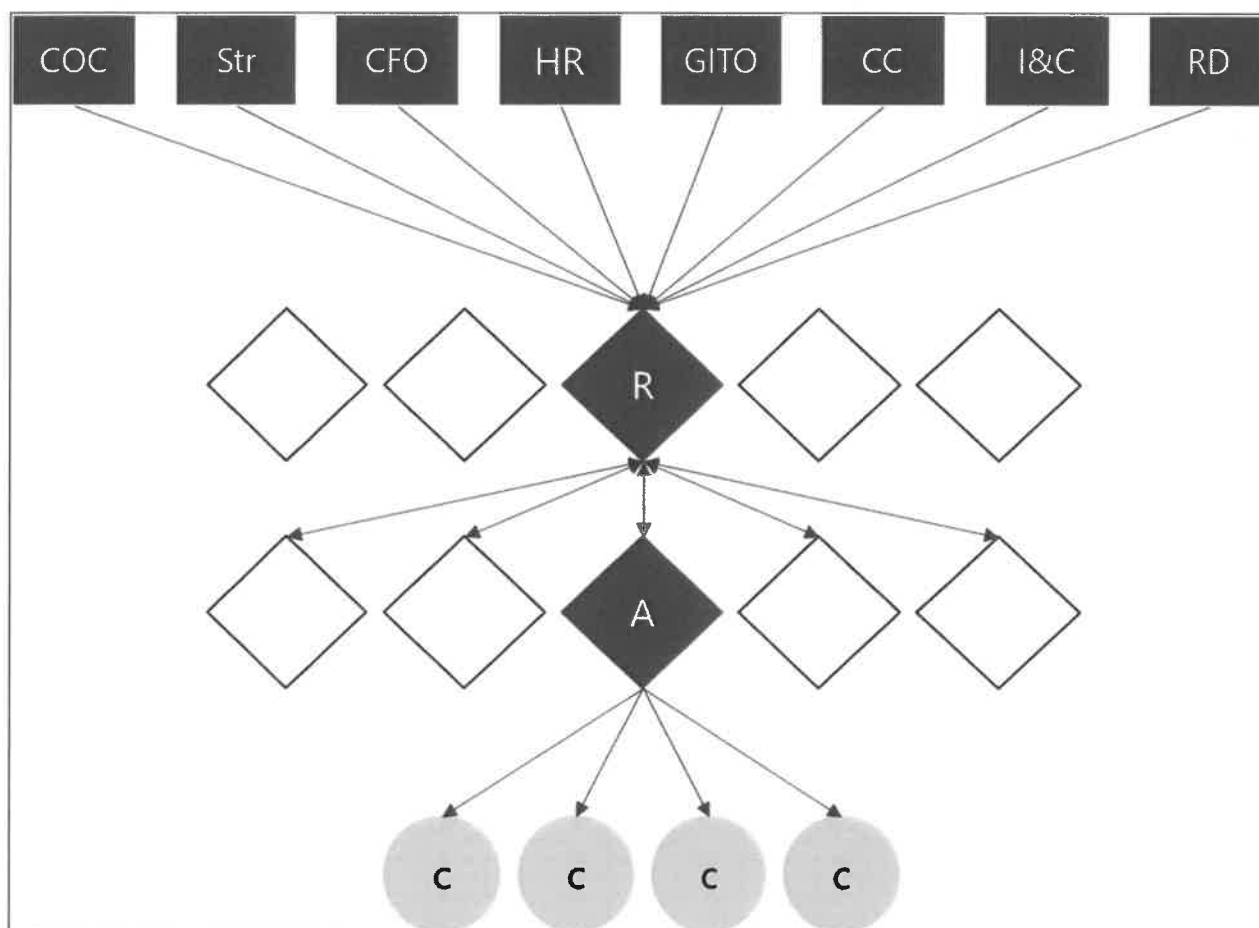


Figure 23: Bottlenecking at Regional level

Information flow bottlenecks occur in the Regional level from Head Office to Management Areas and vice versa, as illustrated in the figure above. The misalignment of Head Office directorates to responsible counterparts at a Regional level results in a lack of capacity to handle the information flow. Information and report congestion at Regional Offices is largely due to:

- The fragmentation of functions into multiple directorates at Head Office which results in numerous similar and dissimilar requests from the different directorates to the Regional Offices;
- A lack of verified statistical reporting from the Management Areas due to lack of capacity to undertake verification processes;
- Lack of automated consolidation tools and systems;
- A large number of ad-hoc requests from Head Office, at times, specific to management areas or centres requiring the Regional Office to liaise with Management Areas as an intermediary; and
- Verification of reports occurring at a Regional level whilst it is far removed from the operational functions

The requisite of meeting Head Office assigned targets and ensuring Management Areas align to those targets results in Regional Offices over assessing and potentially adjusting submissions, resulting in distorted information being submitted to Head Office. This inaccuracy leads to the analysis and subsequent development of policies and procedure that do not create the desired change within operations.

5. RECOMMENDATIONS

The proposed solution for DCS has three distinct components, namely:

1. The Centre of Excellence,
2. Theatre of Operations, and
3. Operational Centres functioning at different levels within the DCS, i.e. the National Operations Centre (NOC), Management Areas Operations Centre (MOC) and the Local Operations Centre (LOC)

Each component has different responsibilities and should be performance managed according to their functional outputs to ensure accountability. The figure below summarises both components visually.

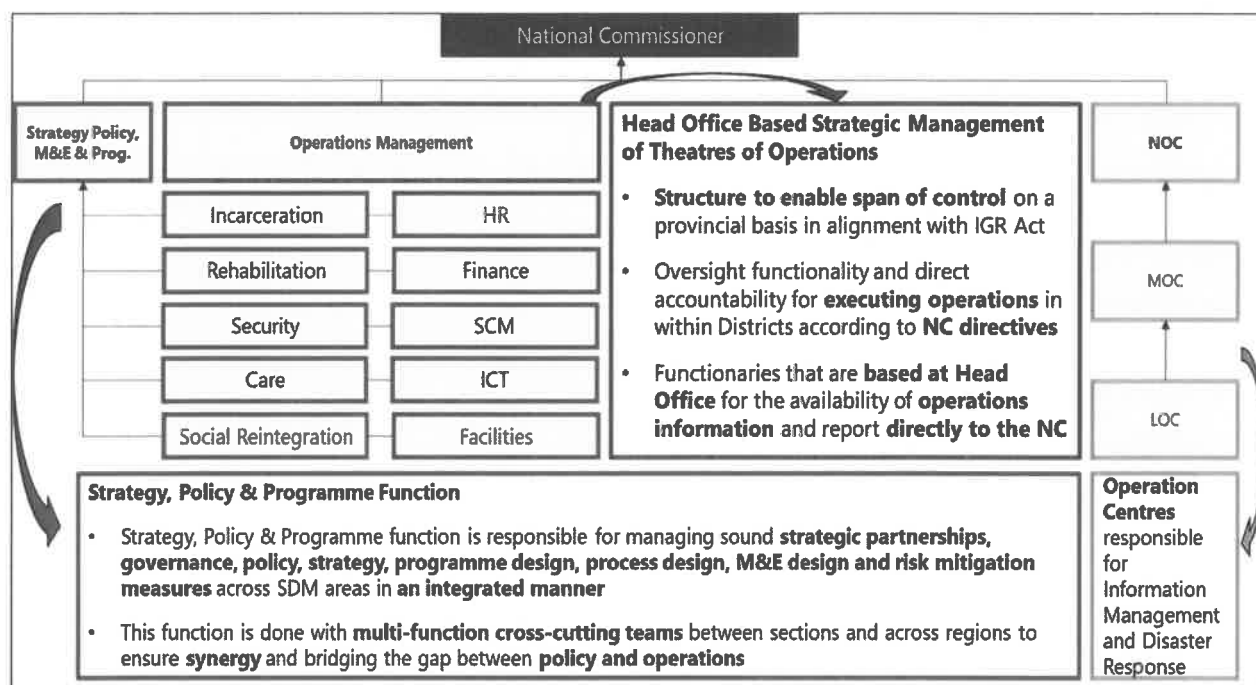


Figure 24: Operations Design Visual

To develop the proposed solution in this report, five key principles were considered based upon the internal and external dynamics that the DCS plans to overcome. This requires a necessary dialogue with key stakeholders to manage the change processes while creating the environment of greater effectiveness and efficiency going forward. The principles are indicated in the figure below.

- 1 A "streamlined" organisational structure reflecting the DCS Service Delivery Model that was dynamic and responsive
- 2 A decentralised "centre-centric" model of operating with sufficient seniority and delegations at Management Area and Centre levels to operate effectively
- 3 A lean Head Office structure that is responsive, integrated and strategically focused supported by strong data and reporting tools
- 4 Direct "line-of-sight" and direct lines of accountability between Operations and Head Office
- 5 An operating model that is aligned to the District Delivery Model of delivering services at a District level

Figure 25: Principles to Improve Effectiveness and Efficiency



5.1 Centre of Excellence, Theatre of Operations & Operations Centres defined

5.1.1 Centres of Excellence

Centres of Excellence - sometimes referred to as competency or capability centre - are a group of people leading an organization and its different structures toward predetermined goals. A Centre of Excellence is generally established to achieve the following core objectives within an organisation:

- Implement and popularize best practices
- Add a new capability, function, or technology
- Improve utilization of (or return on) an asset
- Upgrading employees' skillsets

In addition to achieving these core objectives, a Centre of Excellence provides a knowledge management focal point, capturing new knowledge and practices from both inside and outside of the organisation. When developing a Centre of Excellence, a four-step approach is generally adopted, as illustrated in the figure below.

	1. Design	2. Build	3. Prototype	4. Operate
Activities	<ul style="list-style-type: none"> Find a champion Identify scope Agree on performance measures Define key processes, policies, procedures Kickoff comms plan 	<ul style="list-style-type: none"> Assemble core team Establish reporting & operations Test drive activities Create a backlog Select a low-risk, high-visibility prototype 	<ul style="list-style-type: none"> Execute a prototype scenario Conduct lessons learned & make adjustments Reset expectations based on a new plan 	<ul style="list-style-type: none"> Execute planned activities Measure & monitor outcomes Adjust operational model & measures as necessary
Staff	<ul style="list-style-type: none"> 30%: Skeleton Crew 	<ul style="list-style-type: none"> 50%: Core Team 	<ul style="list-style-type: none"> 60%: Prototype Team 	<ul style="list-style-type: none"> 100%: All Participants
Success	<ul style="list-style-type: none"> Scope is clear KPIs are set Comms plan is optimized Maturity model is established 	<ul style="list-style-type: none"> Team's skills match CoE scope Reporting & operations align with CoE strategy 	<ul style="list-style-type: none"> Prototype is successful The new plan is realistic KPIs are constructive 	<ul style="list-style-type: none"> CoE is adaptable & innovative Progress is measurable All affected are participating

Figure 26: Four-Step Approach to Developing a Centre of Excellence

This four-step approach ensures impact that is ultimately felt throughout the organization when the Centre of Excellence operates optimally. In the preliminary stages of when an organization considers developing a Centre of Excellence, prior to the 'Design' stage, an analysis of the organization in question must be undertaken. Key considerations during this process include, however, are not limited to:

- How is the organisation structured at a high-level?
- Is the operating model centralised or decentralised?
- Are there external service providers?
- What's the regional variability of teams (headcount, overlapping of roles, etc.)?
- What's the chain of command, or how are the team dependent on one another?
- What are the common processes that occur?
- Are processes defined and known across all teams?

Examples of Centre of Excellence being developed and leveraged to achieve institutional mandates more effectively are listed in the table below.

Centre of Excellence	Description
<i>European Centre of Excellence for Countering Hybrid Threats</i>	<p>An intergovernmental think tank based in Finland which operates under the auspices of European Union and NATO. Functions include:</p> <ul style="list-style-type: none"> • Conducting training courses • Workshops with policymakers • Producing whitepapers through Research and Development



<i>Centre of Excellence</i>	<i>Description</i>
<i>Centre of Excellence for Stability Police Units</i>	<p>A training centres and policy hub created by the Italian Government in accordance with the G8 Action Plan for “Expanding Global Capability for Peace Support Operations. Functions include:</p> <ul style="list-style-type: none"> • Offering training programmes to member nations • Expanding on existing policies regarding crowd control, combating organised crime, high-risk arrests, etc. • Conducting assessment on past events to improve upon training methods • Interacting with international and regional stakeholders as well as global academic institutions
<i>Homeland Security Centres of Excellence</i>	<p>A total of twelve centres of excellence created under the US Homeland Security Act of 2002 that develop technology and training for both police and domestic US military units. Although each centre has a particular set of expertise which they focus upon, they are intended to work in a coordinated and cross-functional manner to enable the outcomes of the US Homeland Security Act.</p>

Table 4: Examples of Centres of Excellence



5.1.2 Theatres of Operations

Theatres of Operations (TOO) are defined as the geographical boundary within which “active combat operations” are conducted⁹, as defined by the designated command. Resources and facilities are coordinated within the Theatres of Operations to drive predetermined strategic goals. To this end, resources are carefully structured and utilised as resource wastage and misallocations can severely impact the strategy at play, Combatants within the Theatre of Operations requires skilled local leadership to respond to local threats to reduce operational losses as well as strong communication facilities to retrieve marching orders based upon the situation within the Theatre of Operations. Although the term often applies to military operations, it is also used metaphorically in many other contexts such as business strategy and public service delivery; especially where operations occur over vast and differing geographical locations.

5.1.3 Operations Centres

Operation Centres (OC) can be viewed as the accessibility portal of an organisation, responsible for 'getting the right information to the right people at the right time'. The Operation Centre runs continuously, 24 hours a day, throughout the year; monitoring, informing and responding to relevant incidents that may occur.

Within the US context, the **State Operation Centre** (established by President J. F. Kennedy) provides policymaker with alerts and briefings on world events that affect US interests and further define the functions of the Operations Centre as:

- The Watch, i.e.
 - Alert and early warning processes:
 - Provide 24-hour general and targeted alerts to policymakers and relevant response functions
 - Provide rapid dissemination of information in a secure manner, where information is classified and automatically distributed based on these classifications
 - Verbal briefings with documented analyses:
 - Daily briefings are provided to policymakers outlining whereabouts of sensitive subjects, important calls, meeting readouts together with news and potential threats
 - Information is pulled from all sources, and value-added information is gathered from posts on incidents, which is then analysed and commented on in relation to foreign policy implications
 - Telephone Diplomacy:
 - The watch links embassies, citizens in need and other governmental stakeholders
 - Connects the Secretary to local and foreign stakeholders to conduct foreign policy
 - Provides a communication medium for other Department Principals to contact each other as well as to their foreign counterparts
 - A dedicated communications lifeline with travelling leadership:
 - Provides travelling support needs to the Secretary and Department Principals
 - Connects line and other travelling staff
 - Connects Ambassadors and other embassy staff to Department Principals
- Crisis Management Support, i.e.
 - Managing Crises and hot spots:
 - Provides 24/7 coverage and interagency communication in relation to any local or international threat, such as natural disasters, terrorism, civil unrest or shifts in the policy environment
 - Contingency Planning:
 - Provision of evacuation and safe haven measures,
 - Tap wires and bureau assistance
 - Conducting interagency planning meetings
 - The provision of crisis management resources and best practices
 - Coordinating Crisis Response:
 - Ensuring departmental coordination in terms of resources, policy, citizen services and public diplomacy
 - Ensuring evacuation, security and other supporting needs for posts overseas

⁹ Merriam-Webster Dictionary

- Coordinating across government with other Operational centres and government organisations
- Engaging a dedicated task force to resolve issues:
 - Involve relevant Government-wide response task teams and provide support to them

5.2 Proposed implementation by DCS

5.2.1 Alignment to District Service Delivery Model

The Presidential proclamation of the new District Delivery Model (DDM) was a key focal point for the development of an Operations Design for DCS.

In summary, the DDM seeks to utilise the existing legal framework and implementation protocols (which include the Intergovernmental Relations Framework Act 13 of 2005) to create “a framework for coordinating and aligning developmental priorities and objectives between the three spheres of government”. Essentially, all three spheres of government (National, Provincial and Local) will have one approach (visualised as **One Plan**) to enhance cooperation and coordination amongst governmental and non-governmental stakeholders in the Monitoring and Evaluation (M&E) cycle (i.e. Planning, Implementation, Monitoring and Evaluation). Additionally, the One Plan will ensure that planning is done spatially so that expenditure and investment budgets are expressed within 52 spaces (i.e. 44 Districts + 8 Metropolitan) in yearly Annual Operational Plans and Long-Term Plans (i.e. ten years).

Going forward, the DCS Operations Design embodies the above-mentioned aspects of the DDM through alignment across several components, as indicated in the figure below:

- Maintaining 46 Management Areas which cover all 52 spaces geographically
- Capacitating Management Areas and Centres (both Correctional Centres and Community Corrections Centres) as service delivery arms of the DCS
- An M & E process that is expressed spatially across Management Areas in Annual Operational Plans
- Self-Sustainability that utilises production sites within Management Areas to enable service delivery to Districts through strategic partnerships with governmental and non-governmental stakeholders across the Management Areas

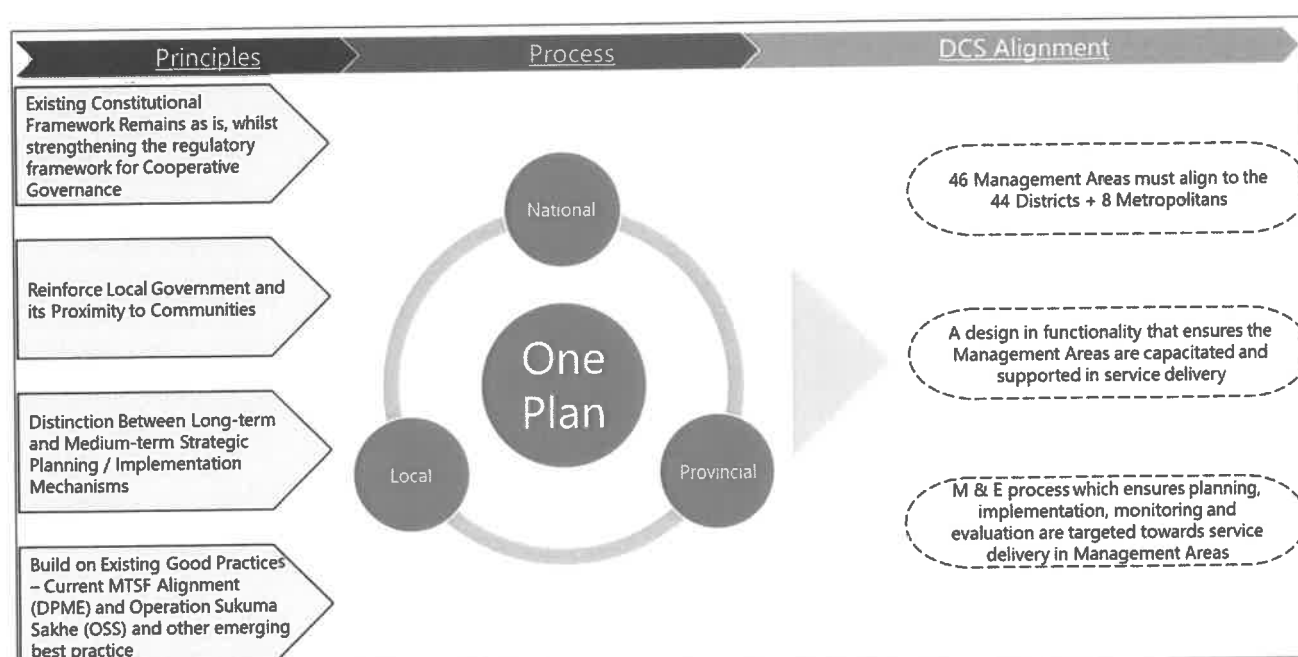


Figure 27: Alignment to District Delivery Model

Self-sustainability is a key feature of the DCS strategy going forward, and this has been highlighted in the COVID-19 pandemic which South Africa is dealing with as a nation. The table below indicates the short to long term self-sustainability approach to COVID-19 relief and economic development.

Time Frame **DCS Response**

DCS Interventions



0-6 Months	In view of the current crisis and the shortage of materials to combat the spread of the COVID-19 virus, the DCS has taken a view to utilise its manufacturing and productions workshops to capacitate government interventions	Purchase equipment to affordably manufacture home care related products such as soap, toilet paper, detergents and cleaning materials to promote hygiene in the Correctional Services environment, to supply within Government and distribute to communities.
		Partner with local manufacturers of sanitizers to purchase in bulk and decant within the DCS production environment to provide for offender population and supply within Government at a rate below the market. This will also allow for the provision of sanitizers to communities
		In collaboration with DoH, DTI and DSBD ascertain the standards, availability of materials to manufacture cloth masks which can be used for offenders in correctional facilities, health care workers in correctional facilities and in Government. This would also support the decision of the NCCC of 08th April 2020.
0-12 Months	Develop a self-sustainability strategy in partnership with Government Departments and Industry	An audit/assessment of the extent of land owned by the DCS and the extent to which it can be used for agriculture, cattle rearing and other productivity. With a view of maximising the use of land owned by the DCS for internal requirements while empowering communities through partnerships such as cooperatives in land utilisation
		An audit/assessment of production workshops capacity to optimally produce or refurbish furniture for Government Departments (DPWI, DBE DEA) and also optimise skills and employment opportunities for artisans, community members and offenders through partnerships
		Finalisation of an operating model that will allow for retention of revenue within the DCS from production to enable growth and diversification of Correctional Service Industries that would be aimed at supporting a DDM whilst providing value for money goods and services.
12-36 Months	Phased implementation of the self-sustainability strategy in conjunction with stakeholders	Monitoring and evaluation of the implementation plan.

Table 5: DCS Short to Long term Self sustainability approach to COVID-19 Relief and Economic Development

5.2.2 DCS Centres of Excellence

The DCS Centres of Excellence is responsible for the strategic components of the SDM to enable service delivery within core and support service, i.e.

- Strategy & Planning
- Monitoring and Evaluation
- Policy & Programmes,
- Risk & Governance,
- Strategic Partnerships, and
- Finance.

These functions will be conducted across core and support functions of the SDM in multi-functional and cross-cutting teams within Head Office. This is to ensure that tools (i.e. policies, strategic plans, performance plans, standards, procedures and norms) developed by the Centre of Excellence are holistic to avoid confusion and conflicting requirements from operations. Operations Management will form part of the Centre of Excellence and will represent the Theatres of Operations across each of the nine provinces. In this way the process and policy designers remain in close consultation with operations before any change is implemented.



In addition, the Centre of Excellence must retrieve gaps and best practice from operations through LOC, MOC and NOC structures to benchmark against when performing Research and Development activities. Unlike operations, which will focus on continuous improvement within the current policy and procedure frameworks, the Centre of Excellence will be responsible for complete overhauls and redesign of policies, procedures and legislation (where required) based upon the outcomes of robust and methodical assessments. This will also include consultation with operations (through NOC, LOC and MOC structures) to ensure that the proposed redesigns are pragmatic and implementable.

Considering the functions of the Centre of Excellence, incumbents would need to be both qualified and skilled as subject matters experts within the SDM component they are assigned to. The teams within these structures must be analytical to draw insights from the information retrieved whilst also possessing the necessary communication skills to consultant stakeholders on their finding and recommendations. A keen understanding of governance and legislative frameworks and processes would be beneficial to ensure that changes are designed and implemented in accordance with proper governance. It would be beneficial for incumbents within the Centres of Excellence to be innovative and skilled in conducting and documenting research to grow the repository of knowledge of the DCS and to guide it towards thought leadership within the correctional services space.

5.2.3 DCS Theatres of Operations

The Theatres of Operations within DCS are the service delivery locations where DCS clients interact with the services described in the SDM. The service locations are Correctional Centres and Community Corrections Centres as well as any other facilities which either house or contain DCS clients permanently or temporarily.

The Operations Management function will replace the current Regional hierarchal structure. The Operations Management function will represent operations within each provincial area across all forty-six Management Areas. The Operations Management function will be situated within the Head Office to ensure that there is a holistic view of DCS from an operational perspective. This will enable clear accountability as well as easier and faster identification of systemic threats and risks across the organisation which can be dealt with in a coordinated manner with the support of the other Centre of Excellence branches (which coordinates technical and support resources). Additionally, the proximity of the Operations Management function enables the development of a shared and common culture within the organisation's operations through consistent messaging and alignment amongst the organisation's executive. Where possible, resource reallocation and sharing could be a norm to maximise efficiency across the organisations.

The Theatres of Operations will be managed through the governance structures that have been established within DCS and Operations Management is the key competency within these structures, particularly at a Management Area level. Operations management concerns the management of the business processes which convert resources into the products and services that are delivered to the Department's customers. Operations management involves planning, organizing, and supervising processes, and make necessary improvements for improved service delivery. Thus, strong resources allocation and process management skills are required alongside communication skills and leadership skills to coordinate personnel activities.

5.2.4 DCS Operations Centres

DCS, as with many South African Government Departments, struggle with a lack of modern technology and ICT infrastructure to better enable coordination and management from National level down to the service delivery level. Information management and sharing are further hindered by concerns around the lack of competency at the service delivery level resulting in information quality issues, the absence of standardisation among the different regions and Management Areas as well as minimal consideration during system and process development. This has resulted in inconsistent information that is siloed within functions and management levels.

The repercussions of inadequate information management within the DCS structure are that effective and efficient service delivery is affected in the following manner:

- Inadequately trained Management Area and service centre level staff being overburdened by cumbersome reporting procedures resulting in duplication of information validation and correction. This leads to substandard service delivery together with distorted information being assimilated by the Centre of Excellence;
- A misalignment and disconnect between the Centre of Excellence and Theatre of Operations, where a lack of understanding of on the ground conditions and requirements results in directives being subjectively implemented which further detaches and isolates the Centre of Excellence from operations; and

- A lack of accountability at a Theatre of Operations level, creating a culture of complacency and aversion to change

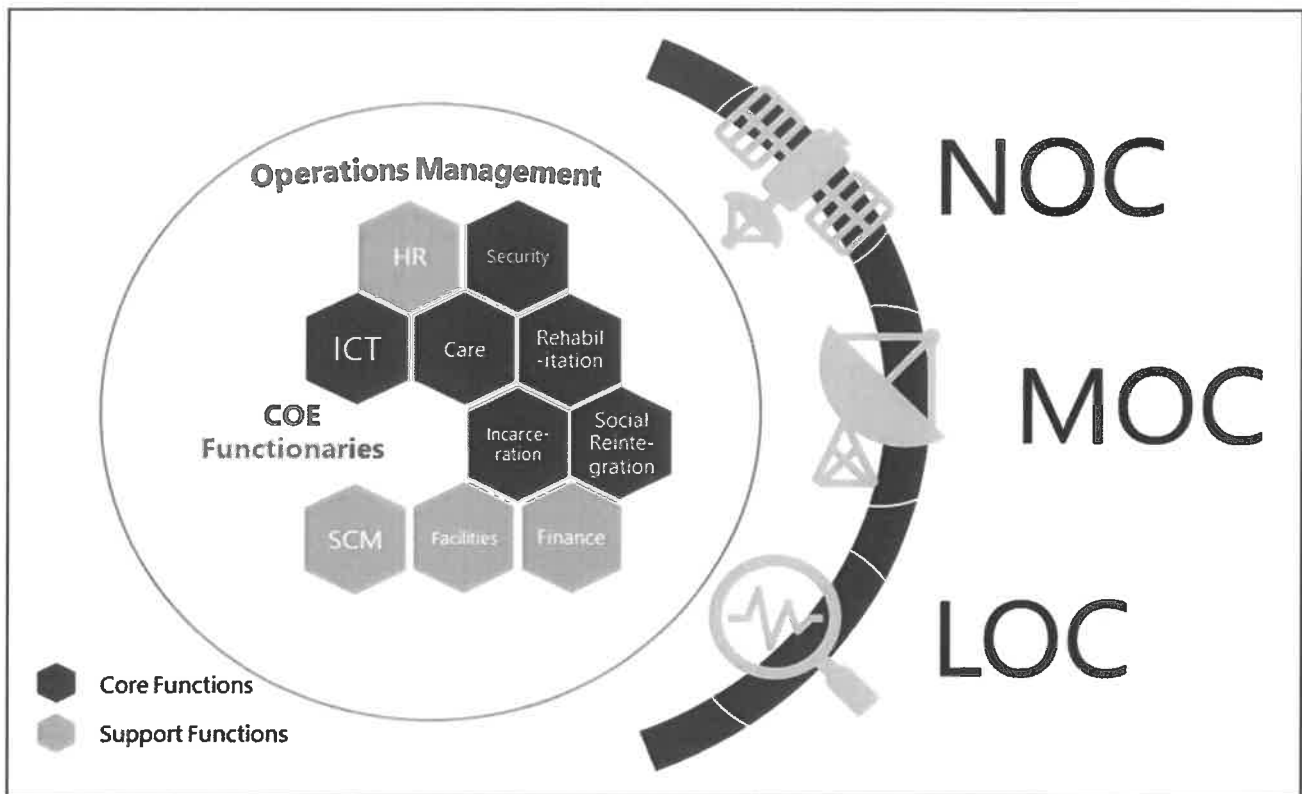


Figure 28: Operation Centres, Operations Management and COE overview

The concept of Operational Centres within DCS is premised on the best practice approach adopted in managing significant threats, namely:

- The insourcing of Nutrition Services, and
- The spread of COVID-19.

The development of Operation Centres is necessary to ensure that DCS adopts an innovative culture, by learning from past experiences, anticipating future challenges and creating oversight on current activities and performance. Data and information management has a key role to play in advancing technical capacity, mitigating risks and reducing duplications and non-essential workload, through developing continuous learning and improvement as well as enabling data-centric decision making by Centres Of Excellence.

The delineation of operations, strategy and information management, illustrated in the figure below, should improve service delivery and responsiveness to client needs through the reduction of bureaucracy and the induction of accountability throughout the value chain. The Operation Centres should provide a comprehensive understanding of operational performance at a Theatre of Operations level through real-time, accurate data dissemination as well as monitoring and analysis of relevant trends and risks both internally and externally to DCS. Accountability and performance management should be linked to the outputs of each of the three components of the Operations Design. For example, should there be an issue arise in terms of performance, a root-cause analysis must be conducted to identify where the gap occurred:

- A gap in planning, systems, policies, and procedures should lead to accountability and consequence management within the Centre of Excellence
- A gap in information management and reporting should lead to accountability and consequence management within the Operations Centres
- A gap in operational compliance should lead to accountability and consequence management within the Theatres of Operations

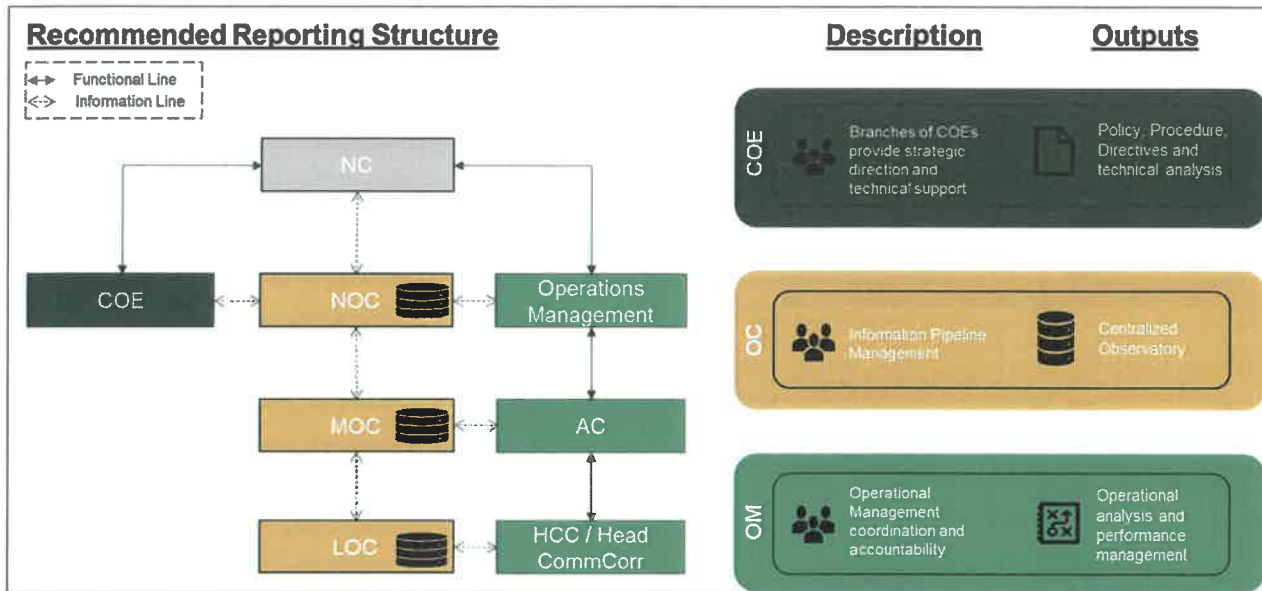


Figure 29: Operation Centre Information pipeline

The National Operation Centre (NOC) will fall directly under the National Commissioner (NC), providing a line of sight right down to centres through real-time information access and will have the following responsibilities:

- Develop and improve the **information management system**,
- Oversee and **regulate** the MOC and LOC,
- **Draw information from all sources** through the MOC at MA level and LOC at centres as well as directly to NOC from external stakeholders, Centres of Excellence and Operations Management (OM),
- **Gather value-added info and analysis** from Centres of Excellence,
- Be the **first alert** of any incident taking place within DCS as well as relevant external incidents that may impact DCS,
- Provide **verbal briefing** of incidents to the relevant Centre of Excellence functionary or the OM delegate, followed up by **written analysis and recommendations** for the delegated authority to follow up with technical analysis and decide on response action,
- Facilitate **collaboration** between **strategic and operational functions** and amongst the different **Centres of Excellence**,
- **Hold Centres of Excellence and OM accountable** in their response to **TOO needs** and provide a reliable and efficient means of communication and **dissemination of directives** to Mas,
- Develop **communication strategies and mediums** for Centre of Excellence and Operations Management to communicate with **external stakeholders**, with the long-term strategic aim of continuous and fluent communication and inter-cluster and inter-governmental partnership development,
- Provide an **access point** to all communication and information procurement and submission both **internally and externally**,
- Review of submissions and implement **uniform quality standards**, and
- Develop a **central repository** of information at Head Office to better enable the SPPM to fulfil the role of custodian of Policy, Procedure and M&E information

Management Area Operation Centres (MOC) will sit parallel to Management Areas and be based at each Management Areas; they will have the following responsibilities:

- Draft **gap-analysis** and information reporting **template adjustment** requirements for SPPM at Head Office to implement, this will reduce unnecessary ad-hoc requests,
- Provide a **point of access** to the information repository to MA level functions,
- Conduct **M&E** of LOCs,
- **Fast-track approval** requests and requirements,
- **Monitor decision** registers and performs preliminary **risk assessments and analysis**; and
- Be the **watch** on ground level for the NOC

Likewise, the **Local Operation Centres (LOC)** would serve as an information-capturing and quality assurance hub at each centre and feed in the information repository. Data sources should have direct uploading access to the information repository system; however, centres lacking ICT infrastructure can be connected through a LAN (ethernet) network to technologically capacitated LOCs which would then feed the data into the repository to enable real-time access throughout DCS, according to accessibility allocations. The LOC will have the following responsibilities:

- Provide a **point of access** to the information repository to Centre Operations,
- **Fast-track approval** requests and requirements,
- Monitor and report on **best practice proposals**; and
- Be the **watch** on ground level for the MOC

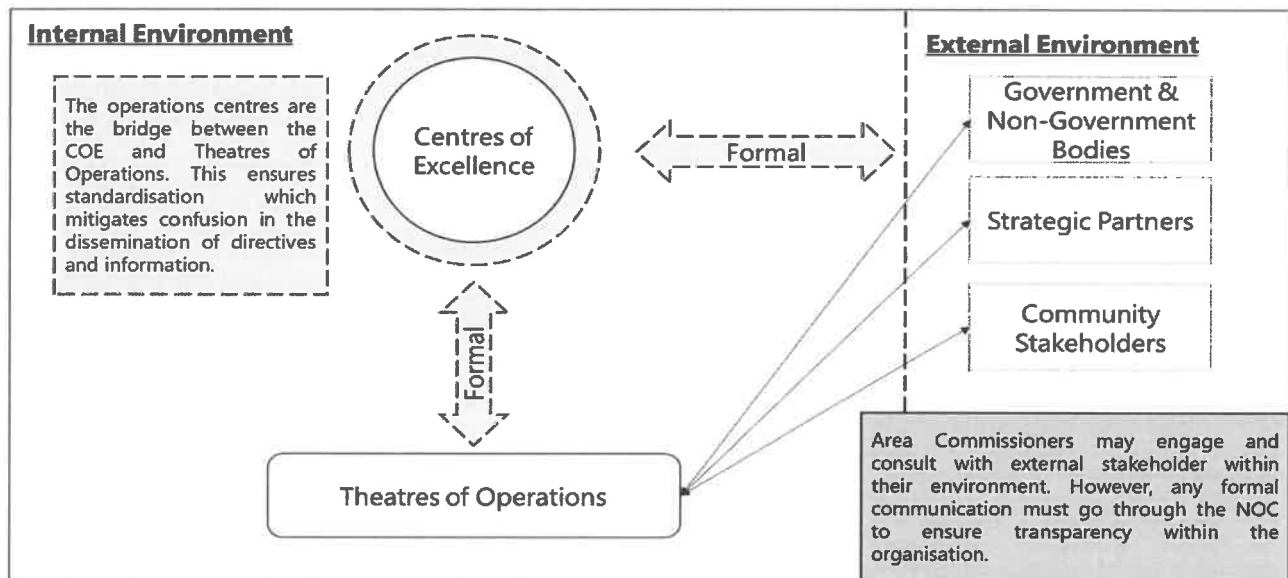


Figure 30: Internal and External Information Transfer

A **centralised observatory or database** of information based upon statistical, operational and strategic data will be collected and consolidated by the Decentralised Network (i.e. the network should be accessible throughout the management levels with appropriate access permissions). This database would make **information gathering and requests easier to access** by various interested and affected parties within DCS by providing:

- **Real-time** collection, analysis and review of information, which will lead to increased service delivery through continuous improvement and action;
- **Reduced congestion in communication** and approval channels would lead to **quicker reactions** to unanticipated or forecasted problems;
- A **communication channel** which would serve as the foundation for short to medium-term **automation of information management** within DCS; and
- Creating a **central office** to consolidate all DCS information:
 - APP and non-APP reporting as well as ad-hoc information requests
 - Any related news that impacts DCS internally or externally
 - Incidents and threats that may affect DCS
 - Meeting readouts and decision registers regarding implementations at MA levels
 - Best practice initiatives

The OC structure will not only enable DCS to be better equipped to deal with disaster situations and emergency responses but also to be equipped to mitigate the effects of these situations and even at times prevent them from occurring or impacting DCS. A well-functioning LOC, MOC and NOC would not only have data and analysis available to utilise in disaster situations but also ensure access to the protocol response are disseminated effectively to all actors at the different levels within the DCS as well as monitoring the response to these situations. Disaster management is a continuous process

(as depicted below) which would be managed by the NOC in accordance with Business Continuity Plans that have been developed by relevant functionaries within the Centre of Excellence.

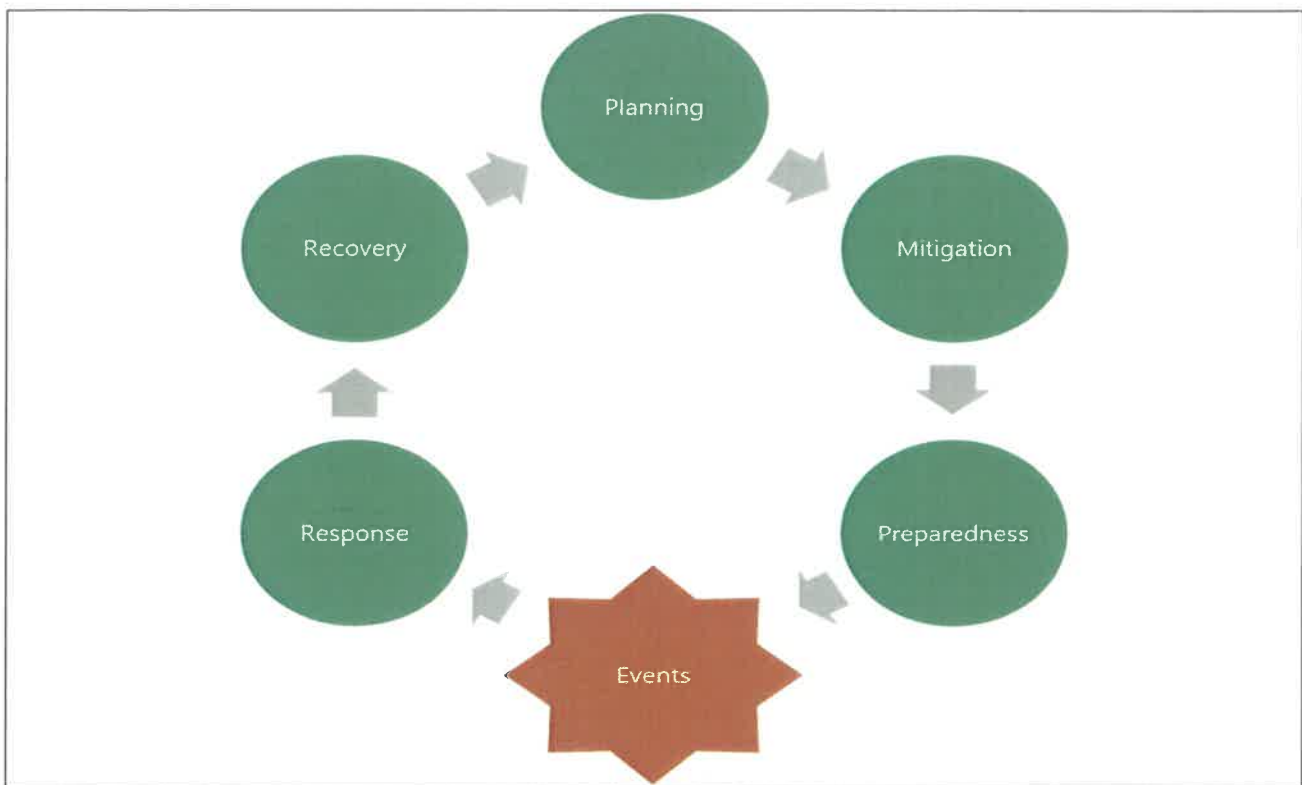


Figure 31: Operational Centre Disaster Management

	Planning	Mitigation	Preparedness	Response	Recovery
NOC	Developing real-time reporting processes	Inform Centre of Excellence and OM on threats and risks and monitor response	Ensure Response equipment is in place	Facilitating communication and virtual monitoring	Analyse Response
	Analysis of process and continuity needs	Enact policy and regulation	Develop and test warning systems	Disseminating hands-on instruction/protocol from Centres of Excellence to TOO	Improve response plans and procedures
	Developing disaster prevention activities, including contingency, long-range and demobilisation planning	Conduct awareness campaigns to educate and promote prevention	Train disaster responders	Issuing alerts to citizens, legal entities, administrative bodies, rescue services and other civil protection forces regarding risks and hazards	Communicate changes to MOC, LOC and Centres of Excellence
	Organising awareness campaigns and formalising communication reporting channels	Develop crisis management resources	Develop and monitor SMS or telephone hotline reporting systems (bypass intermediate reporting steps for priority situations)	Coordinate information activities across the response network both externally and internally	Facilitate training and resource allocation to enable an improved response to future situations
MOC		Identify threats and risks	Ensure Response equipment is in place	Monitor secondary disasters through monitoring teams	Implement response changes
		Analyse trends	Monitor hotline reporting systems		
LOC		Identify threats and risks; and report via response communication tools		Provide continuous monitoring and reporting	Implement response changes

Table 6: Disaster Management Response Roles



The Operation Centres should form the facilitation base for continuous improvement within DCS, using the information management and communication platforms to develop a culture within DCS that promotes information as the basis of decision making and promotes the value and utility of strong data systems and reporting to enable organisation-wide improvement.

Various continuous improvement methods exist with operations management and the table below highlight prominent examples.

<i>Continuous Improvement Tool</i>	<i>Description</i>
<i>Total Quality Management</i>	Total quality management aims to hold all parties involved in the production process accountable for the overall quality of the final product or service. It seeks to reduce service delivery errors by ensuring that the required process standards are appropriately designed and followed.
<i>Kaizen</i>	Kaizen is a continuous improvement framework that resolves process abnormalities in cross-functional teams. The PDCA methodology is used to make small improvement changes continuously in a process as small changes require less change management to be sustainable. Tools such as 5 Whys are useful in discovering the root cause of operational issues.
<i>Six Sigma</i>	Six Sigma utilises statistics to reduce variation in a product or service line. Quantitative measures are recorded and assessed to determine the level deviation from a predefined specification which is addressed through the DMAIC methodology.

Table 7: Prominent Continuous Improvement Techniques

Improvement methods such as Kaizen should be promoted and utilised to facilitate innovation with the support of the improved information management system. The Kaizen approach offers a simple entry point for an organisation to embed a continuous improvement culture as the tools and methodology required are designed to be easily understandable. The figure above illustrates an adapted kaizen process that can be instituted by the Operation Centres to implement continuous improvement within DCS.

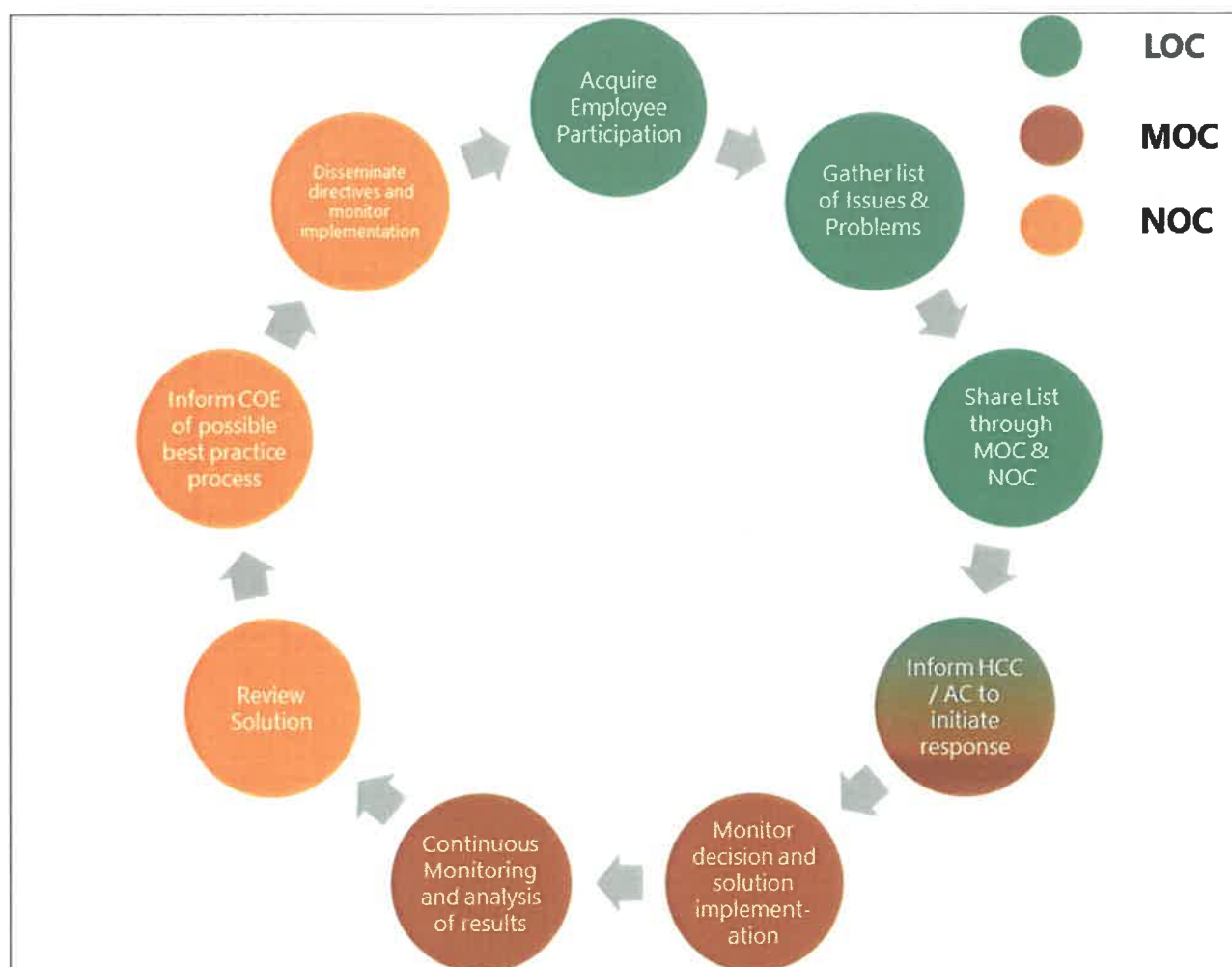


Figure 32: Kaizen Continuous Improvement Process

The Kaizen process should loop continuously within the operation centres by identifying inefficiencies and gaps, informing the relevant Operations Management or Centres of Excellence officials and monitor implementation of the reengineered processes for improvement. Improved performance should warrant further reengineering tweaks and implementing processes as best practice within MAs, Provinces or Nationally if suitable.

Corrective response and implementation should be allocated to the lowest possible delegate and should be monitored through the Operation Centres. Decision implementation should be based on emergency levels, and response repercussions, ensuring emergency decisions have clear delegated authorities. The figure below illustrates the effect of decision time on performance and outcomes based on the type of decision. The delegation of decision authority should be based on ensuring adequately timed responses as well as technical capacity and geographic scope of the decision.

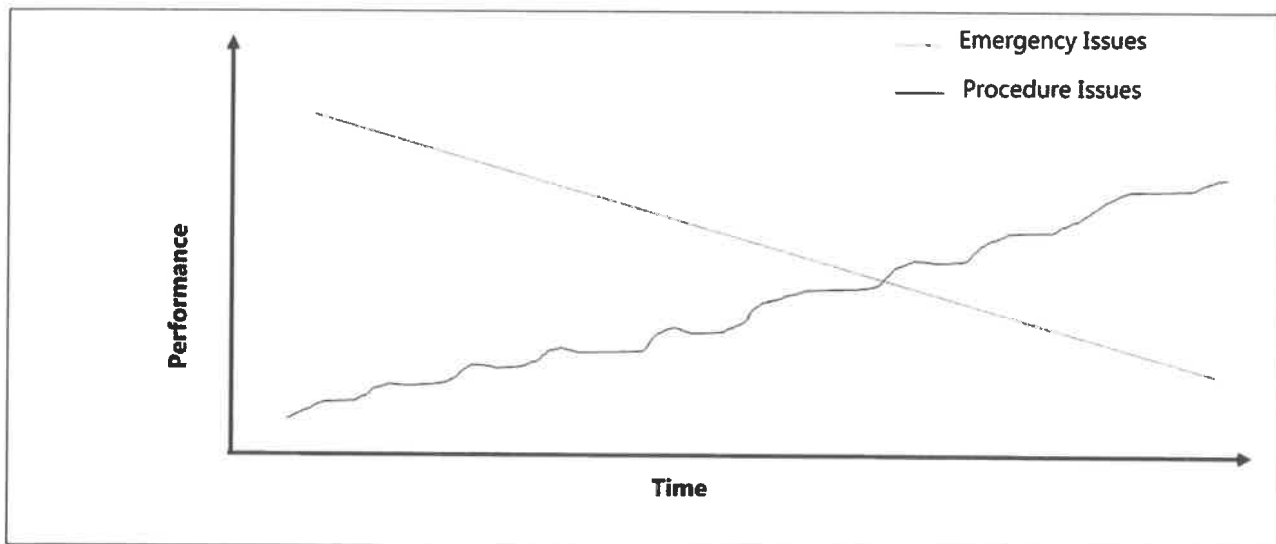


Figure 33: Performance against Response Time

The process of reengineering should be cultivated and ingrained into routine functioning within the DCS from centres up to the Centres of Excellence, with a culture of continuous improvement and organisational growth towards a rehabilitative Correctional Services with a high service satisfaction and low recidivism rate.

5.2.5 Information Flows and Reporting Lines

In terms of information flow, core SDM functionaries within the Management Areas will retrieve data and insights from their respective centres for analysis and upwards reporting to the Centre of Excellence. The core SDM functionaries will receive technical support from the Centre of Excellence and translate it into operational initiatives to assist in improving service delivery in the Centres. They will also disseminate tools such as standards and procedures to the Centres. The Operations Centres will act as the pipeline for information flow across the management levels. The figure below illustrates the information flow.

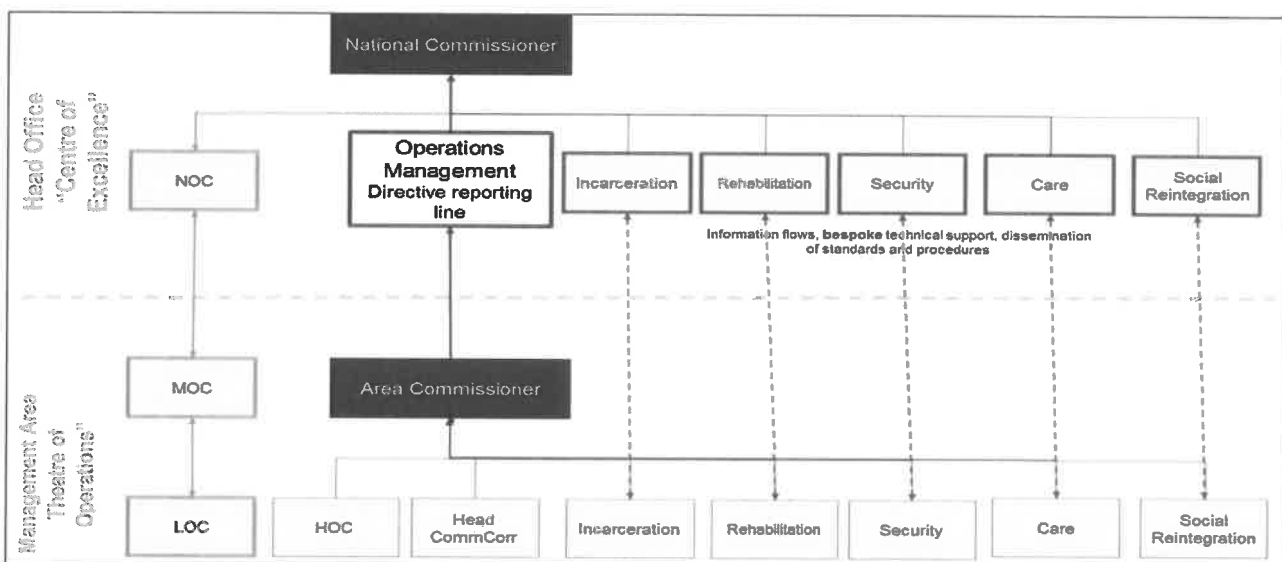


Figure 34: Core Functions Information Flow

Support services will be operated in a slightly different manner. Support functions within the Management Areas will report directly to their counterparts in the Centre of Excellence to ensure support is provided in the required manner. They will be considered as service providers to operations (who are service recipients) to ensure that all their support needs are met within the boundaries of the prescribed procedures, policies and budgets as depicted in the figure below.

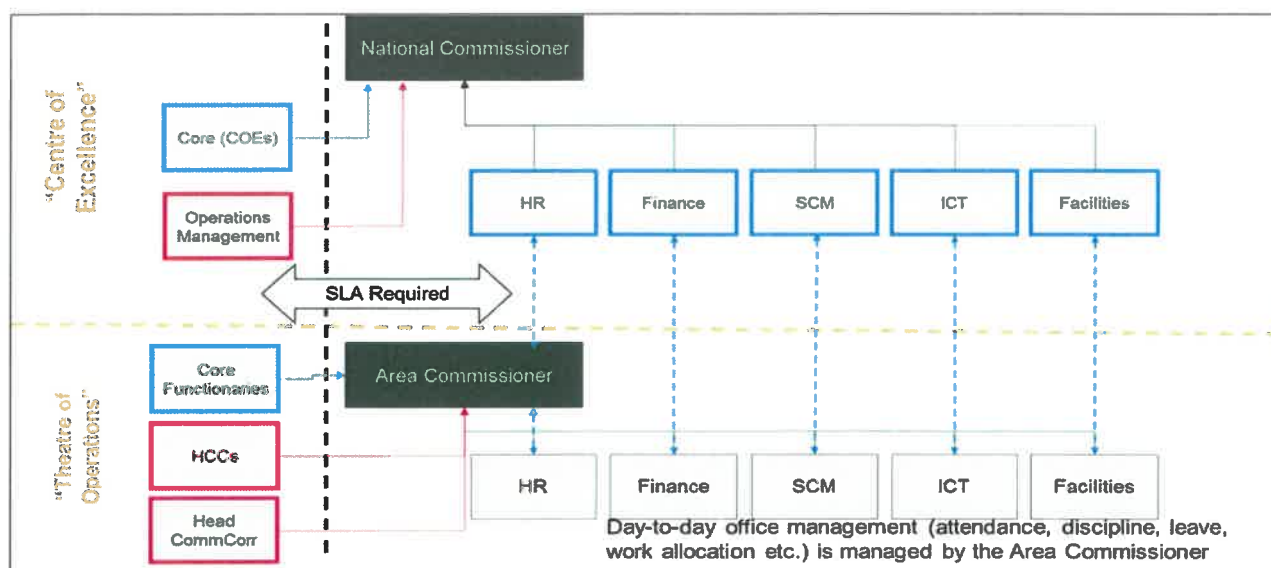


Figure 35: Support Functions Information Flow

To ensure that there are clear and defined parameters for service delivery by support functions to core functions, Service Level Agreements (SLAs) will need to be developed that fully articulate the scope of the relationship between core and support functions in the organisations. The figure below summarises the nature of the relationship. A good example is the Procurement service. A cost centre owner will engage with Supply Chain Management to specify their needs and the required resources to fulfil those needs. Supply Chain will follow a set standard of protocols and processes to provide the cost centre owner with their goods or service. This relationship has clear boundaries:

- The Service Recipient **cannot** dictate the manner in which the service must be conducted, and
- The Service Provider **cannot** dictate what service can be requested as long as the required standards and protocols are met.

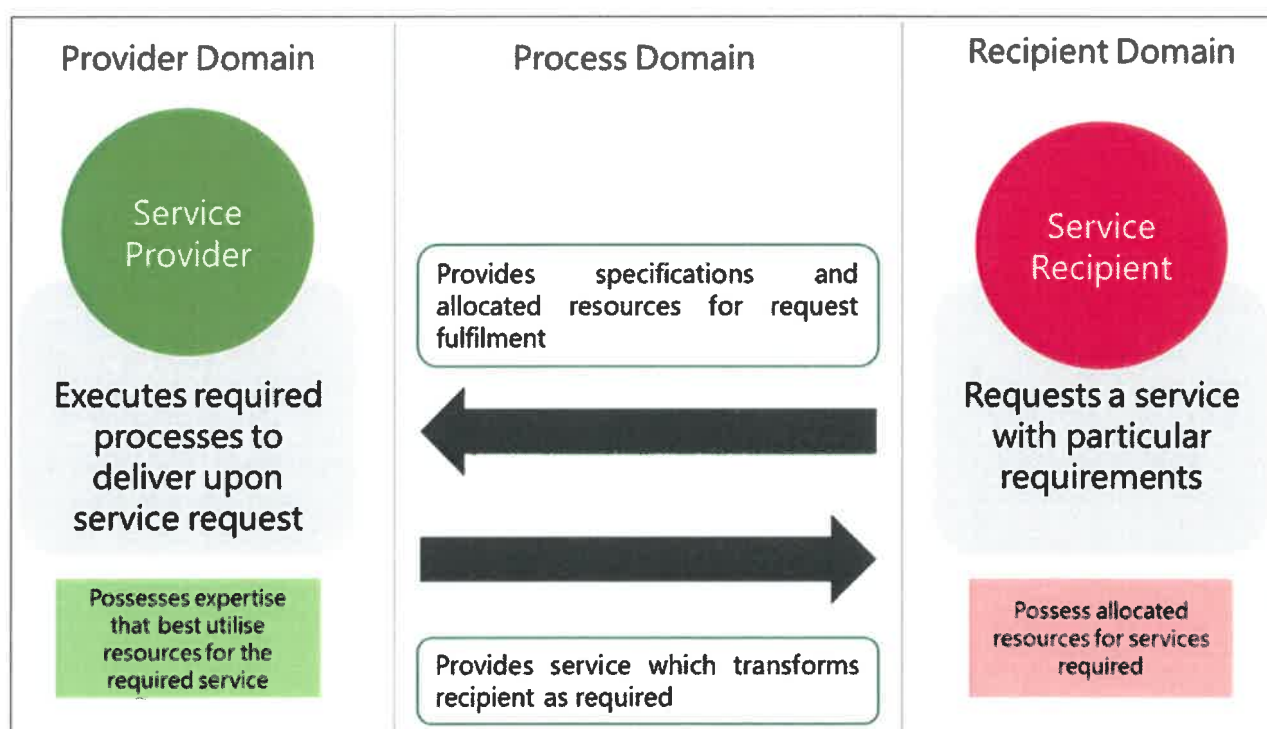


Figure 36: Service Provider & Service Recipient Relationship

5.2.6 Operational Delegations

As Theatre of Operations, the Area Commissioners and Head of Centres will require sufficient delegation to execute operational decisions so as to not hinder service delivery. It would be ideal to limit dependencies on Head Office for



general operations so long as the NOC has sufficient and efficient information flow to observe operations on a real-time basis to course correct where required. Strong performance management and consequence management systems and processes will be necessary to control unwarranted exploitation of the Delegation of Authority. To ensure seamless operations, Management Areas and Centres will need to be capacitated with the required resources and skills to execute the delegations and responsibilities provided effectively. This would include the implementation of continuous improvement skills such as Kaizen and Six Sigma to minimise resources wastage and variability in the quality of service delivery. Best practice would flow upwards through the aforementioned information flow channels to enable the Centre of Excellence to institutionalise best practice to be shared across the organisation.

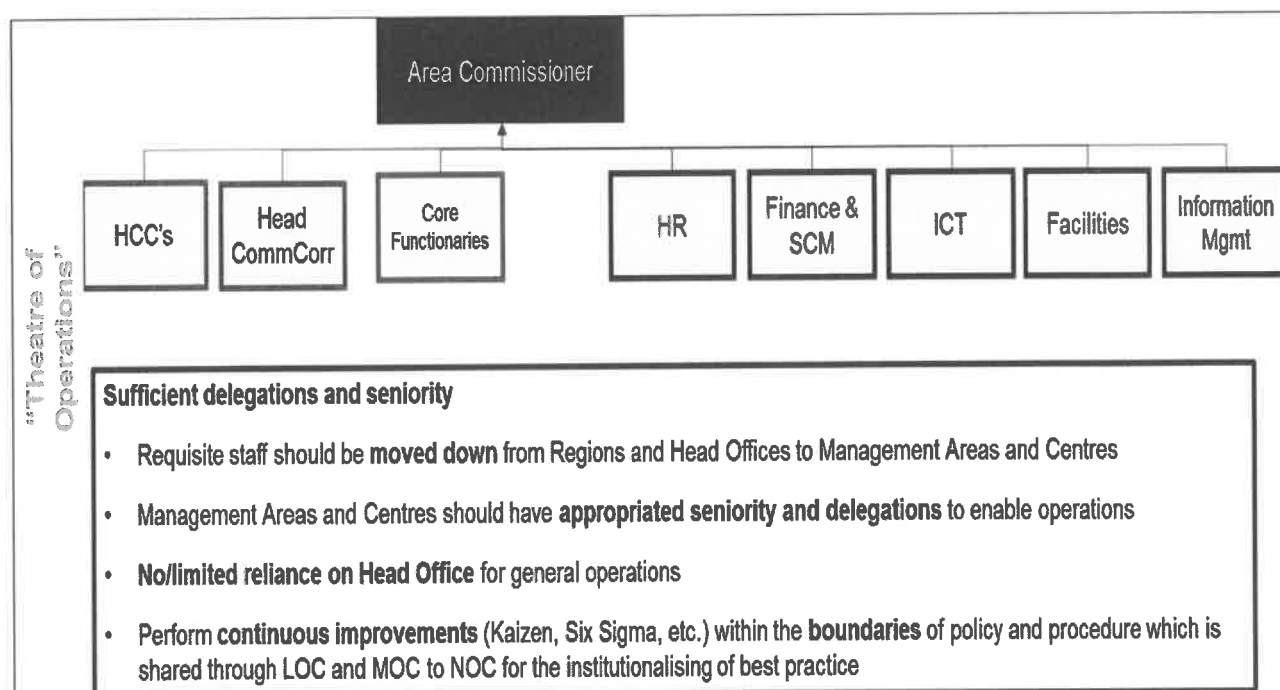


Figure 37: Management Area Delegations Requirements

The adjustment of Regional resources would present an opportunity for the development of dedicated Management Area Service Centres, which will facilitate activities that benefit from economies of scale. These include capacity building, legal services, system query resolutions, amongst others. The Management Area Service Centre could also be utilised as a meeting point for Area Commissioners (or the MOC) of a given province to engage with the respective NOC representative to discuss strategic issues such as the sharing of resources across the Management Areas and systemic threats on a provincial level.

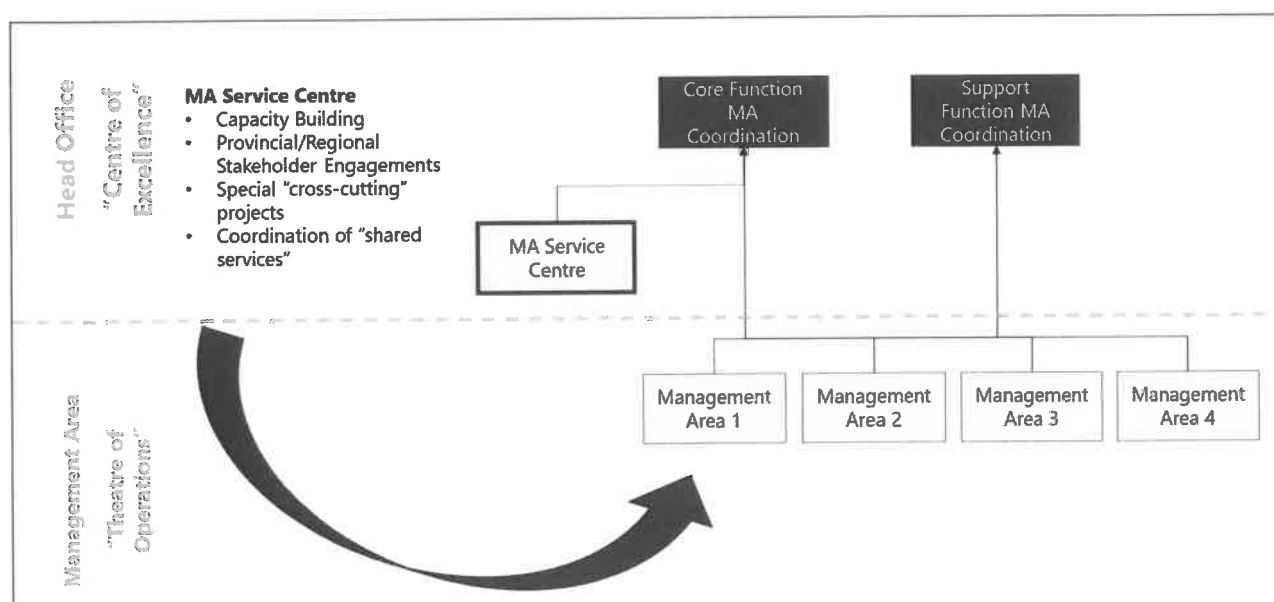


Figure 38: Management Area Support Centre



5.2.7 Information Management

For the proposed operating model to work optimally, a robust information management culture must be embedded within DCS to maintain institutional memory and enable well-informed decision making. Without this, both the NOC and Centres of Excellence will not be able to ensure that effective service delivery occurs within the organisation. The figure below illustrates the components required by the NOC to initiate the Information Management and Response functions within DCS.

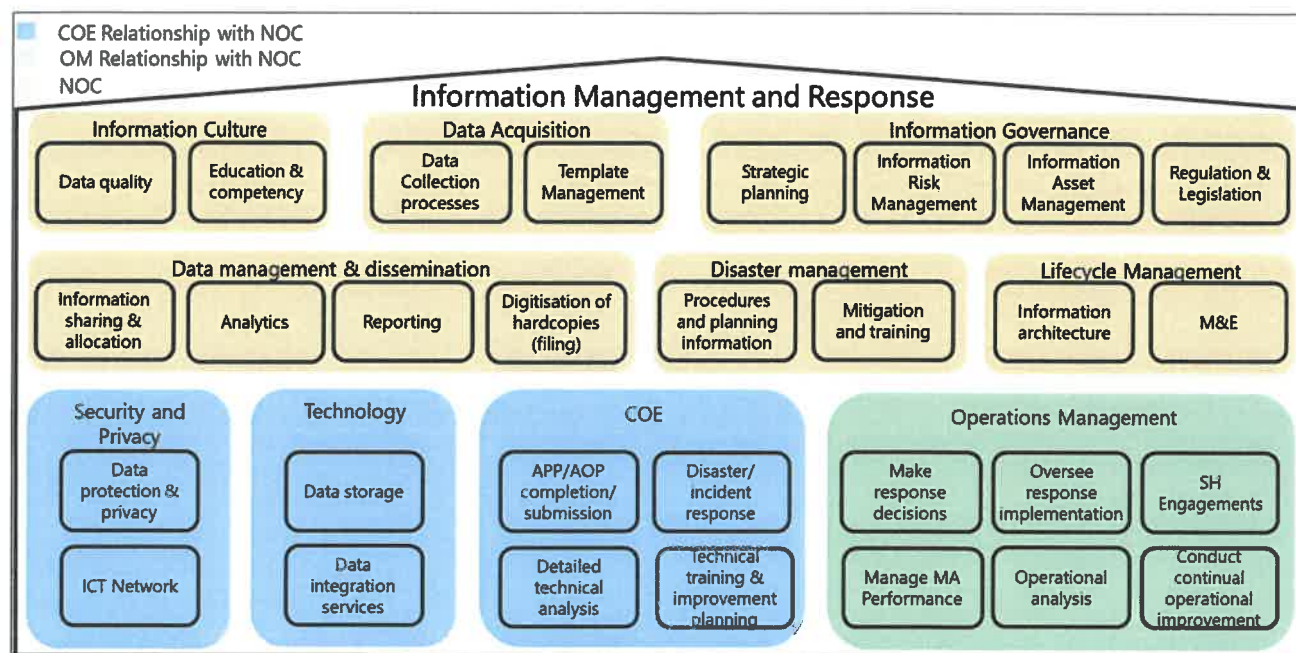


Figure 39: Information Management and Response Functions

The table below details the components in the figure above.

Centre of Excellence	Description
Information Culture	<p>Foster an information maturity within DCS to understand and promote the importance of high-quality information collection, submission and dissemination through:</p> <ul style="list-style-type: none"> • Development of quality standards; templates; and educational programmes and workshops to ensure competency at all levels and functions • Promotion of data sharing within DCS, to drive service improvement and outcome delivery
Data acquisition	<ul style="list-style-type: none"> • Identification, organisation and classification of information and information systems to enable their appropriate use and protection • The LOC, MOC and NOC will have standardised data collection and submission templates with requirements; and shall be responsible for ensuring these standards are adhered to. Continuous improvement methods should be adopted in order to continually improve data templates according to needs and to fulfil strategic outcomes • The NOC will develop SMS or telephone hotline reporting systems, to bypass intermediate reporting steps for priority situations and to speed up reporting
Information Governance	<p>The NOC will be responsible for fulfilling the Centres of Excellence strategic requirements for information management and disaster monitoring; these will include:</p> <ul style="list-style-type: none"> • Strategic planning • Development of policy and procedure to ensure standardisation of information • Development of risk management contingencies to ensure data protection and security



<i>Centre of Excellence</i>	<i>Description</i>
<i>Data management and dissemination</i>	<ul style="list-style-type: none"> Ensuring information system asset management by updating systems and implementing technology improvements over time The NOC will develop tools, processes, frameworks and arrangements to facilitate data sharing and develop access and allocation control measures on information systems to ensure the right information is accessible to the right delegations internally and across the cluster, accounting for legal and regulation clearances The MOC and NOC will be responsible for analysing data and monitoring for risks as well as ensuring old hard copies is transferred into the information system repository The MOC and NOC will also be responsible for reporting incidents to the delegated authorities instantaneously and following up on response actions
<i>Disaster Management</i>	<p>The NOC will be responsible for disaster alerts to internal and external stakeholders on possible threats as well as the custodians of disaster mitigation and management plans together with disseminating information and coordinating communication during disaster events. This will be managed by:</p> <ul style="list-style-type: none"> Continuous performance management, conducting monitoring and analysis and developing metrics to ensure the mitigation of potential risks Developing an emergency reporting system, which will be responsible for national coordination of emergency response and recovery processes, and for identifying and prioritising resources to implement response actions
<i>Lifecycle Management</i>	<p>The NOC, in collaboration with the MOC and LOC, will develop a better understanding of how information is created, managed and used within DCS through:</p> <ul style="list-style-type: none"> Conducting M&E processes to reduce inefficiencies and prioritise usefulness over-time and to ensure the dependency of manual processes is transformed into digitisation and end-to-end digital processes Developing information architecture focused on organising, structuring and labelling information and ensuring that information is captured and retained for as long as it is required for evidential, functional and information purposes and only destroyed when authorised
<i>Data Technology and Security</i>	<p>The LOC, in collaboration with GITO, will:</p> <ul style="list-style-type: none"> Ensure ICT networks are in place to enable the LOC and MOC to function on a real-time basis Identify and utilise high-value information systems and assets as well as to conduct risk assessment and management of these assets Develop governance frameworks to support strong asset management and cybersecurity Define and develop controls and security features needed to protect high-value information assets

Table 8: NOC Information Management and Response Functions

In the long term, information systems such as the Integrated Inmate Management System (IIMS) will be essential in this regard. In the interim, the resources and capabilities within DCS can be repurposed and optimised to enable similar outcomes at a lower cost. For example, DCS utilises a Microsoft SharePoint service which permits the dynamic sharing of digital information. This infrastructure can be utilised with well-designed tools and user permissions to develop real-time information management business processes in the short term. The NOC would be responsible for developing and maintaining information-gathering tools with appropriate training material. The MOC and LOC would capture information in a standardised manner according to the established protocols. Best practice would be to ensure that



information is validated at the source upon capturing and that calculations are performed by the tool to limit human error and unwarranted variation. The figure below summarises the characteristics of the information management tool.

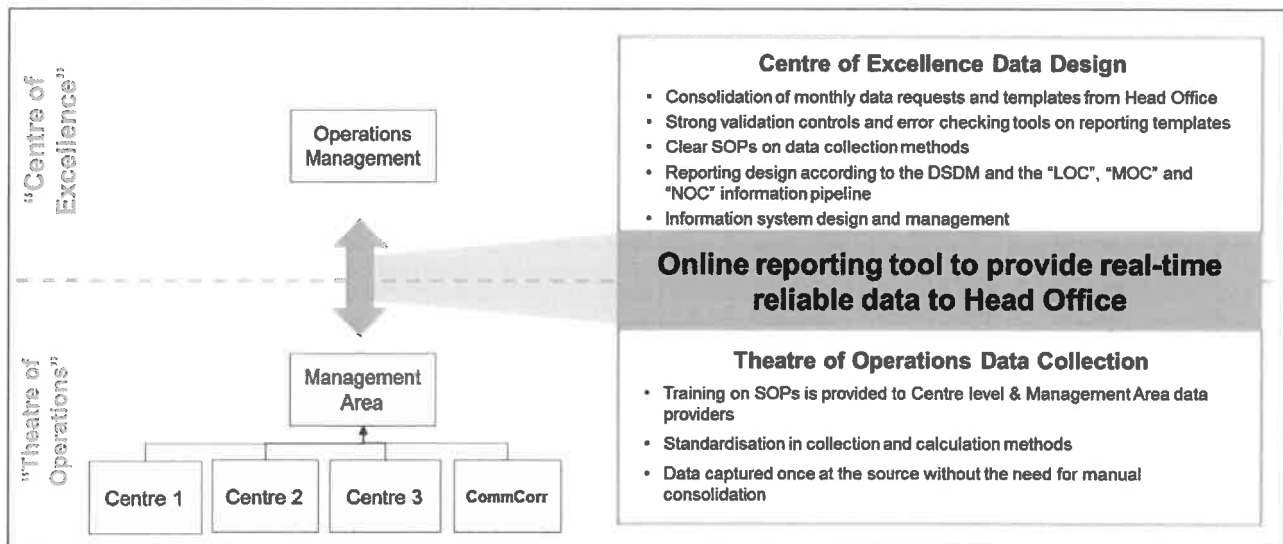


Figure 40: Real-Time Reporting Design and Utilisation

6. CHANGE MANAGEMENT ROAD MAP

The Change Management process continuously runs throughout the implementation of the recommended solution, with activities beginning even prior to the actual implementation process. The main objective of Change Management is to ensure the people element within an organisation is effectively managed, as this ultimately contributes to the development of an environment that is conducive to organisational change with limited or no pushback. Both communication and stakeholder engagement plans form vital components of the change management process and are imperative in ensuring a streamlined organisational transformation.

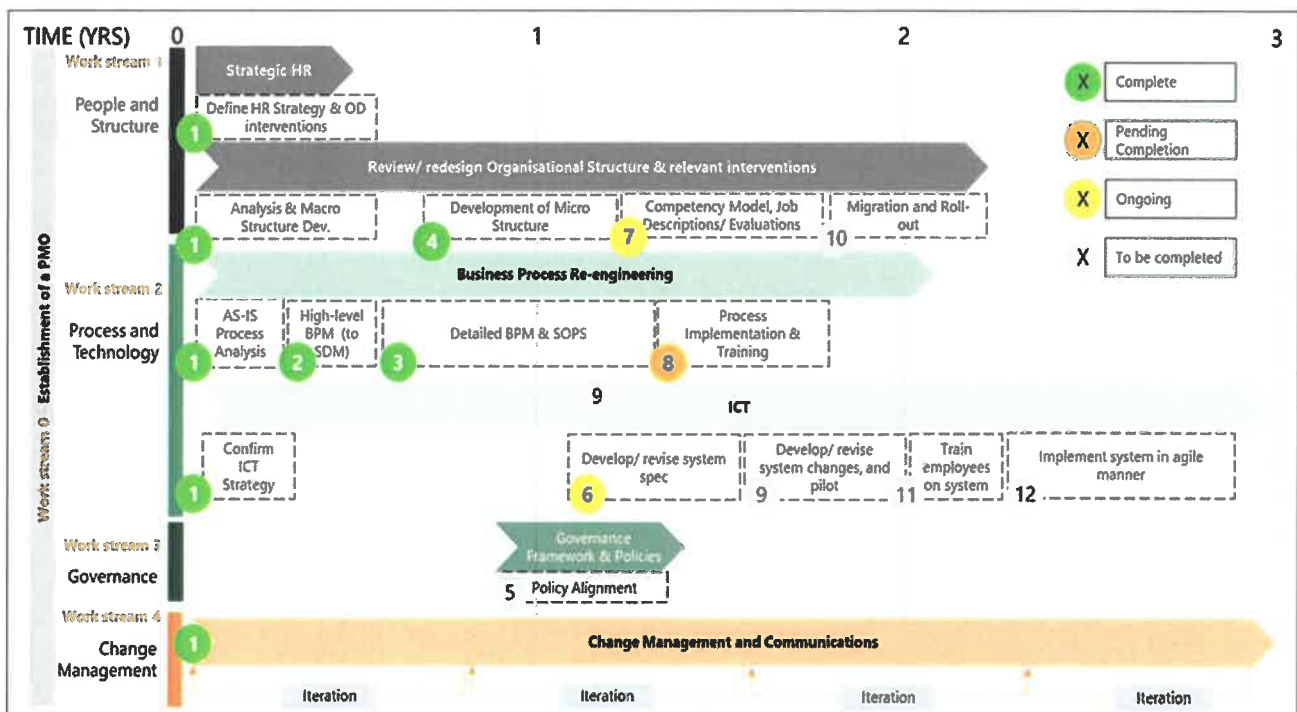


Figure 41: SDM Change Management Plan

The SDM detailed a Change Management Implementation Plan (shown in the figure above) that proposed four Work Streams, i.e. People and Structure, Process and Technology, Governance and Change Management. All activities within the four Work Streams must be overseen by a dedicated Project Management Office (PMO) to ensure that all activities are executed in a timely manner, as well as in accordance with DCS standards and protocols. To date, both Stage 3 (Detailed BPM & SOPS) and Stage 4 (Development of the Microstructure) are nearing completion. By the end of March 2020, Stage 8 (Process Implementation and Training) will be completed in parallel with HR and ICT processes.

Due to the innovative nature of the recommended Operations Design, it is imperative that DCS follows a structured Change Management road map to ensure that implementation is as smooth as possible. To this end, a dedicated PMO with cross-functional representation will assist in reducing risk throughout the process. The figure below summarises key activities that should occur within the Change Management process.

	Short Term	Medium Term	Long Term
1. Create and approve new OD structure	1.		
2. Ensure standardized best practice processes in MA's & centres	2.		
3. Create efficient data management and an online reporting infrastructure	3.		
4. Capacitate Management Areas and Centres		4.	
5. Devolve all operational functions to Management Area		5.	
6. Implement appropriate delegations to Management Areas & Centres		6.	
7. Create a direct reporting line between MA's and HO for support functions		7.	
8. Ensure strong M&E tools before recalibrating regions		8.	
9. Migration of Human Capital			9.

Figure 42: Proposed Change Management Road Map



7. RISK ASSESSMENT

The risks associated with this innovative change within an organisation are considerable with cultural and historical dynamics are taken into consideration. However, the risks resulting from stagnation in an environment of constant change, increasing commitments and depleting resources are equally significant and consequential. The key risk factors regarding the operational redesign are related to the culture within DCS. Management of the resistance to change which seeks to preserve the status quo is key to the smooth implementation of the organisational redesign. Cultural dynamics regarding the ranking system utilised within DCS and its correlation to management levels and functional posts is a critical aspect, which requires cautious management throughout the process. To highlight the importance of strong change management, the table below indicates the identified risks if a structured change management process is not followed.

Table 9: Risk Assessment if Change Management Roadmap is not followed

Action	Risk Description	Level of Impact
Immediate removal of the Regional Offices as part of the operational management structure prior to the implementation of the OD structure as well as the capacitation of Management Areas	<p>Bottlenecks and longer lead times would result in the dysfunction of Management Areas, specifically those with low ranking Area Commissioners and lack of operational capacity</p> <p>Bottlenecks and longer lead times would result in the dysfunction of Management Areas, specifically those with low ranking Area Commissioners and lack of operational capacity</p>	Medium
The transfer of delegation and reporting from 6 Regions to 48 Management Areas directly to Head Office for each function without the delineation of Operational and Strategic components and no functional NOC structure	<p>An unmanageable span of control at Head Office</p> <p>Head Office being overburdened by administration and the recurrence of a top-heavy management structure, resulting in loss of management control and oversight</p>	High
Management Areas not being granted the required autonomy to manage their jurisdictions and not capacitated in required skills and rank to enable authorization of routine delegation requirements	Dysfunctional Management Areas with minimal accountability	Medium
The lack of integrative mechanisms in the implementation of restructuring between Operational and Strategic functions at Head	Uncoordinated policy development that is operationally unfeasible	High
M&E functions at Management Areas not being performed adequately would limit Head Office oversight	Increased risk of mismanagement and misallocation of resources that accompanies the increased authority at Management Area Level	Medium
Implementing the Operations Design without a dedicated PMO leading the change management	Organisational resistance to change and the sabotaging of the new operating model	High

8. WAY FORWARD

With the completion of the DCS SDM, the DPSA OMF necessitated the implementation of the Operations Design process to develop an organisation that would fulfil the DCS mandate through the SDM.

The Business Process Mapping exercise enabled a detailed view of the interactions between different components within DCS in the drive to fulfil the DCS mandate. A critical gap uncovered in the business processes was the nature of information flow within organisations. An apparent disconnect between operational levels of the organisation (i.e. Management Areas and Centres) and strategic levels of the organisation (i.e. Head Office) was observed. This has resulted in operational silos, inefficient service delivery, non-standardisation and critical operational risks as identified in this report. This has been caused by the numerous levels between theatres of operations and head office and a lack of clarity as to where strategic leadership begins, and operations management ends in the current structure. Long and convoluted reporting lines cause misinformation, slow implementation of strategic plans and inadequate guidance within operational areas.

The proposed solutions bring information control to the forefront to ensure that decisions are made through sound and validated data which is available on a real-time basis; enabling strategic functions of the organisation to act on emerging threats as they are uncovered. The proposed Operations Design distinguishes operational functionality and informational flow from technical functionality and information flow. This is important as this allows for accountability to be clearly defined across the functions and management levels, i.e. the Centre of Excellence is accountable for developing the frameworks and tools to realise service delivery while the Theatres of Operations are accountable for execution according to the Delegation of Authority, the Annual Operational Plan and the policies and procedures for the DCS. The Centre of Excellence must engage with counterparts in the Theatres of Operations to retrieve analytical insights to allow for the sharing of best practice and the assessment of risks across the organisation. The LOC, NOC and MOC structure will enable a direct line of sight from the top-down regarding operational activity and will ensure that operations can be directed effectively and efficiently.

Due to the innovative nature of the proposed Operations Design, strong change management will be critical to control cultural dynamics and mitigate risks. It is essential that the sequence of activities chosen to implement the change minimises disruption to service delivery. The short term implementation of the new model will only realise the necessary gains once the required infrastructure, capacitation and protocols have been implemented.

Performance management and consequence management will be critical components to manage to ensure that responsibilities are realised, and delegations are not exploited. In particular, the information pipeline through LOC, MOC and NOC structure must be robust and tightly controlled as this will form the basis for operational effectiveness and service delivery in DCS.

In this regard, processes within performance management (organisational and individual) and information flow must be a priority for business process reengineering.

ANNEXURE A - PROCESS GAP ANALYSIS

A) Incarceration

Process	Gaps Identified	Associated Risks
Comprehensive Assessment	<ul style="list-style-type: none"> An unnecessary amount of physical paperwork - Quadruple copies of G307 forms required for every court seat at the end of the month for all awaiting trial prisoners 	<ul style="list-style-type: none"> Loss of paperwork Effort, time and space consuming Costs to print
Case Review	<ul style="list-style-type: none"> Letter of Request is required to acquire Identity Docs if not in possession of such docs Inmates serving sentences of at least six months, but less than nine and require ID docs have the option to refuse to acquire such docs 	<ul style="list-style-type: none"> Delays further processing One offender can have multiple files which are not centrally tracked
Case Review	<ul style="list-style-type: none"> A local shortlist is kept up of candidates who qualify for specific posts or workteams 	<ul style="list-style-type: none"> No centralised list/repository of skills No oversight of skills
Case Review	<ul style="list-style-type: none"> The Head of the Centre must periodically attend sessions (preferably on a monthly basis) with a view to evaluating the proceedings. This attendance of sessions is purely observational and not meant for participation in the proceedings. 	<ul style="list-style-type: none"> Head of the Centre lacks insight into the proceedings
Admission RDS & Admission Sentenced	<ul style="list-style-type: none"> Duplication of similar tasks 	<ul style="list-style-type: none"> Additional time and effort required
Final Admission & Immediate Assessment	<ul style="list-style-type: none"> Offender risk based upon observation of CAO 	<ul style="list-style-type: none"> CAO is not formally / comprehensively trained in social work
Correctional Sentence Planning	<ul style="list-style-type: none"> Copious amounts of paperwork (number of copies) 	<ul style="list-style-type: none"> Paperwork can get lost whilst being sent to relevant officials or filing room
Case Review	<ul style="list-style-type: none"> Impact of programmes previously conducted by offender not assessed 	<ul style="list-style-type: none"> Offender undertakes programmes passively and the desired effect or rehabilitation not experienced

Gaps Identified		Associated Risks
Parole Board	<ul style="list-style-type: none"> Offenders file sent between multiple parties multiple times 	<ul style="list-style-type: none"> Additional time and effort required

B) Rehabilitation

Gaps Identified		Associated Risks
Correctional Programmes		
Psychological Services	<ul style="list-style-type: none"> Psychologists are given the freedom to make use of appropriate measures in delivering a service, to their personal discretion. Measures not deemed 'standard' are to be approved by the Commissioner of Correctional Services. 	<ul style="list-style-type: none"> Does engagement with a field expert exist? Professional integrity of psychologist should be in tandem with the Commissioner's approval as they are the experts in the field.
Psychological Services: Reporting	Psychological reports cannot be made available to any party outside of DCS without the inmate's approval.	<ul style="list-style-type: none"> Expert advice from psychologists may be overruled by inmate view. Consultation with additional service providers may be affected by the unavailability of report
Psychological Services: Reporting	Prisoner psychological files may be requested but only upon approval by the relevant prisoner. External institutions used may be requested to provide reports but only with the prisoner's written consent.	Emergency situations may require the availability of such information and the inability of the prisoner to provide written consent (Should the expert provider not be allowed to approve this process in an emergency situation?)
Psychological Services: Reporting	Management Information System (MIS) must be recorded monthly on the LAN computer programme. Manual and physical distribution of Information present	Delays in information flow and availability of required information
Psychological Services: Solitary Confinement / Segregation	Physical/mental health exam should be carried out at least once a day by an appropriate individual (registered nurse or psychologist). An inmate may reject conduction of exam	Unfavourable conditions of segregation/solitary confinement would result in an indirect impact on physical and/or mental health. It is imperative that an exam is done, even without consent from an inmate.

Process		Gaps Identified	Associated Risks
Psychological Services: Administration		<ul style="list-style-type: none"> Lack of space in conducting contact/therapy session (<12 m²) Lack of computer aids Lack of Audio-Visual equipment No panic buttons equipment available 	<ul style="list-style-type: none"> Group sessions require space for a large number of inmates. A cramped space would be un conducive to effective therapy delivery. Inmates are catered for in administrative offices which poses great security risk (DH: Psychological Services to make sure space is appropriate) Psychologists are required by the procedure to be granted access to a computer and printer for manual creation, report consolidation and other functions. Audio and Visual equipment is not sufficient in running interactive sessions. Each space is required to have at least one (1) television and video machine Lack of panic equipment means that service may be hindered by safety concerns or threats to the delivery
	Psychological Services communication	<ul style="list-style-type: none"> Email as the standard form of communication (effective and time-efficient) - 	<ul style="list-style-type: none"> Time dependency on the physical distribution of communications (memo's for approval, case files in emergencies). Critical time exists for many psychological services and dependencies
Spiritual Care		<ul style="list-style-type: none"> Presence of copious amounts of paperwork Lack of centralised electronic database 	<ul style="list-style-type: none"> The laborious process of moving documentation and filing Paper documents may be lost and/or damaged in emergency situations with no secure backup (electronic)
Spiritual Care Reporting		<ul style="list-style-type: none"> Lack of Chaplains at centres mean inadequate quarterly reporting to Religious Heads 	<ul style="list-style-type: none"> Inaccurate representation of statistics, misinformation due to no real information point to Religious Heads

Gaps Identified		Associated Risks	
Process			
Social Work Contact session	<ul style="list-style-type: none"> A social worker is required to provide the Head of Prison with a list of interested and affected prisoners a day (1) in advance 	<ul style="list-style-type: none"> Chaplain is delegated authority for the appointment of religious workers Access and attendance control will be guaranteed. Security and movement quality would be increased in the space 	

C) Security

Gaps Identified		Associated Risks	
Lack of staff / warm bodies		Security and other roles compromised due to primary functions being overburdened by the need for secondary functions, which are carried out by the same officials	
Old and unmaintained infrastructure		Increased risk of escapes and smuggling due to inadequate access control from old infrastructure	
Vandalism of infrastructure and break-ins within work areas		Theft of equipment within work areas, illegal placement of contraband and weapons increases security risks	
Overcrowding of centre		<ul style="list-style-type: none"> Official to Offender ratios are not in adherence to the policy which would create security threats No support or aid would be present in times of emergency 	
Inadequate security infrastructure design		Patrols and proper monitoring and guarding would be impacted by these flaws	
Gangsterism		<ul style="list-style-type: none"> Monitoring of parolees would be affected by threats of gangsterism or gang-related retaliation Dynamic of gangsterism leads to frequent smuggling of contraband Gang-related violence pertaining to officials and non-gang related offenders within a centre Officials working with gangsters outside of the law in numerous criminal activities pose serious security threats Theft of firearms and security equipment for gang-related activities 	
Insufficient training of officials to deal with special offenders (mentally ill offenders, pregnant women, J138 etc.)		<ul style="list-style-type: none"> The needs and requirements of special offenders may not be taken fully into consideration if all aspects are not understood 	

Gaps Identified	Associated Risks
Theft of security firearms	<ul style="list-style-type: none"> Stolen firearms may be used for any illegal activities and would pose serious security concerns
Marked cars used by officials	<ul style="list-style-type: none"> Marked vehicles may be targeted by any party and would create security risks
Non-segregation of male and female offenders with officials of the opposite sex	<ul style="list-style-type: none"> Mixed official-offender populations may pose security and health risks in a centre. Risks of crimes of passion, rape, sexual harassment and intimidation could exist
Lack of security equipment (outdated, inferior equipment)	<ul style="list-style-type: none"> Non-functional security equipment would mean that officials are unprepared and unprotected from potential security threats
Foot calve chains break easily	<ul style="list-style-type: none"> Lack of adequate restraints pose threats of escape and violence against officials and offenders
No gunsmith and radio technicians present	<ul style="list-style-type: none"> Constant maintenance of security equipment is paramount in official-offender safety
Miscommunication between SAPS and DCS	<ul style="list-style-type: none"> Lack of Integration/cooperation between parties leads to increased security threats
Information control systems	<ul style="list-style-type: none"> Classified / sensitive information could leak outside of the applicable boundaries creating security threats

D) Social Reintegration

Gaps Identified	Associated Risks
Parole Board - Ensures that the activities of the Board are planned in advance and that all parties involved are informed of a session at least fourteen (14) days in advance.	<ul style="list-style-type: none"> The official process states that only seven days prior notice is required
Lack of personnel, outdated organisational structure and high caseload	<ul style="list-style-type: none"> Long case processing times A large backlog of cases Lack of monitoring can lead to greater freedoms and, potentially, greater recidivism
Office space is inadequate and not well maintained	<ul style="list-style-type: none"> Hazardous Work Environment
Vehicles not maintained or not suitable	<ul style="list-style-type: none"> Hazardous work environment/equipment
Dangerous Areas (No maximum danger allowance)	<ul style="list-style-type: none"> Injury and Loss of life
Monitoring not measured on APP (less focus on performance)	<ul style="list-style-type: none"> Non-compliance with monitoring targets

Gaps Identified	Associated Risks
Informal settlements – difficult to find addresses	<ul style="list-style-type: none"> Lack of monitoring can lead to greater freedoms – greater recidivism
No policy clarity on requests for probationer's report from the High Court	<ul style="list-style-type: none"> Lack of monitoring of probationers
Loss of information from a server crash, poor IT equipment and electronic monitoring (EM) for high risk offenders	<ul style="list-style-type: none"> Lack of monitoring The potential loss of files/information if not adequately backed up
Community engagement in both the planning and the delivery of the intervention to fosters strong community ownership	<ul style="list-style-type: none"> Lack of successful reintegrate back to the community
Sound case management practices and adequate information management systems	<ul style="list-style-type: none"> Lack of successful reintegrate back to the community
Lack of balance between surveillance and control, on the one hand, and support and assistance on the other	<ul style="list-style-type: none"> Lack of successful reintegrate back to the community

E) Care

Gaps Identified	Associated Risks
Healthcare structure is inadequate and last reviewed in 2003. The structure was never adjusted to additional health concerns of recent times.	<ul style="list-style-type: none"> Facilities are inadequately equipped to deal with the current healthcare needs of offenders
No clear designation of roles & responsibilities.	<ul style="list-style-type: none"> Lack of clear sight of responsibilities may lead to an oversight in providing Care services to offenders
No specialised nutritional services and environmental services offered at the centre level. Currently being carried out by custodians.	<ul style="list-style-type: none"> Offender wellbeing is put at risk
Lack of reporting structure between Regions and Centres	<ul style="list-style-type: none"> No clear lines of reporting

Gaps Identified	Associated Risks
Officials responsibilities extend beyond their respective scope of roles.	<ul style="list-style-type: none"> Potential oversight and negligence if not adequately trained on a particular topic/area

F) Finance

Gaps Identified	Associated Risks
Shortage of manpower (some posts not on establishment table)	<ul style="list-style-type: none"> Current officials over capacitated Officials assigned to roles without adequate training in executing activities related to the role Lack of segregation of duties
Misalignment in budgets and performance targets	<ul style="list-style-type: none"> Underperformance is highly probable as there are a lack of resources to meet set targets
The skills gap in how end-users understand and enact financial management (Core activities executed well, however; financial management literacy may be inadequate)	<ul style="list-style-type: none"> Some personnel may not enact or manage processes optimally, thus causing both delays as well as potentially wasting resources
No Management Accounting Supervisor	<ul style="list-style-type: none"> Lack of segregation of duties (e.g. expenditure management) Lack of thorough analysis of financials

G) Facilities

Gaps Identified	Associated Risks
Long processing time when a maintenance request is received	<ul style="list-style-type: none"> Further facility deterioration resulting in potential security risks
Artisans assess situation telephonically initially	<ul style="list-style-type: none"> The extent of the issue is not adequately assessed and addressed
Constant follow up to DPWI until a request is attended to	<ul style="list-style-type: none"> No definitive timeline/communication between DPWI and DCS causes a lack of clarity of when issues will be addressed



H) Supply Chain Management

Gaps Identified		Associated Risks
High level of quotation procurement		<ul style="list-style-type: none"> ▪ The quality of good as well as the uncertainty of whether delivery will be received ▪ Verification of past performance is not required
Delegation of Authority		<ul style="list-style-type: none"> ▪ The lowered thresholds of procurement in terms of the current (DOA) are forcing the local delegations to either procure more often or source higher level of approval
CSD does not have a system of verification		<ul style="list-style-type: none"> ▪ Some suppliers are actually middlemen ▪ No guarantee of experience or understanding from supplier
No contracts in place for certain goods and services (high volume purchases)		<ul style="list-style-type: none"> ▪ Multiple quotation processes
Underquoting		<ul style="list-style-type: none"> ▪ Delays in procuring goods/services
Non-standardised interpretation of policy		<ul style="list-style-type: none"> ▪ Potential security risks when executing tasks



correctional services

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The Operations Design Report is compiled with the latest available information from departmental and other sources. Some of this information is unaudited or subject to revision.

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