



# WORKSTREAM PEOPLE AND TECHNOLOGY

OPERATIONS  
MANAGEMENT  
FRAMEWORK  
PHASE II

Department of Correctional Services  
2021 Strategic Planning Session

# Sub workstreams of Workstream 2

## Sub Work-stream 2,3

Capturing of business processes for Security, Facilities and Social Reintegration.

2,3

## Sub Work-stream 2,0

System and mapping support

2,0

2,1

## Sub Work-stream 2,1

Capturing of business processes for Incarceration, Care and Rehabilitation

2,2

## Sub Work-stream 2,2

Capturing of business processes for support functions

WORKSTREAM  
2  
People and  
Technology



# WORKSTREAM 2.0

LEADER: CDC GITO

OMF PHASE II



# Project Summary

<b>Overall Project Status</b>  <b>*Key indicators: budget, schedule, stakeholders, scope, resources</b>		<b>On Track</b>	The project is well controlled. Some issues may have been identified, but effective actions are planned for solving them.
	X	<b>Off Track</b>	The project has problems that require change in plans. Additional focus and management is essential to bring the project back under control.
		<b>At Risk</b>	The project has serious problems. One or more* key indicators are in at risk status.
		<b>Not Started</b>	Not started (and not scheduled to start)
<b>Comments:</b>	<p>Project schedule is revised to complete the outstanding tasks. The declaration of the Disaster Management Act in March 2020 has brought about numerous disruptions in the normal course of business, including availability of stakeholders, travel plans and project activities.</p> <p>The Master Information Systems and Security Technology Plan (MISSTP) project embarked on the development of a plan to materialize the DCS vision, through various drivers sourced from business, strategy and situational factors (e.g. Covid-19).</p> <p>A Enterprise Architecture (EA) model was utilized to encapsulate architecture elements, the output of which involves the depiction of DCS's "As-Is" and "To-Be" situations, and through analysis identify the Gaps necessary to transform the "As-Is" to the "To-Be"</p>		

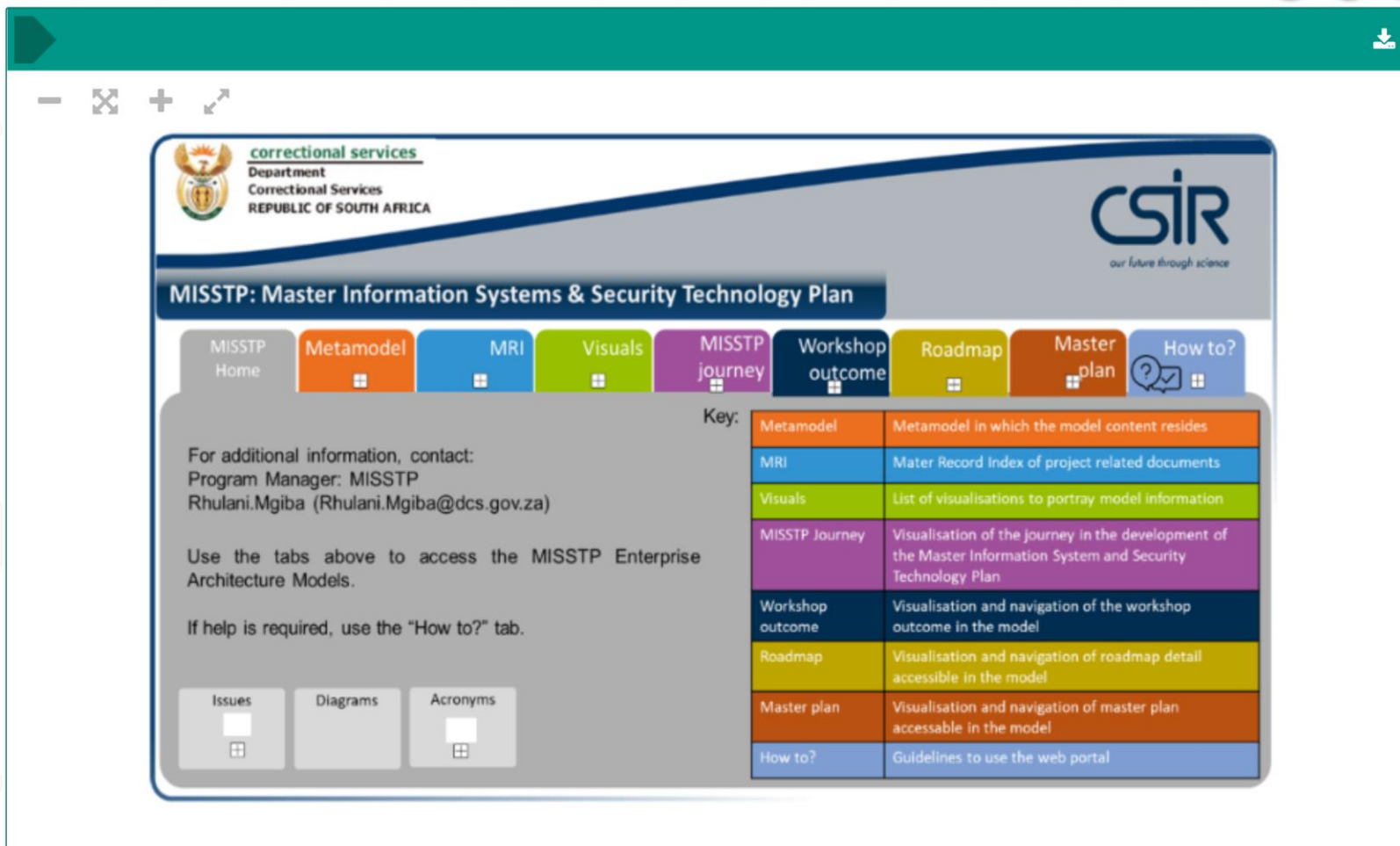
# MISSTP - EA Knowledge Management Tool

This tool aims to enable the DCS to manage its architecture as an ongoing asset to enable collaboration, decision-making, benefits realization, risk - and resource optimization over time. Enterprise Architecture will become the repository of detail resulting as input for the master plan.

<http://intranet1.dcs.gov.za/evolve/statics/misstp/index.html#/language=en>

Developed in collaboration with CSIR, the tool is pre-populated with content contributed by a facilitation process between many of the DCS stakeholders.

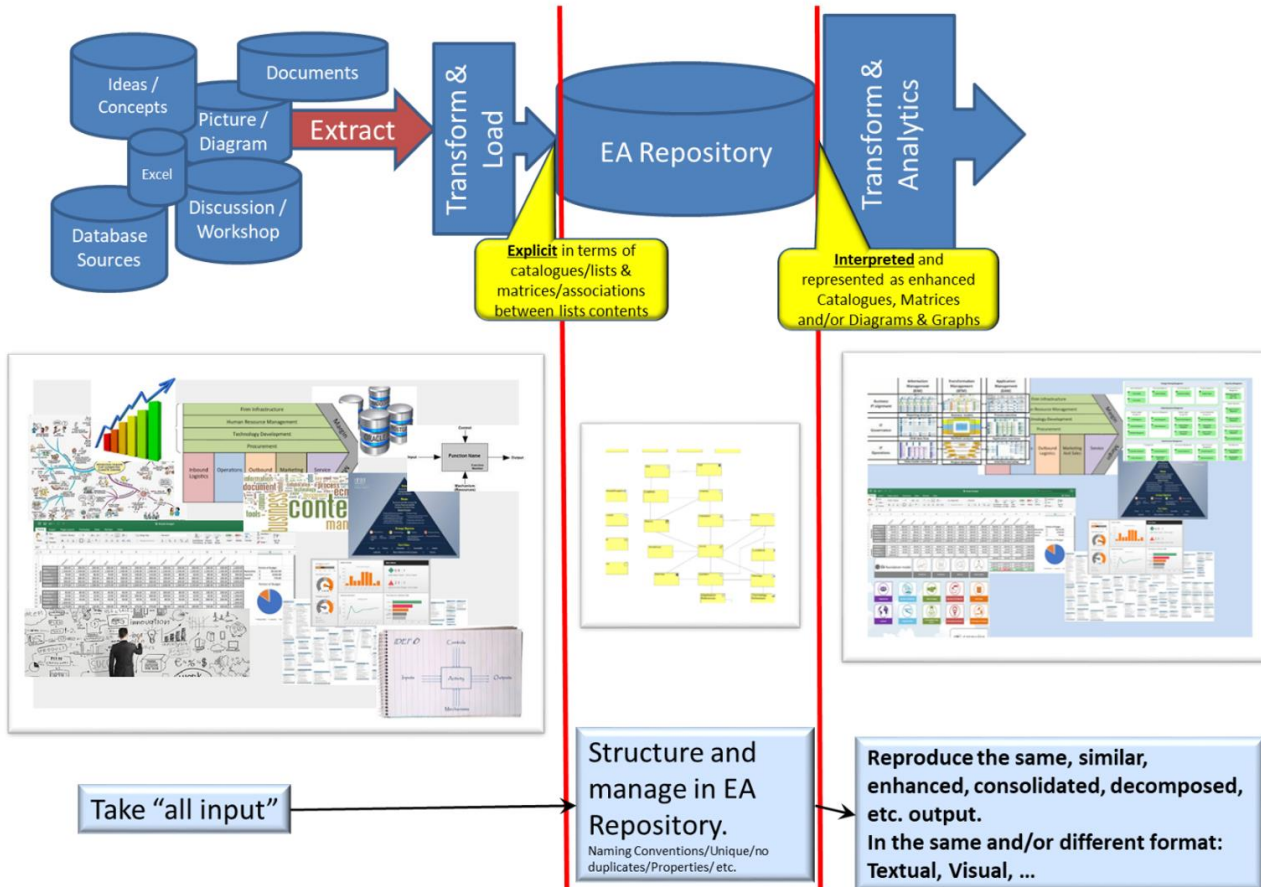
The purpose of the MISSTP is to construct a Master Plan with a focus on information systems and security technology for implementation.





# MISSTP - EA Knowledge Management Tool

An approach referred to as EA Round-tripping was used. This approach is used to extract data from homogeneous or heterogeneous data sources and transforms the data for storing in a defined format or structure for querying and analysis purpose. The following Figure is a depiction of the process that was followed:



The data sources refers to the data contained within the source documents

Through the process of round-tripping, the data are transformed in a Metamodel

This Metamodel is hosted in an EA tool's repository and, once the data was loaded, various analysis and visualizations are made possible.

The input was interpreted from diagrams, narratives, graphs, lists, processes etc. The interpretation involved dissemination and classification of information transformed according to Object Types and associations thereof.

# MISSTP - EA Knowledge Management Tool

A Metamodel defines the explicit object types (content elements) in terms of catalogues/lists applicable for the MISSTP project. The catalogues that were defined in the model are:

Object Type	Classification	Definition	Context
Acronym Term	Term Abbreviation	List of Acronyms and Definition of terminology used in context of the model.	Objects identified are discovered during the extraction of DCS documentation within the EA model
Application	Application system Application Reference Model	The software product that enables one or more functions or services of an organisation	Objects identified have been discovered during the review and extraction of DCS documents within the EA model.  These objects are classified to an application reference model as was defined by DCS such as Business Support Systems; Core Business Systems; Access Control Systems; Fire Detection Systems; Contraband Detection Systems; Guard Tracking Systems; Inmate Tracking Systems; Communication Systems; Intrusion Detection Systems; Security Systems.
Control	Intervention Direct Cause Indirect Cause	Identifies the end state “controls” that need to be in place for an objective be met, or risk to materialise, or provides an indication of the best chance of achievement	Objects identified are discovered by identifying and interpreted DCS strategy related documents.
Document	Types of document	This object type represents the document artefact and its associated link to access and to viewing it. The documents that are referenced relates to the records provided by DCS for review and analysis.	The objects relates to the types of documents relating to: Annual reports; acts; Guides; Handbooks; Procedures; Security type documents; Standard Operating Procedures; Strategy documents; Policies; Master plans; Terms of References; Business Requirement Documents
Gap	Type of Gap	A statement of difference between two states. Used in the context of gap analysis, where the difference between the Baseline and Target Architecture is identified.	Objects are identified where there are differences between As-Is and To-Be, or where maturity improvement needs to be considered, or where a requirement was identified in terms of Deficiency, Redundancy, Service, Technology, Processes, Function or Implementation requirement.

# MISSTP - EA Knowledge Management Tool

Object Type	Classification	Definition	Context
Governance	Types of Governance	The rules that will ensure compliance with the execution of activities, or technology compliance to achieve an outcome.	Objects are identified from the DCS documents provided where it related to B-Orders, Circulars, Constitution, Frameworks, Guidelines, Handbook, Policy, Procedure, Position Paper, Regulation, Rights, Standing Operating Procedures, Terms of Reference, White Papers, and Treaties.
Goal	Goal origin categorisation	Goals are the expected or desired outcome of a planning process. Goals are normally broad, general expectations of the guiding principles and aspirations of a community (organization).	Objects are derived from extracting relevant elements from DCS documents provided. Goals were interpreted from development models; MTEF; NDP; Solution Statements and Theories
Measure	Measure type classification	An indicator or factor that can be tracked, usually on an ongoing basis, to determine success or alignment with objectives and goals.	Objects are derived from measurable achievement criteria that were referenced within the DCS documents reviewed and analysed
Objective	Objective source classification	A time-bounded milestone for an organization used to demonstrate progress towards a goal.	Objects are identified from recorded objectives stated within MTSF, NDP, Strategy documents and Principles.
Organisation	Organisation reference classification	A self-contained unit of resources with line management responsibility, goals, objectives, and measures. Organisations may include external parties and business partner organisations.	Object are derived from DCS documents where they relate to as Actors, Branches, Clusters, Committees, Contractors, Stakeholders, Forums, Line positions, Ministry references, Departments, Pubic institutions, or SOEs
Process	Process level	A process represents (horizontal) flow of control between or within functions and/or organization and/or services	Objects identified relate to processes defined within DCS related documents such as B-Orders and Business Requirement Documents, as well as Volume 5 Procedures relating to DCS.
Location	Location Type	Physical positioning or location.	The objects identified relates to physical centres, correctional facilities, provinces, regions and cities.
Risk	Risk types	A risk identifies the probability of an objective not being achieved or an expectation that is natural to or the purpose of a person or thing	Objects were identified as risk where it related to as problem statements, or strategic risks within the DCS documents provided.
Service	No service types were defined.	A service is an expectation that is natural to or the purpose of a person or thing	Objects were identified as services where it related to an expectancy that needs to be achieved as a repeating expectancy.



# MISSTP - EA Knowledge Management Tool

Object Type	Classification	Definition	Context
Technology	Technology system Technology Reference Model	The logical software, hardware capabilities, facility, devices, equipment or system that are required to support deployment of business, data, and application services. This includes IT infrastructure, middleware, networks, communications, processing, and standards.	Object were identified from DCS documentation where it related to the definition criteria defined such as logical software, hardware capabilities, facility, devices, equipment or system.
Data store	No data store classification were defined.	An encapsulation of data that is recognized by a business domain expert as a discrete concept. Data entities can be tied to applications, repositories, and services and may be structured according to implementation considerations.	Objects have been identified where it relates to a specific information object such as a form; register; application input, application output, report, extract, data source, or list.

The Metamodel depicts the associations that exist between the objects. Associations provides purpose and meaning to the objects.

E.g. an association between Organisation and Service relates to the accountability, and or responsibility of an organisation and the services it performs or manage

In summary, visualizations are extracted from objects and their associations to properties and other objects in order to provide a view of a certain perspective (viewpoint) for a question/ problem, pain point, constraint, or statistics to tell a story to the user that views it.

# Project Challenges and Risks

Project challenges and risks			
Date Added	Challenge or Risk	Description	Status
01/10/2021	Automated EA Knowledge Management Tool	Developed an Enterprise Architecture portal to ensure that the existing baseline architectures (Business, Information, Application, and Technology) are identified and modelled	Active

OMF PHASE II

# WORKSTREAM 2.1, 2,2 and 2.1

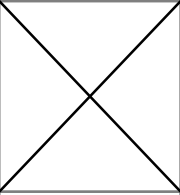
LEADER:  
CDC STRATEGIC  
MANAGEMENT

# Project Deliverables





# Project Summary

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		<b>Not Started</b>	Not started (and not scheduled to start)
<b>Corrective Measures :</b>	Project schedule is revised to bring the project back on track, the revised scheduling plan is shared with Regions.		

# Project Role-players



## Indirect role-player :

- Provide an external view of DCS and the efficiency of services rendered. Provide input on improvements that will inform "To Be" processes



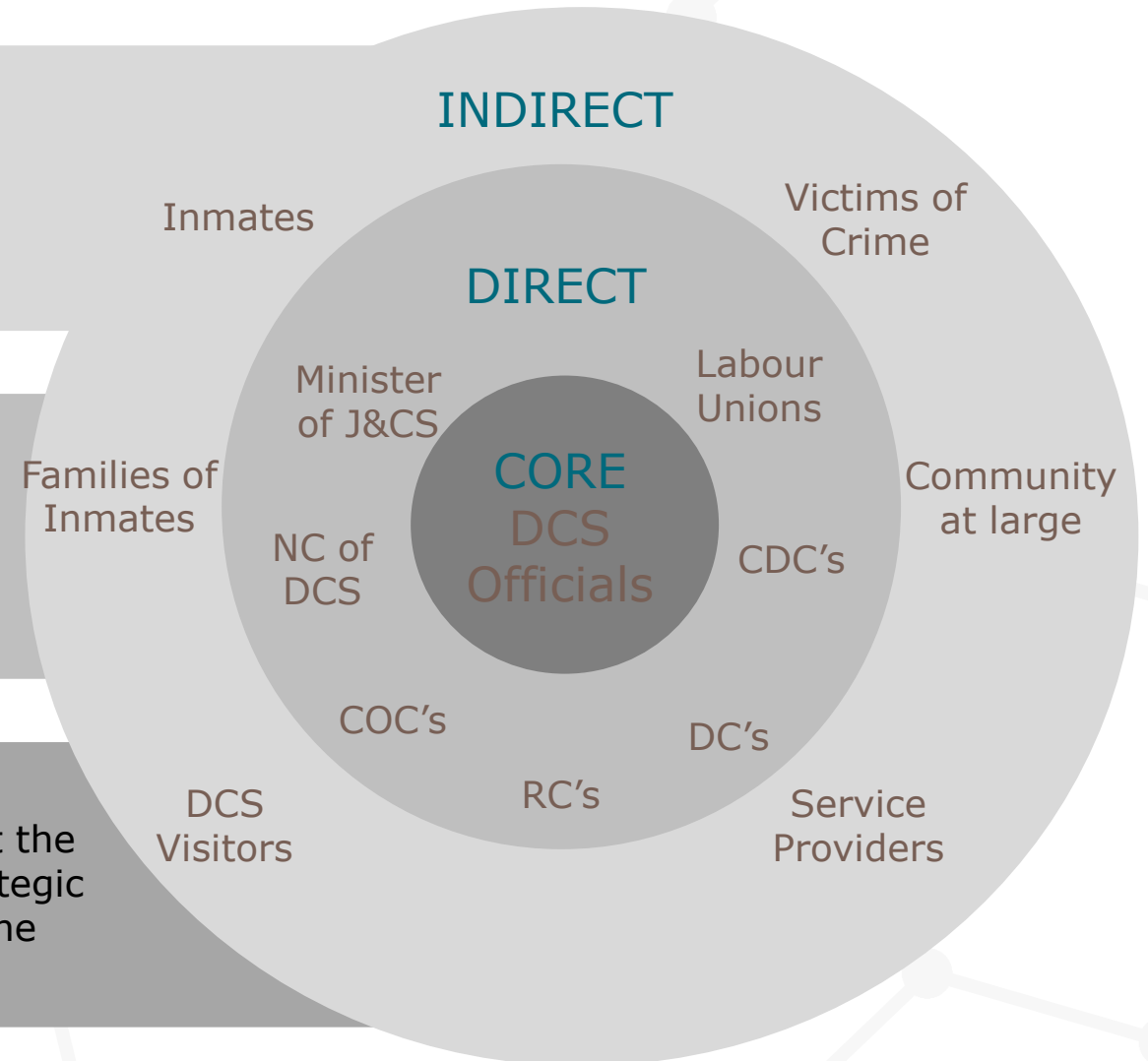
## Core role-players :

- Provide detailed information on the operational process of the Department, identify service delivery challenges, propose the "To Be" processes that will ensure optimal performance



## Direct role-players:

- Support the project deliverables, ensure that the project is capacitated internally, provide strategic leadership on the outputs and outcomes of the project to improve service delivery



# Progress Report

<b>Project Start Date:</b>		<b>09 December 2019</b>	<b>Planned End Date:</b>		<b>15 October 2022</b>		
<b>Current Phase:</b>		Implementation / Execution					
<b>Major Milestones or Deliverables</b>			<b>Status</b>	<b>Plan Date</b>	<b>Revised</b>	<b>Actual Date</b>	<b>% Complete</b>
1.	As-Is Business Process Mapping of Management Area Core Services			4 Nov 2019 – 13 Dec 2019	4 Nov 2019 – 13 Dec 2019	4 Nov 2019 – 13 Dec 2019	100%
2.	To-Be Business Process Mapping of Management Area Core Services			14 Sep 2020 – 11 Dec 2020	14 Sep 2020 – 11 Dec 2020	14 Sep 2020 – 11 Dec 2020	100%
3.	As-Is Business Process Mapping of Management Area Support Services			25 Nov 2019 – 06 Dec 2019	25 Nov 2019 – 06 Dec 2019	25 Nov 2019 – 06 Dec 2019	100%
4.	To-Be Business Process Mapping of Management Area Support Services			02 Nov 2020- 11 Dec 2020	02 Nov 2020- 24 April 2021	21 Sep 2020 – 19 March 2021	100%
5.	As-Is Business Process Mapping of National Head Office Core & Support Services			13 Jan 2020 – 31 Jan 2020	13 Jan 2020 – 31 Jan 2020	13 Jan 2020 – 31 Jan 2020	100%
6.	To-Be Business Process Mapping of National Head Office Core & Support Services			15 Jan 2022 – 15 Feb 2022	15 June 2022 – 31 Oct 2022		0%

# Progress Report

Major Milestones or Deliverables		Status	Plan Date	Revised	Actual Date	% Complete
10.	As-Is Business Process Mapping of Regional Offices Core & Support Functions		10 Feb 2020 – 28 Feb 2020	10 Feb 2020 – 28 Feb 2020	10 Feb 2020 – 28 Feb 2020	100%
11.	To-Be Business Process Mapping of Regional Offices Core & Support Functions		02 August 2021 – 27 Aug 2021	16 Aug 2021 - 10 Sep 2021	16 Aug 2021 - 10 Sep 2021 and 22 – 26 Nov 2021 (FS.NC)	90%
12.	As-Is Business Process Mapping of Core & Support Services for C-Max (KMII) & Ebongweni Correctional Centres		27 Feb 2020 – 29 Feb 2020	Jan 2022 – May 2022		50%
13.	To-Be Business Process Mapping of Core & Support Services for C-Max (KMII) & Ebongweni Correctional Centres		06 Apr 2021 – 13 Apr 2021	Jan 2022 – May 2022		45 %

**GREEN** – On target to achieve Milestone/Deliverable Date. Baseline date = Forecast Date.

**AMBER** – Milestone Target Delivery Date is in danger of not being achieved but a managed solution capable of bringing forward the Forecast date is being applied. Baseline date < Forecast Date

**RED** – Milestone Target Delivery Date is not going to be achieved or has already passed. No work rounds or solutions capable of bringing forward the forecast date is available.



# ANALYSIS OF BUSINESS PROCESS FOR MANAGEMENT AREAS

## CORE SERVICES

### SECURITY

- There is need for clearly defined internal and external security roles in accordance with the CSA. Dedicated teams will ensure that the flow of security related to external movements do not interfere with the internal security arrangements of the correctional centre.
- Dedicated teams of security officials must perform security functions only.
- Continuous training of security officials is needed.
- The EST function needs to be regulated (policy or legislation) for uniformity and standardisation when executing their duties
- Security in a unit should be the responsibility of the Unit Manager supported by a Security Supervisor that works in tandem with the Case Management Supervisor.

# ANALYSIS OF BUSINESS PROCESS FOR MANAGEMENT AREAS

## CORE SERVICES

### INCARCERATION

- There is no clear distinction between Case Officers, Case Intervention Officers and Security Officials in the Unit which possess challenges in terms of task allocations, responsibility and accountability.
- The location of section 62 (f) application for awaiting trial bail condition must be reconsidered (it should be responsibility of Correctional Centres not Community Corrections).
- Visitation in Correctional Centres poses a challenge especially in overcrowded Correctional Centres. The Department needs better use of technology such as a pre booking system or virtual visitations etc. for visitation.
- All documentation is processed manually within Correctional Centres. An automated system will improve efficiencies across the various functions. For example, Court and SAPS documents need to be automated in order to curb erroneous releases etc.
- There is a need for a biometric system for positive identification of inmates.
- There is a need for metal detectors and body scanners at reception area to reduce unauthorized articles (contraband) from entering the Correctional Centers

# ANALYSIS OF BUSINESS PROCESS FOR MANAGEMENT AREAS

## CORE SERVICES

### REHABILITATION

- The development of Correctional Sentence Plans (CSPs) must be automated to allow all role-players to provide their reports so that offenders' progress can be assessed in an integrated manner. The integrated system must be utilised by Social Workers, Educators, Criminologists, Case officers and the Parole Board to capture information regarding the Offender Rehabilitation Path.
- There is a need to increase the number of professionals such as criminologists, penologists, etc. to conduct assessments and develop needs based CSPs.
- There is a need to create dedicated security posts that will compliment and support the delivery of Rehabilitation Programmes such as workshops, bakery and Correctional Centre Schools, etc. This will address the challenge of artisans and educators performing multiple functions since they not trained as security officials.

# ANALYSIS OF BUSINESS PROCESS FOR MANAGEMENT AREAS

## CORE SERVICES

### CARE

- Inadequate support from security in the provision of care services
- Security officials, who are not suitably trained, utilised to prepare meals for offenders.
- Lack of specialists in some Correctional Centres (nutritionists, chefs, food technologists, etc.).
- Lack of proper equipment and facilities to prepare meals, in some instances preparation of meals start as early as 23:00 to prepare breakfast.



# ANALYSIS OF BUSINESS PROCESS FOR MANAGEMENT AREAS

## CORE SERVICES

### SOCIAL REINTEGRATION

- There is a lack of community involvement in the reintegration of parolees and probationers; Liaison Officials are not optimally utilized in this regard.
- There is a challenge with absconding offenders mainly due to lack of resources/ support to attend court. This then creates a negative impression with the courts resulting in the court not considering 62 (f) as an option for new cases. This also has a negative effect on overcrowding in Correctional Centres.
- The reporting of section 62 (f) absconders in the absconding statistics of Community Corrections is not accurate since the SAPS is responsible for tracing and arresting people in terms of section 62 (f) and when absconders are arrested there is no feedback to DCS and as such the absconder case load remains “open”.

# ANALYSIS OF BUSINESS PROCESS FOR C- MAX

- There is a need to ensure that all offenders receive needs-based rehabilitation programmes in accordance with the CSA, irrespective of the category or behaviour of the offender.

# ANALYSIS OF BUSINESS PROCESS FOR MANAGEMENT AREAS

## SUPPORT SERVICES

### FACILITIES

- There is a need for security officials to be consistently available for work teams and escorting of artisans & service providers while doing scheduled and unscheduled maintenance.
- There is a need for the monitor scheduled maintenance plans to ensure that this is completed within required timeframes to avoid breakdowns.
- There is also a need to review the procurement process of maintenance material as the current process is protracted
- DCS needs to increase the use of own resources for the maintenance of facilities particularly low volume maintenance services
- Municipal payments done centrally at Head Office with no visibility at the Region. Regions are only required to verify/ follow up when there is a problem with an account.

### FINANCE AND SUPPLY CHAIN MANAGEMENT

- Abolishment of posts/ moratorium on the filling of posts have resulted in a lack of segregation of duties.

# ANALYSIS OF BUSINESS PROCESS FOR MANAGEMENT AREAS SUPPORT SERVICES

## HUMAN RESOURCES

- Utilise shared services for support functions like HR Administration
- Need to automate functions such as duty register, leave administration, human resource development processes and recruitment.
- Need for trained qualified labour relations officials to deal with issues of disciplinary hearings, grievances and alleged misconduct of officials to reduce the high number of litigations that are ruled against the Department
- Vetting of new recruits done centrally at Head Office which prolongs the recruitment process.
- Lack of access to Persal system to view certain functions.

## LEGAL SERVICES

- There is also a need for legal administrators in the Management Area's to provide legal advice on matters that do not need to be referred to attorneys.



# BUSINESS PROCESS FOR MANAGEMENT AREAS – CORE SERVICES RECOMMENDATIONS

## INCARCERATION

- Provisioning of qualified officials to conduct 6 hour screening on admission. This function in most cases is conducted by custodial officials and not medical staff.
- Separate case officers from security officials. Currently custodial officials are performing both functions.

## SECURITY

- Implement external security as shared service at Management Area level to deal with multiple movements to other facilities like courts, hospitals etc.
- Increase security officials to support the implementation of rehabilitation, care, incarceration and social reintegration processes

# BUSINESS PROCESS FOR MANAGEMENT AREAS – SUPPORT SERVICES RECOMMENDATIONS

## **FACILITIES**

- Increase own resource capability
- Security to be consistently available to support the work of facilities
- Review of the OSD as most artisans opt to be security officials due to the remuneration disparities

## **HUMAN RESOURCES AND LEGAL SERVICES**

- Automation of functions

# PRELIMINARY ANALYSIS OF BUSINESS PROCESS FOR REGIONAL OFFICE CORE SERVICES

## CORRECTIONS

- The approval process for the transfer of offenders within the Region and between Regions are too long and should be reviewed.

## DEVELOPMENT & CARE

- Inconsistency of functions performed in each Region (e.g. Criminologist, offender representation not in all Regions).
- Reliance on manual systems to deliver on services is labour intensive resulting less time to conduct M&E.
- APP targets need to be aligned to available resources.
- Reporting cycle of APP's should be in line with school academic year, baseline to be a starting point for the next reporting year cycle.
- Lack of availability to online classes for offenders studying for post matric qualification for examination purposes due to COVID-19 (Correctional Centres).
- Collection and dissemination of performance information bottlenecked at the Region.

# PRELIMINARY ANALYSIS OF BUSINESS PROCESS FOR REGIONAL OFFICE SUPPORT SERVICES

- Manual HR systems pose a challenge in areas such as recruitment processes, leave administration, training and duty register
- Manual asset management system limits the effective management of immovable assets
- The manual processes in legal services is time consuming and this hampers the turnaround time to respond to legal issues.
- Management Area Labour Relations Forums are not convening as required and this pose a challenge in dealing with grievances, appeals, suspensions and disciplinary hearings
- Business process at the Private Prisons are not available to DCS which will pose a risk when the DCS must take over the facility.

# Project Costing and Expenditure

## Project Costing & Tracking:

Comment	Project To-Date		
	Budget	Actual	Variance
SDI budget depleted (Sourced additional funding within the Branch to cover costs for travelling BPM at FS/NC RO).	R0	R14 400 (Covered from Branch SM)	

# Project Challenges and Risks

Project challenges and risks – Briefly describe the risk/challenge and current status.

Date Added	Challenge or Risk	Description	Status
28/07/2021	Travel restrictions	Alert levels implemented in terms of the Disaster Management Act to curb the spread of COVID-19 during the 1 <sup>st</sup> , 2 <sup>nd</sup> and 3 <sup>rd</sup> waves of the pandemic	Active
28/07/2021	Unavailability of process owners	The Department has put measures in place to ensure the health and safety of officials through a rotation system where officials work remotely for a particular period to allow for social distancing.	Active
01/12/2021	Lack of understanding and support from managers / supervisors	Managers / supervisors overrule the information provided by officials involved in the day to day operations who are providing the detail of the business process maps.	Active

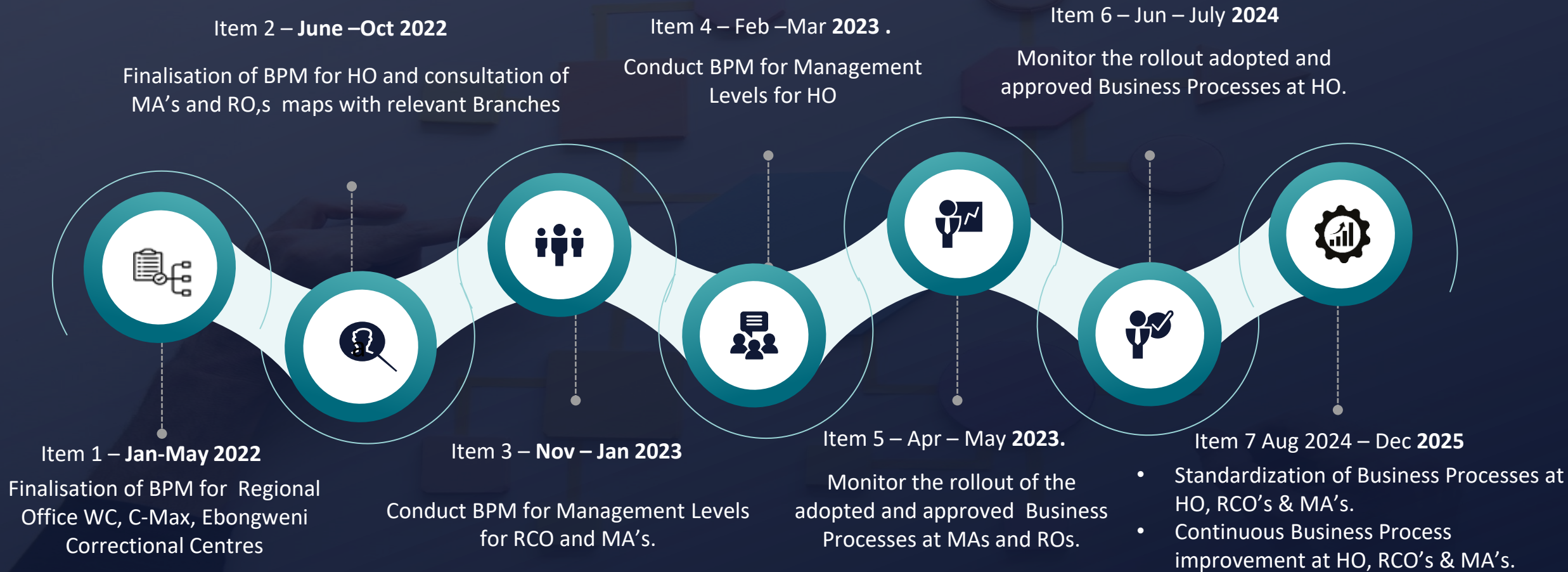


# Project Challenges and Risks

Project challenges and risks – Briefly describe the risk/challenge and current status.

Date Added	Challenge or Risk	Description	Status
01/12/2021	Inadequate Business Process Management tools and systems	DCS does not dedicate systems and tools to manage and deploy Business Process Management	Active
01/12/2021	Inadequate capacity for Business Process Mapping and continuous improvement interventions	Current capacity at Strategic Management reduces the pace of the Business Process mapping and continuous improvement interventions	Active

# 2022-2024 Work-stream 2 Plan



# 2022-2024 Work-stream 2 Plan

- Jan to May 2022 - Finalisation of As-Is & To-Be mapping for Core & Support functions at Regional Office WC and Super Max Correctional Centres (C – Max CC & Ebongweni CC).
- June to Oct 2022 – Finalisation of As-Is & To-Be Business Processes for Core & Support functions at Head Office and consultation of MA's and RO's maps with relevant Branches.
  - As part of the process, the proposed To-Be maps for core and support services, mapped at Management Areas and Regional Offices, will be consulted with relevant branches at Head Office for verification and synchronisation of the tasks on the different levels.
  - Any discrepancies identified as a result of policy / SOPs or operational constraints will be presented to the relevant branches at Head Office and to Work-stream 3 for amendments and implementation.
- Nov to Dec 2022 – Conduct BPM for Management Levels at Regions and Management Areas.
- Feb to Mar 2023 – Conduct BPM for Management Levels at HO.
- Apr to May 2023 – Monitor the rollout of the adopted and approved Business Processes at MAs and RO's in consultation and corporation with other Work-Stream deliverables.
- Jun to July 2024 – Monitor the rollout of the adopted and approved Business Processes at HO in consultation and corporation with other Work-Stream deliverables.
- Aug 2024 to Dec 2025 – Standardization of Business Processes at HO, RCO's & MA's. Continuous Business Process improvement at HO, RCO's & MA's.

# Additional comments

- Business Process mapping for Regional Offices, National Head Office and C-Max Correctional Centre (KM II) has been delayed due to travelling restrictions and rotation system where officials work remotely for a particular period to allow for social distancing.
- The project schedule was reviewed to compensate for the time lost.
- Proposed To-Be for core services and support services mapped at Management Areas and Regional Offices will be consulted with relevant Branches at Head Office for verification. Any discrepancies identified as a result of policy or operational constraints will be presented to the affected services at Management Areas or Regional Offices for feedback and adoption.
- Build additional capacity to enhance Business Process Management in DCS by providing requisite IT infrastructure tools and systems; business process mapping capacity (currently 3 officials trained, 1 retiring in 2022); tools and systems for continuous improvement; continuous improvement capacity.



**Thank you**

**OMF PHASE II**

