



DEPARTMENT TASK FORCE ON ORGANIZATION STRUCTURE

TASK FORCE REPORT

VOLUME I

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March 1990

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Volume I of II

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Vol. I

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EXECUTIVE SUMMARY

INTRODUCTION:

A. *The Task Force Mission*

During the February 1988 Administrative Planning Session the group agreed that there was a current and on-going need to review and improve the Department's organizational structure. James Rowland, Director of Corrections, established the Departmental Task Force on Organizational Structure in response to this need.

The Task Force was charged with the mission of making a critical analysis of the organizational structure in relation to its effectiveness and efficiency in carrying out the Department's mission, goals and objectives. To accomplish this mission, the task force needed to analyze both tangible structure and process issues as well as the equally important issue of perspectives and ideas held by staff related to the roles and responsibilities of various functional branches of the Department and their interaction.

B. *The Need For Periodic Review*

As organizations grow and are tasked with new and ever expanding missions and challenges; there is a critical need for periodic review by top management to ensure maximum efficiency of the organization to absorb new missions and respond to challenges.

The California Department of Corrections has experienced unprecedented growth since 1977. The service population has grown from 40,287 in 1977 to 155,935 in 1990. The new prison construction program has added 21,238 new beds to the Department with over 15,000 more in various phases of construction and design. The Department's staffing has also increased from 8,518 in 1977 to 29,093 in 1990. With population growth exceeding projections it is possible that the Department may have as many as 30 to 35 individual prisons to manage.

To manage this expanding organization, the Director appointed Bill Bunnell, Warden, California Correctional Institute, to chair the Departmental Task Force on Organizational Structure. The Task Force also installed six other Wardens and two Regional Administrators to ensure a wide base of experience and valuable input.

The Task Force met during 1989 and identified a variety of operational and attitudinal problems. These problems were analyzed and recommendations made for improving the organizational structure to better meet Departmental needs.

C. *Review of Prior Reorganizational Effort*

The Task Force also analyzed the major reorganizational efforts which took place during the three year period extending from early 1983 through late 1985. This reorganization effort was divided into two phases. Phase I of that effort focused on Central Office, and resulted in a number of organizational changes. Phase II focused on the field. A decision was made to address the problems identified in Phase II by improving systems and procedures.

Discussions of the Task Force revealed that, with few exceptions, communications

breakdowns and inefficiencies can be traced as the root problem of operational problems. It was the consensus of the Task Force that even in a stable organization maintaining efficient, responsive communication systems is a critical issue. When communications issues are viewed in a high growth and complex organization such as ours, the criticality of the issue is heightened.

Large, complex organizations have difficulties in communications. Messages are inadvertently altered or skewed as they make their rounds through the organization. To the extent that messages change in transmission, the staffs' perception of organizational effectiveness and efficiency is changed. The ability of top management to create an atmosphere wherein all staff, at every level in every branch, can have a shared vision of the organization is diluted by lack of communication.

The Task Force analyzed the prior work efforts to form the historical foundation for conducting a valid review and forming recommendations. The Task Force recommendations center on the following issues:

1. Communications
2. Personnel Issues
3. Standards Versus Centralized Control
4. Management of Change
5. Regionalization Reorganization

The Task Forces' recommendation for the long term is regionalization. Accompanying this report is a model concept for implementing regionalization.

Current Needs Analysis and Recommendations for Improvement.

1. Communications

As within any complex organization, the task force felt that there are continuing needs to improve channels of communication. The Phase I and II efforts clearly evidenced communication as an underlying factor in almost each identified need or problem. The Task Force firmly believes that progress can be made in this area. Progress however is dependent to a great degree on the strategies and technology employed.

To address this situation, a through assessment should be conducted to determine the information needs of the Department. Standards and guidelines for information technology development and selection should be used to assist the Department in making choices from the often bewildering variety of technological alternatives.

A Master Plan, similar to that used to address bed needs and construction programs should be adopted by the Department to address our Management Information System need. This should be a high profile/high priority living document with periodic formal review. The development of the master plan should have broad development input from the field and should be widely disseminated to field staff to ensure the management commitment is clear.

Establishing a clearinghouse for information gathering requests is a target ideally suited for a computer application. Requests for information are generated by

managers in each division, parole region or prison, they would be funnelled through the clearinghouse. The clearinghouse would make the actual contact with the parties needed, collect the information and return it to the requestor. The important feature is that the clearinghouse could electronically store and track information. By storing and tracking information at one point, unnecessary duplication of requests could be eliminated; previous information gathered on a topic could be retrieved and compared to new information, thus increasing the overall value of the information to management.

Clear lines of communication need to be established which encourages and recognizes the need for field input into critical policy formation decisions.

An additional aid to the Departments overall communications needs would be in the form of using technology to aid in training and general staff information sharing. The use of video tele-conferencing is a technology which could aid in bringing staff together for important meetings without the travel expenses traditionally incurred. Equipping institutions and parole regions with appropriate equipment could pay for itself in life cycle by reducing travel and per diem expenses. The ease of scheduling and reduction in time needed to bring people together is a great asset needing to be tapped.

The Department should also become more involved in sharing technology with other State agencies. The California State University system currently makes use of satellite transmissions to transmit classes and presentation throughout the State. By tapping into this and other satellite and interactive technology based systems, staff training could be standardized. Policies and procedures, critical information and important decisions can be quickly and accurately transmitted throughout our growing Department in hours.

Many new prisons are currently being equipped with satellite receivers. The cost of retrofitting existing facilities may be as little as \$5,000 per site. The price associated for improving the morale, sense of teamwork and ensuring that all staff truly share the Department's philosophy and goals is critical. In the interim, the Department should consider returning to producing the videotapes "Dialogue with the Director" to aid in bridging some of the communication gaps.

2. Personnel Issues

Since the implementation of the State Employer Employee Relations Act (SEERA), an ever deepening rift has been created between pay and benefits accorded employees in Unit 6 and other bargaining units. Disparity in pay has on one hand made efforts to recruit Correctional Officers easier, but on the other, has made it harder to recruit and retain staff in ancillary positions. Such areas as Food Service, Maintenance and Business Services are impacted.

A recommended approach would be to, as an example, reclassify the Supervising Cook I and II jobs to a new position of Correctional Cook I and II. The reclassification of these position should emphasize the functions of supervising inmates, maintaining security, key and utensil control, as well as discipline of inmates. A new classification should recognize that these staff are working in an environment and performing tasks every bit as potentially dangerous and stressful as that of Correctional Officers.

An additional area for focus should be in the Correctional Case Records series. For the degree of knowledge, skill and precision required of staff in this series, they are seriously under compensated and their workload is often unreasonable.

Staffing formulas which adopt strict inmate/staff ratios for certain classifications should be reviewed. The methodology employed to establish these ratios should emphasize transactions per inmate by custody and classification level and recognize the individual institution's mission, i.e., camp operations versus Security Housing Units.

Staff in the case records series need to be provided career paths which allow and encourage bridging into other professional fields within the Department and State service. Not having such a clear career ladder makes recruiting and retaining staff difficult when it is viewed as a "dead end" classification.

To impact the continuing perception by field staff of insensitivity of Central Office staff, the Task Force recommends the adoption of a staff assignment rotation policy. Such a policy should focus on creating an atmosphere wherein staff do not become so ingrained in either the field perspective or the Central Office perspective as to lose their effectiveness to the organization. Central Office staff should spend time in the field to gain insight into the total operation, and conversely, field staff should spend time in a Central Office position to help them gain insight into the departmental perspective.

3. Standards Versus Centralized Control.

The Task Force recommends that the manual Revision Task Force effort be taken one step further, into development of Departmental Operations Standards.

The Manual Revision Task Force had two very important benefits; that of focusing attention on the fact that some policies, procedures, rules and regulations were outdated, duplicated or contradictory in the several manuals previously in place. The second, was focusing attention on the serious need for Department-wide standards, a need which had long existed in the organization.

The Manual Revision Task Force effort has met with some objection by field staff. Field staff perceive that the new operations manual takes away the Warden or Regional Administrators flexibility in meeting local needs. The Task Force does not believe that this is an accurate depiction of the intent of the Department Operations Manual. On the contrary, it is a long overdue attempt to set the very standards that will aid in bringing the Department together and help dispel the notion of each institution or parole region being its own autonomous mini-department.

Establishing and enforcing Department-wide standards and decentralizing control are not mutually exclusive concepts. They are complimentary if organized and managed correctly.

Decentralizing some personnel, labor relations and budget functions is possible and desirable if clear standards are articulated to the Wardens and Regional Administrators. Articulating clear standards for performance will have the effect of placing responsibility for achieving Department goals and objectives at a lower

level, will give the Warden/Regional Administrator tools to carry out the goals and objectives and will hold them accountable for their performance.

4. Management of Change

Under the leadership of Director Rowland, the Department has made significant changes and improvements in its management of the inmates and parolees. Significant steps have been taken, without the benefit of this or other task forces, to improve correctional strategies, to re-think the Department's role in the criminal justice system and become pro-active in addressing problems facing the corrections community.

Change, even the most important and valuable change, in an organization brings with it a set of problems. It is the problems associated with the acts of change that the Task Force felt Executive staff should confront itself with. The Department of Corrections, as a quasi-military structured law enforcement/correctional agency thrives on stability. Change is difficult even when the new goal is exciting and well-accepted by the field staff. When staff are generally focused across the board with developing and implementing the change, it has a good chance for success.

As the number of changes attempting to be implemented increases, staff lose their focus; their energy is scattered among many worthy projects and they become generally frustrated since none of the projects seem to be progressing.

It is the recommendation of the Task Force that serious attention be given to limiting new program initiatives for implementation. By allowing staff to focus energy and resources on only one or two programs initiatives at a time, successful implementation and change can become reality. Focused energy can create a quality product; one which will long serve the Department's and the public's needs.

This recommendation should not limit the efforts of such entities as the Program Development Council to explore innovative correctional strategies. It is these kinds of efforts which help alleviate some of the inflexibility ingrained in an organization of this size, complexity and mission. These kinds of program development efforts help bring the Department into a mainstream leadership role in the criminal justice system.

It is crucial that staff achieve and maintain a shared vision of the Department. They must feel that each and every one of them has a vested interest in the Department and that without their support and involvement, achieving the Department's goals is not possible.

"Our plans miscarry because they have no aim. When a man does not know what harbor he is making for, no wind is the right wind". (Seneca - 4 B.C. to A.D. 65)

An additional, but somewhat broader recommendation of the Task Force centers on the issue of planning for change. Executive Staff should strongly consider adopting a five to eight year Master Plan for the entire operation and evolution of the Department of Corrections.

A Master Plan would help administrators, managers and staff keep a focus of not only short term goals; now addressed by the implementation of Management By

Objectives, but of the long range goals of the Department. A shared vision is a lasting vision to staff who gain insight into the general direction of the organization. A Master Plan is envisioned by the Task Force as a living document which would incorporate the Departments Mission and Philosophy Statement, a summary of program initiatives and challenges facing the Department and Goals and Objectives to meet them.

5. Reorganization - Regionalization

The Task Force recommends that the Department Executive Staff consider laying a foundation for future implementation of regionalizing the Department. The Task Force realizes that implementing this proposal is certainly a long term initiative. However, the Task Force would point out that streamlining the processes and improving and changing policies, procedures, rules and regulations are limited in their effectiveness if the problems and needs are treated without a view toward reorganization and regionalization.

The Department has, for some time, recognized a regionalization model. The Parole and Community Service Division has long operated successfully under this model. The Selection and Standards Branch has operated under a regionalized organization model for testing and background investigations for various positions.

A comprehensive report and recommendations have been prepared by Wardens Bunnell and Vasquez to address regionalization. It is important to note in this report that the Task Force has made its recommendations for system improvement with a view that the recommendation can be implemented under the current organizational structure and can be easily assimilated into a regional approach.

The Department has faced unprecedented challenges in the last ten years. It has weathered these demands well. But, at some point as the demands and challenges grow at ever increasing rates, our ability to address them and do so successfully will be hard pressed. It is important now that Executive Staff begin to look into the future and entertain the concept that regionalization is a viable method of long term resolution of needs and problems.

To view the Department today and compare it to ten years ago, it is clear that we have fielded many serious challenges. Our ability to handle the future challenges demands that we take a serious look at the organizational structure and its potential responsiveness for the future.

The Task Force recommends that for the long term the Department reorganize itself and adopt a regionalized structure. Accompanying this report is a model concept for implementing regionalization prepared by Wardens Bunnell and Vasquez. Volume II, entitled " Departmental Task Force on Organizational Structure , Task Force Report on Regionalization" dated March 1990, describes in detail the concept and a potential method of implementation.

This type of change requires that a foundation be laid far in advance of implementation; that barriers and resistance to change be broken down gradually; that an atmosphere is created wherein a major reorganization is looked upon not as a threat to the Unit or Branch where one works, but as an opportunity for improving the effectiveness of each individual staff member.

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I. INTRODUCTION

The Task Force Mission

The Departmental Task Force on Organizational Structure was established by James Rowland, Director of Corrections, on January 24, 1989. The Director formed the Task Force in response to a high priority need to review the Department's organizational structure identified in the February 1-2, 1988 Administrative Planning Session. Examination of organizational structure was delayed until the work groups on communication, pre-release programs, inmate employment, drugs and alcohol, and staff development established by that Administrative Planning Session completed their assignments.

In establishing the Task Force, the Director stressed his interest in improving decision making processes, information sharing on decisions, and communications between field and headquarters. In addition, he requested that the Task Force review the issues of management accountability and functional supervision.

This report focuses on short term resolution of problems identified by the Task Force. A second report will discuss long term solutions.

The Task Force Membership

The Organizational Task Force is chaired by Bill Bunnell, Warden, California Correctional Institution (CCI). In addition to Warden Bunnell, membership of the Task Force includes the following: Robert J. Bowman, Regional Administrator, Region IV; L. Chastain, Warden, California Rehabilitation Center (CRC); Ronald Y. Chun, Regional Administrator, Region II; Teena Farmon, Warden, Northern California Women's Facility (NCWF); Al Gomez, Warden, Deuel Vocational Institution (DVI); Carl Larson, Warden, Design and Program Planning Branch, Planning and Construction Division (P&CD); Chuck Marshall, Warden, Pelican Bay State Prison (PBSP); and Dan Vasquez, Warden California State Prison, San Quentin (SQ).

The Task Force Process

This report is the product of six meetings of the Task Force held between March 1989 and August 1989. Sessions were one to two days long, and were held at various institutions, the Training Academy and Central Office. During these meetings, the Task Force focused on problem identification, review of prior reorganization efforts, interviews with each Deputy Director to explore problems, and development of short term resolutions. The Task Force spent time analyzing prior work efforts addressing this topic to lay the historical foundation. The Task Force has presented a summary of the Phase I and II reorganization efforts undertaken by the 1983-85 Steering Committee. As additional background material for the discussions, the Task Force developed a description of current Central Office functional responsibilities. This description was based on material provided by the various departmental divisions and offices.

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The Task Force used the historical basis as a perspective from which it framed five basic recommendations. The recommendations address issues the Task Force identified as root problems or needs which have manifested themselves in a variety of ways. The recommendations of the Task Force focus on the following issues:

1. Communications
2. Personnel Issues
3. Standards Versus Centralized Control
4. Management of Change
5. Regionalization Reorganization

These recommendations will be discussed in detail following the historical perspective.

The Task Force is continuing to meet to discuss long term solutions. Wardens Bill Bunnell and Dan Vasquez visited the State of Florida in August 1989 and the State of Georgia in October 1989. The purpose of these visits was to review the regional structures of the correctional systems of these States.

II. PRIOR REORGANIZATION EFFORTS

A. Departmental Needs Analysis - Steering Committee (1983-1984) Phase I - The Central Office Focus

In late 1983, at the prompting of Robin J. Dezember, then Undersecretary of the Youth and Adult Correctional Agency (YACA), and the Department of Corrections (CDC) undertook a comprehensive reorganization effort. A Steering Committee made up of representatives from throughout the Department addressed both Management By Objectives (MBO) and reorganization. Phase I of MBO/Reorganization effort was the Central Office reorganization project. The Steering Committee identified the following needs in CDC management and organization:

1. **Departmental Image:** The Department lacked a positive image with the public, Legislature, and the Administration. The Department is in need of a pro-active public relations program designed to address this deficiency. Implementing of a dynamic public relations/education effort would materially assist the Department in improving its image to the public, the Legislature, and the Administration.

The Department should also strive toward recruiting staff with strong analytical backgrounds and experience. Analytical staff play a vital role in assisting the management of the Department in maintaining credibility with various control agencies.

2. **Management Information Systems (MIS):** The Department lacked automated data processing systems needed to provide management with vital information. The increasing demands and challenges facing the Department made it critical that a multi-tiered computer based management information

systems be identified and developed. Without such a system, the Department would continue to react to situations rather than be able to prevent problems.

To properly achieve a refined MIS, a systematic analysis of management practices and procedures would be necessary. This MIS capacity was seen as critical to meeting the challenges confronting the Department with the confronting the Department with continuing overcrowding of the prisons.

3. **Facility Planning:** The Department needed to refine its facility planning and construction process. Due to the population demands made on the prisons, the Department began an aggressive construction program to bring on new beds and relieve overcrowding. This effort has proven to be the largest prison construction program in the United States. At the inception of the construction program, the Department was embarking on a task for which management resources and experience did not exist anywhere in the country. The Department was in a "learn as you go" operation despite its best efforts.

From this picture it was clear that improved planning strategies needed to be developed. The Department needed to improve its capacity to forecast population trends and project bed needs by classification levels, demographics, and identify new reception center beds.

4. **Communication and Coordination:** As with any large organization, communication within the structure can be problematic. The Department was in the midst of a period of dynamic change and growth which tasked its communication capabilities beyond capacity. An additional hindrance to good communication is the fact that the Department has a "quasi military" structure which creates strong and independent minded management teams at each prison. The degree of autonomy or centralized control was not clearly defined leading to individual interpretation shaded by personal philosophy.

The same situation existed within Central Office and this lead to serious misconceptions of the roles, responsibilities, and responsiveness of each of the major divisions with each other and between Central Office and the institutions.

5. **Communication and Coordination With Outside Agencies:** The Department was in need of improving its communication and coordination with other criminal justice agencies, other state department, agencies, and the courts. The Department's management mind-set was of CDC as a wholly independent agency, not part of a vital functional component of the criminal justice system. This mind-set hampered the Department's capacity to react appropriately to external forces.
6. **Department Organization:** The unprecedented growth of service population made review of the Department's organizational structure critical. The autonomy of individual institutions and parole regions to react to prevailing conditions in their geographic areas was critical to fulfilling the Department's overall mission.

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7. **Inmate Transportation System:** The advent of serious overcrowding and new prison sites rendered the inmate transportation system ineffective and inefficient. Limited system capacity and inherent scheduling delays could eventually cripple the Department. Improved strategies needed to be identified and implemented to keep up with the changing atmosphere.
8. **Management Capacity:** The Department needed to make substantial improvements in developing its management capacity. The growth of the Department meant that staff were promoting more rapidly than ever before and would bring fewer years of experience with them. Policies such as staff assignment rotation would assist in rounding out the lack of experience problem. A clear plan was needed to address management development. In addition, the Department lacked management support capability (support services, clerical, data processing) which hindered its ability to respond to the overwhelming problems and expectations placed on it.
9. **Control of Inmate Violence:** The Department needed to develop a standardized system for controlling inmate violence and make substantial improvement in processing in-custody crimes.
10. **Departmental Policy, Procedure, Standards and Compliance Tracking:** The Department needed to make substantive revisions of its Policy and Procedure manuals to reflect current management philosophy. Policy documentation and standards for developing policies and procedures was inadequate. Rules and Regulations and various policy and procedure manuals were poorly written, out of date, and tended to duplicate or contradict each other. There was no systematic process for revising manuals or ensuring accountability of managers to follow up on assignments.

Additionally, the Department lacked a clear statement of its philosophy and mission and a clear statement of professional organization values.

11. **Legal Counsel:** The Department's legal counsel/resources was poorly staffed. Managers did not have the ability to tap into in-house counsel for advice and guidelines in making critical decisions.
12. **Personnel and Training Policies and Practices:** The Department needed to improve the rewards and incentives to staff for positive performance and concurrently improve its management of the disciplinary system. "Management Team" concept had eroded to a point that cross fertilization of management ideas was not possible; there was no desire on the part of supervisors to promote into the management ranks. Roles of staff were ill defined leading to poor understanding of roles and poor performance.

Innovative training concepts were needed to supplement the lack of experience which staff traditionally had when promoting into supervisory/management ranks.

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13. **Resource Utilization:** The Department needed to identify its resources in order to meet the demands and challenges with which it was focused. Poor or under utilization of resources lead to poor organizational performance. Improved strategies and greater utilization of technology was necessary to deal with the situation especially in an atmosphere of low austerity.
14. **Rehabilitation and Inmate Program Concepts:** The Department had shifted its management focus and resources toward cost avoidance and punishment modalities and needed to blend rehabilitation and inmate programming back into the picture. A more balanced approach was needed if prison was to make a positive impact on crime.

The foregoing needs are in large part interrelated manifestations of a problem found rooted in poor organizational structure. These needs can best be addressed with an innovative reorganization effort and with the development of sound organizational performance standards.

B. Organizational/Management Changes As A Result of the 1983-1984 Needs Analysis

A number of organizational changes were made in Central Office to address these needs.

Division to Division Transfers

1. The Evaluation and Compliance Division (E&CD) was established by combining the existing Policy Operations Division and the Inspector General, and adding Court Services and Management Analysis and Evaluation. Also, the Department initiated the Manuals and Procedures Task Force, and increased the Inspector General's staff.
2. The Correctional Case Records Unit was transferred from the Administrative Services Division to the Institutions Division.
3. The Inmate Transportation Unit was transferred from the Law Enforcement Liaison Unit to the Institutions Division.
4. The Legal Counsel Unit was transferred from the Policy Operations Division to report to the Chief Deputy Director, and was later increased in staff.

Internal Division Changes

Institutions Division

1. Program Planning was renamed Institutional Services reporting to the Deputy Director.
2. Program Development and Evaluation was renamed Work Incentive Program reporting to the Deputy Director.

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3. Camps changed from reporting to the Deputy Director to reporting to the Assistant Deputy Director.
4. Institutions changed from reporting to Deputy Director to reporting to the Assistant Deputy Director.
5. Medical Services changed from reporting to the Deputy Director to reporting to the Assistant Deputy Director.
6. The Emergency Preparedness Coordinator, Classification Services, Correctional Case Records, and Transportation Unit were all placed under the responsibility of the Assistant Deputy Director.

Planning and Construction Division

1. There was a complete restructuring of internal operations to improve construction of new prisons and renovation of existing facilities.

Administrative Services Division

1. Personnel/Health and Safety, and Training Services were combined in a new Branch, Human Resources Management.
2. The Background Investigation Unit was transferred from Training Services to a new Unit, Standards and Selection, within the Personnel Section of the Human Resources Management Branch.

A number of management changes took place in Central Office which addressed these identified needs:

1. The Communications Division began a more active campaign of public relations. Public relations/education films were produced and distributed in conjunction with the Planning and Construction Division's new prison siting efforts. The Department established an awards program recognizing significant achievements and acts of bravery by staff. Awards are presented each year at the State Capitol with significant media coverage.
2. The Management Information Systems Steering Committee was formed and began addressing Departmental needs. Development of personal computer use in institutions, parole regions, and Central Office.
3. The Planning and Construction Division improved its use of resources in siting new prisons and addressing long term Departmental bed needs. Standards for space planning and design criteria were established to improve the speed of prison construction and ensure greater operational efficiency for staff.
4. Greater emphasis was placed on improving communication within the organization through increased training and use of tele-copiers to speed information.
5. The Department placed a greater effort on improving its image with other

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criminal justice agencies. Under the leadership of Director Rowland, the Department took an active role in such issues as Victims' Rights, Community Service, Gangs and Drugs.

6. Structural changes were made to the organization to improve responsiveness. The issue of institution and parole region autonomy remain to be dealt with.
7. New CDC busses were purchased to improve inmate transportation capacity. A Transportation Task Force was formed at the direction of the Deputy Director Denninger to review the transportation system and recommend improvements.
8. Director Rowland and former Chief Deputy Director James Gomez placed a high priority on the development and implementation of a formal Management Development Training Program. Additionally, Director Rowland made enhancement of clerical support and inmate case records staff a high priority in the Department's budget process.
9. A Task Force on in-prison crimes was formed and gave recommendations for a standardized system of case handling. Greater autonomy was given to institutions in processing cases and standards for case processing were established in cooperation with the local prosecutors.

Additionally, new prison designs and construction were developed to minimize the potential for inmate violence and maximize the ability to control and deter misconduct.

10. Efforts were made by Institutions Division to review and rewrite various sections of the various departmental manuals. These early efforts were not at a scale commensurate with the enormity of the task.
11. Liaison with the Attorney General's office enhanced. Attorney General's office establishes a Correctional Law Division to meet demand for legal services and representation of the Department.
12. The Basic Correctional Officer Academy curriculum was expanded to six weeks. Greater emphasis was placed on ensuring all supervisors received the Basic Supervision Course during their probationary period. Training Services was directed to develop specialized training for ancillary support staff, Sergeants, Lieutenants, and Medical Technical Assistants. Training Services Branch lead development of the Management Development Program.
13. Training programs were offered to managers which sensitized them to the need for sound resource management. Training in such topics as planning, organizing, and time management helped managers make better use of scarce resources.

14. Education Services began review of curriculum in an effort to identify strategies for improving chances of inmates reintegration into main stream society. Pre release programs at various institutions were begun to pilot education as a rehabilitative tool. Because of the constraints placed on certain programs for credit earning purposes these efforts were minimal.
- C. Departmental Needs Analysis - Steering Committee 1985 Phase II - The Field Focus

Under the direction of Director Rowland, this phase of the reorganization effort focused on input from the field. The size and composition of the Steering Committee was changed. The Steering Committee now consisted of Executive Staff. They relied on formal data gathering instruments to secure the field input. The input sought by the Committee was the perception of field staff as to what the Department problems and needs were, the causes of the problems or deficiency giving rise to a need, and most importantly, recommended solutions. This data gathering effort spanned the time of November 1984 through February 1985 and resulted in the following:

1. The institutions and parole regions reported a perceived lack of communication/coordination between various Divisions within Central Office as evidenced by duplicated requests made of them for the same or similar information.
2. The institutions and parole regions reported difficulty in reaching key Central Office managers when they needed critical decisions or needed to consult. Roles and responsibilities of Divisions and reporting structures needed to be refined and streamlined to enhance responsiveness.
3. The institutions perceived that the Institutions Division was understaffed considering the demands made on them by the various institutions and other key managers in Central Office. The responsibilities and workload generated by the changing complexion of the Department outstripped the resources of the Division.
4. In contrast, the institutions and parole regions expressed a general feeling that other Divisions within Central Office were over staffed.
5. Field staff felt that greater emphasis needed to be placed on developing business services skills and knowledge in managers responsible for this function. The field felt that many Correctional Administrators were lacking the functional knowledge necessary to properly manage this operation.
6. Institutional parole region staff felt that the Central Office processing time was excessive on matters related to personnel, fiscal and confidential documents. The delays experienced by field staff were causing difficulties in meeting workload demands.
7. Conversely, the field staff felt the turnaround dates given them by

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- Central Office were unrealistic. This problem highlighted the field perception that Central Office staff may not have a complete and current picture of the workload and operation of institutions and parole regions.
8. Field staff generally felt that some Central Office functions should be decentralized and reinstated as field functions. They felt that if field staff were given responsibility for some of these functions, they would be more timely in their response to local needs.
 9. Field staff generally felt that it was important for the Central Office and Regional management to periodically visit institutions and parole offices. This would provide an opportunity for field staff to illustrate current work conditions to top managers and those managers would have a better feel for the actual operation of functioning under their conditions.
 10. Institutions perceived a lack of communication and coordination within Central Office Branches and Divisions regarding audits and reviews performed in the institutions.
 11. Institutions and parole region staff perceived a lack of communication and coordination between field units from Institutions Division and Parole and Community Services Division.
 12. A specialized concern was raised by institution staff relative to the reporting relationship for new prison management. The reporting structure at that time was awkward and did not clear avenues for field input into design issues.
 13. Institution staff expressed a concern that Central Office was slow in approving and returning operational plans to the prisons. This perception raised an issue as to the adequacy at the Central Office review and approval process.
 14. Field staff reported that they perceived the Department as having its primary focus on "warehousing" inmates and that the Department had abandoned program options for inmates.
 15. Field staff perceived a need for clarification of the role of Central Office in the daily field operations. The roles, responsibilities and functional authority of various divisions needed to be clearly communicated. Additionally, staff felt that Central Office needed to ensure some avenue for periodic communication to the field was established. Ongoing communication to the field defining the Department Director's focus was critical for the integrity of the organization.

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16. Institution staff felt that Central Office did not have adequate monitoring systems and communication with the field regarding approved capital outlay projects.
17. Field staff expressed a concern that Central Office needed to coordinate focused training for field staff in each functional area.
18. Institutional Parole Region staff expressed a critical need for a management information system. Adequate computer support was felt critical to service the needs of Central Office, institutions and parole offices. The computer system should network the field and Central Office and sufficient terminals should be made available in each location.

In addition to identifying the above field perceptions of Departmental needs and problems in Phase II, the Steering Committee also gathered information on the organizational structures of other agencies. The organization charts of nine other state prison systems and five other California State departments were closely reviewed.

The Steering Committee summarized this review with a discussion of four general organizational approaches. These approaches were suggested as the foundation for developing an acceptable alternative field structure for the Department.

Also, an intensive review of the organizational structure of four other states' correctional systems was conducted in March 1985. A formal report summarizing findings pertinent to a possible field reorganization was prepared.

Discussion of the needs and problems identified in Phase II by the Steering Committee led to a decision to resolve these issues through systems improvements rather than through reorganization. The Committee's rationale was that focusing on restructuring the organization may simply reorganize the needs and problems rather than resolving them. Responsibility for improving specific systems, e.g., the 607 process, was given to the Deputy Director with functional responsibility for that area.

D. Overview of Changes to Central Office Organization Since 1985

The Appendix contains a detailed description of current Central Office functional responsibilities. The following is a brief overview of the major changes in the organizational structure of Central Office since 1984, following the Reorganization Phase I effort.

Administrative Bulletin 88/11 transmitted the February 1, 1988 Departmental Organization Chart, noting the following major organizational changes:

1. A new Legal Affairs Division was created.
2. A new Assistant Director for Program Development was established.
3. A new Assistant Director of Labor Relations was created by moving

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the Assistant Deputy Director for Labor Relations from the Administrative Services Division.

4. An additional Assistant Deputy Director position was established in Institutions Division and functional supervision was divided between them. Half of the institutions began to report to one of these Assistant Deputy Directors, and the remainder to the other. Medical Services became Health Services and management of this function was elevated to the Assistant Deputy Director level.
5. Civil Addict Legal Processing was moved from E&CD to P&CSD. Also, two new functions were added to P&CSD: the Distributed Data Processing System and Substance Abuse Revocation Diversion.
6. A number of new units were shown in Planning and Construction Division: Contract Procurement and Cost Control, and Program Support and Systems under Construction Support; Engineering Services, Quality Assurance and Telecommunications under Construction Operations; Design Development and Planning under Design and Program Planning/New Prison Activation Branch; Facility Services and Inmate Day Labor under Existing Facility/Day Labor; and New Prison Siting and Minority/Women Business Enterprise under Government and Community Relations.
7. Data Processing was moved from the Administrative Services Division to E&CD and re-titled Information Systems.
8. The Research and Support Services Office within E&CD was reorganized. Inmate Appeals, Policy Documentation (re-titled Regulation and Policy Management) and Research began to report to the Deputy Director.

In order of occurrence, significant recent changes in Central Office organization include the following:

1. The Special Projects Branch was created in E&CD (July 1988).
2. Court Services Branch was disbanded, and the function was transferred from E&CD to Institutions Division (late March 1989).
3. The Operations and Support Services sections within P&CSD were combined (late FY 1988/89).
4. A new Office of Substance Abuse Programs was created (May 1989) reporting to the Chief Deputy Director.

III. THE DEPARTMENTAL TASK FORCE ON ORGANIZATIONAL STRUCTURE REVIEW

A. Review of Current Situation and Progress Since Phase II

Initially the Task Force on Organizational Structure reviewed the current status of the Department and analyzed what progress had been made on the issues identified in Phase II. From this perspective, the Task Force was looking for the common theme which ran throughout all prior reorganization efforts.

1. The need for a central clearinghouse for handling request for information from the field still exists. Although this can be labeled an operational problem, duplication of requests for information from various Central Office Divisions, the ongoing nature suggests that an organizational deficiency exists. Addressing this need with reorganization/creation of a unit to coordinate information requests may be very valuable in an organization as complex and growing as CDC.
2. For the most part, institutional staff have enhanced access to Institutions Division decision makers due in large part to reorganization efforts in that Division. Roles and responsibilities were more clearly defined when the second Assistant Deputy Director was added to the Institutions Division.
3. Again, for the most part, the perception of under staffing of the Institutions Division has been mitigated. Reorganization and more realistic staffing patterns has helped make the Division more responsive in providing field services.
4. The general feeling of field staff that Central Office is over staffed still exists to some degree. Field staff are tasked with increasing workload as are Central Office staff. The main issue here is one of perceptions and raising the sensitivity of both groups to the roles and responsibilities of each other.
5. The need to develop managers skills in the area of business services functions should still be addressed. Having well-rounded skills in all areas of Corrections, from custody operations to business services will produce managers who are better able to identify problems and needs and identify appropriate resources to address them.
6. The issue of Central Office turn around time on processing personnel, fiscal and contract matters is still a concern. Efforts to streamline processes have been implemented and have been beneficial to some degree. Reorganization options need to be explored as well.

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7. The perception that assignments given to field staff by Central Office often have unrealistic due dates remains. The field needs to be sensitized to the reality that Central Office is often responding to inquiries made by Agency, the Administration, Courts, or the Legislature. These inquiries often have short turn around dates and with the information located in the field the dates become more difficult to meet. Organizational and operational strategies, as well as training, need to be explored to address this continuing issue appropriately.
8. Some reorganization efforts have been made to respond to the issue of decentralizing some Central Office functions. The use of a regional accounting office in Visalia to address needs for several of the new prisons in the area is a step toward decentralization, although further progress can be made.
9. Despite the increasing demands made on top managements' time, managers are trying to schedule trips to the institution and parole regions and offices to keep first hand contact with field issues. Field staff though need to be sensitized to the types of demands made on Central Office generally. The perception of field staff is sometimes, of necessity, limited to the institutions perspective and its own needs.

A broader view of Department-wide issues and priorities needs to be communicated to truly create a shared vision of the Department amongst all staff. To achieve this, a staff rotation policy should be adopted. Such a policy should focus on creating an atmosphere wherein staff do not become so ingrained in either the field perspective or the Central Office perspective as to loose their effectiveness to the organization. Central Office staff should spend time in the field to gain insight into the total operation, and conversely, field staff should spend time in a Central Office position to help them gain insight into the departmental perspective.

10. As for the need for increased communication and coordination with Central Office divisions and branches regarding audits and reviews performed in the institution, the solution is twofold. First, field staff need to be made aware of the fact that some overlap or duplication of audits and reviews is done by design. If top management are to make informal decisions about Departmental issues, wide input is critical. Often times it is desirable to have two separate sets of audit teams independently address an issue. The results produced by the first team are validated by the second. Conversely, if the second team produces results far different than those of the first team, managers look to the process used to conduct the audit.

The second approach to correcting this perception is creating the information clearinghouse so results of audits can be tracked more closely and resources are used more efficiently.

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11. The perception by field staff of lack of coordination between field units of the Institutions Division and Parole and Community Services Division has been addressed to some degree by improving the timeliness of publication and dissemination of audit reports.
12. The reorganization effort with Planning and Construction has improved the reporting relationship of new prison management staff. The current approach provides for wide input from field staff on design issues and a clear avenue for resolution of concerns and disagreements.
13. Improvements in both the system for tracking, reviewing and approving operational plans, as well as reallocation of staff within the Institutions Division has helped alleviate delays.
14. Under the leadership of Director Rowland, the Department has taken a more balanced approach to its mandated mission. The Director has taken affirmative steps to increase inmate programs, to bring innovative program ideas into the Department and to establish education/pre-release programs and substance abuse programs as a high priority.
15. Improvements have been made in the area of defining and communicating the roles and responsibilities of the Central Office. There is further room for improvement in this area through the publication of the Department Mission and Philosophy Statement and Departmental Priorities was a positive step forward alleviating the perception that the Department's focus was not clearly defined.
16. Reorganization efforts in the Planning and Construction Division, Existing Facility/Inmate Day Labor Branch have improved the monitoring and management of capital outlay projects.
17. The Training Services Branch is engaged in the process, through the Departmental Training Advisory Committee, of making substantial improvements for curriculum for staff training.
18. Although the Department has implemented its management Information System, its migration throughout the field facilities has been slow and cumbersome. This is a recognized critical need which receives on-going attention.

B. Task Force Recommendations for Department-wide Improvement

With the history of prior reorganization efforts fully reviewed, the Task Force conducted an analysis of the current challenges facing the Department and narrowed its focus to general key issues. These key issues are felt by the Task Force to represent the most significant areas for improvement which will materially assist the organization as a whole. The Task Force divided the key issues into those which can be addressed in the short term and those which require long terms for

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implementation. This report will concentrate on the following short term issues:

1. Communications
2. Personnel Issues
3. Standards Versus Centralized Control
4. Management of Change
5. Regionalization Reorganization

The Task Forces' recommendation for the long term is regionalization. Accompanying this report is a model concept for implementing regionalization.

Current Needs Analysis and Recommendations for Improvement.

The following needs were identified by the task force as able to be implemented in a relatively short time frame. These topics are presented in random order.

1. Communications

As within any complex organization, the task force felt that there are continuing needs to improve channels of communication. The Phase I and II efforts clearly evidenced communication as an underlying factor in almost each identified need or problem. The Task Force firmly believes that progress can be made in this area. Progress however is dependent to a great degree on the strategies and technology employed.

The Task Force believes that the Department could benefit from improved use of computer and electronic media technology. Technology which will aid in moving information, policies and important decisions to and from the field and Central Office is of critical importance to achieving the Department's goals.

The concept of establishing a clearinghouse for information gathering requests is a target ideally suited for a computer application and could be accomplished with a minimum of reorganization.

As requests for information are generated by managers in each division, parole region or prison, they would be funnelled through the clearinghouse. The clearinghouse would make the actual contact with the parties needed, collect the information and return it to the requestor. The important feature is that the clearinghouse could electronically store and track information. By storing and tracking information at one point, unnecessary duplication of requests could be eliminated; previous information gathered on a topic could be retrieved and compared to new information, thus increasing the overall value of the information to management.

This approach would greatly improve the quality of information gathered and the timeliness of dissemination. A general improvement in the use of technology by the Department is in order. For an agency of our size and complexity in a critical public service role, the Department should be on the cutting edge of innovation and technology.

The rate of progress made in the Distributed Data Processing System (D.D.P.S.) implementation has been disappointing. The Department's needs since the

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inception of the D.D.P.S. effort have changed and the ability to respond to those changes has been slow and costly. In some cases, institutions and parole regions have resorted to using personal computers and local staff talent to bridge the gap between D.D.P.S. capability and local needs. Also, Central Office Data Processing staff have perceived the local initiatives as threatening their efforts. This is an uncomfortable and undesirable atmosphere for both entities.

To address this situation, a thorough assessment should be conducted to determine the information needs of the Department. Standards and guidelines for information technology development and selection should be used to assist the Department in making choices from the often bewildering variety of technological alternatives.

The size and complexity of the Department dictates our need for timely information. The Department has a need to create a networked, automated information access system to keep pace with the challenges we face.

The Department should support efforts on a State-wide level to streamline, shorten and simplify the process of taking a project from the idea stage to completion.

A master plan similar to that used to address bed needs and construction programs should be adopted by the Department to address our Management Information System need. This should be a high profile/high priority living document with periodic formal review. The development of the master plan should have broad development input from the field and should be widely disseminated to field staff to ensure the management commitment is clear. Staff need to hear that the Department will come into the 90's.

An additional aid to the Departments overall communications needs would be in the form of using technology to aid in training and general staff information sharing. The use of video tele-conferencing is a technology which could aid in bringing staff together for important meetings without the travel expenses traditionally incurred. Equipping institutions and parole regions with appropriate equipment could pay for itself in life cycle by reducing travel and per diem expenses. The ease of scheduling and reduction in time needed to bring people together is a great asset needing to be tapped.

The Department should also become more involved in sharing technology with other State agencies. The California State University system currently makes use of satellite transmissions to transmit classes and presentation throughout the State. By tapping into this and other satellite and interactive technology based systems, staff training could be standardized. Policies and procedures, critical information and important decisions can be quickly and accurately transmitted throughout our growing Department in hours.

Many new prisons are currently being equipped with satellite receivers. The cost of retrofitting existing facilities may be as little as \$5,000 per site. The price associated for improving the morale, sense of teamwork and ensuring that all staff truly share

the Department's philosophy and goals is critical. In the interim, the Department should consider returning to producing the videotapes "Dialogue with the Director" to aid in bridging some of the communication gaps.

2. Personnel Issues:

Since the implementation of the State Employer Employee Relations Act (SEERA), an ever deepening rift has been created between pay and benefits accorded employees in Unit 6 and other bargaining units. Disparity in pay has on one hand made efforts to recruit Correctional Officers easier, but on the other, has made it harder to recruit and retain staff in ancillary positions. Such areas as Food Service, Maintenance and Business Services are impacted.

Viewing the critical nature of their function, the environment in which they work and the responsibility for supervising inmates, there should not be such a wide gap in salary. The Department needs to champion the position that all employees, regardless of classification, both peace officer and non peace officer alike are critical to carrying out the mission of the Department.

A recommended approach would be to, as an example, reclassify the Supervising Cook I and II jobs to a new position of Correctional Cook I and II. The reclassification of these position should emphasize the functions of supervising inmates, maintaining security, key and utensil control, as well as discipline of inmates. A new classification should recognize that these staff are working in an environment and performing tasks every bit as potentially dangerous and stressful as that of Correctional Officers.

An additional area for focus should be in the Correctional Case Records series. For the degree of knowledge, skill and precision required of staff in this series, they are seriously under compensated and their workload is often unreasonable.

Staffing formulas which adopt strict inmate/staff ratios for certain classifications should be reviewed. The methodology employed to establish these ratios should emphasize transactions per inmate by custody and classification level and recognize the individual institution's mission, i.e., camp operations versus Security Housing Units.

Staff in the case records series need to be provided career paths which allow and encourage bridging into other professional fields within the Department and State service. Not having such a clear career ladder makes recruiting and retaining staff difficult when it is viewed as a "dead end" classification.

To impact the continuing perception by field staff of insensitivity of Central Office staff, the Task Force recommends the adoption of a staff assignment rotation policy. Such a policy should focus on creating an atmosphere wherein staff do not become so ingrained in either the field perspective or the Central Office perspective as to lose their effectiveness to the organization. Central Office staff should spend time in the field to gain insight into the total operation, and conversely, field staff should spend time in a Central Office position to help them gain insight into the departmental perspective.

The Task Force believes that such a policy will assist all staff in gaining a broader

view of Department-wide issues, priorities and operations. Such a policy will increase the skill and experience levels of management and ensure the Department has a more qualified, well rounded pool of staff to elevate into positions of leadership.

3. Standards Versus Centralized Control.

In Phase I, the Steering Committee identified the need for improvements in policy, procedure and monitoring systems. Additionally, it has been identified that Central Office is perceived as not being sensitive to field needs and problems. Central Office is also perceived by field staff as having a control orientation rather than a support orientation. The Department's efforts to revise and update all manuals and incorporate them into one Departmental Operations Manual has to some degree heightened the perception of a Central Office control orientation.

The Manual Revision Task Force had two very important benefits; that of focusing attention on the fact that some policies, procedures, rules and regulations were outdated, duplicated or contradictory in the several manuals previously in place. The second, was focusing attention on the serious need for Department-wide standards, a need which had long existed in the organization.

The Manual Revision Task Force effort has met with some objection by field staff. Field staff perceive that the new operations manual takes away the Warden or Regional Administrators flexibility in meeting local needs. The Task Force does not believe that this is an accurate depiction of the intent of the Department Operations Manual. On the contrary, it is a long overdue attempt to set the very standards that will aid in bringing the Department together and help dispel the notion of each institution or parole region being its own autonomous mini-department.

Establishing and enforcing Department-wide standards and decentralizing control are not mutually exclusive concepts. They are complimentary if organized and managed correctly.

A continuation of the Manual Revision Task Forces' positive effort is called for, in the form of further development of Departmental Operations Standards. Standards for operations and performance are needed to round out the management tools of the Department. Standards should enhance existing policy and guide Wardens and Regional Administrators in the management of their area of responsibility. Their area of responsibility should encompass some functions now centralized with headquarters.

Decentralizing some personnel, labor relations and budget functions is possible and desirable if clear standards are articulated to the Wardens and Regional Administrators. Articulating clear standards for performance will have the effect of placing responsibility for achieving Department goals and objectives at a lower level, will give the Warden/Regional Administrator tools to carry out the goals and objectives and will hold them accountable for their performance.

The efforts of the Manual revision Task Force needs continuing management support to maximize the implementation and effectiveness of the Departmental Operations Manual in the field.

The desirability of decentralizing some functions and creating standards is illustrated by the following examples:

a. Personnel - Hiring Process

The present hiring process requires that some management positions be submitted to Central Office for approval. This is done primarily as an audit process to ensure the person submitted meets the requirements for the classification and that departmental hiring goals were met.

This process is unnecessarily time-consuming and could be discarded in favor of a decentralized institution or region based process. By establishing a clear statement as to the hiring policy and standards for carrying out the policy, the Warden or Regional Administrator could accomplish the Department's goal locally. Central Office could then monitor and audit local compliance, rather than control it. If a Warden or Regional Administrator were having difficulty in meeting a hiring standard, Central Office could supply assistance in recruiting for the vacancy. If, after all avenues were explored and the standard could not be met, both the Warden/Regional Administrator and Central Office would be satisfied that every effort was made.

Conversely, if the Warden/Regional Administrator disregards the standard, they should be held accountable for this lack of acceptable performance and if appropriate, be replaced.

b. Labor Relations - Adverse Actions

The present system for handling adverse actions against employees requires that the package be sent to Central Office for review and approval before a penalty is assessed against the employee. This process provides an audit to ensure due process rights are not violated, time constraints are met and that punishments/penalties are applied in a uniform manner, non disparately.

An unwelcome by-product of the current process is time consumption. The long turn around time between local action and a decision in Central Office dilutes the effectiveness of the disciplinary process. Long turn around times also have the effect of changing the relationship between the impacted employee and management. The longer it takes between the time the Warden/Regional Administrator makes a decision or recommendation and the time it is approved by Central Office, the employee tends to become embittered. The embitterment stems from the fact they see themselves in a prolonged unsettled position with their employer. This unsettled feeling is stressful and they are concerned about the employment; their careers.

The underlying philosophy of the disciplinary system is to set standards for conduct on the job, to enforce those standards through a graduated set of sanctions for misconduct and to correct or eliminate future misconduct.

To the extent that most acts of misconduct result in less than termination, it is in everyone's benefit that the disciplinary process be administered quickly. The quicker the punishment, the quicker the employee returns to the job re-focused on complying with the standards. It is imperative that the employee is reintegrated into the work force and that any cloud of ill will distrust is quickly dispelled.

The impact of having employees in this kind of limbo effects not only the employee undergoing some disciplinary action, but co workers and supervisors as well. When an employee remains on the job, under disciplinary action for a protracted time without resolution, the supervisor who initiated the action feels that they are unsupported. This also impacts the ability of the supervisor to effectively manage the work-place.

With the volume of adverse actions generated by institutions and parole regions, there is a natural bottle neck generated by the present system. While the objective is sound, uniformity in administering the disciplinary system; the process is choking the Department's ability to achieve it.

The process can be decentralized by articulating clear standards for administering employee discipline.

Under a decentralized process, the individual Warden/Regional Administrator is, as currently, responsible for ensuring due process and time constraints are met. At the appropriate point, they would make a decision about what punishment is warranted by applying the standards. If the Warden/Regional Administrator was confronted with an unusual situation, they could use Central Office in an advisory capacity to aid in making a decision.

Copies of adverse actions could be promptly forwarded to Central Office for auditing and review. If the Warden/Regional Administrator was found to be disparate in applying standards they would be held accountable by the Director and Executive Staff.

The decentralized process would aid in shortening the time necessary to process disciplinary actions and would improve the Department's compliance with the underlying philosophy. The Task Force would also point out that the efforts of Armund Burrell's staff in creating a personal computer based program to aid in administering the disciplinary process makes the concept of decentralization all the more realistic.

c. Budget Management - Vocational and Academic Education

The present system for administering budgets for vocational and academic education programs is entirely vested in Central Office. Individual institutions have little or no flexibility in administering these funds. This limits the ability of Wardens through their Supervisor of Correctional Education Programs to meet local needs and program initiatives.

A decentralized process for administering the education budget would entail drafting and implementing clear standards for budget management, program

management and implementation of correctional education programs. Adopting a decentralized process would place the responsibility and accountability for successful implementation at the institution level. The Wardens, through their staff, would have greater flexibility in meeting local needs and implementing important initiatives such as: Victims Rights, Substance Abuse programs and the Stirling Bill (9.0 GPL).

These are but a small selection of examples of functions which can be decentralized without negatively impacting the Department or moreover, enhancing the overall efficiency and effectiveness of the Department.

4. Management of Change

Under the leadership of Director Rowland, the Department has made significant changes and improvements in its management of the inmates and parolees. Significant steps have been taken, without the benefit of this or other task forces, to improve correctional strategies, to re-think the Department's role in the criminal justice system and become pro-active in addressing problems facing the corrections community.

Many changes and improvements have been made to the organization to make it more responsive to needs. One example would be the establishment of regularly scheduled meetings of Wardens of newly constructed prisons with the Deputy Director-Planning and Construction. This has established a highly responsive avenue for identifying problems in design and construction of new prisons and translating them into improvements and corrections to projects in the design and construction phase. Involving the appropriate decision makes all the managers in the process has helped ensure the long term effectiveness of our new prisons and has helped dissuade any feeling that the Department may have been insensitive to design and construction problems in the early steps of the new prison construction program.

Another example of the positive changes would be the establishment of the office of Special Projects. This office oversees the implementation of Victims Rights projects throughout the Department and provides staff support to the Presley Institute, Blue Ribbon Commission and the Program Development Council.

The Program Development Council in itself has been a great benefit to the Department by generating serious and timely discussion about various operations of the Department. This has lead to the generation of many Department Issue Memorandums addressing such topics as adopting a "Structured Prison Environment" and revising the Work Incentive Laws.

The reception of that "Structured Prison Environment" paper alone has had a positive effect on the field. Field staff, through the Wardens and Regional Administrators have long complained about how the work incentive law seems to have been slowly eroding away and were having the actual effect of encouraging misconduct and lack of respect from law and authority. As a result of the PDC efforts, the Department is now addressing this crucial concern.

The establishment of the Program Development Council as a forum for staff involvement and interaction has created a mechanism which will long benefit the

Department.

One last example of positive change would be the establishment of the Office of Substance Abuse Programs (OSAP). This program initiative is seen as one of the most dynamic and meaningful changes the Department/Director has implemented. The OSAP will address a critical gap which has long existed in the correctional treatment/management model of the Department and represents an important move to establish the Department of Corrections as a leader in the criminal justice system.

Change, even the most important and valuable change, in an organization brings with it a set of problems. It is the problems associated with the acts of change that the Task Force felt Executive staff should confront itself with.

The Department of Corrections, as a quasi-military structured law enforcement/correctional agency thrives on stability.

Change is difficult even when the new goal is exciting and well-accepted by the field staff. When staff are generally focused across the board with developing and implementing the change, it has a good chance for success.

As the number of changes attempting to be implemented increases, staff lose their focus; their energy is scattered among many worthy projects and they become generally frustrated since none of the projects seem to be progressing.

It is the recommendation of the Task Force that serious attention be given to limiting new program initiatives for implementation. By allowing staff to focus energy and resources on only one or two programs initiatives at a time, successful implementation and change can become reality. Focused energy can create a quality product; one which will long serve the Department's and the public's needs.

This recommendation should not limit the efforts of such entities as the Program Development Council to explore innovative correctional strategies. It is these kinds of efforts which help alleviate some of the inflexibility ingrained in an organization of this size, complexity and mission. These kinds of program development efforts help bring the Department into a mainstream leadership role in the criminal justice system.

It is crucial that staff achieve and maintain a shared vision of the Department. They must feel that each and every one of them has a vested interest in the Department and that without their support and involvement, achieving the Department's goals is not possible.

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"Our plans miscarry because they have no aim. When a man does not know what harbor he is making for, no wind is the right wind". (Seneca - 4 B.C. to A.D. 65)

The Task Force recommends that the focal point of departmental efforts be directed at such worthy programs as Substance Abuse and Structured Prison Environment.

An additional, but somewhat broader recommendation of the Task Force centers on the issue of planning for change. As has been previously spoken to, the Task Force recommends adoption of a Master Plan for addressing the Departments Management Information Systems needs, similar to the successful process used to plan the new prison construction program. Taken a step further, Executive Staff should strongly consider expanding the concept to include a five to eight year Master Plan for the entire operation and evolution of the Department of Corrections.

A Master Plan would help administrators, managers and staff keep a focus of not only short term goals; now addressed by the implementation of Management By Objectives, but of the long range goals of the Department. A shared vision is a lasting vision to staff who gain insight into the general direction of the organization. A Master Plan is envisioned by the Task Force as a living document which would incorporate the Departments Mission and Philosophy Statement, a summary of program initiatives and challenges facing the Department and Goals and Objectives to meet them.

5. Reorganization - Regionalization

The Task Force recommends that the Department Executive Staff consider laying a foundation for future implementation of regionalizing the Department. The Task Force realizes that implementing this proposal is certainly a long term initiative. However, the Task Force would point out that streamlining the processes and improving and changing policies, procedures, rules and regulations are limited in their effectiveness if the problems and needs are treated without a view toward reorganization and regionalization.

The Department has, for some time, recognized a regionalization model. The Parole and Community Service Division has long operated successfully under this model. The Selection and Standards Branch has operated under a regionalized organization model for testing and background investigations for various positions.

A comprehensive report and recommendations have been prepared by Wardens Bunnell and Vasquez to address regionalization. It is important to note in this report that the Task Force has made its recommendations for system improvement with a view that the recommendation can be implemented under the current organizational structure and can be easily assimilated into a regional approach.

The Department has faced unprecedented challenges in the last ten years. It has weathered these demands well. But, at some point as the demands and challenges grow at ever increasing rates, our ability to address them and do so successfully will

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be hard pressed. It is important now that Executive Staff begin to look into the future and entertain the concept that regionalization is a viable method of long term resolution of needs and problems.

This type of change requires that a foundation be laid far in advance of implementation; that barriers and resistance to change be broken down gradually; that an atmosphere is created wherein a major reorganization is looked upon not as a threat to the Unit or Branch where one works, but as an opportunity for improving the effectiveness of each individual staff member.

IV CONCLUSION

The Task Force members feel that laying out the historic perspective of previous reorganization efforts is critical for the reader to view the present findings. The Task Force found that the previous bifurcated efforts to change or refine processes and procedures were not wholly successful. It is the feeling of the members that a systems perspective/needs analysis needed to focus on root issues. Treat not the symptoms, but the cause.

The common theme that the Task Force found running throughout previous efforts and in its own inquiry was difficulties in communication, lack of operational standards, staffing issues and the management of change. The manifestations of these problems and identified needs are not unique to the Department of Corrections. They are universal among large and complex organizations and were found by Task Force members who confronted correctional agencies in other states.

Many positive steps have taken place to bring to all staff a shared vision of the Department. Many more steps remain to completely achieve it.

The area of communication requires that the Department identify a clear plan of implementing an automated state of the art Management Information System. A master plan should be developed to identify strategies and technologies to speed communication, reduce duplicated tasks and improve information sharing. Clear lines of communication need to be established which encourages and recognizes the need for field input into critical policy formation decisions.

The Task Force recommends that issues of pay and benefit disparity be explored between Unit 6 employees and other ancillary staff. The substantial disparity which exists makes recruiting and retaining staff in critical operations such as food service and maintenance difficult. Career ladders need to be examined in the case records field to ensure staff do not view the series as a "dead end" and adequate compensation should be given recognizing the criticality of the function.

Decentralizing certain functions and establishing performance standards is seen as a viable approach to addressing critical needs. By placing functional responsibility for many functions at a local level the Department can better address the needs which vary around the State. Establishing standards for carrying out certain decentralized functions can facilitate timely solutions without impairing the overall goal of the Department. Accountability on the part of the individual Wardens and Regional Administrators is critical to ensuring standards and Department goals are met. The

ORGANIZATIONAL TASK FORCE REPORT

March 18, 1990

Department would aid in mitigating the negative perception that Central Office is a non-supportive, control oriented function.

Focusing attention on one or two important program initiatives at a time would aid the organization in making the monumental changes it has embarked upon. The positive steps taken so far should not be lost for lack of focused energy. Staff are beginning to see remarkable changes taking place and sincerely want to see these programs come to fruition. It is imperative that our desire not get ahead of our resources.

To view the Department today and compare it to ten years ago, it is clear that we have fielded many serious challenges. Our ability to handle the future challenges demands that we take a serious look at the organizational structure and its potential responsiveness for the future.

The Task Force recommends that for the long term the Department reorganize itself and adopt a regionalized structure. Accompanying this report is a model concept for implementing regionalization prepared by Wardens Bunnell and Vasquez. Volume II, entitled " Departmental Task Force on Organizational Structure , Task Force Report on Regionalization" dated March 1990, describes in detail the concept and a potential method of implementation.

CALIFORNIA DEPARTMENT OF CORRECTIONS
CENTRAL OFFICE FUNCTIONAL RESPONSIBILITIES

EXECUTIVE OFFICES

OFFICE OF THE LEGISLATIVE LIAISON

Mission

Provides executive policy advice on all matters with legislative implications.

Functional Responsibilities

The Office develops legislation and secures its introduction in the Legislature; identifies bills of departmental interest, coordinates their analysis and recommends the department's position; explains the department's view to legislators and provides direct advocacy through appearances before legislative committees; logs, coordinates and controls responses to inquiries from State and federal legislators; and coordinates investigations arising from legislative concerns.

Resources

One (1) Assistant Director--Legislative Liaison; one (1) Staff Services Manager II (SSM II); one (1) Staff Services Analyst (SSA); one (1) Office Technician (OT).

OFFICE OF LAW ENFORCEMENT LIAISON

Mission

Commonly referred to as the Special Services Unit (SSU), this Office serves as an investigative force for CDC administration.

Functional Responsibilities

Provides State level investigative liaison service to local police agencies involving major crimes when prison inmates or State parolees are known or suspected responsible parties.

Provides investigative services for the Department's institutions, programs and divisions including internal affairs investigations.

Coordinates and provides staff support for the statewide Prison Gang Task Force.

Provides polygraph services for the Department and outside agencies upon request.

OFFICE OF LAW ENFORCEMENT LIAISON (CONTINUED)

Resources

One (1) Assistant Director--Law Enforcement; seven (7) Senior Special Agent; twenty (20) Special Agent; one (1) SSA; five (5) OT; 1.5 Office Assistant II (OA II).

OFFICE OF LABOR RELATIONS

Mission

The mission of the Labor Relations Office is to promote a harmonious labor-management relationship. This includes:

- o Implementing the collective bargaining law for rank-and-file employees and negotiating labor contracts for the rank-and-file/labor unions under SEERA and the Fair Labor Standards Act (FLSA).
- o Ensuring that all members of the management team are kept informed and trained in carrying out their responsibilities under SEERA, the labor contracts and the FLSA.
- o Providing advice, assistance and policy recommendations to management in all areas of labor-management relations.
- o Representing the department during all phases of the collective bargaining process including negotiations, impasse resolution and contract administration.

Functional Responsibilities

Grievances: administers the grievance procedure; monitors grievance handling effectiveness; investigates grievances which relate to departmental policies and procedures and recommend decisions at the Director's level.

Labor-management formal negotiations/delegations on impact: serves as the Chief Negotiator in meet and confer and other departmental bargaining sessions, with broad authority to commit the Department; directs the development and presentation of management's positions and strategies at meet and confer sessions, arbitration and unfair labor practices hearings.

FLSA: responsible for implementing and coordinating the FLSA, including ongoing review and maintenance of information and consultation with managers and supervisors.

Adverse personnel actions: responsible for administering and coordinating the adverse personnel actions procedure, and reviewing and making recommendations for approval by the appropriate Deputy Directors and Assistant Directors; works with the Attorney General's Office on all cases.

OFFICE OF LABOR RELATIONS (CONTINUED)

Functional Responsibilities (Continued)

Training: develops and implements training programs for Executive staff and other managers on employer-employee relations policies and issues such as grievance handling and arbitration, contract administration and relationships with employee organizations.

Statewide contract negotiations and contract administration: directs the development and presentation of management's positions and strategies at contract negotiations; represent the Department at the bargaining tables; familiarizes departmental managers and supervisors with interpretations of new contracts and enforces contract administration.

Provides consultation and advice to management team members in interpreting memoranda of understanding (MOUs), labor relations laws and policies; functionally supervises the department's local employee relations officers, which is a cadre of approximately 40 managers located in institutions, parole regions and Central Office who act as local labor relations advisors to Wardens, Regional Parole Administrators and Deputy Directors; researches and makes recommendations for management's position on proposed legislation, case law, and administrative rule/ regulation changes; maintains liaison with the Youth Authority, Department of Personnel Administration, State Personnel Board, Public Employee Relations Board in resolving problems of mutual concern and responding to inquiries and complaints.

Resources

One (1) Assistant Director, one (1) Labor Relations Specialist II, five (5) Labor Relations Specialist I, one (1) Labor Relations Analyst, one (1) SSA, one (1) OT, one (1) Word Processing Technician (WPT), one (1) OA II, one (1) Seasonal Assistant (Temporary).

OFFICE OF COMMUNITY RESOURCES DEVELOPMENT

Mission

The Office of Community Resources Development (CRD) was established in 1981, reflecting the philosophy that increased understanding and interaction between the communities and CDC benefits both. CRD helps bridge the gap between the Department and the community at large. By dramatically increasing the use of community resources, it has helped the Department provide program services, access non-State materials and equipment and increase public involvement. CRD is made up of six major areas:

- o **Financial Resources Unit**--provides systemwide technical assistance and leadership in the accessing of community resources to meet departmental needs; administers and monitors departmentwide policies and procedures concerning donations, citizen participation, grants, and community service contracts associated with inmates and their families.

OFFICE OF COMMUNITY RESOURCES DEVELOPMENT (CONTINUED)

Mission (Continued)

- o **Arts-In-Corrections Program**--departmentwide arts program implemented in 1980 by the Legislature following a pilot project at California Medical Facility, Vacaville begun in 1977. Makes use of the creative processes to raise inmate self-esteem and lower institutional tensions.
- o **Elementary and Secondary School Improvement Amendment (ESIA) 1988 Chapter I of Title I**--administers the federal ESIA grant to meet the special educational needs of institutionalized neglected and delinquent children. Federal ESIA funds became available in 1974 and programs and services were implemented in institutions in 1975. The 1988 amendments provided greater State and local flexibility.
- o **Vocational Education Act (VEA) Grant**--administers and coordinates the federal VEA grant. Federal VEA funds became available in 1977. The Department is under a federal mandate to establish and use a Vocational Education Advisory Council (VEAC) to recommend the priority uses of VEA funds on an annual basis. The funds are used for (1) travel and per diem of the VEAC; (2) purchase of training equipment for selected vocational programs; (3) support administrative functions; (4) on site welder certification of inmates.
- o **Citizens Participation Program**--created effective May 1, 1989, its purpose is to involve citizens in the delivery of services to inmates and parolees. Citizens participation is defined as the advisory and/or voluntary involvement of the community and citizens in Departmental activities to improve public understanding of correctional operations, to positively influence correctional direction, and to improve inmate/parolee programming.
- o **Religious Programs**--created effective June 1, 1989, provides functional supervision of chaplains in institutions.

Functional Responsibilities

Financial Resources Unit

Prepares, administers, monitors and evaluates Centerforce Visitor Center Program, Friends Outside Prison Representative Program, and the M-2 Sponsors Inmate Match Program.

Monitors, coordinates, and provides technical assistance for activities of Community Resource Managers in 18 institutions.

Develops contacts with the private sector, governmental agencies, foundations, public and private nonprofit organizations, and other community agencies to generate and increase goods, services, financial support and technical assistance to meet departmental needs and increase self-sufficiency.

OFFICE OF COMMUNITY RESOURCES DEVELOPMENT (CONTINUED)

Functional Responsibilities (Continued)

Financial Resources Unit (Continued)

Provides technical assistance to institutions, Parole Regions, and Central Office administration in accessing community resources to include federal and private grant funding, donations, and volunteer services, and community service projects.

Arts-In-Corrections

Contracts with professional artists and arts organizations to provide instruction and guidance in the visual, literary and performing arts.

Develops overall program content and documentation, and the coordinates the acquisition of non-departmental funding and other resources.

Administers arts programming and collects monthly statistical and narrative reports of Arts-In-Corrections program activity through Artist/Facilitators (9 institutions) and Lead Artists (9 institutions).

Elementary and Secondary School Improvement Amendment (ESIA) 1988 Chapter 1 of Title I

Provides oversight of supplementary education programs in ten institutions providing educational support to over 1,000 inmates per year.

Vocational Education Act (VEA) Grant

Carries out the administrative tasks of the grant; prepares the annual funding application; prepares the annual claim for reimbursement; prepares the Final Reports.

Serves as staff to the VEAC.

Conducts quarterly compliance reviews of the department's VEA funded programs and services.

Develops and annually revises the Three-Year VEA Program Plan.

Citizens Participation Program

Coordinates a systemwide effort to involve citizens in the delivery of services to inmates and parolees by developing additional linkages with individuals and organizations for utilization by institutions, paroles and Central Office operations.

Coordinates citizen advice and consultation to achieve greater responsiveness by the Department to the needs of the community while promoting involvement in the reduction of crime and delinquency.

OFFICE OF COMMUNITY RESOURCES DEVELOPMENT (CONTINUED)

Functional Responsibilities (Continued)

Citizens Participation Program (Continued)

Coordinates a program of community education to achieve public understanding of correctional operations and to obtain the resources needed to effectively implement improvements.

Religious Programs

Functionally supervises 60 chaplains in institutions.

Responsible for administration and technical management of departmental policies and procedures governing religious service programs.

Resources

Executive: one (1) Assistant Director; one (1) Secretary; two (2) OT.

Financial Resources Unit: One (1) Staff Services Manager I (SSM I) and three (3) Associate Governmental Program Analysts (AGPA).

Arts-In-Corrections Program:

Headquarters: One (1) Arts Program Administrator, one (1) Associate Arts Program Administrator.

Institutions: Nine (9) Artist/ Facilitators; nine (9) Lead Artists (contract).

Contracts with the William James Association and Arts Reach for additional part-time artists statewide.

**Elementary and Secondary School Improvement Amendment (ESIA) 1988
Chapter 1 of Title I**

Headquarters: one (1) program manager, one (1) part-time consultant.

Institutions: nine (9) teachers, five (5) teaching assistants.

Vocational Education Act (VEA) Grant

One (1) Vocational Consultant.

Citizens Participation Program

One (1) Parole Agent III.

Religious Programs

One Correctional Counselor II (CC II).

OFFICE OF COMMUNICATIONS

Mission

People are interested in what happens in the Department of Corrections. Most learn about the department from the media. The media generally get their information from the Communications Office.

As the department's primary spokesperson, the Office maintains direct contact with local, state, national and international print and broadcast media.

Functional Responsibilities

Responds to from 1,500 to 2,000 media calls per month.

Prepares and distributes brochures, videotapes and information materials to the general public.

Prepares and distributes employee-oriented informational materials such as the monthly newsletter, Corrections News, and the orientation booklet, "Inside Corrections."

Works with other divisions to develop and distribute informational material on special program development activities, e.g., working with Evaluation and Compliance and Institutions Division on materials for the Inmate Work Program.

Resources

One (1) Assistant Director, one (1) Video Manager, one (1) Public Information Officer II, one (1) Public Information Officer I, one (1) Executive Secretary, one (1) Seasonal Clerk.

OFFICE OF AFFIRMATIVE ACTION

Mission

Strives to provide equal employment opportunity (EEO) in a discrimination-free work environment; handles two major functions:

- o **Human Relations**--develops and manages affirmative action programs such as the disabled employees program, reasonable accommodations, the women's program and affirmative action goal setting; monitors informal discrimination complaints; and provides training and resources to local EEO counselors.
- o **Discrimination Complaint**--monitors formal discrimination complaints; coordinates training for discrimination complaint investigators; and provides resources to compliance agencies involved in the process.

OFFICE OF AFFIRMATIVE ACTION

Functional Responsibilities

Sets annual goals and objectives for the department's Affirmative Action (AA) Program; monitors and evaluates progress toward accomplishing objectives; work with local institutions and parole regions in the implementation of AA programs; makes recommendations and presentations on the status of AA programs to Executive Staff.

Collects and analyzes data needed to evaluate the AA program in the areas of recruitment, selection, job assignment, promotion, training and termination; coordinates the Department's goals and timetables as required by the State Personnel Board.

Provides technical assistance to departmental staff regarding the interpretation and implementation of Department policy and processes regarding informal discrimination complaints, special program access, reasonable accommodation, Telecommunication for the Deaf (TDD), women's upward mobility, training, career development and job opportunities.

Develops and maintains lesson plans and conducts EEO Counselor and Discrimination Complaint Investigator Training.

Monitors relevant court cases/ decisions involving EEO issues and their potential impact on the Department; reviews and updates the Department of Corrections Administrative Manual (DAM) relative to affirmative action.

Provides assistance with affirmative action recruitment efforts.

Develops, implements and monitors special women's programs, i.e., Program Alternatives for Tradeswomen Hiring (PATH), Career Development Systems and disabled employees' programs, i.e., Limited Examination and Appointment Program (LEAP); provides LEAP appointment hiring lists to local personnel offices, and LEAP information to disabled persons interested in employment opportunities with the department.

Serves as staff resource to the departmental Women's Liaison Council and the Disabled Advisory Committee; provides outreach activities at various career fairs for disabled persons; provides outreach to help comply with the mandates of the Minority/Women's Business Enterprise (M/WBE) Program.

Assigns, directs and provides technical assistance to Discrimination Complaint Investigators and field staff in the timely completion of formal investigations and/or responses to inquiries from State and federal agencies; conducts investigations of the most sensitive and complex nature; maintains liaison with other departmental units, and State and federal agencies; reviews discrimination complaint investigative reports and makes recommendations for appropriate disposition of formal complaints.

OFFICE OF AFFIRMATIVE ACTION (CONTINUED)

Functional Responsibilities (Continued)

Evaluates the effectiveness of the discrimination complaint process and recommend changes as necessary; coordinates with departmental legal staff and the Attorney General's Office for legal counsel as needed.

Resources

One (1) CEA I, one (1) Program Administrator, one (1) SSM I, three (3) AGPA, one (1) EEO Analyst, one (1) Student Assistant, one (1) OT, one (1) OA II.

OFFICE OF PROGRAM DEVELOPMENT

Mission

The Office of Program Development was established February 16, 1988. The Office seeks to promote and coordinate programs which involve the community and private industry in correctional programs.

Functional Responsibilities

Works with a variety of programs and groups, e.g., education, substance abuse, pre-release, inmate self-help and parole re-entry. Special emphasis is given to inmate employment programs. After analyzing existing activities, the Office looks for improvements and fosters public/private partnerships. The Office also develops cooperative agreements with the Employment Development Department and other governmental agencies in support of CDC programs.

Resources

One (1) Assistant Director.

OFFICE OF SUBSTANCE ABUSE PROGRAMS

Mission

The Office of Substance Abuse Programs (OSAP) was created effective May 1, 1989, and was fully staffed and operational in September 1989. Its establishment reflects the Department's commitment to the development of a multi-faceted public/private comprehensive substance abuse program that strives to give balanced attention and resources to control, enforcement, education and treatment. The goals of the program are to further promote public safety and to improve the effectiveness of departmental operations through the reduction of substance abuse related problems among inmates and parolees.

OFFICE OF SUBSTANCE ABUSE PROGRAMS (CONTINUED)

Mission (Continued)

OSAP is responsible for ensuring that CDC substance abuse activities are effectively planned and coordinated within the Department as well as with other State agencies and departments. OSAP is also responsible for the development and implementation of a Corrections Substance Abuse Master Plan.

A Substance Abuse Advisory Panel provides overall guidance for the Department's substance abuse and treatment efforts. This panel is jointly chaired by the Deputy Directors of Institutions Division and Parole and Community Services Division. The membership of the panel consists of key management and field staff throughout the Department.

Functional Responsibilities

Administers the Corrections Substance Abuse Master Plan, which will contain the following elements:

1. Clear communication of a philosophy of accountability and toughness for inmates, parolees, visitors and staff concerning the use/possession of drugs.
2. Accurate inmate/parolee substance abuse screening and assignment methods to ensure appropriate and timely provision of education and treatment services.
3. Basic information on substance abuse for all inmates and parolees.
4. Increased education on substance abuse for all inmates and parolees.
5. Substance abuse education as a requirement for placement in some jobs throughout prisons.
6. A recognition of the significant value of Alcoholics Anonymous, Narcotics Anonymous and other proven self-help recovery programs is an important aspect of substance abuse treatment of inmates and parolees.
7. Continued support for Substance Abuse Revocation Diversion (SARD) and Substance Abuse Treatment Units (SATU) as model programs and the development of additional parole options for substance abusers such as specialized caseloads in parole services.
8. Evaluation and increased support for pre-release and re-entry programming.
9. Increased training for Special Emergency Response Team (SERT) members and other correctional staff on the control and detection of substance abuse.
10. Increased sanctions included in Department rules and regulations concerning inmate, parolee and inmate visitor substance abuse.

OFFICE OF SUBSTANCE ABUSE PROGRAMS (CONTINUED)

Functional Responsibilities (Continued)

11. Establishment of Substance Abuse Coordinators at each prison and parole region.
12. Increased knowledge of CDC employees about offender substance abuse patterns and the availability of effective education, intervention and treatment services to address offender substance abuse.
13. Increased coordination with other State and local departments that have a stake in substance abuse treatment and education.
14. Continued cooperation with the Narcotic Evaluation Authority Board on strengthening the Civil Addict Program.
15. Evaluation of and, when appropriate, the expanded use of urine testing as an effective and integral component of the Department's substance abuse program.
16. Development of a prison-based therapeutic community and parole-based continuation of treatment demonstration programs to include the following:
 - a. A 200-bed specialized prison-based treatment facility.
 - b. Increased training for custody staff.
 - c. Involvement of private treatment providers including appropriate utilization of ex-offender and addict staff.
 - d. A case management approach to inmate and parolee substance abuse treatment.
 - e. Involvement in peer support groups.
 - f. Continuation of treatment services after prison including specialized residential re-entry facilities for selected parolees.
 - g. Specialized parole services.
 - h. Urine testing.
17. Development and maintenance of information systems and field experimental methods for all substance abuse programs to ensure timely, accurate and reliable program monitoring and evaluations.
18. Coordination of all Department substance abuse related activities to ensure program quality and to promote the transfer of effective education and treatment efforts throughout the Department.

OFFICE OF SUBSTANCE ABUSE PROGRAMS (CONTINUED)

Resources

One (1) Assistant Director; one (1) Community Resources Manager; one (1) SSM I; one (1) Correctional Counselor II (CC II); one (1) Parole Agent II; one (1) Research Analyst II; one (1) Secretary.

DIVISIONS

INSTITUTIONS DIVISION

Mission

Any matter dealing with the day-to-day operation of the prisons or camps falls within the Institutions Division. Overall responsibility rests with the Deputy Director, Institutions. Wardens, who have administrative responsibility for operating their institutions, report to two of three Assistant Deputy Directors.

The Institutions Division is organized into operational units under the Assistant Deputy Directors. All institutions' Chief Medical Officers report to the Assistant Deputy, Medical Services. Half of the institutions, all camp operations and various institution operations units (Program Support, Work Incentive, Classification Services, Case Records and Transportation) fall under the Assistant Deputy Director, Institutions/Operations. The Assistant Deputy Director, Institutions/Programs supervises Institution Services, Investigative Services (including Emergency Operations), Education/Religion Services, and the remaining institutions.

Functional Responsibilities

Institutions/Operations

Transportation Unit

Responsible for the transportation of CDC inmates throughout the State and the extradition of CDC inmates from other states to California. Staff include both Central Office personnel and mobile transportation teams.

Plans, organizes and directs the inmate transfer system including the statewide transfer of inmates between institutions and county jails, and the return of inmates from out-of-state to the Department.

Receives and correlates information from departmental units and Sheriff's Offices regarding proposed receipt and transfer of persons committed to the Department.

Prepares inmate transfer schedules and routings for the most economical and effective transfer of inmates between institutions by departmental vehicles; arranges transportation for highly sensitive, protective custody and violent inmates.

Coordinates the return of the Department's parole violators and escapees from other states (extradition); performs liaison with other law enforcement agencies for the return of parole violators and escapees throughout the United States.

Prepares written responses pertaining to inmate appeals and Unit incidents; performs statistical analysis for budgetary purposes.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Operations (Continued)

Transportation Unit (Continued)

Coordinates the repair and maintenance of prisoner transportation vehicles.

Transports inmates between institutions; transports inmates from California to other states and from other states back to California; returns parole violators from county jails to institutions; coordinates the transfer of inmates with institutional R&R and Watch Commanders; inventories and processes inmate records and property to ensure that they accompany the inmates being transported; maintains discipline on transportation vehicles; arrange for meals for prisoners while en route; responds to emergency situations; maintains duty logs.

Assists in the training of Transportation Officers regarding procedures, rules and regulations governing transporting and extraditing prisoners.

Classification Services

Responsible for the administration and technical management of the departmental inmate classification policies and procedures.

Manages and administers the statewide Inmate Work/Training Program; conducts on-site operational compliance evaluations to ensure compliance with governing statutes, departmental policies and procedures.

Prepares statistical reports monitoring inmate employment levels; statewide responsibility for the automated inmate assignment system; provides assistance to institutions in the interpretation and implementation of the WIP, developing an inmate job bank system, and coordinating the statewide Labor Intensive/Low Technology Inmate Work Program proposal reviews and analysis; responds to controlled correspondence regarding the WIP.

Manages, operates and evaluates the classification system; develops, recommends and administers changes in classification system policy; serves as technical resource for the Division on this subject; directs changes in the Classification Manual and related procedures.

Manages classification functions related to security, protective, medical/psychiatric and reception center housing; plans and coordinates special housing programs and the classification scoring system; trains staff in the classification system.

Responsible for reception center processing, including coordinating related policies and procedures; coordinates with all institutions and the Transportation Unit in the weekly development of schedules for movement of endorsed inmates.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Operations (Continued)

Classification Services (Continued)

Responsible for coordinating bed activation; coordinates overall management of bed use and management placement and weekly placement of inmates.

Conducts audits of institutional classification procedures; provides direction to institutions on complicated issues; supervises the preparation of Departmental Review Board cases.

Performs compliance assessment evaluations of IWTIP programs at all institutions and selected camps to ensure compliance with the Penal Code, Director's Rules, and departmental policy and court decisions; prepares reports on the IWTIP to the Governor, Legislature, YACA, Director and DOF; analyzes proposed legislation and formulates IWTIP procedures, policies and legislative recommendations.

Provides functional management of statewide work/training programs; coordinates implementation and provides follow-up evaluations of new programs; coordinates between PIA, Planning and Construction Division, and other departmental units relating to IWTIP programs; establishes and maintains the Inmate Job Bank.

Conducts statewide, technical IWTIP training meetings for Department employees, including administrative staff and special training for institution Work Incentive Coordinators; serves as a technical resource for the Department on IWTIP issues before the courts and Legislature; responds to oral and written communications from inmates, inmate families, attorneys and the general public concerning work incentive issues.

Correctional Case Records

Has overall functional responsibility for compliance with Penal Code (PC) Section 2081.5, which requires the Director to keep complete case records of all prisoners under the custody of the department. These records are required to be made available to the Board of Prison Terms (BPT) upon request. Also has overall responsibility for compliance with PC Section 969(b), which requires the Director to maintain and provide certified copies of to the court upon request, records of any person imprisoned in state prison for use by the court to prove the person has served a prior prison term.

Responsible for statewide administration and management of the departmental uniform case records system which provides the informational base for critical decisions affecting inmates and parolees; provides direct technical supervision to institutional and parole case records offices; conducts the records portion of the annual Institutions Division Combined audit and Paroles audits.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Operations (Continued)

Correctional Case Records (Continued)

Processes inmate legal status "work-ups" for all cases with life commitments, zero to year-and-a-day commitments, and cases sentenced pursuant to Penal Code (PC) 1170(a)(2) and Welfare and Institutions Code (W&IC) 1731.5.

Provides inmate/parolee location and commitment data information to law enforcement agencies; provides information on persons discharged from the CDC since 1957 to authorized persons, places PC 3056 and/or W&IC 3151 holds for Parole and Community Services offices; conducts file searches and issues new identification numbers for newly received CDC commitments; maintains the departmental Warrant Register; maintains teletype services for CDC and the Board of Prison Terms; receives and distributes initial Institutional Incident reports.

Plans and develops policies governing the departmental uniform case records system; assumes responsibility and accountability for the accurate interpretation and application of laws, administrative standards and court decisions related to the processing, maintenance and control of inmate and parolee records; acts as administrative and technical advisor to the department's management on matters relative to the records system and is the primary liaison with other governmental agencies, courts, legislators and other persons on matters related to the records system.

Processes inmate legal status "work-ups" for all case with Life commitments, zero to year-and-a-day commitments, and cases sentenced pursuant to PC Section 1170(a)(2) and W&IC Section 1731.5(c).

Functions as the primary institution in handling Records related matters for inmates serving their prison terms in California Youth Authority (CYA) facilities pursuant to W&IC Section 1731.5(c).

Reviews legal documents on cases with sentencing discrepancies and communicates with the court and the Attorney General's Office to resolve the discrepancy.

Functions as liaison between the Department and related city, county, state and federal agencies on matters concerning the application of sentence and parole laws and the control of prisoners in institutions and on parole; consults/advises departmental staff, court offices, inmates and other governmental agencies or authorized persons regarding departmental responsibility under pertinent laws and administrative standards and interpretation and application of laws and standards related to inmate receipt, sentencing, paroling and release.

Locates the region of a parolee's supervision; locates the facility where an inmate is housed; aids institutions and parole regions in identifying and locating inmates/ parolees when the identification number is unknown, utilizing the computer name search capability.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Operations (Continued)

Correctional Case Records (Continued)

Provides commitment data to law enforcement and other authorized agencies with a need-to-know; provides information on persons discharged from the department within the past 30 years (some basic commitment information is available for persons imprisoned prior to that date).

Place Holds pursuant to PC Section 3056 and/or W&IC Section 3151 for the Parole and Community Services Division.

Conducts file searches for prior CDC commitments and issues new identification numbers for newly received felons and civil addicts committed to the Department; responds to telephone inquiries concerning felons/civil addicts that require non-confidential information.

Maintains the departmental Warrants Register; maintains the teletype services for the Department and the BPT; utilizes a Central Dispatch System for the BPT and Narcotic Addict Evaluation Board (NAEA) Warrants issued on parolees-at-large (PALs), releasees-at-large (RALs) and institution escapees; abstracts warrants by teletype upon request.

Acts as Central Office receiving point for incident reports and distributes to appropriate administrative personnel.

Coordinates the work of other departmental records units; receives and accounts for records of discharged inmates and administrative records delivered to the Archives Unit; audits incoming files for completeness and documentation of administrative and release board actions; processes authorized document requests and PC Section 969(b), Proof of Prior Convictions, certifications for discharged inmates/residents and parolees.

Program Support Unit

Acts as the primary liaison between Institutions Division and other departmental entities on matters of fiscal administration and management; provides technical support to institutional and Division personnel involved in the development of institutional/departmental budget concept/proposal preparation; develops and analyzes the Institutions Division short and long-range reorganization proposals; reviews institutional proposals on staffing needs for use in program planning, activation/deactivation alternative development and planning for staff testing and assignment; serves as the primary liaison with the Planning and Construction Division; develops the 90 day plan, reviews and audits managers of the status of their budget allotments and expenditures, allocates ratio positions and assists Administrative Services Division with presentations to the Department of Finance (DOF) for fiscal reviews.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Operations (Continued)

Program Support Unit (Continued)

Analyzes fiscal proposals submitted by and for institutions, including BCPs, Major and Minor Capital Outlay and Special Repair requests, and deactivations of overcrowding packages; makes site visits of institutions as needed to verify requests; assists the Deputy Director and Assistant Deputy Director, Institutions Division, in the presentation of staffing proposals and other administrative and fiscal documents to the Director and Chief Deputy Director, other departmental units, control agencies and other departments; provides "expert testimony" on behalf of the Division.

Identifies and initiates needed corrective action in program and organizational areas; consults with institutions and other Division units on departmental policies; develops policies and procedures for various administrative functions assigned to the Institutions Division.

Serves as the Division's principal representative for the Staffed Capacity/Bed Activation Plan (90-Day Plan) and New Facility Activations; participates in the coordination and reconciliation of all phases of the that planning process; provides analytical input and divisional perspective on fiscal and other administrative areas concerning new facilities; acts as a liaison within the Division to reconcile fiscal and programmatic interests; presents and represents the Division's position in these areas to staff in other divisions, control agencies and other departments.

Reviews post assignment schedules for conformity with policies and standards; seeks resolution where an institution deviates from acceptable practices.

Camps Program Unit

Administers and provides technical management of the statewide conservation camp programs as well as other public resource agencies; acts as the principle liaison between CDC and the Department of Forestry and Fire Protection on conservation camp issues; coordinates camp bed activations, develop off-site inmate work programs and implement CDC contracts with Federal/State/local jurisdictions relating to Camp Program materials and services.

Plans, organizes and analyzes the conservation Camp Program; provides overall leadership, direction and guidance to the Camp Program through the Wardens of the Sierra Conservation Center, California Conservation Center, and four institutions with conservation camps, including response to the new multi-agency concept specified in Assembly Bill (AB) 436; provides staff support services necessary for the program; directs and coordinates the camp expansion program, including planning, evaluation, budgeting, interagency agreements, legislative liaison, public and community relations and news media responsibilities.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Programs

Institution Services Unit

Acts as a resource, advocate and liaison to institution and Central Office managers within the Institutions Division by providing technical assistance and information resources to the institutions, other units and divisions; acting as a resource for the institutions, the public, other units, division and law enforcement agencies; evaluating, monitoring, implementing and clarifying policies, procedures and regulations; assisting the Division in the development of automated and manual information systems (both at Headquarters and in the institutions) and the utilization of self-auditing tools; conducting special ongoing projects involving areas such as correspondence, inmate property, visiting, discipline, appeals, legislation, etc.

Provides line assistance to the Assistant Deputy Director, Institutions Division; oversees the development, implementation and evaluation of institution operational plans and procedures to direct the safe operation of correctional facilities; establishes efficient monitoring/auditing systems to evaluate the effectiveness of operational procedures and to ensure that departmental goals and objectives are met.

Conducts on-site evaluation and inspection of institution procedures, policy and practice to ensure security and program compliance; evaluates findings and identifies systemwide deficiencies; makes recommendations to institution administrators and to Executive Staff for corrective action to correct deficiencies and for major program changes to improve operational effectiveness.

Responsible for a review and analysis of the Inmate Visiting Program, conducting a study of the Inmate Disciplinary System, developing a personal computer-based Institutions Division information system, developing departmental uniform and grooming standards, developing criteria for the Community Prison Mother Program, coordinating Division implementation of the Management Performance Appraisal System and Supervisory Bonus Program, acting as coordinator for the Division concerning many of the department's Distributed Data Processing System applications, and developing a revised Administrative Officer of the Day (AOD 837) reporting mechanism.

Formally coordinates the established Combined Audit; serves as a liaison with wardens for compilation of the final audit report which is prepared for the Deputy Director's signature; acts as a focal point within the department for implementing court orders of major consequence, including analyzing each court order, developing action plans for compliance, monitoring implementation and completion; provides operational support for litigation defense strategies.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Programs (Continued)

Institution Services Unit (Continued)

Develops and implements a broad range of policies and systems impacting statewide institution operations; serves as functional manager for the interpretation, implementation and evaluation of statewide policies and procedures such as inmate discipline, escape pursuit, control of tools, institution and inmate search procedures, institution visiting procedures and inmate personal property; meets and confers with Wardens and other high level administrative staff to ensure the effective and uniform application of departmental policies and procedures; researches and develops issue memos which recommend major statewide program development or revision; participates in the formulation of policy decisions concerning the implementation of court decisions and legislative mandates and to address system-wide deficiencies identified by the Inspector General, Auditor General and the Department of Health Services; revises and/or formulates new policies and forms for inclusion in the appropriate departmental manuals.

Investigates and prepares written responses to inquiries and correspondence referred from the Governor, YACA, legislators, public, inmates and other public agencies; serves as an expert resource on institution operations in investigating and verbally responding to telephone inquiries from the public and inmate families and in responding to requests for information from institution staff and other public agencies.

Screens special reports and/or studies submitted for Executive review and action; monitors, coordinates and conducts projects and surveys specific to institution operations.

Education and Inmate Programs Unit

Responsible for administration and technical management of departmental policies and procedures governing inmate academic education programs, inmate libraries, law libraries, handicraft programs and apprenticeship programs; conducts routine audits of institutional programs to ensure compliance with pilot educational programs; monitors expenditure of departmental/other governmental education funds and contracts with local school districts; ensures compliance with court orders affecting institutional education program operations, coordinates cooperative vocational programs with Prison Industry Authority; provides technical assistance to institution educational staff; works closely with the Planning and Construction Division in the development of education related programs and facilities for new prisons.

Administers the Academic Education, Vocational Education, Recreation/ Physical Education, Handicraft/ Arts and Crafts, Pre-Release and Apprenticeship programs on a statewide basis; maintains liaison with educational, labor and management leaders from the community in improvement of programs.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Programs (Continued)

Education and Inmate Programs Unit (Continued)

Provides functional supervision of 12 Institutional Supervisors of Education, 33 Instructional Supervisors, 402 Teachers/ Instructors, 24 Recreational Supervisors, 18 Librarians, 12 Handicraft Managers; directs all phases of inmate education program operations and planning; develops performance standards and expectations for administrators, supervisors, faculty and students.

Conducts fiscal and program reviews of all field operations to ensure compliance with established policies, regulations and procedures; monitors field operations and official reports and identifies problem areas; works with institutional and Central Office staff in resolving problems and making recommendations to meet needs and/or improve programs; evaluates program effectiveness based upon inmate participation, performance and achievement.

Identifies critical trends or changes occurring in the community that impact inmate programs of education, training, leisure time and religion; modify programs as appropriate; coordinates the interface of inmate training/education programs with institution operations; analyzes legislation which impacts programs administered by the Education and Inmate Programs Unit.

Develops and utilizes community and inmate advisory committees in program planning, implementation, operation and evaluation; interfaces education programs with the Work Incentive Program, including maintenance, PIA and support services.

Investigations Unit

Technically manages Investigations Units in all institutions, including technical support and direction relating to the investigative functions at each institution field unit; coordination of inter/intra-agency investigative operations among the institution field units; liaison with administrators of outside law enforcement or other agencies; development and implementation of training programs for investigative, management, supervisory and line staff in the areas of criminal investigative techniques, crime scene/evidence preservation and processing, report writing and courtroom proficiency; development of investigations as an integral element of the correctional career pattern; statistical accumulation and analysis of institution-related crimes and criminal activity for the purpose of management advisory reports for institution and Headquarters administrators.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Programs (Continued)

Emergency Operations Unit

Statewide, administers and manages departmental policies and procedures governing emergency preparedness, disturbance control, weapons and security related issues, and the departmental Post Trauma Intervention Program; coordinates and audits institutional implementation of local disturbance control plans and annual exercises; establishes and maintains departmental liaison with the State Office of Emergency Services and mutual aid departments/agencies; administers the SERT, NMT and Conflict Management operations/training and budget; coordinates support training academies and specialized training courses.

Develops statewide policies and procedures to ensure that Central Office and each of the institutions maintain maximum readiness to respond to, and effectively and efficiently handle emergencies which provides maximum protection for the public, staff, inmates and institution property as it relates to Departmental Disturbance Control, Special Emergency Response Teams (SERT), Negotiations Management Teams (NMT), and Departmental Emergency Preparedness; develops, implements and directs the departmental Disturbance Control Plan; revises, implements and directs the departmental Emergency Preparedness Plan.

Provides direction, control, supervision of staff, operational and technical assistance, coordination and guidance to Wardens for the purpose of responding to varying stages of emergencies arising from mass inmate disturbances, hostage situations, civil disturbances, employee job actions, earthquakes, fire, flood, war, etc.

Acts as the departmental liaison with local/State agencies for the purpose of assisting in, responding to, and/or resolving emergency situations, interfacing departmental Emergency Operations with the California National Guard, California State Police, California Highway Patrol, and other State and local agencies; serves as the departmental representative for emergency operations to the State Office of Emergency Services; serves as the Departmental Emergency Coordinator when the Departmental Emergency Operations Center (EOC) is activated and activates the EOC upon the direction of the Deputy Director, Institutions Division.

Automation Services Unit

Responsible for the coordination and support of automated systems for the institutions, including personal computer-based, the Distributed Data Processing System (DDPS), and other mainframe systems.

Responsible for the applicability and accuracy of automated systems for the Division; acts as primary contact for the institutions on automation related issues, including both personal computer, DDPS and Offender Based Information System (OBIS) concerns.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Institutions/Programs (Continued)

Automation Services Unit (Continued)

Designs, develops and monitors information systems and computer equipment utilization; proposes, organizes and oversees special projects; provides technical guidance to task force and study teams; conducts and evaluates analytical studies and surveys.

Coordinates the review of DDPS programs design specifications, testing and implementation for the Division; develops standards, self-auditing tools and guidelines for institution automated systems; acts as liaison between the field and Information Systems Branch; assists the institutions in the analysis, design, development, implementation, monitoring, maintenance and standardization of personal computer-based programs; coordinates training for field staff; coordinates the activities of institutions' automated systems coordinating positions.

Develops and/or maintains Division information systems, i.e., Mail Control, assignment tracking, Environmental Health Report tracking, etc.

Assists the Division in the analysis, approval and procurement of computer and related equipment; presents the Division's proposals/reports to the Management Information System (MIS) Committee; reviews and recommends approval/disapproval of all Division automated systems; serves as the Division's liaison with ISB and Offender Information Services Branch; serves as the Division's information system contact with other State agencies including CYA.

Health Services

Responsible for administration and technical management of health care services to inmates throughout CDC including conducting periodic audits of institutional health care facilities; monitoring the establishment and administration of health care-related contracts with outside vendors/providers; providing health care training for institutional/parole staff; monitoring environmental health; responding to health care-related controlled correspondence; and providing sworn testimony on health care related issues under court or legislative examination. Currently coordinating departmental efforts to achieve full licensure for CDC hospital facilities, as well as revising departmental policy and procedures to incorporate ACA standards relating to health care for inmates.

Develops and implements standardized clinical protocols and standards for effective and efficient delivery of mental health care programs for hospitals and infirmaries.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Health Services (Continued)

Provides direction and leadership for long-range planning to improve the delivery of mental health care in the state correctional prison system including the development and shepherding of legislative proposals relative to mental health programs, the assessment of current mental health program problems and needs, the evaluation of future mental health program needs for an expanding and aging inmate population; evaluates alternatives for delivering mental health programs in the State prison system.

Conducts studies and audits of mental health programs to identify systemwide deficiencies and recommend corrective actions; develops, implements and evaluates corrective action plans to correct systemwide program deficiencies; provides direction to hospital and infirmary staff in the review and approval of institutional policies and procedures in the delivery of mental health care.

Provides direction and ensures performance accountability of hospital psychiatric/psychological staff efforts to comply with hospital licensing requirements administered by the Department of Health Services.

Serves as departmental liaison between the Department of Mental Health and the BPT; performs liaison between the Office of Health Care Services and Planning and Construction Division relative to the design and construction of new prison health facilities.

Develops cost accounting system for monitoring health care contracts; develops the automated health care information system.

Coordinates hospital planning and operation of all CDC hospitals; reviews and monitors compliance with hospital licensure standards; coordinates health support services with administrators at infirmary level institutions; assists institutions in staffing and planning for health services, especially with equipment, minor and major capital outlay projects and new plants; coordinates and assists in recruitment of support health staff at all institutions.

Plans and implements training programs, IST, post-graduate education for all health support staff.

Coordinates and reviews statistical health reports from institutions and makes recommendations to the Assistant Deputy Director, Health Services.

Provides functional supervision to institutional pharmacists and develops statewide policies and procedures governing the administration, management and staffing of CDC pharmacies; prepares a pharmacy plan projecting future needs; develops and provides standardized pharmacology in-service training programs; surveys, monitors and provides consultation and technical advice to CDC hospital and correctional treatment center pharmacies.

INSTITUTIONS DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Health Services (Continued)

Analyzes and makes recommendations on the feasibility of contracting out the procurement, storage, packaging and distribution of pharmaceuticals for all CDC pharmacies; coordinates all pharmacy budgets; determines what automated equipment is necessary for packaging, inventorying and managing the state pharmacy system.

Develops training and educational programs relative to AIDS and other communicable diseases to facilities health services staff, other staff and inmates; develops program operating policies, implements and monitors the statewide AIDS and infectious disease control program; develops long range strategic planning for program needs of existing and new facilities; assists in analysis and evaluation of environmental health and preventative medicine programs.

Develops standardized methods and coordinates procedures for recording and transcribing significant patient data in hospital medical records; conducts studies and provides consultation on needs for and the most effective means of recording, collecting and analyzing patient care data to meet standards of public medical care programs.

Develops, implements and conducts quarterly facility audits of the correctional hospitals' infectious disease control, environmental health and preventative medicine program services; assists correctional hospital infection control nurses in the development of plans to correct deficiencies; develops, implements and monitors data collection for management information and program monitoring needs; coordinates the collection of technical data from correctional hospitals and develop monthly aggregate reports.

Resources

Executive: One (1) CEA IV, three (3) CEA III.

Institutions/Operations

Transportation Unit: One (1) Captain, two (2) Correctional Lieutenants, thirteen (13) Correctional Sergeants, thirty (30), Correctional Officers (CO), one (1) OT, two (2) OA II.

Classification Services: One (1) Correctional Administrator, four (4) Program Administrators, one (1) OT, one (1) Senior WPT, one (1) Statistical Clerk, three (3) WPT; twenty (20) staff, classification unidentified.

Correctional Case Records: One (1) Chief, Correctional Case Records (CCR), one (1) CCR Manager, three (3) CCR Administrators, one (1) CCR Supervisor, nine (9) CCR Specialists, two (2) Office Supervisor II, one (1) Office Supervisor I, five (5) OT, thirteen (13) OA II, one (1) WPT.

INSTITUTIONS DIVISION (CONTINUED)

Resources (Continued)

Program Support Unit: One (1) SSM I, one (1) Program Administrator (retired annuitant), two (2) Correctional Lieutenants, three (3) AGPA, two (2) Student Assistants (blanket), one (1) OT.

Camps Operations Unit: One (1) Conservation Camps Coordinator, one (1) Camps Liaison, one (1) OT.

Institutions/Programs

Institution Services Unit: One (1) Chief, Institutions Services, three (3) Program Administrators, three (3) Correctional Lieutenants, three (3) AGPA, one (1) OT, one (1) WPT.

Education and Inmate Programs Unit: One (1) Chief of Education, two (2) Assistant Chiefs of Education, one (1) Program Administrator, three (3) SCEP, one (1) Education Program Consultant, one (1) Correctional Counselor III (CC III), two (2) AGPA, one (1) SVI, one (1) Principal Librarian, one (1) Curriculum Consultant, one (1) Production Manager II, one (1) Executive Secretary, 2.5 other clerical support.

Investigations Unit: One (1) Correctional Administrator, one (1) AGPA, one (1) OT.

Emergency Operations Unit: One (1) Program Specialist, Disturbance Control (Exempt), two (2) Correctional Lieutenants, one (1) CC I, two (2) Correctional Sergeants.

Automation Services Unit: One (1) Staff Services Manager I, three (3) SSA/AGPA, one (1) OT.

Health Services: One (1) Assistant Deputy Director, one (1) Correctional Administrator, two (2) Retired Annuitants, one (1) Chief Psychiatrist, one (1) Correctional Health Services Administrator, one (1) Health Program Manager II, one (1) Senior Medical Technical Assistant, one (1) MHPS II, one (1) Clinical Psychologist, one (1) MHPS II, one SSM I, one (1) HPS I, one (1) Health Program Manager I, one (1) Medical Records Consultant, one (1) Nurse Consultant I/II, one (1) Associate Health Program Advisor, three (3) AGPA, three (3) Associate Health Program Analyst, one (1) Student Assistant, one (1) Executive Secretary, two (2) WPT.

PAROLE AND COMMUNITY SERVICES DIVISION

Mission

Protect the public through close and proper supervision and surveillance of all offenders under its jurisdiction.

Operations and Support Services were merged in the latter part of FY 1988/89 as the result of a review of Central Office functions. Operations is administratively responsible for training, labor relations, liaison with the paroling authorities and other departmental divisions, legislative bill analysis, development of parole policies and procedures and special projects. Support Services coordinates support services to the field including personnel, business services, fiscal management, equipment and space management. The

Program Review and Quality Control is primarily responsible for assuring that existing operational policies and procedures are being complied with at all levels, for the collection and analysis of information from field operations (arrest data, holds, violations, etc.), American Correctional Association (ACA) accreditation, parolee/inmate appeals/grievances and correspondence.

Reentry Administration administers the department's community-based correctional program as authorized by Penal Code (PC) Sections 6220, 6250, 6260, 2910, 2910.5, 2910.6 and 3410. These programs are funded through annual legislative appropriations and are administered through contracts approved by the Department of General Services. The Department's reentry program is composed of the following components: Work Furlough, SATU, Restitution, Community Prisoner Mother Program (CPMP) and Return-To-Custody (RTC).

Substance Abuse Revocation Diversion (SARD) was authorized for a two year period effective July 1988. A preliminary report is due to the Legislature in September 1989 and the final report is due September 1990. It provides intensive parole supervision to parolees who, absent the program's planned intervention, would be referred to the Board of Prison Terms (BPT) for revocation hearings.

The Distributed Data Processing System (DDPS) Units plans field tests and implements the Division's distributed data processing system.

Functional Responsibilities

Executive Unit

Provides a wide range of functions including direct supervision of the field operations (Regional Administrators) and the Parole Outpatient Clinics.

PAROLE AND COMMUNITY SERVICES DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Operations/Support Services

Assures that the MOUs pertaining to employee relations are being implemented properly; participates in direct negotiations with the union and their representatives; assists the regions in preparing adverse personnel actions and in processing grievances and complaints; acts as the Parole and Community Services Division (P&CSD) liaison with the departmental Labor Relations Unit.

Assures that the training needs of P&CSD are being met; develops P&CSD training goals and objectives and assures that a training program to meet those objectives is provided.

Handles special assignments from the Director/Chief Deputy Director including difficult and sensitive correspondence; special studies and investigations; prepares reports and informational memos; assists in the development of new or modified policies and procedures.

Performs legislative bill analysis; acts as the liaison between P&CSD and the Legislative Coordinator; handles correspondence and inquiries from the Legislature or Legislators.

Updates the Parole Operations Manual; assess the need to revise the manual and make needed changes.

Functions as the primary liaison between P&CSD and Institutions Division.

Oversees the fiscal, contract administration, personnel, space management and procurement functions on a statewide basis for P&CSD.

Analyzes management problems, develops and recommends policies and procedures related to operational concerns; develops and analyzes Budget Change Proposals.

Ensures the divisional staffing and program implementation is accomplished in a timely manner to meet population growth and new program needs; ensures OBIS projections are consistent with regional caseload count; supervises planning and implementation of new program elements; participates in program design planning in projecting current and future trends in reduction of inmate population and coordinating information contained in the various manuals which affect parole operations.

Acts as the P&CSD Affirmative Action coordinator; resolves discrimination complaints and makes recommendations on appropriate action in regard to Affirmative Action issues.

Maintains a liaison with various law enforcement agencies that provide services to parolees; represents P&CSD in preventing and resolving conflict with other public agencies.

PAROLE AND COMMUNITY SERVICES DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Program Review and Quality Control

Develops evaluation systems and monitors parole case supervision and other field operational programs for compliance with procedural requirements, policies and standards; identifies problem areas and works with the Regional Administrators to resolve them.

Has principal P&CSD responsibility for liaison with the Offender Based Information System (OBIS); develops and implements information systems; coordinates data collection with other units, divisions and agencies; implements procedures pertaining to reporting parole violations, the placement of parole holds, compliance with due process procedures and other related concerns; identifies problem areas related to the determinate sentencing law (DSL) and recommends improvements.

Responsible for the establishment of liaison between P&CSD and ACA accreditation teams; coordinates the preparation of pre-ACA audits; plans, schedules and develops pre-ACA audits with the Inspector General's Office and regional components; coordinates, monitors and modifies Management by Objectives (MBO) goals for the division, including the submission of quarterly progress reports; responds to public inquiries relating to parole policy, procedures, practices and statistics; develops coordination and liaison in securing statistical data on parolee arrest, county of commitment, location of parole and other statistical data affecting P&CSD operations.

Reentry

Provides carefully screened and selected low-risk inmates and parole violators the opportunity to complete their prison terms in community-based correctional centers in preparation for their scheduled release under parole supervision. This program is designed and administered to minimize risk to public safety while reducing prison overcrowding, as well as reducing correctional costs to the taxpayers of California.

Coordinates and helps administer the department's community-based correctional program; works closely and effectively with the department's Institution Division, regional parole staff and local public and private correctional service providers under contract to the department.

Responds to the department's present and projected needs concerning the number of inmates that can be safely detained and supervised in community-based correctional programs; meets these needs by recruiting local public and private correctional service providers and successfully negotiates contracts for their services. These service contracts must adhere to applicable state laws, rules and regulations, and to the department's policies and procedures. The contracted vendors are subject to quarterly and annual audits on all components of their programs and services provided.

PAROLE AND COMMUNITY SERVICES DIVISION (CONTINUED)

Functional Responsibilities (Continued)

SARD

Coordinates the implementation of the SARD program, including developing policies and procedures for program implementation; directly supervises SARD Unit supervisors during implementation and training phases; functional supervision of SARD Units for duration of project; performs liaison with Regional Administrators; implements and monitors all parole related activities concerning SARD; supervises implementation activities in the field.

Advise the Director and Deputy Director of P&CSD on matters concerning substance abuse and intensive supervision; maintains good public relations; meets with legislative bodies.

Monitors and evaluates the SARD program; reviews research and program data with project staff and regional coordinators; prepares progress reports; coordinates meetings with regional coordinators and contractors.

DDPS

Plans, organizes and directs the statewide DDPS project; advises the Director and Deputy Director, P&CSD, on implementation and start-up; represents the Director at meetings of legislative bodies; serves as a resource to Regional Administrators; works and meets with County Sheriff Departments and local police departments to coordinate project implementation; coordinates with the contractor in obtaining equipment and programming changes to meet field needs.

Develops policies and procedures for program implementation; develops Operations Manual sections; liaison to regional administrators during implementation and training phases; supervises implementation in the field.

Primary responsibility for monitoring and evaluating DDPS; reviews system and programming data with project staff and regional coordinators; prepares progress and post-evaluation reports; provides for regular meetings between regional coordinators and various contractors.

Designs and implements training program for parole staff and for DDPS project staff.

Resources

Executive Unit: One (1) CEA IV, one (1) CEA III, two (2) Executive Secretaries, two (2) Parole Agent III (Retired Annuitants).

PAROLE AND COMMUNITY SERVICES DIVISION (CONTINUED)

Resources (Continued)

Operations/Support Services: One (1) Parole Administrator II, one (1) Parole Agent III, one (1) SSM I, one (1) Associate Personnel Analyst, five (5) SSA/AGPA, one (1) Management Service Technician, two (2) OT, one (1) Secretary (Retired Annuitant), three (3) Student Assistants.

Program Review and Quality Control: One (1) Parole Administrator II, two (2) Parole Agent III, one (1) OT, one (1) Student Assistant.

Reentry: One (1) Parole Reentry Administrator, two (2) Parole Agent III (one of which is on temporary assignment in the Reentry Unit), two (2) Parole Agent II, two (2) T&D Parole Agent I, four (4) AGPA, three (3) SSA, one (1) Research Specialist, one (1) Student Assistant, two (2) WPT, one (1) Governor's Fellow on Temporary Assignment.

SARD: One (1) Parole Administrator I, one (1) AGPA, one (1) WPT, one (1) Student Assistant.

DDPS: One (1) Parole Administrator I, one (1) Parole Agent III, six (6) Parole Agent I, one (1) Office Services Supervisor, three (3) OA II, two (2) WPT.

PLANNING AND CONSTRUCTION DIVISION

Mission

Responsible for the largest prison construction program in the United States. As of May 1, 1989, the Division supervised construction of about 12,000 beds, with 5,462 beds currently under construction, 10,750 beds in design, and a remaining 39,000 bed deficit for the next five years (1989-94). Division staff provide physical facilities for the care, custody, treatment, training, discipline and employment of inmates sentenced to the state correctional system. Fundamental to the construction program is planning for future facilities based upon projections of increased inmate population. In addition to carrying out the Governor's major prison building program, Division staff coordinate the maintenance and renovation of existing facilities.

Construction Support handles all financial issues concerning new prison construction. Funding comes primarily from bonds, but additional monies have been made available in State General Fund, tidelands revenue and special lease/purchase arrangements. This section is responsible for contracts management, construction procurement, legislative analysis and development, and special projects and studies.

Construction Operations is responsible for all of the activities key to completing new prisons on time and within budget. The core of the construction program is a cooperative relationship between the Department and private sector construction management, architects and engineers. The Department's primary consultant is assigned overall responsibility for coordinating design of the State's new prisons. Departmental project directors are assigned to each project to oversee all aspects of the construction process. A key to the State's successful approach is aggressive scheduling backed by firm action by the Department should delays occur.

Existing Facility/Day Labor handles the construction and renovation work at existing facilities; services to existing facilities include budgeting and administration of capital outlay and special repair projects, architectural and engineering services as needed, maintenance and energy conservation programs, and preventive maintenance programs. It manages the use of inmate day labor for construction projects at existing institutions. Work is accomplished by construction crews headed by departmental staff and using both free trade union laborers and trained inmates.

Design and Program Planning staff work with architectural/engineering (A/E) firms to ensure that the integrity of security, safety and operational issues pertaining to custody are incorporated into facility designs; prototypical designs have been developed for various custody level facilities and these are adaptable to various sites with minimal modification. Once construction is underway, the Director assigns a new prison manager who establishes an office in the local area. He or she becomes active in local civic affairs, responds to public inquiries and establishes a mechanism to fill as many prison jobs as possible with local residents.

PLANNING AND CONSTRUCTION DIVISION (CONTINUED)

Mission (Continued)

New prison activation staff work with the Prison Industry Authority and departmental Education Services staff to identify and develop the inmate work/training plans, staffing profiles and equipment complements for the new prisons.

Government and Community Relations is responsible for managing the new prison site selection process, including working with the community to identify potential sites; conducting community workshops and public meetings for local citizens; coordinating environmental review of sites under serious consideration; recommending sites based on departmental needs, potential environmental impacts, and community concerns and preferences; and coordinating with the Department of General Services to purchase all properties in the final site selected. This unit is also responsible for managing the Minority and Women Business Enterprise (MWBE) Program. The main objective is to obtain the legislatively mandated goals of 15 percent Minority Business Enterprise and 5 percent Women Business Enterprise participation in new prison construction contracts.

Functional Responsibilities

Executive Unit

Manages all phases of physical planning, ongoing capital outlay, deferred maintenance and special repairs projects, control management, and program management sections of the Division.

Construction Support

Develops the financial plans, policies, priorities and systems related to managing and tracking the \$3 billion capital outlay program for new prison construction.

Directly prepares and incorporates the annual new prison construction budget into the proposed Governor's Budget that includes preparing reappropriations, allocation orders, Schedule 10s, updating galleys, and coordinating with DOF and the Legislative Analyst's Office (LAO).

Manages lease/purchase transactions to finance the acquisition, construction and underwriting of prison facilities; serves as the focal point in the process and coordinate with the Bond Counsel, the Treasurer's Office, the underwriters, in-house staff and others to ensure that the correct completion of the transaction in an expedient, efficient and effective manner.

Manages formal project budget submittals, expenditure control for project fees, contingency balances, long-lead equipment items, A/E expenses, etc.; reviews submittals to the legislative oversight committee for financial compliance and accuracy; prepares approval documents (14-Ds) for DOF review and approval; prepares Public Works Board agenda items.

PLANNING AND CONSTRUCTION DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Construction Support (Continued)

Based on the negotiated scope of service and fees, develops contract documents for architectural/ engineering, construction management and other services and ensures that all operational and program requirements, and financial and billing provisions are included and displayed in proper contract terms; monitor the status of service and construction contracts, review and approve invoices and change orders and close out contracts after the work is accepted.

Procures construction materials and equipment for the day labor program; prepares various reports to the Legislature and Public Works Board on the status of authorized new prison projects; coordinates and develops legislative proposals and analyses of bills that impact the division, provides division administrative support services related to personnel and maintaining information retrieval in the Division's files and library.

Manages general obligation bond fund utilization and needs. Coordinates with State General Obligation Bond Fund Committees, Pooled Money Investment Board, DOF and State Treasurer's Office regarding projected bond needs and expenditure levels. Coordinates input from CDC, CYA, Board of Corrections, and Prison Industry Authority relative to bond sales and pooled money loan needs.

Construction Operations

On a project specific basis, branch project directors assume a lead management role and provide direct oversight of the project planning and provide the extensive coordination necessary to complete new prisons. Responsibilities include maintaining the scope, schedules, or budget of the project; identification and resolution of policy issues related to site specific construction plans; negotiations with local governments and utility districts for off-site utilities and services and access to the site; making presentations and providing testimony to the Public Works Board and the Joint Legislative Committee on Prison Construction and Operation.

Provides direction and guidance to the Program Manager, the A/E firms, and the on-site construction managers, including approving change orders and variances to plans and specifications and authorizing acceleration of work when necessary. Provides Engineering and Quality Assurance Services which ensure compliance with design criteria standards and applicable codes and regulations and monitors construction schedules for review and documentation to avert potential claims.

Responsible for the development of the telecommunications systems in new prisons; monitors construction process from the telecommunications perspective to ensure that appropriate systems are operational and adequate when each new prison comes on line.

PLANNING AND CONSTRUCTION DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Construction Operations (Continued)

Conducts a limited review of project plans and specifications prepared by the A/E firms after the Program Manager performs an in-depth technical review to ensure that all of the technical elements are consistent with program and policy guidelines and State code requirements, and to evaluate the Program Manager's review from a quality control perspective.

Existing Facility/Day Labor

Facility Services--responsible for the planning, budgeting and administration of the construction (capital outlay), renovation and major repair (special repair) programs for existing facilities; coordinates the development of guidelines and monitors the activity of the department's maintenance, energy conservation and water conservation programs; provides project scheduling, equipment management, auditing and fiscal management support for the Inmate Day Labor (IDL) Program.

IDL--administers a statewide in-house direct construction operation which combines trade union craftsmen and inmates under State supervision to complete public works projects at various institutions.

Architecture and Engineering--provides a broad range of technical services to the branch and existing facilities; produces construction documents for the IDL Program to enable them to complete construction projects; provides assistance to existing facilities on technical problems requiring architectural and engineering services, coordinates technical requirements developed by consultants and other State agencies for improvement projects on existing facilities, provides input into long-range capital improvement planning.

Design and Program Planning/New Prison Activation

Provides the institutional expertise and perspective for the administrative and custodial development of new prisons and ensures the operational integrity of each--establishes the correctional/ security guidelines and policies, or owner's specifications, for new prisons, including programmatic requirements for the care, feeding, clothing, education, and employment of inmates.

Reviews the plans and specifications for new prisons in the design phase from an institutional or user point of view to ensure that the design will be functional in a prison setting and that it meets operational, security, and inmate work/training program needs.

Identifies and develops new technology to assist in the management of existing and future prisons, particularly in the area of prison security such as contraband detection systems, personal alarm systems, perimeter security systems, etc.; analyzes and evaluates new products or enterprises for possible manufacture/development by PIA.

PLANNING AND CONSTRUCTION DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Design and Program Planning/New Prison Activation (Continued)

Prepares and implements activation schedules to ensure that appropriate staff are recruited, selected, hired, and trained and that all equipment is ordered and in place for orderly, efficient, and timely opening of new prisons.

Government and Community Relations

Acts as the Department's liaison with local governments and community groups in the site selection and acquisition process. Identifies potential sites and consults with local entities in site selection and development, including holding public meetings; soliciting and responding to local public comments; and informing management of local issues/problems regarding the placement of any facility in the community.

Manages and controls the overall environmental review process, including determining the environmental documentation that is needed; establishing time frames for completion; coordinating the development of environmental documents in-house or through private consultants and/or DGS; directs the technical evaluations for the environmental documents, e.g., geology, hydrology, utilities, solid wastes, etc.; and resolving any public or private issues related to the environmental process.

After a site is selected, coordinates with DGS Office of Space and Real Estate Services in the process of appraising and acquiring the site.

Responsible for the development and coordination of the department's efforts to provide and expand the role of minority and women owned businesses in the prison construction program, including coordinating an intensive outreach program to encourage the participation of these businesses in prison construction and monitoring contractors' "good faith" efforts to comply with the Department's participation goals and guidelines.

Resources

Executive Unit: One (1) CEA IV, one (1) CEA III, one (1) AGPA, one (1) Executive Assistant, one (1) Secretary.

Construction Support: One (1) CEA I, one (1) Staff Services Manager (SSM) II, four (4) SSM I, eight (8) AGPA, eight (8) SSA/AGPA, one (1) SSA, one (1) SSA/ABA, one (1) Business Services Officer III (BSO III), three (3) BSO II, one (1) BSO I, one (1) BSA, three (3) Management Services Technician (MST), two (2) Student Assistant (LT), three (3) OT, three (3) WPT, three (3) OA II, one (1) OA I/II (limited term).

PLANNING AND CONSTRUCTION DIVISION (CONTINUED)

Resources (Continued)

Construction Operations: One (1) CEA II, one (1) Assistant Chief (Exempt), one (1) Principal Construction Engineer, one (1) Telecommunications Systems (TS) Manager II, five (5) Project Director (Exempt), one (1) Construction and Maintenance Supervisor (LT), one (1) Construction Operations Analyst, one (1) Senior Architect, one (1) Supervising Construction Engineer, one (1) Associate Architect, one (1) Associate Mechanical Engineer, one (1) Associate Structural Engineer (LT), one (1) Supervising Engineer (LT), one (1) Program Manager (LT), one (1) Construction Management Supervisor, one (1) Senior Specifications Writer (LT), one (1) Assistant TS Engineer, five (5) TS Analyst I/II, nine (9) AGPA, one (1) SSA/AGPA, one (1) MST, four (4) Student Assistant (LT), one (1) Secretary, one (1) Office Services Supervisor, one (1) OT, one (1) WPT, one (1) OA II, two (2) OA I/II.

Existing Facility/Day Labor: One (1) CEA II, one (1) SSM III, two (2) Construction Supervisor III, one (1) Chief, IDL, one (1) Supervising Civil Engineer, one (1) Associate Electrical Engineer, one (1) Senior Mechanical Engineer, one (1) Senior Civil Engineer, one (1) Senior Architect, three (3) Architectural Assistants, one (1) Materials and Stores Supervisor II, one (1) Materials and Stores Supervisor I, four (4) Construction Supervisor II, one (1) CPO III, twelve (12) Construction Supervisor I, six (6) Associate Construction Analysts, five (5) Electrical Supervisor, three (3) Carpenter Supervisor, three (3) Plumbing Supervisor, one (1) Painter Supervisor, two (2) Utility Shop Supervisor, two (2) Departmental Construction and Maintenance Supervisors, one (1) Assistant Mobile Equipment Superintendent, one (1) Pool Manager I, one (1) AGPA, one (1) SSA, five (5) Student Assistants, one (1) MST, one (1) Secretary, four (4) OT.

Design and Program Planning/New Prison Activation: One (1) Warden, one (1) Chief Deputy Warden, two (2) Correctional Administrators, five (5) Program Administrators, one (1) Vocational Supervisor-Institution, one (1) Associate Electronics Engineer, three (3) Procurement and Services Officer II, one (1) Chief of Plant Operations III, three (3) Correctional Lieutenants, one (1) Executive Secretary, two (2) Office Technicians, one (1) Personnel Assistant II, one (1) Personnel Technician, two (2) OA II, one (1) Senior WPT, three (3) WPT, one (1) Student Assistant.

Government and Community Relations: One (1) CEA I, one (1) Senior Environmental Planner, three (3) SSM I, eight (8) AGPA, one (1) Graduate Student Assistant, one (1) WPT, one (1) OT.

LEGAL AFFAIRS DIVISION

Mission

The Correctional Law unit acts as house counsel, providing a broad spectrum of legal support services including legal opinions and advice to departmental staff, acting as liaison with the Attorney General's Office, and coordinating discovery actions affecting the department.

The Claims Review unit administers the second level review of all outstanding construction claims. This includes the analysis of the cause, liability and damages, and the preparation of recommendations to the Planning and Construction Division on resolution of the claims.

The Arbitration Defense unit fulfills the Department's statutory obligation to arbitrate claims where the contractor is unwilling to settle outside of arbitration. The unit coordinates the discovery process and launches the Department's legal defense position in arbitration for claims that cannot be resolved.

Functional Responsibilities

Correctional Law

Provides advice and consultation, including analyzing and responding to oral and written requests for legal opinions from throughout the Department; reviewing contracts, inmate appeals, workers' compensation claims, grievances, adverse personnel actions, and discrimination complaints; training departmental staff in basic legal principles, statutes and case law relevant to employment duties.

Litigation support, including documentation and explanation of the Department's policy position and explanation of the factual circumstances surrounding the case to the deputy Attorney General, consultation with departmental staff regarding settlement and appeal, discovery responses for Executive staff, and case monitoring to ensure the litigation remains consistent with the Department's position.

Claims Review

Reviews, analyzes and proposes settlements of construction claims; assists claims attorneys in preparing for arbitration of unresolved construction claims including discovery and trial strategies.

Contacts and interviews contractors, construction managers, inspectors and other parties involved in construction claims; visits sites.

Location, determination and review of expert witnesses, technical, scheduling and other services required for arbitration.

Participates in arbitration, claims review boards and claims negotiation.

LEGAL AFFAIRS DIVISION (CONTINUED)

Functional Responsibilities

Claims Review (Continued)

Authors or provides support for the authoring of change orders and department policy revisions based on construction claims, requests for proposals and contracts for additional services.

Arbitration Defense

Working with Claims Review staff, reviews all the arguments and positions the contractor has brought to bear against the Department prior to arbitration.

Assembles discovery material, including interrogatories and depositions.

Resources

Executive Unit: One (1) Deputy Director, one (1) Assistant Chief Counsel, and one (1) Legal Secretary.

Correctional Law: One (1) Senior Staff Counsel, five (5) Staff Counsel, one (1) Senior Legal Typist, one (1) Legal Assistant, and one (1) Seasonal Clerk.

Claims Review: One (1) Supervising Structural Engineer, one (1) Senior Structural Engineer, four (4) Associate Civil Engineers, one (1) Associate Mechanical Engineer, one (1) Associate Electrical Engineer, .5 SSA.

Arbitration Defense: One (1) Senior Staff Counsel, two (2) Staff Counsel, one (1) Legal Assistant, .5 Senior Legal Stenographer, .5 OA II, one (1) Student Assistant.

EVALUATION AND COMPLIANCE DIVISION

Mission

Seeks to enhance the effectiveness of departmental policy and program decision making. This is accomplished by analyzing how departmental systems work and making recommendations for improvements.

The Office of the Inspector General is responsible for departmental operational evaluation and review. This includes general program reviews, court compliance reviews, American Correctional Association (ACA) pre-audits, internal fiscal audits, special reviews, peer reviews, and information security audits in institutions, parole regions and headquarters.

Management Analysis and Evaluation plans, controls and directs management analysis and program reviews of departmental systems, operations, performance standards, policy and procedures, issues and systemwide problems. The unit assists departmental managers in designing and installing more effective and efficient organizational structure, administrative policies and management systems, procedures and operating methods. The unit is responsible for reorganization planning and implementation of management by objectives (MBO).

Research carries out large scale program evaluations, such as the continuing analysis of the bed savings and comparative costs of the Work Furlough Program. Maintains the department's parole follow-up system which generates information on parolee involvement in further criminal behavior. It conducts small scale studies such as the surveys of prosecutions of inmate felonies and forfeitures and restorations of work incentive time credits. The information provided by this research helps to ensure the safety of the public, staff and inmates.

Regulation and Policy Management manages the adoption and amendment of regulations (Director's Rules) pursuant to the requirements of the Administrative Procedures Act (APA), the development of departmental administrative and operations manuals, and the processing of Administrative Bulletins (ABs) used to issue new or revised policy and procedures. The unit maintains the central policy files and manages public access to departmental records.

Inmate Appeals reviews inmate complaints at the Director's level, pursuant to the Revised Plan for Inmate Discipline, promulgated in 1973. This established a number of due process rights to be included in the inmate disciplinary process, including the right to a review or appeal. The right to appeal was subsequently extended to include any policy, procedure or staff action affecting the inmate. The Director's level appeal provides the inmate with his last administrative remedy before court action. The unit meets with institution administrators to review institutional policy and procedure needs as revealed by inmate appeals; conducts audits of the institutional appeals units; documents appeals for the administrative record in court actions; maintains the DAM section pertaining to inmate appeals; coordinates quarterly institution and parole reports of inmate appeal activity and prepares summary reports for top management.

EVALUATION AND COMPLIANCE DIVISION (CONTINUED)

Mission (Continued)

Special Projects facilitates and coordinates the implementation of the Director's major goals and objectives for program development and provides staff support for legislatively mandated commissions and other entities reviewing the correctional systems in California.

Information Systems designs, develops, implements and maintains all new automated applications for departmental information systems and provides full user support services. Staff manage and guide departmental information systems including:

- o DDPS--a "state-of-the-art" on-line inmate information system operating within each institution and headquarters on a 24-hour basis. Links mini-computers in the field to a larger minicomputer at headquarters, providing tremendous information capabilities.
- o OBIS--a centralized information system providing on-line access to inmate commitment and movement data during normal working hours.
- o Microcomputer-based systems--automated applications tailored to meet specific small-scale information or functional needs. Staff participate in the development of these local systems and provide users access to data maintained on the larger departmental information systems for special reports or files.

Functional Responsibilities

Executive Unit

Plans, organizes, directs and coordinates the ongoing operations of the Division.

Inspector General

Reviews program areas for compliance with statute, the Director's Rules, policies and procedures, court orders and settlements; evaluates departmental compliance with ACA standards for accreditation for units seeking accreditation;

Directs the development of systems to ensure that departmental programs are functioning in accordance with policy and established standards.

Identifies problem areas in staffing or operations, including the adequacy of established patterns.

Reviews financial practices of institutions, parole regions and headquarters to ensure compliance with State law, and financial policies and procedures; provides official, written reports for management at institutions and parole regions.

EVALUATION AND COMPLIANCE DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Inspector General (Continued)

Responsible for information security, including audit of data processing systems to ensure compliance with State Administrative Manual (SAM) requirements regarding staff responsibilities, inventories, security, risk analysis and disaster recovery.

Management Analysis and Evaluation

Plans, manages, directs and conducts critical and diversified management analysis studies, program reviews, data analysis, and evaluation of departmental issues, problems and operations; identifies sensitive and key issues, develops and compares alternatives, and makes recommendations to management.

Develops requests for proposals (RFPs) for management analysis studies and program reviews to be conducted by external consultants; coordinates the review of proposals; works with Business Services in the development of contracts and the monitoring of contractor performance; prints and distributes final reports produced by contractors.

Plans, manages, directs and develops departmental standards, such as staffing of institutions, institution management, and institution procedures; coordinates the development of standards with institutions, parole regions, program units, divisions and top management.

Develops and updates the Department's functional organization chart; organizes and provides technical assistance and staff support on the Department's MBO; coordinates the preparation of quarterly and annual MBO reports.

Coordinates the Evaluation and Compliance Division budget process, e.g., responses to budget call letters and the Budget Change Proposal process.

Research

Designs and carries out largescale program evaluations; collects and analyzes statistical data for program evaluation projects; writes programs for personal computer; writes evaluation reports. Data used in these evaluations pertain to the characteristics of the program participants, the services they receive, misbehavior on the part of the participants while they are in the program and post-program outcome. Reviews related outside research.

Designs and carries out studies such as research into how to reduce violence and recidivism, prison gang activity, inmate discipline, prison overcrowding, prison design and construction, and data systems used in the department and other agencies; writes research reports.

EVALUATION AND COMPLIANCE DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Research (Continued)

Organizes workload for the parole follow-up information system; consults with reporting units submitting data on issues of accuracy and consistency among different sources; enters and edits data from criminal records (including rap sheets, parole violation reports, and parole activity reports); accesses various systems in the OBIS data base to obtain supplementary information; sorts, checks and logs BPT violation decisions and other criminal records; produces routine follow-up tables and answer special requests for parole follow-up data.

Regulation and Policy Management

Serves as the departmental liaison with the Office of Administrative Law (OAL); schedules, takes, records and reports public testimony as it relates to the adoption or amendment of regulations; prepares and distributes documents to the public, departmental employees, inmates and parolees.

Manages the revision, printing and distribution of departmental administrative and operations manuals, including telephone and face-to-face meetings with affected program units and staff, related research and correspondence, and tracking revisions and printing and distribution processes; responsible for writing all manuals.

Ensures that ABs prepared by program units are accurate, formatted properly, including telephone and face-to-face consultation with affected program units and staff and related research and correspondence; revises ABs as needed to conform to departmental standards; manages the duplication and distribution of completed ABs.

Maintains central policy files, including developing and maintaining filing system, filing and storing documents, and controlling access to files by the public and departmental staff.

From January 1987 through June 1989, the unit provided oversight and coordination of the Manuals and Procedures Task Force. The Task Force was responsible for transforming seven departmental manuals into a single departmental operations manual, including analyzing all material to ensure complete, concise and non-duplicative policy and ensuring that all regulatory material is incorporated in the Director's Rules.

EVALUATION AND COMPLIANCE DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Inmate Appeals

Conducts investigations of third level (Director's level) inmate appeals, including interviewing the inmate who filed the appeal, staff involved in the incident under appeal, and other inmates and staff who have or may have witnessed the incident, supervisory staff, family, friends and private citizens named in the appeal, clinical staff, police agencies, Department of Justice personnel and the inmate's legal counsel, as appropriate.

Reviews the California Penal Code, Director's Rules, Board of Control regulations, CDC manuals and institution operating procedures; determines applicable rules and regulations; consults with CDC legal counsel as needed, proposes decisions on appeals based on applicable rules and regulations; discusses proposed decisions with the Warden where the incident occurred; prepares response to the claimant.

Analyzes, interprets and recommends changes in departmental operating procedures; consultation with institutions, parole regions and Central Office managers on appeals and policies; technical supervision of institution and parole region appeals processes; audits the internal appeals process at both the institutional/regional levels and the departmental level, assisting in identifying, modifying and eliminating practices which may not be necessary, or may impede the accomplishment of correctional goals, and helping to ensure compliance with the departmental appeals process; proposes revisions to the departmental appeals process.

Coordinates the submission of quarterly reports by institution and Parole Region inmate appeals coordinators; compiles departmentwide quarterly and annual reports; analyzes appeals data and prepares statistical reports emphasizing identification of trends in types of appeals; distributes reports to top management. Liaison with other State and federal agencies involved in inmate grievance handling.

EVALUATION AND COMPLIANCE DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Special Projects

Provides staff support to the Blue Ribbon Commission on Inmate Population Management (BRC), the Presley Institute of Corrections Research and Training (Institute), and the California Corrections Executives Council (CCEC). This includes coordinating departmental staff efforts to gather data and material for the BRC, Institute and CCEC; analyzing and synthesizing the data gathered and developing the Department's responses to the BRC, Institute and CCEC; coordinating, scheduling and attending BRC meetings, attending Institute meetings and attending and facilitating CCEC meetings; assists the Institute to design and conduct surveys, and complies survey data; coordinates/facilitates the evaluation of recommendations produced by the BRC, Institute and CCEC; assists in preparing reports to the Legislature and in preparing presentations and workshop material for national conferences; ensures compliance with confidentiality laws in providing information to the BRC, Institute and CCEC; keeps CDC top management apprised of BRC, Institute and CCEC activities.

Serves as the Department's central coordinating unit for developing and supporting the Administrative Planning Sessions; departmental forums such as the Women's Liaison Council, Domestic Violence, Sex Offender and Citizen's Participation; departmental committees and interagency work groups such as the Advisory Committee on Correctional Services (ACCS) and Educational Advisory Committee (EAC); and facilitate special activities such as the Program Development Council (PDC). Compiles quarterly progress reports from the work groups and committees and develops a consolidated report for the Director's Cabinet.

Responsible for implementing the Department's master plan to develop a Victims of Crime Services Program. This includes developing impact training, restitution programs, notification procedures, victim participation procedures at parole hearings, procedures for providing information to victims, forums on victims issues, a toll free "800" number and victim services in all institutions and Parole Regions.

Information Systems Branch

Administration--directs and controls the work of the data processing staff; manages system development, system maintenance, user support, and operations activities; clerical and typing support.

Development--encompasses the tasks required to develop and implement a new computer system or application. May involve creating a new customized system or adapting an off-the-shelf system to meet the needs. Includes defining the problem and needs, setting objectives, identifying requirements, analyzing alternatives, designing and programming the system, testing, user training, implementation and conversion.

EVALUATION AND COMPLIANCE DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Information Systems (Continued)

Program maintenance--the activities involved in maintaining an existing system, including fixing problems in the system which may arise during its operation, making modifications to the system as required by changes in user needs and developing new reports requested by users.

Database administration--the organization and management of the data maintained on the Department's computers, including designing the structure and specifications of new databases as well as monitoring, managing, and modifying existing databases.

Central Office and Institution support--support to non-ISB staff who use existing information systems, including providing assistance in the operation of a system, helping a user produce information from the system, answering questions from users, training new users, resolving problems, and providing hotline support.

Operations--those activities related to the day-to-day operation of computer systems that are not performed by users, including controlling computer operation, running routine production jobs, performing system back-ups and recovery, monitoring the day-to-day condition of hardware and software, and initiating contact with the appropriate staff/vendors when system (hardware/software/communications) problems occur.

Operations support--support for the operation of the Department's computer systems, including installing and maintaining the systems and communications hardware and software, identifying problems with hardware and software and taking appropriate action to resolve them.

Resources

Executive Unit: One (1) Deputy Director, one (1) CEA II, one (1) Executive Secretary I.

Inspector General: One (1) Correctional Administrator, three (3) Program Administrators, three (3) Correctional Lieutenants, three (3) Associate Management Auditor, one (1) OT, one (1) WPT.

Management Analysis and Evaluation: One (1) SSM II, two (2) SSM I, five (5) Associate Management Analysts (AMA), one (1) SSA, one (1) OA II.

Research: One (1) Research Program Specialist II, two (2) Research Program Specialist I, one (1) Research Analyst I, one (1) Program Technician I.

EVALUATION AND COMPLIANCE DIVISION (CONTINUED)

Resources (Continued)

Regulation and Policy Management: One (1) Correctional Administrator, one (1) SSM I, seven (7) AGPA, one (1) Associate Data Processing Analyst (ADPA), two (2) WPT.

Inmate Appeals: One (1) Correctional Administrator, seven (7) Program Administrators, one (1) AGPA, one (1) OT, one (1) WPT, one (1) OA II; plus retired annuitants: two (2) Program Administrators, one WPT.

Special Projects: One (1) SSM II, two (2) SSM I, four (4) AGPA, two (2) SSA, one (1) OT.

Information Systems: Administrative Support--one (1) Data Processing Manager III (DPM III), two (2) OA II; Computer Technology Services--one (1) DPM II, one Systems Software Specialist--Supervisor, three (3) Associate Systems Software Specialist--Technician, three (3) Associate Programmer Analyst--Specialist, six (6) Programmer II, four (4) Programmer I; Operations--one (1) DPM I, one (1) Staff DP Analyst--Supervisor, one (1) Associate Programmer Analyst--Specialist, one (1) Telecommunications Systems Analyst II, one (1) Associate DP Analyst, one (1) DP Technical Supervisor II, one (1) Programmer II, three (3) DP Technical Supervisor I, three (3) Senior DP Technician, ten (10) Computer Operators; Systems Development and Support--One (1) DPM II, two (2) Staff DP Analyst--Supervisor, two (2) Staff Programmer Analyst--Supervisor, one (1) Associate Programmer Analyst--Specialist, one (1) Associate Programmer Analyst--Supervisor, one (1) Associate Management Analyst, three (3) Associate DP Analyst--Specialist, three (3) Programmer II, eight (8) Programmer I, one (1) Senior DP Technician, one (1) Management Services Technician.

ADMINISTRATIVE SERVICES DIVISION

Mission

Provides the services that keep the wheels of CDC turning. Division staff make sure that people are hired and trained, that funding is available and bills get paid, that essential services are provided and that needed information is generated and processed.

Most of the units and functions within the Division are organized into two branches, each under an Assistant Deputy Director: Human Resources Management and Financial Management and Support Services. The smaller Offender Information Services Branch reports directly to the ASD Deputy Director.

Functional Responsibilities

Detailed information on functional responsibilities was not provided to the Organizational Task Force. The following information is taken from "Inside Corrections."

Human Resources Management

Selection and Standards

Background Investigation: conducts pre-employment background investigations for all peace officer and some non-peace officer classifications to ensure that applicants meet the legal minimum standards and are suitable for employment.

Correctional Officer Recruitment and Selection: tests and selects COs and MTAs and administers physical abilities tests and medical examinations for all new peace officer appointees; strives to provide qualified peace officers and a balanced work force for new and existing prisons.

Personnel Management

Personnel Examining: plans, develops and conducts civil service examinations to meet projected departmental hiring needs. Examining staff provide training for institutional staff and monitor their testing activities. Staff also report to the State Personnel Board (SPB) on departmental exams and provide support for SPB for examinations it administers on the Department's behalf.

Personnel Services: transactions staff prepare appointment documents; explain and enroll employees in benefit programs; process identification cards; prepare attendance reports; prepare payroll documents and salary advances; and process documents for withholding taxes, wage garnishments, merit salary increases, retirement determinations, range changes and promotions. Note: Each institution has its own transaction function. Operations staff provide managers and supervisors with technical expertise concerning selection, classification and pay, merit issues, training and discipline; assure that the appointments and assigned duties meet all legal and classification requirements. Note: In an institution, the Personnel Officer provides these services.

ADMINISTRATIVE SERVICES DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Health and Safety: administers the Workers' Compensation and disability benefit programs; manages the return-to-work programs to aid the return of employees after injury or illness; administers the Hazardous, Toxic and Volatile Substances program to ensure safety when storing, handling, using and disposing of hazardous substances; coordinates with the Employee Assistance Program; and manages the annual Blood Drive for Central Office.

Training

In-Service Training (IST): coordinates and manages orientation and IST for Central Office staff and centralized training for all department personnel; allocates funding and monitors training provided through institutional IST offices; coordinates requests for training provided by the Department of Personnel Administration, the state EDP program and private vendors.

Training Academy: provides basic training for new Correctional Officers who "live in" at the Academy while completing training in 46 different subjects for a total of 304 hours over a six-week period; provides advanced training for first and second line supervisors, other peace officer personnel and ancillary staff. The Academy is located in Galt, 25 miles south of Sacramento.

Financial Management and Support Services

Office of Accounting Management

Accounting Services: sets departmental policies on fiscal issues such as travel and relocation; performs accounting services for administration, the community correctional program (including paroles) and the capital outlay program (including all invoices and contractor payments for new prison construction and day labor projects); prepares the Travel and Expense Guide and the out-of-state travel blanket; issues relocation packages and coordinates all Board of Control claims. Note: Each institution has its own accounting office.

Audit/Rate Development: reviews and evaluates the operations of individuals and agencies who contract with or provide services to the department to ensure compliance with laws, rules and regulations to minimize fraud, errors, abuse or waste of government funds.

Accounting Systems: assists all institutions, Central Office and the Academy accounting offices resolve problems; provides CALSTARS accounting system training; sets guidelines for implementing or changing accounting procedures.

ADMINISTRATIVE SERVICES DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Financial Management and Support Services (Continued)

Office of Budget Management

Charged with both obtaining and controlling the funds needed to run the Department. To accomplish this, the Budget Office annually prepares a budget for submittal to the Legislature by January 10. Before it gets there, however, the Department's budget is scrutinized and approved by the Youth and Adult Correctional Agency (YACA), the Department of Finance (DOF) and the Governor. Every staff position must be justified in the budget along with costs for housing and supervising close to 120,000 offenders.

Contract and Business Services

Business Services: provides support services in acquisition of office sites; building management; procurement of equipment, materials and supplies; the materials management program; records and forms management; supply and mail services; and reproduction and work processing services. Note: Each institution also has its own business services function.

Contract Services: ensures that all departmental contracts and agreements are executed in compliance with state laws and regulations. Construction Bid Package staff are responsible for all aspects of contract bids and awards for new prison construction. Construction Contracts staff write and process consulting and management contracts and approve and process easements, stop notices and escrow agreements for new prison construction. Services and Re-entry Contracts staff review and process all institution contracts over \$10,000 and all Central Office and Parole and Community Services Division contracts.

Food Services: develops, administers and monitors the feeding program for all institutions, camps, parole and community centers; trains departmental food service staff; and reviews and approves food service needs for new prisons.

Offender Information Services

Estimates and Statistical Analysis

Ensures that the Department has accurate data and analyses on which to base program planning and direction; responds to requests for information from the media (through the Communications Office), institutions, YACA, the Governor's Office, Legislature, DOF, and other federal, state and local agencies; compiles and analyzes information for special task forces or programs; prepares periodic statistical reports about inmates and parolees (e.g., the the Weekly Report of Population or "Weekly Pop") used in budget planning, legislative responses, audits, etc. This unit is also responsible for analyzing and estimating the population and fiscal impact of all pending legislation, ballot initiatives and other proposals--numbering over 500 per year--which could increase or decrease prison or parole population.

ADMINISTRATIVE SERVICES DIVISION (CONTINUED)

Functional Responsibilities (Continued)

Offender Information Services (Continued)

Technical Support

Coordinates the timely, accurate and consistent coding and entry of data and performs quality control for major computerized inmate and parolee information systems; provides support for the Management Information Systems (MIS) Committee to facilitate the development and automation of information systems; develops procedures for the MIS planning process, coordinate proposals to automate information systems, monitors computer projects, consults with MIS Committee members, and designs and compiles various reports for CDC management.

Resources

Information on resources was not provided to the Organizational Task Force. The following information is taken from the FY 1989/90 Governor's Budget.

Executive: One (1) CEA III, one (1) AGPA, one (1) Executive Secretary.

Human Resources Management: One (1) CEA II.

Selection and Standards: Statewide--one (1) Correctional Administrator, five (5) Correctional Lieutenant, two (2) SSM II, fifty-two (52) Correctional Sergeant, two (2) SSM I, three (3) Registered Nurse III, four (4) Registered Nurse II, one (1) AGPA, two (2) Associate Personnel Analyst, three (3) SSA, one (1) Correctional Officer, one Personnel Technician II, four (4) Physical Evaluation and Testing Specialist, two (2) Personnel Technician I, one (1) Executive Secretary, two (2) Office Services Supervisor I, eight (8) OT, 30.5 OA II, one (1) Steno, three (3) WPT, three (3) OA I, one (1) Stock Clerk; plus Temporary Help consisting of .6 Correctional Sergeant, .3 OA II, 5.8 Examiners.

Personnel Management: Personnel Examining--one (1) SSM I, two (2) Associate Personnel Analysts, three (3) SSA, six (6) Personnel Technician I, one (1) OT, one (1) WPT, one (1) OA II; Personnel Services--one (1) SSM III, one (1) SSM II, four (4) SSM I, 6.5 Associate Personnel Analyst, four (4) SSA, one (1) OT, one (1) Secretary, two (2) WPT; Health and Safety--one (1) SSM II, three (3) AGPA, one (1) SSA, one (1) WPT.

Training: One (1) Correctional Administrator, one (1) SSM I, one (1) Correctional Counselor I, four (4) Training Officer I, two (2) AGPA, two (2) OT.

ADMINISTRATIVE SERVICES DIVISION (CONTINUED)

Resources (Continued)

Financial Management Support Services: One (1) CEA II, one (1) OT.

Office of Accounting Management: Accounting Services--one (1) Accounting Administrator III, one (1) Accounting Administrator II, one (1) Accounting Administrator I, one (1) Associate Administrative Analyst, two (2) Senior Accounting Officer, one (1) SSA, one (1) Personnel Assistant II, six (6) Accountant I, two (2) Accountant Trainee, ten (10) Accounting Technician, three (3) OT, six (6) Senior Account Clerk, eleven (11) Account Clerk II, one (1) OA II; Audit/Rate Development--one (1) Senior Management Auditor, one (1) Staff Management Auditor, four (4) Associate Management Auditor, three (3) Staff Services Management Auditor, one (1) OT; Accounting Systems--one (1) Senior Administrative Analyst, 3.5 Associate Administrative Analyst, two (2) Assistant Administrative Analyst, .5 SSA.

Office of Budget Management: one (1) SSM III, one (1) SSM II, five (5) SSM I, eight (8) Associate Budget Analyst, one (1) AGPA, four (4) SSA, one (1) Property Controller II, one (1) Supervising Claims Auditor, two (2) OA II, one (1) WPT; plus .2 Temporary Help.

Contract and Business Services: One (1) SSM III, one (1) SSM I, one (1) Business Services Officer III (BSO III), one (1) Records Management Analyst II, one (1) Associate Materials Analyst, 1.5 AGPA, one (1) BSO II, six (6) BSO I, one (1) Property Controller II, one (1) Office Services Supervisor II, one (1) Materials and Stores Supervisor I, one (1) Officer Services Supervisor I, two (2) OT, two (2) Senior WPT, one (1) Stock Clerk, two (2) OA II, six (6) WPT, five (5) OA I, two (2) Assistant Clerk; one (1) Departmental Food Administrator; one (1) SSM II, two SSM I, one (1) BSO, 9.5 AGPA, three (3) SSA, two (2) Management Services Technician, one (1) OT, three (3) WPT.

Offender Information Services: One (1) SSM III, one (1) Research Program Specialist II, one (1) OT.

Estimates and Statistical Analysis: One (1) Research Manager II, two (2) Research Manager I, one (1) SSM I, one (1) Operations Research Specialist II, two (2) Research Analyst II, 3.5 AGPA, one (1) Statistical Methods Analyst II, one (1) Research Analyst I, .5 SSA, one (1) Management Services Technician, one (1) OT.

Technical Support: one (1) SSM I, four (4) AGPA, two (2) SSA, one (1) Correctional Case Records Supervisor, two (2) Supervising Program Technician III, one (1) Program Technician III, two (2) Management Services Technician, one (1) OT, 10.5 Program Technician II, one (1) Program Technician I.

**PRISON INDUSTRY AUTHORITY
CENTRAL OFFICE FUNCTIONAL RESPONSIBILITIES**

Mission

The Prison Industry Authority (PIA) mission is defined by Penal Code Section 2801 as follows:

"(a) To develop and operate industrial, agricultural, and service enterprises employing prisoners in institutions under the jurisdiction of the Department of Corrections, which enterprises may be located either within those institutions or elsewhere, all as may be determined by the authority.

(b) To create and maintain working conditions within the enterprises as much like those which prevail in private industry as possible, to assure prisoners employed therein the opportunity to work productively, to earn funds, and to acquire or improve effective work habits and occupational skills.

(c) To operate a work program for prisoners which will ultimately be self-supporting by generating sufficient funds from the sale of products and services to pay all the expenses of the program, and one which will provide goods and services which are or will be used by the Department of Corrections, thereby reducing the cost of its operation."

Functional Responsibilities

Operations Division

Provides Central Office oversight of and technical assistance to the PIA producing and service enterprises in the institutions. Has a major role in the planning and design of new products, equipment and facilities. Assures the consistency of operations between similar factories; assures that the operating policies and practices of the factories are consistent with the overall goals and objectives of the PIA.

Plans, organizes and directs the production and operations in headquarters and eighteen correctional institutions; establishes production goals and monitors accomplishments.

Responsible for PIA's procurement program, both the performance and coordination of all short and long-range planning, product development, research and industrial analysis, and the development of program information that relates to establishment, discontinuance, expansion or contraction of industrial or agricultural operations, including selection of site, utilities, buildings, equipment, staffing, inmate manpower, supervision, and other pertinent items.

Functional Responsibilities (Continued)

Operations Division (Continued)

Establishes and maintains cooperative working relationships with Wardens of the institutions where the production facilities are located; advises management regarding production facility capability to accommodate new product lines, new inmate skill training programs, and marketing and sales production schedule requirements.

Establishes and monitors safety programs to ensure the health and safety of both civil service and inmate personnel assigned to the production operations; establishes and monitors management and supervisory training programs for personnel and coordinates with the Institutions Division in the development and administration of skills training for inmates assigned to PIA production facilities.

Industry Implementation Division

Responsible for the coordination and timely implementation of all new enterprises within the new institutions under planning and/or construction statewide.

Construction and building acquisition--obtains final design from A/E firm; ensures that all required construction is completed for tenant occupancy, including the installation of all equipment as specified in the final architectural/engineering design.

Equipment--reviews and finalizes the equipment list for each enterprise, including the development of equipment specifications for procurement; initiates the required procurement of equipment through the PIA procurement office.

Raw materials and supplies--reviews and finalizes the list of raw materials, including the development of materials specifications for procurement; initiate the required procurement of raw materials through the PIA procurement office.

Free staffing--reviews the appropriateness of the free staff classifications identified in the program development plan; works with the PIA personnel unit to establish free staff positions on each enterprise and ensures that adequate time is allocated for testing and hiring by the date of implementation.

Inmate staffing--work with the local institution to ensure that the needed number of inmate staff are identified and available for employment on the date the enterprise becomes operational.

Sales and marketing--works with the Administration and Marketing Division to ensure that a sales and marketing plan is developed for each enterprise and that the initial customers have been identified and preliminary orders obtained; works with the pricing unit to ensure that initial prices for products/services have been established by the implementation date.

Functional Responsibilities (Continued)

Industry Implementation Division (Continued)

Fiscal services--analyzes the budget to ensure that adequate funding is available for the timely implementation of each enterprise; where not available, pursue and obtains the additional funding necessary for timely activation; work with the fiscal office to ensure that adequate bills and materials, slamm numbers, and inventory control numbers are obtained so that customer orders can be processed immediately upon implementation.

Miscellaneous--identifies any critical items that are not covered in the above areas and ensures that they are properly addressed prior to implementation (e.g., special operating permits, licenses, transportation arrangements, etc.); provides assistance and/or consulting services to the Operations Division if significant problems arise after the new enterprise has been completed and responsibility for the ongoing operation is turned over.

Administration and Marketing Division

Provides the direction for the fiscal management of PIA and for the support and evaluation services necessary for program operations. The Division is a service-oriented organization that works directly with all offices within PIA and with relevant outside agencies and organizations including the Prison Industry Board, the Legislature, CDC, all the correctional institutions and their affiliated factories and PIA's customers.

Data Processing--provides EDP services in support of PIA programs, including the application and development of major and minor new projects and maintaining ongoing systems. Major systems/priorities include a Basic--Four Model 410 computer which is used to perform sales order processing, invoicing, and received on account functions; Main Frame Systems/access to Teale Data Center (TDC) used to identify products whose cost, when updated through either changes in labor hours or raw material costs, are not producing a profit; ongoing development of PIA automation in institutions, an on-line system which utilizes TDC with telecommunications networks to each institution to track inventories for raw materials, component parts and finished goods; key data entry enterprises to be developed in three new institutions.

Personnel Management and Training--provides a variety of personnel and training-related services to PIA, including classification and pay, recruitment, examination and selection, payroll and transactions, training, labor relations, and clerical support.

Functional Responsibilities (Continued)

Administration and Marketing Division (Continued)

Fiscal Services--performs the budgeting, accounting and financial reporting activities of PIA from both a service and a control orientation; develops the Annual Operating Plan (budget), prepares the mid-year review, financial documents for proposed new facilities (inmate work plans), analyzes proposed budget changes, policy directives and legislation, maintains allotments and position control systems; prepares, analyzes and publishes financial statements and reports, interprets financial condition such as operating revenue, new income, operating expenses, overhead, depreciation, engineering and material costs and industries fiscal status, develops and maintains the industries cost accounting system, develops and maintains fiscal policies and procedures to assure ongoing solvency of the Prison Industry Revolving Fund, plans and coordinates the automation of the fiscal system.

Planning and Evaluation--responsible for legislative, program analysis, public relations, market planning, pricing, long-range planning, and special projects functions of PIA, including developing and maintaining policies and procedures for and carrying out those activities; performing market analysis, research and product promotions, collection and analysis of data on future product demand and new product research, development and implementation of the PIA marketing plan; conducting long range planning and special projects, analyzing ongoing projects such as PIA's Strategic Plan and Annual Report, researches and evaluate issues; research, evaluation and development of legislation, legislative bill analyses, gives testimony in legislative and related hearings, provides consultation on legislative issues, and liaison with the Department of Corrections Legislative Liaison; development and implementation of a comprehensive plan to increase PIA's support among business, labor and the Legislature, develops and distributes public relation materials, establishing and maintaining a community and public media communications network; review of product pricing, development of pricing plans and recommendations, conducting pricing research; development and implementation of a comprehensive plan to provide for the systematic ongoing analysis of PIA programs, development of operational performance measures and monitoring performance.

Sales--responsible for sales and customer relations activities, including planning and developing programs to increase sales volume, developing and following up on sales leads, promoting support of the PIA program through direct calls, monitoring customer planning and programs and tracking customer satisfaction, arranges for necessary research and promotion of new products, develops and expands sales outlets, participating in exhibits, conferences and conventions, provides advice to customers on office layout, color coordination, and product design, and provides customers with product literature, drawings and specifications; assists in market research by conducting preliminary surveys and arranging customer contacts for researchers, provides guidance and feedback on promotional efforts.

Functional Responsibilities (Continued)

Administration and Marketing Division (Continued)

Customer Services--processes all incoming purchase orders; answers customer questions about PIA products, prices and delivery dates; handles customer complaints; responds to requests for quotations; checks on the status of customer orders; maintains the mass mailing list; acts as a liaison between the customer and operations including the factories.

Resources

Executive: One (1) General Manager (Exempt), one (1) Assistant General Manager (Exempt), one (1) Executive Secretary II.

Operations Division: One (1) CEA III, eight (8) Production Managers, one (1) Construction Supervisor, one (1) Prison Industries Engineer, one (1) Materials Manager, one (1) OT, one (1) OA II. One Production Manager is currently loaned to the General Manager's Task Force on Manufacturing Management Information Systems.

Industry Implementation Division: One (1) CEA II, four (4) CEA I, one (1) Program Manager II, six (6) Production Manager II, one (1) Associate Mechanical Engineer, two (2) AGPA, one (1) Secretary, three (3) CA II.

Administration and Marketing Division: Administration--one (1) CEA II, one (1) Executive Secretary I; Data Processing--one (1) Data Processing (DP) Manager II, one (1) DP Technician, one (1) Staff Programmer Analyst, two (2) Associate Programmer Analysts, one (1) Programmer II, one (1) Senior DP Processing Technician, one (1) Staff Data Processing Analyst, one (1) SSA, one Key Data Entry Operator; five (5) inmate programmers; Personnel Management and Training--one (1) CEA II, one (1) SSM I, one (1) Training Officer I, three (3) Associate Personnel Analysts, one (1) SSA, one (1) Personnel Assistant II, one (1) Personnel Assistant I, two (1) Personnel Technician I, one (1) OT, one (1) OA II; Fiscal Services--one (1) SSM III, one (1) SSM I, one (1) Accounting Administrator II, one (1) Staff Administrative Analyst, three (3) Associate Budget Analysts, one (1) AGPA, one (1) Associate Administrative Analyst, one (1) Assistant Administrative Analyst, one (1) MST, two (2) Senior Accounting Officer, four (4) Accounting Officer, one (1) Senior Account Clerk, seven (7) Accountant I, seven (7) Accounting Technician, nine (9) Account Clerk II, one (1) OT, two (2) OA II, one (1) OA I/II, one (1) OA I; Planning and Evaluation--one (1) CEA II, one (1) SSM II, one Public Information Officer, one (1) Promotional Specialist, five (5) AGPA, one (1) Research Analyst, one (1) SSA, one (1) OT; Sales--one (1) Sales Manager, ten (10) Sales Representatives, one (1) Office Technician; Customer Services--one (1) CEA II, one (1) Sales Order Supervisor, one (1) MST, four (4) OT, three (3) OA II, one (1) OA I, one (1) Key Data Operator.

DEPARTMENT TASK FORCE ON ORGANIZATION STRUCTURE

TASK FORCE REPORT

VOLUME II

REGIONALIZATION

138187
(pt 2)

U.S. Department of Justice
National Institute of Justice

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March 1990

Bill Bunnell, Warden
California Correctional Institution
Chairman

Volume II of II

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Vol. 2

STATE OF CALIFORNIA

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YOUTH AND ADULT CORRECTIONAL AGENCY

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AUG 27 1992

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EXECUTIVE SUMMARY

California Department of Corrections (CDC) Director James Rowland established the Departmental Task Force on Organizational Structure in January 1989 in response to a need identified in the February 1988 Administrative Planning Session. The Task Force studied a prior two-phased reorganization effort carried out from early 1983 through late 1985.

It concluded that the Department had five major issues or problems to deal with: (1) Communications, (2) Personnel Issues, (3) Development of Standards versus Centralization, (4) Management of Change, and (5) Reorganization - Regionalization.

The Task Force noted that CDC's existing centralized organizational structure does not facilitate bringing corrections to the local community level in response to continued population growth. However, some members expressed concerns that regionalization might merely add another layer of bureaucracy. To gain insight into the problems CDC might face in adopting a regional structure, two Task Force representatives, Wardens Bill Bunnell and Dan Vasquez, visited two states with regionalized correctional systems, Georgia and Florida.

As a result of the visit, the Task Force concluded that regionalization is a viable form of managing the rapidly expanding Department. The Task Force identified the following specific benefits that would result from regionalization.

- . enable the Department to plan for unique correctional populations;
- . allow the Department to develop an organizational structure that promotes flexibility;
- . increase communication at the local levels, encouraging dialogue between the community and the institutions, and increasing responsiveness to the unique needs of each area; and
- . enable the Department to more effectively accommodate continued growth.

Based on the experience of Georgia and Florida, decentralizing decision making to match the responsibility given to the regions would be critical to successful implementation of a regional structure.

The Task Force recommends the establishment of a regional structure, stressing the following:

- . multi-functional headquarters management with a reasonable span of control for executive management, thereby effectively flattening the organization;
- . delegation of decision making authority to the field level, i.e., placement of functional program authority in field operations;
- . decentralized administrative service functions; and
- . programmatic responsibility for both institutions and paroles within each region, with balanced inmate and parolee populations within each region.

A proposed model for regionalization of CDC is included as an appendix to the report.

ORGANIZATIONAL TASK FORCE REPORT

I. INTRODUCTION

The February 1988 Administrative Planning Session identified the need to review the California Department of Corrections (CDC) organizational structure. In response, Director James Rowland established the Departmental Task Force on Organizational Structure in January 1989. The Director emphasized his interest in improving decision-making processes, information sharing on decisions and communications between field and headquarters. Director Rowland further asked the Task Force to review the issues of management accountability and functional supervision.

The Organizational Task Force is comprised of seven Wardens and two Regional Parole Administrators. The Task Force studied a prior two-phased reorganization effort urged by Robin J. Dezember, then Undersecretary of the Youth and Adult Correctional Agency (YACA), carried out from early 1983 through late 1985. Phase I of this prior effort focused on Central Office reorganization. Phase II focused on the field structure of the institutions and parole regions.

As a result of Phase I, which identified 14 main issues, several organizational changes were made in Central Office and the Management Information Systems (MIS) Committee was formed. Phase II began in early 1985. Eighteen critical issues were identified which stressed the need for improvements in communications and systems improvements to eliminate bottlenecks between field and Central Office. Phase II included a review of the organization structure of the correctional systems of Illinois, New York, Florida and the Federal Bureau of Prisons. The Phase II steering committee discussed four general organizational approaches as a possible foundation for alternative field structure for California, stressing local autonomy versus Central Office control.

II. FINDINGS

A. *Overview of Findings*

The Organizational Task Force concluded that the issues and problems identified in Phase I and II still existed to some degree; although many operational and systems improvements had been implemented in response to them. The Task Force focused their efforts on uncovering the common theme which ran throughout the problems.

Five primary issues or problems were identified by the Task Force:

1. **COMMUNICATIONS:** The Task Force recognizes that the Department of Corrections, like any large complex organization, has continuing needs to improve channels of communication. The need to quickly communicate critical information, policies and important decisions around the Department becomes all the more important as the Department continues to grow at unprecedented rates. The Department could make substantial improvements in communications by making better use of state of the art technology and computers. Improved technology could enhance the ability of top management to gain field input into important decisions.

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A centralized computer based clearinghouse for information requests should be established. This operation could alleviate the problem of various divisions, parole regions and institutions duplicating work efforts to gather information.

A Master Plan, similar to that used to address the new prison construction program, should be adopted by the Department to address our Management Information System.

2. PERSONNEL ISSUES: Disparity in pay between Unit 6 and other employees has made it difficult to recruit and retain ancillary employees. The Department should consider developing new classifications such as Correctional Cook I. Such a classification should recognize their responsibility for supervising inmates, maintaining security and discipline of inmates. Pay disparity should also be addressed in the correctional case records series, to recognize the degree of knowledge, skill and precision required in this series.

3. DEVELOPMENT OF STANDARDS VERSUS CENTRALIZATION: The Task Force felt that many functions currently managed by Central Office could be better managed by the field if clear standards were developed. Operational standards which provide guidance to the Wardens and Regional Administrators could result in such issues as the hiring process, adverse actions and budget management being performed in shorter time frames without sacrificing quality.

4. MANAGEMENT OF CHANGE: The Task Force recognized the evolving role of the Department in the criminal justice system and the fact that the Department is taking a more involved and pro active role. It is critical that during times of growth and change staff energy remains focused. Taking on one or two major program initiatives is preferable to scattering staff energy among many.

The Task Force also strongly recommends that Executive Staff consider adopting a five to eight year Master Plan to help guide the operation and evolution of the Department. Such a Master Plan would materially assist the Department in organizing sound responses to the challenges facing the Department.

5. REORGANIZATION - REGIONALIZATION: The Task Force recommends that in the long term the Department adopt a regionalized organizational structure. It was also noted that in June 1985, the final report of the Steering Committee subgroup which reviewed the organizational structure of four other correctional systems recommended considering:

"The establishing of a regional structure with the development of a phase-in or pilot plan to ensure:

- . more field visibility of Departmental management.*
- . bringing the decision making authority to the field level.*

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- . *better representation of institutions needs on an individual basis.*
- . *decentralized administrative service functions.*
- . *functional program authority in field operations.*
- . *reasonable span of control for executive management.*

The process of implementing a regional-type modification of the Departments organization structure must be reinforced by total executive management commitment to this form of decentralization in order to ensure a successful transition. A key element will be clear delegation of line authority to the regions for certain Central Office functions."

The Task Force noted that CDC's existing centralized organizational structure does not facilitate the task the Department has before it. A political environment is emerging in which the need to use prisons to house all offenders, particularly short term inmates, is being questioned.

There is a resurgence of discussion focusing on programs and alternatives to incarceration. Community partnerships are being explored to handle the short term inmate and parole violator bed needs now taxing the Department's resources. The Department must prepare for the challenge of bringing corrections to the local community level in response to continued population growth.

To assist Central Office in continuing to provide the leadership and support required for rapid expansion, the organizational structure must become more streamlined and responsive to the individual needs of the field. This requires a re-evaluation of functions and their purpose within the overall organizational structure.

Decentralization to allow greater decision-making authority at the local level appears desirable. As more institutions have "come on line", the span of supervision in CDC's Central Office has increased geometrically. Like any other large organization which embarks upon an era of rapid expansion, CDC is beset with greater vertical and horizontal communications problems. The creation of new Central Office staff positions have satisfied immediate needs in the units where they have been added. However, new positions and functions have been created without full consideration of how they fit into the overall organization. This has the effect of creating "bureaucratic sprawl." This fragmented style makes it difficult for the field to identify the appropriate decision makers, and disenfranchises field staff feel from feeling responsible and a part of the decision making process.

Task Force members generally agreed that a regional structure could achieve the needed streamlining and decentralization. However, some Task Force members expressed concern that regionalization might merely add another layer of bureaucracy. Others speculated that California's large population, urban problems, full-time Legislature and the demands of the overall state government bureaucracy might impact regionalization. To gain insight into the problems CDC might face in adopting a regional structure, two Task Force representatives, Wardens Bill Bunnell and Dan Vasquez, visited the states of Georgia and Florida. These two states have regional management structures of their correctional systems.

and Dan Vasquez, visited the states of Georgia and Florida. These two states have regional management structures of their correctional systems.

B. Review of Georgia and Florida Correctional Systems

Georgia

The State of Georgia is essentially a rural State, divided into 159 counties. The annual budget of the correctional system in Georgia is now \$500 million or \$13,000 per inmate per year.

The Georgia penal system is responsible for 25 institutions and 30 county correctional institutions distributed among four regions. The 25 institutions house 16,700 state prisoners. The county correctional facilities collectively house 2,900 inmates. Each region has eight existing or planned institutions under the supervision of a District Director and an Assistant District Director. A State Supervisor with two Assistant Regional Supervisors are responsible for supervising the 30 county correctional institutions. In addition, a State Supervisor and an assistant supervise women's programs and transitional programs.

The Georgia Department of Corrections approved regionalization approximately five years ago; however, regionalization was only implemented about one and one-half years ago. What is noteworthy in the Georgia correctional system under regionalization is a relatively flat organization in comparison to CDC (see Appendix A, Chart 1). In concept, Georgia's organization is a system designed to be managed through regionalization.

Georgia has had difficulty bringing regionalization from a concept to reality. The regionalization effort is still in the infant stage due to reluctance of its headquarters to put aside "turf ownership" and to delegate decision making. Functional regionalization, i.e., pushing down the authority for decision making to streamline the process, is not complete. Regional administrators continue to experience frustration due to the lack of progress of further regionalization. However, headquarters and the regions appear to share equally in the failure to decentralize the decision making process in Georgia. The Corrections Commissioner had failed to make a decision to regionalize the rest of the Department beyond allowing the current Deputy Commissioner of Operations to regionalize his division.

Florida

Florida is the fourth largest state. Its population is approximately 12.4 million permanent residents, plus another 12 million transient population of retirees ("snowbirds") and tourists. This population is largely urban, represented by a diverse range of cultural groups spread over 67 counties. Florida, like California, is experiencing a prison population explosion. The following excerpt taken from a Florida Department of Corrections (DOC) publication entitled, "*Legislative Informational Manual*," dated September 1989, exemplified the prison population problems faced by Florida.

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"...Current funding will expand the prison system to 50,021 beds by September 1991, but even that will not be enough. The Criminal Justice estimating conference forecasts that without additional early release programs the prison population will reach 86,479 by June 1991 and 156,000 by 1995..."

The correctional system in the State of Florida was regionalized 15 years ago. Until 1975, the Florida correctional system was a division under the Department of Health and Rehabilitative Services. In 1975, Florida enacted legislation to create the new DOC, also mandating that correctional services be carried out by five regions.

These five regions divided the State of Florida, each to be administered by a regional director. In 1976, the DOC was implemented as mandated by the Florida Legislature. The new Department also assumed responsibility for probation and parole services in district offices within the jurisdiction of each of the five regional directors. Formerly, probation and parole services had been the responsibility of circuit offices. Within each region, a Probation and Parole Services regional administrator is responsible for administering felony probation and parole services. Collectively, these administrators are responsible for all felony probation and parole services for the Department.

Florida's path to regionalization was not without problems. During the review of Florida's system, Task Force representatives conducted extensive interviews with a good cross section of departmental executive staff. Several staff members who had many years of Florida DOC services offered an interesting historical anecdote about the 1975 Florida legislative action. They described the accompanying legislation which required a regionalized DOC in Florida as a political move intended to wrest departmental control from former Florida Corrections Secretary Louie L. Wainwright.

It is an unenviable position for any organization to have massive organizational change thrust upon it by an outside entity, as was the case for the Florida DOC. Former Secretary Wainwright commented on a positive element in the 1975 legislation which established regionalization in his 1975/76 fiscal year annual report: *"It was the intent of the Legislature that the Department plan and administer its program for correctional services through these service regions...and to bring Corrections closer to local communities..."*

Nearing the end of his tenure, in his last annual report for 1979/80, former Secretary Wainwright made the following positive comment about decentralization: *"...The primary advantage in regionalization has been the opportunity to decentralize departmental operations to a logical more manageable level..."*

In reviewing Florida's history, it was clear that regionalization was difficult to implement because of the reluctance of management to accept the concept. As in Georgia, there were problems decentralizing decision making to match realistically and effectively the responsibility given to the regions. Some controversial issues regarding regionalization still exist, as reflected in the differing opinions expressed by two current members of Florida's headquarters executive staff on the issue of authority and its delegation. The Assistant Secretary for Operations expressed the opinion that regional directors should be elevated to be part of the Secretary of Corrections' executive staff. Another Executive Deputy Secretary expressed an

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opposing view on this subject. He believed that being part of the Secretary's executive staff would risk too close an identification for the regional director with central office politics. He felt that the regional directors have to be field oriented to ensure their primary advocacy is the field.

Despite the political environment in which it was originally implemented, it is clear that a regionalized form of correctional management is well established and functioning effectively in Florida today. Overall, the Task Force representatives found overwhelming current support for regionalization in the State of Florida from the present Secretary of Corrections down through the ranks of regional directors, wardens and central office management.

Since regionalizing, Florida has developed extensive community programs and alternatives to incarceration. The correctional system of Florida has achieved a unique and desirable position in the field of corrections. The system has brought correctional services to the community in a way that makes the community part of the search for solutions and a partner in managing its citizenry who have become enmeshed in the criminal justice system. Florida has, with community support, led the nation in the practice of alternatives to incarceration. Describing a diversion project, one administrator in the Florida DOC stated, *"We have the Florida equivalent of ten prisons walking around the community with 9,222 clients on community control supervision."*

Regionalization is the primary reason for the large expansion of community-based programs and alternatives to incarceration developed in Florida. A community-based system could not have been organized or administered in Florida by a centralized bureaucracy. Florida has over 90,000 inmates on probation and parole versus 38,000 incarcerated inmates, and appears far better prepared to cope with its growing population of offenders than California.

Florida provides proof that a large correctional system can function effectively under a decentralized or regionalized management structure. Florida DOC management advised the Task Force representatives about two potential problems which California should consider if a regional structure is adopted.

One problem is limited resources, which are not new, or unique, to Florida. One headquarters executive estimated that 50 percent of new legislation affecting the Department was not funded. The Deputy Secretary cautioned that when planning decentralization, care must be taken so that regionalization does not simply add another layer of bureaucracy. He added that to avoid this problem there must be assurances that decision making is clearly given to the regional director and, therefore, to the wardens.

Florida's Region II illustrates another pitfall to regionalization, that is, continued departmental growth. Region II was described as the largest region in prison facilities and prison population which includes community correctional centers and probation and parole. A significant fact is that the region has grown from five institutions to 20 institutions. Communications and decision making were described as "bogged down." The advice the Task Force received was to recognize growth, to quickly and effectively deal with it, and to avoid the assumption that the existing organizational structure can handle the additional administrative responsibility.

III. COMPARISON OF FLORIDA AND CALIFORNIA

The historical picture of the Florida correctional system can provide our Department with valuable insight should our Department decide to regionalize. In contrast to Georgia and in similarity to California, Florida is not rural but largely urban in nature. It also shares with California the resultant social problems of ever increasing crime and drug abuse, and has a diverse range of cultural groups spread over a large landmass. Florida has 67 counties; California has 58 counties. In similarity to California's correctional system, Florida's system has also experienced significant legal challenges by client special interest groups.

These similarities highlight the differences in organizational style. Appendix A, Chart 2, shows CDC's current organization. Comparing this chart to the CDC chart for 1979 (Appendix A, Chart 3), the bureaucratic sprawl is apparent. California has gone from a flat organization to an organization with expansive layers of authority. By comparison, the current Florida DOC organization chart (Appendix A, Chart 4) reflects an organization that has experienced massive growth and at the same time has maintained a flat organization through the use of regionalization.

Florida's headquarters is staffed with 375 employees versus CDC's headquarters staff of 1,444 employees. In Florida, four Assistant Secretaries manage all aspects of the Department at headquarters level.

Florida's headquarters organization achieves integration of personnel by utilizing a multi-functional management structure, i.e., one in which all similar functions are grouped under the same manager. This structure allows for a flattened organization and greater efficiency in the use of staff resources and management of programs.

The Florida Assistant Secretary for management and budget represents the Florida DOC in all personnel matters, budget management and evaluation. Personnel functions include collective bargaining, recruiting, classification and pay programs. Budget management and evaluation include coordination of statewide legislative and operation budget requests, disbursement of funds, finance and accounting and facility services.

In CDC, issues related to personnel management fall under the responsibility of three separate offices: the Office of Labor Relations; the Office of Affirmative Action; and Human Resources Management within Administrative Services Division. Two Assistant Directors and one Deputy Director have personnel management responsibilities.

Matters of budget and management evaluation, finance and accounting, and facilities services fall within the responsibility of three separate Deputy Directors in CDC. These responsibilities fall within the Administrative Services Division, Institutions Division and Planning and Construction Division. This adds to the problems of fragmentation and bureaucratic sprawl. The California system shows a lack of empowerment in that no one manager has total responsibility for all aspects of a specific issue, for example, personnel.

IV. BENEFITS TO CALIFORNIA OF REGIONALIZATION

The future of corrections in the decade of the nineties will demand much change. The Task Force concluded that regionalization is a viable form of managing the rapidly expanding Department, and in fact is the only way to ensure a manageable span of control as the Department continues to grow.

Regionalization will enable the Department to plan for unique correctional populations. For example, Los Angeles and Ventura Counties account for nearly 45 percent of our prison population. In addition, 41 percent of our current parole population is concentrated in these two counties. A regionalized system would empower regional managers to work with the community to plan and develop community based programs commensurate with the area's problems and resources.

Regionalization would allow the Department to develop an organizational structure that promotes flexibility. Planning administrative responsibilities for institutions and parole offices in the regions would allow critical decisions affecting these entities to be made more quickly with increased input and responsiveness. The Department has underway three major efforts--an evaluation of the warehouse and inventory system, a study of the inmate and parolee transportation system and a review of all automated systems that will consider major restructuring of these functions. Regional approaches to some of these operations may be recommended. Planning for a regional departmental structure needs to begin immediately to provide a broader framework for coordinating changes in these areas.

Correctional leadership and practitioners can expect a constituency demanding performance accountability as larger revenue expenditures are required. A regionalized style of management increases communication at the local levels, encouraging dialogue between the community and the institutions. Also, it affords all involved the opportunity to effect change within their own communities responsive to the unique needs of their area.

The responsibility of the Central Office staff under the leadership of the Director of Corrections should be to interface with the control agencies and Legislature. Central Office would concentrate on securing the necessary resources, fiscal or staffing authorization to enable the field to carry out the correctional policy of the Director and laws enacted by the Legislature.

Based on the experience of Georgia and Florida, decentralizing decision making to match realistically and effectively the responsibility given to the regions would be critical to successful implementation of a regional structure. Headquarters must actively push down decision making responsibilities to the regions and regional administrators must be willing to assume this responsibility. Also, the regionalization plan needs to consider how to accommodate continued growth.

It is to be expected that some individuals will be pessimistic that regionalization will merely add another layer of bureaucracy. Since no pure form of a management structure exists, it is possible that these individuals would not have their concerns resolved by any organizational structure. Any management structure reflects a human organization. Thus, it should reflect the insight and long range vision of those who command the material and human resources to accomplish goals and objectives through the operational policy.

V. RECOMMENDATION

Establish a regional structure, stressing the following:

- multi-functional headquarters management with a reasonable span of control for executive management;
- delegation of decision making authority to the field level, i.e., placement of functional program authority in field operations;
- decentralized administrative service functions; and
- programmatic responsibility for both institutions and paroles within each region, with balanced inmate and parolee populations within each region.

Appendix B contains a proposed model for regionalization of the Department of Corrections. This proposal has been drafted for the purpose of introducing the concept of regionalization in greater detail. The proposal anticipates dividing the state into five regions. Maps are provided which show the counties, institutions and parole offices within each proposed region. The proposal includes detail on the current and proposed inmate population and the parole population as of November 30, 1989 in each regional area.

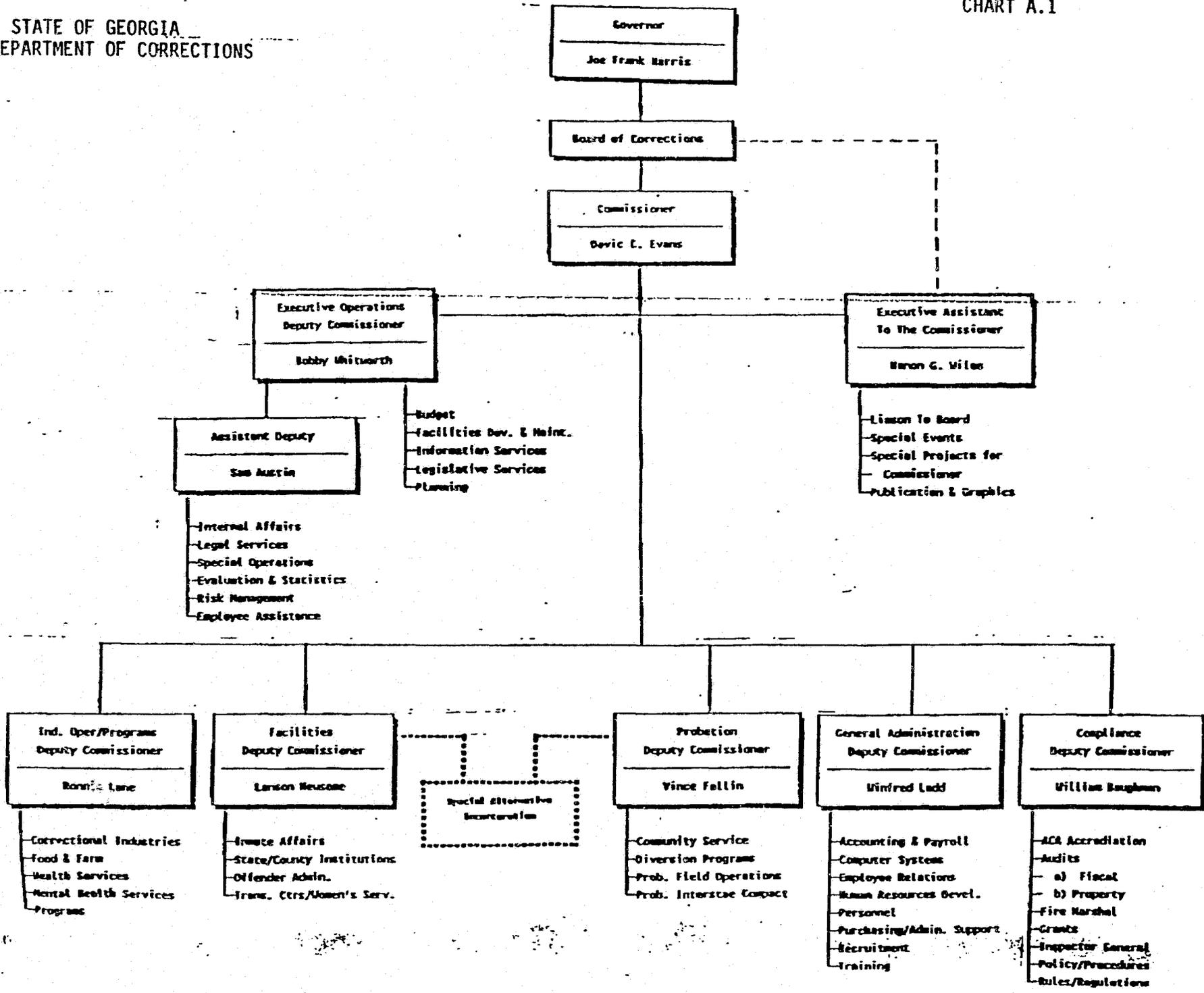
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APPENDIX A

CHARTS

STATE OF GEORGIA
DEPARTMENT OF CORRECTIONS

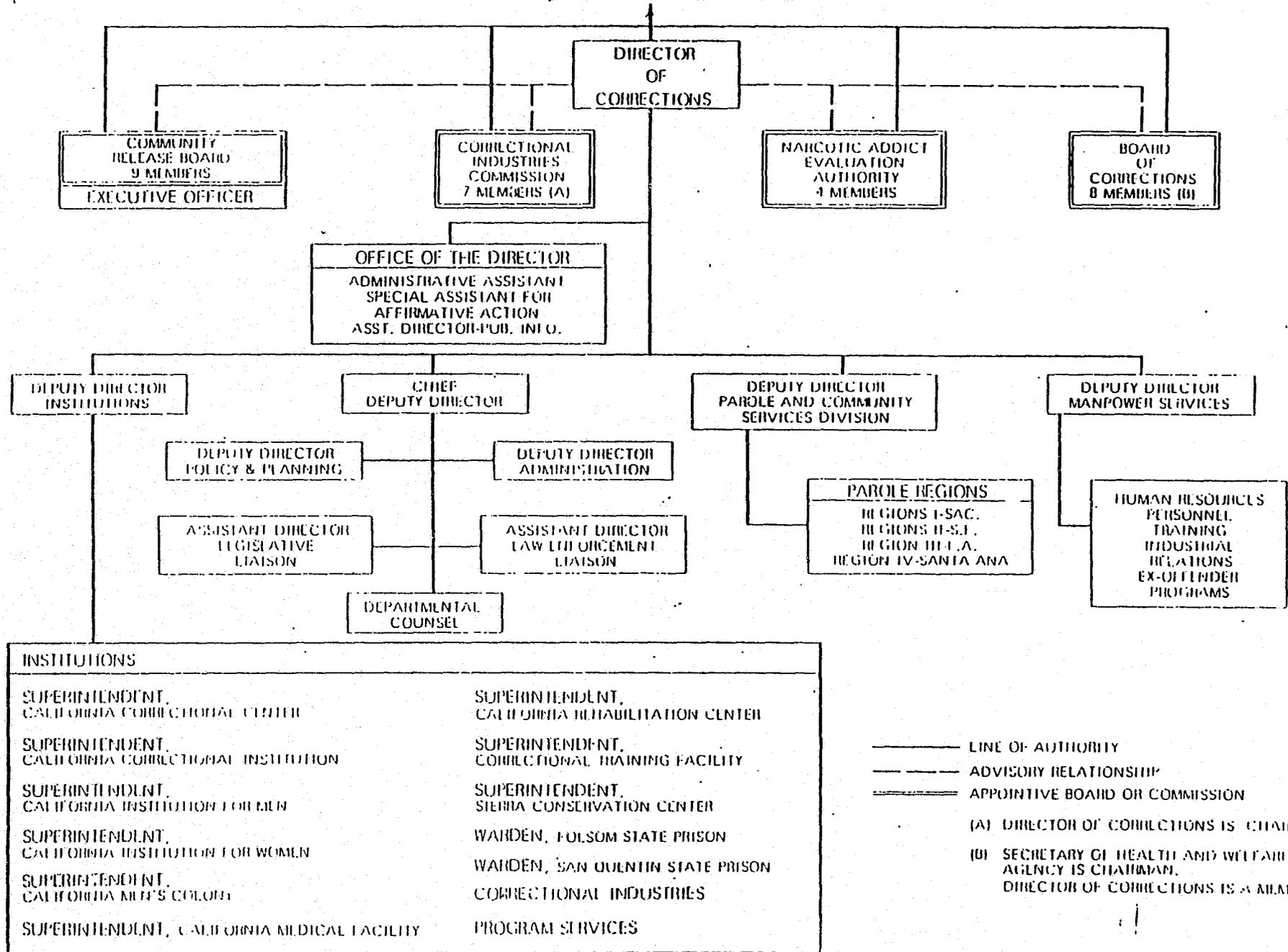
CHART A.1



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DEPARTMENT OF CORRECTIONS JANUARY 1979

SECRETARY, HEALTH AND WELFARE AGENCY

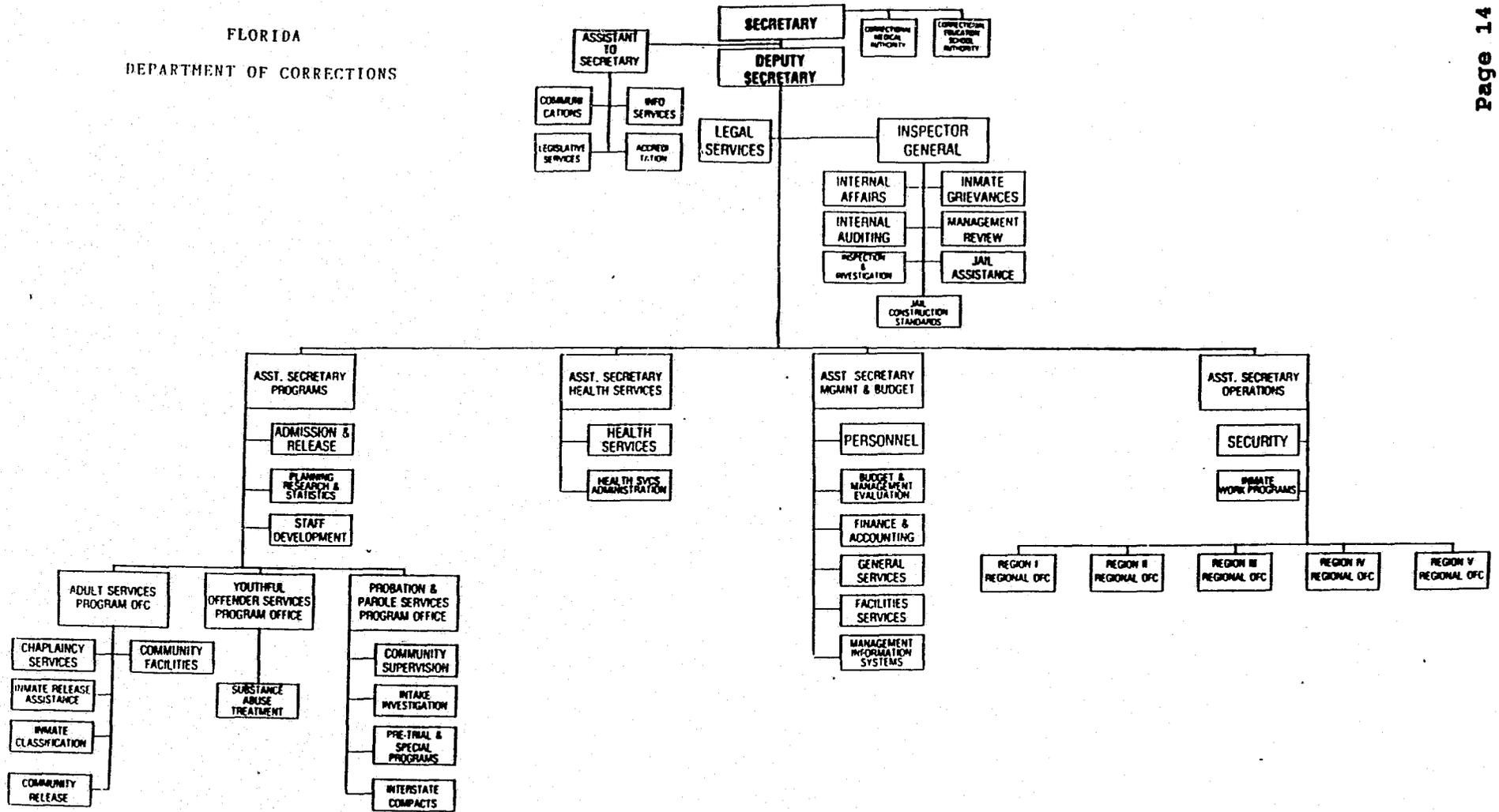


DEPARTMENT ORGANIZATION CHART

CHART A.4

FLORIDA
DEPARTMENT OF CORRECTIONS

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APPENDIX B

**A PROPOSAL FOR REGIONALIZATION
OF CORRECTIONS IN CALIFORNIA**

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The following proposal reflects one example of how regionalization could work in the California Department of Corrections (CDC). To envision the proposed regional management structure requires a radical rethinking of current headquarters responsibilities.

CDC is now managed from one central point. Headquarters management is expected to have a global viewpoint of all institutions and parole offices and to be capable of making decisions that affect the day-to-day operations of those facilities. The practical reality is that the State of California is divided into 58 counties. Each county is affected by the Department either through paroles or the existence of one or more institution. Resources problems and the political and economic structure differ in each of the 58 counties. As a result of the unique circumstances of each area, efforts by the Department to standardize programs and procedures for institutions and parole offices have had limited success.

Functional regionalization would require a new style of management. The effort would not be to manage from a command center, but to manage from strategically located regional offices. Regional managers would organize their efforts to meet departmental goals while remaining responsive to the uniqueness of their region. Through this system, the Department could better utilize local resources and gain greater community support. This style of management would result in a more focused understanding of problems, resources, solutions and goals.

The proposed organization charts for CDC (Charts B1 and B2) demonstrate a flattened management structure in comparison to the Department's current

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organization. This proposed flattened organizational structure was achieved by combining like areas of responsibility under one manager, in a multi-functional approach. The multi-functional approach would increase efficiency while decreasing duplication of efforts and fragmented management, resulting in more consistent and timely policy decisions. By pushing down the decision-making authority for the implementation of policy and programs to the regions, Central Office could efficiently and effectively manage the Department under this proposed organization.

Five geographical regions are proposed. Chart B3 is a map showing the geographical areas and administrative data for these regions. Correctional institutions, community based facilities and parole offices would be administered through the five regions. Each region would be headed by a regional director who would supervise the activities of the warden of each institution, the director of community facilities and the regional parole administrator. The regional director would be responsible for financial administration and personnel management within his/her region and for ensuring that departmental policies are carried out and standards are met.

Each regional office would coordinate its institutional and parole activities in accordance with standard departmental policies and directives. In addition, it would perform personnel management activities to include maintenance of personnel files and related records for institution and parole employees. Regional offices would maintain property accounting records, document all property transactions and maintain property management and control. The regional

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offices would also prepare and submit regional budgets, monitor operating accounts and expenditures and supervise regional fund allocations and releases.

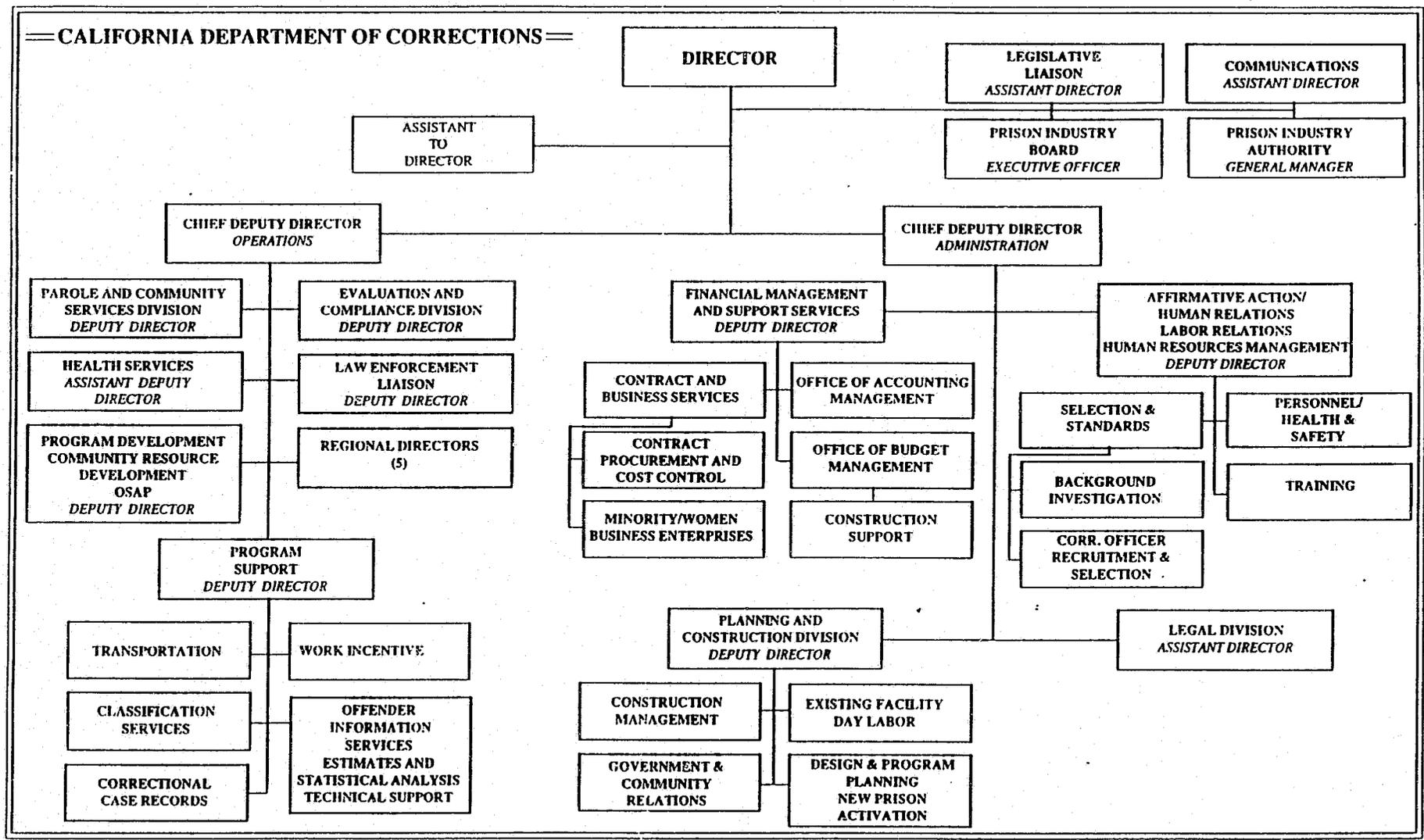
Charts B4, B5, B6, B7 and B8 are maps showing the counties, institutions and parole offices within each of the five proposed regions. Detail is provided on each map on the number of facilities of each type in each region. Tables which show the general population within each region by county, the current and proposed inmate population, and the parole population as of November 30, 1989 are also included for each regional area.

In developing the five regions, effort was made to maintain a balanced inmate and parole population. Proposed Regions II, III and IV have similar inmate populations divided among six or seven institutions per region. These three regions contain relatively low numbers of parolees in comparison to Region I and Region IV.

Proposed Region I with four institutions would be responsible for approximately 21,000 inmates as well as 28 parole offices servicing over 12,000 parolees. The combined total of approximately 33,500 inmates and parolees for Region I is approximately equal to the total populations proposed for Regions II, III and V.

Proposed Region IV is by comparison light in institutions and inmate population but extremely heavy in parole services. It is anticipated that this region, consisting of Ventura and Los Angeles Counties, would focus its effort on parole services and community partnerships.

CHART B1
PROPOSED CENTRAL OFFICE ORGANIZATION



== CALIFORNIA DEPARTMENT OF CORRECTIONS ==

DIRECTOR

LEGISLATIVE LIAISON ASSISTANT DIRECTOR

COMMUNICATIONS ASSISTANT DIRECTOR

ASSISTANT TO DIRECTOR

PRISON INDUSTRY BOARD EXECUTIVE OFFICER

PRISON INDUSTRY AUTHORITY GENERAL MANAGER

CHIEF DEPUTY DIRECTOR OPERATIONS

CHIEF DEPUTY DIRECTOR ADMINISTRATION

PAROLE AND COMMUNITY SERVICES DIVISION DEPUTY DIRECTOR

EVALUATION AND COMPLIANCE DIVISION DEPUTY DIRECTOR

FINANCIAL MANAGEMENT AND SUPPORT SERVICES DEPUTY DIRECTOR

AFFIRMATIVE ACTION/HUMAN RELATIONS HUMAN RESOURCES MANAGEMENT DEPUTY DIRECTOR

HEALTH SERVICES ASSISTANT DEPUTY DIRECTOR

LAW ENFORCEMENT LIAISON DEPUTY DIRECTOR

CONTRACT AND BUSINESS SERVICES

OFFICE OF ACCOUNTING MANAGEMENT

PERSONNEL/HEALTH & SAFETY

PROGRAM DEVELOPMENT COMMUNITY RESOURCE DEVELOPMENT OSAP DEPUTY DIRECTOR

REGIONAL DIRECTORS (5)

CONTRACT PROCUREMENT AND COST CONTROL

OFFICE OF BUDGET MANAGEMENT

SELECTION & STANDARDS

PROGRAM SUPPORT DEPUTY DIRECTOR

MINORITY/WOMEN BUSINESS ENTERPRISES

CONSTRUCTION SUPPORT

BACKGROUND INVESTIGATION

TRAINING

TRANSPORTATION

WORK INCENTIVE

PLANNING AND CONSTRUCTION DIVISION DEPUTY DIRECTOR

LEGAL DIVISION ASSISTANT DIRECTOR

CLASSIFICATION SERVICES

OFFENDER INFORMATION SERVICES ESTIMATES AND STATISTICAL ANALYSIS TECHNICAL SUPPORT

CONSTRUCTION MANAGEMENT

EXISTING FACILITY DAY LABOR

CORRECTIONAL CASE RECORDS

GOVERNMENT & COMMUNITY RELATIONS

DESIGN & PROGRAM PLANNING NEW PRISON ACTIVATION

== CALIFORNIA DEPARTMENT OF CORRECTIONS ==

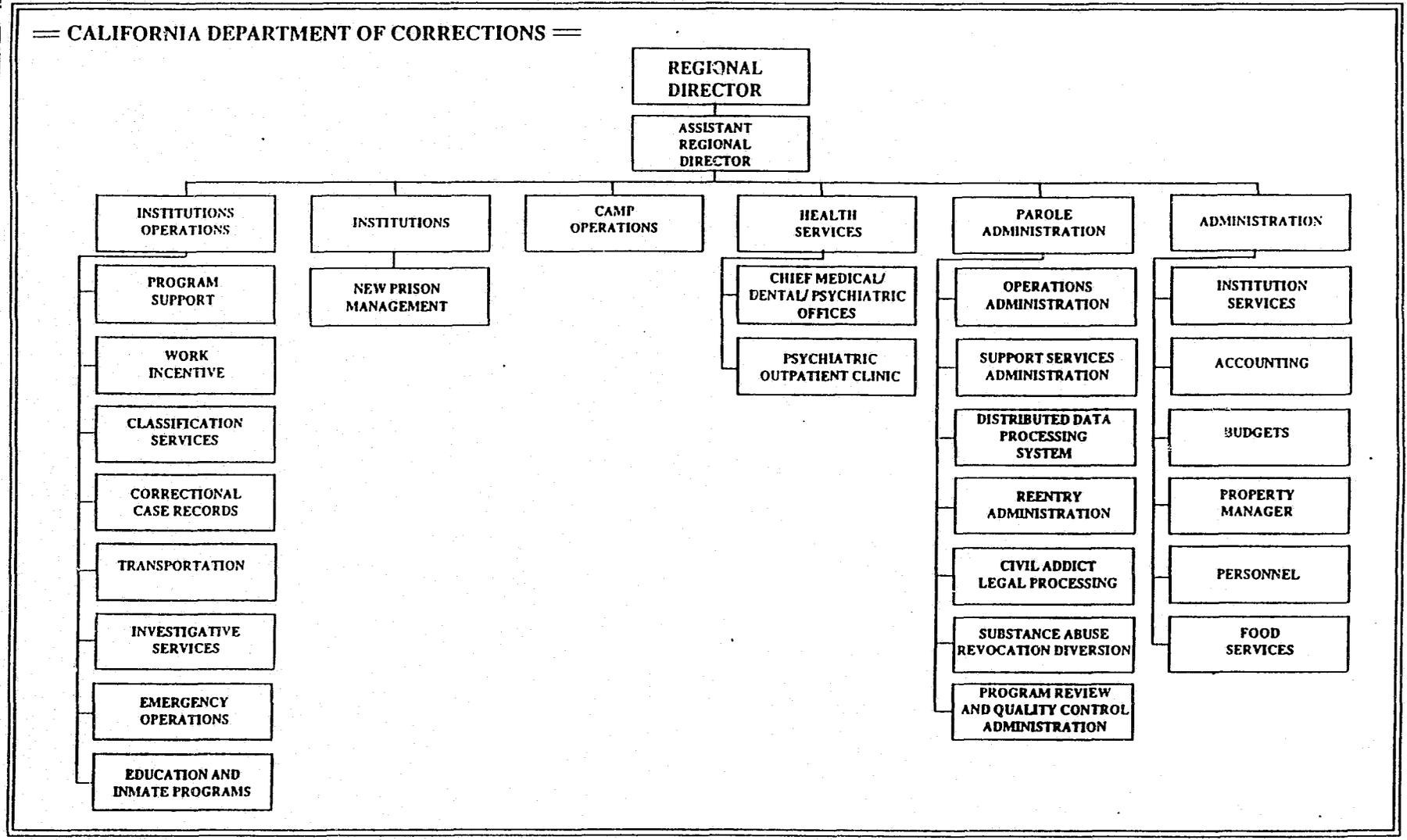


CHART 'B2
PROPOSED REGIONAL OFFICE ORGANIZATION

== THE REGIONS: GEOGRAPHICAL LOCATIONS AND ADMINISTRATIVE DATA ==



REGION I	
<i>Institutions</i>	- 4
<i>Parole Offices</i>	- 28
<i>Inmates</i>	- 21,099
<i>Parolees</i>	- 12,317



REGION II	
<i>Institutions</i>	- 7
<i>Parole Offices</i>	- 12
<i>Inmates</i>	- 28,981
<i>Parolees</i>	- 5,141



REGION III	
<i>Institutions</i>	- 7
<i>Parole Offices</i>	- 12
<i>Inmates</i>	- 25,615
<i>Parolees</i>	- 5,227

REGION IV	
<i>Institutions</i>	- 2
<i>Parole Offices</i>	- 40
<i>Inmates</i>	- 7,330
<i>Parolees</i>	- 22,448



REGION V	
<i>Institutions</i>	- 7
<i>Parole Offices</i>	- 18
<i>Inmates</i>	- 29,143
<i>Parolees</i>	- 9,493

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TABLE 1
POPULATION¹ BY PROPOSED REGION

REGION I	=	7,144,125
REGION II	=	2,937,990
REGION III	=	2,122,500
REGION IV	=	9,303,900
REGION V	=	<u>7,153,700</u>
TOTAL STATEWIDE POPULATION	=	28,662,215

¹Population as of January 1, 1989.

TABLE 2
REGIONAL STAFFING CAPACITY² - INSTITUTIONS AND PAROLES

Region I	-	Institutions	20,040	+	1,059 (Pelican Bay at 190%)
		Paroles	<u>12,317</u>		
			32,357		(33,416)
Region II	-	Institutions	27,721	+	1,260 (Madera at 190%)
		Paroles	<u>5,141</u>		
			32,862		(34,122)
Region III	-	Institutions	25,615		(includes Coalinga)
		Paroles	<u>5,227</u>		
			30,842		
Region IV	-	Institutions	3,858	+	3,472 at 190%
		Paroles	<u>22,448</u>		
			26,306		(29,778)
Region V	-	Institutions	23,427	+	3,974 (Imperial North & South at 190%)
				+	1,742 (C.S.V.P.)
		Paroles	<u>9,493</u>		
			32,920		(38,636)

²The level of inmates for which the institution has staff to handle.

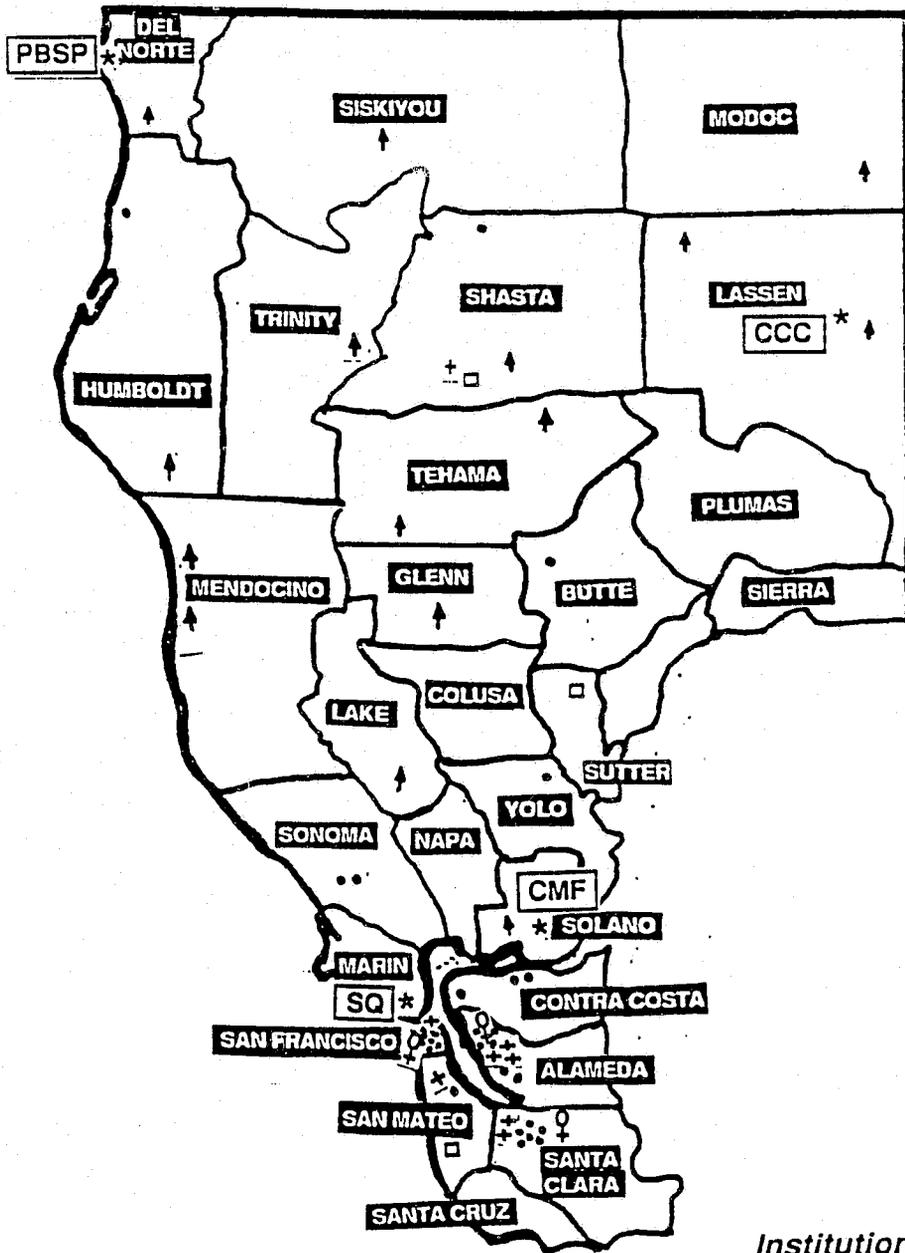
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Total additional staffing capacity at 190% for new prisons = 11,507.

54,626	Parole numbers as of November 30, 1989
112,168	Institution staffing capacity as of November 26, 1989 (includes 190%)

CHART B4

== REGION I ==



- * - Institutions
- - Parole Offices
- ↑ - Conservation Camps
- + - Work Furlough Facilities
- - RTC Facilities
- ♀ - Prisoner Mother Facilities

<i>Institutions</i>	-	4
<i>Parole Offices</i>	-	28
<i>Conservation Camps</i>	-	15
<i>Work Furlough Facilities</i>	-	8
<i>Return-To-Custody Facilities</i>	-	3
<i>Prisoner Mother Facilities</i>	-	3
<i>Total Inmate Population</i>	-	21,099
<i>Total Parolee Population</i>	-	12,317

== BAY AREA COUNTIES ==



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REGION I

The northernmost region, extending from Del Norte County south to Santa Cruz County, and east to Sierra County, Region I would encompass 52,690 square miles in its 28 counties and is home to 7,144,125 people. Its economic diversity is apparent when one considers that the counties with the top five per capita incomes as well as four of the bottom five are in this region.

The parolee population in this area as of November 30, 1989, numbered 12,317 or 22.5 percent of the state's total. The San Francisco Bay Area counties of Alameda, Contra Costa, Santa Clara and San Francisco accounted for 9,096 or 73.8 percent of this total, or 16.7 percent statewide. Twenty-eight parole offices³ supervise this population. Paroles also provides supervision for three Prisoner Mother facilities⁴, with a total bed capacity of 42, and eight Work Furlough Facilities⁵, housing 211. Three Return-To-Custody (RTC) facilities⁶, with a total bed capacity of 203, are within this region.

³The number of parole offices given in this report is as of August 1989.

⁴The number of Prisoner Mother facilities given in this report is as of September 6, 1989.

⁵The number of work furlough facilities given in this report is as of November 8, 1989.

⁶The number of RTC facilities given in this report is as of September 6, 1989.

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Institutions located in this region are:

Pelican Bay State Prison

California Correctional Center

California Medical Facility

California State Prison, San Quentin

The total staffing capacity for these four institutions is 20,040 plus 1,049 additional if Pelican Bay State Prison is considered at 190 percent.

TABLE 3
POPULATION DEMOGRAPHICS
REGION I

<u>COUNTY/LARGEST CITY</u>	<u>POPULATION</u> ⁷	<u>RANK</u> <u>POPULATION</u>	<u>PER CAPITA</u> <u>INCOME RANK</u>
Del Norte/Crescent City	20,400/ 3,420	49	57
Siskiyou/Yreka	43,750/ 6,825	43	49
Modoc/Alturas	9,375/ 3,020	55	45
Humboldt/Eureka	116,800/ 25,150	31	29
Trinity/unincorporated	14,000/	54	54
Shasta/Redding	143,100/ 59,800	28	35
Lassen/Susanville	28,000/ 7,075	46	55
Mendocino/Ukiah	76,900/ 14,000	37	36
Glenn/Willows	23,600/ 5,300	48	41
Butte/Chico	176,700/ 36,450	25	43
Plumas/Portola	20,050/ 2,160	50	37
Tehama/Red Bluff	47,250/ 12,050	42	53
Sierra/Loyalton	3,600/ 1,180	57	32
Yuba/Marysville	57,300/ 11,850	39	58
Sutter/Yuba City	62,500/ 24,600	38	40
Colusa/Colusa	15,500/ 5,050	52	22
Yolo/Davis	137,000/ 44,250	29	17

⁷Population as of January 1, 1989.

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Lake/Clearlake	52,100/ 10,800	40	48
Napa/Napa	107,600/ 57,900	33	10
Sonoma/Santa Rosa	371,600/111,600	16	9
Solano/Vallejo	321,100/103,300	20	23
Contra Costa/Concord	775,500/110,100	9	4
Marin/Novato	231,900/ 47,500	22	1
San Francisco/same	731,700/same	10	3
Alameda/Oakland	1,252,400/356,300	6	8
Santa Cruz/Santa Cruz	229,900/ 49,800	23	13
San Mateo/San Mateo	632,800/ 85,100	12	2
Santa Clara/San Jose	1,440,900/738,400	4	5

TOTAL POPULATION REGION I = 7,144,125

TABLE 4
 NUMBER OF PAROLES⁸ BY COUNTY OF RESIDENCE AND REGION
 REGION I

<u>COUNTY</u>	<u>PAROLEES</u>	<u>PERCENT</u>
Alameda	2,996	5.5
Butte	347	0.6
Contra Costa	1,013	1.9
Colusa	15	0.0
Del Norte	17	0.0
Glenn	24	0.0
Humboldt	201	0.4
Lake	70	0.1
Lassen	22	0.0
Marin	38	0.1
Mendocino	42	0.1
Modoc	8	0.0
Napa	65	0.1
Plumas	12	0.0
Santa Clara	2,876	5.3
Santa Cruz	84	0.2
San Francisco	2,211	4.0
Shasta	356	0.7

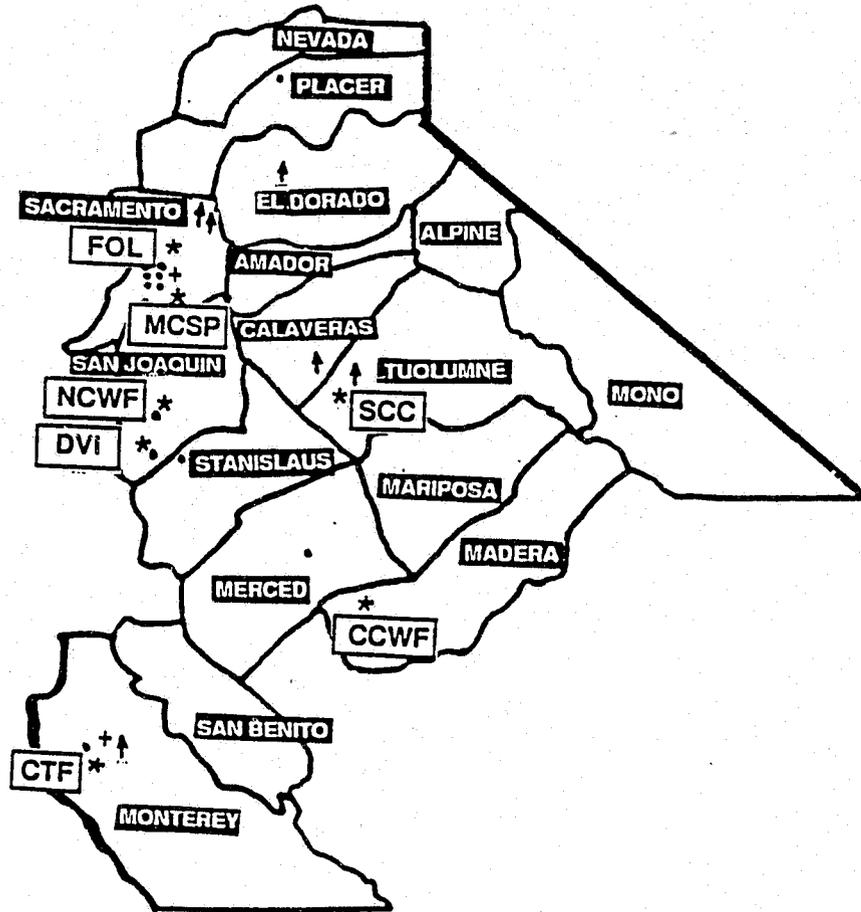
⁸As of November 30, 1989.

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Sierra	1	0.0
Siskiyou	25	0.0
San Mateo	541	1.0
Solano	348	0.6
Sutter	599	1.1
Tehama	61	0.1
Trinity	47	0.1
Yolo	152	0.3
Yuba	<u>141</u>	<u>0.3</u>
TOTAL	12,317	22.5

CHART B5

== REGION II ==



- * - Institutions
- - Parole Offices
- † - Conservation Camps
- + - Work Furlough Facilities

<i>Institutions</i>	-	7
<i>Parole Offices</i>	-	12
<i>Conservation Camps</i>	-	6
<i>Work Furlough Facilities</i>	-	2
<i>Total Inmate Population</i>	-	28,981
<i>Total Parolee Population</i>	-	5,141

REGION II

Extending from Nevada County in the north, south to Monterey County and east to Mono County, Region II would comprise 16 counties with a population of 2,937,990 in its 26,373 square miles.

Population in this region is expected to grow rapidly. Calaveras, Amador and El Dorado Counties rated second, third and fifth in percentage growth rate during 1989.

Institutions in this proposed region are:

California State Prison, Folsom

Mule Creek State Prison

Northern California Women's Facility

Deuel Vocational Institution

Sierra Conservation Center

Central California Women's Facility

Correctional Training Facility

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Total staffing capacity is 27,721 plus 1,260 with Madera at 190 percent. Six conservation camps are within this region.

Paroles in this region number 5,141 with 60.9 percent coming from Sacramento and San Joaquin Counties. Region II represents 8.7 percent of the state's total parolee population. Twelve parole offices, mainly in Sacramento, supervise this population. Two Work Furlough Facilities, housing a capacity of 75 men and nine women and run by Friends Outside, is located in Salinas.

This region is also the location of headquarters.

TABLE 5
POPULATION DEMOGRAPHICS
REGION II

<u>COUNTY/LARGEST CITY</u>	<u>POPULATION⁹</u>	<u>RANK POPULATION</u>	<u>PER CAPITA INCOME RANK</u>
Nevada/Grass Valley	78,800/ 8,825	36	28
Placer/Roseville	160,400/ 37,900	27	14
Sacramento/Sacramento	988,300/339,900	8	16
San Joaquin/Stockton	460,300/192,300	15	38
Stanislaus/Modesto	347,500/152,100	19	39
El Dorado/S. Lake Tahoe	124,100/ 22,050	30	21
Amador/Jackson	29,150/ 3,700	47	8
Calaveras/Angels Camp	32,400/ 2,580	45	52
Alpine/unincorporated	1,190/	58	30
Tuolumne/Sonora	49,000/ 4,560	41	42
Mono/Mammoth Lakes	9,800/ 4,740	56	19
Merced/Merced	173,900/ 53,600	26	47
Mariposa/unincorporated	14,800/	53	50
Madera/Madera	83,800/ 27,300	35	51
Monterey/Salinas	349,300/101,900	17	18
San Benito/Hollister	35,250/ 18,100	44	31

TOTAL POPULATION REGION II = 2,937,990

⁹Population as of January 1, 1989.

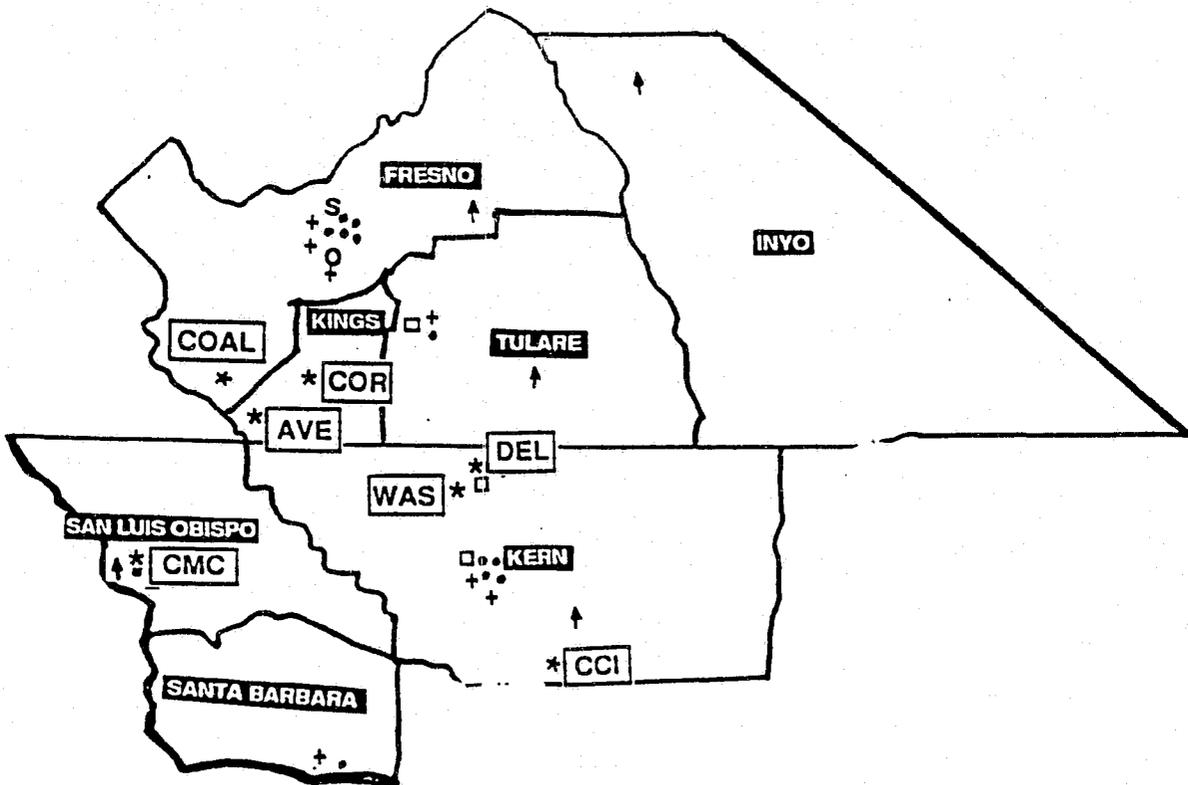
TABLE 6
 NUMBER OF PAROLES¹⁰ BY COUNTY OF RESIDENCE AND REGION
 REGION II

<u>COUNTY</u>	<u>PAROLEES</u>	<u>PERCENT</u>
Alpine	1	0.0
Amador	10	0.0
Calaveras	13	0.0
El Dorado	33	0.1
Madera	153	0.3
Merced	374	0.7
Mono	2	0.0
Monterey	513	0.9
Mariposa	1	0.0
Nevada	22	0.0
Placer	158	0.3
Sacramento	2,090	3.2
San Benito	19	0.0
San Joaquin	1,042	1.9
Stanislaus	684	1.3
Tuolumne	<u>26</u>	<u>0.0</u>
TOTAL	5,141	8.7

¹⁰As of November 30, 1989.

CHART B6

== REGION III ==



- * - Institutions
- - Parole Offices
- ↑ - Conservation Camps
- + - Work Furlough Facilities
- - RTC Facilities
- - Prisoner Mother Facilities
- S - SATU

<i>Institutions</i>	-	7
<i>Parole Offices</i>	-	12
<i>Conservation Camps</i>	-	5
<i>Work Furlough Facilities</i>	-	6
<i>Return-To-Custody Facilities</i>	-	3
<i>Prisoner Mother Facilities</i>	-	1
<i>Substance Abuse Treatment Unit</i>	-	1

<i>Total Inmate Population</i>	-	25,615
<i>Total Parolee Population</i>	-	5,227

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REGION III

This seven county region would extend from Fresno County in the north, south to Santa Barbara County and east to Inyo County. Within its 36,618 square miles live 2,122,500 people.

Primarily agricultural, the counties of Fresno, Tulare and Kern rank first through third by total value of crop production. All counties except Inyo rank within the top 17 crop producers for the state.

Institutions in this proposed region are:

California State Prison, Fresno County near Coalinga

California State Prison, Corcoran

Avenal State Prison

California State Prison, Kern County at Delano

California State Prison, Kern County at Wasco

California Men's Colony

California Correctional Institution

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Staffing capacity is 25,615. There are five conservation camps within this region.

There are 5,227 parolees living in proposed Region III, or 9.6 percent of the state's total. Of this total, 3,627 or 69 percent live in Fresno and Kern Counties, where nine of the 12 regional parole offices are located. The city of Fresno is also the location of a ten bed Prisoner-Mother Program facility. Additionally, within Region III are six Work Furlough Facilities with a total capacity of 149 and three RTC facilities housing a total of 730. CDC's only Substance Abuse Treatment Unit-RTC (SATU) is located in Fresno, with a bed capacity of 50.

Region III now has the smallest population, but the Fresno area is projected to grow significantly. Kings County, with percentage growth of 5.5, was sixth highest in 1989.

TABLE 7
 POPULATION DEMOGRAPHICS
 REGION III

<u>COUNTY/LARGEST CITY</u>	<u>POPULATION¹¹</u>	<u>RANK</u> <u>POPULATION</u>	<u>PER CAPITA</u> <u>INCOME RANK</u>
Inyo/Bishop	18,200/ 3,680	51	24
Tulare/Visalia	300,000/ 68,800	21	44
Kings/Hanford	96,000/ 29,400	34	46.
Fresno/Fresno	621,200/317,800	13	25
San Luis Obispo/same	211,900/ 41,050	24	26
Santa Barbara/same	348,400/ 79,500	18	7
Kern/Bakersfield	526,600/161,800	14	24

TOTAL POPULATION REGION III = 2,122,500

¹¹Population as of January 1, 1989.

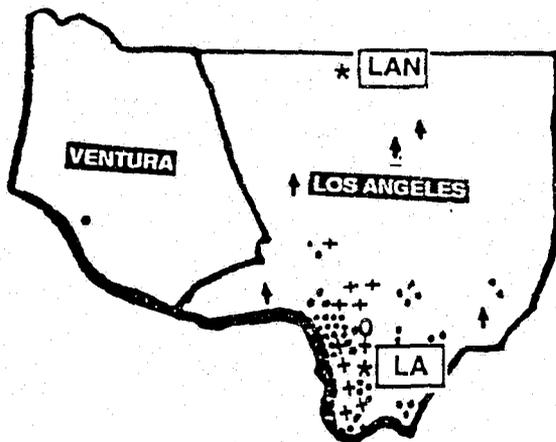
TABLE 8
NUMBER OF PAROLES¹² BY COUNTY OF RESIDENCE AND REGION
REGION III

<u>COUNTY</u>	<u>PAROLEES</u>	<u>PERCENT</u>
Fresno	1,924	3.5
Inyo	6	0.0
Kern	1,703	3.1
Kings	117	0.2
Santa Barbara	412	0.8
San Luis Obispo	387	0.7
Tulare	<u>678</u>	<u>1.2</u>
TOTAL	5,227	9.6

¹²As of November 30, 1989.

CHART B7

== REGION IV ==



*	- Institutions:
•	- Parole Offices
↑	- Conservation Camps
+	- Work Furlough Facilities
⊙	- Prisoner Mother Facilities

<i>Institutions</i>	-	2
<i>Parole Offices</i>	-	40
<i>Conservation Camps</i>	-	5
<i>Work Furlough Facilities</i>	-	10
<i>Prisoner Mother Facilities</i>	-	1
<i>Total Inmate Population</i>	-	7,330
<i>Total Parolee Population</i>	-	22,448

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REGION IV

Los Angeles County ranks first in this state in population. Its 8,650,300 residents exceed second ranked San Diego County by 6,232,100. Because of its uniqueness, it shares Region IV with only one other county, Ventura. Total population for this region is 9,303,900; total square miles equal 5,943.

Two institutions are planned for Los Angeles:

California State Prison, Los Angeles County

California Reception Center, Los Angeles County

When staffed, capacity will be 3,858 plus 3,472 at 190 percent. Five conservation camps are located within Los Angeles County.

Los Angeles County alone accounts for 39.6 percent of the state's parolee population. Combined with Ventura, Region IV parolees total 22,448 or 41.1 percent of the state's total. Forty parole offices supervise this population.

Because of these numbers, emphasis must be placed on expanding parole services to this region, focusing on community based partnerships with agencies capable of providing assistance, particularly in the development of substance abuse programs. One ten-bed Prisoner Mother Facility is located in Los Angeles, contracted by CDC through Watts Health Foundation. Ten Work Furlough Facilities

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are also operational in the cities of Los Angeles, Inglewood, Van Nuys and Long Beach; total capacity is 538.

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TABLE 9
POPULATION DEMOGRAPHICS
REGION IV

<u>COUNTY/LARGEST CITY</u>	<u>POPULATION</u> ¹³	<u>RANK</u> <u>POPULATION</u>	<u>PER CAPITA</u> <u>INCOME RANK</u>
Ventura/Oxnard	653,600/ 128,000	11	11
Los Angeles/Los Angeles	8,650,300/3,400,500	1	12

TOTAL POPULATION REGION IV = 9,303,900

¹³Population as of January 1, 1989.

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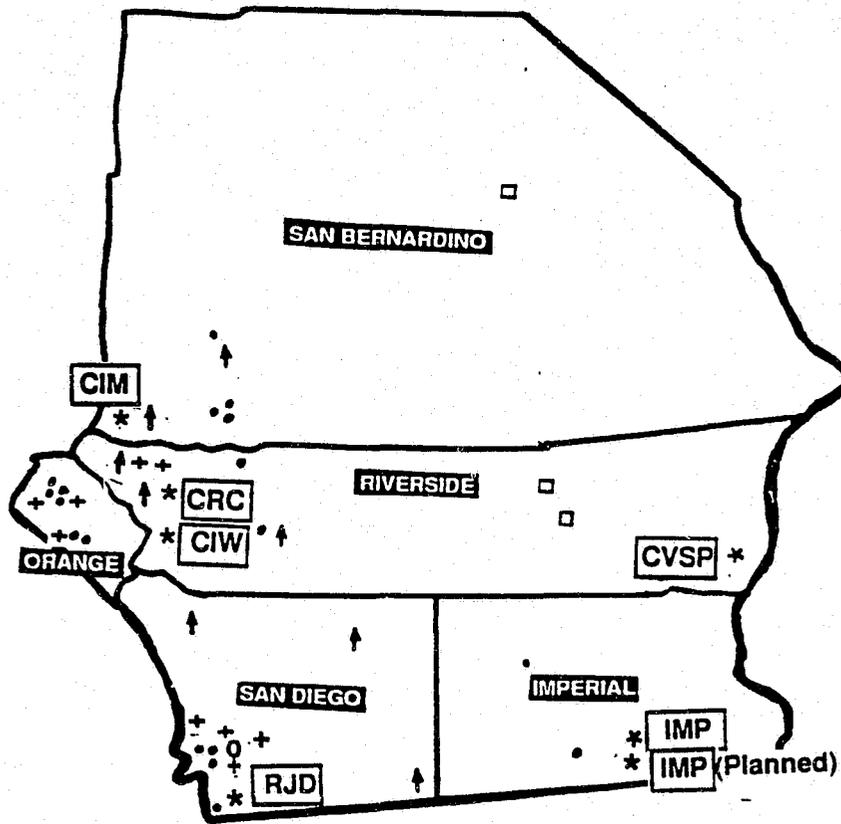
TABLE 10
NUMBER OF PAROLES¹⁴ BY COUNTY OF RESIDENCE AND REGION
REGION IV

<u>COUNTY</u>	<u>PAROLEES</u>	<u>PERCENT</u>
Los Angeles	21,647	39.6
Ventura	<u>801</u>	<u>1.5</u>
TOTAL	22,448	41.1

¹⁴As of November 30, 1989.

CHART B8

== REGION V ==



- * - Institutions
- - Parole Offices
- ↑ - Conservation Camps
- + - Work Furlough Facilities
- - RTC Facilities
- ♀ - Prisoner Mother Facilities

<i>Institutions</i>	-	7
<i>Parole Offices</i>	-	18
<i>Conservation Camps</i>	-	8
<i>Work Furlough Facilities</i>	-	8
<i>Return-To-Custody Facilities</i>	-	3
<i>Prisoner Mother Facilities</i>	-	1
<i>Total Inmate Population</i>	-	29,143
<i>Total Parolee Population</i>	-	9,493

REGION V

The southernmost region, Region V extends from San Bernardino County to the Mexican border. Its five counties are second most populous with 7,153,700 people in its 37,070 square miles. Except for Imperial County, all the counties within this region have over a million residents, with San Diego and Orange Counties numbering over two million each. These four counties are projected to continue great population growth, particularly San Diego. In 1989, the top county percentage growth rate was Riverside (7.8 percent); San Bernardino ranked fourth (6.7 percent).

Six institutions are within this proposed region:

California Institution for Men

California Institution for Women

California Rehabilitation Center

Chuckawalla Valley State Prison (C.S.V.P.)

Richard J. Donovan Correctional Facility at Rock Mountain

California State Prison, Imperial County (North)

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A seventh prison, California State Prison, Imperial County (South) is in the planning stage. Eight conservation camps are located within Region V.

Staffing capacity is 23,427 plus 3,974 for Imperial at 190 percent and 1,742 for C.V.S.P.

Parolees in this region number 9,493 with 31.7 percent coming from San Diego County. Statewide, Region V accounts for 17.4 percent of the parolee population. Eighteen parole offices are responsible for supervision. San Diego is also the location of a 27-bed Prisoner Mother facility, located at the same address but in a different building as a work furlough facility. Eight work furlough facilities operate within this region, housing a capacity of 201. Three RTC facilities, one in San Bernardino County and two in Riverside County, supervise a total of 400.

TABLE 11
POPULATION DEMOGRAPHICS
REGION V

<u>COUNTY/LARGEST CITY</u>	<u>POPULATION¹⁵</u>	<u>RANK</u> <u>POPULATION</u>	<u>PER CAPITA</u> <u>INCOME RANK</u>
Imperial/El Centro	115,700/ 31,650	32	56
San Diego/San Diego	2,418,200/1,086,600	2	15
Riverside/Riverside	1,014,800/ 209,700	7	20
Orange/Anaheim	2,280,400/ 244,300	3	5
San Bernardino/same	1,324,600/ 153,700	5	27

TOTAL POPULATION REGION V = 7,153,700

¹⁵Population as of January 1, 1989.

TABLE 12
NUMBER OF PAROLES¹⁶ BY COUNTY OF RESIDENCE AND REGION
REGION V

<u>COUNTY</u>	<u>PAROLEES</u>	<u>PERCENT</u>
Imperial	190	0.3
Orange	2,062	3.8
Riverside	1,760	3.2
San Bernardino	2,467	4.5
San Diego	<u>3,014</u>	<u>5.5</u>
TOTAL	9,493	17.4

¹⁶As of November 30, 1989.