



DEPARTMENT
OF CORRECTIONS

DEPARTMENT OF
CORRECTIONS

**HUMAN RESOURCES
MANAGEMENT**

Operational Strategy

1 July 2003 – 30 June 2008

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Overview

Background

The first Human Resources (HR) strategy for the Department of Corrections supported the organisation through its establishment phase, focusing on putting in place the basic policies, procedures and systems needed in a newly independent organisation. Following this, the second strategy supported the period of ambitious change required by the development and implementation of a new approach to managing offenders.

As a result of implementing these strategies, the Department now has a solid set of HR policies and practices that are being aligned with the direction in the *Strategic Business Plan* (2003–2008). The Department has selected and is now commissioning a new HR information system. The Human Resources Management Information System (HRMIS) will not only better assist the Department to identify HR issues and trends, it will also allow it to monitor progress in the implementation of future strategies.

The Department's Groups and Services have identified the competencies that underpin their HR capability, and have made significant progress towards developing a supporting qualifications/training/performance management framework. Further work is required to integrate the management development component into a single department-wide framework, linked with wider public service initiatives. Additional work is also required to address recruitment and retention issues, especially those associated with the commissioning of new prison facilities.

The Department has also made progress on identifying what it needs to do to be more responsive to Māori, Pacific peoples and other groups. A number of initiatives have been piloted for wider implementation. While progress has been made, it will take some time for the current initiatives to produce results in terms of increased representation of Māori and Pacific staff in key roles across the Department.

Over the course of implementing the two previous HR strategies, the Department has gained a good appreciation of the type of organisational culture that will support its new approach to managing offenders, and through this, the achievement of the Department's strategic direction.

Strategic Focus

This Strategy is intended to support the Department's outcomes by building on its existing culture and capability through four themes:

- alignment of organisational ***culture***
- ***responsiveness*** to Māori and diversity
- enhancement of people ***capability*** and capacity
- an effective ***human resources framework***.

The main initiatives to be undertaken in support of these themes are as follows.

Alignment of Organisational Culture

- More clearly define the desired organisational culture with which to align HR policy and practice.
- Evolve a leadership style supporting the organisation's emerging stage of development.
- Influence the organisational culture to match more closely that required to support the organisational direction, and the values and ethics of Corrections and the public service.
- Improve relationships between management, employees and their representatives.
- Develop the work environment to be increasingly safe and healthy for employees and visitors, the public and offenders.

Responsiveness to Māori and Diversity

- Increase the number and proportion of Māori and Pacific staff in management and key roles, especially those dealing with Māori and Pacific offenders.
- Increase awareness of all staff about: Māori and Pacific cultures; women; youth; those with disabilities and health problems; and other groups represented within the offender population.
- Recognise and value the specific contributions that Māori and Pacific peoples, male and female staff are able to make towards organisational responsiveness within Corrections.

- Identify and eliminate barriers to Māori and Pacific peoples and female staff progressing into senior roles and positions of influence.

Enhancement of People Capability and Capacity

- Develop manager and staff capacity in readiness for opening of new prisons.
- Focus on developing manager competence.
- Build management and staff capability for the future.
- Focus on specific recruitment and retention issues.
- Provide more effective support for managers.
- Assist managers to develop the competence of frontline and support staff.

An Effective Human Resources Framework

- Develop and continuously improve the human resources framework within Corrections.
- Develop the human resources information systems.
- Support managers and staff to align their *actual* practice with required policy and desired practice.

Implementation

The Strategy has a section (see Appendix 2) called 'The Pathway to Success', which sets out the ideal sequencing of HR initiatives. This can be summarised as follows:

- complete HR strategic-thinking developments
- round out the HR 'scorecard', HR information and measurement systems, and current measures against the broader scorecard

- complete alignment of policy and processes with desired organisational direction
- focus on getting the right people in the right roles, particularly management roles
- support managers to be successful
- increase employee satisfaction and performance
- improve stakeholder satisfaction.

It is recognised that a number of training and development initiatives are dependent upon funding and will need to take account of the budget process. Issues, such as staff turnover, will also impact the Department's ability to recruit the staff necessary for it to become more diverse.



STRATEGY

Introduction

The *Human Resources Management Operational Strategy* covers the period from 1 July 2003 to 30 June 2008. Its purpose is to ensure the Department of Corrections has in place the people capability and culture needed to support its strategic direction as highlighted in its four guiding themes.

This Strategy should be read in conjunction with the Department's *Strategic Business Plan*.

Background

This is the third human resources (HR) strategy for the Department since it was established in October 1995.

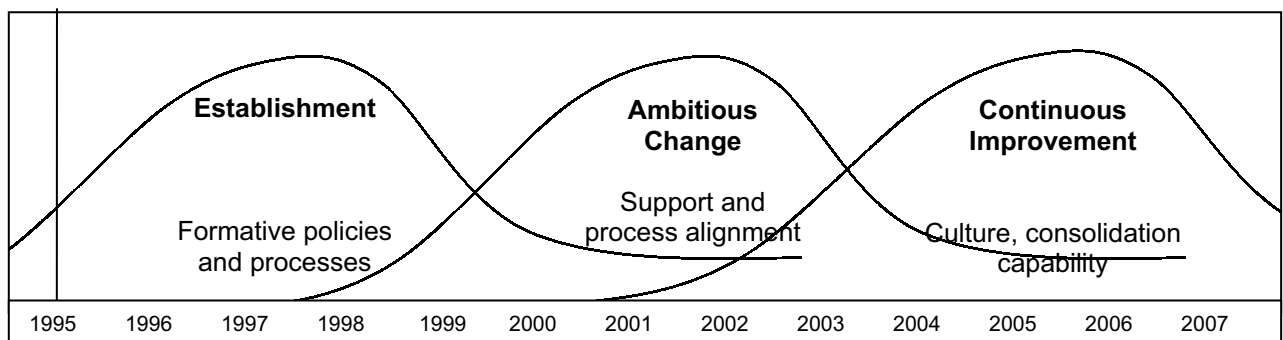
The first plan supported the organisation through its establishment phase, focusing on putting in place the basic policies, procedures and systems for HR needed in a newly independent organisation.

The second plan supported the period of ambitious change brought about by the introduction of a new approach to managing offenders. Based on thorough research, this approach completely updated the Department's philosophy of how best to work with offenders to reduce re-offending, and all the business processes that give effect to this philosophy.

Throughout this period, Corrections made substantial progress in a relatively short time. The focus of this, the third HR Strategy, is on building the organisational culture and capability to consolidate this progress and move from a period of ambitious change to one of continuous improvement.

Placed in context, the strategic HR themes underpinning the Department throughout its stages of organisational development can be shown as follows:

Table 1: Human Resources Stages of Organisational Development



Environment

External Environment

The changes in the Department's external environment that are likely to impact on human resources management centre around some key areas.

- **The diversity of offenders:** age – more youth and older offenders; increasingly diverse culturally and ethnically; more women offenders.
- **The numbers of offenders:** the number of inmates and those on community-based sentences is expected to increase over time.
- **Where the Department's services are provided:** population changes continuing the northern drift; preference for offenders to remain close to family and whanau.
- **The type of sentences being managed:** custodial care focused on more serious offences; migrating to non-custodial sentences or fines; longer custodial sentences for serious crimes.
- **How the Department goes about its business:**
 - more systematic, rigorous analysis to inform the decision making of the courts and the New Zealand Parole Board and give them confidence
 - more effective measurement and monitoring of trends to inform policies to support reduced re-offending
 - the Department's interventions are increasingly informed by research into, and understanding of, the range of factors that contribute to offending behaviour and that need to be addressed to reduce re-offending
 - greater consistency and targeting of treatment with more effective use of scarce resources
 - more effective provision of health services to inmates
 - greater community, iwi and whanau involvement

- greater orientation towards the wider public service good, and increased cooperation between departments with:
 - IT and other systems able to ‘talk’ to and work with each other
 - more collaboration on management and common development initiatives.

The Unique Features of Corrections

Each organisation has unique features that influence the effectiveness of different options in human resources management. The following are the key features of Corrections that have been taken into account in developing this Strategy.

- Perceived undesirability of working with offenders.
- Unique pressures on frontline staff in working with offenders.
- Importance of rules and defined processes for operating effectiveness (safety, security, consistency of approach and repetition of key messages with offenders).
- Focus on effectiveness in support of safer communities.
- High media scrutiny of operations.
- Geographical spread of sites.
- Part-time workforce in some areas.
- Non-standard work hours: 24-hour, seven-day operation in prisons, along with increasing flexibility in the delivery of community programmes.
- Impacts of historic recruitment pools.
- Few alternative employment options for staff in smaller centres, compared with more preferable options in larger centres.
- Unique advantage in offender rehabilitation – ongoing contact with offenders.

Current Situation

Since it was formed in 1995, the Department's culture has moved a long way towards reflecting the desired organisational ideals, but there is still some way to go. The emphasis within the period of this HR Strategy is to embed the past changes, and make them more consistent throughout the organisation by focusing on the specific aspects of culture that still require change. A detailed organisational analysis is provided in Appendix 2.

A summary of the aspects of culture change that are being targeted includes the following.

Culture Definition: Agreement on a more detailed definition of desired organisational culture and management style will help clarify what has to be done to better support leading-edge, consistent and integrated management of offenders, with a focus on reducing re-offending by Māori. Human resources practices can then be reviewed for fit with this definition.

Responsiveness: The Department needs to increase the level of responsiveness in its workforce for the organisation to work most effectively with Māori – who continue to be disproportionately represented in the criminal justice system – and Pacific peoples, youth and other high-risk groups.

Leadership Style: The stage in the organisation's development that Corrections is moving into is one where there will be less change but increased focus will be needed on a developmental style of leadership that encourages performance through a sense of shared vision and commitment to strategic direction.

Collaboration: Groups and Services within the Department have been changing their focus from developing their own part of the organisation to more collaboration, both internally and with related external agencies. This needs to continue for the organisation to operate its integrated business processes in ways that maximise their positive influence on offenders and contribute also to wider Government outcomes (for example, in developing Public Service leadership capability).

Professionalism and Active Offender Management: Changing offending behaviour requires consistent reinforcement of desired behaviour in every interaction between Corrections staff and offenders. This interaction needs to be based on the highest standards of professionalism and ethics. Pro-social offender management helps move Corrections towards an approach that places increased emphasis on encouraging the offender to change his or her offending behaviour.

Balance between Consistency and Innovation: The consistency required for new business processes to be effective in managing offenders, or influential in reducing their re-offending, has resulted in a perceived over-emphasis on compliance with rules at the expense of gaining full staff understanding of the Department's philosophy. To move forward, Corrections needs to foster staff ideas and innovation in order to continue to shape how the philosophy is applied to meet specific New Zealand needs and unique situations.

Management/Employee Relationships: Historically, management's relationship with some of its employees and their representatives (unions) has been somewhat adversarial. While progress has been made, a focus on further improving this relationship will achieve a more productive and constructive work environment.

Health and Safety: An emphasis over 2002/2003 on upgrading core occupational safety and health practices needs to be reinforced to provide a positive model for the Department's core role of providing safe, secure and humane management of offenders, and to reduce lost time and other costs related to accidents.

Organisational Direction

Strategic Themes

The HR Operational Strategy has been developed to support the four themes identified as the Department's strategic focus over the next five years.

- ▶ Ensuring effective offender management.
- ▶ Improving responsiveness to Māori.
- ▶ Contributing to reducing re-offending.
- ▶ Enhancing capability and capacity.

Organisational Values and Culture

The basis of the desired culture has been laid down in the Vision and Values that underpin the work of the Department. In HR management terms, it is important that the way the organisation works with staff reinforces clearly how it wants staff to work with offenders. The parallel approaches being targeted are highlighted below.

Key ideals that the culture needs to reinforce in working with offenders include:

- public safety to be paramount
- safe and humane environments for offenders
- offender management decisions that consider victims' interests
- fair and impartial treatment of offenders and those remanded or detained in custody, with respect for their rights
- retention of citizenship rights within restrictions of sentences or orders
- use of least restrictive measures, consistent with safety, security, therapeutic integrity and consistency
- professional interaction with offenders, with pro-social modelling

- integrity and respect for the rule of law at all times, ensuring individuals take personal responsibility for their actions
- offenders' participation in activities to support their own rehabilitation and reintegration
- consideration of the cultural background of offenders in reducing their risk of re-offending
- contact with and engagement of families in support of sentence planning, rehabilitation and reintegration, consistent with safety.

Key ideals that managers and people in support roles need to reinforce for frontline staff and each other include:

- public safety to be paramount
- safe and humane environments for staff
- staff management decisions that consider staff interests
- fair and impartial treatment of staff, with respect for their rights
- restriction of rules to situations where needed for consistency, safety and security only, otherwise demonstrating an innovative and business-like approach
- professional interaction with staff, with pro-social modelling
- integrity and respect for the rule of law at all times, ensuring individuals take personal responsibility for their actions
- staff participation in activities to support their own development
- consideration of the cultural background of staff in supporting their performance excellence
- family-friendly workplace in support of performance excellence, consistent with safety
- taking pride in the work of the staff and valuing their contribution towards reducing re-offending.

Strategic Human Resources Management Themes

Four key themes will guide HR management developments and practices over the course of this Strategy.

The four key human resources themes are:

- ▶ alignment of organisational ***culture***
- ▶ ***responsiveness*** to Māori and diversity
- ▶ enhancement of people ***capability*** and capacity
- ▶ an effective ***human resources framework***.

The following diagram shows the relationship between the themes of the *Strategic Business Plan* and the themes within this Strategy.

Table 2: Relationship between the Strategic Business Plan and Human Resources themes

<i>Strategic Business Plan</i> themes	HR strategic themes
Improving responsiveness to Māori	Responsiveness to Māori and diversity
Contributing to reducing re-offending	Alignment of organisational culture
Ensuring effective offender management	
Enhancing capability and capacity	Enhancement of people capability and capacity
	Effective human resources framework

Each of the key HR themes is supported by specific strategies and initiatives. The specific initiatives to be addressed in each of the planning years covered by this Strategy will be included in the Department's annual *Statement of Intent*.

Sequencing of HR Initiatives

'The Pathway to Success', (outlined in Appendix 2) is a model that identifies steps in achieving a successful organisation. Application of this model suggests that the following sequence of HR initiatives is most likely to achieve progress.

Phase	Emphasis
1	Complete HR strategic-thinking developments.
2	Round out the HR 'scorecard', HR information and measurement systems and current measures against the broader scorecard.
3	Complete alignment of policy and processes with desired direction.
4	Focus on getting the right people in the right roles, particularly management roles.
5	Support managers to be successful.
6	Increase employee satisfaction and performance.
7	Improve stakeholder satisfaction.

The next sections provide an overview of each of the key themes and their associated strategies and initiatives. The numbers refer to the broad sequence of the initiatives as outlined above.

Alignment of Organisational Culture

The continued alignment of the Department's organisational culture is essential for three reasons:

1. culture influences the way frontline people work with offenders, which can be more, or less, effective in **managing offenders** and **reducing re-offending**
2. culture determines the way managers, and those in support roles, work with frontline staff, which can encourage (or not encourage) frontline people to work with offenders appropriately
3. culture is a key feature in determining how well the organisation can attract and retain the **people capability and capacity** needed now and in the future.

The strategies and initiatives associated with this theme include the following.

Strategies	To be achieved by	Phase
More clearly define the desired organisational culture with which to align HR policy and practice	▶ Defining the desired culture and approach for Corrections with a regular process of review	1
	▶ Measuring how closely actual culture matches desired culture through a climate survey	2
	▶ Ensuring HR policy/practice developments support alignment with desired culture and direction	3
	▶ Establishing flexible systems that refocus on different culture and capability priorities as needs emerge over time.	3
Evolve a leadership style supporting the organisation's emerging stage of development	▶ More clearly defining the skills, experience, and attributes needed for managers to be most effective in creating and working within the organisation's emerging culture	1
	▶ Applying a consistent management capability/succession planning process to encourage and develop managers that fit the desired culture.	3

Strategies	To be achieved by	Phase
Influence organisational culture to match more closely that required to support the organisational direction	▶ Improving internal and external relationships and collaboration by:	
	– addressing any structural or procedural impediments and	1
	– evolving employment conditions that are more consistent across the organisation and with those of the public service generally	3
	▶ Achieving a better balance between consistency (rules) and innovation by providing a clear understanding of key principles and limiting the development of rules to situations where they are required for safety, security, therapeutic integrity and consistency	3
	▶ Increasing professionalism, active offender management and pro-social modelling by:	
	– considering the value of expanding the Professional Ethics Project across the organisation, and its linkages to the Corrections and public service codes of conduct	1
	– promptly, fairly and effectively managing inappropriate behaviours and misconduct	3
	▶ Recruiting staff with effective interpersonal skills, integrity and the talents to collaborate and be innovative in an environment largely focused on consistency and safety	4
	▶ Focusing manager and staff training on skills to support the desired culture	5/6
	▶ Reinforcing changed behaviours through leadership modelling, recognition, performance evaluation and internal communications.	5/6

Strategies	To be achieved by	Phase
Improve relationships between management, employees and their representatives	▶ Focusing on integrity of selection and performance management, recognition and rewards processes	3
	▶ Adopting a problem-solving approach to negotiations and broader issues resolution	3
	▶ Developing methods and opportunities for more effective employee involvement	3
	▶ Adopting partnership processes with employee representatives	3
	▶ Upskilling managers in employee relationship skills and providing them with more targeted support	5
	▶ Focusing on individual staff strengths and career development	6
	▶ Improving communications with staff	6
	▶ Providing more immediate feedback and recognition using alternative, non-remuneration-based processes.	6

Strategies	To be achieved by	Phase
Develop a work environment that is increasingly safe and healthy for employees, contractors and visitors as well as the public and offenders	▶ Analysing impacts of fitness on the nature and incidence of injuries	2
	▶ Reviewing and enhancing monitoring and feedback processes to better inform planning and decision making	2
	▶ Continuing to update and implement health and safety policies and management plans that incorporate the relevant objectives of the New Zealand Injury Prevention Strategy	3
	▶ Progressively targeting the hazard and injury groups, which analysis shows to be prevalent in this organisation	3
	▶ Building health and safety requirements and recognition into performance management systems	3
	▶ Developing processes for more active employee involvement in health and safety	3
	▶ Ensuring prospective employees are 'safety-minded' and declare any previous accident history	4
	▶ Enhancing the induction and refresher training provided in health and safety, particularly related to hazard identification and management, and skills for safe work practice.	6

Responsiveness to Māori and Diversity

Developing the organisation's **responsiveness to Māori** means evolving the organisational culture and building the capability and capacity of people to enable improvements in everyday business with Māori offenders, communities and providers.

The Department recognises that to be effective, the organisation also needs to develop responsiveness to an increasingly diverse offender population, particularly in relation to Pacific peoples, women, youth and other high-risk groups.

The desire, as well as requirement, to be a good employer means also targeting responsiveness to staff.

This theme aligns with the people components of the *Māori Strategic Plan*, the *Pacific Strategy* and the *Disability Strategy*.

The strategies associated with this theme include the following.

Strategies	To be achieved by	Phase
Increase the number and proportion of Māori, Pacific peoples and women in management and in key roles, particularly those dealing with offenders from these groups	<ul style="list-style-type: none"> ▶ Developing relationships with key Māori, Pacific and other ethnic groups that help to promote a more positive image of the Department and increase the understanding in these groups of the value of 'their people working for their people', as managers and staff within the Corrections system 	7
	<ul style="list-style-type: none"> ▶ Developing relationships with local Māori, Pacific and other ethnic groups that encourage increased representation of different ethnicities among recruits into the new prisons that are being established 	7
	<ul style="list-style-type: none"> ▶ Setting and regularly reviewing targets for increasing representation of target groups into the organisation and management roles 	2
	<ul style="list-style-type: none"> ▶ By 2010, increasing the percentage of Māori across the organisation to: <ul style="list-style-type: none"> – 25.5 percent of frontline staff – 13 percent of managers This represents 24.8 percent of all employees. (As at 31 March 2003, Māori comprised 21.5 percent of employees.) 	2
	<ul style="list-style-type: none"> ▶ By 2010, increasing the percentage of Pacific peoples across the organisation to 8 percent of all employees (As at 31 March 2003, Pacific peoples comprised 5.2 percent of employees.) 	2
	<ul style="list-style-type: none"> ▶ By 2010 increasing the percentage of women across the organisation to 38 percent of all employees (As at 31 March 2003, women comprised 34.1 percent of employees.) 	
	<ul style="list-style-type: none"> ▶ Establishing a Māori student scholarship scheme 	3
<ul style="list-style-type: none"> ▶ Identifying and putting in place employment conditions and working environments that increasingly attract, develop and retain Māori, Pacific and other ethnic groups. 	3	

Strategies	To be achieved by	Phase
	▶ Actively encouraging people from diverse groups to apply for positions, including management roles	4
	▶ Supporting existing Māori and Pacific staff, as well as other diverse staff, to advocate for the Department as a rewarding workplace	6
	▶ Developing family-friendly workplace approaches	6
	▶ Implementing a Māori language strategy.	6
Increase staff awareness of issues relating to Māori and Pacific peoples, women, youth, those with disabilities and health problems, and other targeted groups within the offender population	▶ Incorporating a component of cultural and diversity awareness and understanding into all training programmes, particularly induction	3
	▶ Building cultural, language and diversity competencies into staff progression and manager competencies	3
	▶ Building responsiveness requirements into appointment criteria	4
	▶ Supporting the implementation of the Framework for Reducing Māori Offending (FReMO) and the Pacific Analysis Framework (PAF)	6
	▶ Focusing on developing responsiveness skills amongst all staff	6
	▶ Empowering existing Māori and Pacific staff and those from other diverse groups as advocates for the Department in terms of developing organisational responsiveness	6
	▶ Piloting and extending cultural supervision.	6

Strategies	To be achieved by	Phase
Recognise and value the specific contributions that male and female, Māori and Pacific, staff are able to make towards organisational responsiveness	▶ Raising the awareness of all staff regarding the priority of increasing responsiveness and the particular contribution Māori and Pacific staff make towards this	1
	▶ Continually clarifying the specific competencies related to represented cultures and groups and building these additions or changes into performance competencies to ensure they can be recognised through remuneration systems	4
	▶ Developing and supporting Department-wide Māori networks and other networks where appropriate	6
	▶ Providing non-remuneration-based recognition in ways that are culturally appropriate	6
	▶ Reviewing and recommending training and development for Māori staff, including secondments to iwi organisations.	6
Identify and eliminate barriers to Māori, Pacific peoples and women progressing into senior roles and positions of influence	▶ Building and implementing a template for the development of HR policies and processes that incorporates concepts from FReMO, PAF and equity filters	1
	▶ Systematically reviewing all existing HR policies to ensure they do not directly or indirectly create barriers to progress for Māori, Pacific and other designated groups of staff – involving relevant groups in the reviews	3
	▶ Revising the recruitment processes to reflect the recommendations from the review of barriers to recruitment of Māori and Pacific staff.	3

Enhancement of People Capability and Capacity

Achievement of the Department's first three themes from the *Strategic Business plan* is dependent on **enhancing organisational capability and capacity**. This theme of the HR Strategy will ensure that the Department's **people** capability and capacity is enhanced.

Current managers and staff have many strengths that have enabled the organisation's rapid progress since 1995. These strengths have also positioned Corrections well when benchmarked against other similar corrections services overseas.

However, inadequate investment in manager and staff development over the last few years is beginning to take effect. Considerable investment now needs to be made into people development, and in matching market pay rates where current remuneration levels are not enabling the Department to attract and retain the calibre of employee needed in key roles.

The strategies associated with this theme include the following.

Strategies	To be achieved by	Phase
Develop manager and staff capacity in readiness for opening of new prisons	▶ Ensuring there are managers and staff available to open the new prisons on schedule and to continue providing required services in existing prisons	1
	▶ Making opportunities to influence culture change	1
	▶ Ensuring adequate representation of Māori, Pacific peoples, women and other groups within all levels of the new prisons.	4
Focus on developing manager competence	▶ Reviewing and implementing changes in the Corrections manager development framework in line with State Services Commission (SSC) developments (Public Service HR Framework) and contributing to the development of management capability across the public service.	1
	▶ Providing individually targeted and coordinated opportunities that develop manager competence in areas including: <ul style="list-style-type: none"> – core Corrections business knowledge and relevant research findings – new business and management processes – matrix, change and relationship management – tikanga Māori and responsiveness issues/skills – inspiring high performance and addressing performance issues, harassment and misconduct quickly and well – encouraging innovation in an environment focused on consistency and safety – modelling pro-social behaviours for staff and offenders – core management skills (financial management ownership and responsibility, project/time/risk management, use of IT systems, health and safety) – specifics identified for individuals through their performance management planning 	5

Strategies	To be achieved by	Phase
Build management and staff capability for the future	▶ Providing comprehensive induction for new managers and staff	3
	▶ Applying an integrated career development, succession planning, performance development approach to ensuring capability	3
	▶ Linking technical training with the National Qualifications Framework (NQF), focusing on Probation Officers	
	▶ Continuously updating the understanding of high-performing managers and key role holders within the Corrections environment, and building: <ul style="list-style-type: none"> <li data-bbox="619 891 1054 958">– essential talents into recruitment criteria <li data-bbox="619 972 1078 1039">– trainable skills and experience into development plans <li data-bbox="619 1052 1046 1115">– key motivators into employment conditions 	4
	▶ Continuously updating competencies and progression competencies to meet changing needs, such as increased professionalism in Corrections Officers and Probation Officers	4
	▶ Providing conditions that attract and retain high performers	6
	▶ Reviewing remuneration structures to differentiate appropriately between high and low performers and enable advancement of required technical experts within their specialty	6
	▶ Moving from general to targeted training based on needs analysis and coordinating common development needs across the organisation.	6

Strategies	To be achieved by	Phase
Focus on specific recruitment and retention issues	▶ Initially addressing issues in work areas with the highest turnover of staff	2
	▶ Developing recruitment branding to build a sustainable, attractive organisational image	4
	▶ Increasing commitment, buy-in and performance in areas where staff have few alternative job options	3
	▶ Making skills more transferable by linking training with New Zealand Qualifications Framework standards and including their achievement in the Human Resources Management Information System (HRMIS) as a means of monitoring increases in capability	3
	▶ Adopting a culture change/career development process to align managers and employees with the organisational direction, get their buy-in and a positive decision to be in a role of best fit.	4
Provide more effective support for managers	▶ Leveraging the use of technology (intranet) for policies, guidelines, human resources performance measurements and self-learning	2/3
	▶ Reviewing and clarifying delegations to ensure managers call on HR input into issues at the appropriate time	3
	▶ Evolving more user-friendly formats for HR policies and processes.	3

Strategies	To be achieved by	Phase
Assist managers to develop frontline and support staff competence	<ul style="list-style-type: none"> ▶ Providing individually targeted and coordinated opportunities that develop employee competence in areas including: <ul style="list-style-type: none"> – new business processes and IT systems – tikanga Māori, Te Reo and responsiveness skills – pro-social offender management – professionalism of approach, ethics, code of conduct – role modelling pro-social behaviours – collaboration and relationship management – interpersonal, conflict management, problem-solving – specifics identified for each individual through their performance development planning. 	5

Effective Human Resources Framework

One of the basic premises of the continuous improvement approach that Corrections is moving towards is to “ensure the systems remain effective, managed and controlled”. This requires measurement, analysis and reductions in fluctuations of performance to within ever more reasonable limits.

A useful way of achieving this in the area of HR management is through the use of a strategic human resources framework. A framework:

- organises HR practices into groups with a common purpose
- develops principles for each grouping that cover organisational direction and intent, culture and capability
- provides clear measures against which progress can be assessed over time
- provides for more detailed policies and processes to be organised around it
- allows for a flexible and more robust HR strategy
- includes human resources information systems to support management decisions and human resources processes.

A human resources framework is also an effective vehicle for influencing organisational culture and capability.

Much has been achieved through the previous human resources strategies that were designed to put a comprehensive set of human resources policies and processes in place across the Department. Corrections is now in the position to reformat this solid foundation into a more integrated framework to reinforce the changes brought about through a new way of managing offenders. This work will also take account of developments in the Public Service Human Resources Framework.

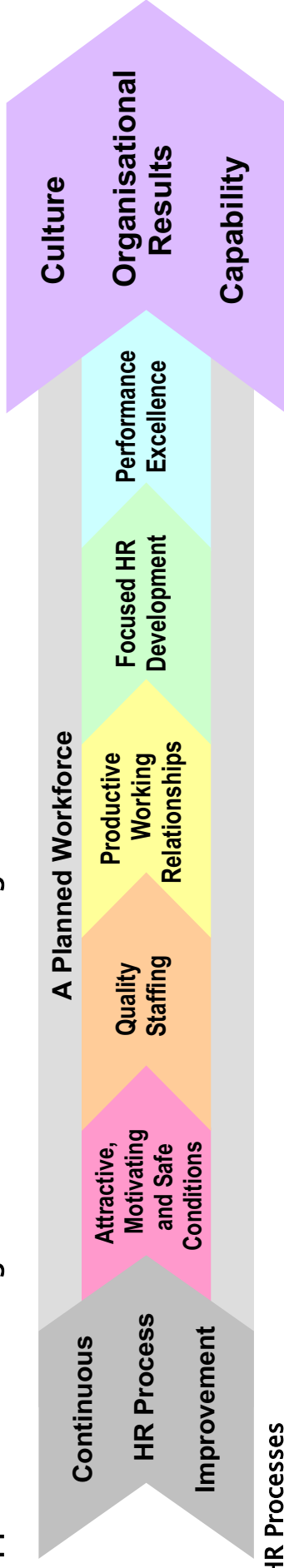
An initial human resources framework is contained in Appendix 1.

The strategies associated with this theme include the following.

Strategies	To be achieved by	Phase
Develop and continuously improve the HR framework within Corrections	▶ Reformatting the overall Corrections HR framework, including linkage with the Public Service HR Framework.	1
	▶ Prioritising the updating of specific HR policies and processes, with current priorities including: <ul style="list-style-type: none"> <li data-bbox="619 622 963 651">– recruitment and selection <li data-bbox="619 674 868 703">– health and safety <li data-bbox="619 725 852 754">– responsiveness <li data-bbox="619 777 1011 806">– development and succession 	1
	▶ Establishing a HR 'scorecard' that measures the status and progress in achieving the desired organisational culture and capability	2
	▶ Setting up systems, where none exist, to collect and analyse scorecard data and feed continuous improvement processes	2
	▶ Developing and running an organisation-wide climate survey based on the definition of desired organisational culture.	2
Develop the human resources information systems	▶ Continuing implementation and further development of the new HRMIS	2
	▶ Streamlining manual HR within HRMIS developments, including: <ul style="list-style-type: none"> <li data-bbox="619 1413 975 1442">– automated leave approval <li data-bbox="619 1464 868 1494">– flexible rostering. 	3

Strategies	To be achieved by	Phase
Support managers and staff to align their <i>actual</i> practice with required policy and desired practice	▶ Incorporating information and training related to application of the framework within manager and staff induction	3
	▶ Providing one-off development to support all current managers and staff to adopt policies and processes as they are updated	3
	▶ Developing manager training that targets generic skills relevant across the public service but that also applies these within the Corrections context	5
	▶ Making scorecard results accessible to managers and staff to monitor their own progress	5
	▶ Leveraging the use of technology to make it as easy as possible for managers and staff to apply HR practices that reinforce organisational policy and direction.	5

Appendix One: Strategic Human Resources Management Framework



HR Processes

A Planned Workforce	Attractive, Motivating and Safe Conditions	Quality Staffing	Productive Working Relationships	Focused HR Development	Performance Excellence	Monitoring and Reporting	Continuous HR Process Improvement
<ul style="list-style-type: none"> organisational structure workforce analysis forecasting and planning special recruiting schemes, (eg, for new prisons) succession planning job design 	<ul style="list-style-type: none"> employment arrangements remuneration conditions including: <ul style="list-style-type: none"> superannuation expenses leave flexible working arrangements family friendliness social activities and social clubs job design occupational safety and health managing accidents and the costs of accidents management of ill and injured workers 	<ul style="list-style-type: none"> profiling roles for essential talents (those required to excel) recruitment, selection and appointment <ul style="list-style-type: none"> promotion transfer EEO developing cultural responsiveness career development managing cessations <ul style="list-style-type: none"> redeployment retirement preparation using consultants and contractors 	<ul style="list-style-type: none"> leadership managing employment relations consultation participative management communications with people concept of 'client' managing diversity approach grievance resolution appointment reviews 	<ul style="list-style-type: none"> training and development <ul style="list-style-type: none"> induction and orientation entry-level training coaching and mentoring vocational and educational training manager development programme mobility, secondments and exchanges career development study assistance New Zealand Qualifications Framework Public Sector Training Organisation Public Service Management Development Centre 	<ul style="list-style-type: none"> code of conduct <ul style="list-style-type: none"> ethical conduct standards performance management <ul style="list-style-type: none"> incentives and rewards managing misconduct and poor performance <ul style="list-style-type: none"> performance development (dealing with under-performance) disciplinary processes procedures for protected disclosures of information about serious wrongdoing 	<ul style="list-style-type: none"> HR balanced scorecard (key performance indicators) workforce information collection employee information HR management information systems reporting systems 	<ul style="list-style-type: none"> HR policy and process development template best practice benchmarking studies process re-engineering organisational structure reviews HR function

KEY

- The arrowhead identifies what the HR practices are aiming to support.
- The central arrows are the primary responsibility of people managers, who are supported by HR through coaching and the development of policies, processes and tools.
- The surrounding elements are generally driven by HR practitioners with involvement of managers.

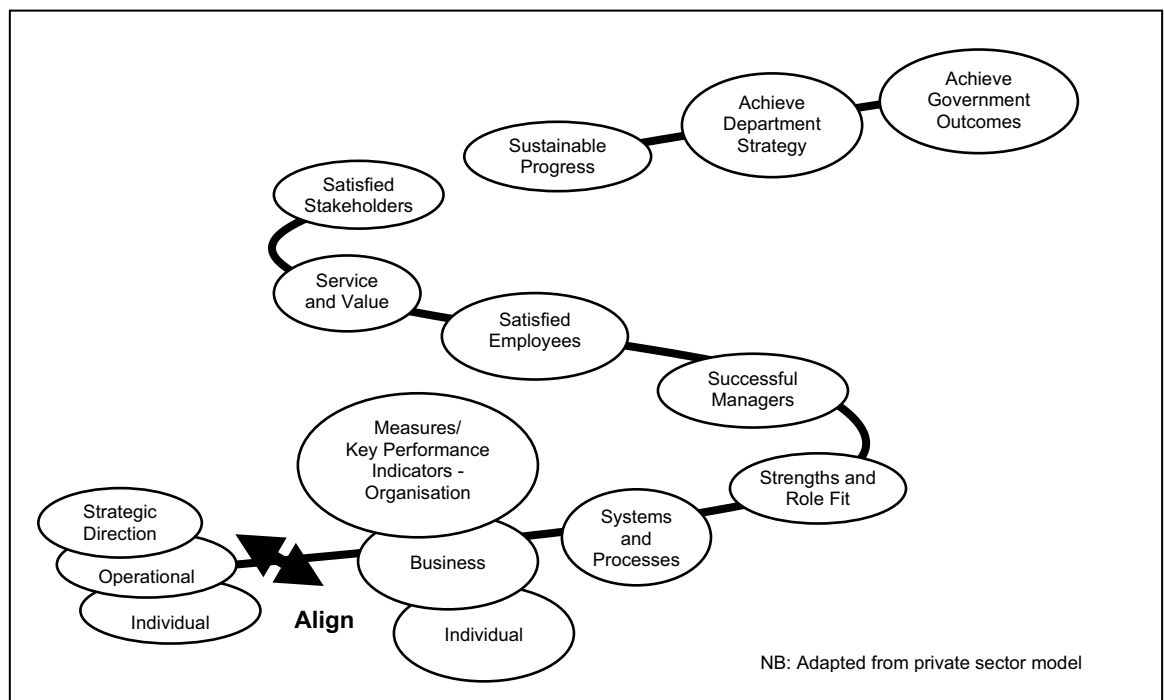
Items in bold are existing corporate policies and/or processes

Appendix Two: Organisational Analysis (as at 2003)

Diagnostic Model

Figure 1 below, amalgamating Harvard and Gallup Research, sets out one model for achieving organisational success. Getting the collective components 'right' leads to a more effective organisational culture. This model has been selected because it fits the Corrections situation and is particularly useful for considering in this HR Strategy. As well as giving an indication of which components to have in place and 'get right', this model also suggests the sequence that is best followed to gain most progress.

Figure 1: The Pathway to Success



Explanation

- 'The Pathway to Success' model recognises that the Government's ability to achieve its outcomes is dependent on its departments achieving their strategies (both independently and collectively).
- Given that strategies are long term, they can only be achieved through sustainable progress.

- For progress to be sustainable, key stakeholders need to be 'on board' and confident.
- For stakeholders to be satisfied, Corrections needs to be, and be seen to be, adding real value through the services it provides.
- Satisfied staff add increased value to and provide a more effective service.
- The key determinant in whether staff are satisfied and high performing is the performance of their direct manager.
- For managers to be able to lead effectively it is important to have the right people with the right talents in the right roles (including management roles).
- For the right people in the right roles to be selected and able to perform they need to be backed up by effective management, business systems and processes that make it as easy as possible to deliver.
- Effective systems can only be built on a clear understanding and alignment of what the organisation, units and individuals are setting out to achieve and how they know whether or not they are doing so.

Diagnosis

The following section reflects the application of this model to the people issues in Corrections.

Strategic Direction and Alignment

- **Organisational Outcomes:** There is a clear organisational direction, with strong buy-in to the focus of reducing re-offending. This is now being maintained along with an equivalent focus on the Department's contribution to protecting the public.
- **Definition of Organisational Culture:** Culture is defined broadly in statements of values and manager and staff competencies. Specific definition of the desired organisational culture, now that the new approach to managing offenders has been implemented, will allow more accurate alignment of HR policies and practices, individually and collectively, to better support the Department's direction.

- **Individual Alignment with Organisational Direction:** Performance management systems provide a process for aligning individual results with organisational goals, and individual behaviours with organisational competencies. With effective processes in place, extra support needs to be given to assist managers to use these processes to full advantage.
- **Embedding the New Approach to Managing Offenders:** Buy-in to the philosophy is growing, but some hesitation remains amongst those who are not at management level, or not involved in development and implementation of the approach, with some variation in uptake between regions.
- **Collaboration:** The new approach has started to bring together the component parts of Corrections to work collaboratively on the organisation-wide business processes. Support for increased collaboration internally and with external agencies needs to be continued if Corrections is to embed the new way of working with offenders and ensure it runs seamlessly.
- **Health and Safety:** The provision of a safe, healthy and secure environment for offenders, visitors and staff is a core organisational value. The organisation performs well on safety relating to offender management in comparison with similar corrections services overseas. As well as maintaining and improving this position, there are still some significant challenges in increasing organisational occupational safety and health performance related to the Accident Compensation Corporation's (ACC) Partnership Programme requirements.
- **HR Management Coordination:** Corrections has relatively high numbers of HR practitioners, achieving good results in their individual areas and projects. The challenge now is to harness this talent and energy and coordinate developments and activities for increasing effect across the whole organisation.

Measures and Alignment

- **Organisational Measures:** The organisation has made good progress in developing tools to measure progress in reducing re-offending, through the Recidivism Index and Rehabilitation Quotient.
- **Evidence-based Approach:** Movement towards an evidence-based approach to working with offenders increasingly requires collection and analysis of data.

- **Human Resources Data:** HR data is currently available in basic form only, with minimal ongoing analysis completed. A project is underway to implement a new payroll and HRMIS system within the Department that will enable more meaningful data collection and analysis. In the meantime, work can be done to develop a 'score-card' for HR practices that can be populated with data as the system becomes available. A lot of across-the-board HR developments have taken place since the Department's establishment in 1995, with the result that the organisation now needs to be able to drill down through objective data to identify problem areas where targeted interventions can be made.

There also needs to be focus on developing and appraising specific capability measures.

Systems and Processes

- **Core Business Processes:** The new approach to managing offenders was a massive project that involved reviewing all business processes and re-engineering most of them. The Sentencing and Parole Reform legislation, passed in 2002, has also required significant change in the way parts of the organisation work. These changes are being bedded into business as usual, with continuous improvement processes in place to refine the broad processes, where needed, to meet specific situations.
- **Innovation versus Consistency:** Corrections has been grappling with the tension between innovation and consistency for some years. Over the first two stages of development, the need has been to swing strongly towards consistency, as defined in precise business rules. The move to a consistent style of working with offenders to maximise the Department's positive influence on them, has also required an initial focus on clear business principles and rules.

The organisation is now moving towards the point where it needs to ensure that this consistency does not inhibit the changes also required to make the new approach to managing offenders work in practice. As uptake of the basic philosophy grows, Corrections will increasingly be able to encourage new ideas and input from practitioners in respect of improving and refining current practices. However, to retain therapeutic integrity, new ideas will need to be evaluated, tested and implemented within an agreed framework.

- **HR Policy/Process Development Template:** Since its formation, Corrections has updated all of its HR policies and processes. With the progression of time, and implementation of the new approach to managing offenders, there is a need to review these again and update where appropriate for increased

alignment. A range of templates (FReMO, PAF and one for disabilities) have been developed by the Policy Development Group, and can now be incorporated into an HR policy development template that takes relevant considerations into account.

- **Human Resources Management Information System (HRMIS):** As mentioned in measures above, a new payroll system and HRMIS have been selected and are being implemented. Over the duration of this Strategy, Corrections will need to increasingly pick up and use the new system's capabilities in a sustainable way, to better enable identification of HR issues and more effective targeting of interventions.
- **Health and Safety Systems and Processes:** The Department's systems were not wholly compliant when audited as part of the ACC's Partnership Programme audit, and did not fully comply with health and safety legislation, resulting in a focus on getting these systems up to standard. These process improvements need to be embedded into business as usual and be maintained over time.

Strengths and Role Fit

- **Employee Diversity:** Employee composition – at all levels of the organisation – does not match the increasingly diverse offender population. Given that around 50 percent of offenders are Māori, and that there is high competition for Māori staff with the required skills, it is unlikely that the Department's profile will ever match that of the offender population. Therefore, for Corrections to become increasingly effective in working with Māori, Pacific peoples and people with disabilities, it needs to recruit diverse and/or aware people into key roles at all levels in the organisation.
- **Selection Processes:** Corrections has developed processes to focus on identifying essential requirements of each role, and rigorously assessing which candidates best match these competency requirements.
- **Essential Talents:** Now that the new way of managing offenders has been implemented, and Corrections has a better understanding of what is required from people to embed it effectively, the Department can review job descriptions, recruitment and selection processes to better attract and select the appropriate people.
- **Current Employees:** As Corrections changes, there are different expectations on managers and employees. In such situations, most people can adapt with

appropriate leadership and training. Managers can be supported to assist staff having difficulty making the transition, including situations where it may be appropriate for employees to look at other career options.

Successful Managers

- **Management Training to Date:** Since the Department's establishment, significant management development has been conducted through variants of the Leadership in Action programme with the aim of giving all managers grounding in management skills. The Future Leaders programme selected its fourth intake in 2002/2003, as a means of identifying and developing a pool of people with potential to fill first-line management positions. The need now is to develop an overall programme that will build through the different levels of management and start targeting training more to an individual's specific needs rather than general needs, and to support managers to deal with specific organisational issues.
- **Management Style:** A different management style is required as the organisation moves into a period of consolidation following significant change. More management time needs to be spent with employees to bring them on board with the changes and provide them with the support they will need to embed the changes effectively into their daily practice.
- **Distinguishing High-performing Managers:** The understanding of what makes a successful manager is a key first step in diagnosing the changes to target in improving the organisation's overall management capability.

Long-term research by Gallup shows what distinguishes managers who achieve high organisational results through their people from those who achieve average or low results. The following table highlights the key differences.

This model is included in the Strategy because it provides a clear contrast between the two management approaches and uses descriptors that are identifiable within the Corrections environment.

Table A1: Management Philosophies that Distinguish High – performing Managers from Mediocre

Factor	Managers Achieving Mediocre Organisational Performance	Managers Achieving Excellent Organisational Performance
Basic Assumptions	<p>Anyone can be trained to do anything.</p> <p>The greatest potential for improvement is by addressing weaknesses.</p>	<p>Every role requires particular (non-trainable) talents to be performed at excellence.</p> <p>The greatest potential for improvement is by building on strengths.</p>
Perceived Role of Manager	Control performance.	<p>Unleash potential into performance.</p> <p>Direct staff to roles where they have the most chance of success.</p>
Application	<p>Treat everyone the same – define steps.</p> <p>Leave good/average performers to get on with it.</p> <p>Focus on identifying and fixing weaknesses through:</p> <ul style="list-style-type: none"> – training (most money goes to fixing low performers). – discipline, more controls and definition of systems. <p>Select on broad competencies.</p> <p>Progress up the hierarchy if good in current role.</p>	<p>Treat everyone as unique – define clear results/principles (steps only where needed for consistency and/or safety).</p> <p>Focus on best performers – recognise, understand role talents.</p> <p>Focus on strengths and role fit. Where there is low performance, address quickly by:</p> <ul style="list-style-type: none"> – training (concentrate money on trainable skills and knowledge) – seek different triggers for unique motivators – support non-talent with systems, buddy, redirection. <p>Select on essential talents.</p> <p>Progress to roles of increasingly good fit – make heroes out of excellent performers so they stay doing what they do best.</p>
Environment	Control-based, blame-seeking, defensive, focused on conformance.	Open, trusting, supportive, developmental, focused on excellence.
Staff Motivation	Low to average.	High.

Management comment, as well as survey feedback, would suggest that the overall style of management in Corrections is perceived as being more closely aligned with that of a manager achieving average organisational results, with some movement towards the right. To achieve its vision of excellence, the Department needs to consider in more depth the leadership style that will achieve the best

results in this environment, and adapt management selection and development to that end.

- **Succession Planning:** As at 2003, there is not a clear sense of confidence that successors are available to fill all key management and specialist roles ten years on, which potentially places the organisation at risk if any key management and/or staff leave.
- **Information Support:** While there are well-developed and targeted HR policies and processes, it is not always easy for busy managers to access the information, guidelines and tools. This often results in a reactive use of HR practitioners. Provision of more user-friendly and accessible resources to managers would enable them to be more self-sufficient and allow HR practitioners to focus on more developmental initiatives.

Satisfied Employees

- **Employee Surveys:** The CPS climate survey, and the SSC's Career Progression Survey (while it does not break down the results to be able to pinpoint specific areas of most concern) do provide useful indicators of areas of staff dissatisfaction. It is positive to note that the 2002 CPS survey generally shows improvements over the same questions as in the 2000 survey, indicating progress (of the nine factors repeated from the 2000 survey, eight had improved - on average by 4.9 percent points each). Action must continue to address the key areas of concern to keep this momentum going.

Factors where staff indicated an increased level of satisfaction were:

- the provision of challenging work
- job security
- managers allowing staff to use their initiative in carrying out their jobs
- staff being generally happy with their supervisors and immediate managers
- having a consistent model for working with offenders is bringing the organisation together.

Factors where staff indicated a decreased level of satisfaction were:

- developing staff skills, and supporting progress in their careers in the context of their current jobs
- concerns regarding workload – which made finding time for development difficult
- equitable access to formal training opportunities
- attention by managers to coaching and actively managing staff performance and career development

- address perceptions of lack of fairness and equity through transparent/ even application of HR policies
 - investigate high levels of unwelcome behaviour and ensure efficacy of complaints procedures
 - investigate ways to support staff to achieve a better work/life balance
 - not managing change well
 - lack of leadership by example – visibility at the coal-face
 - more scope for initiative and innovation, have ideas valued, combined with managing risk and understanding implications
 - make simple changes recommended by staff and involving them in the process will improve satisfaction significantly.
- **Areas of High Turnover/Recruitment Difficulties:** There are a number of areas of the organisation that have particularly high turnover of staff, mostly in Head Office, though there are some locations in the services that also have difficulties recruiting and retaining staff.
- **Interpersonal Skills:** A critical success factor for pro-social offender management is having staff with the skills and attributes for pro-social modelling. A focus for staff development, therefore, would usefully be on basic interpersonal skills development for those who have not received such training previously.
- **Manager/Employee Representative Relationship:** The relationship between Corrections management and employee representatives has historically (prior to 1995) been somewhat confrontational, with this situation unable to be attended to adequately while the organisational changes were occurring over recent years.
- **Employee Professionalism:** The nature of the Department's work means it takes some time before there is feedback on outcomes. In this environment, adherence to rules has become a significant way of assessing daily successes. An appropriate focus for staff's feelings of daily success could be around having an understanding of what is meant by, and having a sense of pride in, positively demonstrating a professional and ethical approach to working with offenders.
- **Staff Satisfaction and Excellent Performance:** Gallup research has identified a correlation between the following staff satisfaction questions and organisational results. Gallup's view is that there is no point asking a lot of questions in a survey if a high rating in a question does not make a difference to bottom line performance. They found that the better the organisation's ratings against this set of questions (using a five point scale from strongly

agree to strongly disagree), the better the organisational results that were being achieved (as is appropriately measured for that organisation).

The wording of each question or statement is important because it helps distinguish the high-performing organisations from the average (for example, a high percentage may agree to receiving recognition, but much fewer would agree to being recognised in the last seven days). Therefore, in attempting to assess where Corrections is currently positioned, it is not always possible to relate results of the Department’s survey questions directly to the Gallup questions.

The Gallup questions are not correlated to staff perceptions of importance, but are based on their research into the key questions that generally reflect the biggest differences in an organisation’s importance. Despite this, staff priority ratings from the Department’s surveys are included for interest.

The weakest areas could suggest where Corrections needs to be focused most to achieve the greatest improvements in business results.

Table A2: Gallup Research Questions

Research Questions	Current Corrections Status*
“What do I get?”	
1 I know what is expected of me at work.	☺
2 I have the materials and equipment I need to do my work right.	☺
“What do I give?”	
3 At work, I have the opportunity to do what I do best every day.	No survey data
4 In the last seven days, I have received recognition or praise for good work.	☺/☹
5 My supervisor, or someone at work, seems to care about me as a person.	☹
6 There is someone at work who encourages my development.	☺
“Do I belong here?”	
7 At work, my opinions seem to count.	☺
8 The mission/ purpose of my company makes me feel like my work is important.	☺
9 My co-workers are committed to doing quality work.	☺
10 I have a best friend at work.	No survey data
“How can we all grow?”	
11 In the last six months, I have talked with someone about my progress.	☺/☹
12 At work, I have had opportunities to learn and grow.	No survey data

* Based on other related survey responses.

Service and Value

- The annual reports and employees' performance reviews suggest Corrections is generally achieving good levels of performance organisationally and individually. However, there is always room for improvement.

Reasonably high levels of disciplinary processes, personal grievances and work-place accidents create cost on the Department overall that must be having a negative impact on the value being provided by employees.

- While the Department is making significant progress in identifying the specific needs of Māori and other targeted groups of offenders (Pacific peoples, youth, people with disabilities and health problems, psychopaths and other high-risk offenders), it needs to continue to research and target services for increasing effect.

Satisfied Stakeholders

- The Department's stakeholders include:
 - offenders (and their families/whanau)
 - victims (and their families/whanau)
 - staff (and their families/whanau)
 - the Minister of Corrections (also client who pays for services)
 - other Ministers
 - other departments, especially justice sector agencies
 - Māori
 - Pacific peoples
 - community/lobby groups
 - the media
 - providers of corrections services (programme providers and those providing reintegrative services)
 - the judiciary.
- At this point, there is little objective information (except with the Minister) to quantify the level of understanding of the Department's business by stakeholders or for them to indicate level of satisfaction with the Department's performance. Frequent negative media attention makes it likely that the level of public confidence in the Department is not as high as desirable. There are plans to consider some form of offender survey. It may be useful considering this in the context of key stakeholders overall.

Sustainable Progress

Significant progress has been achieved since the Department of Corrections formed in 1995. The new approach to managing offenders and new sentencing and parole laws need to be embedded in the organisational culture for business as usual to be sustained.