

MASSACHUSETTS DEPARTMENT OF CORRECTION
MANAGEMENT ANALYSIS AND EVALUATION
103 DOC 111
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<p style="text-align: center;">MASSACHUSETTS DEPARTMENT OF CORRECTION</p>	<p style="text-align: center;">DIVISION: Deputy Commissioner, Administrative Services Division</p>
<p style="text-align: center;">TITLE: MANAGEMENT, ANALYSIS AND EVALUATION</p>	<p style="text-align: center;">NUMBER: 103 DOC 111</p>

PURPOSE: To establish guidelines for the development and submission of management reports, audits, assessments and evaluations.

REFERENCES: MGL Ch 124, Sec 5, 6, and 1(P)

APPLICABILITY: Staff

PUBLIC ACCESS: Yes

LOCATION: DOC Central Policy File/Institution Policy File
Deputy Commissioners Policy File

RESPONSIBLE STAFF FOR IMPLEMENTATION AND MONITORING OF POLICY:

- Deputy Commissioners

- Assistant Deputy Commissioners
- Superintendents

EFFECTIVE DATE: 8-11-09

CANCELLATION: This policy cancels all Departmental policies, procedures, Commissioner's bulletins and rules and regulations, regarding management analysis and evaluation which are inconsistent with this policy.

SEVERABILITY CLAUSE: If any part of this policy is, for any reason, held to be in excess of the authority of the Commissioner, such decision will not affect any other part of this policy.

111.01 POLICY

The Department will utilize a quality leadership management accountability and performance (LMAP) system to measure and improve performance and increase public safety. This system will include practices and tools for continually measuring, analyzing, and communicating department performance and results.

111.02 DIVISION AND INSTITUTIONAL ANALYSIS

- A. Each Superintendent and Division Head shall:
 - 1. Compile quarterly and annual reports on applicable issues to include but not limited to:
 - a. Major incidents and developments in each department or administrative unit.
 - b. Population data
 - c. Assessment of staff morale via personnel activities.
 - d. Assessments of offender morale via grievance statistics and major incidents.
 - e. Major problems and plans for resolution.
 - f. Leadership Management Accountability and Performance (LMAP) assignments and status of action plans.
 - 2. This report shall follow the format found in Appendix A and Appendix B
- B. Each Assistant Deputy Commissioner and Deputy Commissioner shall compile annual reports and forward to the Director of Communications and Outreach who will review and analyze the reports and ultimately prepare the Department Annual Report.

111.03 PUBLIC RECORD

The quarterly and annual reports shall be public record and as such shall not contain any Criminal Offender Record Information data, nor shall it contain any personnel information which may be in violation of the Fair Information Practices Act.

111.04 PERFORMANCE MEASURES

A. Department Performance

1. A comprehensive set of measures to quantify performance and progress toward strategic goals and directives and the long term impact on public safety will be developed.
2. These performance measures will be integrated into the Leadership Management Accountability and Performance (LMAP) process, strategic planning and budget processes.

B. Individual Performance

1. Employee performance plans will include goals, expectations and professional development that reflect department goals and objectives.

111.05 DEPARTMENT ASSESSMENTS

A. Each Superintendent will develop operational management systems to monitor, analyze and evaluate operations and programs through inspections and reviews at least annually.

B. The Policy Development and Compliance Unit will conduct annual audits of each facility to include evaluation of security, operations, policy and procedure, outcome measures and the accreditation process. Upon receipt of the audit findings, each Superintendent will develop action plans for improving performance and will include specific measurable outcomes, owners, and due dates.

111.06 DATA AND RESEARCH

The Department will maintain timely and accurate activity, performance, and offender data and research to increase its ability to measure and improve performance results. The most current and validated data and research will be utilized through Leadership Management Accountability and Performance (LMAP), strategic planning and resource allocation.

111.07 Other Department Reports

(1) Executive Summary Progress Reports addressing the major recommendations of the Governor's Commission on Corrections Reform (GCCR) and the Quarterly Performance Measures Reports as submitted to the Department of Correction Advisory Council (CAC) shall be made available to Department staff, Department volunteers, inmates in the Department's custody and the general public via postings on the Internet and Department's Intranet. The CAC updates shall all be available in each superintendent's policy files and each institution's inmate library.

**APPENDIX A
ANNUAL AND QUARTERLY REPORTS**

Superintendent's/Associate Commissioner's summary (this summary should be brief; no more than two (2) or three (3) pages).

I. Executive

- A. Major Incidents
- B. Major Developments
- C. Inmate Data (significant shifts in population or profiles)
- D. Climate Summary
- E. Major Problems and Plans to Solve Them
- F. Capital Project Status (if applicable)
- G. Other

II. Management Objectives: (This list of objectives and level of attainment/progress should include, but need not be limited to, the superintendent's PMS objectives. The superintendent's objective however, should be listed first and somehow designated as such.

- A. Objective #1
 Level of Progress or Report of Completion
 - B. Objective #2
 Level of Progress or Report of Completion
 - C. Objective #3
 Level of Progress or Report of Completion
- AND

SO

ON.....

III. Proposed Management: Objectives (this list should include those objectives that will be discussed with the commissioner, deputy commissioner or assistant deputy commissioner as PMS objectives for the next fiscal year cycle).

- A. Proposed PMS Objective #1
- B. Proposed PMS Objective #2

AND

SO

ON.....

*Section III is only necessary to include for the April-June reporting period.

APPENDIX B
STATISTICAL OVERVIEW FOR ANNUAL REPORT ONLY

Superintendent's/Associate Commissioner's Summary

I. Organizational Chart

II. Fiscal Report

A. Personnel

1. # authorized positions (on last day of fiscal year)
2. # filled positions
3. # hired
4. # resigned
5. # terminated
6. # promotions
7. # transfers with DOC
8. # other

B. Affirmative Action

1. Minorities
 - a. Total number (on last day of reporting cycle)
 - b. Total number of new hires
 - c. Total number of resignations/terminations

III. Training (by security, classification, management and support staff, provide the following information):

- A. Total hours (In House; Staff Development, NIC, DPA, etc).
- B. Average # hours per employee by the above position categories.

IV. Inmate Demographics (superintendents only)

- A. Capacity
- B. Population (last date of reporting cycle)
- C. Total Admissions
- D. Total Releases
 1. # parole
 2. # transfers to higher security
 3. # transfers to lower security (medium, minimum and pre-release).
 4. # lateral transfers
 5. # escapes
 6. # deaths
 7. # GCD 1 sentence expiration
 8. # released by court
 9. Other

- E. Racial Breakdown (to be prepared by Associate Commissioner of Programs and Treatment only)
 - 1. # Caucasian
 - 2. # Black
 - 3. # Hispanic
 - 4. # other

- F. Average Age (to be prepared by Associate Commissioner of Programs and Treatment only)

- G. Offense (on last day of reporting cycle)(to be prepared by Associate Commissioner of Programs and Treatment only)
 - 1. # crimes against the person
 - 2. # property offenses
 - 3. # sexual offenses
 - 4. # substance abuse and drug related offenses
 - 5. # other

- H. Sentence (on last day of reporting cycle, to be prepared by Associate Commissioner of Programs and Treatment)
 - 1. # 1st degree lifers
 - 2. # 2nd degree lifers
 - 3. # Cedar Junction sentences
 - 4. # Concord sentences
 - 5. # other

- I. Average level of education (on last day of reporting cycle, to be prepared by Associate Commissioner of Programs and Treatment).

- V. Inmate Program
 - A. Programs (report the average of participants during the reporting period).
 - 1. Education
 - 2. Vocational Education
 - 3. Counseling
 - 4. Substance Abuse Programming
 - 5. Social/Recreational
 - 6. Community Based
 - 7. Positive PRA Status
 - 8. Education Release
 - 9. Other

- B. Work Assignments (report the average participants during the reporting period).
 - 1. Work Crews
 - 2. Industries
 - 3. Institution Work Assignments
 - 4. Farm Programs
 - 5. Work Release
 - 6. Other

VI. Disciplinary (Superintendents only)

A. Disciplinary Reports (number issued during the reporting period).

B. Hearings (number held during the reporting period).

C. Findings

- a. # referred to district attorney
- b. # major/guilty
- c. # minor/guilty
- d. # not guilty
- e. # dismissed