



Office of the Correctional Investigator

2002-2003
Estimates

Part III – Report on Plans and Priorities

Canada

The Estimates Documents

Each year, the government prepares Estimates in support of its request to Parliament for authority to spend public monies. This request is formalized through the tabling of appropriation bills in Parliament. The Estimates, which are tabled in the House of Commons by the President of the Treasury Board, consist of three parts:

Part I – The Government Expenditure Plan provides an overview of federal spending and summarizes both the relationship of the key elements of the Main Estimates to the Expenditure Plan (as set out in the Budget).

Part II – The Main Estimates directly support the *Appropriation Act*. The Main Estimates identify the spending authorities (votes) and amounts to be included in subsequent appropriation bills. Parliament will be asked to approve these votes to enable the government to proceed with its spending plans. Parts I and II of the Estimates are tabled concurrently on or before 1 March.

Part III – Departmental Expenditure Plans which is divided into two components:

- (1) **Reports on Plans and Priorities (RPPs)** are individual expenditure plans for each department and agency (excluding Crown corporations). These reports provide increased levels of detail on a business line basis and contain information on objectives, initiatives and planned results, including links to related resource requirements over a three-year period. The RPPs also provide details on human resource requirements, major capital projects, grants and contributions, and net program costs. They are tabled in Parliament by the President of the Treasury Board on behalf of the ministers who preside over the departments and agencies identified in Schedules I, I.1 and II of the *Financial Administration Act*. These documents are tabled in the spring and referred to committees, which then report back to the House of Commons pursuant to Standing Order 81(4).
- (2) **Departmental Performance Reports (DPRs)** are individual department and agency accounts of accomplishments achieved against planned performance expectations as set out in respective RPPs. These Performance Reports, which cover the most recently completed fiscal year, are tabled in Parliament in the fall by the President of the Treasury Board on behalf of the ministers who preside over the departments and agencies identified in Schedules I, I.1 and II of the *Financial Administration Act*.

The Estimates, along with the Minister of Finance's Budget, reflect the government's annual budget planning and resource allocation priorities. In combination with the subsequent reporting of financial results in the Public Accounts and of accomplishments achieved in Departmental Performance Reports, this material helps Parliament hold the government to account for the allocation and management of public funds.

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**Office of the Correctional
Investigator**

**2002-2003
Estimates**

A report on Plans and Priorities

Approved

Solicitor General of Canada

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Section I: Message

A. Correctional Investigator's Message

I am mandated as an Ombudsman for Federal Corrections. I firmly believe that the responsible oversight of correctional operations is a service that Canadians value greatly. The strategic outcome that they expect is that their correctional system will be fair, equitable, humane, reasonable and effective. It is our focus in all that we do, to ensure that this happens. This is our "raison d'être".

Over the past few years, my Office has vigorously pursued an agenda of operational improvement in order to optimize its efficiency in carrying out its primary mandate. On 15 January 2002, we formally adopted our first Strategic Corporate Plan, which reflects the new management framework "Results for Canadians". In so doing, the Office of the Correctional Investigator (OCI) commits to excellence in four areas critical to a well performing public sector agency.

Firstly, the OCI will refine and enhance its focus on its mandate in designing, delivering, evaluating and reporting on its activities.

Secondly, the OCI will continue to govern itself and what we do by a clear set of values, which respect and reinforce Canadian institutions of democracy; and we will be guided by the highest professional and ethical values.

The third principle recognizes that the OCI has as its mandate the achievement of results and on reporting them in simple and understandable ways to elected officials and to Canadians.

Fourth, given the limited nature of public funds, the OCI is committed to ensuring responsible spending.

Responsive and well managed federal organizations, oriented to the needs of citizens and working in collaboration with other levels of government and with the private and not-for-profit sector are critical to the attainment of national goals within our Canadian justice system.

R.L. Stewart
Correctional Investigator

B. Management Representation Statement

Management Representation Statement

I submit, for tabling in Parliament, the 2002-3003 Report on Plans and Priorities

Office of the Correctional Investigator

To the best of my knowledge the information in this document.

- Accurately portrays the organization's plans and priorities.
- Is consistent with the reporting principles contained in the *Guide to the preparation of the 2002-2003 Report on Plans and Priorities*.
- Is comprehensive and accurate.
- Is based on sound underlying departmental information and management systems.

I am satisfied as to the quality assurance processes and procedures used for the RPP production.

The Planning, Reporting and Accountability Structure (PRAS) on which this document is based has been approved by Treasury Board Ministers and is the basis for accountability for the results achieved with the resources and authorities provided.

Name: _____

Date: _____

Section II: Raison d'être

The Office of the Correctional Investigator provides Canadians with timely, thorough and objective monitoring of their federal correctional system, to ensure that it remains fair, equitable, humane, reasonable and effective.

Section III: Plans and Priorities by Strategic Outcome

The primary strategic outcome of the OCI remains the provision to Canadians of an independent review agency to investigate the problems of federal offenders related to decisions, recommendations, acts or omissions of the Correctional Service of Canada (CSC). Section 19 of its enabling legislation, the *Corrections and Conditional Release Act* (CCRA) also requires that it reviews of all CSC Investigations convened following the death of or serious bodily injury to an inmate. The OCI is also engaged in similar monitoring of all interventions by Institutional Emergency Response Teams (IERT'S), in keeping with the recommendations of the Arbour Commission.

The maintaining of an independent and objective review process within a correctional environment where the office has virtually no control over either the number of complaints or the extent of investigations required presents a number of unique challenges. First, the resolution of disputes in an environment traditionally closed to public scrutiny with an understandably high level of mistrust between correctional officials and inmates, requires that the Office not only be, but be seen to be independent of both the Correctional Service and the Ministry. Second, given that the authority of the Office rests with its power of persuasion and public reporting rather than enforceable recommendations, it is imperative that appropriate administrative and political mechanisms be available to ensure that reasonable, fair, timely, equitable and humane action is taken on the findings made by the OCI.

In recent years, changes to the regulatory and legislative environment have forced the OCI to dramatically expand its services. The Arbour Commission of Inquiry (1996) noted that the statutory mandate of the OCI should continue to be supported and facilitated because only the OCI is in the "unique position both to assist in the resolution of individual problems, and to comment publicly on the systemic shortcomings of the Services."

In 1997, the Auditor General noted that one of the factors creating difficulty at that time, was the overall size of the workload. Indeed since that time the OCI has implemented the recommendations of the Auditor General to address those workload issues, including working with the Correctional Service to improve the inmate grievance procedure and to provide an improved policy and procedure manual to investigators. The Auditor General noted as well, however, that the demand for services remains elevated, incessant and that both the overall volume and complexity of issues continues to increase.

In 2000, the Sub-committee on the *Corrections and Conditional Release Act* of the Standing Committee on Justice and Human Rights, recommended that the budget of the OCI be "increased in order to expand the number of investigators and [to] cover directly related expenses such as office equipment, communications and travel required to conduct investigations".

The OCI does not foresee any diminution or decline in either the overall demand for services or in the complexity of the issues the OCI is called upon to address. The environment in which the OCI is called upon to provide "Results for Canadians" continues to be extremely challenging and one in which innovative and dedicated service provision is essential to moving ahead.

To respond to these pressures, the OCI identified the following three priority activities that it will implement during the first three years of the strategic plan. These are:

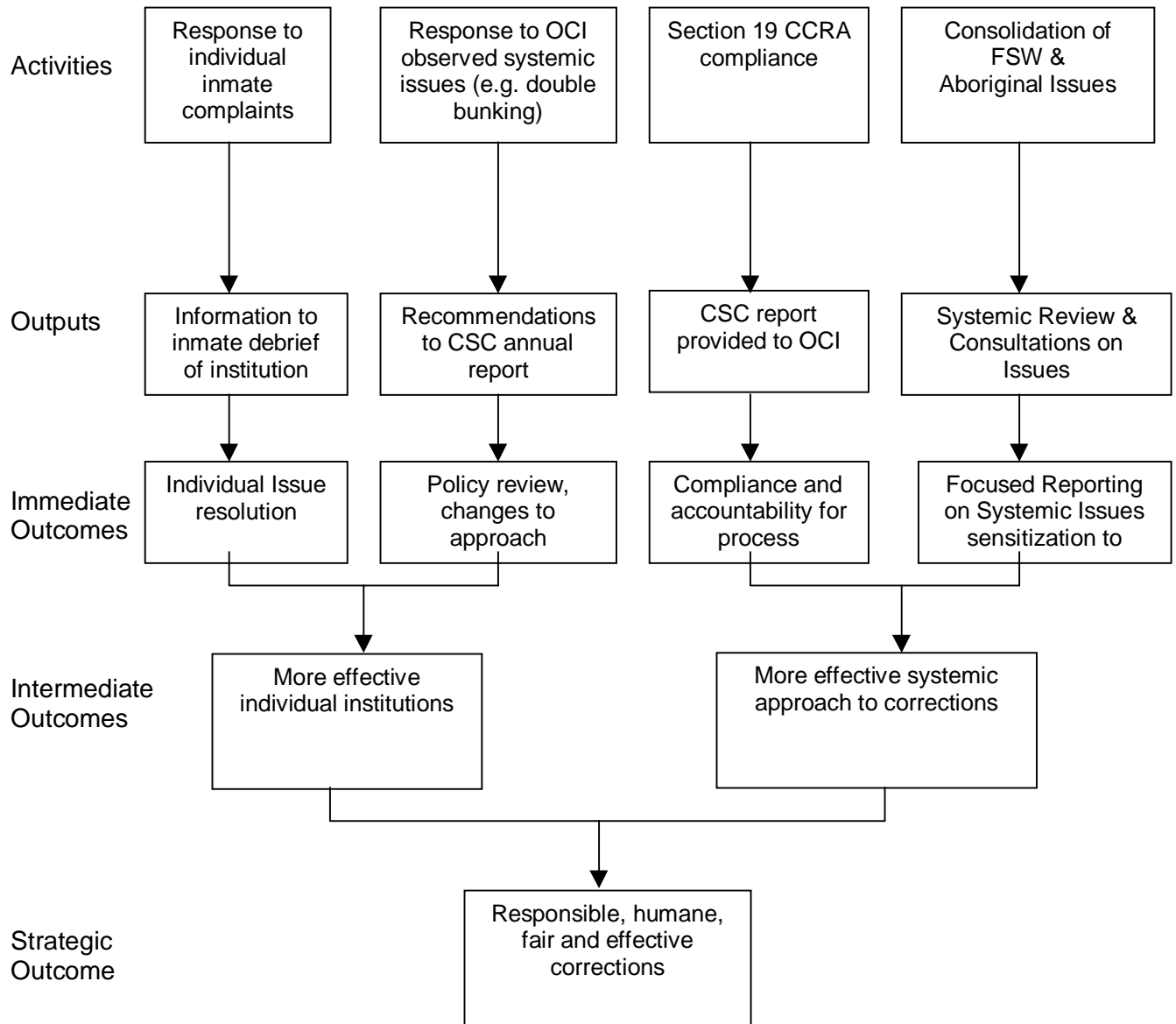
1. Increase the capacity for institutional visits to a level that is acceptable to the detained population and the Canadian people.
2. Create specialist positions to address issues of Federally Sentenced Women and Aboriginal Offenders.
3. Increase the ability to review and follow-up on both investigations as per Section 19 of the *Corrections and Conditional Release Act* and Use of Force Videotapes, as per the recommendations of the Arbour Commission.

The Logic Model presented below sets out just how the OCI views how it delivers the services necessary to support its mandate and deliver on its commitment to the strategic outcome of responsible, humane, fair and effective corrections.

The logic model identifies the linkages between the activities of the OCI program and the achievement of its outcomes. It clarifies the activities that make up its program and the sequence of outcomes expected to result from these activities. It serves as a tool with multiple uses:

- to clarify for OCI managers and staff the linkages between activities, outputs and the expected outcomes of the program. In so doing, it will serve to clarify and distinguish the expected immediate, intermediate and ultimate outcomes;
- to communicate externally about program rationale, activities and expected results;
- to allow all program elements to make informed trade-off decisions for the allocation of resources and the application of effort;
- to test whether the program "makes sense" from a logical perspective;, and
- to provide the fundamental backdrop on which the performance measurement and evaluation strategies are based (i.e. determining what would constitute success).

Exhibit 3.1 – OCI Logic Model



Of legitimate interest to elected officials and Canadians is how the OCI will allocate its resources to respond to the foreseeable demands for the next 3-5 years. Set out below are spending profiles, consistent with the major activities identified in the OCI logic Model (exhibit 3.1 above.)

The core business of the OCI is responding to inmate complaints arising from incarceration and anticipating and addressing more systemic issues that arise periodically (e.g. Aboriginal, Federally Sentenced Women, Section 19 and Use of Force). These two activities comprise the core services provided by the OCI and this is recognized in the spending profile below.

Over the next several years, arising out of the Arbour Report, the recommendations of the Auditor General and the recommendations from the subcommittee studying the Corrections and Conditional Release Act, additional resources were identified to be targeted in response to the systemic issues identified above and to relieve against a steadily increasing overall demand for inmate complaint resolution services. This is also reflected in the spending profile below.

Exhibit 3.2

Spending Profile by Activity including Program Integrity Resources for fiscal years 2001-2002, 2002-2003 and 2003-2004*

	2000-2001	2001-2002	2002-2003	2003-2004*
Individual Inmate complaint Resolution (i.e. visits, correspondence)				
Salary	482	662	722	722
O&M	400	520	520	520
Total	882	1,182	1,242	1,242
OCI Systemic Issue (e.g. Administrative Segregation, double bunking)				
Salary	125	125	125	125
O&M	40	40	40	40
Total	165	165	165	165
Mandated Issues (Section 19, CCRA compliance, Use of Force)				
Salary	80	200	240	240
O&M	20	40	40	40
Total	100	240	280	280
Corporate Services (e.g. Executive Director, Correctional Investigator)				
Salary	375	375	375	375
O&M	120	250	120	70
Total	495	625	495	445
Specific Policy Leadership (Aboriginal, Federally Sentenced Women)				
Salary	80	200	240	240
O&M	27	47	97	97
Total	107	247	337	337
Total Salary	1,142	1,562	1,702	1,702
Total O&M	607	897	817	767
Grand Total	1,749	2,459	2,519	2,469

* and ongoing

In keeping with its reviewed commitment to focus on its mandate in evaluating and reporting on its activities, the Office of the Correctional Investigator has included evaluation and reporting strategies in its recently adopted Corporate Strategic Plan.

The evaluation strategy for the OCI provides a periodic opportunity to take an in-depth look at how its program is doing. The primary focus is on being able to bring about improvements to facilitate the achievement of results or to determine the degree to which the OCI program led to the achievement of desired outcomes (i.e. attribution).

Thus, for every policy, program or initiative, the OCI gives consideration to a core set of key evaluation issues (i.e. relevance, success and cost-effectiveness). Relevance issues might include whether the OCI program is the most appropriate response to the identified need. Issues related to success measure the results achieved throughout the sequence of outcomes as presented in the logic model. Cost-effectiveness is tied to relating resources expended by the OCI to its performance in terms of outputs and results.

As well, issues related to the implementation or delivery of the OCI program are considered as evaluation issues. Here, the OCI addresses how its program is actually being implemented compared to how it was intended to be implemented. Aspects of program delivery by the OCI are measured including assessments of the outputs and the reach (for example, the degree to which inmates of the federal corrections system are being reached). The adequacy of the performance measurement strategy itself is also an evaluation question.

In addition, the OCI's evaluation strategy questions the degree to which unintended positive or negative outcomes have resulted from the OCI program.

In prioritizing evaluation issues of import to it, the OCI takes into account its risk management considerations in order to determine which areas are most important to it; therefore establishing which areas require greater attention. This process ensures that the final set of evaluation metrics address the key information requirements of OCI managers as well as being practical to implement in terms of timing and resourcing. The OCI documents all evaluation issues considered so that a record exists of those issues contemplated but determined to be of lower priority for an evaluation of its program.

The OCI will report annually to Parliament on the results of its ongoing performance measurement and evaluation. It will report annually to the Treasury Board Secretariat on whether or not its reporting commitments are being met. The Correctional Investigator will report the performance information and the evaluation results as per the following schedule:

Exhibit 3.3 - Reporting Table

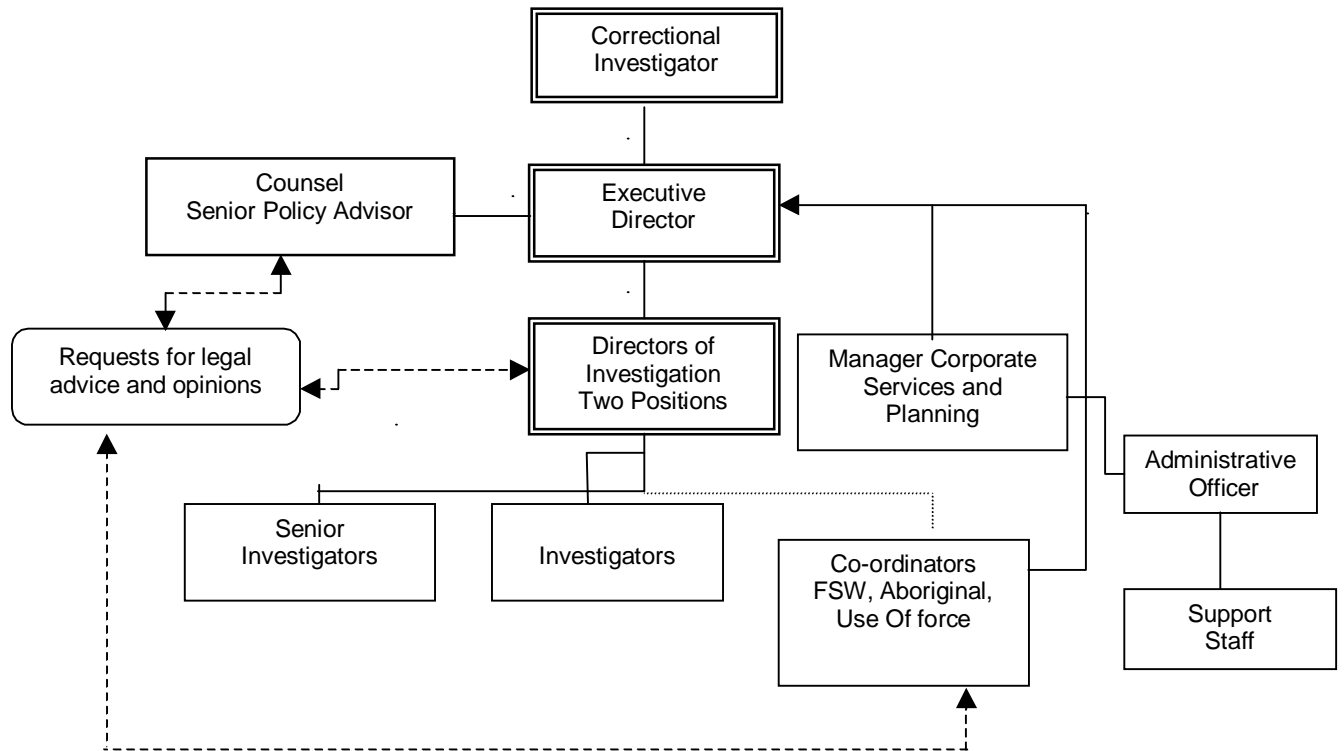
Results Measurement Activity	Product	Date of Reports
Reporting Commitment Measurement	Annual Report	Six months after the project begins and every 12 months after that (i.e. 2 nd report is mid-year between Year 1 and Year 2)
Ongoing Performance Measurement	Annual Performance Report	End of Year 1 End of Year 2 End of Year 3 End of Year 4
Formative/Midterm Evaluation	formative/Midterm Evaluation Report	Year 3
Summative Evaluation	Summative Evaluation Report	Year 5

The performance measurement strategy will be put into operation and monitored by the Correctional Investigator to ensure not only that it is proceeding as intended, but also that it is producing useful information. Adjustments will be made where required to adapt the performance measurement activities such that the utility of the information is maximized.

Section IV - Organization

A. Organization Chart

Exhibit 4.1 OCI Organization



Solid lines indicate reporting relationships; dotted lines indicate coordinating relationships.

B. Agency Planned Spending

Exhibit 4.2 Agency Planned Spending

	Forecast Spending	Planned Spending	Planned Spending	Planned Spending
(\$ millions)	2001-2002	2002-2003	2003-2004	2004-2005
Budgetary Main Estimates (gross)	1,972	2,881	2,831	2,831
Non-Budgetary Main Estimates (gross)				
Less Respendable revenue				
Total Main Estimates	1,972	2,881	2,831	2,831
Adjustments**	834	-	-	-
Net Planned Spending	2,806	2,881	2,831	2,831
Less: Non-Respendable revenue				
Plus: Cost of services received without charge	121	121	121	121
Net cost of Program	2,927	3,002	2,952	2,952
Full Time Equivalents	25	27	27	27

* Reflects the best forecast of total net planned spending to the end of the fiscal year.

** Adjustments are to accommodate approvals obtained since the Main Estimates and are to include Budget initiatives Supplementary Estimates etc.

Section V- Annexes

A. Financial Information

Exhibit 5.1 Net Cost of Program for the Estimates Year

(\$thousands)	Office of the Correctional Investigator	Total
	2,881	2,881
Plus: Services Received without Charge Accommodation Provided by Public Works and Government Services Canada (PWGSC)	121	121
Contributions covering employer's share of employee's Insurance premiums and expenditures paid by TBS		
Workman's compensation coverage provided by Human Resources Canada		
Salary and associated expenditures of legal services Provided by Justice Canada		
Less: Non-respendable Revenue		
2002-2003 Net Program Cost (Total Planned Spending)	3,002	3,002

B. Other Information

Statutes and Regulations

Corrections and Conditional Release Act, Part III

Reports

- Correctional Investigator's Annual Report 2000-2001
(<http://www.oci-bec.gc.ca>)
- Auditor General's Report, chapter 33, December 1997
(<http://www.oag-bvg.gc.ca>)
- Auditor General's Report, Chapter 32, November 1999
(<http://www.oag-bvg.gc.ca>)

C. References

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