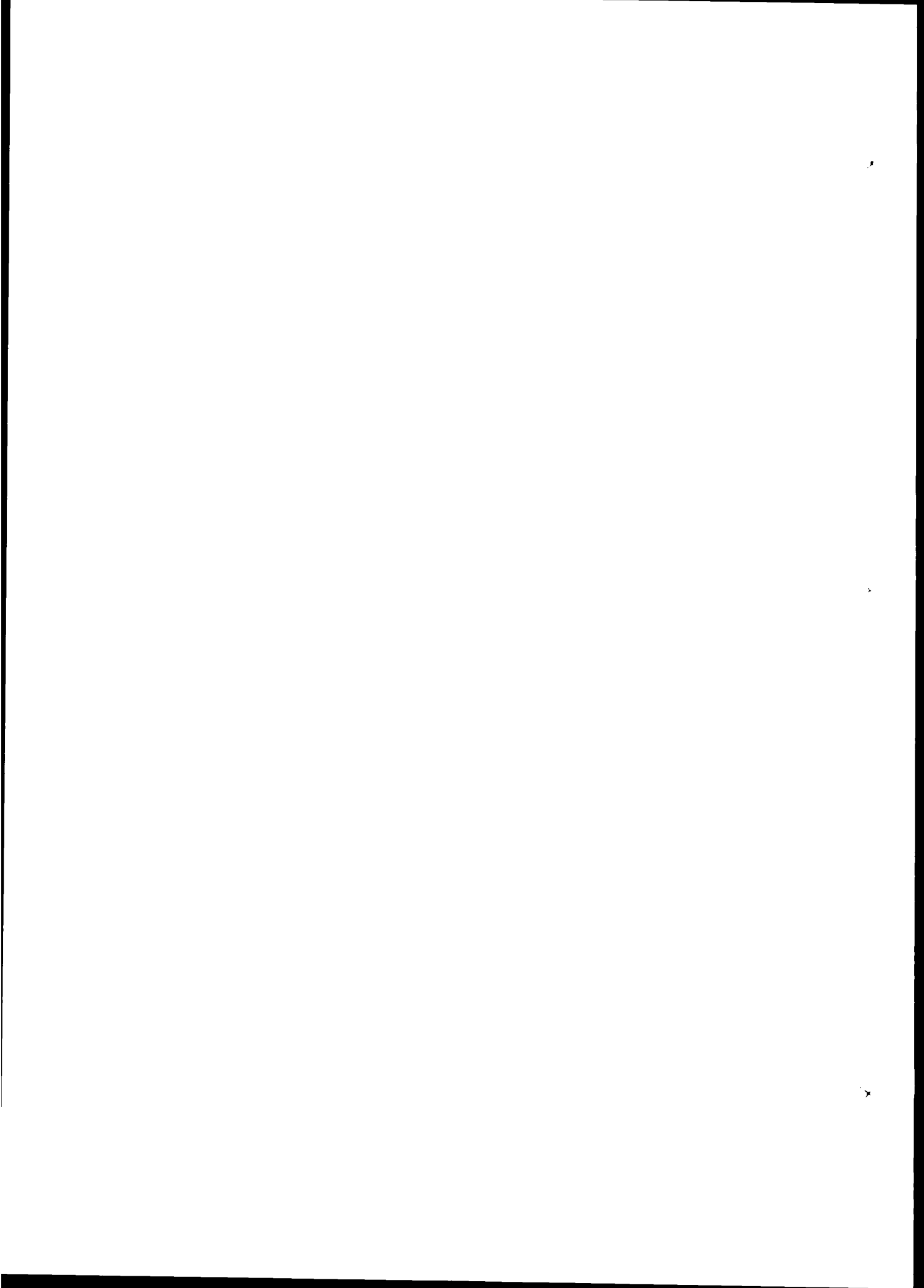


# Executive Summary



The functioning of Indian prisons has always been in question and certainly it is, in the present day working environment as well. The functioning of prisons has a direct link with the performance of its personnel. The changed economic and social scenario emphasizes the need for a critical turnaround in the jail administration. It is not that Indian administrators had not paid any attention in improving the conditions of prisons in the country. The efforts made in this direction were, however, slow as it was not considered to be a priority area.

It is with this in view, that the Bureau of Police Research & Development, Ministry of Home Affairs, Government of India intended to look into the present system of performance appraisal in prisons in different states and introduce a uniform pattern of performance appraisal in all the states and union territories. The BPR&D, accordingly, assigned the task- 'Development of Performance Indices for Prison Personnel' to Indian Institute of Development Management, Bhopal.

This research study envisages detailed examination of prison system with reference to prison personnel with the following objectives:

#### **Objectives of the Study**

1. To define key-performance indicators of prison personnel of different ranks and disciplines like custodial, correctional (vocational, welfare, educational, agricultural), medical, technical and secretarial staff used for performance appraisal and subsequent performance feedback for continuous improvement of both prison personnel and its system in objective terms.
2. To identify certain quantitative as well as qualitative key performance indices for prison personnel of different ranks and disciplines like custodial, correctional (vocational, welfare, educational, agricultural), medical, technical and secretarial staff in terms of technical skills (security, awareness and legal knowledge); human relation skills (prisoners care, correctional orientation, integrity and dealing with change) and organizational skills (problem solving initiatives, communication and team building)

3. To develop and validate the role clarity in prison personnel of different ranks and disciplines like custodial, correctional (vocational, welfare, educational, agricultural), medical, technical and secretarial staff by focusing on certain critical areas of performance to undertake training need analysis of prison personnel.
4. Identification of legal obligations of prison administration and its personnel of different ranks and disciplines like custodial, correctional (vocational, welfare, educational, agricultural), medical, technical and secretarial staff.
5. Expectations of prisoners from the prison personnel of different ranks and disciplines like custodial, correctional (vocational, welfare, educational, agricultural), medical, technical and secretarial staff which may not be necessarily limited to those covered under their legal obligations.
6. Efficiency of prison organization in their performance within the given resources.
7. To identify the manpower requirement at different ranks and disciplines like custodial, correctional (vocational, welfare, educational, agricultural), medical, technical and secretarial staff at different capacity in different types of prisons viz. Central Prison, District Prison, Sub-Prison, Women Prison, Special Prison, Borstal School and Open Prison in order to improve work performance of the prison organization to bring prison reforms in objective terms
8. Systemic expectations/constraints
9. Models to be proposed for performance indices of prison personnel and Human Resources Development requirement of different types of prisons.
10. Recommendations including training interventions required to get the performance from the prison personnel of different ranks and disciplines like custodial, correctional (vocational, welfare, educational, agricultural), medical, technical and secretarial staff as per indices.

Indian Institute of Development Management, Bhopal, therefore, took the task as a challenge and in consultation with and under the worthy guidance of Dr. M.Z. Khan carried out the study. The progress of the work was being reported to BPR&D from time to time.

## **Research Methodology**

Keeping all the points, with regard to the objectives of the study in view, it was decided that for better understanding, the researchers would first study the available reports and model prison manuals brought out by different committees/commissions. Simultaneously, secondary data available on the concerned issues would also be collected. Thereafter, for collecting primary data, prisons of different categories in the sampled states and Union Territories were visited. Primary data was supposed to be collected by canvassing officers and the inmates at every level. Interviews would be held with the senior officers. Further, through desk research the recommendations of the earlier reports of committees, commissions, jail-manuals would also be studied for having a better understanding of the problems and the recommendations given in the areas of our study.

Primary data have been collected by the research team on the schedules from the respective jail personnel and the inmates. Establishment information of each jail visited has been collected in a separate schedule designed for the purpose. Secondary data have been collected from the Annual Reports of various state prison departments, BPR&D Publications and other reports and manuals brought out from time to time.

**Sampling:** 16 states and 2 UTs were selected for the study. The basis for selection of number of states in each zone was decided by using the PPS (Probability Proportionate to Size) method and the country was divided into six zones i.e. North, South, East, West, Central and Northeast Zones.

From North Zone - Delhi, Punjab and Jammu & Kashmir, from South Zone - Karnataka, Tamil Nadu and Andhra Pradesh, from East Zone- Orissa, Bihar and West Bengal, from West Zone - Gujarat, Maharashtra and Rajasthan; from Central Zone - Madhya Pradesh and Uttar Pradesh and from North East Zone - Assam and Meghalaya were selected. In addition two Union Territories i.e. Puducherry and Chandigarh were also selected. From each state/UTs Central Jails, District Jails and Sub Jails were selected for data collection.

**Research tools:** To collect relevant data following research tools were used:

*Schedule 1-* This schedule was used to collect opinions from Superintendent, Additional Superintendent, Deputy Superintendent, Assistant Superintendent and equivalent officers.

*Schedule 2-* This schedule was used for Jailor, Deputy Jailor, Assistant Jailor and equivalent officers.

*Schedule 3-* This schedule was used for Chief Warder, Head Warder and Warder.

*Schedule 4-* This schedule was for Medical Officer, Para-Medical Staff, Welfare and Probation Officer, Law Officer and equivalent officers, Instructors, Agriculture Officer, Education Officer, Psychiatrist, Counselor, Psychologist, Maintenance Staff and Secretarial Staff etc.

*Schedule 5-* This schedule was for Inmates. It captured data about facilities provided to them and their views about the working of prisons and their expectations.

*Schedule 6-* This was for information on the organization of jail, physical facilities available in the jail, staff in the jail, and inmates in the jail, facilities available for jail inmates, other programmes and activities, transfer release and after care of the inmates.

These schedules were pre-tested at Jhansi central Jail, U.P and Sabarmati Central jail, Ahmedabad. In addition, guidelines for the researchers were also prepared and accordingly the field work was taken up. The schedules were also translated in local languages.

**Regional Seminars and National Seminar:** After field work, the draft report was prepared and submitted to BPR&D and Dr. M. Z. Khan. At the instance of BPR&D Regional Seminars were conducted at Hyderabad, Ahmedabad, Delhi, Bhopal and Kolkata and through Power Point Presentation the findings were shared with the senior prison officers. Thereafter, a National Seminar was organized at Bhopal wherein senior officers of BPR&D and prison departments of all the states were invited. Dr. Khan was also invited for the discussions. The findings were presented before the officers through Power Point presentation. Detailed discussions were held. Necessary modifications were done in in the performance indicators as well as in the report.

## **PRISON PERSONNEL AND INMATES INTERVIEWED**

During field visits as many as 708 prison personnel were interviewed. Of these 378 including 37 females were custodial staff, 86 including 7 females were correctional staff, 120 including 16 females were medical staff, 7 including one female were technical staff and 117 including 13 females were secretarial staff. In addition 448 prisoners were interviewed. Most of them were convicts.

### **Existing Practices of Staff Recruitment and Performance Appraisal in Different States**

In most of the states as a general practice the positions of Deputy Jail Superintendents and Assistant Jailors are directly recruited by the State Public Service Commissions of the respective states. Fixed percentages of the vacant posts (different in different states) are filled through departmental promotion for which different criteria are being followed by different states. Vacancies in other cadres/disciplines like Vocational, Welfare, Educational, Agricultural, Medical, Technical, and Secretarial etc are either filled up by the department or taken on deputation from the respective departments like Health Department, Industries Department etc. In many of the states the performance appraisal of Warders cadre was not being done.

### **Research Findings: I**

#### **Performance Indicators:**

For ascertaining indicators for performance appraisal, in a unique way, a different approach was adopted. For the identification of performance indices the prison personnel were asked to give their views in terms of weightage (from 1 to 5) to each of the indicators for performance appraisal. Their responses were then categorized into 'Essential', 'Important' and 'Desirable' categories based on the weightage assigned. Only 'Essential' and 'Important' categories were taken as indicators for performance measurement.

**Custodial Staff:**

**Superintendents:** Maximum weightage given to indicators by superintendents was mainly safe custody and security of inmates, support to senior officers in crises situations, dedication, team spirit, knowledge of work profile and role clarity, due respect to senior officers, discipline and punctuality. Other indicators given lesser weight-age sorted out as 'Important' were mainly willingness to work, ability to have a control over subordinates, quality of work, promptness in disposal of work, knowledge of legal obligations, entry of awards in the character rolls, prevention of entry of unauthorized goods in the jail, appreciation of good work.

**Deputy Superintendents:** Deputy Superintendents gave maximum weight-age to safe custody and security of jail inmates, support to senior officers in crises situation, respect to senior officers, appreciation for good work, knowledge of rules and procedures, discipline, entry of awards, if any, in the character roll, punctuality, quick disposal of work and dedication for work. The 'Important' indicators based on lesser weight-age were mainly role clarity, not to avail leave with out sanction, prevention of entry of unauthorized goods in to jail, ensure control over subordinates, team spirit, communication skill, legal obligations and human rights.

**Assistant Superintendents:** As per Assistant Superintendents, the weightage were mainly on ensuring safe custody and security of jail inmates, ability to handle law-and-order situation, receive commendation for good work, discipline in the jail, punctuality, role clarity, team spirit, maintenance of records and dedication for work. For 'Important' indicators the weight-age was mainly on - quality of work, legal knowledge, prevention of entry of unauthorized goods in jail, promptness in disposal of work, managerial ability, unbiased attitude while dealing with disagreements and disputes of the inmates, entry of receiving awards into 'character roll', ability to prepare annual budget, understanding of admission, attendance and release procedures of under-trials etc.

**Jailors & Equivalent:** As per Jailors and equivalent officers the weightage were mainly on full support to senior officers in crises situations, prevention of entry of un-authorized goods in to jails, punctuality, respectful towards senior officers,



discipline, safe custody and security of inmates, team spirit, knowledge of work and role clarity etc. Like-wise the 'Important' indicators as per weight-ages given were mainly- to keep senior officers informed of every important events, quality of work, not to avail leave with out sanction, quick disposal of work, systematic record keeping, legal obligation, proper uniform, coordination with other departments, entry of awards received in the character rolls.

**Warders:** Warder, Head Warder and Chief Head Warder gave maximum weightage to prevention of entry of un-authorized goods into the jail, providing full support to senior officers when the jail is in crisis, punctuality, proper uniform, safe custody and security of jail inmates, commendation for good work, discipline, knowledge of rules, dedication for work etc. The important indicators were mainly entry of awards received in the character roll, knowledge of work profile, maintenance of cleanliness at work place, keep senior officers informed of important events, office record keeping, team spirit, knowledge about legal obligation, prompt disposal of work, quality of work, enhancement in qualification, practicing of human rights etc.

**Correctional Staff:** Correctional staff gave maximum weight-age to - punctuality, respectful towards senior officers, knowledge of work and role clarity, dedication for work, quality of work etc to be termed as 'Essential' indicators. The important indicators as per weightage given were mainly team spirit, cleanliness, keeping senior officers informed of events, commendation for good work, managerial ability, enhancement in qualification, awards received should be entered in the character roll, maintenance of official records etc.

**Medical Staff:** Medical personnel gave maximum weightage to attitude towards inmates in solving health problems, dedication for work, regular visits to ailing inmates, timely and proper medical treatment to inmates, timely referring of the ailing inmates to specialists, same treatment for all, punctuality etc classified as 'Essential' indicators. The 'Important' indicators were team spirit, respectful to senior officers, maintenance of cleanliness, knowledge of work, ensure availability of medicines, quality of work, enhancement in qualification etc.

**Secretarial Staff:** The Secretarial Staff gave maximum weightage to maintenance of office records properly, punctuality, commendation for good work, knowledge of work profile & role clarity, knowledge about legal obligations, team spirit, supporting senior officers in crisis situation, maintenance of official record, dedication for good work. While 'Important' indicators were mainly- quality of work, prevention of entry of un-authorized goods into the jail, punctuality, respectful to superior officers, ability to get mixed up with sub-ordinates during games and festivities, adoption of new ideas and techniques etc.

## **Research Findings – 2**

### **Status of Role Clarity among Prison Personnel**

The level of role clarity among different employees was also ascertained by administering the relevant questions. The role clarity indicates that personnel of the organization are able to know and articulate as to what they are supposed to do. Efforts were made during field visit to capture the level of awareness among different personnel of different cadres.

**Superintendents:** Superintendents were in general found to be able to narrate only main activities. Majority of them was readily unaware of activities like classification of prisoners, training, supervision of production activities, correctional activities and making inspection-rounds in the prison as their main role, although they were involved in such activities.

**Additional Superintendents:** Additional Superintendents were interviewed only in few of the states. The findings are not encouraging as only two officers out of three were found to be aware of only two roles. It was noticed that they were not readily able to speak out about their roles. However, only with little prompting they could come out with the proper responses with regard to as many as 24 activities.

**Deputy Superintendents:** While examining the responses from Deputy Superintendents it was observed that the level of role clarity was not good. The functions of Deputy Superintendents and Assistant Superintendents were not fixed

and keep on moving from one set of roles to another .This might be one of the causes for not being clear about their roles.

**Assistant Superintendent:** The response of Assistant Superintendents indicated that only 50% of them were aware about important activities and after prompting many other activities were recollected by the respondents.

**Jailors:** Clarity of roles among jailors was found to be poor as only 3 functions out of 39 could be recalled by them and expressed ignorance for about 14 functions asked. This might be because of frequent changes in their job responsibilities. This needs a separate in-depth study for effective functioning of prisons.

**Warders:** Better response was noticed from guarding staff in 7 functional areas out of 28. In about 10 areas total ignorance was observed. This again needs regular interventions and training for role clarity and stability in the job assignments.

**Others:** Accountants/Cashier and Store Keepers: showed the ignorance of various roles expected of them. The post of accountant is not there in all the jail establishments. In some prisons even Assistant Superintendent or Assistant Jailor were reported doing the job of accountants. Where, as the role clarity among the agriculture staff was found to be high. On the contrary the awareness about the roles among Instructors and Educational staff was found to be poor. The awareness among Welfare Officers about their role 'participation in classification & reclassification of inmates was also found to be poor.

Role clarity about preventive and general health care among Medical and Paramedical staff was better then curative care.

### **Research Findings- 3**

#### **Prisoners Expectations from Prison Functionaries:**

Efforts were made to assess the level of satisfaction of the prisoners with the services and facilities provided to jail inmates and their expectations. The opinion about facilities being provided such as type of accommodation , condition of

accommodation, quality of uniform, food, beddings, washing soaps, and the behavior of jail functionaries towards inmates were obtained.

**Quality of Uniform:** The quality of the uniform supplied to prisoners was reported to be satisfactory by 50% of respondents in central jails, 38% in district jails and 36% in sub-jails. 25% of the respondents in central jails, 33% in district jails and 16% in sub-jails responded as good and no one said its condition as very good in the sub-jails.

**Quality of Amenities provided:** 96% of the prisoners reported that beddings had been provided to them and 94% reported that washing soap/ powder had been provided in adequate quantity.

**Quality of Food:** Less than half (47%) of inmates reported that the quality of food provided to them was good, 37.9% said it was satisfactory. 96% of respondents reported that the food provided was adequate to them. Of these 45.1% were from district jails. .

**Sanitation:** 48.7% of the respondents reported that jails were having good sanitary condition of the latrines. Out of this 25.7% of the respondents were from district jails. 34.6% reported the condition to be satisfactory of which 13.8% were from central jail.

**Vocational Training & legal Services:** Only 32.6% of inmates received vocational training. Of this 17.6% were from central jails and least (2.7%) were from sub jails. Similar was the response in terms usefulness of the training. 22.1% of inmates from district jails had the information about human rights. About twice the inmates from district jails (12.1%) in comparison to central jails (6.5%) were satisfied with the legal aid provided. 87% inmates had gone for medical checkup at the time of admission.

**Welfare & Probation Services:** More than 50 % of the jails visited did not have welfare officers and probation officers. Only 0.2% inmates from the sub jails expressed that the services were poor, 16.5% reported that the services were mere

satisfactory out of which maximum were from central jails. More than 90% of inmates were allowed the mulakat during last one month and 87.2% expressed that they could meet with their relatives properly.

#### **Research Findings-4**

##### **Status of Infrastructure and Resources Management in Prison:**

The number of escapes, violent attacks, number of jail-breaks, hunger strikes, proper maintenance of prisoners, health and recreational facilities, proper legal advice, vocational training, enhancement of education, correctional/rehabilitation activities, proper arrangements for meeting with the friends and relatives should be taken as the parameters for measuring the efficiency of the prisons.

**Medical & Health Services:** Hospitals were there in all the central jails except in Bihar, Gujarat and Punjab wherein one of the central jails had hospital and others had only dispensary. Full time medical officers were available in all the hospitals except in West Bengal where out of two central jails one had a full time medical officer and the other had a part time medical officer. In Madhya Pradesh as against two hospitals in two central jails only in one Central Jail the Medical Officer was posted. In district jails, hospitals were available only in some of the jails in Andhra Pradesh, Bihar, Karnataka, Madhya Pradesh, Maharashtra, Meghalaya, Orissa, Punjab, Uttar Pradesh and West Bengal. All other district jails were equipped with dispensaries. Generally, full time Medical Officers are available in all the hospitals attached with District Jails.

**Recreational Facilities:** In all the central jails either television or VCR or both were reported to be available. No musical instruments for the recreation of inmates were available in the central jails of Assam and Chandigarh. In states like Karnataka, Maharashtra, Punjab, Tamil Nadu, Andhra, Bihar and Gujarat as against two central jails visited only one jail was equipped with the musical instruments. School books were not available in the central jails of Maharashtra and Orissa and only in one of the central jails visited in each of the states i.e. Gujarat, Karnataka, Punjab and Rajasthan had school books. Stationery was, however, available in almost all the

central jails. Library was reported to be available in all the central jails except in Tamil Nadu and Gujarat where only one central jail was reported to have libraries.

There was no television provided in any of the sampled District Jails. VCRs have been provided only in Delhi (one), Maharashtra (two) and Punjab (one). School books are reported to have been provided by almost all the District Jails except Rajasthan. The states like Andhra Pradesh, Bihar, Gujarat, Orissa and Punjab have provided school books in a few of the District Jails. Stationery was reported to be available in almost all the District Jails in all the states except in Meghalaya. States like Jammu & Kashmir, Gujarat, Orissa, Punjab and Rajasthan have provided stationery to some of the District Jails. Library facility was available in almost all the District Jails except Andhra Pradesh, Jammu & Kashmir, Rajasthan and Bihar.

All the sub-jails in all the states have provided televisions except in Rajasthan where as against two sub-jails visited only one was having television. Musical instruments were reported to be available in all the sub-jails except in one sub-jail each in Karnataka, Orissa, Punjab, Rajasthan, Tamil Nadu, Gujarat, Karnataka and Madhya Pradesh. School books were not provided in sub-jails of Rajasthan and Uttar Pradesh. Library facilities were available in the sub-jails in all the states except one in Punjab and one in Rajasthan.

Only 34 district jails have carom, 18 have ludo, 31 have chess, 11 have badminton and 28 have volleyball facility. In Sub-jails out of 16 jails visited 13 reported to have carom facility, 8 have ludo, 11 have chess, 6 have badminton and 9 were equipped with volley ball facility.

**Escapes:** During past one year prisoners escape took place only in Central jails of Gujarat, Maharashtra, Rajasthan and Tamil Nadu in District jails of Andhra Pradesh and Bihar and only one escape took place in sub-jail of Gujarat.

**Crèches for Children:** Crèches were functioning only in 11 Central jails, 13 District jails and 3 Sub-jails.

**Vocational Training:** Vocational training facilities were reported to be available in many of the prisons visited. To quote candle making in Andhra Pradesh, carpentry in

Rajasthan, Punjab, Maharashtra, Madhya Pradesh and Andhra Pradesh, tailoring in West Bengal, Tamil Nadu, Orissa, Assam and Andhra Pradesh, computer and screen printing in Bihar, scooter repairing in Chandigarh, candle making in Jammu & Kashmir, book binding and soap making in Karnataka, plumbing in Maharashtra, utensil making in Meghalaya, craft work in Tamil Nadu and spinning in Uttar Pradesh.

### **Research Findings—5**

#### **Status of Manpower:**

**Custodial Staff:** In Central Jails of Bihar, Assam, Gujarat, Karnataka the custodial staff (prisoners to warders ratio), as against the average daily population, is found to be much less. In Madhya Pradesh, Karnataka, Delhi, Orissa and Rajasthan also the position does not seem to be comfortable. In Chandigarh, the Warders strength is perhaps the minimum needed although the average population has been very low.

In case of District Jails in Delhi, Bihar, Gujarat, Karnataka and Orissa the ratios of custodial staff do not seem to be up to the mark. Situation in sub-jails of Karnataka and Gujarat is not satisfactory. In Karnataka only 20 Warders are reported in two Sub-jails i.e. posting of only 10 Warders in each sub-jail is not palatable as to how they manage the duty affairs in three shifts. The same is the situation in Tamil Nadu where in two sub-jails only 18 warders were there although the daily average population comes out to be 57.

With regard to the ratios of Head Warder to Warder it is observed that in central jails of only 8 states (Jammu & Kashmir, Punjab, Bihar, Madhya Pradesh, Uttar Pradesh, Karnataka, and Andhra Pradesh) the ratio is close to the standard norms.

In so far as the district jails are concerned only in 7 states (Jammu & Kashmir, Delhi, Rajasthan, Meghalaya, Madhya Pradesh, Karnataka and Maharashtra) this ratio is close to the norm. The ratios may be considered as unsatisfactory in Bihar, Uttar Pradesh and West Bengal. The ratios in Andhra Pradesh and Gujarat are very low and needs to be investigated for the reasons for such low ratios. There were no Chief Head Warders posted in District Jails of Andhra Pradesh, Jammu & Kashmir,

Meghalaya, Punjab, Rajasthan, Uttar Pradesh and West Bengal. In the remaining states the ratio has been found to be low.

Chief Head Warder's posts in Sub-jails were only in 5 states (Bihar, Gujarat, Karnataka, Tamil Nadu and Maharashtra). Head Warder to Warder ratios were found to be close to norms in Bihar, Madhya Pradesh, Maharashtra, Orissa and Punjab. In Andhra Pradesh, Gujarat, Karnataka, Tamil Nadu and Punjab the ratios happen to be very low as compared to the norms. With regard to ratios for Chief Head Warder to Head Warder the ratios are found to be close to norms in Bihar and Karnataka only.

In central jails except Assam, Delhi and Punjab the ratios for Deputy Superintendents to Assistant Superintendents are close to the prescribed norms (1:3). In the district jails of Andhra Pradesh, Gujarat, Jammu & Kashmir and Karnataka there are no posts of Deputy Superintendent. In Delhi, Orissa, Punjab, Uttar Pradesh and West Bengal the ratios were found to be close to the norms. In most of the states/UTs there are no sub-jails or have been upgraded to district jails. In all the Central jails visited, full time Medical Officers were available excepting in one of the Central Jail in West Bengal where only part-time Medical Officer was available.

Either full time or part-time medical officers are available in the district jails. In all the sub jails only part time medical officers were deployed.

## **Major Observations**

### ***1. Recruitments:***

- a) The post of Warder is the entry level post and invariably in the prison departments of all the states 100% recruitment is done by the state recruitment agencies. Further, promotions to the post of Head Warders or Chief Head Warders are done 100% by promotion.
- b) In most of the states the positions of Deputy Jail Superintendents and Assistant Jailors are directly recruited by the state Public Service Commissions of the respective states. A fixed percentage of the vacant posts (different in different states) are filled through departmental promotion for which different criteria are being followed by different states. Vacancies in



other cadres/disciplines like Vocational, Welfare, Educational, Agricultural, Medical, Technical, and Secretarial etc. are either filled up by the department or taken on deputation from the respective departments like Health and industries department.

**2. Stagnation at warder level:** The promotion avenues in the warder cadre are bleak in most of the states. It takes about 20 years or so in getting promotion from warder to head warder post.

**3. Present Performance Appraisal Systems in prison departments of different states:**

- a) No uniform system of performance appraisal: Some states have only one common performance appraisal form for all the cadres and disciplines, while some have two – one for Gazetted officers and one for Non-gazetted officers, some states have even three types of form- one for class I officers, one for class II officers and one for class III officials.
- b) The indicators in the appraisal forms in most of the states are not job specific.

**4. No performance appraisal of Warders, Head Warders and Chief Head Warders done in most of the states.**

**5. Role Clarity at different ranks and disciplines:** Prison personnel in general were clear of their routine duties (as they were on the job) but they could not come out with other activities which have been prescribed as their role but not doing.

- a) More than 50% of the superintendents were able to indicate as many as 8 roles out of 18 promptly without giving any clue.
- b) Level of awareness of 'Additional Superintendents' was not encouraging as they were aware of only two roles.
- c) The level of awareness of Deputy Superintendents about their role was not of high order.
- d) Nearly 50% of Assistant Superintendents were aware about important activities they were doing. On prompting many other activities were recollected by them.

- e) The role clarity among jailors was found to be poor as only 3 functions out of 39 could be recalled by them and were totally ignorant about 14 functions.
- f) Better response was noticed among the warder staff in 7 functional areas out of 28. In about 10 areas total ignorance was observed.
- g) The role clarity among the agriculture staff was found to be high.
- h) Among instructors and educational personnel the level of awareness about the role was found to be poor.
- i) Role clarity among Medical and Para-medical Personnel about preventive and general health care was better than curative care.
- j) The awareness of Welfare officers in terms of their role in participation for 'classification & reclassification' functions was found to be poor.

**6. Legal Obligations of prison administration and its personnel:** Invariably prison personnel in all the states, were not comfortable with the imposition of 'human rights' of prisoners.

**7. Expectations of prisoners from the prison personnel**

- a) Prisoners expressed satisfaction over the services provided by the jail administration in terms of accommodation, clothing & beddings.
- b) Only 0-2% inmates from the sub jails reported that the services provided by the Welfare & Probation officers were poor. 16.5% of inmates said that the services were mere satisfactory..
- c) 17.9% of inmates from central jails were satisfied with the friendly behaviour of prison staff where as in district jails and sub jails inmates considered their behavior as enthusiastic.
- d) More than 90% of inmates reported that they were allowed mulakat as per their expectation during the previous month.

**8. Status of prison infrastructure & Facilities:**

Hospitals were attached with all the central jails except in Bihar, Gujarat and Punjab. Full time medical officers were available in all the hospitals but for West Bengal and Madhya Pradesh these were partially available. In district jails, hospitals were available only in some of the states in Andhra Pradesh, Bihar, Karnataka, Madhya Pradesh, Maharashtra, Meghalaya, Orissa, Punjab, Uttar

Pradesh and West Bengal. All other district jails were equipped with dispensaries. Full time medical officers are generally available in all the hospitals attached with District Jails. In Sub-jails hospitals were reported to be available only in Andhra Pradesh. Dispensaries have been provided only in Orissa Sub-jails. Part time medical officers have been attached with sub-jails in Madhya Pradesh, Orissa, Punjab and Rajasthan.

Television or VCR, musical instruments, libraries, schools books are available in most of the central jails, district jails and sub-jails. Ludo, carom, chess and volley ball facilities are available most of the jails.

During past one year prisoners' escapes took place only in central jails of Gujarat, Maharashtra, Rajasthan and Tamil Nadu. Escapes in District Jails during past one year have been reported in Andhra Pradesh and Bihar. Only one escape took place in Gujarat sub-jail.

**9. Training for prison personnel in North East Region:** In North-East Region none of the states is reported to have a training institute for its prison personnel.

**10. Non-recruitment of Law Officers:** it was observed that Law Officers were not recruited in adequate numbers in most of the states. There was demand from prisoners for Law Officers to be made available to them for legal advice and help.

### **Conclusions**

- a) Performance Appraisal system is not uniform. Job specific indicators are not there in the performance appraisal forms of most of the states. General forms, used by other departments, are being used for the performance appraisals of prison departments. This would not help in proper performance appraisal of prison personnel.
- b) In some of the states the performance appraisal of warder cadre is not done.
- c) There is no Training Institute reported to be functioning in North-east Region. The newly recruited warders and other staff are generally posted on duty without any training.
- d) Prison personnel in most of the states are not very clear about their roles.

- e) Prison personnel are not regularly sponsored for refresher training.
- f) In general the promotion prospects are very bleak among warders and head warders.
- g) Training opportunities are meager for prison personnel other than custodial staff.
- h) Non-recruitment of Law Officers in most of the states.

**Recommendations:**

**1. Identification of Key Performance Indicators:** For identification of key performance indicators, in a unique way the views of prison personnel of different cadres and disciplines were captured in order of priority. Taking these indicators as base and after analyzing the performance appraisal forms being used by prison departments of different sampled states as well as other departments and taking into consideration the specific job descriptions of different cadres and disciplines, the important indicators have been classified into following major groups.

- A. **Discipline and work habits**
- B. **Knowledge of Rules and Duties**
  
- C. **Job competency**
  
- D. **Administrative Ability**
- E. **Interpersonal Relationship**
- F. **Job performance**

The above groups have been further sub-divided (as given in the performance appraisal forms at the **Appendix**)

**2. Performance Appraisal System:**

After having studied present system of appraisal in different states (Chapter 4), weightage given by the prison personnel (chapter 5) and study of performance appraisal systems in many other departments, IIDM research team came out with a new performance appraisal system named as "SWE".

### **The SWE System of Performance appraisal:**

This system is a combination of:

- a) "Self-Appraisal",
- b) "Weight-age Check list"
- c) "Essay Evaluation". Or 'Pen Picture'

Combining different techniques IIDM suggests a system wherein, the officer reported upon (other than warders cadre and other class III staff) will give his own assessment about his duties & responsibilities, achievements made, disappointing incidences, most liked features of the job, least interesting features of the job as well as most demanding part of the job. In addition he would also need to state, apart from routine duties, what three important things he would like to do for the organization.

The reporting officer will first give his remarks on the assessment given by the officer reported upon. Thereafter, the reporting officer has to rank the officer numerically as indicated in the form on the indicators relating to ability, conduct and performance defined for the cadre. This technique of providing weightage will differentiate among different indicators for different cadres and also reduce the probability of a biased and subjective appraisal. In the last the reporting officer will also write about the strengths and weaknesses of the officer in narrative form to be known as 'Pen Picture'. The Reporting Officer would also give grading to the officer reported upon as per instructions given in the CR forms. This system of performance appraisal is recommended while keeping in view the time limitations with the reporting officers and the undue delay on the part of the reporting officers/ reviewing officers. This system will also support the objective assessment of performance. In the last, the reviewing officer will give his remarks on the appraisal done by the reporting officer and his agreement on the appraisal. Thereafter, Accepting Officer will give his remarks in the last part i.e. Part V (for form No. 1, 2 & 5) and Part IV (for form No. 3 and 4)

### ***Performance Appraisal Forms***

The following performance appraisal Forms have been designed:

1. **Form 1.** This form is for Gazetted A & B class officers which may include Superintendent, Additional Superintendents and Senior jailors etc. The form has 4 parts.
  - **Part I:** is for personal data to be filled by the office.
  - **Part II:** is for officer reported upon. He would be asked to give objectives of the position and the task performed. Further, he has to furnish his own views on the following:
    - a) Three most important achievements during the reporting period
    - b) Three most disappointing incidences during the reporting period
    - c) Three most liked features of the present job
    - d) Three least interesting features of the present job
    - e) Apart from routine duties what three important things he would like to do for the organization
    - j) Awards or censures received during the year.
  - **Part III:** is for the reporting officer. The reporting officer will rank the performance of the officer reported upon numerically as per the points fixed for each indicator. In a narrative form the reporting officer would also give the qualities and weaknesses of the officer and give grading.
  - **Part IV:** is for reviewing officer. He will give his remarks on the appraisal done by the reporting officer.
  - **Part V:** is for Accepting Officer
2. **Form 2.** Is for senior Non-Gazetted (Class II) Officers like Jailor, Deputy Jailor, Assistant Jailor etc. This form has four similar parts as in Form 1.
3. **Form 3.** For Warders, Head Warders and Chief Head Warders. The form has only three parts:
  - **Part I** for Personal Data
  - **Part II** for reporting officer. The Reporting Officer will rank the performance of the officer reported upon numerically as per the points fixed for each indicator.

- **Part III** is for reviewing officer. He will give his remarks on the appraisal done by the reporting officer.

- **Part IV:** is for Accepting Officer

4. **Form 4.** For correctional staff, para-medical staff, technical staff and secretarial staff. This form also has three parts:

**Part I** for Personal Data

**Part II** for reporting officer. Part II of the form has two sections, Section 1 is common for all the cadres and Section 2 are separate for each cadre like 2A, 2B, 2C, 2D, 2E for para-medical staff, correctional staff, welfare officer, secretarial staff etc. Reporting Officer will rank the performance of the officer reported upon numerically as per the points fixed for each indicator.

**Part III: is for Reviewing Officer**

**Part IV: is for Accepting Officer**

5. **Form 5.** For Medical Officers. This form will have 5 parts like Form 1.

**Grading system:** Grading System has also been indicated in the form for guidance.

3. **Promotions at Warder Level:** During field study the most vital problem which the field investigators had observed was that of stagnation at warder level. The Prison Department of Tamil Nadu has considered the problem in a positive way and in order to give promotional opportunities to Grade II warders, 300 Grade II warder posts were upgraded as Warder Grade I during the year 2007. In West Bengal it was reported that Assured Career Promotion Scheme has been implemented and warders after 8 years 15 years get higher scale even if promotion is not given. Prison departments of other states facing the same problem may think on these lines. Every employee should get at least three promotions during the whole service period of nearly 30 years.

4. **Departmental Examination:** Some high level officers in some of the states during the study had suggested that periodic departmental examinations should be held for keeping the enthusiasm and awareness among the prison personnel

and those having essential qualification and valid experience with better performance appraisal records should also be considered for promotion even out of turn.

5. **Training Programmes:** For the problem of role clarity, awareness about legal obligation, improved performance and efficiency of the prison organization training should be made essential for newly recruited prison personnel. (Although most of the states are following it and have made training compulsory before their posting). Further, periodic refresher training or re-orientation programmes should also be organized. Training needs should be assessed by the prison headquarters in each state. Many of the states have realized the importance of training and have already started working in this direction. Training programmes should not only be organized for custodial staff, but for correctional staff as well on issues such as:

- ✓ Anger Management
- ✓ Social Skill Training
- ✓ Counseling Against drugs abuses

Training for medical staff for learning new developments in their field should also be organized.

Yoga and meditation programmes are being organized for prisoners. But these are equally needed for prison personnel for their stress management.

For organizing training programmes for prison personnel and other concerned staff the following subjects may also be considered:

1. Correctional philosophy
2. Prison management issues
3. Correctional administration and leadership
4. Capacity building for prisoners welfare
5. Counseling techniques for correction, promotion and career management
6. Education on human rights
7. Computer/use of Internet/ video conferencing.



6. **Pre-promotion Training:** It is also recommended that every prison personnel should be sent for pre-promotion training as he has to resume new responsibilities.
7. **Recruitment of Law Officers:** More number of Law Officers need to be recruited in most of the states.
8. **Training Institute in Northeast Region:** As there is no training institute in North East region, the newly recruited staff is not imparted any formal training. This leads to ignorance and inefficiency of the prison personnel and in turn affects the efficiency of the prison organization. It is recommended to have at least one regional training institute either with the assistance of government of India or as a joint venture by states in North East region. Of late it has been learnt that one Regional Institute of Correctional Administration (RICO) has been set up at Kolkata for prison personnel of North East Region.
9. **Policy for Recruitment of Correctional Staff:** There is general thinking, that prisoners' custody and security is most important and therefore, least priority is given to the recruitment of correctional staff. With the changed scenario and objectivity of prisons, the correctional staff has also gained importance. Therefore, in the policy frame work the emphasis should not only be on the increase of custodial staff only but the correctional staff as well. The contribution made by the correctional staff is equally or more important to the society. On the basis of findings of the study that Law Officers were not available in the jails of most of the states, it is recommended that state prison departments should make efforts to appoint adequate number of Law Officers.