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DECENTRALIZATION AND
DELEGATION OF AUTHORITY
DISCUSSION PAPERS

ENT CONSULTING SERVICE   SERVICE DES CONSEILLERS EN GESTION

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DECENTRALIZATION AND
DELEGATION OF AUTHORITY
DISCUSSION PAPERS

CANADIAN PENITENTIARY SERVICE

Canada, Ministry of the Solicitor General.   MANAGEMENT CONSULTING SERVICE

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DELEGATION AND DECENTRALIZATION

CPS/NPS

Definitions

Decentralization: The systematic and consistent delegation of authority to the point at which responsibility is performed.

Delegation:
1. Assignment of duties to subordinates
2. Granting of permission (authority) to act
3. Creation of an obligation (responsibility) on the part of each subordinate for satisfactory performance.
4. Placing accountability on the subordinate to answer for results achieved.

Responsibility: The obligation to perform assigned functions with the maximum practical effectiveness and efficiency.

Accountability: The requirement for reporting to higher authority the extent to which one has discharged his responsibility with respect to quantity, quality, time and expense.

Authority: The right, power, and freedom to take action necessary to carry out work or obtain results for which the person is responsible and accountable.

Policies: Standing decisions (commands) on important recurring matters.

Line: In any organizational relationship, the unit or person held accountable for the specified result has authority to make the necessary decisions. Line, in this authority context, connotes authority to take action, authority to make decisions.

Staff: Staff supplies services designed to help the line manager achieve the best results.

Application: When the question of authority is at issue, it is accountability for results that determines where the line authority resides. The most obvious example of a situation under which a department doing staff work apparently assumes line authority occurs when it exercises functional control relative to overall or corporate objectives or policies.

The head of a functional (staff) unit, personnel, for example, may see a need for a corporate-wide policy relating to his particular function. This policy may impose requirements upon the operating organization. Conformance to the policy is still a

matter of line relationships. However, the head of the
functional unit, i.e. Director of Personnel, would have
responsibility to evaluate performance relating to the
policy and to advise and counsel in its application.

The accountable line manager may be advised he is vio-
lating departmental policy; he may be advised "you can't do
that". In turn he may cry that staff has usurped line au-
thority. But the usurpation of authority in such a situation
is more apparent than real, for when departmental policy is
enunciated, the scope of authority of all managers is imme-
diately limited. Authority or freedom to act means freedom
to act within the confines of corporate policy. Authority
that has not been so delegated cannot be usurped.

It is evident from the above discussion that more is
involved here than mere definition of terms: the definitions
involve concepts of organization and principles of delegation
of authority.

FIVE PRINCIPLES OF DELEGATION OF AUTHORITY

1. There should be clear lines of authority running
   from the top to the bottom of the organization; and
   accountability from bottom to top.

2. Responsibility, authority and accountability are
   and must be equal and coexistent. When a delegation
   of one of the three is made to a subordinate, the
   delegation must carry with it equal, effective portions

of the other two.

3. AUTHORITY TO TAKE OR INITIATE ACTION SHOULD BE
   DELEGATED AS CLOSE TO THE SCENE OF ACTION AS
   POSSIBLE.

4. The number of levels of authority should be kept
   to a minimum.

5. The responsibility and authority of each position
   should be clearly defined in writing.

CRITERIA FOR DECENTRALIZATION

The advantages of decentralization - in terms of quicker
and better decisions, manager development, etc. have been
recognized for many years. The principle is well accepted.
The perplexing question remains as to how far down in the or-
ganization that authority can be delegated. Four criteria
can be isolated upon which the delegation of decision-making
is dependent.

1. Staff: The quantity and classification levels of
   positions established for the function in
   the decentralized organization bears on the
   scope and nature of decision making autho-
   rity which should be delegated. The availa-
   bility of competent, experienced people in
   those positions must also be considered.

2. Information: The person making the decision requires
   adequate and reliable information. Decision-
   making authority thus cannot be pushed below
   the point at which all information bearing
   on the subject is or can be made available.

3. Scope of Impact of the Decision: Decisions made by one unit head may affect only activities within his own sphere of accountability. However, authority for decisions affecting more than one organization unit should rest with the manager accountable for the several units. Thus, authority can be decentralized to the level where the impact of decision is local. Certain decisions having department-wide effects, e.g. national objectives, policies, budgets may not be decentralized at all.

4. External Constraints: Areas and activities controlled by regulations and policies from outside the department limit the extent of delegation. That is, authority that has not been delegated to the department obviously cannot be delegated within, except to the extent that such policies and regulations permit. Examples include TB and PSC policies, labour contracts, DSS purchasing authority etc.

Criteria 1 and 2 above can be seen as practical limits to decentralization of authority. However, with steps taken to ensure that adequate staffing, training, information and support systems are provided to the regionalized organization, these limitations are overcome.

The third and fourth criteria imply a more theoretical limitation. Insofar as the authority of the chief line manager,

the Commissioner, is limited by broader government policies
and regulations and to the extent that national CPS/NPS
policies and objectives are needed, the extent to which au-
thority can be delegated down through the organization is
thus limited.

The objectives for the task force on decentralization
are as follows:

Terms of reference

1. To identify the areas where it should be appropriate
   to decentralize, to define all resources needed and
   the time required for its implementation.

2. To propose a list of priorities for these areas to
   be decentralized a timetable of implementation and
   modifications to the CD's and DI's when necessary.

PROJECT ACTION PLAN

The Task Force is pursuing its objectives on the basis of three related studies. These are:

Study # 1: Decentralization Between National Headquarters and Regional Headquarters.

The primary objectives of the first study are as follows:

1. To identify the areas and activities to be decentralized and the appropriate level of delegation of authority needed.
2. To recommend a plan of decentralization with a description of resources, priorities and schedule needed for its implementation.
3. To advise the Commissioner on the main principles and criteria which will delineate the optimum degree of decentralization and delegation of authority for both services.

Study # 2: The Role of the National Headquarters Administration

The purpose of this study is to analyze the role and orientation of the National Headquarters Function under decentralization decided upon in study # 1. This study is aimed at completing and supporting the work of study # 1 and will be undertaken at the same time on the decentralization measures.
The Committees already in place for the study on decentralization at NHQ will analyze and delineate responsibilities of NHQ in the process of planning, evaluation, policy and procedure.

Study # 3: Decentralization Between Regional Headquarters and the Institutions and District Offices.

The Commissioner will create, during the final distribution of Regional Headquarters responsibilities, committees at the institutional and district levels. These committees will analyze the optimum level of decentralization and delegation between the Regional Headquarters and institutional and district adminis-tration. This study will bring the decentralization process to its final steps.

ACTION PLAN

National Headquarters   Regional Headquarters   Institution and
                                                              District Offices
                                                              Administration

National
Headquarters

STUDY #2	STUDY #1	STUDY #3

Functional Cttee.   Functional Cttee.   Regional Committee

Facts   Facts   Facts
Gathering   Gathering   Gathering
            9   1   2

Director's Committee   Regional Management Cttee

Recommenda-   Recommenda-
tions   tions
        3   4

Steering Committee   National Coordination Committee

Integration — — — — Integration
        5   6

Commissioner
Decision
        7

Inst. & Dis-
tricts/Comm.

Implementation   Facts
            8   Gathering
                                      10

COMMITTEE ORGANIZATION

1. ## NHQ Steering Committee

    Membership: DC - Inmate Programs
                  DC - Operational Services
                  DC - Security
                  DG - Medical Services
                  Executive Director NPS
                  MCS representatives

    Role: 1.   Determine the roles and orientation of
                the different services and divisions of
                NHQ in the perspective of a decentralized
                organization.
          2.   Advise the Commissioner on the main prin-
                ciples and criteria which will delineate
                the optimum degree of decentralization.
          3.   Coordinate the work of NHQ's directors
                committee, review, and integrate its
                findings and recommendations.
          4.   Consult National Coordinating Committee
                for the integration of findings and recom-
                mendations concerning level of decentralization.

2. ## NHQ Directors Committees

    Membership: Each DC
                  Directors reporting to DC

    Role: 1.   To review, decide and integrate the recom-
                mendations of NHQ functional committees.
          2.   To develop the principles and criteria
                which determine the optimum level of de-
                centralization for respective functions.

3. <u>NHQ Functional Committees</u>

Membership: Each Division Director

Function Chiefs reporting to DD

Role: 1.   To gather facts and analyze information with a view to determine the optimum level of decentralization for functions within the division and control points which would be retained at NHQ.

2.   To recommend principles and criteria for delineation of the optimum level of decentralization for the functional area.

3.   To describe the impact on the HQ function in terms of resources, priorities, etc. under the suggested level of decentralization.

4.   To identify external consideration having a bearing on the decentralization process.

5.   To formulate recommendations for the NHQ Directors Committees.

4. <u>National Coordination Committee</u>

Membership: 5 Regional Coordinators

2 NPS representatives

MCS representative

Role: 1.   To coordinate the work of the regional committees.

2.   To review and integrate the findings and recommendations of the regional committees.

3.   To advise the Commissioner on the optimum level of decentralization of authority to Regions.

    4.   To advise the Commissioner on Regional impact in terms of resources, priorities and schedules for implementation.

    5.   To consult with the NHQ Steering Committee for the integration of all findings and recommendations.

5.   Regional Management Committee

Membership: Regional Directors (NPS & CPS)
                    Institution Directors (CPS)
                    District Office Directors (NPS)

Role: 1.   To review, decide, and integrate the findings and recommendations of the Regional Committees.

6.   Regional Committees

Membership: Regional Coordinator
                    (DRD OS)
                    RHQ Functional Chiefs

Role: 1.   To gather facts and analyze information with a view to determine the optimum level of decentralization of authority to the Region.

         2.   To describe the impact in terms of resources needed, priorities and schedules for implementation.

         3.   To formulate recommendations for the review and approval of the Regional Management Committee.

NHQ ROLE ORIENTATION UNDER DECENTRALIZATION

The following two sections of this paper postulate possible directions or focus for the orientation of NHQ functional roles under decentralization. They are intended to stimulate thinking and discussion of Committee members as we approach the interface of studies numbered 1 and 2.

The first section is a grid outlining the functions and activities of the management process in one direction (↓) and organization levels involved in the process in the other direction(→). Our comments on the grid suggest a possible role orientation under decentralization.

The second section is a discussion paper on "The Headquarters Evaluation Role". The evaluation activity takes on an added importance with decentralization of authority. This paper is one perception of what evaluation could mean under decentralization. It should also be considered as a draft discussion paper.

We, the Management Consultant Service (MCS) representatives, would appreciate D & D Committee members' comments and critique on the points discussed. All suggestions will be welcome. We hope these papers will give you some useful ideas in your role of formulating proposals for the Commissioner.
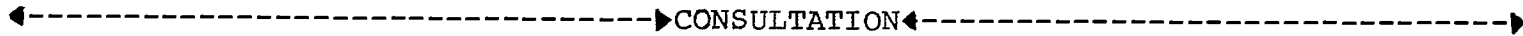
ORIENTATION OF ORGANIZATIONAL ROLES

MANAGEMENT ACTIVITY	NHQ	RHQ	INSTITUTIONS
◄------------------------►CONSULTATION◄-----------------------------►			
1.0 Plan (Predetermine a course of action)			
1.1 Forecast (Establish where present course will lead)	National projection Research Regional trends	Regional trend Input from inst.	provide data
1.2 Set Objectives (Determine desired end results)	Set National Objs (In concert with Regions)	Contribute to National Objs Set Regional objectives	Set institution objectives
1.3 Develop strategies (Decide how to achieve results)	Determine national strategy	Determine Regional strategy	Advise region
1.4 Program (Establish priorities sequence & timing)	Establish departmental priorities	Establish priorities within region	Advise region
1.5 Budget (Allocate resources)	Regional allocation Set limits on sub-allocations	Inst. allocation? set limits on sub allocations	Advise region
1.6 Set Procedures (Standardize methods)	National guidelines	Set operating procedures	Advise region
1.7 Develop policies (Make standing decisions on important recurring matters)	National policies	interpret Natl policies set Regional policies	Advise region

ORIENTATION OF ORGANIZATIONAL ROLES

| MANAGEMENT ACTIVITY	NHQ		RHQ	INSTITUTIONS
	←----------------------→ CONSULTATION ←----------------------→			
2.0 Organize (Arrange and relate work for effective accomplishment of objectives)				
2.1 Establish organization structure (Organization charts)	Determine overall CPS/NPS organization structure		assess and communicate Regional needs	assess and communicate Institution needs
2.2 Delineate relationships (Define relationships to facilitate coordination)	Determine overall CPS/NPS organization structure		assess and communicate Regional needs	assess and communicate Institution needs
2.3 Create position descriptions (Define scope, duties and responsibilities)	Approve position description		draft position description	describe needs
2.4 Establish classifitions (Define qualifications, levels for each position)	Approve classification level		provide input recommend level	provide input
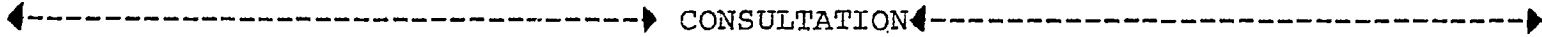
MANAGEMENT ACTIVITY	NHQ	RHQ	INSTITUTIONS
	◄-------------------------► CONSULTATION◄-------------------------►		
3.0 Staff (Choose and develop people for positions)			
3.1 Recruit (Select competent people)	HQ's positions positions at Region DRD or above	Regional positions ex.	Institution positions ex.
3.2 Orient (familiarize new people)	NHQ's positions	Regional HQ posns	Institution positions
3.3 Train (Make proficient by instruction)			
3.4 Develop (Help improve skills and attitudes)			

MANAGEMENT ACTIVITY	NHQ	RHQ	INSTITUTIONS
	--------------------------------▶ DIRECTION----.------------------------------▶		
	(Line Mgt)	(Line Mgt)	

4.0 Lead
    (Bring about action
    towards desired
    objectives)

4.1 Motivate
    (Persuade and
     inspire people
     to take desired
     action)

4.2 Coordinate
    (Relate efforts
     in most effective
     combination)

4.3 Manage Differences
    (Resolve conflicts)

4.4 Manage change
    (Promote innovation
     in achieving goals)

MANAGEMENT ACTIVITY		NHQ	RHQ	INSTITUTIONS
5.0	Evaluation (Determine if actions are meeting objectives and plan)	Evaluate Regions	Evaluate Institution	Evaluate selves
5.1	Establish reporting system (Determine what information is needed and when)	National System	Regional system (within National framework)	
5.2	Develop performance Standards (OĎMS) (Set conditions that indicate goal achievement)	Set overall standards in consultation with Regions	Set institution standards in consultation	
5.3	Measure Results (Ascertain extent of deviation from standard)	Region results	Institution results	
6.0	Control (Ensure progress towards objectives)			
6.1	Take corrective actions(Adjust plans, counsel to attain standards)	with regions	with institution	
6.2	Reward (Praise,remunerate discipline)	Region	Institution	

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THE HEADQUARTERS EVALUATION ROLE

The headquarters evaluation role is perhaps the least understood role that headquarters functional managers are called upon to fulfill under decentralized management. The purpose of this discussion is to address the line-staff relationships under decentralization and attempt to describe some of the implications of a headquarters orientation towards evaluation. Much of this discussion is drawn from the experiences of another large government department which followed this route several years ago.

As you know, the CPS organization is structured on the basis of line management and supporting functional groups. Line management - the commissioner, regional directors, and institution directors are principally responsible for the effective execution of overall departmental objectives, goals, plans and policies in their particular component and they are accountable for those operations results. Functional management, that is, for example, personnel, technical services, etc. are principally responsible for innovation and the communication of best practices in their particular field, for recommending departmental objectives, goals, plans and policies and for providing professional help and managing a variety of services in support of the line manager. In addition, they are responsible on behalf of the line managers to whom they report for evaluating functional contribution to operational performance of their functional counterpart reporting to a subordinate line manager.

Obviously, they are responsible to their own line
manager for their own functional contribution to opera-
tional performance and for the effectiveness of the ser-
vices they administer.

Now that we have attempted to clear the definitions,
let us concentrate first on the relationship of Headquarters
Functional Directors to the Commissioner and then on their
relationship to their functional counterparts who report
to the Commissioner's line management subordinates, i.e.
the Regional Directors and Institution Directors.

As a starting point, and simply put, all Headquarters
Functional Directors are sub-components of the Commissioner's
position as chief line manager. Therefore, when they act,
speak or do anything as a Headquarters Functional individual,
they are speaking or acting on behalf of the Commissioner.
There is, one- and this an important one - one major difference
between the Commisioner and his Functional Directors and it
is that the Functional Directors cannot command or direct his
line managers or their functional counterparts in the Region.
They may question; they may evaluate; they may suggest; they
may prod; they may communicate; they may provide professional
expertise; and I could go on and on, but line management are
the only people in the organization who can direct or command.

How does the functional manager get anything done that
is concrete, that is positive without going through the line
management chain? Quite simply. As mentioned earlier, he is

primarily responsible for recommending corporate objectives,
plans - that is national plans - and policy setting and it
is through this vehicle that he influences the direction
and success of the Service. And it is up to the Functional
Manager, on the Commissioner's behalf, to verify that the
Regions are working towards achieving those objectives;
working within the policies and successfully implementing
the national plans.

When a functional manager sees that a region is not
measuring up, he is expected to take the necessary steps to
insure that they do. If he finds that progress cannot be
made with his functional counterpart, he may move up the
scalor chain of command until ultimately, if necessary, it
lands on the desk of the Commissioner. He may then issue an
order or take action through line management. In practice
this would happen very infrequently.

To amplify an earlier point, I quote from a Price Water-
house Associate report on "Productivity Control Procedures".
They state it effectively:

> "The line executive is not compelled to accept
> even good advice from the staff executive. But
> it would be most unfortunate if he did other-
> wise because the entire responsibility for error
> would fall on him. On the other hand, the staff
> executive is bound to give good advice and it
> would be most unfortunate if the advice were
> otherwise."

Headquarters Functional Managers can evaluate the quality of the functional contribution to operational performance by their Regional counterparts without great difficulty providing they have some performance indicators to focus their attention on. Considerable progress has been made in this area with the development of the Operational Performance Measurement System (OPMS). With the continued innovation of functional management meaningful functional measures will be established and the basis for the evaluation can be implemented.

Naturally, functional managers have means to find out what is going on in the Regions other than by performance statistics. They may evaluate by reviewing achievements to goal; by field trips; by media reports; by committee meetings; by the functional counsel route; and so on. But the Commissioner can expect his functional managers to know more than what is going on or what is not going on, that should be in the Regions. He has a right to expect his functional heads to do whatever they can to improve the operational performance of the department. Therefore, they must be satisfied that Regions are solving their problems with actual plans and that opportunities are not missed.

In addition, headquarters functional heads may be expected to review, evaluate and critique all Regional commitments made in the form of goals or financial plans as part of the cyclical planning process. They may assess the viability of these plans, look for contradictions and disseminate good ideas to other

Regions. They would be doing this on the Commissioner's behalf and so he would look to them for suggestions and recommendations, and finally, an endorsement of the Regional functional plan. Then, they would evaluate the progress or the actual against that plan and if, in their opinion, a Region is falling behind its commitment they would be expected to do something positive to assist it in reaching its goals.

There is another implication in these relationships worth mentioning. If for some reason or another a field problem were to come to the Commissioner's attention by other than normal channels, his first point of contact at the questioning stage would be the Headquarters Functional group within which the functional responsibility lies. Naturally, one would hope that the Headquarters function would already be aware of the problem and have already seen to it that the Region were solving the problem if, in fact, it was really a problem to start with.

The approach just discussed saves a dilution of line management time and effort chasing around when, in fact, the problem is already taken care of by competent functional management. It is worth emphasizing that - except for the job of directing employees and exercising formal signing authority - senior line management has functional expertise to do just about everything else. Is that an over-simplication?

Not really, although I suspect that senior line managers do not always fully appreciate this. If they did, their job of managing would be easier and permit them more time to plan for the future.

In effect, the main success and the results that Headquarters Functional Managers will achieve will be by reason of being able to sell their ideas; by persuasion of people on the logic of their position; an ability to consult, listen to proposals, and adapt programmes and plans whenever their comments make sense; to appreciate the problems in the Regions and to use their implied authority in a discreet manner. The final point is important because, although Function Heads have considerable authority, as a consequence of their relationship with the chief line manager, and they can in fact often pull the string, they may find their job somewhat more difficult the next time around if they arbitrarily or indiscreetly pull that authority string. In terms of achieving results, which is primarily what we all are after, a good deal of discretion needs to be used in that authority.

In summary, the role orientation discussed here does not imply casting functional managers into a policeman's role watching and reporting to the Commissioner every move that is out of line. The intent of decentralization is to create a climate of mutual confidence around functional/line relationships which will encourage collaboration in the achievement of objectives. The guiding philosophy remains to "Let the managers manage."

LINE AND STAFF RELATIONSHIPS

Introduction

Much confusion has arisen both in the management science literature and in practice as to what line and staff are, and the results of this confusion have more than a semantic significance. There is probably no other single area of management which in practice causes more difficulties and more friction. Yet, line and staff relationships are important as an organizational way of life in a large, complex enterprise such as CPS.

The CPS organization has evolved from a highly centralized, relatively simple corporate structure to a regionalized organization characterized by increased functional specialization and increasingly complex organizational relationships throughout the various levels of the line and supporting staff structures. The FCA studies and the process of further decentalization and delegation of authority in order to better respond to local environmental conditions and government priorities has focussed attention on organizational roles and relationships.

Commissioner's Directive (CD) No. 106 dated August 9, 1974 outlines the general roles and relationships of the Penitentiary Service Organization. CD 102 dated September 24, 1974 further outlines the responsibilities of the Regional Headquarters.

It is inevitable that fundamental organization changes now underway in CPS/NPS will result in some friction between already sensitive relationships between line and staff and between the various reporting levels. The purpose of this paper is to attempt to clarify the authority relationships through a discussion of the relevant theory, and relate the theory to practical CPS/NPS applications.

Line and Staff; A Matter of Relationships

A widely held concept of line and staff is that:" line functions are those which have direct responsibility for accomplishing the objectives of the organization"[1] and that "staff refers to those elements of the organization that help the line to work most effectively."

A more precise and logically valid concept of line and staff in that they are simply a matter of relationships. In line authority one finds a superior and a subordinate with a line of authority running from the former to the latter. The nature of line authority becomes apparent from the scalar principle as being that relationship in which a superior exercises direct command over a subordinate - an authority relationship in direct line or steps.

The nature of the staff relationship is advisory. The term staff is normally applied to functional specialists who

1.Koontz & O'Donnell - Principles of Management

help line people get the job done.

So far, the relationships are relatively straight forward. The confusion starts to creep in when the concept of functional authority is introduced.

Functional authority is that authority delegated by the chief line executive (Commissioner) to his functional specialist (branch head) over specified and limited practices, policies or other matters affecting the whole organization. The reason for this delegation stems from outside and inside influences. On the outside are the requirements of agencies such as Treasury Board, Public Service Commission, Departments of Public Works and Supply and Services (to name a few) which may best be interpreted and administered by specialists. On the inside are matters of national impact or of such complexity that the best possible degree of uniform action is required, necessitating in turn that the functional expert (branch head) be given sufficient authority to ensure that desired procedures are carried out.

Functional authority can best be thought of in terms of headquarters functional controls. The extent of control excercised by the functional branch heads is governed by the functional procedure or policy in question. By limiting this authority to function and specific matters delineated by documented policies and procedures, the line manager's position

is not weakened. Hence, although an institution director may
be required to operate in accordance with, say national secu-
rity procedures specified by DC Security, he is still primarily
subject only to the orders, supervision, and control of his
line superiors, the Regional Director and Commissioner.

Simply put, the headquarters branch heads and their
functional directors are sub-components of the Commissioner's
position as chief line manager. Therefore, when they act or
speak on matters concerning their function, they are doing
it on behalf of the Commissioner. However, one important
difference remains, and cannot be overemphasized. The one
major difference between the Commissioner (line) and his
functional managers (staff) is that the <u>functional managers</u>
(branch heads, division) <u>cannot command or direct</u> his <u>line</u>
<u>managers</u> (Regional directors, institution directors) <u>nor</u>
their <u>functional counterparts</u> in the region. Acceptance of
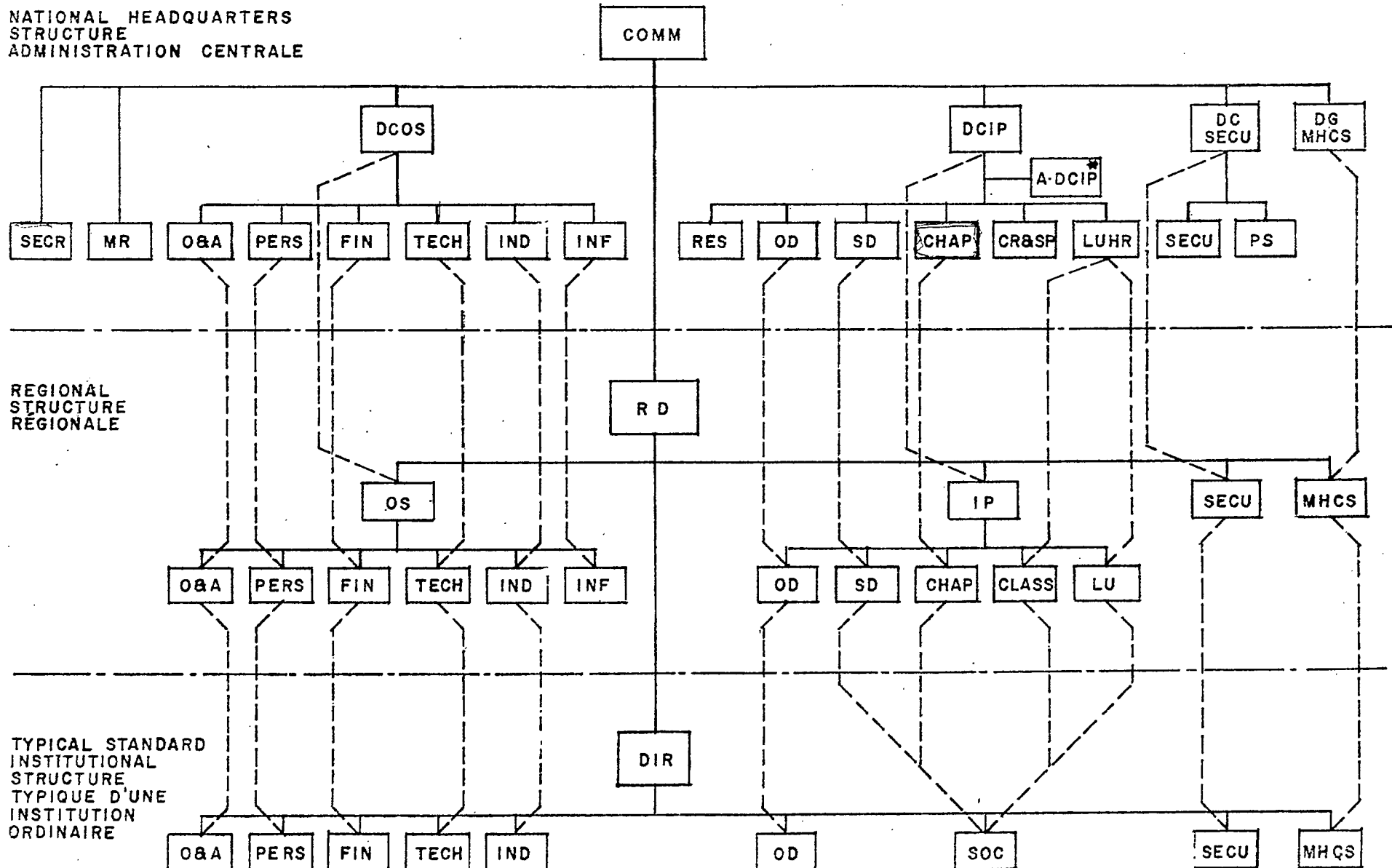this principle is essential for the avoidance of line-staff
conflict.

CPS Relationship Structure

The CPS relationship structure as documented in CD 106
is reproduced on the following page (page 4A) ...

The line authority, or scalor chain, is clearly shown at
the national headquarter level as extending from the Commissioner

C·P·S· RELATIONSHIP STRUCTURE
STRUCTURE DES RELATIONS

NATIONAL HEADQUARTERS
STRUCTURE
ADMINISTRATION CENTRALE

COMM

DCOS

DCIP

DC SECU

DG MHCS

A·DCIP *

SECR | MR | O&A | PERS | FIN | TECH | IND | INF

RES | OD | SD | CHAP | CR&SP | LUHR

SECU | PS

REGIONAL
STRUCTURE
RÉGIONALE

R D

OS

IP

SECU | MHCS

O&A | PERS | FIN | TECH | IND | INF

OD | SD | CHAP | CLASS | LU

TYPICAL STANDARD
INSTITUTIONAL
STRUCTURE
TYPIQUE D'UNE
INSTITUTION
ORDINAIRE

DIR

O&A | PERS | FIN | TECH | IND

OD

SOC

SECU | MHCS

* Acts for DCIP in his absence·
☆ Agit comme DCIP en son absence·

—————— LINE AUTHORITY - AUTORITÉ HIÉRARCHIQUE

- - - - - FUNCTIONAL AUTHORITY - AUTORITÉ FONCTIONNELLE

to the Branch Heads and within each Branch to he Divisional
Directors. The diagram could be extended to depict line
authority relationships of headquarters divisional staff
and their divisional directors. Similar line relationships
are shown to exist between regional functional staff and
their regional director and institutional staff and their
directors. Finally the scalar chain is completed with the
line authority relationship shown extending from institutional
directors to regional directors to Commissioner.

The important point to note is the absence of any line
authority relationship between function heads and their
functional counterparts in the region or institution. This
is consistent with the theory previously discussed.

The organization chart also shows the principal functional
relationships extending from national headquarters to functional
counterparts in the field organization. The Service-wide
application for their specific areas of responsibility stems
from their respective coordination roles stated in CD 106.

The more encompassing nature of functional authority
could be shown by adding dotted lines depicting the specific
functional authority of each branch over other branches. This
would show, for example, that the Finance function is delegated
functional authority (on certain financial matters) over other
branches as well as over their functional counterparts in the
field. However, to attempt to show all possible relationships
on a single chart would clutter it to the extent that it might
become incomprehensible.

Line and Staff in Practice

Let us consider a case where line and staff relationships
might come into conflict. Suppose the Director of Financial
Services sees a need for a Service-wide policy on some financial
accounting matter. He may have arrived at his decision based
on an outside influence (Treasury Board direction perhaps) or
based on an inside influence (his specialist judgement that
perhaps a uniform accounting practice is needed throughout
the Service). He may direct his own Financial Services
personnel (line relationships) to do work concerning the
desired policy. He may at this point, or earlier in the process,
consult his regional counterparts and/or other staff (functional
relationships) for an exchange of views. He may propose the
policy to his superiors, the DCOS and Commissioner, for approval
(line relationships). They in turn must decide to approve or
reject. They, of course, might seek additional advice and
weigh any number of considerations such as, for example, whether
concurrence with Regional staff was obtained. With approval,
the policy becomes a matter of line relationships. The line
organization is now obligated to conform to the approved policy.
It does not end there, however.

The functional units still have a responsibility to
provide advice and counsel in the application of the policy
and to evaluate performance relating to it. Suppose our
functional manager is not satisfied that the policy is being
correctly administered in the field. He may, in fact he is
obligated to, advise the accountable line manager that he
is violating departmental policy; he may advise him: " You
can't do that!" In turn the line manager may scream that
the staff man is usurping his authority, that he has no right
to tell him what to do. But the usurpation of authority in
this case is only apparent, not real, for when departmental
policy is enunciated, the scope of authority of all managers
is immediately limited. Authority, or freedom to act, means

freedom to act within the confines of corporate policy
(or controls).

And what happens if our functional manager is not able
to make progress in dealing with his functional counterparts
in the field no matter how persuasive his advice may be?
Well, he may then resort to his line relationships. He may
move up the scalar chain of command until ultimately, if
necessary, the matter lands on the desk of the Commissioner.
He in turn may command action through the line management
chain.

Line and Staff Roles

The concepts of line and staff have been briefly discussed.
The following table illustrates the concepts with a comparison
of aspects of the management process frequently associated with
line and staff.

LINE	STAFF
* direct responsibility for accomplishing the objectives of the organization	* indirect collaboration to accomplish organization objectives
* actions	* ideas and recommendations
* personal authority	* authority of ideas
* authority of position	* authority of specialized knowledge and influence

LINE	STAFF
* decision-making	*provision of useful information for decision-making
* right to command	* obligation to convince
* execute	* plan
* results	* services

The points outlined above are, of course, an oversimplification of complex relationships. As previously stated, line and staff are best thought of as organizational relationships and not units neatly placed on a chart. Nevertheless, we can generalize the term "staff" as applying to specialists who help line officers in one or more of the following ways.

.... By providing services. Staff relieves line of certain duties. Once operations reach a given size and complexity it becomes a practical necessity for line officers to be provided with assistance to have many functions done on their behalf. Examples are employee classification, procurement of supplies, records keeping etc.etc.

.... By giving advice. Staff provides authoritative information to all, interprets the information and transcribes it into useful form. Corrections have reached the stage of complexity at which individual officers cannot be expected to know enough about all the jobs to be performed. Consequently, the availability of specialist/professional advice is essential.

.... By introducing change. The organization relies on staff as
the catalyst for the introduction of new ideas because
change is "suggested by the interpretation of raw data,
an activity which of necessity is specialist"[2]. Inmate
Programs provide a good example within CPS.

.... By developing plans and policies. Staff, in consultation
with line officers, works out much of the detail
pertaining to organization plans and policies, as well
as related procedures and controls. This can stem from
outside or inside influences. From outside, specialist
knowledge is often needed to interpret the requirements
of statutes or other government policies and for application
within the department. From inside, organization needs
are developed into plans, programs, policies etc. with
the help of staff specialists. There is no suggestion
here that staff does the planning to the exclusion of
line officers. Rather a complementary, supporting relation-
ship in which staff helps provide form and substance to
line management's intents is involved. Familiarity with
the detailed aspects also permits staff to interpret
plans and policies to the other members of the organization.

.... By helping in problem-solving. This form of professional
help is not unlike the advisory role except it is more
likely concerned with immediate and specific problems.
If the staff is genuinely concerned with providing
professional help to all levels of management it will
devote a great deal of time to exploring "client" needs
directly, and to helping the client find solutions which
satisfy him. Often the most effective strategy is one in
which the client develops his own solution with professional
help. The danger is that staff groups can forget that

2. Victor H. Thompson, "Hierarchy,Specialization, and Organizational
   Conflict" Administrative Science Quarterly,March 1961

help is defined by the recipient. It is not uncommon criticism for headquarters staff groups to be accused of sitting in their professional ivory towers deciding what help the field organization needs, and without consulting them to develop plans and programs for meeting those "needs".
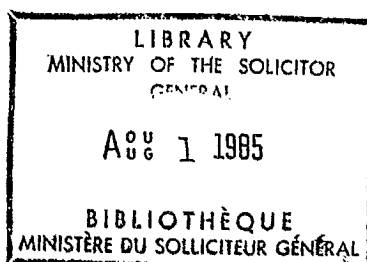
:... By evaluation and control. Staff units play a functional evaluation role and also provide control as it relates to monitoring conformance to established policies and controls. This is not a policeman's role watching over day-to-day operations. It is a responsibility on behalf of the line managers to whom they report for evaluating functional contributions to operational performance of their functional counterparts reporting to a subordinate line manager. The activity is results oriented focussing on final results achieved and not on day-to-day nor individual performance. The headquarters evaluation role has been discussed in a paper distributed under Management Consulting Services memo dated March 9, 1976.

MANAGEMENT CONTROL

The fundamental CPS/NPS organization changes now in process involving the formation of the FCA and increased decentralization and delegation of authority will require some re-orientation of roles. A discussion of line-staff and decentralization would be incomplete without addressing the question of management controls and in particular national headquarters controls under decentralization. The need for such controls is generally accepted to result from needs for a level of national uniformity or consistency in terms of national policies, goals and objectives. Otherwise, the risk is that five Federal Correction Agencies

could result with each going its own way. Regardless of
the degree of decentralization decided upon, some head-
quarters (National and Regional) control will be necessary
and the respective staff elements will play a part in the
management control process.

The pitfall to be avoided is casting the functional
manager into the role of "policeman". By that, I mean,
the functional manager's role should not be related to day-
to-day or individual performance of his functional counter-
parts in the field, watching their performance; and, if
something goes wrong, locating the "culprit". Rather, their
role should be oriented towards overall results achieved
and acting as professional helper. Clearly, the helping
role and the role of policeman are absolutely incompatible.
To place an individual in the latter is likely to destroy
the possibility of his occupying the former one successfully.

Date Due