Perspectives on cutback management in public organisations : what public managers do

Schmidt, J.E.T.

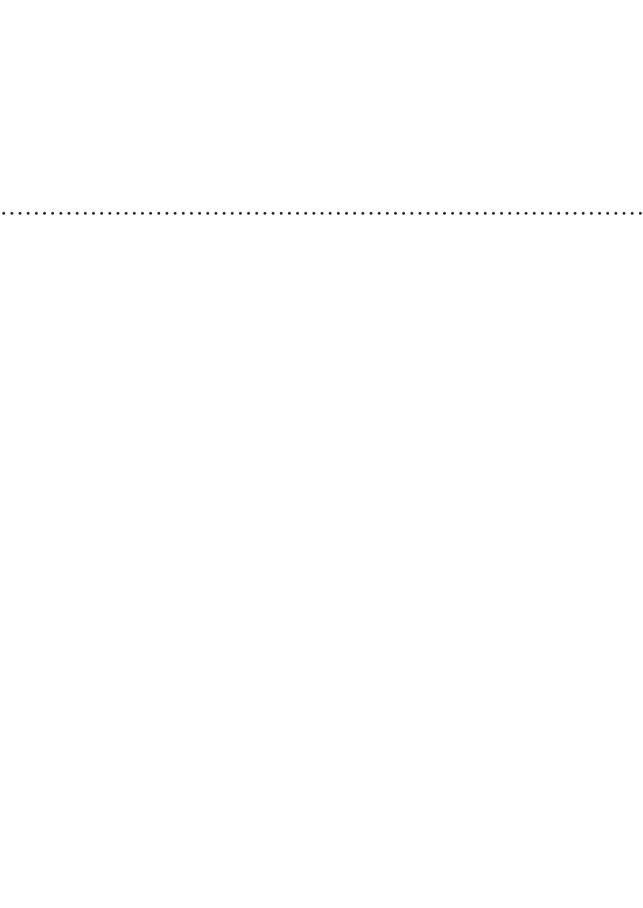Cover Page

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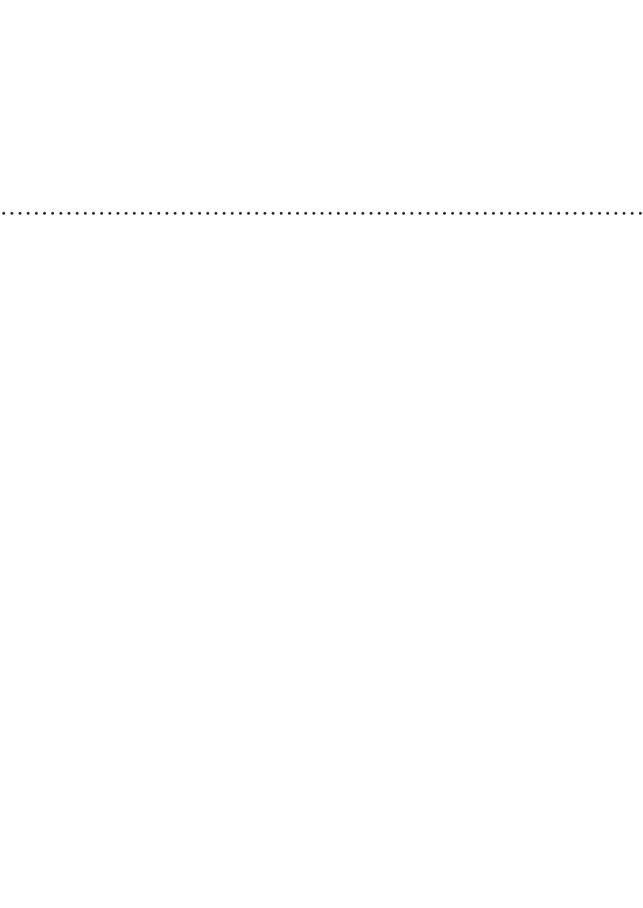
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Appendices

APPENDICES

The next pages include the appendices for this dissertation. The appendices are organised per chapter, and are the same of the submitted or published (empirical) chapters.

APPENDIX TO CHAPTER 1 AND 2

This overview shows a list of respondents. In order to safeguard anonymity of the respondents, we only include their position and the case.

Position	Case
Director DJI	Case 1
Prison director	Case 1
Director DJI	Case 1
Director DJI	Case 1
Director DJI	Case 1
Director ministry	Case 1
Director ministry	Case 1
Prison director	Case 1
Prison director	Case 1
Prison director	Case 1
Prison director	Case 1
Prison director	Case 1
Prison director	Case 1
Political actor	Case 1
Director DJI	Case 1
Political actor	Case 1
Director	Case 1
Prison director	Case 1
Political actor	Case 1
Prison director	Case 1
Director DJI	Case 1
Director DJI	Case 1
Director-General	Case 1
Director ministry	Case 1
Secretary-General	Case 1
Personnel representative	Case 1
Director	Case 1
Prison director	Case 1
Secretary-General	Case 1

Appendices

Position	Case
Director	Case 1
Director	Case 1
Employees (focus group)	Case 1
Employees (focus group)	Case 1
Team leaders (focus group)	Case 1
Team leaders (focus group)	Case 1
Head of department	Case 2
Director-General	Case 2
Director	Case 2
Director	Case 2
Director-General	Case 2
Director	Case 2
Director	Case 2
Director	Case 2
Director	Case 2
Director-General	Case 2
Director-General	Case 2
Secretary-General	Case 2
Director	Case 2
Policy Advisor	Case 2
Head of department	Case 2
Director	Case 2
Secretary-General	Case 2
Head of Department	Case 2
Project manager	Case 2
Director	Case 2
Director-General	Case 2
Secretary-General	Case 2
Director-General	Case 2
Director-General	Case 2
Director-General	Case 2
Policy Advisor	Case 2
Policy Advisor	Case 2
Head of Department	Case 2
Director-General	Case 2
Director	Case 2
Director	Case 2
Director	Case 2
Head of Department / Project manager	Case 2
Policy advisor	Case 2

Position	Case
Policy advisor	Case 2
Policy advisor	Case 2
Director-General	Case 3
Director-General	Case 3
Secretary-General	Case 3
Director-General	Case 3
Director-General	Case 3
Director-General	Case 3
Director-General	Preliminary interviews, chapter 6
Director-General	Preliminary interviews, chapter 6
Director-General	Preliminary interviews, chapter 6
Director-General	Preliminary interviews, chapter 6
Director-General	Preliminary interviews, chapter 6
Director-General	Preliminary interviews, chapter 6
Director-General	Preliminary interviews, chapter 6
Secretary-General	Preliminary interviews, chapter 6
Secretary-General	Preliminary interviews, chapter 6
Secretary-General	Preliminary interviews, chapter 6
Secretary-General	Preliminary interviews, chapter 6
Secretary-General	Preliminary interviews, chapter 6
Director	Preliminary interviews, chapter 6
Director	Preliminary interviews, chapter 6
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Director	Preliminary interviews, chapter 6

APPENDIX TO CHAPTER 3

APPENDIX 3A *Overview cutback measures* [17]

Most important measures of the "Masterplan DJI"	Explanation		Estimated budgetary reduction in millions in 2018[17]	
	Masterplan I	Masterplan II	Masterplan I	Masterplan II
Closing prisons	Closing down 26 prison locations (out of 55), Reduction of 3400 FTE.	Closing down 19 prison locations (out of 55), Reduction of 2000 FTE.	92 + 29 (sum of two measures below)	16 +31 (sum of two measures below)
Electronic detention	Making use of electronic detention so that detainees can fulfil their prison time at home.	Making use of electronic detention for a limited number of inmates, who are allowed to work outside prison.	92	16
Increased number of multi-person cells	Increasing the number of inmates that are sharing a cell, from 1431 to 2856.	Increasing the number of inmates that are sharing a cell, from 1431 to 3060.	29	31
Austerity measures prison regimes	Less time for sports, leisure, and work (which are relatively expensive) for detainees.	Less time for sports, leisure, and work (which are relatively expensive) for detainees.	10	8
Reduction of the reserve capacity	Decreasing the backup capacity of prison cells.	Decreasing the backup capacity of prison cells.	11	11
Cutbacks for mental institutions and juvenile penitentiary institutions	Decreasing the number of mental health institutions and juvenile penitentiary institutions	Decreasing the number of mental health institutions and juvenile penitentiary institutions	56	56
Various efficiency cuts	-	-	98	98
Total amount of cutbacks			343	267

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17   Most cutback management measures take some time to be realised and hence to pay off, thus we display the amount of money that would structurally (as of 2018) be cut from the budget.

APPENDIX 3B *List of respondents[18]*

Organisation[18]	Number of interviewees
Prisons	7
Executive Agency DJI	8
Ministry of Safety & Justice	6
Other civil servants (policy advisors)	2
Political principals (not recorded)	1
Other political actors (not recorded)	2
Total	26

APPENDIX 3C *Policy documents*

Document	(Publicly) released
1. Masterplan DJI	March 19th 2013
2. Refined Masterplan DJI	June 19th 2013
3. Internal (Leaked) concept plans closing prisons	Undated (released November 11th 2013)
4. Internal Departmental policy evaluation	April 2013
5. Internal Cost-efficiency analysis	March 5th 2013
6. Internal Personnel Policyplan	July 1st 2013
7. Internal Q&A Masterplan DJI	Undated
8. Minutes of Parliamentary meeting	
a. Minutes debate January 24th 2013	January 24th 2013
b. Document number 24587-503	April 24th 2013
c. Document number 24587-507	May 27th 2013
d. Minutes debate March 14th 2013	March 14th 2013
e. Minutes debate June 6th 2013	June 6th 2013
9. Letters to parliament	
a. Document number 24587-490	March 22nd 2013
b. Document number 24587-506	May 17th 2013
c. Document number 24587-508	June 4th 2013
d. Document number 24587-509	June 11th 2013
e. Document number 24587-510	June 19th 2013
f. Document number 24587-534	August 28th 2013
g. Document number 24587-535	November 5th 2013
h. Document number 24587-564	November 12th 2013
i. Document number 24587-135	November 12th 2013
j. Document number 24587-568	June 17th 2013
10. Letter by the Association of Prison Directors	April 4th 2013

18 As interviewees was promised anonymity, the list of respondents only contains more general information on the interviewed persons for this study.

APPENDIX TO CHAPTER 4

APPENDIX 4A *Newspaper analysis*

To identify actors that were involved in the cutback management process, we first analysed newspapers articles from September 2012 to December 2013. This timeframe was used as elections in the Netherlands in September 2012 resulted in a new government. In July 2013, the Dutch Parliament accepted the cutback management plans for the prison sector, coming into effect from January 2014 onwards. In other words, by December 2013, decision-making was finalized. We combined two different ways of searching for relevant newspapers articles. First, the Lexis Nexus database for newspapers articles was used to search for articles that were published in-print, using a number of different keywords (these can be found in the appendix). For each search term, the number of articles was registered, and all unique articles were downloaded. Some articles appeared in multiple newspapers, for example shared articles by regional newspapers. Such identical articles have been included once. Second, we collected newspaper articles by performing a Google News search in order to identify articles that were published in major online news-outlets. In total, 107 news articles were coded.

All articles were coded using Nvivo. For all articles, we coded which actors were mentioned in the article, whether they could be considered as external or internal actors, and what their main message (hence their goal during cutbacks) was. Based on a previous study of the same policy sector we made a list of predefined codes. After coding all articles, all codes in the more general categories were reviewed and possibly be given new codes or merged with other codes. Table A, below, shows a descriptive overview of the actors involved in the process.

TABLE A *Representation of different actors (total number of articles = 107)*

External actors	Appeared in … articles	Internal Actors	Appeared in … articles
Mayor	35	Detainees	9
Local politicians	14	Partner organisations	6
King´s commissioners	6	Personnel representation	19
Members of Parliament	23	Personnel	19
Labour unions	21	Prison directors	26
Other external actors	15	Other internal actors	8
Total	114	Total	87

APPENDIX TO CHAPTER 5

Appendix 5A *Coding scheme by chapter 5 Managing downward: a leadership perspective*

Leadership behaviour	Open Coding *In this phase, fragments of the transcripts were given specific codes that reflect leadership behaviour as expressed by the respondents.*	Axial coding *In this phase, the codes from the open coding round were assessed on differences and similarities and, afterwards, merged or split, and given codes reflecting the leadership literature in table 1.* *CL = Crisis Leadership, TL = Transformational Leadership, ChL = Change Leadership*
Communication *How and why do public managers communicate with employees during cutbacks*	• Framing changes • Communicating plans • Explaining why change is necessary • Explaining why change is desired • Sending newsletters with updates on cutbacks • Explaining role in cutback-related changes to employees • Explaining changes must go through • Weekly meetings with employees • Promoting the benefits of changes	• Ensuring the need for change (ChL) • Motivating through inspiration (TL) • Blame games (CL) • Framing changes (CL / ChL)
Interaction with employees: Engaging in change process *How and why do public managers (try to) engage employees in the change process*	• Asking employees opinion • Discussing with formal representatives • Making new rules in the workplace • Organising workshops • Motivating employees during cutbacks • Motivating employees to take action against cutbacks • Organising brainstorms • Asking employees for expertise	• Asking employees opinions (ChL) • Collecting input from employees expertise (ChL) • Institutionalizing changes (ChL) • Motivating employees to come up with ideas (ChL) • Intellectual Stimulation (TL)

Coding scheme, continued

Interacting with employees: Individual consideration *How and why do public managers interact with employees on individual basis*	• Taking employee needs into account • Informal contact with employees • Protecting from cutbacks • Listening to employee needs • Being in contact with employees • Supporting employees in the change process	• Recognizing individual needs (ChL) • Individual consideration (TL)
Role Modelling *How and why do public managers use role modelling behaviour*	• Giving away privileges • Promoting good behaviour • Behaviour congruent with organisational culture • Leadership by example • Rewarding good behaviour	• Giving the right example (TL / ChL) • Being a role model (TL) • Showing behaviour congruent with the projected vision (TL / ChL)
Orientation *What is public managers orientation while managing cutback-related change*	• Role political superiors in decision-making • Seeking help from top civil servants • Asking superiors for help with change • Seeking advice outside the organisation • Seeking support from external stakeholders • Seeking internal support • Making sure business continues as usual • Asking for resources for change	• Institutionalizing changes (ChL) • Interacting with external stakeholders (CL)
Cutbacks *What are aspects of cutback-related changes that public managers take into account*	• Role management board • Centralizing decision-making • Top-down change processes • Planned change process • Dealing with resistance • Cutback management strategy • Setting direction • Trying to innovate • Providing a plan for change • Setting goals	• Aspects of cutback-related change