

# PART B: STATEMENT OF SERVICE PERFORMANCE

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## STATEMENT OF RESPONSIBILITY

In terms of the Public Finance Act 1989, section 45C, I am responsible, as Chief Executive of the Department of Corrections, for the preparation of the Department's financial statements and statement of service performance, and for the judgements made in these statements.

I have the responsibility of establishing, and I have established, a system of internal control designed to provide reasonable assurance as to the integrity and reliability of financial reporting.

In my opinion, these financial statements and statement of service performance fairly reflect the financial position and operations of the Department for the year ended 30 June 2012.

Signed



**Ray Smith**

Chief Executive

28 September 2012

Countersigned



**Sean Mahony**

Chief Financial Officer

28 September 2012

## INDEPENDENT AUDITOR'S REPORT

AUDIT NEW ZEALAND

Mana Arotake Aotearoa

### To the readers of Department of Corrections' financial statements, non-financial performance information and schedules of non-departmental activities for the year ended 30 June 2012

The Auditor-General is the auditor of Department of Corrections (the Department). The Auditor-General has appointed me, Clint Ramoo, using the staff and resources of Audit New Zealand, to carry out the audit of the financial statements, the non-financial performance information and the schedules of non-departmental activities of the Department on her behalf.

We have audited:

- > the financial statements of the Department on pages 67 to 103, that comprise the statement of financial position, statement of commitments, statement of contingent liabilities and contingent assets as at 30 June 2012, the statement of comprehensive income, statement of changes in taxpayers' funds, statement of departmental expenditure and capital expenditure against appropriations, statement of unappropriated expenditure and statement of cash flows for the year ended on that date and the notes to the financial statements that include accounting policies and other explanatory information; and
- > the non-financial performance information of the Department that comprises the statement of service performance on pages 37 to 64 and the report about outcomes on pages 9 to 22; and
- > the schedule of non-departmental activities of the Department on page 104, that comprise the schedule of non-departmental expenses, for the year ended 30 June 2012.

### OPINION

In our opinion:

- > the financial statements of the Department on pages 67 to 103:
  - comply with generally accepted accounting practice in New Zealand; and
  - fairly reflect the Department's:
    - financial position as at 30 June 2012;
    - financial performance and cash flows for the year ended on that date;
    - expenses and capital expenditure incurred against each appropriation administered by the Department and each class of outputs included in each output expense appropriation for the year ended 30 June 2012; and
    - unappropriated expenses and capital expenditure for the year ended 30 June 2012. and
- > the non-financial performance information of the Department on page 9 to 22 and 37 to 64:
  - complies with generally accepted accounting practice in New Zealand; and
  - fairly reflects the Department's service performance and outcomes for the year ended 30 June 2012, including for each class of outputs:
    - its service performance compared with the forecasts in the statement of forecast service performance at the start of the financial year; and
    - its actual revenue and output expenses compared with the forecasts in the statement of forecast service performance at the start of the financial year.
- > the schedules of non-departmental activities of the Department on page 104:
  - comply with generally accepted accounting practice in New Zealand; and
  - fairly reflect:
    - the expenses against appropriations and unappropriated expenditure and capital expenditure for the year ended 30 June 2012 managed by the Department on behalf of the Crown.

Our audit was completed on 28 September 2012. This is the date at which our opinion is expressed.

The basis of our opinion is explained below. In addition, we outline the responsibilities of the Chief Executive and our responsibilities, and we explain our independence.

## BASIS OF OPINION

We carried out our audit in accordance with the Auditor-General's Auditing Standards, which incorporate the International Standards on Auditing (New Zealand). Those standards require that we comply with ethical requirements and plan and carry out our audit to obtain reasonable assurance about whether the financial statements, the non-financial performance information and the schedules of non-departmental activities are free from material misstatement.

Material misstatements are differences or omissions of amounts and disclosures that would affect a reader's overall understanding of the financial statements, the non-financial performance information and the schedules of non-departmental activities. If we had found material misstatements that were not corrected, we would have referred to them in our opinion.

An audit involves carrying out procedures to obtain audit evidence about the amounts and disclosures in the financial statements, the non-financial performance information and the schedules of non-departmental activities. The procedures selected depend on our judgement, including our assessment of risks of material misstatement of the financial statements, the non-financial performance information and the schedules of non-departmental activities, whether due to fraud or error. In making those risk assessments, we consider internal control relevant to the Department's preparation of the financial statements, the non-financial performance information and the schedules of non-departmental activities that fairly reflect the matters to which they relate. We consider internal control in order to design audit procedures that are appropriate in the circumstances but not for the purpose of expressing an opinion on the effectiveness of the Department's internal control.

An audit also involves evaluating:

- > the appropriateness of accounting policies used and whether they have been consistently applied;
- > the reasonableness of the significant accounting estimates and judgements made by the Chief Executive;
- > the appropriateness of the reported non-financial performance information within the Department's framework for reporting performance;
- > the adequacy of all disclosures in the financial statements, the non-financial performance information and the schedules of non-departmental activities; and
- > the overall presentation of the financial statements, the non-financial performance information and the schedules of non-departmental activities.

We did not examine every transaction, nor do we guarantee complete accuracy of the financial statements, the non-financial performance information and the schedules of non-departmental activities. We have obtained all the information and explanations we have required and we believe we have obtained sufficient and appropriate audit evidence to provide a basis for our audit opinion.

## RESPONSIBILITIES OF THE CHIEF EXECUTIVE

The Chief Executive is responsible for preparing:

- > financial statements and non-financial performance information that:
  - comply with generally accepted accounting practice in New Zealand;
  - fairly reflect the Department's financial position, financial performance, cash flows, expenses and capital expenditure incurred against each appropriation and its unappropriated expenses and capital expenditure; and
  - fairly reflect its service performance and outcomes; and
- > schedules of non-departmental activities, in accordance with the Treasury Instructions 2011 that:
  - comply with generally accepted accounting practice in New Zealand; and
  - fairly reflect those activities managed by the Department on behalf of the Crown.

The Chief Executive is also responsible for such internal control as is determined is necessary to enable the preparation of financial statements, non-financial performance information and schedules of non-departmental activities that are free from material misstatement, whether due to fraud or error.

The Chief Executive's responsibilities arise from the Public Finance Act 1989.

## RESPONSIBILITIES OF THE AUDITOR

We are responsible for expressing an independent opinion on the financial statements, the non-financial performance information and the schedules of non-departmental activities and reporting that opinion to you based on our audit. Our responsibility arises from section 15 of the Public Audit Act 2001 and the Public Finance Act 1989.

## INDEPENDENCE

When carrying out the audit, we followed the independence requirements of the Auditor-General, which incorporate the independence requirements of the New Zealand Institute of Chartered Accountants.

In addition to the audit we have carried out assurance review over request for proposal process for professional services and tender process for provision of electronic security services. These areas are compatible with those independence requirements.

Other than the audit of these assignments, we have no relationship with or interest in the Department.



Clint Ramoo

### Audit New Zealand

On behalf of the Auditor-General  
Wellington, New Zealand

## MATTERS RELATING TO THE ELECTRONIC PRESENTATION OF THE AUDITED FINANCIAL STATEMENTS AND STATEMENT OF SERVICE PERFORMANCE

This audit report relates to the financial statements and statement of service performance of the Department of Corrections (the Department) for the year ended 30 June 2012 included on the Department's website. The Chief Executive is responsible for the maintenance and integrity of the Department's website. We have not been engaged to report on the integrity of the Department's website. We accept no responsibility for any changes that may have occurred to the financial statements and statement of service performance since they were initially presented on the website.

The audit report refers only to the financial statements and statement of service performance named above. It does not provide an opinion on any other information which may have been hyperlinked to or from the financial statements and statement of service performance. If readers of this report are concerned with the inherent risks arising from electronic data communication they should refer to the published hard copy of the audited financial statements and statement of service performance as well as the related audit report dated 30 September 2012 to confirm the information included in the audited financial statements and statement of service performance presented on this website.

Legislation in New Zealand governing the preparation and dissemination of financial information may differ from legislation in other jurisdictions.



# THE YEAR AT A GLANCE

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## IN 2011/12 THE DEPARTMENT OF CORRECTIONS:

### **Information and administrative services to the Judiciary and New Zealand Parole Board**

- > came within 10 percent of all benchmark standards, with a budget surplus of over \$2.9 million

### **Management of third party custodial services**

- > achieved all but one performance target, with a budget surplus of over \$1.7 million
- > implemented strategies to remedy performance where needed

### **Policy advice and ministerial services**

- > met or exceeded all budget standards within budget

### **Prison-based custodial services**

- > came within 10 percent of, or exceeded, the majority of benchmark standards
- > performed within budget
- > identified that serious injuries resulting from assaults are an area of concern, and identified several new initiatives to help keep staff and prisoners safe

### **Rehabilitation and reintegration**

- > came within 10 percent of, or exceeded, most benchmark standards within budget

### **Sentences and orders served in the community**

- > met all budget standards within budget
-

## INFORMATION AND ADMINISTRATIVE SERVICES TO THE JUDICIARY AND NEW ZEALAND PAROLE BOARD

This appropriation is limited to the provision of information about offenders to victims of crime, the Judiciary and the New Zealand Parole Board (NZPB), and the provision of administrative, financial and secretariat services to the New Zealand Parole Board.

### OUTPUT CLASS STATEMENT

For the year ended 30 June 2012

	2010/11	2011/12		
	Actual	Actual	Main	Supp.
	\$000	\$000	Estimates	Estimates
			\$000	\$000
<b>REVENUE</b>				
Crown	65,576	59,898	56,498	59,898
Departmental	514	511	507	507
Other	–	–	–	89
<b>Total Revenue</b>	<b>66,090</b>	<b>60,409</b>	<b>57,005</b>	<b>60,494</b>
<b>Total Expenses</b>	<b>62,109</b>	<b>57,559</b>	<b>57,005</b>	<b>60,494</b>
<b>Net Surplus / (Deficit)</b>	<b>3,981</b>	<b>2,850</b>	<b>–</b>	<b>–</b>

### OUTPUT: INFORMATION SERVICES TO THE JUDICIARY

This output focuses on the preparation of reports that provide sentencing Judges with information about offenders, to assist with the sentencing process. This service includes attendance at court, prosecutions, and attendance at sentencing resulting from Community Probation Service initiated proceedings. This output supports the Judiciary to make informed decisions.

This output is demand driven by the Judiciary and as such the Department has very limited control over the demand for its services. The demand experienced during the 2011/12 financial year was 53,399 reports to courts, and 102,159 court attendance hours.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of reports provided to agreed standards (see note 3):				
· Probation reports	94%	≥ 90%	97%	0%
· Psychological reports	note 1	100%	99%	(1%)
– Private prison	note 1	100%	90%	(10%)
– Rehabilitation and Reintegration Services	note 1	100%	100%	0%
<b>TIMELINESS</b>				
The percentage of reports provided to court within agreed timeframes before sentencing (see note 4):				
· Probation reports	94%	≥ 95%	95%	0%
· Psychological reports	98%	100%	98%	(2%)
– Private prison	note 1	100%	100%	0%
– Rehabilitation and Reintegration Services	98%	100%	98%	(2%)

## OUTPUT: INFORMATION SERVICES TO THE NEW ZEALAND PAROLE BOARD (NZPB)

This output focuses on ensuring reports provide information to the Board to assist with decisions regarding a prisoner's release from prison. The Department also provides progress reports to the Board on offender compliance with the conditions of their parole orders. This output supports the Board to make informed decisions.

This output is demand driven by the Board and as such the Department has very limited control over the demand for its services. The demand experienced during the 2011/12 financial year was 8,352 reports to the Board.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of reports provided to agreed standards (see note 5):				
• Parole Assessment reports	note 1	100%	100%	0%
– Private prison	note 1	100%	100%	0%
– Rehabilitation and Reintegration Services	note 1	100%	100%	0%
• Parole Progress reports	note 1	≥ 90%	99%	0%
• Psychological reports	note 1	100%	100%	0%
– Private prison	note 1	100%	100%	0%
– Rehabilitation and Reintegration Services	note 1	100%	100%	0%
<b>TIMELINESS</b>				
The percentage of reports provided to agreed timeframes (see note 6):				
• Parole Assessment reports	note 1	≥ 75%	85%	0%
– Private prison	note 1	≥ 75%	91%	0%
– Rehabilitation and Reintegration Services	note 1	≥ 75%	85%	0%
• Parole Progress reports	93%	≥ 95%	97%	0%
• Psychological reports	100%	100%	95%	(5%)
– Private prison	note 1	100%	90%	(10%)
– Rehabilitation and Reintegration Services	100%	100%	95%	(5%)



## OUTPUT: INFORMATION AND ADMINISTRATIVE SERVICES TO VICTIMS

This output focuses on the administration of victim notification services. The Department has a responsibility to notify eligible victims about specific events as detailed in the Victims' Rights Act 2002. The New Zealand Police refer details of eligible victims to the Department.

This output is demand driven by the New Zealand Police and as such the Department has very limited control over the demand for its services. The demand experienced during the 2011/12 financial year was 754 referrals received from the New Zealand Police.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY AND TIMELINESS</b>				
The number of justified complaints about notification services received from registered victims	Nil	Nil	Nil	0%
The percentage of registered victims who are notified as per Department and legislative requirements (see note 7)	100%	100%	100%	0%

## OUTPUT: ADMINISTRATIVE SERVICES TO NEW ZEALAND PAROLE BOARD (NZPB)

The Department provides administrative services to the New Zealand Parole Board.

This output is demand driven by the Board and as such the Department has very limited control over the demand for its services. The demand experienced during the 2011/12 financial year was 8,942 hearings where administrative support was required.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of offenders who are notified as per the NZPB requirements (see note 8)	100%	100%	100%	0%
The percentage of victims who are notified as per the NZPB requirements (see note 9)	98%	100%	100%	0%
<b>TIMELINESS</b>				
The percentage of all cases scheduled to be heard by the NZPB that are scheduled no later than 16 weeks from the date of the hearing	100%	100%	100%	0%

## MANAGEMENT OF THIRD PARTY CUSTODIAL SERVICES

This appropriation is limited to preparing for and managing contracts for the provision of custodial services by third parties.

### OUTPUT CLASS STATEMENT

For the year ended 30 June 2012

	2010/11		2011/12	
	Actual	Actual	Main	Supp.
	\$000	\$000	Estimates	Estimates
			\$000	\$000
<b>REVENUE</b>				
Crown	24,956	9,442	8,845	9,442
Departmental	–	–	10	10
<b>Total Revenue</b>	<b>24,956</b>	<b>9,442</b>	<b>8,855</b>	<b>9,452</b>
<b>Total Expenses</b>	<b>24,261</b>	<b>7,720</b>	<b>8,855</b>	<b>9,452</b>
<b>Net Surplus / (Deficit)</b>	<b>695</b>	<b>1,722</b>	<b>–</b>	<b>–</b>

### OUTPUT: WIRI PRISON PUBLIC PRIVATE PARTNERSHIPS

This output covers the proposed Public Private Partnership (PPP) and the subsequent contract management of the prison for the provision of custodial services.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
Complete the evaluation of Request for Proposal submissions and select a preferred bidder for the Wiri Public Private Partnership project	note 1	Achieved by December 2011	Achieved	Nil
Receive approval for the appointment of a preferred bidder for the Wiri Public Private Partnership project	note 1	Achieved by February 2012	Achieved	Nil

## OUTPUT: CONTRACT MANAGEMENT OF PRISONS

This output covers the contract management of an existing prison for the provision of custodial services.

The objectives of the contract are:

- > to ensure sustainable cost savings and service improvements
- > to create opportunities for New Zealand businesses
- > to improve public safety by ensuring sentence compliance and reducing re-offending
- > that the services deliver better outcomes for Māori
- > to provide mechanisms for adequate monitoring and evaluation in order to determine whether the implementation of the Government's policy in contracting out prison management has been successful
- > that the private prison is operated in a way that is consistent with the Department's key strategies and the purpose of the corrections system

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The third party provider has made available to the Department all information as required under the contract (see note 10)	note 1	100%	81%	(19%)
Routine relationship engagement surveys are conducted in line with the relationship principles as set out in the contract (see note 11)	note 1	note 2	Achieved	note 2
Develop a structured approach with the third party provider to review and implement innovative improvement opportunities which can support sustainable cost savings and service improvements (see note 12)	note 1	Structured approach to be developed by 30 June 2012	Achieved	Nil
<b>TIMELINESS</b>				
Non-compliance events in relation to the third party provider are managed in accordance with the contract (see note 13)	note 1	100%	100%	0%
All information relative to the contract is provided to the third party provider in a timely manner to enable them to deliver the Department's key strategies as per the requirements of the contract (see note 14)	note 1	100%	100%	0%

### COMMENTS:

Over 2011/12, most information was provided by Serco in accordance with their contract. There were some initial delays in providing information when Serco first took over the management of Mt Eden Corrections Facility. The Department has worked with Serco to address this issue, and we continue to work together to resolve any performance issues that arise.

## POLICY ADVICE AND MINISTERIAL SERVICES

This appropriation is limited to the provision of ministerial services, the development of policies and the provision of policy advice.

### OUTPUT CLASS STATEMENT

For the year ended 30 June 2012

	2010/11	2011/12		
	Actual	Actual	Main Estimates	Supp. Estimates
	\$000	\$000	\$000	\$000
<b>REVENUE</b>				
Crown	5,025	4,728	5,078	4,728
Departmental	42	46	51	51
<b>Total Revenue</b>	<b>5,067</b>	<b>4,774</b>	<b>5,129</b>	<b>4,779</b>
<b>Total Expenses</b>	<b>4,868</b>	<b>4,622</b>	<b>5,129</b>	<b>4,779</b>
<b>Net Surplus / (Deficit)</b>	<b>199</b>	<b>152</b>	<b>-</b>	<b>-</b>

### OUTPUT: POLICY ADVICE AND DEVELOPMENT SERVICES

The Department provides advice and develops policies that contribute to service delivery, including policies that improve outcomes for Māori and Pacific peoples, and the development of effective criminal justice sector legislation. Services also include the development of standards, the analysis of trends in the offender population, and the evaluation of the impact of programmes to reduce re-offending.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of policy advice that was delivered according to the work programme agreed with the Minister of Corrections	100%	≥ 95%	100%	0%
The percentage of policy advice delivered to the Minister of Corrections that meets agreed standards (see note 15)	100%	≥ 95%	100%	0%
<b>TIMELINESS</b>				
The percentage of policy advice delivered to the Minister of Corrections within agreed timelines (see note 16)	100%	≥ 95%	99%	0%

## OUTPUT: MINISTERIAL SERVICING

The Department provides responses to ministerial correspondence and parliamentary questions.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of ministerial draft correspondence that is signed without changes	86%	≥ 90%	97%	0%
<b>TIMELINESS</b>				
The percentage of all responses to parliamentary questions that are completed within five working days	100%	100%	100%	0%
The percentage of responses to ministerial draft correspondence that are completed within 20 working days	99%	100%	100%	0%

## PRISON-BASED CUSTODIAL SERVICES MCOA<sup>3</sup>

### CUSTODY OF REMAND PRISONERS

This output class is limited to the provision of custodial services for remand prisoners (people awaiting trial, and offenders convicted but not yet sentenced).

### CUSTODY OF SENTENCED PRISONERS

This output class is limited to the provision of custodial services for offenders sentenced to imprisonment.

The overall average prison population for the 2011/12 financial year was 8,587 prisoners, five percent under the 2010-2020 Criminal Justice Forecast<sup>4</sup> (prison population); this peaked during the financial year at 8,738 prisoners on 10 April 2012. The prison population remains under our all time high of 8,853 prisoners on 1 November 2010.

### OUTPUT CLASS STATEMENT: CUSTODY OF REMAND PRISONERS

For the year ended 30 June 2012

	2010/11	2011/12		
	Actual	Actual	Main	Supp.
	\$000	\$000	Estimates	Estimates
			\$000	\$000
<b>REVENUE</b>				
Crown	175,548	152,928	175,586	153,078
Departmental	1,463	1,124	1,679	1,679
Other	–	–	–	337
<b>Total Revenue</b>	<b>177,011</b>	<b>154,052</b>	<b>177,265</b>	<b>155,094</b>
<b>Total Expenses</b>	<b>168,782</b>	<b>164,752</b>	<b>177,265</b>	<b>154,944</b>
<b>Net Surplus / (Deficit)</b>	<b>8,229</b>	<b>(10,700)</b>	<b>–</b>	<b>150</b>

### OUTPUT CLASS STATEMENT: CUSTODY OF SENTENCED PRISONERS

For the year ended 30 June 2012

	2010/11	2011/12		
	Actual	Actual	Main	Supp.
	\$000	\$000	Estimates	Estimates
			\$000	\$000
<b>REVENUE</b>				
Crown	567,304	596,700	578,632	596,700
Departmental	5,126	5,574	5,469	5,469
Other	–	913	–	1,671
<b>Total Revenue</b>	<b>572,430</b>	<b>603,187</b>	<b>584,101</b>	<b>603,840</b>
<b>Total Expenses</b>	<b>556,598</b>	<b>589,050</b>	<b>584,101</b>	<b>603,840</b>
<b>Net Surplus / (Deficit)</b>	<b>15,832</b>	<b>14,137</b>	<b>–</b>	<b>–</b>

<sup>3</sup> Multi-class output appropriation.

<sup>4</sup> The 2010-2020 Criminal Justice Forecast was used to set the budget standards for the 2011/12 financial year.

## OUTPUT CLASS: CUSTODY OF REMAND PRISONERS

This output provides custodial services for remand prisoners (people awaiting trial, and offenders convicted but not yet sentenced) and ensures offenders complete the correct imposed order and comply with the specific restrictions and requirements of their order, are not harmed, and are treated fairly and their legitimate needs are met.

This output is demand driven by the Judiciary and as such the Department has very limited control over the demand for its services. The average remand prison population for the 2011/12 financial year was 1,894 prisoners, one percent under the 2010-2020 Criminal Justice Forecast.<sup>5</sup> The number of prisoners held in custody on remand is influenced by rates of arrest and decisions of the Judiciary and as such is outside of the direct control of the Department.

The budget standards for the quality of service for prisoners for both Prison Services and MECF (private prison) were based on the number of incidents expected and the prisoner population anticipated. One incident in a smaller population will result in a higher rate than the same incident in a higher population.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The rate of breakout escapes per 100 remand prisoners (see note 17): (Number of breakout escapes)	note 17	note 17	0.15 (3)	note 17
• Private prison	note 17	note 17	0.16 (1)	note 17
• Prison Services	note 17	note 17	0.16 (2)	note 17
The rate of other escapes per 100 remand prisoners (see note 18): (Number of other escapes)	note 18	note 18	0.21 (4)	note 18
• Private prison	note 18	note 18	0.16 (1)	note 18
• Prison Services	note 18	note 18	0.24 (3)	note 18
The rate of serious prisoner/prisoner assaults per 100 remand prisoners (see note 19): (Number of serious prisoner/prisoner assaults)	1.11 (21)	≤ 0.62 (12)	0.95 (18)	50%
• Private prison	note 1	≤ 0.65 (5)	1.25 (8)	60%
• Prison Services	1.11 (21)	≤ 0.59 (7)	0.80 (10)	43%
The rate of serious prisoner/staff assaults per 100 remand prisoners (see note 19): (Number of serious prisoner/staff assaults)	0.26 w(5)	≤ 0.10 (2)	0.26 (5)	150%
• Private prison	note 1	≤ 0.13 (1)	0.00 (0)	0%
• Prison Services	0.26 (5)	≤ 0.08 (1)	0.40 (5)	400%

5 The 2010-2020 Criminal Justice Forecast was used to set the budget standards for the 2011/12 financial year.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The rate of unnatural deaths per 100 remand prisoners (see note 20): (Number of unnatural deaths)	0.37 (7)	≤ 0.15 (3)	0.16 (3)	0%
· Private prison	note 1	≤ 0.13 (1)	0.00 (0)	0%
· Prison Services	0.37 (7)	≤ 0.17 (2)	0.24 (3)	50%
The rate of self-harm threat-to-life incidents per 100 remand prisoners (see note 21): (Number of self-harm threat-to-life incidents)	0.69 (13)	≤ 0.62 (12)	0.21 (4)	0%
· Private prison	note 1	≤ 0.65 (5)	0.16 (1)	0%
· Prison Services	0.69 (13)	≤ 0.59 (7)	0.24 (3)	0%

#### COMMENTS:

Incidents of prisoners seriously assaulting staff and other prisoners were thoroughly investigated. Preventing assaults on our staff and prisoners has been, and continues to be, a key focus for the Department. Pages 20-21 provide information about new initiatives to keep our staff and prisoners safe.

Any death in custody is concerning, and the Department has taken steps to prevent unnatural deaths and incidents of self-harm. We have progressed a suicide prevention strategy, and implemented a mental health screening tool to better identify prisoners with mental health needs. We have also taken steps to improve the safety of prisoners who present a risk of self-harm. We investigated every death that took place in our custody, and treat these events very seriously. All deaths were subject to a coroner's inquest.



## OUTPUT CLASS: CUSTODY OF SENTENCED PRISONERS

This output provides custodial services for offenders sentenced to imprisonment and ensures offenders complete the correct imposed sentence and comply with the specific restrictions and requirements of their sentence, are not harmed, and are treated fairly and their legitimate needs are met.

This output is demand driven by the Judiciary and as such the Department has very limited control over the demand for its services. The average sentenced prison population for the 2011/12 financial year was 6,692 prisoners, three percent under the 2010-2020 Criminal Justice Forecast.<sup>6</sup>

The budget standards for the quality of service for prisoners for both Prison Services and MECF (private prison) were based on the number of incidents expected and the prisoner population anticipated. One incident in a smaller population will result in a higher rate than the same incident in a higher population.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The rate of breakout escapes per 100 sentenced prisoners (see note 17): (Number of breakout escapes)	note 17	note 17	0.00 (0)	note 17
· Private prison	note 17	note 17	0.00 (0)	note 17
· Prison Services	note 17	note 17	0.00 (0)	note 17
The rate of other escapes per 100 sentenced prisoners (see note 18): (Number of other escapes)	note 18	note 18	0.04 (3)	note 18
· Private prison	note 18	note 18	0.00 (0)	note 18
· Prison Services	note 18	note 18	0.05 (3)	note 18
The rate of serious prisoner/prisoner assaults per 100 sentenced prisoners (see note 19): (Number of serious prisoner/prisoner assaults)	0.40 (27)	≤ 0.28 (20)	0.45 (30)	50%
· Private prison	note 1	≤ 0.50 (1)	1.39 (4)	300%
· Prison Services	0.40 (27)	≤ 0.28 (19)	0.41 (26)	37%
The rate of serious prisoner/staff assaults per 100 sentenced prisoners (see note 19): (Number of serious prisoner/staff assaults)	0.09 (6)	≤ 0.08 (6)	0.19 (13)	117%
· Private prison	note 1	≤ 0.50 (1)	0.00 (0)	0%
· Prison Services	0.09 (6)	≤ 0.07 (5)	0.20 (13)	160%

<sup>6</sup> The 2010-2020 Criminal Justice Forecast was used to set the budget standards for the 2011/12 financial year.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The rate of unnatural deaths per 100 sentenced prisoners (see note 20): (Number of unnatural deaths)	0.07 (5)	≤ 0.06 (4)	0.03 (2)	0%
· Private prison	note 1	0.00 (0)	0.00 (0)	0%
· Prison Services	0.07 (5)	≤ 0.06 (4)	0.03 (2)	0%
The rate of self-harm threat-to-life incidents per 100 sentenced prisoners (see note 21): (Number of self-harm threat-to-life incidents)	0.15 (10)	≤ 0.28 (20)	0.03 (2)	0%
· Private prison	note 1	≤ 0.50 (1)	0.00 (0)	0%
· Prison Services	0.15 (10)	≤ 0.28 (19)	0.03 (2)	0%

**COMMENTS:**

Incidents of prisoners seriously assaulting staff and other prisoners were thoroughly investigated. Preventing assaults on our staff and prisoners has been, and continues to be, a key focus for the Department. Pages 20-21 provide information about new initiatives to keep our staff and prisoners safe.

**OUTPUT: HEALTH**

This is a shared output across both remand and sentenced prisoners where the Department provides for health assessments and primary health care for prisoners in custody.

This output is demand driven and as such the Department has very limited control over the demand for its services. The demand experienced during the 2011/12 financial year was 29,295 prisoners who required a health screening upon reception, and a total of 234,421 consultations with healthcare staff.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of eligible prisoners who are referred for a specialist health assessment within seven days of reception to a prison (see note 22):	note 1	≥ 90%	96%	0%
· Private prison	note 1	≥ 90%	98%	0%
· Prison Services	note 1	≥ 90%	94%	0%
The percentage of justified complaints by prisoners relating to the provision of health services:	0%	≤ 3%	0%	0%
· Private prison	note 1	≤ 3%	0%	0%
· Prison Services	0%	≤ 3%	0%	0%
<b>TIMELINESS</b>				
The percentage of all remand and newly sentenced prisoners who are screened by a health professional within 24 hours of reception:	92%	100%	98%	(2%)
· Private prison	note 1	100%	98%	(2%)
· Prison Services	92%	100%	98%	(2%)

## OUTPUT: CRIME PREVENTION

This is a shared output across both remand and sentenced prisoners where the Department uses drug testing as a deterrent against the use of drugs by prisoners whilst in prison. This is complemented by other drug control activities such as check points, dogs, and cell searches.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The positive percentage rate of general random drug tests for remand prisoners:	13%	≤ 16%	6%	0%
· Private prison	note 1	≤ 6%	5%	0%
· Prison Services	13%	≤ 16%	6%	0%
The positive percentage rate of general random drug tests for sentenced prisoners:	6%	≤ 10%	4%	0%
· Private prison	note 1	≤ 10%	2%	0%
· Prison Services	6%	≤ 10%	4%	0%

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUANTITY</b>				
The total number of drug tests sampled (see note 23):	11,207	11,612	11,878	2%
· Private prison	note 1	1,242	1,281	3%
· Prison Services	11,207	10,370	10,597	2%
The number of prisoner telephone calls monitored:	44,236	51,673	58,813	14%
· Private prison	note 1	5,527	5,814	5%
· Prison Services	44,236	46,146	52,999	15%

### COMMENTS:

Due to an increased number of serious incidents occurring across our prisons, a more targeted approach was taken to maximise intelligence gathering. This has resulted in a higher than expected number of prisoner telephone calls being monitored.

## REHABILITATION AND REINTEGRATION

This appropriation is limited to the provision of case management and interventions designed to address the underlying causes of criminal re-offending.

### OUTPUT CLASS STATEMENT

For the year ended 30 June 2012

	2010/11	2011/12		
	Actual	Actual	Main	Supp.
	\$000	\$000	Estimates	Estimates
			\$000	\$000
<b>REVENUE</b>				
Crown	96,967	116,894	108,591	116,894
Departmental	1,327	1,656	1,231	1,231
Other	40,206	35,450	30,998	35,898
<b>Total Revenue</b>	<b>138,500</b>	<b>154,000</b>	<b>140,820</b>	<b>154,023</b>
<b>Total Expenses</b>	<b>130,402</b>	<b>153,567</b>	<b>140,820</b>	<b>154,023</b>
<b>Net Surplus / (Deficit)</b>	<b>8,098</b>	<b>433</b>	<b>0</b>	<b>0</b>

### OUTPUT: CASE MANAGEMENT

This output is focused on planning and managing a prisoner's rehabilitation and reintegration needs which are reflected in a high quality offender plan for each individual prisoner.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of initial offender plans which meet the agreed quality standards (see note 24):	note 1	100%	100%	0%
· Private prison	note 1	100%	100%	0%
· Rehabilitation and Reintegration Services	note 1	100%	100%	0%
<b>TIMELINESS</b>				
The percentage of initial offender plans which are completed to agreed timeframes (see note 25):	note 1	≥ 85%	69%	(19%)
· Private prison	note 1	≥ 85%	62%	(27%)
· Rehabilitation and Reintegration Services	note 1	≥ 85%	71%	(16%)
<b>QUANTITY</b>				
The percentage of prisoners entitled to receive an offender plan that received one (see note 26):	note 1	≥ 90%	96%	0%
· Private prison	note 1	≥ 90%	80%	(11%)
· Rehabilitation and Reintegration Services	note 1	≥ 90%	99%	0%

### COMMENTS:

The provision of timely offender plans to sentenced prisoners has been an area of improvement for the Department over 2011/12, and performance improved as the year progressed. Serco experienced a backlog in prisoners requiring offender plans early in the year, which coincided with an initial skills shortage in this area. Targeted training of staff in the provision of offender plans resolved this issue and performance has significantly improved.

## OUTPUT: INTERVENTIONS: EDUCATION AND SKILLS

This output focuses on providing prisoners with industry recognised education and skills that improve their ability to engage productively in society upon release. It ensures that those undertaking these educative interventions have had their educational and skill needs correctly assessed and that the Department is providing these opportunities to a minimum number of prisoners each year.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of prisoners that start classroom based adult literacy and numeracy education who met the selection criteria (see note 27):	note 1	100%	100%	0%
· Private prison	note 1	100%	100%	0%
· Rehabilitation and Reintegration Services	note 1	100%	100%	0%
The percentage of prisoners who started classroom based adult literacy and numeracy education who demonstrate measurable improvements in literacy and numeracy skills as measured by the Tertiary Education Commission Literacy and Numeracy for Adults Assessment Tool (see note 28):	note 1	≥ 75%	89%	0%
· Private prison	note 1	≥ 75%	note 35	
· Rehabilitation and Reintegration Services	note 1	≥ 75%	89%	0%
<b>QUANTITY</b>				
The number of qualifications achieved by prisoners through Corrections Inmate Employment (see note 29)	note 1	2,550	3,145	23%
The average number of credits achieved by prisoners learning industry-based skills under the National Qualifications Framework through Corrections Inmate Employment	38	27	49	81%

### COMMENTS:

The Department prioritised building on the educational background of prisoners, and on delivering courses best suited to their needs. This has seen prisoners achieving more qualifications, meaning that they leave prison with skills and experience to help them find jobs on release.

## OUTPUT: INTERVENTIONS: PRISONER EMPLOYMENT

This output is focused on providing prisoners with employment relevant skills that can be applied upon release to secure employment.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of prisoners who have participated in a Release to Work programme and who have secured employment with the Release to Work employer upon release:	note 1	≥ 50%	47%	(6%)
· Private prison	note 1	≥ 50%	–	–
· Rehabilitation and Reintegration Services	note 1	≥ 50%	47%	(6%)
Compliance with Health and Safety management (see note 30):	note 1	100%	100%	0%
· Private prison	note 1	100%	note 35	
· Rehabilitation and Reintegration Services	note 1	100%	100%	0%
<b>QUANTITY</b>				
The total number of prisoners employed while in custody:	4,767	4,871	5,146	4%
· Private prison	note 1	note 2	72	–
· Rehabilitation and Reintegration Services	4,767	4,871	5,074	4%
– Prison-based work	1,822	1,725	1,847	7%
– Corrections Inmate Employment	2,865	3,078	3,144	2%
– Community Service activities	80	68	83	22%

### COMMENTS:

In line with the focus on the rehabilitation and reintegration of prisoners, more opportunities for participating in Community Service activities were provided in the 2011/12 financial year.

## OUTPUT: INTERVENTIONS: REHABILITATION

This output is focused on ensuring offenders start and complete their rehabilitation interventions (offence focused or other), and that offenders were identified correctly and selected as those who would benefit most from those interventions.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of offenders who start and complete an offence focused intervention (see note 31):				
· Prisoners	note 1	70-95%	85%	0%
- Private prison	note 1	70-95%	note 35	
- Rehabilitation and Reintegration Services	note 1	70-95%	85%	0%
· Community-based offenders	note 1	≥ 65%	58%	(11%)
<b>QUALITY</b>				
The percentage of offenders on an offence focused intervention who met the selection criteria (see note 31):				
· Private prison	note 1	≥ 90%	98%	0%
· Rehabilitation and Reintegration Services	note 1	≥ 90%	98%	0%
The percentage of offenders who start and complete other rehabilitative interventions (see note 32):				
· Prisoners	note 1	70-95%	92%	0%
- Private prison	note 1	70-95%	100%	0%
- Rehabilitation and Reintegration Services	note 1	70-95%	90%	0%
· Community-based offenders	note 1	≥ 65%	83%	0%
The percentage of psychological reports provided to the agreed quality standard (see note 33):				
· Private prison	note 1	100%	note 35	
· Rehabilitation and Reintegration Services	100%	100%	100%	0%
<b>TIMELINESS</b>				
The percentage of psychological reports provided within the agreed timeframe (see note 34):				
· Private prison	note 1	≥ 95%	79%	(17%)
· Rehabilitation and Reintegration Services	note 1	≥ 95%	79%	(17%)

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUANTITY</b>				
The total number of offenders who start an offence focused rehabilitation intervention (see note 31):	note 1	4,444	5,490	24%
· Prisoners	note 1	1,255	1,238	(1%)
- Private prison	note 1	note 2	note 35	
- Rehabilitation and Reintegration Services	note 1	1,255	1,238	(1%)
· Community-based offenders	note 1	3,189	4,252	33%
The total number of offenders who start other rehabilitative interventions (see note 32):	note 1	3,874	4,233	9%
· Prisoners	note 1	2,501	2,881	15%
- Private prison	note 1	note 2	795	-
- Rehabilitation and Reintegration Services	note 1	2,501	2,881	15%
· Community-based offenders	note 1	1,373	1,224	(11%)
The total number of psychological hours provided:	37,196	36,140	42,553	18%
· Private prison	note 1	note 2	note 35	
· Rehabilitation and Reintegration Services	37,196	36,140	42,553	18%
The total number of psychological reports provided:	3,408	3,433	3,631	9%
· Private prison	note 1	note 2	note 35	
· Rehabilitation and Reintegration Services	3,408	3,433	3,631	9%

### COMMENTS:

Successful programmes are key to reducing re-offending. Effective participation by offenders is an important element in the success of the programme. A number of offenders were removed from programmes because they were not regularly attending or otherwise not complying with the conditions of the programme. This focus on effective participation is part of the work that we are doing with community providers to improve the quality and success of the programmes being delivered.

In line with an increased focus on rehabilitation and reintegration, more opportunities to attend rehabilitative interventions were provided to prisoners. A large number of prisoners attended programmes to develop their parenting and other skills.

Psychological reports are currently under review by the Department, and the content of the reports will be streamlined to allow for more effective use of time. The increase in psychological hours provided to prisoners reflects the increased focus on ensuring that psychologists are using their time to support prisoners in addressing their offending behaviours.



## OUTPUT: INTERVENTIONS: REINTEGRATION

This output is focused on ensuring offenders start and complete their reintegrative interventions, and that offenders were identified correctly and selected as those who would benefit most from those interventions.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY</b>				
The percentage of offenders who start and complete a reintegrative intervention:				
· Prisoners	note 1	≥ 90%	88%	(2%)
– Private prison	note 1	≥ 90%	note 35	
– Rehabilitation and Reintegration Services	note 1	≥ 90%	88%	(2%)
· Community-based offenders	note 1	≥ 65%	70%	0%
<b>QUANTITY</b>				
The total number of offenders who start a reintegrative intervention:				
· Prisoners	note 1	13,140	15,202	16%
– Private prison	note 1	12,940	15,003	16%
– Rehabilitation and Reintegration Services	note 1	note 2	note 35	
– Rehabilitation and Reintegration Services	note 1	12,940	15,003	16%
· Community-based offenders	note 1	200	199	(1%)

### COMMENTS:

Effective reintegration is important to our overall goal of reducing re-offending. Some offenders received reintegrative support on more than one occasion, either because they served multiple sentences, or they had multiple reintegrative needs to be addressed.

## SENTENCES AND ORDERS SERVED IN THE COMMUNITY

This appropriation is limited to the management and delivery of sentences and orders served in the community.

The number of new sentences and orders commencing in the 2011/12 financial year was 70,643.<sup>7</sup> The average offender population serving sentences and orders for the 2011/12 financial year was 41,737.

### OUTPUT CLASS STATEMENT

For the year ended 30 June 2012

	2010/11	2011/12		
	Actual	Actual	Main	Supp.
	\$000	\$000	Estimates	Estimates
			\$000	\$000
<b>REVENUE</b>				
Crown	193,949	192,377	197,945	192,377
Departmental	1,541	1,698	1,703	1,703
Other	11	–	–	403
<b>Total Revenue</b>	<b>195,501</b>	<b>194,075</b>	<b>199,648</b>	<b>194,483</b>
<b>Total Expenses</b>	<b>188,459</b>	<b>193,842</b>	<b>199,648</b>	<b>194,483</b>
<b>Net Surplus / (Deficit)</b>	<b>7,042</b>	<b>233</b>	<b>–</b>	<b>–</b>

### OUTPUT: HOME DETENTION SENTENCES

This output covers sentences imposed by the courts which require the offender to reside at an approved address under strict conditions and with strict monitoring, including electronic monitoring. The Department ensures that offenders complete the correct imposed sentence and comply with the restrictions and requirements of their sentence.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY AND TIMELINESS</b>				
The percentage of offenders who have complied with their Home Detention sentence, or who have been held to account	95%	≥ 90%	98%	0%

<sup>7</sup> This includes a further 2,412 new starts for Post-detention Conditions (an order considered a subset of Home Detention), one new start for Compassionate Release and one new start on a Home Detention order during 2011/12.

## OUTPUT: COMMUNITY-BASED SENTENCES

This output covers the management of offenders serving Community-based sentences, being: Community Work, Intensive Supervision, Community Detention and Supervision. The Department ensures that offenders complete the correct imposed sentence and comply with the restrictions and requirements of their sentence.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY AND TIMELINESS</b>				
The percentage of offenders who have complied with their Community-based sentence, or who have been held to account	note 1	≥ 90%	96%	0%

## OUTPUT: POST-RELEASE ORDERS

This output covers the management of offenders who have Post-release conditions as imposed by the courts at the time of sentencing for prisoners with short sentences. It also covers Parole Orders imposed by the Board and Extended Supervision orders imposed by the courts, with additional special conditions set by the Board to actively manage the long term risks posed by high risk child-sex offenders in the community. The Department ensures that offenders complete the correct imposed order and comply with the restrictions and requirements of their order.

Performance Measures	2010/11	2011/12		
	Actual	Budget Standard	Actual Standard	Variance (%)
<b>QUALITY AND TIMELINESS</b>				
The percentage of offenders who have complied with their Post-release order, or who have been held to account	96% <sup>8</sup>	≥ 90%	98%	0%

<sup>8</sup> For Extended Supervision and Release on Conditions the data is for the period November 2010 to June 2011, as this measure can only be reported against for those sentences/orders that have transitioned to the new Integrated Practice Framework, which was implemented in November 2010. The parole results are available for the full year (July 2010 – June 2011).

## NOTES TO PERFORMANCE MEASURES

Note #	Reference/Performance measure	Definition
1	New measure for 2011/12	These performance measures were introduced for the 2011/12 financial year, no historical information is available.
2	No standard set for 2011/12	No budget standards were set for these performance measures.
3	The percentage of reports provided to agreed standards (judiciary)	<p><b>Probation reports</b> Reports are completed to formal standards as set out in the Community Probation Service Quality Assurance System (QAS). Specific guidelines are provided in respect of each of the individual report types that are included under the heading of 'Probation' reports.</p> <p><b>Psychological reports</b> Psychological reports are completed to formal standards as set out in the Psychological Services Operations Manual (Chapter 3, Section 2) including:</p> <ul style="list-style-type: none"> <li>- Report is concise, logical and grammatically correct;</li> <li>- The source and referral reason are clearly stated;</li> <li>- All relevant and appropriate information is included;</li> <li>- Sources of information are well-documented (and verified);</li> <li>- Report contains a clear statement of appropriate recommendations;</li> <li>- Report documents appropriate care for rights of offenders, as specified in the Psychological Services Operations Manual;</li> <li>- Report is signed by the indicated parties or written explanation is given if signatures are missing.</li> </ul>
4	The percentage of reports provided to court within agreed timeframes before sentencing	<p><b>Probation reports</b> Reports are completed to timeframes as set out in the Community Probation Service Operations Manual. Specific timeframes are provided in respect of each of the individual report types that are included under the heading of 'Probation' reports.</p> <p><b>Psychological reports</b> Psychological Services provide reports to court at least two working days before sentencing where a request is received, allowing an agreed minimum timeframe, as set out in the Psychological Services Operations Manual.</p>
5	The percentage of reports provided to agreed standards (NZPB)	<p><b>Parole Assessment reports</b> Quality standards are set by Rehabilitation and Reintegration Services. The Parole Assessment report is completed to the quality standard as identified in the Parole Assessment report quality assurance checklist including:</p> <ul style="list-style-type: none"> <li>- The report accurately reflects information available about the prisoner's progress whilst in prison (including behaviour and attitude and progress made against planned rehabilitation and reintegration activities);</li> <li>- The report provides consistent information, with sufficient detail to minimise the likelihood of clarification questions from the NZPB;</li> <li>- The report responds to recommendations and questions posed by the NZPB at previous hearings;</li> <li>- Spelling, grammar and presentation are of a high standard.</li> </ul> <p><b>Parole Progress reports</b> Reports are completed to formal standards as set out in the Community Probation Service QAS.</p>

Note #	Reference/Performance measure	Definition
		<p><b>Psychological reports</b></p> <p>Psychological reports are completed to formal standards as set out in the Psychological Services Operations Manual including:</p> <ul style="list-style-type: none"> <li>- Report is concise, logical and grammatically correct;</li> <li>- The source and referral reason are clearly stated;</li> <li>- All relevant and appropriate information is included;</li> <li>- Sources of information are well-documented (and verified);</li> <li>- Report contains a clear statement of appropriate recommendations;</li> <li>- Report documents appropriate care for rights of offenders, as specified in the Psychological Services Operations Manual;</li> <li>- Report is signed by the indicated parties or written explanation is given if signatures are missing.</li> </ul>
6	The percentage of reports provided to agreed timeframes (NZPB)	<p><b>Parole Assessment reports</b></p> <p>Parole Assessment reports are provided to the NZPB at least 15 working days prior to the hearing date.</p> <p><b>Parole Progress reports</b></p> <p>Parole Progress reports are provided to the NZPB at least 10 working days prior to the hearing date.</p> <p><b>Psychological reports</b></p> <p>Psychological reports are prepared for the NZPB at least five weeks prior to the hearing date.</p>
7	The percentage of registered victims who are notified as per Department and legislative requirements	<p>Victims' Rights Act 2002 (Date of assent 17 October 2002) Part 3 – Provisions relating to rights of victims of certain offences.</p> <p>Responsibility of Corrections in relation to victims who have asked for notice and given their current address.</p>
8	The percentage of offenders who are notified as per the NZPB requirements	<ul style="list-style-type: none"> <li>- Offenders are notified of an impending hearing no later than 14 days from the date of the hearing</li> <li>- Offenders are notified of a Board decision no later than 14 days following receipt of the signed decision</li> </ul>
9	The percentage of victims who are notified as per the NZPB requirements	<ul style="list-style-type: none"> <li>- Victims are notified of an impending hearing no later than 28 days from the hearing</li> <li>- Victims are notified of a Board decision no later than 14 days following receipt of the signed decision</li> </ul>
10	The third party provider has made available to the Department all information as required under the contract	<ul style="list-style-type: none"> <li>- Monthly reporting</li> <li>- Quarterly reporting</li> <li>- Contractor performance reports</li> <li>- Notices issued</li> <li>- Meeting minutes</li> <li>- Performance notices</li> </ul>
11	Routine relationship engagement surveys are conducted in line with the relationship principles as set out in the contract	<ul style="list-style-type: none"> <li>- Service approach</li> <li>- Teamwork</li> <li>- Risk sharing</li> <li>- Service evolution</li> <li>- Innovation</li> <li>- Transparency</li> </ul>

Note #	Reference/Performance measure	Definition
12	Develop a structured approach with the third party provider to review and implement innovative improvement opportunities which can support sustainable cost savings and service improvements	The development of the structured approach will be based on the following areas: <ul style="list-style-type: none"> <li>- Idea generation</li> <li>- Concept development</li> <li>- Business analysis</li> <li>- Testing</li> <li>- Implementation</li> </ul>
13	Non-compliance events in relation to the third party provider are managed in accordance with the contract	<ul style="list-style-type: none"> <li>- Performance notices issued</li> <li>- Un-remedied performance notices issued</li> </ul>
14	All information relative to the contract is provided to the third party provider in a timely manner to enable them to deliver the Department's key strategies as per the requirements of the contract	<ul style="list-style-type: none"> <li>- Vote Corrections performance measures and standards</li> <li>- Statement of Intent (medium term focus of the Department)</li> <li>- Strategic business plans</li> <li>- Other accountability documents</li> </ul>
15	The percentage of policy advice delivered to the Minister of Corrections that meets agreed standards	<ul style="list-style-type: none"> <li>- Includes a clear statement of purpose</li> <li>- Is accurate and uses sound information</li> <li>- Presents a clear, concise and logical argument, with explicit assumptions and supported by facts</li> <li>- Draws on professional knowledge and appropriate methodologies</li> <li>- Examines comparative material</li> <li>- Presents options</li> <li>- Uses a clear conceptual and well-articulated framework</li> <li>- Considers resource, legal and human rights, implication and implementation issues/practicability</li> <li>- Considers evaluation</li> <li>- Considers issues for Māori and Pacific peoples</li> <li>- Considers risk, costs and benefits</li> </ul>
16	The percentage of policy advice delivered to the Minister of Corrections within agreed timelines	Each policy advice item requested is subject to timelines agreed between the Minister and the Department.
17	Breakout escape	<p>The escape definitions were redefined during the 2011/12 financial year. The new definition of a breakout escape is:</p> <p><i>Prisoner breaches the area contained by the outermost perimeter security fence or, if there is no such fence, from the prison building. Examples include going over, under, through or around security barriers; forced exit from facilities.</i></p> <p>Due to the change in definitions for escapes the actual results for the 2011/12 financial year have been reported without budget standards. The historical information relating to all escapes has been included in Part A of the Annual Report on page 21.</p>

Note #	Reference/Performance measure	Definition
18	Other escape	<p>The escape definitions were redefined during the 2011/12 financial year. The other escape definitions are:</p> <ul style="list-style-type: none"> <li>- <b>From Escort</b> – Prisoner escapes from escort, while under supervision, includes escorted outing and court escorts either by Prison Services or contractor.</li> <li>- <b>Absconding</b> – Prisoner physically leaves the designated area and is away from direct custodial control (includes walk away from work).</li> <li>- <b>Breach of temporary release conditions</b> – Prisoner is found to have breached a condition of their temporary release which results in either an internal or external charge of escaping (includes failing to return within reasonable time without reasonable cause).</li> </ul> <p>All of these categories have been included within 'other' escapes.</p> <p>Due to the change in definitions for escapes the actual results for the 2011/12 financial year have been reported without budget standards. The historical information relating to escapes has been included in Part A of the Annual Report on page 21.</p>
19	Serious assault	An act of physical violence that involves either sexual assault of any form and degree, bodily harm requiring medical intervention by medical staff followed by overnight hospitalisation in a medical facility or bodily harm requiring ongoing medical intervention.
20	Unnatural death	Unnatural deaths include apparent suicide, homicide, drug overdose and accident.
21	Self-harm threat-to-life	Intentional acts of harm which would most probably have led to death if there was no immediate intervention.
22	The percentage of eligible prisoners who are referred for a specialist health assessment within seven days of reception to a prison	The numbers of new receptions who have been assessed as requiring a cardiovascular risk assessment (CVRA) and have consented to a CVRA. The number of prisoners who are in continuous custody and have received a CVRA within eight weeks of consent.
23	The total number of drug tests sampled	Includes: Voluntary Participant (manual), Reasonable Cause (manual), Identified Drug User Voluntary Participant (manual), Temporary Release (random), Identified Drug User (random), General Random (random)
24	The percentage of initial offender plans which meet the agreed quality standards	<p>Quality standards are set by Rehabilitation and Reintegration Services and are assessed using a QA checklist in the Offender Management manual.</p> <p>An offender plan is completed to standards as identified in the 'Offender Plan Quality Assurance Checklist', including:</p> <ul style="list-style-type: none"> <li>- The plan correctly identifies the prisoner's 'needs' (i.e. the needs in the offender plan match the identified needs from the assessment);</li> <li>- The plan contains appropriate activities to address those needs (activities match the need and the prisoner is eligible to participate in the activity);</li> <li>- There is clear evidence to explain why the need and activities have been identified;</li> <li>- All necessary information and instructions have been given to other staff in the staff briefing sheet.</li> </ul> <p>Not all offender plans were reviewed. Based on the sample reviewed, 100 percent met the criteria of quality standards.</p>

Note #	Reference/Performance measure	Definition
25	The percentage of initial offender plans which are completed to agreed timeframes	<p>Corrections Act 2004, Section 51 – Management Plans</p> <ul style="list-style-type: none"> <li>- For remand prisoners – within 56 days of a continuous period of remand (measure is percentage of plans that have not been created by day 57).</li> <li>- For short-serving prisoners, i.e. with time to serve between 28 days and 26 weeks – within 28 days of sentence commencement date (measure is percentage of plans that have not been created on day 29).</li> <li>- For longer serving prisoners, i.e. time to serve is more than 26 weeks – within 60 days of sentence commencement date (measure is percentage of plans that have not been created on day 61).</li> </ul> <p>For sentenced prisoners, our focus on improving the rehabilitation has meant that our electronic offender management system captures information relating to offender plans. We are therefore able to report on all plans. We are currently working to improve the offender plan process for remand prisoners, and our systems don't currently capture this information. We have conducted a random sample of eligible remand prisoners. Based on this sample if we had been able to capture the information for all remand prisoners in the same way as for sentenced prisoners, the percentage of initial offenders plans completed to agreed timeframes would have been 71 percent. For Mt Eden Corrections Facility, the results are based on all remand and sentenced offender plans.</p>
26	The percentage of prisoners entitled to receive an offender plan that received one	<p>Corrections Act 2004, Section 51 – Management Plans</p> <p>This section applies to every prisoner who is:</p> <ul style="list-style-type: none"> <li>- sentenced to imprisonment for a term of more than 2 months; or</li> <li>- in custody for a continuous period of more than 2 months on remand.</li> </ul> <p>As above, based on the sample conducted, the percentage of prisoners entitled to receive an offender plan that received one would have been 95 percent. For Mt Eden Corrections Facility, the results are based on all remand and sentenced offender plans.</p>
27	The percentage of prisoners that start classroom based adult literacy and numeracy education who met the selection criteria	<p>Prisoners who do not meet the cut score on the post sentencing "Skills Check" screening tool are eligible to undertake specialist diagnostic assessment. Suitability to start the programme is determined by the provider at the assessment stage.</p> <p>Prisoners are eligible if they:</p> <ul style="list-style-type: none"> <li>- Have been identified by the Department as having a literacy and/or numeracy need on their Offender Plan, and</li> <li>- Are subsequently identified by a literacy and numeracy specialist, following an Initial Diagnostic Assessment (IDA), as having a relevant level of literacy and/or numeracy need, and</li> <li>- Are motivated and have agreed to undertake the programme.</li> </ul> <p>Of these selection criteria only those prisoners identified with a literacy and numeracy need following an IDA will be measured.</p>
28	The percentage of prisoners who started classroom based adult literacy and numeracy education who demonstrate measurable improvements in literacy and numeracy skills as measured by the Tertiary Education Commission Literacy and Numeracy for Adults Assessment Tool	<p>Prisoners will be regularly assessed using the Literacy and Numeracy for Adults Assessment Tool after each period of 32 hours of tuition. Measurable improvements are where there is a statistically significant increase based on the Literacy and Numeracy for Adults Assessment Tool.</p>



Note #	Reference/Performance measure	Definition
29	The number of qualifications achieved by prisoners through Corrections Inmate Employment (CIE)	<ul style="list-style-type: none"> <li>- <b>National Certification</b> – qualification listed on the National Qualifications Framework (NQF) administered by the New Zealand Qualifications Authority (NZQA). It is composed of a prescribed number of unit standards and is a complete qualification. Range from level 1 to 4 within CIE.</li> <li>- <b>Limited Credit Programme</b> – qualification listed on the NQF administered by the NZQA. It is composed of a number of unit standards and is not a complete National Certificate but is a pathway towards.</li> <li>- <b>Modularised Training Programme</b> – qualification not listed on the NQF administered by an Industry Training Organisation. It is composed of a number of unit standards and is not a complete National Certificate but is a pathway towards.</li> <li>- <b>Trade Ticket</b> – qualification underpinned by unit standards indicating trade currency and competency. Examples: 4711 Welding Ticket or Electrical Limited Regulation Ticket.</li> <li>- <b>Drivers license</b> – qualification composed of unit standards authorising individuals to drive prescribed types of vehicles.</li> <li>- <b>Health and Safety</b> – qualification sanctioned by Industry Training Organisations, underpinned by or containing unit standards. Examples are: first aid, Grow Safe and Site Safe.</li> </ul>
30	Compliance with Health and Safety management	An indication of the performance of CIE in managing its training and businesses in a safe and effective manner for prisoners and employees. The measure is based on the satisfactory completion of one annual assessment completed by ACC and two self assessments. These will be to secondary level standard according to the ACC standards. The measure includes any Department of Labour on-site review following an accident being given a rating that incorporated approval to continue operating.
31	Offence focused interventions	The Department delivers a number of interventions to both prisoners and offenders. These are targeted at addressing factors relating to offending. Offence-related interventions require offenders to examine the causes of their offending and develop specific skills and strategies to reduce the likelihood of their re-offending in the future.
32	Other rehabilitative interventions	<p>The Department delivers a number of interventions to both prisoners and offenders. These are targeted at addressing factors relating to offending. Rehabilitative interventions which are not specifically offence focused encourage offenders to develop the motivation to change and learn new skills and strategies to enable them to modify their behaviour and reduce the likelihood of their re-offending in the future.</p> <p>Mt Eden Corrections Facility has a predominantly remand population. A large proportion of these prisoners serve less than 10 days in prison. Because of the high number of short stays in prison, the result for the private prison is based on the completion of a session, rather than completion of a programme. The results are therefore not directly comparable.</p>
33	The percentage of psychological reports provided to the agreed quality standards	<p>Reports are completed to formal standards as set out in the Psychological Services Operations Manual:</p> <ul style="list-style-type: none"> <li>- Report is concise, logical and grammatically correct;</li> <li>- The source and referral reason are clearly stated;</li> <li>- All relevant and appropriate information is included;</li> <li>- Sources of information are well-documented (and verified);</li> <li>- Report contains a clear statement of appropriate recommendations;</li> <li>- Report documents appropriate care for rights of offenders, as specified in the Psychological Services Operations Manual;</li> <li>- Report is signed by the indicated parties or written explanation is given if signatures are missing.</li> </ul>

Note #	Reference/Performance measure	Definition
34	The percentage of psychological reports provided within the agreed timeframe	As described in Chapter 3 of the Psychological Services Operations Manual: Reports must be written and provided to Prison Services/Community Probation Service within 10 working days following completion of assessment and completion or termination of treatment.
35	No figure provided for 2011/12	Mt Eden Corrections Facility has a predominantly remand population. A large proportion of these prisoners serve less than 10 days in prison. The high number of short stays in prison mean that some of the services provided by the Department in other prisons are not best suited to the population at Mt Eden Corrections Facility.