



DEPARTMENT
OF CORRECTIONS

DEPARTMENT
OF CORRECTIONS

Annual Report

1 July 2005 – 30 June 2006

**PRESENTED TO THE HOUSE OF
REPRESENTATIVES PURSUANT TO SECTION 44
OF THE PUBLIC FINANCE ACT 1989**

The pattern featured on the cover was especially developed for the Department of Corrections. It represents the spiritual and physical journey of the individual to wellbeing.

The start of the journey is symbolised by the koru; the kupenga pattern – net design – reflects the family ‘net’ of whānau support.

The koru patterns that radiate from the centre represent manaakitanga – guidance – and wellbeing.

Produced by the Department of Corrections
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ISSN 1173 – 9487

INTRODUCTION

The Annual Report describes achievement against the Department's strategic goals and key initiatives, outputs and performance measures as outlined in the *2005/06 Statement of Intent*. This is the third Annual Report that reports against the Department's *Strategic Business Plan 2003–2008*.

The Annual Report is divided into four parts:

Part 1 sets out the strategic context within which the Department operates, including the purpose and principles guiding the Department's day-to-day operations. It also details the Department's strategic direction and outcomes, and their links to key government priorities and justice sector end outcomes. It also summarises the Department's overall approach to the management of offenders.

Part 2 details the Department's achievements against the major initiatives planned for 2005/06 and provides information on the Department's progress towards achieving its two outcomes of protecting the public and reducing re-offending.

Part 3 describes the factors affecting or contributing to the Department's achievements, including the environment and issues that impacted upon the Department's operations during 2005/06; the strategies to mitigate against identified risks; and the Department's development of its capability, including its people and infrastructure.

Part 4 includes a summary of the Department's financial statements and performance against outputs as outlined in the *2005/06 Statement of Intent*, in accordance with the Public Finance Act 1989. Included in these are detailed descriptions of the outputs that were delivered during 2005/06, the performance standards associated with these outputs, and statements setting out the Department's operating expenditure for the year ended, and financial position as at, 30 June 2006.

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CHIEF EXECUTIVE'S FOREWORD

It gives me great pleasure to present this year's Annual Report. The year has been a positive one for the Department. New key initiatives have been delivered; others previously started have been bedded in, while planning is well underway in other areas in support of the Department's outcomes of 'protecting the public' and 'reducing reoffending' – the most significant being the suite of Effective Interventions initiatives.

Much of the work undertaken by the Department is in difficult, challenging and complex circumstances; it is not always understood by the public, who are not necessarily aware of the legal and other constraints under which we must operate, nor fully appreciate what it is like to work with offenders. This year proved no exception and I think it would be fair to say these complexities have been compounded by an unprecedented level of public and political scrutiny over the past 12 months.

Fortunately, two independent reviews have assisted in laying to rest a number of the fallacies in the public arena. The Ombudsmen's own motion review found no general ill-treatment of prisoners or inappropriate conduct of staff. To quote from the report; *"we reiterate that we found neither systemic ill-treatment of prisoners nor abuses of power...., nor any culture within prison staff for abuse of prisoners"*. I also agree with the Ombudsmen that there is still much to be done in the provision of rehabilitation programmes and constructive activities for prisoners. This was a key focus for the year, which I will comment on a little later.

In May 2006, the Prime Minister opened the second of the Department's four new regional facilities - Auckland Region Women's Corrections Facility. It was opened on time and within budget. An excellent result and to the credit of all involved.

The August 2006 State Services Commission review of the cost escalation at the third and fourth of the Department's new facilities - Spring Hill Corrections Facility and Otago Region Corrections Facility - while noting areas the Department could have managed better, also acknowledges the good work done in developing these facilities to very tight timelines in a heated construction market.

The Department also welcomed the acknowledgement in the report that it has made significant improvements in the governance arrangements for the Regional Prisons Development Project and is committed to further improvements in processes throughout the remaining life of the project.

Against this backdrop, it has been a year of positioning the Department to meet the future expectations and requirements of the community in which it has a vital and fundamental role to play. While we have already come a long way, the pace of change has accelerated over the year with more remaining to be done if the Department is to be well-equipped looking forward.

Recent years has seen the Department experience unprecedented growth in the demand for its services. The Department's strategy for responding to these pressures, via integrated offender management and continuing focus on improving service delivery and effectiveness, has led to increasing emphasis on the integration of functions. Experience and overseas research has demonstrated that the suite of programmes, services, and other interventions designed to reduce re-offending are more likely to be effective where there is both integrated service delivery internally and strong external partnerships with communities and community volunteer groups.

The year under review saw the next steps taken in the ongoing process of integration. First was the establishment of the General Manager Integration role. This role assumed responsibility for co-ordinating departmental effort around the new reintegrative framework, the Corrections Inmate Employment (CIE) strategic plan, supported accommodation trials, Work and Income support to increase work opportunities for prisoners on release, amongst other opportunities.

Subsequently, I have announced a review of the Department's Head Office. I have done this to ensure that the Department has the best Head Office structure in place to both lead and support improved integration of Department functions and service delivery. The results of this review, including its recommendations, will become available for consideration and discussion in the New Year.

As I have already mentioned, a major focus has been around enhancing and expanding existing rehabilitation and reintegration initiatives.

Recent evaluations showed that two programmes designed to address behaviour which had contributed to offending were not producing the desired change in offender behaviour. As a consequence, a significant redesign of criminogenic programmes commenced with a focus on developing more intensive programmes for higher risk offenders.

The year has seen the Department increase its collaboration with the Ministry of Social Development. The result has been the setting up of Work and Income Reintegration case workers in each prison, with departmental reintegration worker positions also established during the year following a pilot programme. Activities to be undertaken by these joint Prisoner Reintegration teams include providing much needed employment case management and work broker services to prisoners prior to release, with the aim of increasing the likelihood of prisoners finding suitable employment after release. They will also help address common difficulties such as accessing accommodation, finding employment, managing relationships and managing finances.

The launch of the *Prisoner Employment Strategy 2006–2009* in May 2006 created a framework and programme of work that will help to address the significant skills deficits and obstacles prisoners face in obtaining post-release employment, and ultimately contribute to making our communities safer.

What has been abundantly clear during the year is that the public also expect the Department to ensure that the community remains protected from those in our custody, both in prison and under our responsibility in the community. Ongoing public support for the Department's rehabilitative and reintegrative measures is dependent on people feeling safe.

The Department has moved to provide a greater level of surety in this area. We have made great strides in improving the security of our prisons. Escapes, suicides and other serious incidents continue a downward trend despite record prisoner numbers, and compare favourably with overseas countries.

Home detention continues to be an effective sentence in terms of very low rates of re-offending while on home detention. A total of 99 percent of offenders on home detention during the year did not abscond while serving their sentence. This includes offenders who serve the majority of their sentence on home detention, and those that serve a minimum of two years in prison and complete their sentence under electronic surveillance at home prior to being released on parole.

Enforcement of the conditions of sentences and orders managed in the community is a significant part of the work of Probation Officers and Senior Community Work Supervisors. Both for the integrity of sentence management and for the safety of the community it is important that robust procedures are in place and are being followed. This is not an easy part of the job but I am aware that our managers and staff take this part of their role very seriously and again this year they have kept on top of enforcement activity. This is something that will continue to be a focus as we move to implement changes in community-based sentences and orders.

The year also saw the strengthening of the Department's crime prevention and security capacity following the allocation of more funding for these activities in the 2005/06 Budget. The Department is taking measures to enhance its telephone monitoring capacity and put more staff into prisons and regional offices to collect and analyse information obtained through that monitoring.

We have seen the number of drug detection dogs double since 2004, and recently I was able to praise efforts in lowering positive results in random drug tests, while pointing out how the amount of contraband confiscated from visitors has doubled.

No doubt the forthcoming year will bring its own challenges and opportunities. Much remains to be done and it is not possible to simply stand still. However pleasing the results or robust the system, policies and procedures, there is always room for improvement. If the gains made this year are any indication then the future is one which can be faced with confidence.

I could not finish without acknowledging the work of the Department's staff as they have gone about their work with commitment and professionalism. One of the most rewarding moments during the year was to present recipients with their inaugural Chief Executive PRIDE awards. These awards, which I had the pleasure of instigating during my first year as Chief Executive, encourage individual and group achievement of the Department's values of Professionalism, Responsiveness, Integrity, Diversity, Effectiveness and Efficiency and provide an opportunity to celebrate and recognise people at an organisational level.

I am constantly impressed as I meet staff in all areas of the Department with their ongoing passion to make a positive difference to the people we manage whether on community sentences or in prisons. I thank them for their dedicated public service.



Part 1

Strategic Context



PURPOSE AND PRINCIPLES GUIDING THE CORRECTIONS SYSTEM

The purpose and principles guiding the corrections system are set out in the Corrections Act 2004 and Corrections Regulations 2005.

The purpose and principles guiding the corrections system are set out in sections 5 and 6 of the Corrections Act 2004.

Under section 5 of the Act, the purpose of the corrections system is to improve public safety and contribute to the maintenance of a just society by:

- ensuring that the community-based and custodial sentences and related orders that are imposed by the courts and the New Zealand Parole Board are administered in a safe, secure, humane and effective manner; and
- providing for corrections facilities to be operated in accordance with rules set out in the corrections legislation and regulations made under this legislation that are based, amongst other matters, on the United Nations Standard Minimum Rules for the Treatment of Prisoners; and
- assisting in the rehabilitation of offenders and their reintegration into the community, where appropriate, and as so far as is reasonable and practicable in the circumstances and within the resources available, through the provision of programmes and other interventions; and
- providing information to the courts and the New Zealand Parole Board to assist them in decision-making.

Section 6 of the Act then sets out the detailed principles that guide the operation of the corrections system.

THE DEPARTMENT'S OUTCOMES

The Department's two outcomes are 'Protecting the Public' and 'Reducing Re-offending'.

The Department contributes to 'protecting the public' by:

- providing a safe environment for staff and the public
- managing offenders in a safe, secure and humane manner
- ensuring appropriate compliance with, and administration of, sentences and orders
- providing information to the judiciary to inform the sentencing process and release conditions
- supporting reparation to the community.

The Department contributes to 'reducing re-offending' through changing offending behaviour by providing targeted rehabilitative and reintegrative initiatives, including education, work experience and skills.

To do this, the Department supplies:

- a risk and needs assessment for each offender to determine how best to address their offending behaviour
- programmes to encourage offenders to address their offending behaviour
- programmes to address offenders' offence-related needs
- education, training and work experience to assist offenders to secure employment on release
- assistance with accessing community services.

JUSTICE SECTOR CURRENT END OUTCOMES

Achievement of the Department's two outcomes contributes to the two current end outcomes shared by all agencies within the justice sector and through which the sector contributes to the Government's priorities.

SAFER COMMUNITIES; being communities in which there is reduced crime and in which safety and wellbeing is enhanced through partnerships.

A FAIRER, MORE CREDIBLE AND MORE EFFECTIVE JUSTICE SYSTEM; being a system in which people's interactions are underpinned by the rule of law and justice services are more equitable, credible and accessible.

The justice sector is reviewing its outcomes and indicators. This work is designed to ensure the sector has outcomes that are relevant, are consistently interpreted, and that demonstrate how the sector contributes towards the priorities of the Government.

GOVERNMENT PRIORITIES

Together, the Department's two outcomes of 'Protecting the Public' and 'Reducing Re-offending' – and its contribution to the wider justice sector outcomes – contribute to the Government's vision and priorities for the next decade.

The Government's vision is for an inclusive New Zealand where all people enjoy opportunity to fulfil their potential, prosper and participate in the social, economic, political and cultural life of their communities and nation.

The Government's priorities for the next decade are:

- **Economic transformation**
 - Working to progress our economic transformation to a high-income, knowledge-based market economy, which is both innovative and creative and provides a unique quality of life to all New Zealanders.
- **Families – young and old**
 - All families, young and old, have the support and choices they need to be secure and be able to reach their full potential within our knowledge-based economy.
- **National identity**
 - All New Zealanders to be able to take pride in who and what we are, through our arts, culture, film, sports and music, our appreciation of our natural environment, our understanding of our history and our stance on international issues.

THE DEPARTMENT'S STRATEGIC BUSINESS PLAN

The Department's *Strategic Business Plan 2003–2008* sets the overall direction for the organisation, within the context of the Department's focus on its outcomes of 'Protecting the Public' and 'Reducing Re-offending' and the framework of the broader outcomes defined for the wider justice sector.

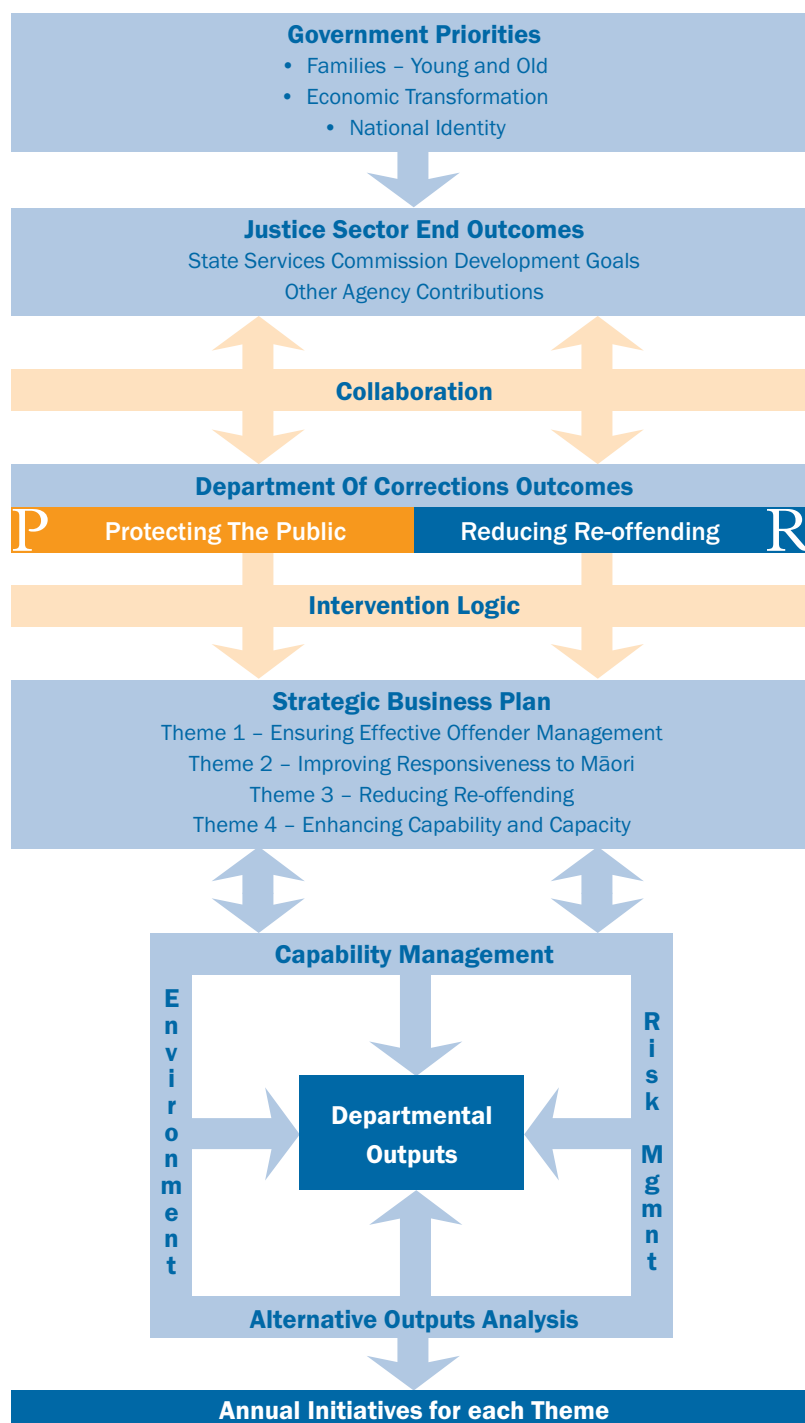
The plan is based around four themes that provide the strategic framework for the Department to deliver on its outcomes and address the issues impacting on its operations. The four themes, which provide priority areas that assist staff and managers to focus their efforts, are:

- Ensuring Effective Offender Management.
- Improving Responsiveness to Māori.
- Reducing Re-offending.
- Enhancing Capability and Capacity.

Within each theme is a series of strategies and initiatives to guide the Department towards achievement of its outcomes.

The Department's *Strategic Business Plan 2003–2008* is supported by a Māori Strategic Plan, a Pacific Strategy and four operational strategies. The strategic business plan and the supporting plans and strategies, are available on the Department's website, www.corrections.govt.nz, under News and Publications, Strategic Documents.

The following diagram summarises the strategic framework and linkages between the Government's priorities, the justice sector end outcomes, and the Department's outcomes, Strategic Business Plan, outputs, and annual initiatives. It shows the strategic framework through which the Department delivers its outputs and initiatives, including those set out in the *2005/06 Statement of Intent* and reported on in this Annual Report.



MANAGING FOR OUTCOMES

The Department's success is determined by the extent to which the departmental outcomes of 'Protecting the Public' and 'Reducing Re-offending' are achieved.

Attribution and Accountability

Measurement of progress can be intrinsically difficult because outcomes are often influenced by factors beyond an individual agency's control. The nature of the measures developed for each outcome means that some measures are better suited to providing information on the impact of the Department's interventions, as opposed to those external factors.

The Department's interventions seek to change the behaviour of the persons who come under its care and control. The likelihood of individual offenders re-offending is assumed to be based, in part, on relatively stable (though potentially changeable) personal and social characteristics. Personal characteristics include violence propensity, substance dependence, attitudes and values supportive of criminality, as well as deficits in educational and occupational skills. Social characteristics include lack of social supports, homelessness and lack of employment. The Department therefore offers a range of services that are intended to:

- reduce the severity of antisocial traits
- build socially adaptive skills and abilities
- resolve or mitigate environmental obstacles faced by offenders.

In addition to attempting to encourage personal change, and providing support and assistance to offenders, the Department also provides monitoring of and direction to those offenders subject to community sentences and orders. In doing so, the Department endeavours to prevent offenders from relapsing into undesirable patterns of behaviour, as well as enabling pre-emptive actions to be taken when risks

become elevated.

The Department cannot completely control the outcomes experienced by offenders. Key limits to control include:

- for many offenders, the sentence imposed is too short to allow meaningful engagement with rehabilitative services and programmes
- many offenders are unmotivated to address the personal and social issues that underlie their offending risk (and, while there are systems to encourage them to address these issues, there are seldom reasonable or effective ways to compel them to do so)
- when in the community, the location and behaviour of offenders cannot be continuously monitored, except in certain circumstances such as the first 12 months of an extended supervision order
- events and circumstances well beyond the control of the Department, which may dramatically and abruptly alter an offender's risk of re-offending, can (and frequently do) occur.

Fundamentally, criminality is understood to be a relatively robust and enduring personal characteristic in adult offenders. Even when exposed to the most sophisticated and intensive rehabilitative and reintegrative services, a substantial proportion of offenders will still go on to re-offend. Through its suite of interventions, the Department endeavours to reduce the proportion of those who do so.

In relation to the wider justice sector end outcome of safer communities generally, the Department's contribution is in reducing risk associated with offenders who have already come under its care and

control. The Department can exert no influence that might prevent offending by those who have not previously been under its control, or to reduce the number of young offenders entering the criminal justice system for the first time.

Measuring the Departmental Contribution to Achieving Outcomes

To demonstrate success, processes must be in place to measure achievement.

The Department has developed a set of measures, based on data collected through its offender management processes and similar information obtained from corrections agencies in other countries, which enable comparisons to be made. These measures provide a good starting point for assessing the Department's performance and will be enhanced over time in conjunction with the review of outcome measurement that is underway within the justice sector.

The measures are grouped under the departmental outcomes:

- Progress in 'protecting the public' is assessed through measures that demonstrate the quality and efficiency of the Department's custodial functions.
- Progress in 'reducing re-offending' is assessed by specific measures developed by the Department – the Recidivism Index (RI) and the Rehabilitation Quotient (RQ).

Achievements during 2005/06 against these measures are reported in detail in Part 2 of this Annual Report.

The Department also monitors the application of specific offender management processes to ensure they are properly and consistently applied.

Individual processes are also reviewed periodically to ensure that they remain effective, and, where necessary, they are amended. This activity is intended to support a process of continuous improvement while ensuring the integrity of the information used by the Department for assessing its contribution to outcomes.

International Benchmarks

The Department has developed close working relationships, and participates in the exchange of information with a number of overseas jurisdictions, such as Australia, Canada, England and Wales, and Scotland. Other international relationships are facilitated through the Department's membership of the International Roundtable for Correctional Excellence, the International Corrections and Prisons Association and the Ministerial Council on the Administration of Justice. The information exchanged has been used to develop benchmarks comparing performance across a range of indicators, including prisoner-to-staff ratios, costs of securing prisoners and occupancy statistics. This data is important because the Department is not able to compare performance in its core offender management functions against other New Zealand organisations.

Benchmarking also supports strategic advancement because it provides a means by which quality improvement can be identified and effected. Work continues on developing new measures and refining existing measures to ensure comparability. Current benchmarking data is included in Part 2 of this Annual Report in conjunction with the "Protecting the Public" measures relating to the quality and efficiency of the Department's custodial functions, and is published each year in international reports.

Linking Outcomes to Outputs

The delivery of the Department's outputs directly contributes to the achievement of its outcomes. These linkages are demonstrated in the diagram on pages 16 and 17, which highlights how the Department's

range of output classes and outputs contribute to its two outcomes of 'protecting the public' and 'reducing re-offending'.

Alternative Outputs Analysis

The mix of outputs delivered by the Department is not subject to radical change on a year-by-year basis. In particular, the core custodial outputs do not change greatly in their nature, comprising as they do the central functions of providing information to courts, and managing custodial and community-based sentences.

Rehabilitative programmes may be subject to greater change. Programmes administered by the Department have been developed against a background of both New Zealand and international research on what works with offenders. Programmes may change over time as new research, including specific evaluation work conducted by the Department in the New Zealand context, emerges.

Analysis of the Rehabilitation Quotient results that were presented in the *2004/05 Annual Report*, together with the evolving knowledge about what works best with offenders, has led to decisions to change the mix of rehabilitative programmes. The essence of the changes will be to target medium-intensity programmes to medium-risk offenders and high-intensity programmes to high-risk offenders. These programmes will be supported by a comprehensive relapse prevention programme.

In addition, a Short Motivational Programme will be delivered to prisoners serving sentences less than two years in length. The effectiveness of other motivational programmes, such as Tikanga Māori programmes, Māori Focus Units and the Faith-based Unit, will also be assessed.

The Department will also be involved in continuing work to examine options other than imprisonment for the rising offender population. The Government has made it clear that there will not be any lessening in penalties for

serious repeat offenders and hardened criminals, but that for some other offenders the use of non-custodial sanctions may be more productive, and a smarter, more effective use of taxpayers' money.

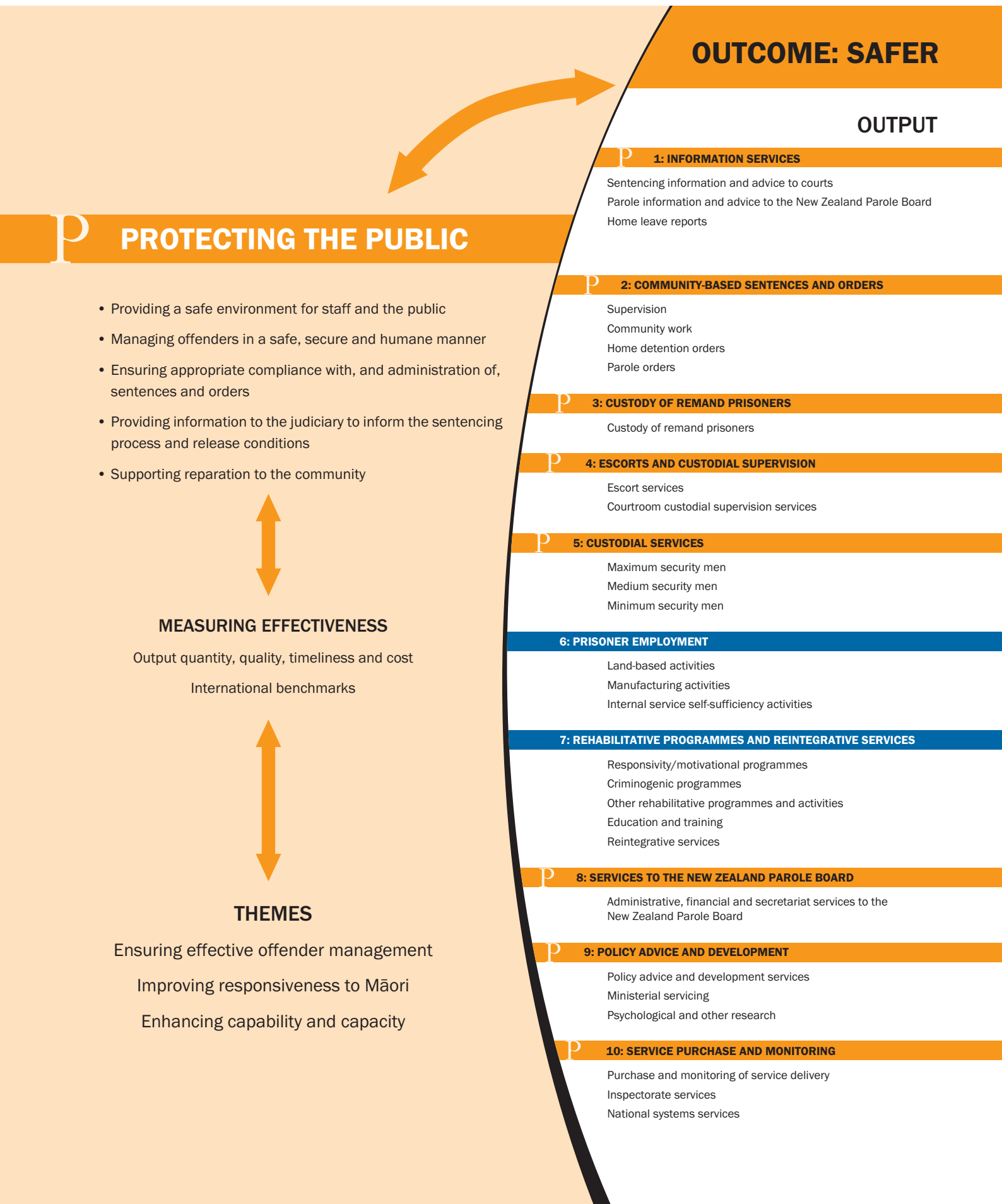
Evaluation, Research and Monitoring

The Department is committed to the development of evidence-based interventions that can be implemented successfully to assist with the achievement of its outcomes. The Department's own research and evaluation programme contributes to the development of new, or the modification of existing, interventions. This is especially so in the area of applying international work in the New Zealand context. The programme encompasses research on new interventions, assessment of the relevance of overseas approaches in the New Zealand context, and evaluations of the performance of specific interventions. This work provides a critical foundation for the selection of new interventions, or the modification of existing approaches, that support the Department's work in this area.

The Department reviews its research and evaluation programme each year, to ensure that the limited research funding available is targeted to the most appropriate projects.

Research and evaluation undertaken in 2005/06 is reported in Part 2 of this Annual Report.

TABLE 2: LINKING OUTCOMES TO OUTPUTS



COMMUNITIES

CLASSES

Home detention assessments to the New Zealand Parole Board
Psychological Service information and advice to courts and the New Zealand Parole Board
Information services for extended supervision orders

Orders for post-release conditions
Extended supervision orders

Women
Male youth
Drug reduction

Release to work
Vocational training services
Community services

Community residential centres
Psychological services
Chaplaincy services

REDUCING RE-OFFENDING

Providing targeted rehabilitative and reintegrative initiatives to change offending behaviour by:

- a risk and needs assessment for offenders to determine how best to address offending behaviour
- programmes to encourage offenders to address their offending behaviour and their offence-related needs
- education, training and work experience for offenders
- assistance with accessing community services so that offenders can positively participate in, and be successfully integrated back into, society.



MEASURING EFFECTIVENESS

Output quantity, quality, timeliness and cost

International benchmarks

Recidivism index

Rehabilitation quotient



THEMES

Ensuring effective offender management

Improving responsiveness to Māori

Contributing to reducing re-offending

Enhancing capability and capacity

APPROACH TO MANAGING OFFENDERS

In accordance with the purpose and principles guiding the corrections system and with the aim of achieving the Department's outcomes, the Department manages offenders through an integrated approach that applies across all sentence types, sentence lengths and locations.

When offenders enter the corrections system, there is a process to guide what happens to them during their sentence, how their needs are identified and managed and what follow-up support is required once they have finished the sentence. The offender management process is illustrated by the following diagram.

OFFENDER MANAGEMENT PROCESS

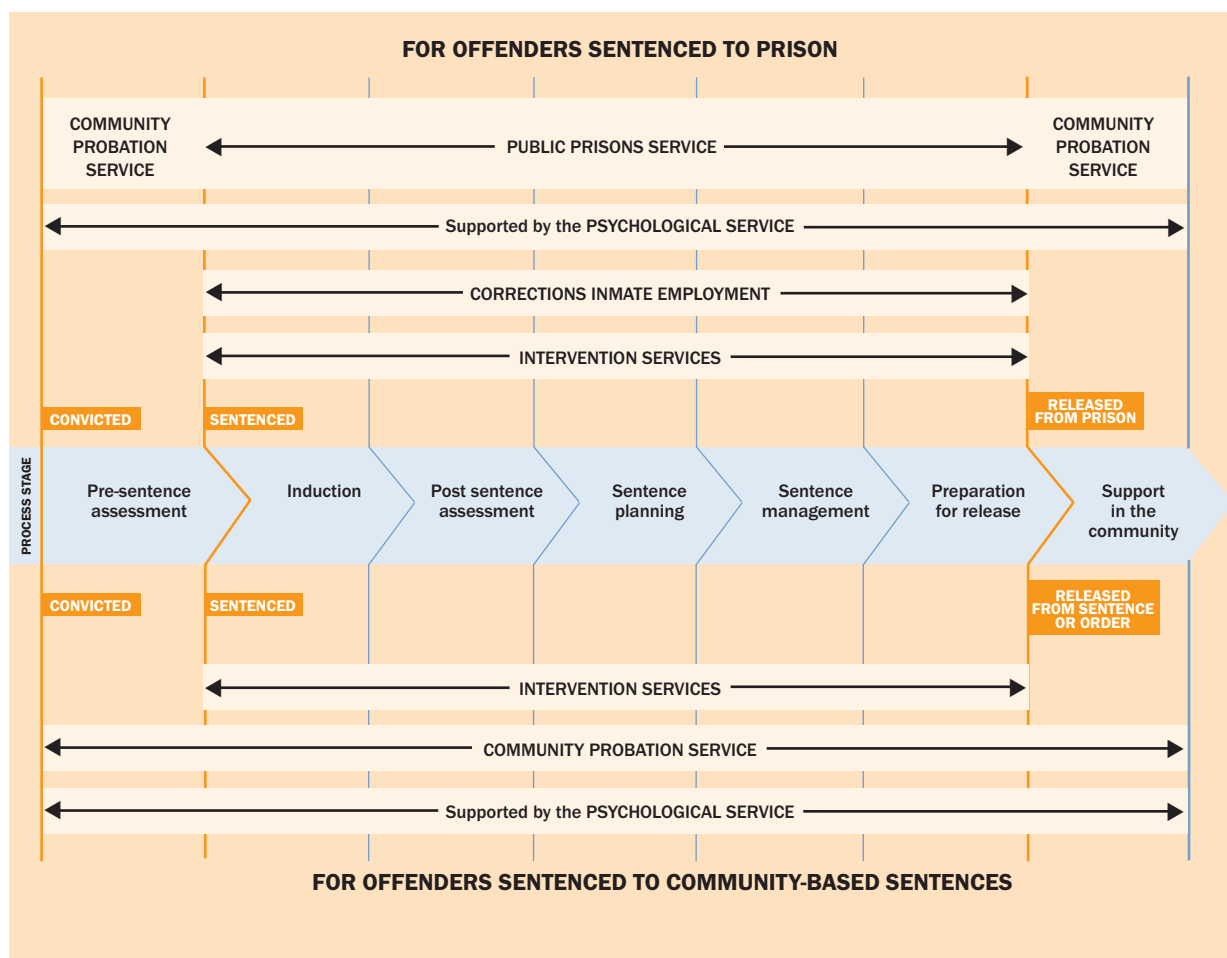


TABLE 3: OFFENDER MANAGEMENT PROCESS

The integrated approach to the management of offenders is underpinned by tools for assessing an offender's risk of re-offending and their particular criminogenic needs. For higher-risk offenders, needs are closely matched with interventions that focus on rehabilitation. For lower-risk offenders, reintegration into the community is the key element of an approach designed to support a transition to a crime-free lifestyle.

Further details of the Department's approach to managing offenders are available on the Department's website, www.corrections.govt.nz.