Schedule 26: Related Documents

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DOC REF 14063992_8

1. Introduction

The Department and the Contractor have agreed to include a list of documents related to the Project, as set out in paragraph 3 (each a **Related Document** and together the **Related Documents**) as appendices to this Schedule 26.

2. Status of Related Documents

2.1 Not part of Agreement

- (a) Each Related Document, as appended to this Schedule 26, is in the form agreed between the parties at the Execution Date.
- (b) Each Related Document is referred to in, but does not form part of this Agreement. The purpose of this Schedule 26 is to collate all Related Documents in the form agreed at the Execution Date for ease of reference. Any amendment to a Related Document following the Execution Date will comprise an amendment to that Related Document, but not to this Schedule or to the form of that Related Document as attached to this Schedule.
- (c) For the avoidance of doubt, the Related Documents do not form part of the prison management contract or the security contract (each as defined in the Corrections Act) comprised by this Agreement.

2.2 Amendment to Related Document

Where one party proposes an amendment to a Related Document, it must specify the grounds on which it requests that amendment and provide such other supporting information as may reasonably be requested by the other party. Subject to the express terms of any Related Document, any such amendment may only be made where agreed in writing by both parties, each acting reasonably. For the avoidance of doubt, any amendment to a Related Document:

- (a) will not constitute a Change for the purposes of Part 13 (Changes) of the Base Agreement; and
- (b) is not required to be submitted for review and finalised under the Review Procedures.

3. Related Documents

The Related Documents include the following documents:

- (a) ARWCF Incident / Emergency Management Plan Addendum;
- (b) ARWCF Stormwater Quality Pond Management Operation and Maintenance Plan;
- (c) Contractor's Design Baseline;
- (d) Contractor's ICT Baseline Architecture;
- (e) Contractor's Operational Responses Responding to Design Comments;
- (f) Contractor's Outline Asset Management Plan;

DOC REF 14063992_8

- (g) Delegations and Instructions Table;
- (h) Delegations Protocol;
- (i) Department AVL Equipment Installation and Support Protocol;
- (j) Designation Compliance Monitoring Table;
- (k) Incentive Payment Information Protocol;
- (I) Incident Reporting Framework;
- (m) Incident Table;
- (n) Kaitiaki Plan;
- (o) Mandatory International Prison Standards;
- (p) Outline Plan;
- (q) Pre-approved Lender List;
- (r) Prison Manager Table;
- (s) Protocol for the Appointment of Prison Manager;
- (t) Swap Pricing Protocol; and
- (u) the following restrictions and easements relating to the Department Site:
 - (i) Manukau Water Limited easement instrument 8592060.2 (the rights and obligations of Manukau Water Limited are now vested in Watercare Services Limited):
 - (ii) Investment Property Holdings LP covenant 8975119.1;
 - (iii) Vector Limited transfer 6984000.1;
 - (iv) Manukau City Council easement instrument 8592060.3 (the rights and obligations of Manukau City Council are now vested in Auckland Council);
 - (v) Variation of the conditions of easement instrument 8592060.3 as varied by Instrument 8855865.2;
 - (vi) Variation of the conditions of easement instrument 8592060.2 as varied by Instrument 8855865.3; and
 - (vii) Variations of the conditions of easement instrument created by Transfer 6984000.1 as varied by Instrument 8855865.4.

DOC REF 14063992_8

Appendix A: ARWCF Incident / Emergency Management Plan Addendum

Appendix B: ARWCF Stormwater Quality Pond Management Operation and Maintenance Plan



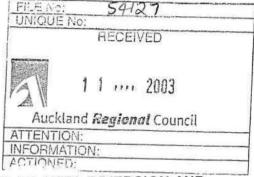


Our Ref: 15187 10 July 2003

Auckland Regional Council Stormwater Compliance, Land & Water Quality Private Bag 92 012 AUCKLAND

Attention: Trent Sumich

Dear Sir



CONSENT NO. 25966, 189 ROSCOMMON RD, WIRI, DIVERSION AND DISCHARGE OF STORMWATER

On behalf of the consent holder, the Department of Corrections, please find enclosed "Stormwater Treatment Pond Management Plan", for the above works

Yours faithfully TONKIN & TAYLOR LTD

G.W. Pearce Senior Engineer

cc:

Department of Corrections

Regional Prisons Development Project

P.O. Box 14491

Panmure

Attention: Wayne Otway

10-Jul-03 j:\15187\gwp040703.let.doc



DEPARTEMENT OF CORRECTIONS

STORMWATER TREATMENT POND MANAGEMENT PLAN

REFERENCE NUMBER: 15187.300

JULY 2003

REPORT PREPARED FOR: DEPARTEMENT OF CORRECTIONS

REPORT PREPARED BY:
TONKIN & TAYLOR LTD

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DEPARTEMENT OF CORRECTIONS 3 COPIES

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AUCKLAND REGIONAL AUTHORITY 1 COPY

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1.0 Introduction

This stormwater treatment pond operation and maintenance plan has been prepared for the following site, Lot 6, DP201333, Manukau City, which is at the end of Ha Crescent and Hautu Drive. At the time of preparing this plan the site is owned by the Department of Corrections, who are landowner and owner of the ponds and responsible for the pond maintenance.

2.0 Pond Description

The site includes four stormwater ponds shown on the drawings enclosed in Appendix A. The ponds are described below:

· Pond 1:

Consists of a large pond at the southern end of the site with a large separate forebay pond. At present the pond accepts overland flow from the southern half of site and the emergency discharge from Pond 2. Future use may include piped stormwater from the southern portion of side. Discharge from the main pond is by groundwater and overland flow to the large culvert under the South Western Sewer Interceptor at the southern corner or the site. There is no formal piped discharge from the pond, or the forebay pond.

Pond 2:

Located at the end of Hautu Drive this pond is an infiltration pond and the rock face on the western side of the main pond should be kept free of silt buildup. There is an emergency discharge channel from the southern end of the pond which must be maintained with only low grasses. No vegetation which would block the channel flow should be permitted. This pond treats the Hautu Drive catchment.

· Pond 3:

This pond is located at the end of Ha Crescent and treats the Ha Crescent Catchment. There are piped inlets and outlets to and from the main pond and the sediment forebay. Discharge from the sediment forebay is by flow through the top of the manhole on the western side of the pond. This manhole has a grate cover which must be kept clear of rubbish and debris.

The main pond discharges through a pipe to the public stormwater system on the northern side of the pond. There is a floodgate in the Manhole C1 which is required to prevent backflow from the public stormwater into the pond. If flow is observed from this location into the pond, then the floodgate will require maintenance.

There is no emergency discharge from the pond, however the pond has sufficient storm detention capacity to allow temporary storage of the 100-year return period storm. If the pond freeboard reduces below 300 mm the floodgate and outlet stormwater drain should be checked and cleared.

Pond 4:

Pond 4 is located at the north-western corner of the site and will eventually cater for the piped stormwater from the northern portion of the developed site. The pond includes two pre-existing ponds at its eastern end which can act as sediment forebays for the final stormwater system. This pond also contains a floodgate in the outlet Manhole D1 and the same maintenance implications apply as discussed for Pond 3. The freeboard for Pond 4 should not be less than 800 mm or maintenance of the floodgate and outlet pipes will be required.

3.0 Pond Maintenance

Pond maintenance is required for two primary reasons.

- To maintain pond performance and functionality.
- 2. For the safety of environments downstream of the pond.

Failure to undertake regular maintenance can result in a pond that is not achieving what it was designed for. More importantly, failure to repair small structural failures may result in major health and safety concerns for downstream environments.

Pond maintenance falls into two main categories.

- Functional maintenance.
- Aesthetic maintenance.

The two areas overlap substantially and for most ponds are equally important. Functional maintenance includes routine and corrective maintenance and is important for performance and safety reasons. Aesthetic maintenance is important for public acceptance of the pond. Currently, aesthetic maintenance is of little concern at this site due to its isolated nature. This plan covers both functional and aesthetic maintenance requirements.

4.0 Maintenance Plan

4.1 Three Monthly Activities

Grass Mowing

Pond grass batters and areas around the ponds are to be mowed frequently in line with the existing maintenance programme for the site. Particular attention should be paid to mowing the grass around inlet and outlet structures, to ensure there is no constriction of the flows.

Weed Control

Maintenance for weed control shall occur every 3 months and timed to coincide with significant growth periods. Pond batters, inlet and outlet structures should be checked for the presence of weeds. If weeds are found they are to be removed by hand or machine. Grass seed shall be planted in their place.

Trash Removal

Accumulation of trash is not expected to be a problem at any of the ponds.

Any trash that has collected in and around the pond shall be removed during routine inspections.

Dams, Embankments and Slopes

Dams, embankments and slopes should be inspected every 3 months and after any major storm events. Typical problems that inspectors need to look for are settlement, scouring, cracking, sloughing, and seepage.

Inspectors should pay particular attention to embankments with outflow pipes. There is potential for seepage around the outside of the outflow pipe. This may cause movement and weakening of the embankment soils.

Areas where water flows into the ponds also need to be inspected for excessive scour.

Repairs must be made promptly. Different situations will require different means of repair but will consist of some or all of the following.

- Compaction of existing earth.
- Replacement and compaction of lost earth.
- Planting of vegetation in order to stabilise.
- Placement of riprap to prevent scour.

Elimination of Mosquito Breeding Areas

During 3 monthly maintenance inspections any potential mosquito breeding areas should be identified and removed. Any stagnant pool of water can become a mosquito breeding area within a couple of days. Inspectors are to watch out for areas of stagnant water such as pools caused by debris and areas of ground settlement. Debris should be removed and contours altered to provide a surface that drains.

4.2 Six Monthly Activities

Grass Maintenance

Grass maintenance inspections shall occur every 6 months. Maintenance shall be for all grass within 5 metres of the treatment ponds.

Grass surrounding the ponds shall be maintained in a healthy state by fertilising and soil conditioning where required.

Where grass cover has been reduced due to sediment accumulation, stormwater flow or other causes, erosion may occur. Re-seeding shall take place in areas where grass cover has been significantly reduced. If particular areas continually need re-seeding, hydroseeding or erosion blankets may need to be introduced where this is significant.

Inlet and Outlet Structures

In addition to keeping inlets and outlets clear of vegetation, weeds and trash, the structures themselves must be maintained in working order. Inlet and outlet structures shall be inspected every 6 months or after any major storm events.

Wingwalls should be inspected for structural damage such as cracking, and movement within the foundation. Structural damage shall be repaired immediately. Wingwalls should be inspected at the following locations

- Pond 2 high flow inlet.
- Pond 3 inlet and outlet.
- Pond 4 outlet.

Where riprap scour protection is present there is potential for riprap to be lost into the pond. Riprap should be replaced if it has depleted to the extent that the batter that lies behind it is exposed. Riprap scour protection should be inspected at the following locations

- Pond 2 high flow inlet
- Pond 3 sediment forebay low flow inlet

Pond 3 main pond inlet

Flood gates should be inspected to ensure they remain functional. Flood gates should be checked for debris blockage and freedom of the hinge flap. Flood gates are at the following locations:

- Inside Manhole C1, at the outlet to Pond 3.
- Inside Manhole D1, at the outlet to Pond 4.

Manhole B2, the outlet to the Pond 3 sediment forebay should be inspected for accumulation of sediments and debris or trash on the grate. Excessive accumulation of sediment is considered to be more than 300mm of sediment in the base of the manhole. Where excessive accumulation has occurred the manhole shall be cleaned with a standard gully sucker truck. The material shall be disposed of at a suitable landfill.

4.3 Less Frequent Activities

Sediment Removal and Disposal

Accumulated sediment must be removed before it threatens the operation and storage volume of the ponds. There is expected to be a large amount of development within the pond catchment areas over the next 5 years. Due to the development works, there is likely to be more sediment entering the ponds and pond forebays than would normally be expected. To compensate for this, the base of the forebays for all ponds should be surveyed annually. When sediment builds up to a level where it is greater than 300mm thick over 50% of the pond area, it should be removed.

Sediment removal should take place during dry weather when little or no flow is entering the pond. Pond water shall be drained at a rate that does not disturb the turbidity of the water. The accumulated sediments shall be removed by sucker truck or excavation as appropriate and disposed of in a suitable landfill.

When the catchments are fully developed the frequency of survey can be reduced to 2 years or 5 years as appropriate.

4.4 Corrective Activities

Corrective maintenance is required on an emergency non – routine basis. It is required to correct problems and restore the intended operation and safe function of the pond. Corrective maintenance is done on an as required basis. After any major storm event a brief inspection of each pond should be made to check for any problems that may affect its ability to function. Some of the potential problems after a storm event are mentioned above. Corrective maintenance should be undertaken quickly.

4.5 Maintenance Inspection Sheet

A maintenance inspection sheet is included in Appendix B, to assist pond inspection.

5.0 Applicability

This report has been prepared for the benefit of the Department of Corrections with respect to the particular brief given to us and it may not be relied upon in other contexts or for any other purpose without our prior review and agreement.

TONKIN & TAYLOR LTD Environmental and Engineering Consultants

Authorised for Tonkin & Taylor by:

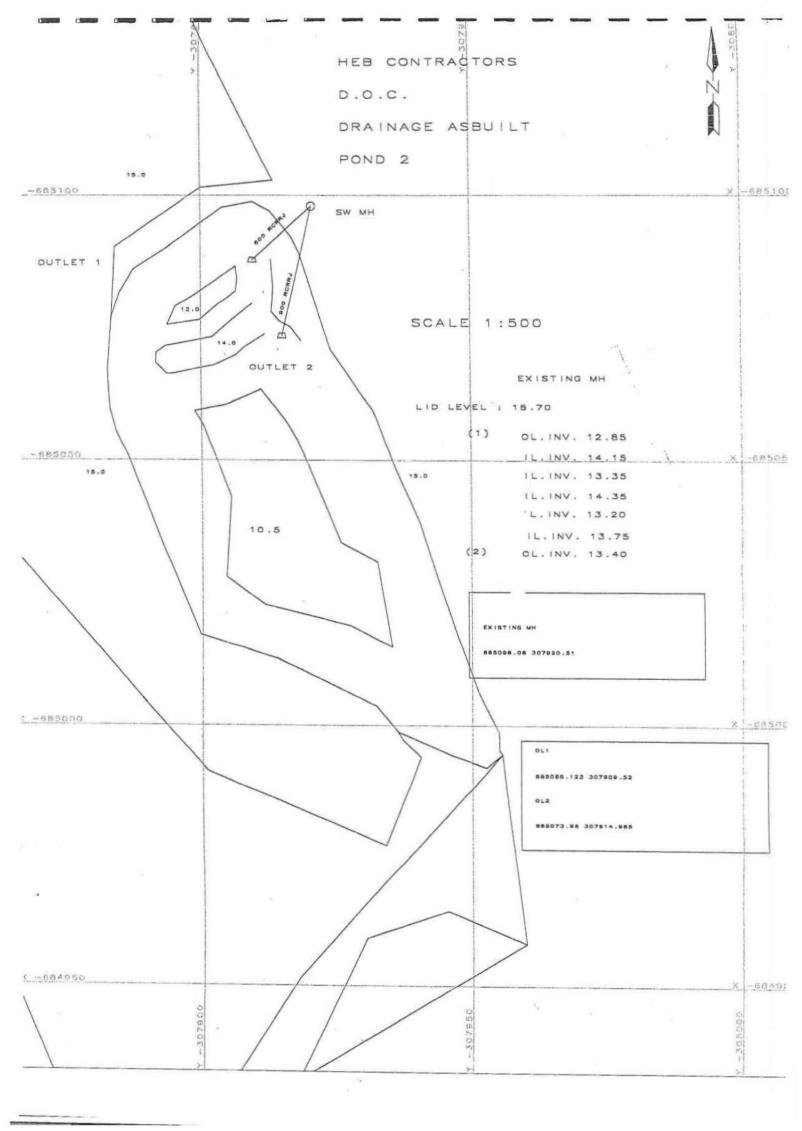
Grant Pearce

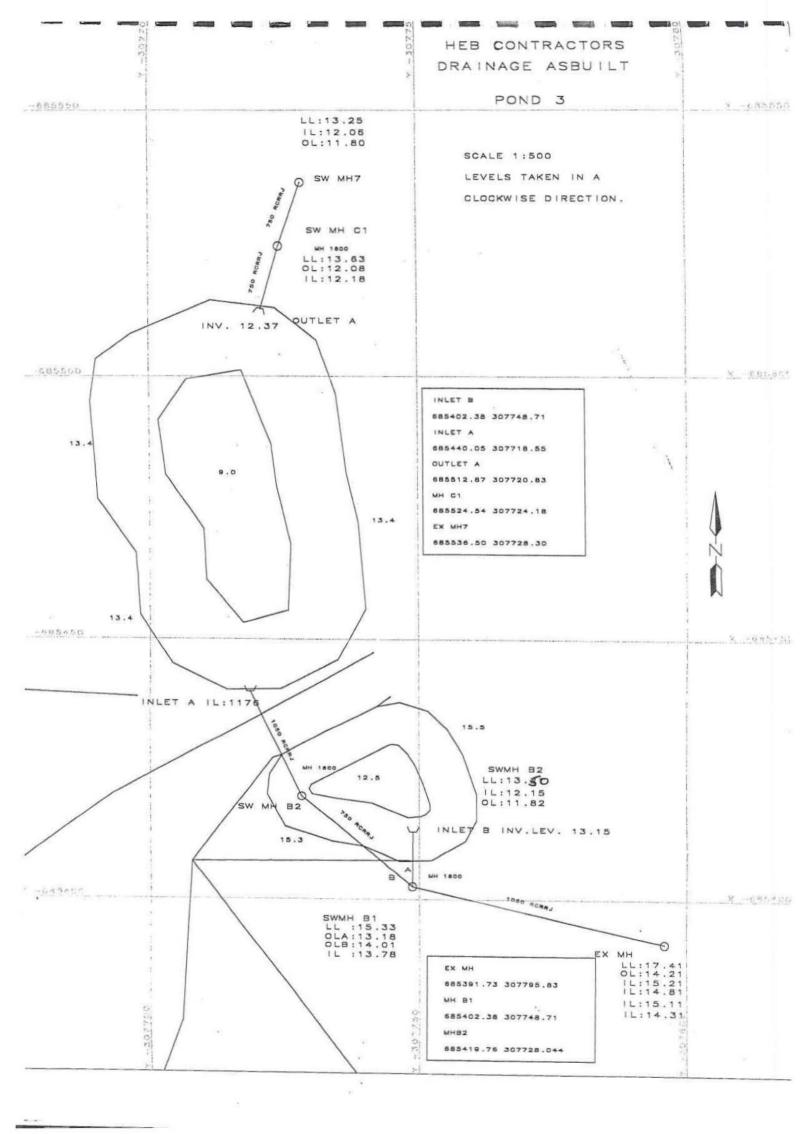
MEFF 10 July, 2003

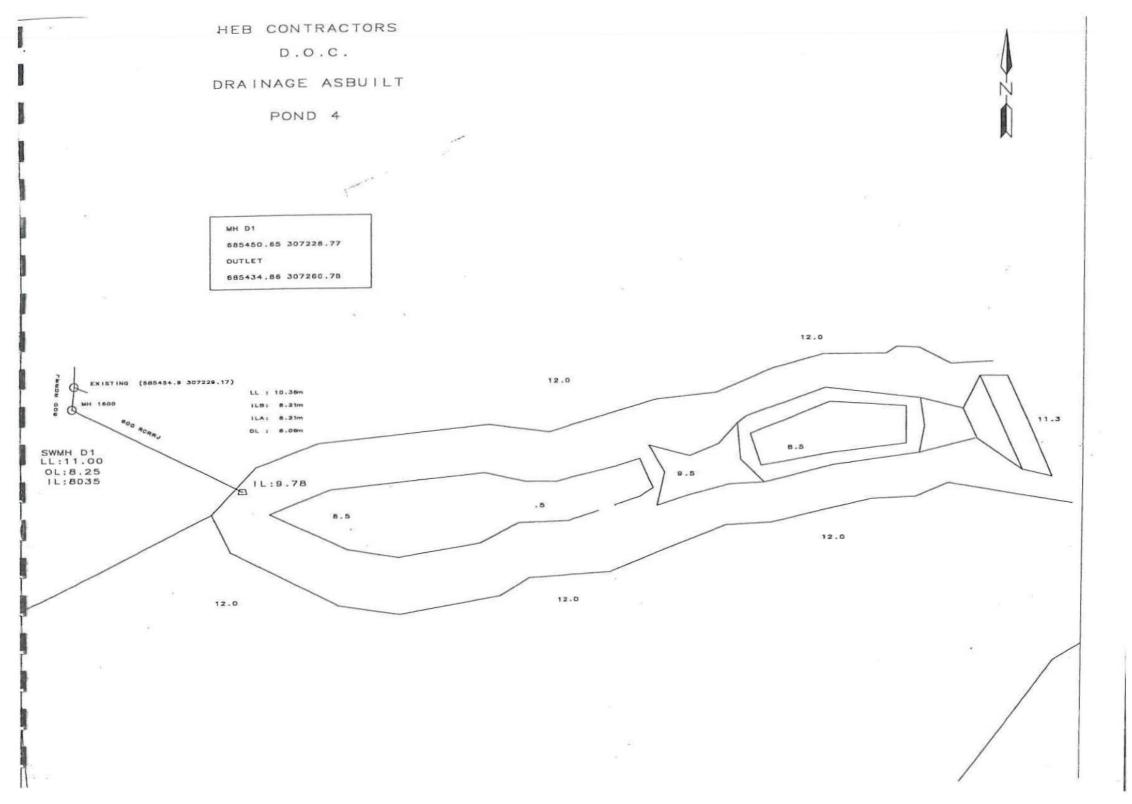
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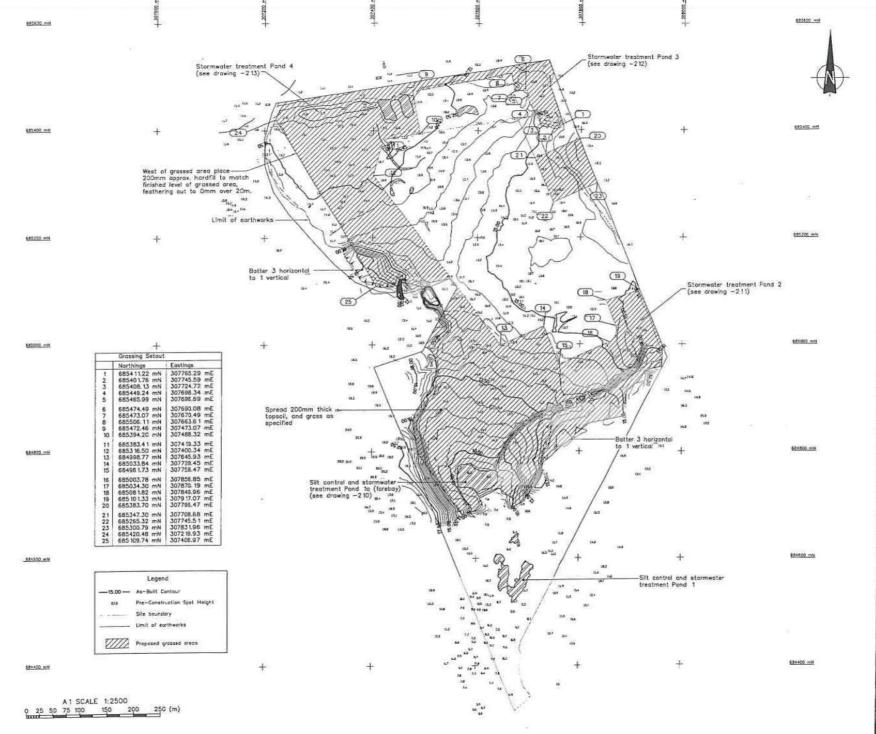
APPENDIX A

POND DESIGN AND AS BUILT DRAWINGS









NOTES :

. All dimensions are in metres unless nated otherwise.

- The Contractor shall be responsible for design and construction of all detailed silt control measures in accordance with ARC TP90, utilising the stormwater treatment pends, cut-off drains, and contour drains shown. All detailed design of pand outlets shall be approved by the Engineer and the ARC silt control officer.
- 3. On area to be grassed, spread 200mm thick approved sub-toppol from stage 3 certhworks area immediately outside grossed area toper sub-toppol layer from 200mm to 0mm ensuring that the finished profile does not pond water.

	I .		1
5	As Built		
E	Reduce West'rn ext. grass	GWP	14/5/82
Ð	Setout and note added	GWP	05/02
c	Grass area revised	GWP	93/02
В	Construction Issue	GWP	01/02
A	Tender Issue	GWP	10/01
RE	VISION DESCRIPTION	EY	DATE
DE	SIGNED 1	GWP	Sept 01
DR	AHN':	LLW	May 03
DES	SIGN CHECKED :		1
DRU	AFTING CHECKED :		

CABRLE : L: \ 15187.300\-15187-207s

REFERENCE .

This drawing is not to be used for constructi

Tonkin & Taylor

Environmental & Engineering Consultants
Mauckland 19 Morgan St. Newmorket
Tet (09) 355 6000 Fox. (09) 307 0265
Email: ouck@fonkin.co.nz
DWellington
DChristohurch

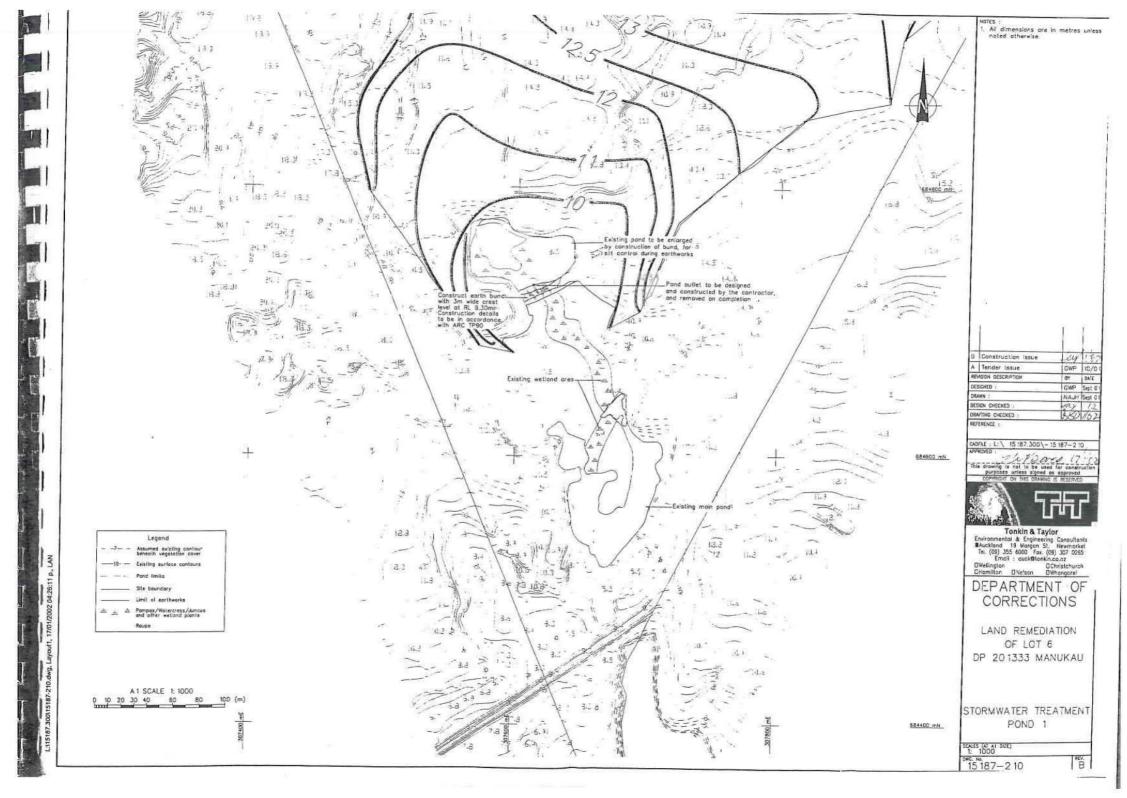
DEPARTMENT OF CORRECTIONS

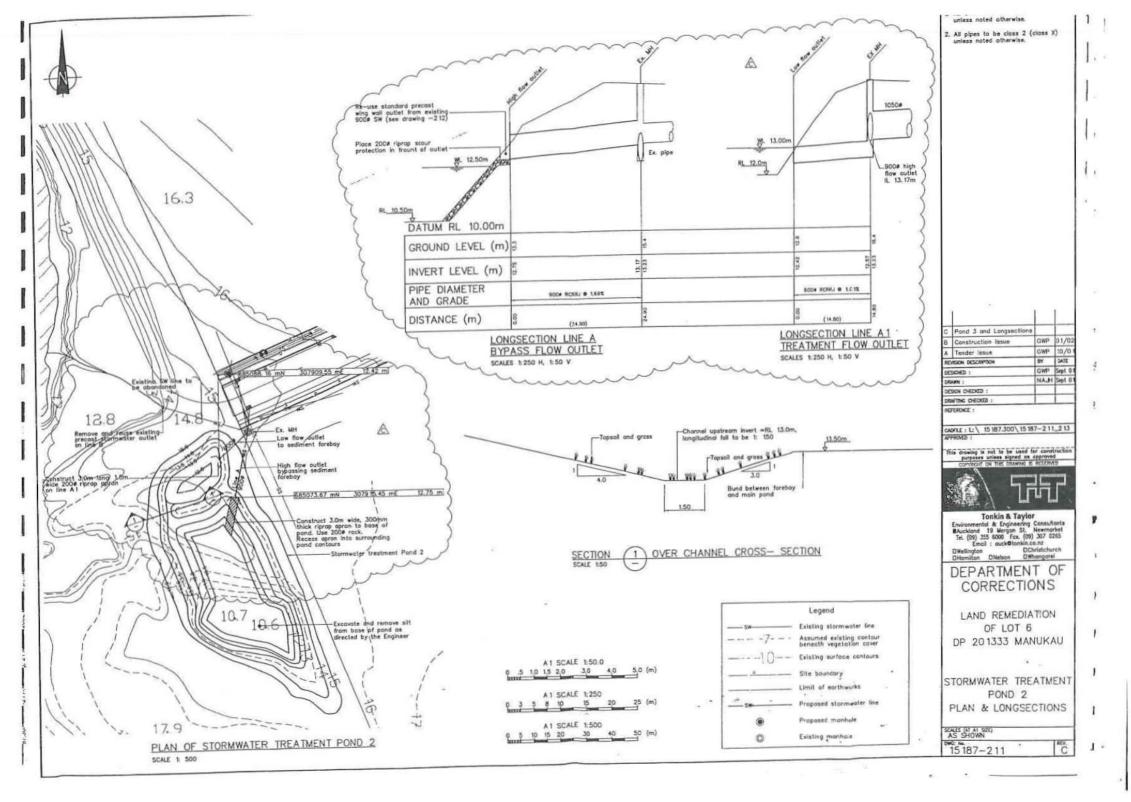
OF LOT 6
DP 201333 MANUKAU

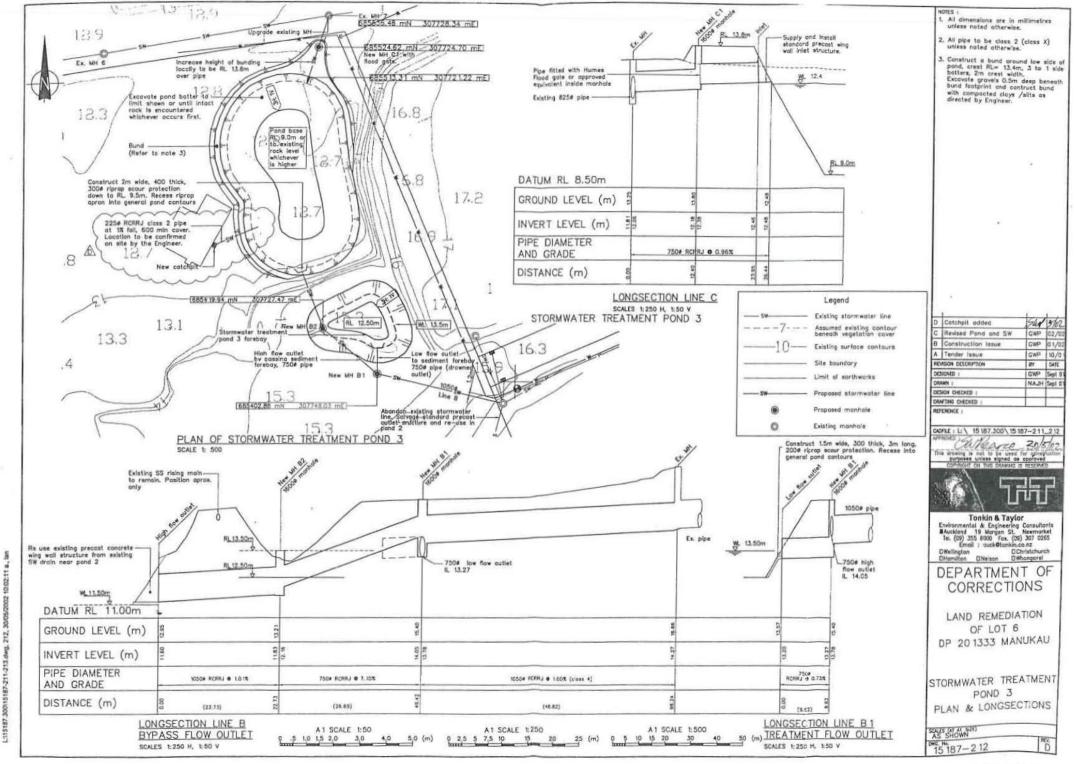
CUT OFF AND SILT CONTROL DRAINS

SCALES (AT A1 SZE) 1: 2500

ты: нь: 15 187—207s

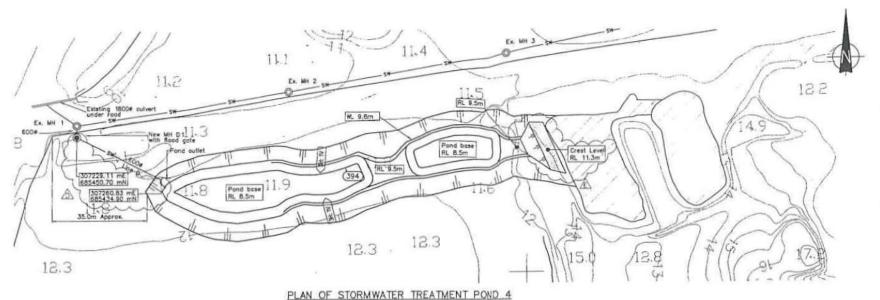






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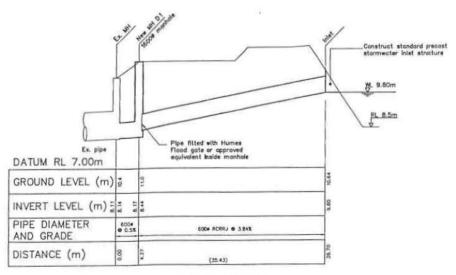




A1 SCALE 1:500

0 5 to 15 20 30

25 (m)

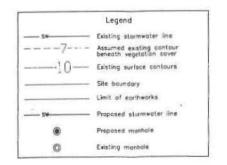


SCALE 1: 500



A1 SCALE 1:250 0 2,5 5 7,5 10 15 20

A1 SCALE 1:50 0 .5 1.0 1.5 2.0 3.0 4.0



NOTES:

1. All dimensions are in millimetres unless noted otherwise.

2. All pipe to be class 2 (class X) unless noted otherwise.

E	Weir odded	Chy	ogia
D	Setout odded	GWP	02/02
¢	Pond 4 Revised	GWP	02/02
8	Construction Issue	GWP	01/02
A	Tender Issue	CWP	10/01
RC	VISION DESCRIPTION	BY	DATE
DE	SONED :	GWP	Sept 01
OR	AWN :	NAJH	Sept 01
œ	NON CHECKED I		
DR	WTING CHECKED :		
RE	PURENCE :		

16

CAPILE : L:\ 15 187.300\ 15 167-2 11_2 13

This drawing is not to be used for constructs purposes unless signed as approved constructs and approved to the construct of sections of sections.



Tonkin & Taylor
Environmental & Engineering Consultants
Blackland 19 Morgan St. Newmorket
15t. (93) 355 5600 Fes. (98) 307 C255
Email : cuck@tonkin.co.nz
UKellington
CHemilton UNelson UWhongarel

DEPARTMENT OF CORRECTIONS

OF LOT 6
DP 201333 MANUKAU

STORMWATER TREATMENT POND 4 PLAN & LONGSECTION

SCA	UES:	EAS	Al	5070
177	6	CALE.	and.	-

15 187-2 13

APPENDIX B

POND MAINTENANCE INSPECTION SHEET

Stormwater Pond Inspection Sheet (1 sheet per pond)			Inspector Date Time Weather – Rainfall over last 2-3 d			
Inspection Frequency Key	A = Annual 6 M = 6 monthly 3 M = 3 monthly	Pon 1	d Inspe	ected 2	3	4
	S = After major storm events	Che	ecked		tenance eded	Inspection
		Y	N	Y	N	Frequenc
EMBANKMENTS AND	D SPILLWAY	1	1	•	1	3 M, S
1. Is the spillway level						0, 0
2. Adequate vegetation &	ground cover	_				
3. Adequate freeboard						
a) Pond 3 freeboard >	300 mm					
b) Pond 4 freeboard > 800 mm						
4. Embankment erosion e	vident					
5. Embankment cracking	evident					
6. Embankment sloughing	g evident	1				
7. Evidence of animal bur	rows					
INLET AND OUTLET						6 M, S
Concrete wingwall conc						
 a) Cracks or displacement 						
b) Minor spalling (0.25						
 c) Major spalling (rebat 	rs exposed)					
d) Joint failures						
e) Water tightness adeq						
Concrete wingwall cond				_		
a) Cracks or displaceme						
b) Minor spalling (0.25)						
c) Major spalling (rebar	s exposed)					
d) Joint failures						
e) Water tightness adequ		-	-	-		
10. Floodgates (Pond 3 & 4	only)	-	_	-		
a) Debris blockage		-				
b) Hinge function	1		-	-		
Evidence of seepage are Weeds/trash present nea		-	-	-		1
2. Weeds/trash present hea	ir outflow pipes	-	-	-	_	1
OND AND BATTERS		_	-			3 M
3. Undesirable vegetative/	weed growth	_	-	_		3 141
4. Removal of floating deb		_	_	_		- 1
5. Visible pollution	. To Toquilos		_			1
6. Evidence of 'edge erosion	on'	-				- 1
7. Other - specify						1
EDIMENT FOREBAYS						A
3. Is sediment accumulation	n >300mm (maintenance reqd					
nmed if Yes)						1
. Provision of access for m	naintenance					1
a) By hand						1
b) For machinery						

OUTFALLS INTO PONDS			3M, S
20. Riprap failures			
21.Evidence of slope erosion/scour			
22. Condition of any inflow pipes	Good	Fair	Poor
23. Other - specify			
OTHER			6 M
24. Areas of significant grass reduction			
25. Encroachments on pond or easement area			
26. Complaints from public			1
27. Aesthetics			
a) Grass mowing required			1
b) Graffiti removal required			
c) Other - specify			
28. Any public hazards – specify			
29. Vegetation healthy and growing			
 Potential/existing mosquito breeding areas 			

INSPECTORS RE	 	
-		

Dates by which maintenance must be completed

Signed.....

Appendix C: Contractor's Design Baseline

Appendix D: Contractor's ICT Baseline Architecture

Appendix E: Contractor's Operational Responses Responding to Design Comments

Appendix F: Contractor's Outline Asset Management Plan



SecureFuture Men's Correctional Facility

DRAFT ASSET MANAGEMENT PLAN (AMP)

Commercial in Confidence

Tracking Table

Revision and date Author Subject of revision Approved

15th August 2012 Bailey Nelson Initial draft

24th August Kevin Marsh Revised Draft



Asset Management Plan requirements required under the Project Agreement

Schedule 5 Asset Management Plan - REQUIREMENTS

The asset replacement, maintenance and refurbishment plan for the Works and must include:

- The asset management framework including:
 - o Purpose, management responsibilities,
 - Process details, systems and
 - Change management;
 - o Detailed information on the assets that support service delivery
 - o Key issues and strategies,
 - o Condition, performance,
 - o Criticality,
 - o Capacity and
 - o Value in accordance with IFRS16;
- A whole of life asset management approach to assets, including:
 - o Details of current and predicted future asset condition; and
 - o An analysis of asset life cycles, including details of any changes from the previous plan (extended or reduced life) and the reasons for those changes;
- Risk management and business continuity for the Facility and the Works Infrastructure;
- Lifecycle Maintenance Plan;
- Valuation Schedules;
- The Master Maintenance Plan;
- The service delivery matrix, including:
 - o Service areas and service levels;
 - o Quality standards;
 - o Performance measures;
 - o Management and maintenance strategies;
 - o Building names; and
 - o List of reports;
- The Hand Back Requirements; and
- A Semi-Annual Work Plan together with an analysis of historical and predicted future breakdown maintenance (as relevant).



SECTION 1 OVERVIEW

1.1 Project Scope

The Project involves the design, construction, and operation of a 960 bed new correctional centre, and the provision of a range of facilities management services across a concession period of 25 years.

The **O& M Subcontract**:

FM Services required under the project are:

- Management Service
- Helpdesk
- Soft Facilities Management Services
- Pest control
- Catering support
- Cleaning
- Grounds Maintenance

Hard Facilities Management Services;

- Building Management Services
- Comprehensive Asset Maintenance
- Utilities Management
- Life Cycle Replacement

1.2 Consortium: Stakeholders

The Secure Future consortium is comprised of:

- Serco New Zealand (O&M Subcontractor) who is providing the custodial services and equity
- The Fletcher Construction is the D& C Subcontractor
- Accident Compensation Corporation (ACC) is an equity provider and
- John Laing Investments Ltd is an equity provider.

Serco Australia will engage Spotless Services (NZ) to undertake the FM Services with the security system maintenance and life cycle replacements undertaken by SAAB as a subcontractor with Spotless.



1.3 Glossary of Terms

AMP Asset Management Plan

D&C Subcontractor The Fletcher Construction Company

Department NZ Dept. of Corrections

DRCP Design Review and Commissioning Process

Life Cycle CAPEX Life Cycle expenditures used to replace physical assets

OPEX Operating Expenditures (OPEX) is recurrent expenditure

PPP Public Private Partnership

Project Agreement Wiri Prison RFP Project Agreement

Project Co SecureFuture

Contractor SecureFuture

O&M Subcontractor Serco New Zealand Ltd

FM Subcontractor Spotless Services NZ Limited

SDM Service Delivery Matrix

Security Subcontractor SAAB Australia

VFM Value for Money

WoL Whole of Life

WMS Works Management System

MCF Men's Correctional Facility

1.4 Introduction

The WIRI PPP site is located on an undeveloped land parcel adjacent to the existing Auckland Regional Woman's Corrections Facility, 20 Hautu Drive, Wiri, Manukau, Auckland City NZ.

The construction site area is approximately 15 hectares of the 47 acre parcel. Access to the site will be from Kiwi Tamaki Road.

The site is provided with infrastructure connections to local power, water, sewer, gas and telecommunications services.



1.5 Scope

The scope of the Wiri Prison Project includes the following activities:

- Financing, design, development and construction of a commissioned and fully operational
 Correctional service facility;
- The delivery of all infrastructures required
- The on-going operation, repair, maintenance and replacement of the facility and its parts
- The supply and conduct of both custodial and facilities management services for the facilities over a 25 year period.



Section 2 SERVICE DELIVERY

2.1 Purpose

The AMP documents the asset management practices SecureFuture will use as part of an optimised lifecycle management strategy. The AMP will focus on the whole of the 25 year concession term and undergo annual revision to provide the asset management tools to meet the whole of life requirements for the Facility.

The AMP requirements include:

- Asset Management objectives
- Target Service Levels in line with the Operational Requirements
- Details of assets covered, and the lifecycle management plan
- Capital Works forecasts for anticipated asset replacement
- Master Maintenance plans for all assets
- Risk management, including policies, assessment and mitigation
- Asset Performance measurement, evaluation and improvement initiatives.
- Hand back Requirements
- Valuation Schedule
- Semi Annual Works Plan

2.2 The FM Subcontractor Scope:

The Facility Management related input to the AMP will include:

- a description of the asset portfolio, including assessment of asset criticality
- a description of the maintenance strategies applied including information used to inform decision making processes for maintenance, renewal and refurbishment of the facility
- an FM Asset Register including all plant and equipment, updated as required
- FM Life-cycle Plan

The FM Five Year Work Plan designed to adopt a whole-of-life asset management approach and focus on assets within the Facility impacted in the short and medium term. It includes:

- current and predicted future asset condition
- analysis of asset life-cycles, including details of any changes from previous plans (extended or reduced life) and the reasons for the change
- a five year indicative plan including the nature, scope, cost and timing of refurbishment works
- details of potential advancements in technology that could be considered for adoption prior to refurbishment works; and



 a report of changes in planned asset life-cycle from the Asset Management Plan, detailing refurbishment works extended or otherwise deferred, with supporting rationale for the change

The FM Annual Works Plan is a comprehensive works plan covering Planned Preventative Maintenance (PPM), maintenance and refurbishment works of the Facility for the subsequent 12 month period. It includes:

- the nature, scope and scale;
- the location;
- the projected timing and duration;
- a risk assessment of the Facility and the Functions and the Services (as appropriate) with content and format agreed with the O&M Subcontractor; and
- the way in which Spotless intends to work with the O&M Subcontractor to manage and minimise disruption to users and the operations
- current and predicted future asset condition

The FM PPM Program sets out:

- how and when PPM will be carried out
- the assessment of FM asset Life-cycles including details of any changes from the previous plan (extended or reduced life) and the reasons for those changes
- assessment of the FM plans and programs against historical and predicted future breakdown
 Maintenance (as relevant).

The key to the successful management of the Facility assets is meeting the expectations of our stakeholders and maintaining Corrections Services. This is consistent with our contracted responsibilities under the O&M Subcontract.

The FM Subcontract contains specific service level measures and targets to ensure compliance with service delivery undertakings and to provide reporting of performance.

Operational performance is based on minimising interruption to the efficient provision of the Corrections Services through:

- planned preventative maintenance
- planned asset upgrades and
- reducing reactive maintenance tasks

Our service level targets are based on a number of influencing factors including:

- Stakeholder consultation
- Operational safety considerations
- Regulatory requirements
- International best practice
- Past experience with Asset Management practice.

Keeping abreast of changing needs and asset performance expectations is fundamental to optimal asset investment and asset management practices. To determine these needs and expectations



with regard to the level of service provided, we utilise five main protocols.

- 1. Involve all stakeholders in setting our asset management policy performance standards
- 2. Undertake annual condition and performance surveys of assets and maintenance
- 3. Engage with all stakeholders to review asset performance on a regular basis
- 4. Set benchmarks and review overall performance
- 5. Provide performance and asset condition reporting

In setting our service level targets we will achieve an appropriate balance between legislative, regulatory and stakeholder requirements and operational requirements, for the delivery of the Facility Corrections Services.

The AMP is also a technical tool that goes beyond our regulatory requirements. The detail in our plan is used on a day-to-day basis, by our asset management and FM team, and demonstrates responsible stewardship of the Facility assets on behalf of our stakeholders, which include shareholders, government agencies, contractors, financiers and the general public.

The plan focuses on optimising lifecycle costs for each asset group (including operation, maintenance, renewal and disposal) to meet agreed service levels and operational requirements for the Facility.

Each year the AMP will be updated to reflect the outcome of the annual asset condition assessment. This will provide the basis for the on-going asset upgrade, replacement and maintenance programmes, to ensure we maintain the most reliable and efficient service delivery and asset performance.

2.3 Management Responsibilities

We maintain relationships with a number of consultants and specialist sub-contractors how assist us to meet our asset management objectives. They do not have management responsibility but provide valuable professional input to support the Asset Management undertaking we make. They are usually engaged on a fixed scope and/or period contract to meet the specific needs of work/project requirements.

Works are identified through our capital works and maintenance programmes and as detailed in the Asset Management Plan. Annual budget approval processes provide the mechanism to fund planned and reactive works.

Identified capital works replacement programmes are designed and undertaken using appropriate consultants and subcontractors. In the case of the MCF, wherever possible, we will utilise the services of the original design and construct team to ensure continuity of design, interpretation and execution of the works.

Capital works, where appropriate, are competitively tendered to pre-selected contractors. The contract works are processed and managed by the O&M Subcontractor's Asset Manager.

The scope of out-sourced works to consultants and contractors can be outlined as:

Consultants

- Expert advice on asset performance and selection
- Detailed design for asset replacement



FM specialist services

- Security system planned maintenance and reactive services
- Emergency response services for specialist assets
- Spares and major plant and equipment including essential services
- Selected specialist asset inspections and non-invasive/non-destruction testing
- Maintenance of Facility infrastructure
- Installation and replacement of new or existing network infrastructure.

2.4 Process details & systems

This section of our plan outlines the performance levels we require from the asset management team. It deals with stakeholder related service requirements and other requirements relating to our asset management drivers which include:

- Service delivery
- Whole of life asset investment principles
- Operational safety
- Economic efficiency
- Legislation
- Environmental responsibility

2.5 Investment Principles:

When maintaining and operating the Facility we consider the balance between cost, asset performance requirements, asset criticality and the quality of services required to maintain Corrections Services.

The optimum point of investment is achieved when the value of further maintenance and repair expenditure would have exceeded the value of replacing the asset. We achieve this through economic analysis and maintain it through the continual development and review our asset management practices combined with on-going analysis of asset performance through our 12 month asset condition and performance reviews.

2.6 Service Delivery

An integral part of the service delivery is the Service Delivery Matrix which sets out service levels for the Facility service areas to meet the operational requirements.



To support the service delivery outcomes required we have a team of professional Facility Management and Operational staff and subcontractors who will provide the management and technical services required to maintain the facility to the required standards. The FM service delivery team organisational team structure is shown below:

Spotless			Serco		
GM Managed Services NZ			Senior Management		
	Spotless Contract Manager		Serr Prison D	5070	
Spotless Administrator	Spotless Asset Manager	Spotless Mechanical/ Electrical Superviser	SAAB Technician	Specialist Subcontractors Fire Pest	
Off-Site Helpdesk	General	Plumber Gas	Grounds		
Manager	TradesPerson	Fitter	Maintenance		

2.7 Help Desk

Call logging and job dispatch management process:

A purpose-built Help Desk call taking and dispatching application tracks all calls coming into our call centre.

Help Centre staff are specifically trained to understand the service requirements for the MCF and the importance to maintain security at all times. This means we have direct links to Saab technicians to ensure any failure of the security system is actions as a priority task.

Jobs appear on a dispatch screen used by our control centre, from where they can be dispatched to handheld devices used by field technicians. Jobs requiring further work by an emergency contractor are automatically dispatched to that specialist subcontractors' administration centre or in the case of after-hours service directly to their on-call technician.

Contractors enter complete information directly into a web based interface and the job details automatically flow through into the works database.



2.8 Works Management System

Three key tools are used, by the FM Subcontractor, to establishment, implementation and to provide on-going development of the Services Procedures:

- Maintenance Planning Tool (MPT)
- WMS (maintenance management software)
- SPM (asset and Life-cycle management tool)

Maintenance Planning Tool (MPT)

The MPT is used to generate the maintenance plans and programs. The MPT analyses the types of assets and, where required, assigns maintenance tasks to the assets. The maintenance tasks are scheduled and are influenced by the following factors:

- legislative requirements;
- mandatory maintenance requirements;
- New Zealand standards;
- manufacturer's recommendations;
- operational performance requirements; and
- facility-specific requirements, including:
 - prisoner, visitor and staff safety;
 - the facility timetable;
 - area-specific induction requirements;
 - OHS requirements;
 - environmental requirements and considerations;
 - work permit restrictions

Works Management System (WMS)

The Works Management System (WMS) is the primary FM computerised maintenance management system. WMS is a flexible system designed to manage service requests from the initial communication through to completion and reporting. WMS provides a streamlined, auditable system designed to maximise unscheduled work completion. Key features of WMS include:

- customisable comprehensive property asset and equipment database
- a comprehensive service request package
- a comprehensive skills and trade database for trades and sub-contractors
- follow up and audit trail on service requests
- a report modules



SPM

SPM is a software package that provides a strategic, analytical solution that allows for the monitoring of asset condition and performance. This is used to support the asset condition assessments from which longer term asset management decisions are made.

2.9 Computerised Maintenance Management System (CMMS)

The CMMS facilitates an end-to-end approach to the management of all maintenance works. It is utilised to coordinate all aspects of facilities management projects from the first job order through to the last invoice, process or report. It is the critical management tool which allows the extraction of asset maintenance information.

The CMMS assists with compliance and risk mitigation by tracking mandatory maintenance on essential assets, delivers improved management of work orders, allocates subcontractors and increases transparency across all transactions.

The CMMS interfaces with the MPT to allocate the planned maintenance tasks to the correct resource and program the tasks to occur at times that minimise disruption. The key features of the CMMS are:

- a planning and scheduling process for all services and work types (PPM, unscheduled repairs and maintenance and replacement and refurbishment works)
- a comprehensive skills and trade database for trades and subcontractors
- a comprehensive follow-up and audit trail on work orders
- performance reporting

The CMMS is utilised when creating the following plans and schedules for submission to the Contract Administrator:

- PPM program
- Monthly Maintenance Schedule
- Annual Works Plan
- Life-cycle Plan

2.10 Development of systems and processes

To be fully developed:

2.11 Document management systems

To be fully developed:

- manage and store in a secure central repository all of the master drawings for the Department Site, Facility and Prison plans, plant manuals and performance records, in a manner that conforms with the requirements of the Public Records Act 2005;
- administer Facility plans to help capture physical changes occurring on the Department Site, including but not limited to new builds, refurbishments, additions, re-designs, asset commissions and decommissions:



- maintain common standards of layering, symbols and measurement, including gross and net internal areas;
- ensure suitable document management practices are in place, including maintaining operations and maintenance manuals, manufacturers' handbooks, warranty information and any other information relevant to asset management; and
- maintain and make available on request to the Department all asset and property data relating to the Department Site.

2.12 Specialist Subcontractor system interfaces

To be developed based on final Saab contract with the FM Subcontractor

2.13 Utilities Management Plan & Reporting

To be developed

2.14 Service level targets & measures (Current Period)

To be finalised with Spotless, Saab etc; a development of the SDM and performance monitoring as outlined in FM Subcontract

2.15 Detailed information on the assets that support service delivery

To be provided:

FM Subcontractor to provide list of all site assets that are used in support of the service delivery Serco to insert list of assets used to support service delivery

SAAB to provide full details of all equipment required on site to support service delivery

2.16 Operational Safety

We are committed to meeting our safety obligations. We will adopt appropriate safety standards for maintenance activities and for the operation of assets. We will specify works required to maintain assets in a safe working condition.

Documented procedures are implemented to ensure consistent safe working practices are



maintained and that new members to the team are inducted using proven operational techniques.

Our risk management strategy, focusing on safety, is continually reviewed to ensure any changing circumstances are managed appropriately.

The will be an up to date Health and Safety Plan operating on the site at all time. All staff, visitors and subcontractors will be required to undertake Health and Safety induction and training appropriate to their function on the facility.

2.18 Economic Efficiency

Our asset management practices support economic efficiency as they:

- Provide a basis to monitor asset performance and utilisation
- Enable the asset manager to plan and prioritise maintenance, renewal expenditure
- Quantify risk, and minimise high impact failures
- Extend the life of assets and optimise the trade-off between maintenance and replacement
- Provide competitive pricing of appropriate work to prequalified competent contractors
- Support economic cost benefit analysis for asset replacement
- Optimise asset efficiency and utilisation.

2.19 Legislation

Our aim is to maintain compliance with all relevant legislation, regulations and codes of practice that relate to how we manage the maintenance and lifecycle of the Facility, including:

- Local Government Act
- Resource Management Act
- Building Act
- Health and Safety in Employment Act
- AUS/NZ Standards (where applicable)

2.20 Environmental responsibility

We are committed to being environmentally responsible. Our activities are governed by relevant legislation, including the Resource Management Act 1991, local stakeholder consideration and our own environmental sustainability policy. Our major identified responsibilities are:

- a duty to avoid discharge of any contaminants into the environment
- a duty to avoid unreasonable noise
- a duty to avoid, remedy or mitigate any adverse effect on the environment
- a duty to incorporate sustainability principals within our business practices



SECTION 3 ASSET MANAGEMENT PROCESS

The asset management process is based on a whole of life analysis.

3.1 Whole-of-life approach

The benefits of an effective and integrated asset management solution can only be achieved by undertaking a whole-of-life approach to the design, construction, facility management and disposal of the facility's major assets. The following elements are considered when modelling maintenance activities to optimise life-cycle replacement:

- reliability and ease of maintenance in order to minimise disruption to operations;
- future cost of operation, particularly utility and manpower costs; and
- future cost of maintenance, refurbishment and replacement.

Successful whole-of-life asset management:

- maximises the Facility's ability to support operations;
- minimises disruptions to operations during PPM activities and life-cycle replacement or refurbishment works;
- maximises useful life of equipment and assets;
- increases reliability and availability of assets throughout their useful life;
- enhances operational capability and maintainability of the assets throughout their life cycle;
- enhances the potential to apply Ecologically Sustainable Development (ESD) principles including increased energy conservation awareness and efficiencies, and sustainable use of renewable energies; and
- maximises value for money considerations.

The following diagram provides an overview of our asset management plan implementation process.

Data Asset Management System Tools Asset Management Plan



We undertake lifecycle management and asset maintenance planning using whole of life cost analysis, reliability centred maintenance (RCM), condition based maintenance (CBM) and risk management techniques. The techniques are based on performance and reliability targets assigned to assets based on criticality in line with Facility operational requirements.

We have developed an RCM culture generally based on retaining the asset function. Cost and benefit are considered and the results are monitored to gauge the effectiveness of changes to our asset management practices. To achieve this we interrogate the following:

- What is the functional requirement of the asset?
- What is it that may fail and prevent this function?
- What can we do to retain the asset function?

Monitoring results works well for engineering assets, such as machinery that have a relatively high rate of failure. Through the provision of detailed performance information, such as call out frequency, number of repairs, operational efficiency and reliability enables meaningful decisions to be made on replacement and on-going maintenance strategies.

However, when applying RCM to assets with much lower failure rates, such as switchboards etc., information has to be obtained from a condition audit and testing to assess condition and to assist with predictive modelling for replacement/upgrades.

Condition audits are completed formally, on an annual basis and informally, by our technicians and subcontractors, during the course of their work. Where a technician notices unacceptable asset degradation this is reported and where required an investigation completed to ensure performance or condition does not drop to unacceptable levels.

Through on-going review of asset design life expectancy, close monitoring of performance and asset condition assessments we are able to implement proactive replacement and maintenance programmes which will support the delivery of Corrections Services.

3.2. Design Standards and Technical Specifications

In order to manage the safety, cost, efficiency and quality of assets we standardise asset specifications and maintenance practices. To achieve consistency we have referenced acceptable standard specifications and include information such as "as installed" drawings that are available to approved consultants and contractors.

Specifications and maintenance standards provided by the D&C contractor will form the basis for all on-going maintenance.

Maintenance specifications will be held in the MCF in both electronic and hard copy.

A comprehensive set of specifications for facility maintenance activities are developed and maintained. These specifications are made available for authorised contractors working on the maintenance of assets and refer to the relevant codes of practice and industry standards as appropriate.

We also standardise equipment used to construct components. To this end we develop specifications that detail accepted performance criteria for significant equipment that provides essential services, these are no less than those provided by the D&C contractor. New equipment must conform to these specifications and to those required under the P.A. Alternative equipment will be considered to ensure best value for money outcomes are generated which support the



Corrections Services Requirements

3.3 Equipment operating instructions

To ensure the variety of assets are operated safely with minimum impact on operations we have developed instructions that cover different types of equipment and assets. We create new operating instructions each time new equipment is introduced.

Routine reviews of operating instructions are completed to ensure operational, maintenance and health and safety considerations are maintained to the highest standard and continue to support Corrections Services.

3.4 Operating standards

To ensure all assets are operated safely we have developed standards that cover such topics as hazard identification, job safety analysis, commissioning procedures, system restoration, personnel training and access/work permit control.

3.5 Document control process

To ensure that all documents and drawings are maintained accurately, the FM asset manager is responsible for modifications to the document register. They are responsible for ensuring Facility document modifications are correctly and accurately recorded and that these are available through the portal for Department access.

The Asset Manager is responsible for processing controlled documents using the process set out in our document control standard.

Documents are made available to approved contractors who must sign confidentiality agreements prior to receiving any information from us. A restricted-access area on our website is used to make documents and drawings accessible to approved contractors and designers.

3.6 Asset Replacement

The overriding consideration for asset replacement is the requirement to meet the conditions of the P.A. Asset replacement reviews are completed to ensure compliance and to ensure asset replacements meet the performance and life cycle expectations required by the Operator to deliver the services.

Plant and equipment replacements are selected to ensure the operation of the Facility continues to meet the needs of the Correctional Services.

The Asset replacement process includes:

- Undertake asset condition audit procedures
- Review asset register and identify all assets that meet replacement profile
- Prepare scope of works, obtain cost estimates
- Review operational requirements for effected service areas
- Prepare works method statements and advise operational teams



- Instruct contractors to prepare scope and asset specification requirements
- Approve budget and scope of works
- Monitor works progress, witness commissioning tests and sign off works as complete
- Update asset register and assign top condition rating.
- Update drawing registers and associated site documents
- Update Depreciation schedule
- Update Master Maintenance Plan.

3.7 Routine Asset Inspection

The primary function of our routine asset inspections and maintenance process is to ensure that optimal levels of asset performance enable us to meet our service level objectives. The assets within the facility are required to be inspected on a regular basis, which in most part will be through the Master Maintenance Plan where asset condition assessments are reported. This also is supported by the statutory requirements under the Build Act to meet Building Warrant of Fitness requirements.

The asset manager will undertake regular quality audits of the maintenance works and conduct a full review of asset condition on an annual basis. The methods are set out in the condition assessment guide and condition rating scheme.

Based on inspections, maintenance records and reliability data from the works management system, the asset manager will assign a condition to the asset to reflect its current life cycle position. This is completed formally on an annual basis.

Assets found that have accelerated condition or performance depreciation are identified and a review of the maintenance regime and operational use of the asset is completed to evaluate and identify if the current maintenance procedures and policies for this type of plant are effective.

A report is prepared and where necessary, adjustments made to the maintenance plan ensure life cycle predictions remain valid and continue to meet the asset condition predictions provided at the outset of the contract. This is an iterative process over the life cycle of each asset type.



3.8 Asset Condition Rating

The need to monitor and manage the asset life cycle requires the asset manager to be able to quickly establish the current condition of assets. The asset condition rating scheme will be used to evaluate asset condition on an annual basis.

		Secure Fu	ture Condition Rating Syster	n – Table A		
SECURE FUTURE	A	В	c	D	E	F
RATING SCORE RANGE	0-48	49 – 144	145 - 192	193 - 288	289 - 384	385 up
NAMS EQUIVALENT	1	2	2	3	4	5
Fabric & Finishes	all elements are intact, sound condition. Wear and tear less than 20% degradation to as new condition.	all elements are intact, average condition for age. Wear and tear less than 40% degradation to as new condition.	all elements are in average condition for age. Wear and tear less than 65% degradation to as new condition.	all elements are in fair condition for age. West and tear less than 80% degradation to be added to the condition of the condi	all elements in poor condition for age. Wear and tear greater than 80% degradation to as new condition. Upgrade required within 12 months	all el ements in poor condition for age. Wear and tear at limit. Requires immediate refurbishment
Structure	all elements are intact, sound condition. No repairs required in long term	all elements are intact, average condition for age. No major works required in medium term	all elements are in average condition for age. Minor repairs with possible major repairs required within 5 years	all elements are in fair condition for age. Major repairs may be required in next 24 months	all elements in poor condition for age. Major repairs or replacement required in next 12 months	all elements in poor condition for age. Major repairs required immediately
Appearance	all elements are intact, sound condition. Wear and tear less than 20% degradation to as new condition.	all dements are intact, average condition for age. Wear and tear less than 40% degradation to as new condition.	all dements are in average condition for age. Wear and tear less than 60% degradation to as new condition.	all elements are in fair condition for age. Wear and tear less than 80% degradation to as new condition.Refurbishment within24 months		all dements in poor condition for age. Asset considered to be in dilapidated condition.
Functionality	all asset elements are fully functional and operating to as commissioned. Up to 6% of expected design life has been consumed based on total run hours, or gae eapired since lest overhauf. I salut < 1 per quarter. Unschedul ed repairs < 1 quarter.	45% of expected design life has been consumed based on total run hours, or	have accessed the last weeks of	life has been consumed based on total ru	all asset elements are fully functional and operating to as commissioned. and operating to as commissioned to the full state of the full s	all asset elements are not fully functional and cannot operate as commissioned. Between59% and 100% of expected design life has been consumed based on total run hours, or age expired since last overhaut. For a substance of the consumer of
RATING SCORE RANGE	0-48	49 – 144	145 – 192	193 - 288	289 - 384	385 up

3.9 Condition Rating Model

To provide confidence in the SecureFuture model we look at two aspects, namely condition definitions and condition predictions, over the term. The SF model uses a six value rating system (A-F) with a comparable numerical value range to provide modelling data. This compares with the five value NAMS/SPM model. Mapping between models is provided as a comparison. This is shown in the Asset Condition Rating Table above.

One of the differences with the NAMS model is the lack of a more graduated wear and tear rating. We address this in our model by including fair wear and tear graduated factor across the six condition ratings. To allow benchmarking we have assigned a wear & tear factor to the NAMS rating, displayed under the condition rating value. The best condition has no wear and tear, with each rating grade gaining 20% wear & tear per step in condition.

The NAMS wear and tear factors are 100, 80, 60, 40, 20.

The SecureFuture model has six tier wear & tear factor, 95%, 75%, 65%, 50%, 40%, and 20%. To illustrate the above we review House Block 1, as below.



The Bid SPM model produces the following Year 5 Condition Ratings

Substructure	100%			1
Superstructure- Frame	100%			1
External Walls	67%	33%		1
Roof	100%			1
Windows and Doors		100%		1
Stairs and balustrading				0
Interior walls		100%		1
Interior doors		100%		1
Floor finishes	97%		3%	1
Wall finishes				0
Ceiling finishes	100%			1
Fixtures and fittings	90%	10%		1
Signage				0
Electrical	39%	52%	9%	1
Mechanical	26%	62%	11%	1
Fire	54%	46%		1
Data/Communications				0
Lifts and Hoists		100%		1
Sanitary plumbing	60%	12%	28%	1
Special services	100%			1
Security	20%	70%	10%	1
Cell Fitout				0
Sealant				0
High security locks				0
Metalwork				0
Other				0



Applying the wear & tear factors the SPM model output provides the following condition assessments and a total Building Condition of 73.26 being an average of all assets in the building of which NAMS Rating are: 1 = 62.27, 2 = 35.13 and 3 = 2.56. No ratings were in either 4 or 5 under NAMS.

Substructure	100	0	0	0	0	100
Superstructure- Frame	100					100.0
External Walls	67.4	26.0	0.0	0.0	0	93.5
Roof	100.0	0.0	0.0	0.0	0	100.0
Windows and Doors	0.0	80.0	0.0	0.0	0	80.0
Stairs and balustrading						0.0
Interior walls	0.0	80.0	0.0	0.0	0	80.0
Interior doors	0.0	80.0	0.0	0.0	0	80.0
Floor finishes	97.4	0.0	1.6	0.0	0	98.9
Wall finishes						0.0
Ceiling finishes	100.0					100.0
Fixtures and fittings	90.0	8.0				98.0
Signage						0.0
Electrical	39.1	41.4	5.5	0.0	0	86.0
Mechanical	26.1	50.0	6.8	0.0	0	82.9
Fire	54.4	36.5	0.0	0.0	0	90.9
Data/Communications						0.0
Lifts and Hoists		80.0				80.0
Sanitary plumbing	59.6	9.9	16.9	0.0	0	86.3
Special services	100.0	0.0	0.0	0.0	0	100.0
Security	20.0	56.0	6.0			82.0
Cell Fitout						
Sealant						
High security locks						
Metalwork						
NAMS % values	62.27	35.13	2.56	-	-	



In the SF model we have the following:

Structural Elements	96%	4%		
Roof sheeting & membrane	50%	40%	10%	
Windows	83%	17%		
External Walls prisoner areas			65%	35%
External walls non prisoner areas		25%	75%	
Ceiling finishes prisoner areas			65%	35%
Ceiling finishes non prisoner areas		25%	75%	
Interior walls prisoner areas			65%	35%
Interior walls non prisoner		25%	75%	
Interior doors prisoner areas			65%	35%
Interior doors non prisoner areas		25%	75%	
Floor finishes prisoner areas			65%	35%
Floor finishes non prisoner		25%	75%	
Cell Wall Finishes				100%
Cell FF&E items				100%
Cell hydraulic services			50%	50%
Cell doors & locks	65%	30%	5%	
FF&E prisoner non cell areas				100%
FF&E non prisoner areas		10%	25%	65%
Security Perimeter Fence areas	65%	30%	5%	
Security Sterile zones	65%	30%	5%	
Security alarm & monitoring systems	65%	30%	5%	
Signage	65%	30%	5%	
Hydraulic Services Prisoner areas				100%
Hydraulic Services non prisoner areas	83%	17%		
Electrical Services	83%	17%		
Mechanical Services	83%	17%		
Fire Services	83%	17%		
Data/Communications	65%	30%	5%	
Vertical transportation systems	83%	17%		
Grounds, paving, walkways	65%	30%	5%	



The SF model provides the following analysis:

Structural Elements	91.2	3	0	0	0	0	94.2
Roof sheeting &	47.5	30	6.5	0	0	0	84
membrane Windows	78.85	12.75	0	0	0	0	91.6
External Walls prisoner	70.03	12.75	U	U	U	U	91.6
areas	0	0	42.25	17.5	0	0	59.75
External walls non prisoner areas	0	18.75	48.75	0	0	0	67.5
Ceiling finishes prisoner areas	0	0	42.25	17.5	0	0	59.75
Ceiling finishes non prisoner areas	0	18.75	48.75	0	0	0	67.5
Interior walls prisoner areas	0	0	42.25	17.5	0	0	59.75
Interior walls non prisoner	0	18.75	48.75	0	0	0	67.5
Interior doors prisoner areas	0	0	42.25	17.5	0	0	59.75
Interior doors non prisoner areas	0	18.75	48.75	0	0	0	67.5
Floor finishes prisoner areas	0	0	42.25	17.5	0	0	59.75
Floor finishes non prisoner	0	18.75	48.75	0	0	0	67.5
Cell Wall Finishes	0	0	0	50	0	0	50
Cell FF&E items	0	0	0	50	0	0	50
Cell hydraulic services	0	0	32.5	25	0	0	57.5
Cell doors & locks	61.75	22.5	3.25	0	0	0	87.5
FF&E prisoner non cell areas	0	0	0	50	0	0	50
FF&E non prisoner areas	0	7.5	16.25	32.5	0	0	56.25
Security Perimeter Fence areas	61.75	22.5	3.25	0	0	0	87.5
Security – Sterile zones	61.75	22.5	3.25	0	0	0	87.5
Security alarm & monitoring systems	61.75	22.5	3.25	0	0	0	87.5
Signage	61.75	22.5	3.25	0	0	0	87.5
Hydraulic Services Prisoner areas	0	0	0	50	0	0	50
Hydraulic Services non prisoner areas	78.85	12.75	0	0	0	0	91.6
Electrical Services	78.85	12.75	0	0	0	0	91.6



Mechanical Services	78.85	12.75	0	0	0	0	91.6
Fire Services	78.85	12.75	0	0	0	0	91.6
Data/Communications	61.75	22.5	3.25	0	0	0	87.5
Vertical transportation systems	78.85	12.75	0	0	0	0	91.6
Grounds, paving, walkways	61.75	22.5	3.25	0	0	0	87.5

The SecureFuture condition model output has been compared to the bid model (SPM) output and was found to be in close alignment with the years 1-10 being within a +/- 1% delta.

3.10 Condition Rating Methodology

The purpose of the condition rating analysis is to provide a measureable condition audit process that follows a defined set of procedural steps in order to provide a current asset condition. The asset condition will be formally assessed on an annual basis (and informally during routine maintenance activities). This will provide the update information data sets to the Asset Management Plan.

Objective approaches to the establishment of Asset Condition Assessments are difficult to achieve in practice. Assessors need to align a number of factors including:

- Fabric and Finishes
- Structure
- Appearance
- Functionality

In a prison environment generally functionality is the factor which takes precedence and is given a weighting to reflect this. Other factors, as above, and clearly defined asset condition assessment criteria, are used to determine asset condition ratings which are applied to individual assets or asset groups (functional units), e.g. flooring or cells.

Asset Condition auditors, completing asset condition assessments, must understand the criteria being assessed and take a balanced approach to reaching overall condition conclusions. The methodology must be unambiguous and ratings assigned on clearly defined factors and agreed by both the Asset Manager and third party auditors.

An alignment between the SF Asset Manager and the independent reviewer must be achieved to successfully complete asset condition audits and to avoid undue divergence of opinion.

Where functionality is a critical factor, alignment will be readily achieved. Where subjective assessment is a factor, such as wear and tear, alignment may be more problematical. For this reason SF are proposing a departure from the standard NAMS Condition Grading to a SF hybrid which introduces additional percentage wear and tear assessments within the ratings, together with the introduction of reliability, criticality and time based assessments, to assist with asset upgrade/replacement forecasting.



3.11 Condition Assessments

The audit procedure is designed to account for both individual assets and where combined, functional units. SF in setting out the methodology have included steps in the process to take into account the surrounds in which the assets are located. This is reflected by the "Prisoner", "Non Prisoner" categories. This approach looks at assets and groups them based on their environment.

By providing an evaluation breakdown of the assets which comprise the functional unit, e.g. walls, floors, cabinetry, plant and equipment etc. each asset within the functional unit is graded according to its current condition and the grading used to provide an overall condition rating for the functional unit, if required, e.g. kitchen, cell, showers or simply the asset itself. The ratings form part of the overall tracking mechanism to measure actual against target condition over defined time periods and provides the lead to ensure expenditure is targeted to maintain the required asset condition.

The criteria, against which the asset is assessed, is outlined in the Condition Rating Table above and is based on the degree of degradation the asset has been subjected too and its current functionality. Priority Factors (PF) are used to weight each of the four assessment criteria.

1.	Fabric and Finishes	(X1)
2.	Structure	(X2)
3.	Appearance	(X3)
4.	Functionality	(X4)

The sum of all four Priority Factors (PF) must equal 48, in other words if one factor is adjusted to reflect its relative importance others must be reduced to ensure the model remains balanced. The asset type determines the allocation of criteria (X1-X4). The base table for asset criteria is:

	Fabric & Finishes	Structure	Appearance	Functionality
Building Finishes	18	5	18	7
Plant & Equipment	5	8	5	30
FF&E/Flooring	12	10	14	12
Roofing, Walls	8	12	10	18

This approach enables the PF's to be adjusted to reflect criticality of the asset under consideration, e.g. where appearance is critical the Priority multiplier can be increased to weight this aspect, in preference to the other elements; where functionality is critical weightings can be adjusted accordingly. Provide the sum of the PF's equals 48 the assess model remains consistent.

The Asset Manager, will apply the PF factors to assets by determining within which generic group the asset is placed. The group categories for the PF determination are broad to allow ease of application without requiring the assessor/auditor or asset manager to engage specialist advice or in depth technical input.

The PF table allows, for example, plant and equipment to be grouped with a common a weighting



driven by functionality (X4 = 30). The functionality criteria being linked to the asset history of reliability/reactive intervention, estimated time to major overhaul etc.

For appearance based assets, such as painted walls, the grouping would place emphasis on Fabric and Finishes and Appearance (X1 and X3 = 18). This would assign a mix of factors with fabric and appearance, all having a somewhat equal impact as drivers of condition rating results.

It may be necessary at defined points during the operating term to review the application the factors, to ensure that the resultant PF is correctly aligned to the asset and its location, e.g. appearance will feature more highly in a high public profile area such as the Gatehouse Entry.

Assessments are established through the following procedure.

Condition Rating Procedure

Identify the asset and select a condition rating from Condition Rating Table (A-F) above.

The asset will require a physical inspection including the recording of condition via digital photography. Digital photos are then stored into an historical folder by asset location with subsets for asset type and compared, to track overall condition over time and to provide an audit trail. To assist in the condition rating system, the Asset Manager will use the condition rating scheme described below.

Asset information is not based on physical inspection alone, functionality, efficiency and reliability ratings are gained from both the WMS and BMS systems, this is particularly important for assets which cannot be assessed through traditional m² approach. The Condition Rating table provides guidance on this through the introduction of plant and equipment measures under the Functionality assessment criteria.

Data on efficiency and reliability is obtained from the BMS where comparisons on an input/output basis can show plant and equipment effectiveness. Additional BMS data such as total operating hours, number of starts etc., can be plotted against manufacturer's data for asset life cycle position, as can reactive or unscheduled maintenance intervention.

The WMS will supply data on repairs and maintenance activities that will round out the assessment process. It is expected that as the assets age, the WMS activity in any reporting period will increase. This increase will be exponential and a break point will be established to rate the asset to determine if it is reaching the end of its economic service life. This assessment is based on:

- Call out frequency
- Level of asset intervention required (type of failure)
- Maintenance vs. replacement cost benefit analysis

Area Based Approach

Where an asset, such as flooring and walls are being assessed the method of allocating grading will be based on the area each part of the asset represents to the whole of that asset class in the functional unit. For example and as attached in the Condition Calculator we have assessed the Visitors Centre based on our prediction of its condition at year 19. In this case we have allocated spaces based on wear characteristics of Prisoner and Non Prisoner. Although this building is located outside the secure perimeter we believe its degradation, in certain areas will match that of a Prisoner based area and as such our assessments have been applied to reflect this, as an example only.



On the attached Condition Calculator Sheet, Table C, Prisoner areas have been highlighted as RED. Assessments have been completed on the likely asset condition at year 19. The assessments translate to a numerical result which places a grade on the asset, e.g. Entry Waiting - Prisoner scores a value of 244 equating to a D Grade. Each other area, both Prisoner and Non Prisoner has been assessed in the same manner. The ratings are then reflected in the Area Table C. In this case the C's and D's are converted to a percentage of the total floor area for each. It will be seen that for Prisoner areas C's represent 11.5% and D's 88.5% respectively of this category.

For non Prisoner Areas C's and D's are 48% and 52% respectively. By reviewing the Condition Prediction Table B, at year 19, it can be seen our prediction for flooring Visitors Centre, is C 15% and D 85% Prisoner Areas and C 50% and D 50% for Non Prisoner areas. This correlates closely to our prediction and provides the condition spread mechanism required to objectively measure actual against targeted forecast.

Point Asset (Mechanical, Electrical Security Systems etc)

Assessing other asset classes such as mechanical plant, electrical equipment etc requires a similar approach. The manner in which asserts are assessed remains the same but with condition and performance scores assessed against more applicable criteria. Typically criteria for assessing condition for "point assets" includes:

- Visual inspection for condition
- Confirmation the asset is included as part of a planned maintenance programme, (i.e. regular servicing, inspections etc
- Assessment of design life expectancy with current age
- Assessment of run hours vs. design life run hours
- Assessment of reactive fault callouts, as per Condition matrix Table A Functionality
- Assessment of current performance vs. design performance

It is not appropriate to apply m² analysis in this case.

Priority Factors (PF) for electrical, mechanical and security will be applied, as per the table below, and it will be noted that for these categories of assets functionality has been weighted in preference to other attributes.

Building Finishes	Fabric & Finishes 18	Structure 5	Appearance 18	Functionality 7
Plant & Equipment	5	8	5	30
FF&E/Flooring	12	10	14	12
Roofing, Walls	8	12	10	18

In order that we can objectively apply Asset Condition Ratings across different types of assets, within the same asset class, e.g. electrical, mechanical, security etc. we will apply a cost based approach to the apportionment of condition assessments to enable comparison to the Condition Prediction Table B.



A simple example is switchboards, lights, and power outlets. Through the valuation schedule (Asset Register), each element will be allocated a value e.g.

Total		\$14,000	100%	100%
Cabling	В	\$3,000	17.7	17.7
Power outlets	D	\$1,500	8.8	8.8
Lighting	С	\$2,500	14.7	73.5
Switchboard	С	\$10,000	58.8	

Therefore, in the Condition Prediction Table C we would expect to see a distribution of asset condition under Electrical Services as:

- A: 0%
- B: 18%
- C: 74%
- D: 9%
- E: 0%
- E: 0%

Similarly the same approach would be adopted for mechanical plant where weighting for higher valued plant would generally drive the results of the condition assessment regime.

The cost reference for application for this element of the asset condition assessment will be from the asset register.

FF&E

Priority Factors for FF&E are weight fairly evenly this reflects the fact that each of the factors have roughly the same importance.

	Fabric & Finishes	Structure	Appearance	Functionality
Building Finishes	18	5	18	7
Plant & Equipment	5	8	5	30
FF&E/Flooring	12	10	14	12
Roofing, Walls	8	12	10	18



In the Administration Building the seating types comprise 190 chairs made up of:

34 Plastic cell type

48 Gas Lift Clerical

5 High back Gas Lift

29 Skid based fabric Meeting

56 Visitors Chair

18 Tub Chairs

For this item we would apply a number based approach (could be value based but probably not practical). However the condition for each type of chair will be assessed and a Condition Rating established as per the table below.

Total			100%	100%
Visitors Chair	С	56	29.5	57.3
Gas Lift Clerical and High back	С	53	27.9	
Meeting chair	В	29	15.3	42.7
Tub Chair	В	18	9.5	
Plastic Cell	В	34	17.9	

In this case for the chair portion of the FF&E assessment we would expect to see in the Condition Prediction Table B a distribution of asset condition as:

A: 0%

B: 43%

C: 57%

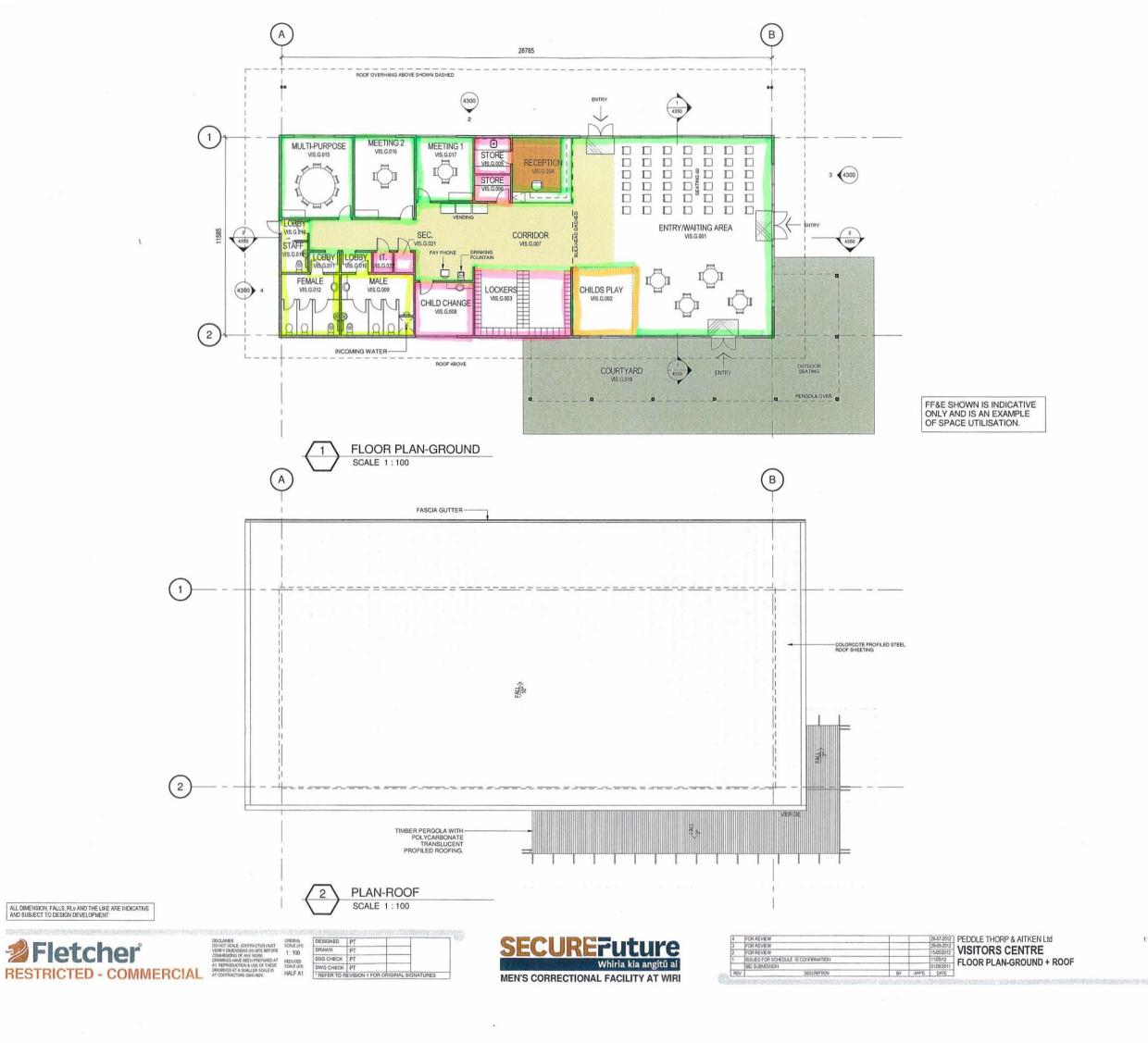
D: 0%

E: 0%

E: 0%

Chairs, as a part of total FF&E would under normal circumstances be rolled into an overall FF&E assessment and reported as such.

It is worth noting that whilst an over grade for an asset class provides a weighted average condition, individual assets which score unacceptably low condition ratings will trigger targeted asset replacement or upgrade under the maintenance regime, e.g. where carpet in a room or functional area may score an overall C Condition Rating, indicating no immediate upgrade work is required, there may be isolated areas which need to be addressed to ensure he asset remains safe and secure. This will be dealt with during asset condition assessments and also through the routine evaluations our staff complete during the course of their day to day activities.





CONDITION CALCULATOR	TABLE C
Location	Visitors Centre
Year of Inspection	19
Category	Priority Factor
Fabric & Finishes	12
Structure	10
Appearance	14
Functionality	12

OR	TABLE C													
	Visitors Centre				Worked Exampl	le - Flooring Visitor Centre			Α	В	С	D	E	F
spection	19	Con	ndition - Prisoner	A / 0-48		Condition - Non Prisoner	A / 0-48		1	3	4	6	8	10
gory	Priority Factor			B / 49-144			B / 49-144		12	36	48	72	96	120
	12			C / 145-192	12%		C / 145-192	48%	10	30	40	60	80	100
	10			D / 193-288	88%		D / 193-288	52%	14	42	56	84	112	140
	14			E / 289-384			E / 289-384		12	36	48	72	96	120
	12			F / 385 up			F / 385 up		48	144	192	288	384	480

Α	В	С	D	E	F
1	3	4	6	8	10
12	36	48	72	96	120
10	30	40	60	80	100
14	42	56	84	112	140
12	36	48	72	96	120
48	144	192	288	384	480

Location	Visitors Centre																																						
Floor Type	Carpet		Er	try Wa	iting - Pr	isoner				Recep	otion - No	on Priso	oner			Corr	idor - Pr	risoner				Multip	urpose R	oom - N	on Priso	ner		M	eeting Ro	om 2 - N	Non Pri	isoner			Mee	eting Ro	om 1 - N	on Priso	ner
Room Identifier				VI	s.G.001			_			VIS.G.	004					VIS.G.00	07					VIS	.G.015					,	/IS.G.01	.6					١	/IS.G.017	,	
Influencer/Basis	Area																																						
		Α	В	С	D	E	F		Α	В	С	D	E	F	A E		С	D	E	F	А	В	С	D	E	F	1	4	В	C 1	D	E	F	A	В	. (С С) E	
		1	3	4	6	8	10		1	3	4	6	8	10	1 3		4	6	8	10	1	3	4	6	8	10	1	ı	3	1	6	8	10	1	3	. 4	1 6	5 8	3 1
Fabric & Finishes				48							48						48					36							36						30	5			
Structure				40							40						40						40						4	0						4	0		
Appearance					84						56							84					56							8	34						8	4	
Functionality					72					36								72				36							4	8						4	8		
		0	0	88	156	0	0		0	36	144	0	0	0	0 0	١ ;	38 1	156	0	0	0	72	96	0	0	0	c)	36 8	8 8	34	0	0	0	3(5 8	8 8	4 ()
Room Condition Rating (Avg)	209				244						180						244							168						208							208		
SF Rating Grade					D						С						D							С						D							D		

Location	Visitors Centre																																				$\overline{}$
Floor Type	Tiles		Male \	WC Visit	ors - Pris	oner			WC Lobb	y Male Vi	sitors -	Prisoner			Femal	e WC Lo	bby - Pri	oner			Femal	le WC Vis	itors - Pris	oner			w	C Staff - I	Non Prise	oner			WC Lo	bby Staff	- Non P	risoner	
Room Identifier				VIS.G	.009					VIS.G.	010					VIS.G	6.011					VIS.G	i.012					VIS.	G.014					VIS.G	.019		
Influencer/Basis	Area																																				
		A	В	С	D	E	F	A	В	С	D	E	F	A	В	С	D	E	F	A	В	С	D	E	F	A	В	С	D	E	F	A	В	С	D	E	F
		1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10
Fabric & Finishes			36						36						36						36						36						36				
Structure				40						40						40						40						40						40			
Appearance					84						84						84						84						84						84		
Functionality		12						12						12						12						12						12					
		12	36	40	84	0	0	12	36	40	84	0	0	12	36	40	84	0	0	12	36	40	84	0	0	12	36	40	84	0	0	12	36	40	84	0	0
Room Condition Rating (Avg)	172			17	2					172						17	72					17	2					1	72					17	2		
SF Rating Grade				С						С						C	2					C	:						с					С			

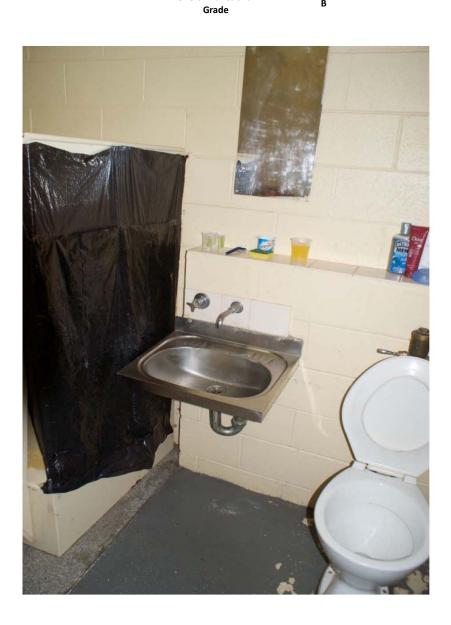
Location	Visitors Centre																																										
Floor Type	Vinyl			Lockers -	Prisone	r			Recep	tion Store	- Non P	risoner			Elerctric	al Cupbo	ard - No	n Prisoner	r		Cŀ	nild Chang	ge - Prisoi	ner			S	ecurity -	Non Priso	oner				IT - N	on Prisor	ier			Cleane	rs Cupbo	oard - Nor	n Prisone	ar
Room Identifier				VIS.G	.003					VIS.G	.005					VIS.0	6.006					VIS.	3.008					VIS	.G.021					VI	IS.G.022					VIS.	.G.023		
Influencer/Basis	Area																																										
		A	В	С	D	E	F	A	В	С	D	E	F	A	В	С	D	E	F	A	В	С	D	E	F	A	В	С	D	E	F	4	В	С	D	E	F	A	В	С	D	E	F
		1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	. 3	4	6	8	10	1	3	4	6	8	10
Fabric & Finishes				48						48						48							72					48						48							72		
Structure				40					30						30							40					30						30							40			
Appearance					84					56						56							84					56						56	;						84		
Functionality				48					36						36							48					36						36							48			
		0	0	136	84	0	0	0	66	104	0	0	0	0	66	104	0	0	0	0	0	88	156	0	0	0	66	104	0	0	0	0	66	104	4 0	0	0	0	0	88	156	0	0
Room Condition Rating (Avg)	198			22	0					17	0					1	70					2	14					1	170						170					2	244		
SF Rating Grade				D)					c							С)						С						С						D		

AREA TABLE TABLE D

Number	Room Description	Room Area (m²)	Floor Finish	Prisoner/Non P	Condition Rating		
VIS.G.009	Male WC – Visitors	14	Tiles	Prisoner	С	5.4%	
VIS.G.010	WC Lobby – Male : Visitors	2	Tiles	Prisoner	С	0.8%	
VIS.G.011	Female WC - Lobby	2	Tiles	Prisoner	С	0.8%	
VIS.G.012	Female WC – Visitors	12	Tiles	Prisoner	С	4.6%	11.5%
VIS.G.003	Lockers	23	Vinyl	Prisoner	D	8.8%	
VIS.G.016	Meeting Room 2	16	Carpet	Prisoner	D	6.2%	
VIS.G.017	Meeting Room 1	16	Carpet	Prisoner	D	6.2%	
VIS.G.008	Child Change	12	Vinyl	Prisoner	D	4.6%	
VIS.G.001	Entry / Waiting	103	Carpet	Prisoner	D	39.6%	
VIS.G.007	Corridor	60	Carpet	Prisoner	D	23.1%	88.5%
VIS.G.018	Courtyard	145	Concrete				
VIS.G.002	Child Play – Inside	14	Soft Fall Rubber				
		260				100.0%	100.0%
VIS.G.005	Reception Store	8	Vinyl	Non	С	16.0%	
VIS.G.006	Electrical Cupboard	1	Vinyl	Non	С	2.0%	
VIS.G.021	Security	1	Vinyl	Non	С	2.0%	
VIS.G.022	IT	1	Vinyl	Non	С	2.0%	
VIS.G.004	Reception	13	Carpet	Non	С	26.0%	48.0%
VIS.G.015	Multi purpose room	20	Carpet	Non	D	40.0%	
VIS.G.014	WC Staff	3	Tiles	Non	D	6.0%	
VIS.G.019	WC Lobby – Staff	2	Tiles	Non	D	4.0%	
VIS.G.023	Cleaners Cupboard	1	Vinyl	Non	D	2.0%	52.0%
		50				100.0%	100.0%
	Cooleded form Cools as these one	at attribute flamming					

Excluded form Cacls as these are not strictly flooring

				WA	LLS					FLO	OR					FF8	&E		
	List 1	Α	В	С	D	E	F	Α	В	С	D	E	F	Α	В	С	D	E	F
	Priority Factor	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10
Fabric & Finishes	12		36								72				36				
Structure	10	10						10						10					
Appearance	8	8									48					32			
Functionality	18	18							54						54				
	Functional Unit Grade	36	36	0	0	0	0	10	54	0	120	0	0	10	90	32	0	0	0
		72						184						132					
	Overall Functional	В						С						В					



EXTERIOR WALL

				CLAD	DING				VER	TICAL ROC	OF CLADD	ING			:	STEEL STR	UCTURE		
	List 1	Α	В	С	D	E	F	Α	В	С	D	E	F	Α	В	С	D	E	F
	Priority Factor	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10
Fabric & Finishes	12				72				36						36				
Structure	10		30					10						10					
Appearance	8			32						32					24				
Functionality	18			72					54						54				
	Functional Unit																		
	Grade	0	30	104	72	0	0	10	90	32	0	0	0	10	114	0	0	0	0
		206						132						124					
	Overall Functional Grade	D						В						В					



KITCHEN

				WA	LLS					FLC	OOR					CABIN	IETRY					HYDRA	AULICS		
	List 1	Α	В	С	D	E	F	Α	В	С	D	E	F	Α	В	С	D	E	F	Α	В	С	D	E	F
	Priority Factor	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10
Fabric & Finishes	12		36								72				36						36				
Structure	10	10						10							30						30				
Appearance	8		24								48				24						24				
Functionality	18	18									108				54						54				
	Functional Unit Grade	28	60	0	0	0	0	10	0	0	228	0	0	0	144	0	0	0	0	0	144	0	0	0	0
		88						238						144						144					
	Overall Functional Grade	В						D						В						В					



STAFF SHOWERS

				W	ALLS					SHOWE	R BOOTH					FI	LOOR				PART	TITIONS /	BUILT-IN S	SEATS			ı	DOORS &	HARDWAR	E	
	List 1	Α	В	С	D	E	F	Α	В	С	D	E	F	Α	В	С	D	E	F	Α	В	С	D	E	F	Α	В	С	D	E	F
	Priority Factor	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10	1	3	4	6	8	10
Fabric & Finishes	12			48						48					36						36							48			
Structure	10		30						30					10						10								40			
Appearance	8			32						32						32					24							32			
Functionality	18		54						54						54						54						54				
	Functional Unit Grade	0	84	80	0	0	0	0	84	80	0	0	0	10	90	32	0	0	0	10	114	0	0	0	0	0	54	120	0	0	0
		164						164						132						124						174					
	Overall Functional Grade	С						С						В						В						С					





3.11 Condition Assessment Alignment

The manner in which we propose to provide asset and functional condition assessments means we can provide condition reporting within SF at any level. Condition assessments include a building by building assessment broken down in to components as per the overall Condition Analysis Sheet and the asset elements which populate the Functional Units.

The joint development of a set of asset assessments, based on existing correctional facilities will provide the basis for on-going agreement of asset condition criteria from which the grades are derived for the MCF which can be used as a reference and training document.

3.12 Condition Assessment Quality Assurance

The asset condition system will require QA procedures to ensure that the data input and associated condition rating, assigned the assets, are correct, auditable and follow defined guidelines.

SF will undertake a review by both the SF Asset Manager and the FM Subcontract Asset Manager of high priority assets on a semi-annual basis. This will provide a confidence level to overall asset condition and provide a mechanism for early detection of unacceptable asset deterioration.

The process will be on an ad-hoc timeframe so that no advanced notice will be provided to the FM Subcontractor of the areas to be audited or any particular asset. The QA procedure will be as follows:

- The SF Asset Manager will identify the sample assets that will form part of the semi-annual audit process.
- The assets will be listed with supporting documentation provided by all sources that were involved on the most recent condition rating analysis. This would include WMS histories, BMS data files and benchmark performance information, and the latest set of digital photo library files.
- The Asset Manager will physically inspect the asset and undertake a normal condition assessment process to determine a condition rating. This rating will be compared to the rating produced by the most recent condition assessment. The review process will also include photographic record which will be used as documentary evidence of asset condition.
- The two ratings will be reviewed and benchmarked to identify any assessment disparity and if necessary addition training provided to the assessment staff and where necessary stakeholder auditors.

3.13 Performance Measurements

The performance of the FM Subcontract is essential to the Facility asset management planning and delivery. Performance measures are set out in the FM Subcontract, the service delivery matrix and associated reporting requirements that apply to the FM service delivery.

FM subcontract performance monitoring provides a service failure point accumulation system. This system enables the O&M Contractor to continually review and monitor the performance of the FM Subcontractor through a predefined and agreed set of performance and service level objectives.



In the event service failure points have allocated and have been exceeded, in any month, the FM Subcontractor is required to provide a Performance Improvement Plan (PIP) outlining the steps they will take to during the following month to rectify the issues identified.

The service failure point tables follow:

Performance Objectives and Service Failure Monitoring System

General Management and Infrastructure

Call Centre/Helpdesk Availability - GM01

Performance Objective Users receive a timely response when calling the Call Centre/Helpdesk.

Definition For the avoidance of doubt the Call Centre/Helpdesk is referred to as the FM

Subcontractor Contact Centre, located in TBA.

Performance Objective 80% of calls to the call centre / helpdesk are answered within 15 seconds

Applies 24/7, 365 days a year

Note: calls unanswered after 40 seconds, must be answered by a machine,

and a timely response given.

A report run out of Q-Master system at the end of the month based on every Measurement point

call to the call centre.

Number of calls not answered within specified timeframes over period / total Determination

number of calls received for period x 100

Specified timeframes are 15 secs, 30 secs and 40 secs

Period Monthly Frequency of Measurement Continuous **Data Source** Q-Master

Measurement The FM Subcontractor

Responsibility

Reporting Frequency Monthly

Measurement The following measurements will apply:

> 80 % of all calls answered in less than in 15 secs = 0 SFPs 80 % of all calls not answered in less than in 15 secs = 2 SFPs 80 % of all calls not answered in less than in 30 secs = 4 SFPs 80 % of all calls not answered in less than in 40 secs = 8 SFPs

All faults are assigned the correct priority – GM02

Performance Objective

95% or more of faults logged are assigned the correct priority.

Definition Correct priority will be based on the definition of fault priority levels listed in

Table 0 below.

The O&M and FM Subcontractors will jointly complete the review of a

sample of jobs each month.



Performance Objective 95% of faults are assigned the correct priority

Note: Percentage is calculated by auditing a sample of jobs (# of jobs

correctly prioritised / total # of jobs audited).

Measurement point Sample of jobs from relevant month.

DeterminationNo. of occasions where priority rating allocated to fault matches definitions

of fault priority ratings in contract / sample size x 100.

Period Monthly

Frequency of Measurement Continuous

Data Source WMS

Measurement

Responsibility

The FM Subcontractor

Reporting Frequency Monthly

Measurement Audit Results will be categorised accordingly:

> 95% correctly assigned = 0 SFPs 90% - 95% accuracy = 2 SFPs 85% - 90% accuracy = 4 SFPs Less than 85% accuracy = 8 SFPs

Contract reporting requirements are met - GM03

Performance Objective

Definition

All reports delivered on time.

Performance Objective 100% compliance with the reporting requirements detailed in Table 0

below.

Measurement point Date report [uploaded to ClientSPOT portal]

Determination Date report due precedes or equals date available online to The Service

Provider

Period As per given reports equivalent reporting period

Frequency of Measurement Continuous

Data Source Date stamped [uploaded to ClientSPOT portal]

Measurement Responsibility The FM Subcontractor

Reporting Frequency Monthly

Measurement Each report delivery date missed = 2 SFPs per late day

Contract data requirements are met - GM04

Performance Objective Data and information is provided on request to the required timeframes

Definition detailed below.

The request must be made on a formal data request form or formal information request form by an approved Service Provider employee

Performance Objective 100% compliance with all data requirements.

Performance Objective for Data Requests = 1 business day

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Performance Objectives for Information Requests = 5 business days

Note: 'Data' is raw material or records what is needed to support the
development of information. Data can be accessed immediately

'Information' requires manipulation and/or interpretation of data and is not

immediately available

Measurement point Every data request logged and time taken to respond collated over the

month

Determination The business day the request formally received compared to the business

day the request completed.

Period Monthly
Frequency of Measurement Continuous
Data Source E-mail

Measurement Responsibility The FM Subcontractor

Reporting Frequency Monthly

Measurement Each 'Data' Request missed = 2 SFPs per late day

Each 'Information' Request missed = 2 SFPs per late day



Asset Management Maintenance Plans – AM01

Performance Objective Maintenance Plans are submitted within timeframes stipulated within the

Definition FM Subcontract. The plans are deemed to be submitted once they are

available on ClientSPOT.

Performance Objective The FM Subcontractor must ensure that it prepares the Maintenance Plans

listed in the FM Subcontract.

Measurement point Every Maintenance Plan submitted at the specified date and frequency.

Determination Maintenance Plans submitted

Period Semi Annually

Frequency of Measurement Semi Annually

Data Source ClientSPOT access for O&M Subcontractor

Reporting Frequency Semi Annually

Measurement Each Maintenance Plan deadline missed= 2 SFPs per late day

Ensure Accurate Records - AM02

Performance Objective Recor

Definition

Records are accurately maintained

Performance Objective The FM Subcontractor must ensure that records are 95% compliant with

the site infrastructure.

Note: Accuracy is determined through auditing site infrastructure records

Measurement point Accuracy of sample size measured against the total sample assessed.

Determination %

Period of Calculation Annually
Frequency of Measurement Annually

Data Source Various including Asset Register, WMS and Drawings Register.

Measurement Responsibility The FM Subcontractor

Reporting Frequency Annually

Measurement Audit Results will be categorised as follows:

100% - 95% accuracy = 0 SFPs 90% - 95% accuracy = 24 SFPs 85% - 90% accuracy = 48 SFPs Less than 85% accuracy = 96 SFPs



Facility Management Site

All faults (repairs and vandalism) are completed to time and standard - FM01

Performance Objective

Definition

The Service Provider receives a timely and appropriate fix in response to

each type of fault.

The objectives are only applicable if access is made available to the FM

Subcontractor.

All agreements to exceed a specified timeframe must be in the form of a written request from the FM Subcontractor accepted and signed off by an

approved Service Provider employee.

Performance Objective

The FM Subcontractor must achieve 100% of Performance Objective for

faults.

The Performance Objectives are:

Emergency

Commence work on fault < 1 hour

Temp fix in place < 4 hours

Perm fix in place < 24 hrs or as agreed

Urgent

Commence work on fault < 4 hours

Temp fix in place < 24 hours

Perm fix in place < 2 days or as agreed

Priority

Temp fix in place < 48 hours

Perm fix in place < 5 days or as agreed

Routine

Perm fix in place < 14 days or as agreed

Measurement point An automated report run out of WMS every month, plus where applicable

any accepted requests to extend permanent fix timeframes.

Determination Time taken to respond to failure at each stage of remedy compared to

required response times for each stage.

Period Monthly **Frequency of Measurement**

Continuous

Data Source

WMS/Accepted Requests

Measurement Responsibility

The FM Subcontractor

Reporting Frequency

Monthly

Measurement The following measurements will apply:

Each Emergency job missed (any of the three Performance Objectives) = 8

SFPs per job

Each Urgent job missed (any of the three Performance Objectives) = 6 SFPs

Each Priority job missed (any of the two Performance Objectives) = 4 SFPs

per job

Each Routine job missed (the Performance Objective) = 2 SFPs per job



All Planned Maintenance is completed to time and standard – FM02

Performance Objective

Definition

Planned maintenance completed to schedule.

The expectation on the FM Subcontractor is to complete planned

maintenance as per the schedule in the first instance, unless the $\ensuremath{\mathsf{FM}}$

Subcontractor is unable to access the site due to Operational

requirements.

Performance Objective Planned Maintenance must be completed by the FM Subcontractor in the

month such Works are scheduled in the relevant Plan, subject to any

Relief made available.

Measurement point An automated report run out of WMS every month.

Determination Number of planned maintenance activities completed in month Vs.

number of planned maintenance activities planned for month

Period Monthly

Frequency of Measurement Continuous

Data Source WMS

Measurement Responsibility The FM Subcontractor

Reporting Frequency Monthly

Measurement Each planned maintenance activity missed in a given month or not

performed to the acceptable standard = 2 SFPs per maintenance activity

missed.



Ensure site compliance - FM03

Performance

Definition

Objective The FM Subcontractor must ensure that site compliance is achieved on an

on-going basis as per the FM subcontract

Performance Measure The FM Subcontractor ensures 100% of all compliance requirements.

The FM Subcontractor must ensure the site is compliant with all laws,

regulations, rules and current professional codes of practice.

The FM Subcontractor must report to The Service Provider on the

compliance status of the site.

Measurement point BWoF is compliant at the end of each month.

Determination BWoF is compliant at the end of each month.

Period Monthly

Frequency of Measurement Monthly

Data Source BWoF

Measurement Responsibility The FM Subcontractor

Reporting Frequency Monthly

Measurement BWoF is compliant at the end of each month = 8 SFPs for each month of

non-compliance.

Reporting Requirements

Within 1 week of EOM 1 Monthly Report Monthly

Plans

1	Master Maintenance Plan	Annually	Within 1 mth of EOY
2	Semi Annual Works Plan	Annually	Within 1 mth of mid-year
3	Works Plan/Asset	Annually	Within 1 mth of EOY
	Management Plan		



3.13 Asset Information

In order to understand the requirements for correct asset management the following data is collated and stored on the computerised asset management system:

Asset description - A brief description giving an idea of the type, function and location of each asset group.

Asset capacity/performance - Design capacity and utilisation with any constraints, failure modes and deterioration specific to this asset.

Asset condition - A summary of the asset's current condition including an age profile.

Design standards and asset data - A list of design standards and technical specifications pertaining to the asset. These may be industry standards or our own standards. Also discusses asset data completeness, improvement sources and the system where the data is held). Any drawings held are also listed.

3.14 Maintenance plan

Maintenance Strategies

By allocating a Maintenance Strategy to all assets, the Maintenance Plan can be assessed and managed. A particular maintenance strategy does not confine the maintenance actions that may be performed on an item of equipment but rather summarises the approach taken by the FM/Asset Manager, as result of the determination of maintenance actions.

- Mandatory Maintenance Activities (MMA) Activities required by Legislation, as stated on the building Occupancy Permit, New Zealand Standards, OHS&R and Local Codes.
- Condition Based Maintenance (CBM) Simple inspection procedures of online plant carried
 out in order to identify obvious minor defects before serious damage can arise or condition
 monitoring of physical or process parameters by trending and analysis of measured data to
 identify equipment deterioration (predictive maintenance).
- Reliability Centred Maintenance (RCM) From an understanding of an equipment's functional failures, failure modes, failure effects and failure consequences, and developing a scheduled maintenance plan to provide an acceptable level of operability with an acceptable level of risk and cost efficiency.
- Fixed Time (Preventive) Maintenance (FTM) Maintenance actions that are carried out at regular time intervals. This includes item replacement, repair and major strip-down for inspection.
- Usage Based Maintenance (UBM) Maintenance action that is initiated by a prescribed usage of the operating component, e.g. replacement of water filters based on usage.
- Operate to Failure (OTF) No action is to be taken to detect the onset of, or to prevent failure. The corrective work that results occurs with random incident and with little or no warning.

The maintenance plan contains planned and unplanned maintenance activities that are a mix of predictive, preventive, mandatory and corrective maintenance. The approach to these maintenance types is outlined below.



Planned mandatory maintenance

Mandatory maintenance comprises maintenance activities carried out in accordance with legislative requirements and specific contract requirements. This includes preventive maintenance tasks and certifications as appropriate to each site in accordance with legislation, the Building Code of New Zealand, requirements stated on Occupancy Permit, Codes of Practice and New Zealand Standards.

Mandatory maintenance is a non-discretionary planned maintenance activity. The tasks are undertaken at fixed time intervals in accordance with legislative or statutory requirements.

The assets requiring mandatory maintenance items will be listed once the full Asset register is completed.

Planned preventative maintenance (PPM)

The aim of our preventive maintenance is to preserve the plant and equipment's functional performance and condition, maintain optimal performance, minimise unplanned downtime, and prevent or avoid failure through a program of maintenance activities.

Preventive Maintenance consists of tasks such as:

- major and minor servicing to manufacturers' recommendations;
- servicing as recommended in various New Zealand Standards;
- scheduled replacements of parts, e.g. filters of various types; and
- lubrications, cleaning, minor adjustment tasks and calibrations.

As with the PMM program, the PPM program is built up from the Asset Register where specific tasks are assigned to each asset. The related tasks can be daily, weekly, and monthly activities to keep the plant operating such as replacement of light bulbs, cleaning of drains, gutters and downpipes, repairing leaks, etc.

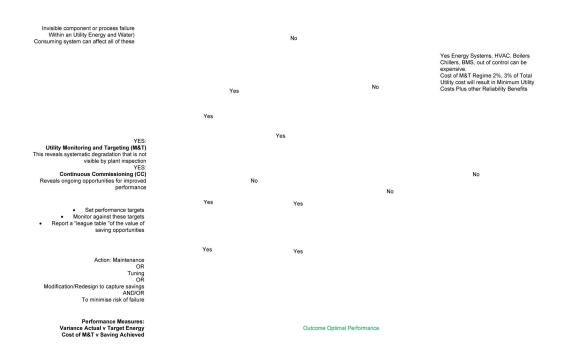
There are a series of more specialist preventative maintenance tasks that have developed over years of experience maintaining similar assets. These tasks are SecureFuture Intellectual Property and provide a whole-of-life maintenance approach that is a real differentiator that provides tangible value for money.

Monitoring and Targeting Regime

Utility and energy Monitoring and Targeting (M&T) are an integral input in our Reliability Centred Maintenance (RCM) process. The energy performance of complex systems is a measure of their condition and triggers maintenance effort if performance drops below target. By closely monitoring energy consumption we identify opportunities to both reduce consumption and recognise deterioration in asset condition prior to breakdown.

The diagram below provides an overview of the approach to energy management and RCM, showing how we select the most effective maintenance regime to achieve optimal performance.





An aggregation of large and small projects will emerge from the Monitoring and Targeting and Continuous Commissioning processes.

Energy Management looks at whole system performance rather than individual components. Small component failures can affect very large systems and these failures are normally totally invisible to a maintenance tradesperson.

SecureFuture expects to find opportunities to reduce energy consumption through simple analysis and by applying our industry experience but will also use longer-term methods such as submetering that will help to continue to uncover cost-effective ways to deliver significant savings.

Monitoring and Targeting (or Continuous Commissioning)

The following process is variously described as a monitoring and targeting regime or a continuous commissioning regime.

We split energy consumption into Demand Side and Supply Side and develop a metering strategy for each.

- Demand Side metering measures actual consumption by the building, heating, cooling, lighting etc. The performance of the BMS, plant scheduling, air side recuperation damper issues, control valve leaks etc are detected on the Demand side.
- Supply Side is the energy conversion efficiency issues of boiler and chiller and heat Pump Coefficients of Performance. Degradation in CoP is normally invisible without metering and the cost increases can be insidious.

The on-going day to day work plans required to keep the asset serviceable and prevent premature deterioration or failure.



Three categories of maintenance are carried out:

Scheduled maintenance – work carried out to a predetermined schedule and allocated budget

Unscheduled maintenance – work that must be performed outside the predetermined schedule, but does not constitute an emergency

Emergency maintenance – work that must be completed as a portion of the network requires immediate repair.

3.15 Replacement plan

These are major work plans that do not increase the asset's design capacity but restore, replace or renew an existing asset to its original capacity. Many assets are not maintained and instead are replaced at the end of their service life, while other assets are assessed for the benefits of maintenance versus replacement.

3.16 Creation/acquisition plan

This is capital work that replaces an asset or improves an existing asset beyond its existing capacity.

3.17 Disposal plan

This is any of the activities associated with disposal of a decommissioned asset.



SECTION 4 CHANGE MANAGEMENT PROCESS

To be completed

4.1 Key issues and Strategies

Operational service delivery is underpinned by the requirement to provide secure prisoner available places within the Facility. The asset management plan is provided to show how the Facility assets are maintained to support the Facility and Correction Services Operations. The key asset management strategy is based on:

- Identifying all interactions of critical systems
- Defining critical systems and asset groups
- Identifying critical / essential functional units within the Facility
- Ensuring that all critical systems are maintained and operating correctly
- Ensuring all critical back-up systems are tested regularly
- Conducting QA inspections on asset groups to verify compliance
- Continually reviewing emergency procedures meet operational requirements
- Verifying statutory compliance for the Facility assets
- Continuous whole of life review to optimise asset life cycle

4.2 Criticality

Insert: Building criticality definition, reference the drawings to define critical service area and functional units on the master plan.

Insert: Help desk rules for assigning criticality factors to work requests.



SECTION 5 LIFE CYCLE ASSET MANAGEMENT

5.1 Life-cycle management plan

Overview

The Life-cycle management strategy is to maintain the assets to a level that meets the quality standards and asset management objectives in a way that minimises risk. Spotless is doing this through the following traditional Life-cycle management process:

Acquisitions from minor works – apart from the initial capital cost, the AMP will list known
procurements and capital projects that may need to be included in the AMP in addition to
renewals and replacements. These could be addressing quality standard shortfalls and each
will have criticality grading to prioritise.

-

- Operations this links with the financial model and includes general operational expenditure
 associated with delivering services through the assets. Categories are based on utility
 consumption including gas, water use, greenhouse gas emissions, and power usage.
- Maintenance includes the Planned Preventative and Planned Mandatory Maintenance plan based on adopted maintenance regimes identified in the Quality Standards section of the AMP, plus the policy for setting the reactive maintenance budgets. Daily works transactions, are analysed to analyse historical and future breakdown maintenance, and maintenance regimes are analysed together with renewal/replacement models to determine an optimised approach to long term maintenance and renewal of the assets.
- Renewal and replacement determined through the predictive models within the asset planning system and considering the maintenance regimes and the maintenance/renewal policies. The raw results from the asset analysis will be reported to provide an indication of the level of expenditure that needs to be considered over the Contract period. The will also list scoped and prioritised projects based on risk, quality shortfalls, and Contract requirements.
 - This section would also consider the predictable upgrades and refurbishments of assets including equipment and cells and or rooms in general. The section will address what triggers a refurbishment where the structural integrity of the asset could be good but it could be outdated and non-compliant with the Quality Standards.
- Disposal addresses how specific equipment will be disposed of both financially and physically. It is likely to target only the high-value short-life assets that would be fully replaced. Sale of some equipment will generate additional funds and will need to be reported as the residual value in the FAR. The risk is that a like for like replacement is budgeted, the new equipment is commissioned, and the old asset is also kept, i.e. we will be maintaining two assets rather than one. This is common in a facility environment.



5.2 Minor works – procurement

The Minor Works are requests outside of the contract scope that would be a change to the Facility.

The FM Subcontractor will adhere to Minor Works requirements identified within the Project Deed, including the following:

- the Minor Works Price calculated on an open-book basis (with the breakdown of goods, services, labour, equipment, materials, subcontract costs and any recurring costs clearly set out and available for review by the Operator or the State, as applicable);
- an estimate of the time to complete the proposed Minor Works;
- details of any Subcontractors proposed to be engaged to implement the Minor Works;
- details of the impact, if any, of the Minor Works on:
 - the provision by Project Co of the Services;
 - Project Co's ability to comply with this Deed; or
 - the undertaking by the State or an Operator of the Functions;

5.3 Renewal/replacement plan

Predictive models

The timing for undertaking works categorised as proactive renewals and replacements (Life-cycle costs) is guided by the Quality Standards. CAMS software has a predictive model that calculates when a component should be considered for replacement. The models are largely influenced by the base life range, which is directly linked to the Life-cycle Plan, plus three years.

The component level data has been analysed using sophisticated algorithms to determine the remaining life or the best time to undertake work based on component condition, age and criticality. Fig Xxx illustrates the model's platform, which applies the following:

- Age-reliability model only considers the current age and calculated base life of an asset.
 The calculated base life is within the Contractual Life plus three years.
- Condition model only considers the condition of an asset at the time of assessment, i.e. if an asset with a 20 year base life is in a very good condition and is 10 years old, then it will still have 20 years' remaining life. This model can be used for scenario modelling.
- Age-condition model although this is similar to the condition-model, it considers the age of the asset, i.e. if an asset with a 20-year base life is in a very good condition and is 10 years old, then it will still have 15 years' remaining life and accounts for its age.
- Assessed remaining life model simply uses the judgement by the surveyor and or the Asset Planner. Although the remaining life is judgement, the associated criticalities can still be used to prioritise projects.
- Functional Area/ Unit importance: This is another criticality factor that is used to influence the overall criticality of a component. Criticality criteria and the Functional Unit importance have default weightings that influence the overall result, i.e. importance is weight 60%, whereas the criticality criteria are weighted 40%. The Functional Unit importance is set and provides the same standard selection as the criticality criteria.



- Condition grades: The condition grade of a component is assessed by an experienced surveyor or auditor who knows and understands the behaviour of components as they age and are subject to their specific environments. The grades range from very good (A) to very poor (F) and can be split according to the proportion of the component in various conditions, i.e. a 1000 m2 carpet on one floor may show 50 % in B (good condition) and 50 % in D (fair condition). Audits also provide an assessment of the associated 'assessed remaining lives' R1 to R5 for data validation purposes.
- Minimum condition grade: All components have a default of E or very poor condition. This means that an asset will only be considered for replacement once it reaches a very poor state. If this is set to D, then the asset will be replaced before it reaches a very poor state. The net result will bring forward the timing of remaining life by 10% to 20% depending on the base life range and the criticality criteria. Applying different 'minimum condition grades' has the effect of setting or defining a 'level of service'. Variances can be modelled at a component level within scenarios, and they do have a significant influence.

Strategy for room refurbishment

There are over [x] properties (rooms/areas) that have been identified within the Facility ranging from [x] m2 to [x] m2. The strategy is to refurbish rooms based on assigned room importance factor (ranging from high importance to low importance (five to one) and floor area. The table below identifies the importance factor of each type.

Below are the assumptions:

- Only consider area greater than 2 m2
- Only consider the refurbishment of ceiling, floor and wall finishes
- The formula used to calculate the wall area is Wall Area = $8.1 \times \sqrt{\text{Floor Area}}$

The table below lists the components from Spotless tender document. It is identified which components are to be included in each room based on room importance.

The components have been grouped into three main categories

long life, medium life and short life. The base life for each component has been calculated based on the matrix in [x].

The table below lists the components from Spotless tender document. It is identified which components are to be included in each room based on room importance.

The components have been grouped into three main components; long life, medium life and short life. The base life for each component has been calculated based on the matrix in [x].



Component vs. Room Importance

Carpet – Tiles – high wear				Υ	Υ
Carpet – Tiles – medium wear			Υ		
Ceramic tiles			Υ	Υ	Υ
Door – Internal – Hardware				Υ	Υ
Doors – Double Solid inc frames – High Wear				Υ	Υ
Doors – Double Solid inc frames – Med Wear			Υ		
Doors – Single Al & Glass inc frames – High Wear					
Doors – Single Al & Glass inc frames – Med Wear			Υ	Υ	Υ
Doors – Single Solid inc frames – High Wear				Υ	Υ
Doors – Single Solid inc frames – Med Wear			Υ		
Joinery – High Wear				Υ	Υ
Joinery – Low Wear					
Joinery – Med Wear			Υ		
Joinery Cupboards – High Wear				Υ	Υ
Joinery Cupboards – Low Wear	Υ	Υ			
Joinery Cupboards – Med Wear			Υ		
Lamp Replacement			Υ	Υ	Υ
Lino Flooring – Forbo			Υ	Υ	Υ
Suspended Ceiling Tiles and Grid			Υ	Υ	Υ
Wall Finishes – Ceramic tiles				Υ	Υ
Wall Finishes – Vinyl Protection – High Wear				Υ	Υ
Wall Finishes – Vinyl Protection – Med Wear			Υ		
Wall Finishes – Paint – High Wear				Υ	Υ
Wall Finishes – Paint – Low Wear	Υ	Υ	Υ		



SECTION 6 RISK MANAGEMENT

Risk Management Process

The arrangements in the risk management plan are consistent with the principles of AS/NZS ISO31000 – New Zealand Standard: Risk Management – Principle and guidelines. They are also aligned with Spotless' Enterprise Wide Risk Management Framework (EWRMF). The process consists of the following on-going activities:

- 1. Establish the context A continuous improvement process which establishes standard of the level of service for the required quality standard.
- 2. Identify Risk— relies on consulting with the contractors and the relevant stake holders and annual
 - risk management reviews to develop a check list to identify risks.
- 3. Analyse Risk evaluate the likelihood and consequence of the risk.
- 4. Evaluate and treat risk.
- 5. Monitor and review.
- 6. Communicate and consult further.

6.1 Commercial Management

6.2 Prudential Requirements

6.3 HR Management

A sophisticated system of reliable assets is central to how we function. The skilled employees who operate and maintain these systems are also critical to our business.

We are committed to providing a work environment that enables professional and personal growth, we recognise our responsibility to ensure our people achieve the best mix of skills they can while they are here.

An aging workforce and an industry shortage of skilled staff remain issues and we continue to plan ahead to recruit and retain skilled employees. To ensure that we are not left short of skilled employees in the future, we support initiatives that focus on training, recruitment and staff retention. These programmes include in-house programmes designed to train employees to a level where they are sufficiently skilled to replace employees who we expect to retire in the next few years.

SecureFuture as an employer is committed to developing the potential of our employees and we believe it is important to understand their concerns. Each year we survey our employee's to get their view on their working environment and how we can improve job satisfaction.

6.4 Regulatory Risk



6.4.1 Reputation

SecureFuture value our reputation and relationship with our client and aim to be recognised for excellence in service delivery and stakeholder relationships, lead collaboration across the industry for the benefit of all, apply technology and demand side management to benefit our client, and be recognised for excellence in leadership and management. To achieve these aims we have developed the following values:

MEANING

We build and maintain positive relationships with our internal and external stakeholders (our employees, customers, shareholders, suppliers, contractors, regulators, community organisations etc.)

We demonstrate honesty, sound judgement, understanding and empathy. We earn the trust and respect of our staff, contractors and the Client

We create opportunities and promptly respond to challenges with initiative. We empower our employees to be accountable and focus on results based on a whole of life approach

Decisions we make must not compromise the achievement of our purpose to fully support the Operational Services

We strive for competence, effective planning and execution, consistency in application and efficiency

We maintain a learning environment. We explore and adopt ideas that create value, based on new technology and asset histories

We provide a safe and healthy work environment to protect ourselves, other people and property

We are mindful of our impact on the natural environment and seek ways to minimise our effects

6.5 Operational Risks & Mitigation

We mitigate risk on several fronts, starting with plans and procedures to handle events beyond our control, and work practices and systems to prevent events within our control from occurring. In particular we:

- inspect assets and identify risks, using maintenance programmes, before they become a problem, which allows time to engineer measures to minimise or remove the risk of failure
- introduce modern technical monitoring systems to give early warning of imminent failure



- use design standards and technical specifications to maintain a high degree of integrity in the construction and maintenance of our network (these are detailed under the individual assets in section XX – Lifecycle asset management)
- closely manage subcontracts and audit assets to enforce these standards and specifications
- regularly train and certify staff and contractors in the correct procedures to access the network in a safe manner that does not compromise either staff or the network
- have operational procedures that enable us to respond promptly to electricity outages caused by a wide range of emergencies, as part of our routine operations.
- have contingency plans and emergency procedures for disaster training that will assist in the event of a major system disruption.

Risk analysis

The Life-cycle replacement model is inherently risk based and therefore, can be used as the risk analysis platform. The following factors are considered at a component level:

- asset naming convention related to the failure event;
- criticality criteria and Building Importance (Functional Weighting) the consequence of failure;
- base life range the statistical model that provides a 95% likelihood that the asset will need to be renewed or replaced within the range;
- the predictive model the likelihood of failure; and
- the unit replacement rate the cost to mitigate the risk and best aggregated into a project or a procurement.

These parameters are used in the following way:

- To reduce the risk of abatement and disruption to operations.
- Influences the predicted time of replacement or renewal. With a base life range (using the Contractual Life) of three years, the calculated time for works is limited to within the three years from the Contractual Life.
- Smooths the longer-term projections, i.e. with limited budgets, the result will ensure assets that have higher criticality will be considered first.
- Prioritisation of projects, i.e. the aggregation of criticality factors combined with Building Importance will ensure the more important projects are implemented first.

Procedures and processes for Effective Asset Management

The Asset Management Plan is the output of the asset management planning process. It documents the associated Contract Requirements, practices, procedures, policies, drivers, Government expectations, asset information, systems, future projects, maintenance regimes, improvement tasks and Life-cycle replacement projections over the term of the contract.

The AMP is written in such a way that it enables any reader to follow through how the Facility's assets are being considered and managed. Commentaries on renewal theories and the reasoning



of renewal and maintenance policies provide the reader with the context or reason why certain practices have been implemented.

The AMP is a communication document first and foremost. It summarises the vast information held in the CMMS and SPM systems, and provides the reasoning of why maintenance and Lifecycle expenditure is needed in the future. The 'nuts and bolts' detail is available directly from the management systems if the reader needs further detail of a specific asset or asset group.

The FM Subcontract Requirements are the primary driver for the asset management process and dictate all aspects of FM asset management approach. This document recognises these requirements and uses the seven-point framework and software applications as the primary implementation tools. In its simplest form, the asset register is populated, it is analysed, and a program of works is produced based on the Contract Requirements.

Technology changes

As with future demand, technology will change over time and as a result, a like for like replacement could be challenging to define. Although a like for like asset can be defined as a modern equivalent asset (MEA), there will be situations where the required quality asset will require technology functions that will be beyond a like-for-like replacement. For these assets, the table below identifies the replacements that may require additional technical features that are over and above a like for like replacement to provide a quality correctional facility service.

Maintaining Functionality during planned maintenance activities

The approach of the Contract Manager when scheduling maintenance activities should be to:

- meet with Service Delivery Management Team at regular intervals and as necessary to understand the impact on the functions of the proposed maintenance activities;
- schedule maintenance activities to occur out of hours or during times of low demand for the functional area in instances where the activities are likely to affect operations; and
- provide advanced notice of maintenance activities that have the potential to affect operations.

Approach to minimising downtime for Life-cycle replacement

Minimisation of downtime for Life-cycle replacement is managed based on the criticality of the area/space and the assets. Provided below is a description of the space standards and then a description of the Life-cycle replacement and renewal policies, which govern replacement based on the space where the asset is located. Below that, is a brief description of the principals involved in minimising downtime as the replacements take place.

Space standards

A quality standard has been assigned to each of the spaces. A space quality standard defines a measurable standard that can be strived for. Assessments of condition, remaining lives, annual actual expenditure backlog determine whether the standard has been achieved.

Life-cycle replacement and renewal policies



The Life-cycle replacement and renewal policies are risk based – their application will ensure the risk of Service Failure is minimised through the replacement and renewal of critical assets before they cause a loss of service. An asset will be considered for planned renewal or replacement based on the following:

Beyond the contractual life (life plus three) as listed in the Contract Documents.

An assets has a calculated remaining life of one to three years (considers age, condition, and criticality).

A space/ functional unit has a condition that would trigger a renewal based on the associated Quality Standard.

There is no vendor support for the asset, which could make the asset obsolete and will need to be proactively replaced before it fails and if the asset is of high criticality and servicing a space of high importance.

The predictive model within the Computerised Asset Management System that is used for the Life-cycle replacement model, uses the following approach when considering the above policies.

- All equipment uses the age-reliability predictive model to determine the timing for replacement. The model uses a base life range, which has been set using the Contractual Life as the lower band and the Contractual Life plus three years as the upper band. This will ensure that all assets using age-reliability model will be replaced within a three year band.
- Predicting the future timing of works for Building fabric is more complex than equipment. A refurbishment of space would be triggered by either a deteriorating condition or by the Contractual Life. If the condition of a space still meets the Quality Standard, then the space would only be refurbished if the Contractual Life triggered works before the Quality Standards trigger works.

Principles of minimising downtime for Life-cycle replacement

The approach of the Contract Manager when scheduling Life-cycle replacement activities should be to:

- meet with Service Delivery Management Team as necessary to understand the impact on the functions of the proposed replacement activities;
- schedule replacement activities to occur out of hours or during times of low demand for the functional area in instances where the activities are likely to affect operations; and
- provide advanced notice of maintenance activities that have the potential to affect operations.

6.6 Safety Management

6.7 Environmental Management

Insert Environmental Risk Register
Insert Dangerous Goods Storage Register

6.8 Essential Services & Interdependence



6.9 Natural Disasters

Our integrated emergency management approach is based around the four R's—reduction, readiness, response and recovery:

Reduction - Risk management is an integral component of the reduction phase; identifying and analysing risks and developing plans and systems to reduce risk.

As part of this process we analyse and identify the probability, magnitude and consequences of risk. We also establish what acceptable levels of risk are.

Readiness - This involves developing operational systems and capabilities before an emergency happens. We maintain a range of plans and documents in readiness for an emergency, including an asset risk management plan, major outage communication plan, contact lists for emergency contractors and a recovery plan.

We regularly review and stress test our emergency readiness programmes. We have a backup control centre so we can continue to function if anything happens to our primary control centre.

Response - In our response to emergencies, our first concern is the preservation of life. The safety of the public, contractors and staff is paramount. During an emergency situation we assess the scale of the event before planning our response.

We have operational procedures in place detailing the actions we need to take immediately before, during and directly after an emergency.

We have contingency plans in place for natural event/equipment failure, use of emergency generators, loss of water / gas supply to the Facility, and energy shortage (rolling power cuts).

Communication is the key to recovery after a disaster. The most secure of our communication systems is our own radio network.

Recovery - This involves rehabilitation and restoration to provide original functionality of the Facility.

Part of our recovery plan for an emergency situation, we review our Operational needs and our interdependencies with other services, and set priorities to restore full functionality.

During and after an emergency situation, we provide regular updates to keep the staff and stakeholders informed, advise them of the severity of the problem and likely time to restoration.

6.10 Asset Failure Analysis

We analyse our exposure to asset failure by assessing individual key assets based on known past performance. Asset life for Facility equipment is very difficult to predict because data on actual life expectancy is limited for most assets. In the absence of hard information we make judgments based on perceived trends, condition asset audits, WMS data and our experience of what happens in practice.

Modern testing technology such as thermographs scanning and generator oil analysis has minimised the risk of asset failure, especially with engines and electrical systems. This has helped with end-of-life planning and asset replacement. Further work is underway to establish a history of failure modes for all assets to help minimise risk and establish end-of-life planning. This continual review provides the valuable input into each annual revision of the Asset management



Plan.

- **6.10.1 Security Systems**
- 6.10.2 Building Management System
- 6.10.3 Electrical Generator
- 6.10.4 Utility Service
- 6.10.5 Potable/ Fire water storage systems
- 6.10.6 Fire Services
- 6.10.7 Ventilation and Exhaust systems
- 6.10.8 Kitchen
- 6.10.9 Laundry
- 6.10.10 Fuel storage
- 6.10.11 Medical & Health

Risk Acceptability Matrix

High	High	Very High	Extreme	Extreme
Low	High	Very High	Very High	Extreme
Low	Moderate	Very High	Very High	Very High
Low	Low	Moderate	Very High	Very High
Low	Low	Low	Moderate	Very High
Minor	Moderate	Serious	Major	Catastrophic



Classification	Escalation
Extreme	SecureFuture to Department, Director supervises
Very High	Director, SecureFuture to be briefed, Operation Director supervises
High	Asset Manager to be fully briefed, Operations Director Briefed
Moderate	Asset Manager to be advised, Facility Manager Supervises
Low	Facility Manager, no escalation

SECTION 7 FINANCIAL

IAS 16 Depreciation Schedule

12 Month Planned CapEx Works Schedule (FY 20xx – 20xx)

The Planned CapEx Schedule lists the planned capital works program for the coming year to meet the asset replacement requirements:

FM related Asset Values

The construction cost as at 2012 had been agreed to be [\$x] million. The total value of the facility, including all associated assets managed by both Serco and Spotless, is closer to [\$x] million:

- [\$x] million construction and procurements managed by Spotless; and
- [\$x] million ICT equipment managed by Serco;
- The following summarises the Included Equipment:
- fixed plant and equipment (FPE);
- fixtures, furniture and equipment (FFE);
- internal building fabric or fit-out; and
- external building fabric.



Although the Fair value of Spotless' assets are close to [\$x] billion, the Life-cycle replacement plan and associated maintenance plan is associated with a lower value of assets. The difference between the Fair Value and Maintained Value is referred to as the Residual Structure and mainly includes the structural form of the Facility, i.e. basement, foundations, intermediate structural floors, roof structure and services that have a design life of 40 years and greater.

SECTION 8 EVALUATION OF PERFORMANCE **Asset Overall Condition Ratings for Service Areas Asset Reliability Analysis** WMS Job statistics (Monthly by Asset Category) WMS Job statistics by Functional Unit (Monthly) Average Job response time (Monthly) **Average Permanent Fix time (Monthly)** Job Type Analysis (Monthly) **WMS Period Comparisons Analysis** This data shows similar time period from previous years



APPENDICES

- a) Asset Register
- b) Service Delivery Matrix
- c) Condition Matrix Table A
- d) Asset Condition Prediction Table B

	Asset Management Service	e Areas & Service Levels			FM .		Operational - FM
Asset Management Strategic Goals		e Areas & Service Levels Service Area [Component]	Service Level Proposed	Asset [Element]	Management Strategy	Maintenance Strategy	Asset Management Standard / Leve of Service Target / Property Quality Standard
FM Subcontractor OPERATIONAL			The Service Provider will provide a planned and unscheduled maintenance service that regularly maintains, repairs and replaces where necessary all fire prevention/detection equipment, including fire safety systems and equipment, automatic fire detection and alarm systems, portable and fixed fire fighting systems and equipment, fire systems monitoring, individual and integrated fire and life safety systems and fire evacuation	Sprinklers	RCM	ММА	FM04
		Fire Services	planning and training at the Facility as may be required from time to time to maintain all fire equipment in compliance with applicable laws, quality standards and any other relevant guidance notes in force from time	Fire/smoke detectors Hydrants	RCM RCM	MMA MMA	FM04 FM04
			to time.	Hose reels Extinguishers	RCM RCM	MMA MMA	FM04 FM04
			All fire safety systems will be tested and maintained as commissioned and cedrtified so that the Facility remains Fit for Intended Purpose at all times. KPI's as set out in FM Subcontract. Meets FM asset condition	Pressurisation systems Access	RCM RCM	MMA MMA	FM04 FM04
			roting.	Way Finding Guidelines	LoT	MMA	FM04
			Secure and sound. Provide an equal quality outcome to non visually impaired, visually impaired, or acoustically impaired people. Must be in appropriate locations.	Safety signage Hazardous materials	LoT LoT	MMA MMA	FM04 FM04
	Safety	Signage	Must be finghly visible, both day and night. Must offer clear and concise information. Must be free from graffiti and/or vandalism.				
		Occupational Health & Safety	Strategically managed to achieve outcomes of OH&S Plan The Service Provider will ensure that where hazardous materials are used they:	OH&S Plan Insecticides	RCM RCM	MMA MMA	FM04 FM04
		Hazardous Materials:	- are approved by the Operator; - are strictly controlled and monitored and fully comply with all relevant Quality Standards, Policies and all	Pesticides Fuels	RCM RCM	MMA MMA	FM04 FM04
			applicable laws; - are used and stored in accordance appropriately; and	Lubricants Cleaning products	RCM RCM	MMA MMA	FM04 FM04
			- do not pose a risk to occupants	Building Warrant of Fitness (BWOF)	RCM	MMA MMA	FM04 FM04
		Sita Campliana	The FM Subcontractor will ensure all areas are compliant with all applicable laws, regulations, rules and current professional codes of practice. This includes but is not limited to ensuring all BWOF and other		RCM RCM RCM	MMA MMA	FM04 FM04
		Site Compliance	compliance activities are managed to achieve full compliance within the desired timeframes.		RCM RCM	MMA MMA	FM04 FM04
					RCM LoT	MMA OTF	FM04 FM01
				External lighting installation			
				Internal electrical power and lighting installations	LoT LoT	OTF OTF	FM01 FM01
				Uninterruptible Power Supply	RCM RCM	FTM FTM	FM02 FM02
				Systems (UPS)	RCM	FTM	FM02
				Emergency lighting systems	LoT	MMA	FM04
			Operate as intended and commissioned , in a safe way, without making undue noise and within design	Emergency alarm systems	RCM	FTM	FM04
		Electrical Services	Operate as intended and commissioned , in a safe way, without making undue noise and within design specification. Must function as intended and within limits of age related fair wear and tear. Free from corrosion Free from debris and mould, fungal, algal and moss growth. Meet all KPI's in FM Subcontract.Meets FM asset	Data cabling LV distribution system	RCM RCM	FTM MMA	FM04 FM04
			rree from ueurs and mound, fungar, algarand moss growth, weet all KPTs in FW Subcontract, weets FW asset condition rating	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	RCM RCM	FTM FTM	FM04 FM04
					RCM RCM	FTM FTM	FM04 FM04 FM04
					RCM RCM	FTM FTM	FM04 FM04
		specification. Must function as intended and within		Electrical Power and other Cabled Systems	RCM RCM	FTM FTM	FM04 FM04
					RCM	FTM	FM02
					RCM	FTM	FM02
					RCM	FTM	FM02
				Air conditioning systems including	RCM	FTM	FM02
				central and local air handling plant and duct distribution systems and controls	RCM	FTM	FM02
			Operate as intended and commissioned, in a safe way, without making undue noise and within design specification. Must function as intended and within limits of age related fair wear and tear. Free from corrosion				
			Free from debris and mould, fungal, algal and moss growth. Meet KPI's set out in FM Subcontract and FM asset condition rating				
					RCM	MMA	FM04
				Lifts	RCM	FTM	FM02
				Clocks	RCM LoT	FTM CBM	FM02 FM02
					LoT LoT	CBM CBM	FM02 FM02
				External		-	
					RCA	CBM	FM02
			Operate as intended, in a safe way, without making undue noise and without observable stains on hinges, locks, catches and handles, and without binding, rubbing or catching in any way.				
		FF&E	Must function as intended, use related minor surface blemishes and fair wear and tear. Luminescent strips, signs, notices, warning signs are intact, legible and illuminated where appropriate. Free from corresion, Meets EM, asset condition ration.				
			Free from corrosion. Meets FM asset condition rating Free from debris and mould, fungal, algal and moss growth. Meet KPI's set out in FM Subcontract				
				Internal			
					RCA	CBM	FM02
				Doors - internal			
			Operate as intended, in a safe way: Without making undue noise.				
		Doors and door furniture	Without observable stains on hinges, locks, catches and handles. Without binding, rubbing or catching in any way.		RCA	CBM	FM02
			All in accordance with the design requirements. Free from debris and mould, fungal, algal and moss growth. Meets FM asset condition rating	Doors - external			
					RCA	CBM	FM02
				Locks	RCA RCA	CBM CBM	FM02 FM02
				Handles	RCA	CBM	FM02
	Functionality			D. H. L.	RCA RCA	CBM	FM02 FM02
				Public health and other drainage systems	RCA	СВМ	FM02
					RCA	CBM	FM02
					RCA	CBM	FM02
			Operate as intended and as commissioned, in a safe way, without making undue noise and within design specification. Must function as intended and within limits of age related fair wear and tear. Free from corrosion		RCA	CBM	FM02
		Hydraulic Services	Free from debris and mould, fungal, algal and moss growth. Meet KPI's set out in FM Subcontract. Meets FM		RCA	CBM	FM02
		Free from debris and mould, fungal, algal and moss growth. Meet KPI's set out in FM Subc asset condition rating.			RCA	CBM	FM02
				Hot and Cold Water Systems			
				Hot and Cold Water Systems			
				Hot and Cold Water Systems			

	Asset Management Service						
Asset Management Strategic Goals					Management	Maintenance	Asset Management Standard / Level of Service Target / Property Quality
	Service Area [Function]	Service Area [Component]	Service Level Proposed	Asset [Element]	Strategy	Strategy	Standard
					LCC	OTF	FM02
					LCC RCM	OTF FTM	FM02 FM02
				Security management system	RCM	FTM	FM02
					RCM LCC	FTM MTBF	FM02 FM02
					RCM LCC	CBM MTBF	FM02 FM02
				Secure communication network	LCC	MTBF	FM02
					LCC	MTBF MTBF	FM02 FM02
					LCC	FTM FTM	FM02 FM02
				Access control system	LCC	MTBF	FM02
					LCC	MTBF MTBF	FM02 FM02
					RCM RCM	FTM FTM	FM02 FM02
				Intruder detection system	RCM	FTM	FM02
					RCM	FTM	FM02
					RCM RCM	FTM FTM	FM02 FM02
				Perimeter detection system	RCM RCM	FTM FTM	FM02 FM02
					RCM RCM	FTM FTM	FM02 FM02
					RCM	FTM FTM	FM02
					RCM RCM	FTM	FM02 FM02
			At all times meet the completion tests and operates as commissioned. Meets FM asset condition rating. all installations to comply with and operate within relevant Quality Standards.	Closed circuit television system	RCM RCM	FTM FTM	FM02 FM02
			Weatherproof where appropriate.		RCM	FTM	FM02
			Function as intended without undue noise or vibration. Wiring, fittings, fixtures, controls and safety devices must be properly housed and fastened securely to their		RCM	FTM	FM02
			intended point of anchorage and labelled. Emergency power supplies are maintained.		RCM	FTM	FM02
		Security Systems	CCTV lenses are clean and free from dirt, dust, cobwebs and the like that may adversely affect vision or		RCA RCA	OTF OTF	FM02 FM02
			operation The Security Systems have sufficient capacity to record and maintain data.	PA System	RCA	OTF	FM02
			At all times in accordance with the requirements of the systems as stated in the design requirements. All event data recordings resulting from the Security Systems are retained in digital format for the duration of		DC4	CBM	FM02
			the Operating Phase, are of appropriate quality for such data and are routinely backed up at intervals of no greater duration than monthly. Meet KPI's set out in FM Subcontract.		RCA RCM	FTM	FM02
			and the state of t	Cell intercommunications system	MTBF MTBF	OTF OTF	FM02 FM02
					RCM	FTM	FM02
				Fixed Duress System	RCM RCM	FTM	FM02 FM02
				Covert listening within visits	NA	NA	NA
				Mobile duress system	RCM	FTM	FM02
				Mobile radio communication system	RCM	FTM	FM02
					RCM RCM	FTM FTM	FM02 FM02
				Weapons and contraband detection system	RCM RCM	FTM FTM	FM02 FM02
				system	RCIVI	FIIVI	FIVIUZ
				Prisoner movement and identification	DCM	FT14	5463
				system	RCM	FTM	FM02
				Number plate recognition system	RCM	FTM	FM02
					RCM	FTM	FM02
				Heart beat monitoring system	RCM	FTM	FM02
				Key/Accoutrement management	RCM RCM	FTM FTM	FM02 FM02
				system	RCM	FTM	FM02
				Radio frequency identification	NA	NA	NA
		Douglasias		Secure perimeter/fencing Barriers and bollards	RCM RCM	FTM CBM	FM02 FM02
		Boundaries		Fences - other Walls	RCM	CBM CBM	FM02 FM02
					RCM		
	Structure	D&C Subcontractor structure risk	condition rating	Sub-structure	RCM RCA	CBM	FM02
	Structure	D&C Subcontractor structure risk	Air various 3 Warrandes Cityoreed to meet design rije. Meets the disset continion requirements by the FW disset condition rating		RCA RCA LoT	CBM CBM CBM	FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	An ounter 3 was under a trapacted to meet designinge. Incets the asset continuous equirements by the 1111 asset condition rating	Sub-structure	RCA RCA LoT LoT	CBM CBM CBM CBM	FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	An ounder 3 war anness enjoyeed to meet design nije. Meets the asset continuor requirements by the 110 asset condition rating	Sub-structure Super-structure	RCA RCA LOT LOT LOT LOT	CBM CBM CBM CBM CBM CBM CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	Announter's Warrantes enjoyeed to meet design nije. Meets die asset condition requirements by the Fin asset condition rating	Sub-structure	RCA RCA LOT LOT LOT LOT LOT LOT LOT LOT	CBM CBM CBM CBM CBM CBM CBM CBM CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	Condition rating	Sub-structure Super-structure	RCA RCA LOT LOT LOT LOT LOT LOT LOT	CBM CBM CBM CBM CBM CBM CBM CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	Condition rating	Sub-structure Super-structure	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	Condition rating	Sub-structure Super-structure	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	Condition rating	Sub-structure Super-structure	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	condition rating	Sub-structure Super-structure	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	condition rating	Sub-structure Super-structure	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk		Sub-structure Super-structure	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements.	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection.	Sub-structure Super-structure	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure	D&C Subcontractor structure risk Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth.	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin.	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal	RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal	RCA RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
	Structure		All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal	RCA RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
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			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location. All fabric and finishes shall meet FM asset candition rating	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from damp and vermin. Free from debris and mould, fungal, algal and moss growth. Free from undue damage and of reasonable appearance for location.All fabric and finishes shall meet FM	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from domp and vermin. Free from domp and vermin. Free from domp and vermin. Free from undue damage and of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating.	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Cellings - internal	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
			All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from destricts and mould, fungal, algal and moss growth. Free from deaths and mould, fungal, algal and moss growth. Free from deaths and finishes shall meet FM asset condition rating. All elements of building fabric and finishes or a services system component must be functional, operational asset condition rating. All elements of building fabric and finishes or a services system component must be functional, operational and set condition rating. Supplements are specified in the design requirements. All assets shall meet FM and section and set of the performance requirements as specified in the design requirements. All assets shall meet FM seet can divent the performance requirement as a specified in the design requirements. All assets shall meet FM seet can divent the performance requirement as a specified in the design requirements. The section of the performance requirement is a specified in the design requirements. The section of	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
		Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from design and vermin. Free from deaths and mould, fungal, algal and moss growth. Free from deaths admage and of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating. All elements of building fabric and finishes or a services system component must be functional, operational and sets to the state of th	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
		Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from debris and mould, fungal, align and mass growth. Free from debris and mould, fungal, align and mass growth. Free from debris and mould, fungal, align and mass growth. Free from align and any area of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating. All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. All assets shall meet FM asset condition rating. Sound, secure and weatherproof where appropriate. Free from rust, structural cracks and/or deflection. Free from rust, structural cracks and/or deflection. Free from rust, structural cracks and/or adventurally sound and secure. Free from groups and parapets are structurally sound and secure. Free from groups and parapets are structurally sound and secure. Free from areas capable of hardward groups and parapets are structurally sound and secure. Free from areas capable of hardward groups and parapets are structurally sound and secure.	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
		Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural cracks and/or deflection. Free from design and vermin. Free from deaths and mould, fungal, algal and moss growth. Free from deaths admage and of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating. All elements of building fabric and finishes or a services system component must be functional, operational and sets to the state of th	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
		Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural crocks and/or deflection. Free from debris and mould, fungal, algal and mass growth. Free from debris and an old, fungal, algal and mass growth. Free from mote demange and of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating. See a condition rating. Sound, secure and weatherproof where appropriate. Free from units, structural crocks and/or deflection. Free from damp penetrotion or spalling. Claddings, copings and parapets are structurally sound and secure. Free from arcs and mould, fungal, algal and mass growth.	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
		Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural crocks and/or deflection. Free from debris and mould, fungal, algal and mass growth. Free from debris and an old, fungal, algal and mass growth. Free from mote demange and of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating. See a condition rating. Sound, secure and weatherproof where appropriate. Free from units, structural crocks and/or deflection. Free from damp penetrotion or spalling. Claddings, copings and parapets are structurally sound and secure. Free from arcs and mould, fungal, algal and mass growth.	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA RCA RCA LOT	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
		Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural crocks and/or deflection. Free from debris and mould, fungal, algal and mass growth. Free from debris and an old, fungal, algal and mass growth. Free from mote demange and of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating. See a condition rating. Sound, secure and weatherproof where appropriate. Free from units, structural crocks and/or deflection. Free from damp penetrotion or spalling. Claddings, copings and parapets are structurally sound and secure. Free from arcs and mould, fungal, algal and mass growth.	Sub-structure Super-structure Decorative finishes - internal Floor and floor coverings - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02
		Internal (inside enclosed areas)	All elements of building fabric and finishes or a services system component must be functional, operational and satisfy the performance requirements as specified in the design requirements. Free from structural crocks and/or deflection. Free from debris and mould, fungal, algal and mass growth. Free from debris and an old, fungal, algal and mass growth. Free from mote demange and of reasonable appearance for location. All fabric and finishes shall meet FM asset condition rating. See a condition rating. Sound, secure and weatherproof where appropriate. Free from units, structural crocks and/or deflection. Free from damp penetrotion or spalling. Claddings, copings and parapets are structurally sound and secure. Free from arcs and mould, fungal, algal and mass growth.	Sub-structure Super-structure Decorative finishes - internal Walls - internal Partitions - internal Ceilings - internal Decorative finishes - external	RCA	CBM	FM02 FM02 FM02 FM02 FM02 FM02 FM02 FM02

	Asset Management Service	ce Areas & Service Levels				T	1
Asset Management Strategic Goals					Management	Maintenance	Asset Management Standard / Level of Service Target / Property Quality
	Service Area [Function]	Service Area [Component]	Service Level Proposed	Asset [Element]	Strategy	Strategy	Standard
					LoT	CBM	FM02
				Roof	LoT LoT	CBM CBM	FM02 FM02
					LoT LoT	CBM	FM02 FM02
				Fire econoc	LoT RCM	CBM MMA	FM02 FM02
				Fire escapes Walkways - external	LCC	CBM	FM02
				Safety barriers - external Balconies - external	RCM LCC	MMA CBM	FM02 FM02
					RCA	MTBF	GM02
					RCA RCA	MTBF MTBF	GM02 GM03
			Establish a Help Desk for the purpose of logging faults 365 days per annum Provide a 24-hour call-out service		RCA RCA	MTBF MTBF	GM04 GM04
			Demonstrate clear and rapid escalation procedures to resolve critical issues within set timeframes. Ensure an appropriate priority coding system for prioritising faults is in place. The priority of a fault will depend		RCA	MTBF	GM04
			on a number of factors including the number of people impacted, the impact on the day to day running of the Prison, and health and safety issues.		RCA RCA	MTBF MTBF	GM04 GM04
			There will be four priority levels:		RCA RCA	MTBF MTBF	GM04 GM04
			- emergency - urgent		RCA RCA	MTBF MTBF	GM04 GM04
			- priority - routine.		RCA RCA	MTBF MTBF	GM04 GM04
	Help Desk	Help Desk KPI's are set out in the FM Subcontract.	The priority level will dictate response and rectification times. Ensure robust criteria are in place for distinguishing faults due to failures and faults due to vandalism.		RCA	MTBF	GM04
			Provide a process to ensure all faults are assigned the most appropriate priority level, which appropriately reflects the impact.		RCA RCA	MTBF MTBF	GM04 GM04
			Manage the dispatch of work using the appropriate resources. Demonstrate a clear and effective temporary fix process, where required to meet the service level.		RCA	MTBF	FM03
			Ensure all resources responding to dispatched faults have the required technical capability to remedy the fault and are site accredited.		RCA	MTBF	GM04
			Ensure rectification commitments fit with Prison routines. Ensure that external tradesmen are provided site access and supervision as required.				
			Ensure all works are performed to the correct quality standards (including update of all data records). The Contact Centre will ensure that the relevant Services Provider responds to the Event reported and on	Manage all failures and faults	RCA	MTBF	FM01
			completion of the remedial activity informs the Help Desk of the achieved Response and Rectification Time and	(unscheduled rectification works) required to return assets to their			
			the action undertaken. This information is to be logged onto the Help Desk system.	forecast condition following damage or malfunction.	RCA	MTBF	FM02
					MTBF	CBM	FM02
					RCA RCA	CBM CBM	FM02 FM02
				Surfaces	RCA RCA	CBM CBM	FM02 FM02
					RCA	CBM	FM02
					RCA RCA	CBM CBM	FM02 FM02
		Internal (inside the wire)			RCA RCA	CBM CBM	FM02 FM02
					RCA RCA	CBM CBM	FM02 FM02
			Must be sound, safe and even surface with no identified trip hazards.	Circulation routes	RCA RCA	CBM CBM	FM02 FM02
			Provision for good disabled access such as for the visually impaired and wheelchair users. At all times accessible and easily observable by officers.		RCA	CBM	FM02
	Grounds		Ret in alms decisine and easing upservaile by officers. Ret is and edgings must be sound. Line markings are clear and complete.		RCA RCA	CBM CBM	FM02 FM02
			No loose kerbs or paving stones		MTBF RCA	CBM CBM	FM02 FM02
			Minimal level graffiti and or vandalism.Meet all FM asset condition ratings	Surfaces	RCA RCA	CBM	FM02 FM02
					RCA RCA	CBM CBM	FM02 FM02
					RCA	CBM	FM02
		External (outside the wire)			RCA RCA	CBM CBM	FM02 FM02
				Circulation routes	RCA RCA	CBM	FM02 FM02
					RCA RCA	CBM CBM	FM02 FM02
					RCA	CBM	FM02
					RCA	CBM	FM02
					NA	NA	AM06
				Audit Plan	NA NA	NA NA	AM06 AM06
			The O&M subcontractor is satisfied with the FM subcontractor's level of service.		NA NA	NA NA	AM06/AM07 AM05
	Customer Satisfaction	Customer Satisfaction Strategy	The level of service is prescribed via a Quality Management System. All in accordance with the FM Subcontract		NA NA	NA NA	AM05 AM05
			and the Facility Asset Management Plan	Operating Term documentation	NA	NA	AM05
					NA NA	NA NA	AM05 AM05
				Quality Management Plan	NA NA	NA NA	AM05
					RCM	RCA	AM01
					RCM	RCA	AM01
				Communication Plan	RCM	RCA	AM01
	Communications	Wiri Prisons Communication Protocols	The FM Subcontractor shall ensure it complies with the Wiri Prisons Communication Protocols at all times.		RCM RCM	RCA RCA	AM01 AM01
					INCIVI	nca .	AWOI
				Relationships	RCM	RCA	AM01
				,			
			The facility is planned to remain free of infestation in accordance with Industry Best Practice and laws at all		LoT LoT	FTM FTM	FM02 FM02
	Pest Control	Pest Control Strategy	times The FM Subcontractor will take a proactive approach to deter pests from entering the facility	Pest Control Plan	LoT LoT	FTM FTM	FM02 FM02
			The Pest Control service will be consistent with the Environmental Management Plan		<u> </u>	<u> </u>	
FM Subcontractor Administration					NA	NA	AM05
					NA NA	NA NA	AM05 FM01
					NA NA	NA NA	FM04 AM02
					NA	NA	AM03
					NA NA	NA NA	AM04 AM05
					NA	NA	AM05
						Ì	
						Ì	
				Service Delivery Plan		<u> </u>	
					NA	NA	AM05
						Ì	
						Ì	
					NA NA	NA	AM05
	ММР	Master Maintenance Plan	A complete suite of FM subcontractor works plans will be established to support the detailed service area and		1975	INM	CIMICA
			service level requirements under the contract.			Ì	
						Ì	
					NA	NA	AM05
				Quanty Flan	NA	NA	AM05
				Pest Control Plan Disaster recovery Plan	NA NA	NA NA	AM05 AM05
				Risk Management Plan	NA	NA	AM03, AM05
				OH&S Management Plan Information Systems Management	NA NA	MMA NA	AM05 GM01
				Plan Subcontractor Management Plan			
				Subcontractor Management Plan Supply Quality Assurance Plan	NA NA	NA NA	AM05 AM05
				Supply Quality Assurance Plan Environmental Management Plan	NA NA	NA NA	AM05 AM05
				Human Resources Management Plan	NA	NA	AM05
				Contact Centre Management Plan	NA NA	NA NA	AM05
				Energy Management Plan	NA NA	NA NA	AM04
			Daily Weekly Management Meeting (informal)		NA	NA	GM04 GM04
		Operational Operational Contract Review	Fortnightly (weekly during transition?) Monthly	LOOK FOI WAI A FF IVE SCILCULA	NA	NA	GM04 GM04
	FM Meetings	Operational Contract Review Commercial Relationship Meeting	Monthly Quarterly	Look Forward Testing Schedule	NA NA	NA NA	GM04 GM04
		Commercial and Account Management Meeting	6 monthly Annually	Annual Contract Review	NA NA	NA NA	GM04 GM04

	Asset Management Servi	ce Areas & Service Levels					
set Management Strategic Goals	Service Area [Function]	Service Area [Component]	Service Level Proposed	Asset [Element]	Management Strategy	Maintenance Strategy	Asset Management Standard / Leve of Service Target / Property Quality Standard
					NA	NA	GM04
				Daily	NA.	NA.	GIVIOT
				Weekly	NA	NA	GM04
					NA	NA	GM04
					NA	NA	GM04
				Monthly	NA	NA	GM04
					NA	NA	GM04
					NA	NA	GM04
		Management			NA	NA	GM04
					NA	NA	GM04
					NA	NA	GM04
					NA	NA	GM04
				NA	NA	GM04	
			A complete suite of reports will be established which; Provide at prescribed intervals all management information required under the contract.	Quarterly Performance Report	NA	NA	GM04
	Reporting		Provide reporting which is responsive, effective, flexible to change, and that supports the governance struction	^{Jre} Quarterly - other			
			put in place to manage the contract. Reporting will be in accordance the the FM Subcontract and the Asset Management Plan	Semi Annual			
				Seriii Ailifuai			
					NA	NA	GM04
					NA	NA	GM04
					NA	NA	GM04
				Annually	NA	NA	GM04
					NA NA	NA	GM04
					NA NA	NA	GM04
					NA	NA	GM04
					NA	NA	GM04
					NA NA	NA NA	GM04
					NA NA	NA NA	GM04
		Ad hoc			NA NA	NA NA	GM04
					NA NA	NA NA	GM04
					NA NA	NA	AM02
					NA NA	NA	FM04
		Compliance					
							1

DRAFT 1.1 Performance Measures

Key Outcomes Required

General Management Performance Measure

CMMS is maintained

Call centre / helpdesk / other mechanisms are constantly available and enable jobs to be logged

FM Subcontract reporting requirements are fully met

FN Subcontract SDM data requirement are fully met

Asset Management Performance Measure

Meet all KPI's as set out in FM Subcontract

Provide All information required for Facility SF annual Asset Management Plan is available

Assets are maintained to the condition levels in the FM Asset management plan

Refurbishment planning is in accordance with the FM Asset Management Plan to support SF AMP

Facility Management Site Performance Measure

All faults (failures and vandalism) are rectified within time frames as set out in the FM Subcontract and to any acceptable standard

All proactive works are completed on time and to an acceptable standard

All faults are assigned the correct rectification priority Site compliance is achieved on an ongoing basis

Internal customers are satisfied

Key Outcomes Required	Target Performance Measures	Frequency of measure	ID
General Management Performance Measures Computer Maintenance Management System (CMMS) is constantly available.	CMMS meets 99.5% availability	Monthly	GM01
	O&M Subcontractor access to the CMMS meets 99.5% online accessability.		
Call Centre/Helpdesk availability	80% of calls to the call centre / helpdesk are answered within 20 seconds Applies 24/7, 365 days a year Calls unanswered after 40 seconds, must be answered by a machine, and a timely response given as outlined in the Job Logging Performance Measure (immediately below)	Monthly	GM02
Job Logging	95% of requests and inquiries raised via email / voicemail / in person (i.e., through non cacentre operator direct contact) are captured by the WMS and an effective response is given within 1 hour Applies during Access Hours	II Monthly	GM03

Contract reporting requirements are met	 100% compliance with the reporting requirements. This includes: Structure and Management Report Performance Report Help Desk activity report Performance Improvement Plan Risk Report (including Health & Safety notifications and all incident reporting) FM Subcontract Asset Management Report Looking Forward Report 	Monthly	GM04
Contract data requirements are met	100% compliance with all data requirements Performance Measure for Data Requests = 24 hours Performance Measure for Information Requests = 5 business days • 'Data' is raw material or records of what is needed to support the development of information. Data can be accessed immediately • 'Information' requires manipulation and/or interpretation of data and is not immediately available	Monthly	GM05
Asset Management Performance Measures Manage Ad Hoc Enquiries	The Performance Measures are:	Monthly	AM01
Capacity Modelling and Optimisation	The FM Subcontractor will submit a minimum of 1 reasonable proposal per quarter on how the installed asset base can be optimised	Quarterly	AM02
Minimise Risk	The FM Subcontractor will submit a minimum of 1 reasonable proposal per quarter on how the risk profile of the installed asset base can be reduced. Proposals will target a reduction in emergency / urgent faults (high impact events).	Quarterly	AM03
Energy Management and Sustainability	The FM Subcontractor will submit a minimum of 1 reasonable proposal per quarter on how the Operator can consume less energy.	Quarterly	AM04
<u>Planned and Preventative Maintenance Plan</u>	The FM Subcontractor will ensure that it prepares an Annual Maintenance Plan The Annual Maintenance Plan will incorporate tasks targeting the Capacity Modelling, Risk Minimisation and Energy Mgt outcomes above.	Annually <	AM05
Ensure Accurate Records	The FM Subcontractor will ensure that plan and asset records are 95% compliant with the actual infrastructure	Quarterly	AM06
	Accuracy is determined through auditing.		
Facility Management Performance Measures All faults (repair and vandalism) are completed to time and standard	The FM Subcontractor will ensure that 100% of it's Performance Measures under the FM Subcontract for faults are met. The Performance Measures are:	Monthly	FM01
	Reporting as set out in Schedule 12 Reporting as set out in the Asset Management Plan Reporting as required under Schedule 15 Reporting as required by the O&M Subcontractor to answer SecureFuture ad-hoc queries A description of how the FM Subcontractor classifies fault categories is provided below.		

All proactive works are completed to time and standard	PPM tasks will be completed by the FM Subcontractor in the month such Works are scheduled in the maintenance plan	Monthly
All faults are assigned the correct priority	The FM Subcontractor will ensure that 95% of faults are assigned the correct priority	Monthly
	Percentage is calculated by auditing a sample of historic jobs (# of jobs correctly prioritised / total # of jobs audited)	
Ensure site compliance	The FM Subcontractor will ensure the facility is 100% compliant with all Operational requirements • The FM Subcontractor will ensure the facility is compliant with all laws, regulations, rules and current professional codes of practice. This includes issuing all relevant Form 12A's. • The FM Subcontractor will report to the O&M Subcontractor on the compliance status	Monthly
	of the facility.	

High level definition of fault priority levels Emergency

A structure, area, piece of equipment, service, system, process or function whose failure has a serious impact on the normal day to day running of a facility or causes a health and safety issue that could cause injury or harm to an individual. It includes failures that impair the ability to house prisoners, and could result in prisoner transfers to other facilities if the failure is left unresolved. Examples include:

FM02

FM03

FM04

Loss of potable water

Loss of lighting

Loss of the ability to feed prisoners

Loss of site access

Loss of hot water

Loss of cold water (non potable)

Loss of sewage

Loss of electricity

Malfunction of gates

An electrical fault likely to cause damage to property or human life, or failure of the security system

A physical break in security fence

A burst water service

Storm or fire damage

Flooding

A serious roof leak

Any fault or damage that makes the prison unsafe or insecure, such as broken door locks, broken glass, etc

A structure, area, piece of equipment, service, system, process or function whose failure has an impact on the normal day to day running of a facility or causes a health and safety issue that is an issue of non-compliance. It includes failures that impair the ability to house Prisoners, and could result in Prisoner transfers within the facility if the failure is left unresolved. Examples include:

All the Emergency examples above which do not have a serious impact on Site functioning

Hydraulic services failure

Fire detection and fire fighting systems failure

Heating

Urgent

Priority

Routine

Food preparation areas faults
All interior and exterior lighting systems failure
Occupational health and safety issues

Air conditioning complaint

Minor roof leak

A structure, piece of equipment, system, process or function whose availability and correct functioning is not essential for the running of a facility but does have a detrimental impact to the Department or users of the Services. Examples include:

Cleaning defects
Workshop machinery
Light tube replacement
Faulty power outlets
Leaking tap
Paths, driveways

A structure, piece of equipment, system, process or function whose availability and correct functioning is not essential for the running of a facility to continue unimpeded and without impact to the Department or users of the Services. Examples include:

Building fabric repairs

Mechanical/Electrical faults not requiring urgent maintenance

Hard landscape repairs

Asset Maintenance Strategies

Strategy Outcome

MMA Mandatory Maintenance Activities - Activities required by legislation,

OH&S, local codes, manufacturer's specifications.

CBM Condition Based Maintenance - Simple inspection procedures carried

out in order to identify obvious minor defects before serious damage can arise. Condition monitoring of physical or process parameters by trending and analysis of measured data to identify equipment

deterioration (predictive maintenance).

FTM Fixed Time (Preventive) Maintenance - Maintenance actions that are

carried out at regular time intervals. This includes item replacement, $% \left(1\right) =\left(1\right) \left(1\right) \left($

repair and major strip-down for inspection.

USAGE Based Maintenance - Maintenance action that is initiated by a

prescribed usage of the operating component, e.g. tonnes, running

hours, number of operations.

OTF Operate to Failure - No action is to be taken to detect the onset of,

or to prevent failure. The corrective work that results occurs with

random incident and with little or no warning.

Asset Management Strategies

Technique Understanding

Life-cycle costingLife-cycle costing involves forecasting and budgeting for the costs related to the maintenance, refurbishment and replacement of an

asset over its expected life and or the duration of an asset

management contract.

Root cause analysis Root cause analysis involves investigating asset failures to understand the root cause of the problem. This form of analysis

seeks to avoid a recurrence of the failure by fixing the core problem

instead of just its symptoms.

Life of type replacement The FM Sub-contractor understands life of type replacement to

involve making a decision to replace a group of assets of the type at the same time when they approach or reach the end of their estimated life or when a number of assets within the group begin to

fail.

Reliability Centred Maintenance (RCM) RCM is a decision-making process used to identify and mitigate risk,

taking into account the criticality of each asset and the

consequences of failure.

Mean time between failures Mean time between failures is the predicted average length of time

between instances where an asset fails.

Capacity modelling Capacity modelling is used to calculate the effects of an increase in

the use of an asset and determine its optimal usage level. This process recognises that increases in demand can lead to increased

asset management activities and associated costs.

Energy management Energy management involves the monitoring of energy use and the

implementation of various actions to reduce consumption without

negatively affecting the operations the Prison.

For the Prison, the design documentation will include an energy model that will forecast consumption. Once operational, the FM Subcontractor will monitor usage to establish baseline data and conduct

audits to identify energy use inefficiencies.

The FM Sub-contractor will manage consumption by recommending and implementing energy efficiency measures, raising energy use awareness among staff members, and reporting consumption levels.

Cluster failure analysis The FM Sub-contractor understands cluster failure analysis to involve

the compilation and subsequent analysis of information regarding a number of asset failures that may have common or similar factors.

Building Names

	Buildings within the Perimeter Wall	Ref	Criticality of Buildings
1	House Block 1 and MUT	HBK1	5
2	House Block 2	HBK2	5
3	House Block 3	HBK3	5
4	Gatehouse / Sallyport / Utilities	GHS	5
5	Administration & Visits	ADM/VIS	4
6	Reception & Store	REC	3
7	Health / Education & Programmes	HEA	4
8	Residences 1 - 10	RES	5
9	Officers Centre	OFP	3
10	Kitchen & Laundry	KAL	5
11	Facilities Management & Store	FMT/BLK	2
12	Sports Hall & Gym	SPO	3
13	Industry 1	IND1	3
14	Industry 2	IND2	3
-15	Management Unit	MUT	5
16	Wharekura		2
17	FAL - Fale Pasifika	FAL	2
18	Horticulture	HOR	1
19	Recycling & Waste	WAS	3
	Buildings Outside the Perimeter Wall		
1	Visitors Centre	VIS	2
2	Staff Training Centre	STA	2
3	Fire Control	FIR	4
4	Cultural Centre	WHA	2

Reports

Semi Annual Performance Reports

Summary information will be provided by way of Semi Annual Performance Reports. The objectives of these reports are to:

- · Show job volume data broken down by asset class and job code.
- Show trends and exceptions.
- · Show performance against activity plans, and performance targets.
- · Identify issues, opportunities and improvement actions.

The Management Report will include:

- · Any proposed change to the senior management team. This will be summarised in the report.
- · Structure, staffing levels, and any proposed changes.
- · Summary of any planned legislation changes that may affect the Project

The Risk Report will include:

- · Summary of all health, safety and personal security incidents.
- Risk assessment and issues.
- · Update if any to the current Health and Safety Plan.

The Asset Report will include:

- List of any assets replacement works completed.
 - deletions or additions to the asset register
 - corrective actions taken
 - details of any changes to operations that may impact our WoL approach and therefore requires amendment to the asset management plan.
 - feedback regarding instances where the maintenance schedules were varied due to changes in operational requirements/Corrections Services
- · Reports on any changes to the building management services.
- · Summary of any proposed or actual changes to current master maintenance plan.
- report any changes to the Life Cycle maintenance plan
- report any changes to the programme for preventative maintenance, reactive maintenance and refurbishment
- report any changes to the Stakeholder Engagement Plan
- report any changes to the Valuation Schedules
- report any changes to the IDMS implementation plan
- report showing the number of work tasks assigned and completed, incomplete and pending issued by the WMS.
- Report showing all complaints and requests process by the Help Desk during the reporting period.

Warrantees

List of Warranties as provided by D&C Sub Contractor that will pass to the O&M Subcontractor.

This section to be populated

Appendix G: Delegations and Instructions Table

Delegations and Instructions Table

Reference is made to Schedule 19 (Delegations and Instructions) of the project agreement between Her Majesty, The Queen in Right of New Zealand acting by and through the Chief Executive of the Department of Corrections (the **Department**) and SecureFuture Wiri Limited (the **Contractor**) relating to the PPP at Wiri Prison Project dated

September 2012 (the **Project Agreement**).

1. Reservations and Delegations

1.1 Reserved Matters

The discretions, powers and functions proposed to be reserved to the discretion of the Department are identified in Appendix A (Reserved Matters).

1.2 Delegated Matters

The discretion, powers and functions proposed to be delegated to an Approved Employee are identified in Appendix B (Delegated Matters).

2. Section 196 Instructions

As at the date of the Project Agreement, the following instructions are the only instructions/guidelines relating to the Prison for the purpose of Section 196 of the Corrections Act 2004:

- (a) Chief Executive Instructions on Shared Cells dated 9 November 2010; and
- (b) Chief Executive Instructions on the transportation of prisoners and in particular the separation of youth and adult prisoners.

Appendix A: Reserved Matters

The following table sets out the Reserved Matters, and sets out whether the Reserved Matter is a discretion, power or function to be exercised by the Chief Executive or a Department Delegate. The Department is entitled to amend this table from time to time by notice to the Contractor.

Subject	Source of Power / Function	Summary of Power / Function	Relevant Delegate
Non-release Order	Parole Act, s 107	To make an application to the New Zealand Parole Board at any time before the offender's final release for an order that the offender not be released before the applicable release date.	Chief Executive.
Hearing Adjudicators	Corrections Act, s 15 Corrections Regulations, Schedule 7, clauses 1-3	To approve, in respect of each contract prison as many persons designated by the contractor responsible for the management of that contract prison, as hearing adjudicators in such numbers as are required for the purposes of the Corrections Act, and to revoke such designations or approvals.	Department Delegate.
Segregation	Corrections Act, s 58	To receive notification of a prison manager's direction that the opportunity of a prisoner to associate with other prisoners be denied or restricted for 14 days on the grounds of security, good order or safety, and the reasons for it.	Department Delegate.
		To revoke or extend a prison manager's direction that the opportunity of a prisoner to associate with other prisoners be denied or restricted for 14 days on the grounds of security, good order or safety.	Department Delegate.
		To review monthly the decision to extend a direction that the opportunity of a prisoner to associate with other prisoners be denied or restricted for 14 days on the grounds of security, good order or safety.	Department Delegate.
Segregation	Corrections Act, ss 59(1)(b) (see ss 59(3)(b),	To receive notification of a prison manager's direction that the opportunity of a prisoner to associate with other prisoners be denied or restricted for 14 days for the purpose of protective custody.(59(3)(b)). To revoke or extend a prison manager's direction that the opportunity of a	Department Delegate.

Subject	Source of Power / Function	Summary of Power / Function	Relevant Delegate
	59(4)(b),(c) & (d)	prisoner to associate with other prisoners be denied or restricted for 14 days for the purpose of protective custody. (59(4)(b)) To review at least every three months the decision to extend a direction that the opportunity of a prisoner to associate with other prisoners be denied or restricted for 14 days for the purpose of protective custody.(59(4)(d)).	Department Delegate. Department Delegate.
Prisoner Employment	Corrections Act, s 66(5)(a)	 To approve type and conditions of prisoner employment where that work is intended to: provide the prisoner with work experience or to assist his or her rehabilitation or reintegration into the community; or reduce the costs of keeping prisoners in custody (for example, cooking, cleaning, and maintenance within the prison or any other prison). 	Chief Executive.
Monitor	Corrections Act, s 172	To appoint as many persons as security monitors as are required for the purposes of the Corrections Act.	Chief Executive.
Instruction	Corrections Act, s 196 To issue: guidelines on the exercise of powers under the Corrections Act or Corrections Regulations; to issue instructions or guidelines relating to procedures and standard in the management of contract prisons, community work centres, probation offices or by security contractors in relation to the provision of courtroom custodial services and escort services; and information about official policy and guidance on the interpretation of relevant information.		Chief Executive.

Subject	Source of Power / Function	Summary of Power / Function	Relevant Delegate
Monitor Corrections Act, s 199E(1) or (2)		To appoint, under the State Sector Act, one or more monitors in respect of each contract prison, or for a specified purpose.	Chief Executive.
Staff acts or omissions	Various	To exercise any power, function, or duty conferred or imposed on the chief executive by or under the Corrections Act or any other enactment where the power, function, or duty relates to the review of any act or omission of any staff member of a contract prison.	Chief Executive.
	Corrections Act, s 19(4)(d), (h)	To request and receive reports from a Visiting Justice.	Chief Executive.
	Corrections Act, s 48(2)	To ensure that, where a prisoner applies for a reconsideration of his or her security classification, the classification is reconsidered promptly.	Department Delegate.
Regulations, reg 51 made by a prisoner and e Corrections Act, s 53 To direct that a prisoner b		To reconsider a prisoner's security classification when an applicable is made by a prisoner and either confirm the classification or assign another.	Department Delegate.
		To direct that a prisoner be transferred from any prison to any other prison in which he or she may be lawfully detained, and	Department Delegate.
		To revoke such a direction make by an inspector of corrections.	Chief Executive.
Segregation	Corrections Act, s 60(2)(b)	To receive notification of a prison manager's direction that the opportunity of a prisoner to associate with other prisoners be restricted or denied on the grounds of medical oversight.	Department Delegate.
		To revoke a prison manager's direction that the opportunity of a prisoner to associate with other prisoners be restricted or denied on the grounds of medical oversight	Department Delegate.
Temporary Release	Corrections Act, s 62	orrections Act, s 62 To give authority for the temporary release from custody or temporary removal from prison of a prisoner to whom this section applies.	
Temporary	Corrections Act,	To fix the period and conditions for temporary release under section 62.	Department Delegate.

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Subject	Source of Power / Function	Summary of Power / Function	Relevant Delegate
Release	s 63(1)		
Temporary Removal			Department Delegate.
Trust Accounts	Trust Accounts Corrections Act, s 67 To receive prisoner earnings while employed on temporary release in the manner agreed between the chief executive and the employer. To receive prisoner earnings while self-employed at the times the chief		Department Delegate.
		executive directs.	
Trust Accounts	Corrections Act, s 68 To apply, in any proportion that the chief executive considers appropriate, any money paid to the chief executive under section 67 to purposes specified in this section.		Department Delegate.
Communications	Corrections Act, s 114(2)(f)	To exempt a call between a prisoner and a person (other than a prisoner) from monitoring under the Corrections Act.	Department Delegate.
Communications	Corrections Act, s 115	To monitor, and to authorise an eligible employee, to monitor a prisoner call under the Corrections Act.	Department Delegate.
Classification Information Sharing	s 181A nature and seriousness of his or her offending.		Department Delegate.
Information Sharing	Corrections Act, s 182	To supply to any member of the police information about the date, place, and conditions of temporary release of a person in a form agreed between the chief executive and the Commissioner of Police.	Department Delegate.
Placement	Corrections Regulations, reg 52K	To receive notification from a staff member of the placement that the staff member considers ought to be assigned to the prisoner.	Department Delegate.
		To consider whether the recommended placement is appropriate and	Department Delegate.

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Subject	Source of Power / Function	Summary of Power / Function	Relevant Delegate
		either approve the placement or assign a different placement.	
Placement	Placement Corrections Regulations, reg 52M Where an application for a reconsideration of a placement decision is made by a prisoner under regulation 52L, to ensure that the process followed in the most recent review of the placement is reviewed, and to consider whether the current placement is appropriate and either confirm the placement or assign a different placement.		Department Delegate.
Cell use approval	Corrections Regulations, reg 67	ations, reg 67 with regulations 67(1) or (2) (which detail items cells should contain). To specify the period during which such approvals remain in force.	
		To specify any conditions in relation to such approvals.	
Health	Corrections Regulations, reg 73	To receive notification of prisoners that need special treatment or attention by staff members, or a modification in the management of that prisoner. To receive notification of the equipment, supplies, facilities and personnel required to equip and operate the health centre adequately and to provide for the health needs of prisoners adequately. To receive notification of any health and safety issues affecting any prisoner, classes of prisoner, or all prisoners.	Chief Executive.
Health	Corrections Regulations, reg 74(1)	To receive notification that a medical officer is or will be unable to perform his or her duties.	Department Delegate.
Health	Corrections Regulations, reg 76(1)	To receive notification, and recommendations, from a medical officer if the medical officer has reason to believe a prisoner is at risk or seriously ill.	Department Delegate.
Health	Corrections Regulations, reg 78(1) and (2)	To request and receive a written report on the condition of the prison or any particular aspect of the prison as it affects the health of prisoners. To designate a medical officer for the purposes of this regulation where	Chief Executive.

Subject Source of Power / Summary of Power / Function		Summary of Power / Function	Relevant Delegate
		there are two or more medical officers at a prison.	
Health	Corrections Regulations, reg 79(3)	To receive written recommendations from a medical officer on the health of any prisoner, or on any matter relating to the health and safety or prisoners.	Department Delegate.
Visitors	Corrections Regulations, reg 92	To approve a person or class of persons as an official visitor to one or more prisons and to impose reasonable conditions on the approval or limit the duration of that approval.	Department Delegate.
Visitors	Corrections Regulations, reg 93(2)	To suspend, vary, or impose conditions attaching to an approval under regulation 92.	Department Delegate.
Physical holds	Corrections Regulations, reg 119	To approve the types of physical holds that can be used on prisoners.	Department Delegate.
Training	Corrections Regulations, reg 121(4)	To approve refresher courses for staff members trained in the use of batons and or pepper spray.	Department Delegate.
Restraints	Corrections Regulations, reg 126	To approve the use of a mechanical restraint on a prisoner for a period beyond 24 and up to 48 hours in certain circumstances.	Department Delegate.
Use of force / non-lethal weapon	Corrections Regulations, reg 128	To receive a copy of a report on the use of force or non-lethal weapon.	Department Delegate.
Visits	Corrections Regulations, Schedule 4, clauses 8-16	To review the prohibition of certain persons from visiting prisons in certain circumstances.	Department Delegate.
Mechanical Restraint	Corrections Regulations, Schedule 5, clauses 5-6	To approve the form used when a mechanical restraint is to be used with the prior approval of the prison manager.	Department Delegate.

Subject Source of Power / Function		Summary of Power / Function	Relevant Delegate	
		To approve the form used when a mechanical restraint is used without prior approval of the prison manager.		
Use of Cells	Use of Cells Corrections Regulations, reg 59(2) and (3) To approve the use of cells in prisons that do not comply with regulation 59(1) to accommodate prisoners subject to a segregation direction issued under sections 58,59 or 60(1)(a) of the Corrections Act which concern segregation for security and good order, protective custody and medical oversight. To specify the period during which such approvals remain in force. To specify any conditions in relation to such approvals.		Chief Executive.	
Use of Cells	Corrections Regulations, reg 60(2) and (3)	To approve the use of cells in prisons that do not comply with regulation 60(1) to accommodate prisoners subject to a segregation direction issued under sections 60(1)(b) of the Corrections Act (which concerns segregation for assessment of mental well being). To specify the period during which such approvals remain in force. To specify any conditions in relation to such approvals.	Chief Executive.	
Use of Cells	Corrections Regulations, reg 61(2) and (3)	To approve the use of cells in prisons that do not comply with regulation 61(1) to accommodate prisoners subject to a segregation direction issued under section 60(1)(b) of the Corrections Act (which concerns segregation for assessment of mental well being), for reasons other than the risk or the possible risk of self-harm. To specify the period during which such approvals remain in force. To specify any conditions in relation to such approvals.	Chief Executive.	
Use of Cells	Corrections Regulations, reg	To approve the use of cells in prisons that do not comply with regulation 157(1) (which identifies required features of cells and items they should	Chief Executive.	

Subject	Source of Power / Function	Summary of Power / Function	Relevant Delegate
	157(2) and (3) contain) for prisoners under a penalty of cell confinement.		
		To specify the period during which such approvals remain in force.	
		To specify any conditions in relation to such approvals.	
Use of Cells	Corrections Regulations, reg 180(1) and (2)	To approve, subject to regulations 179A and 186, the mixing of a prisoner or class of prisoners: (c) who are under 18 years with a prisoner or class of prisoners who are 18 years or older: (d) who are between 18 years and 20 years with a prisoner or class of prisoners who are under 18 years, where satisfied that it is in the best interests of the prisoners concerned.	Department Delegate.
Various			Department Delegate.

Appendix B: Delegated Matters

The following table sets out the Delegated Matters. The Department is entitled to amend this table from time to time by notice to the Contractor.

Subject	Source of Power / Function	Summary of Power / Function	Relevant Delegate
As at the date of t	the Project Agreement, t	here are no Delegated Matters.	

Appendix H: Delegations Protocol

DELEGATIONS PROTOCOL

1. PURPOSE AND ACKNOWLEDGEMENTS

- 1.1 This protocol ("**Protocol**") sets out the principles and the processes to apply from the Service Commencement Date by which:
 - (a) the Contractor may request a Department Delegate (as defined below) to exercise any power or function that comprises a Reserved Matter ("Reserved Matter Request"); and
 - (b) the Department will be required to respond to any such request.
- 1.2 The parties acknowledge and agree that this Protocol shall be capable of modification from time to time by the parties in accordance with the terms of this Protocol. Notwithstanding the foregoing, the parties agree that this Protocol shall continue to meet the principles set out in paragraph 2 (Principles).

2. PRINCIPLES

- 2.1 The parties acknowledge and agree that the parties shall comply with the following principles in the operation of this Protocol:
 - (a) **Documentation**: the Contractor shall submit Reserved Matter Requests in the form, and containing the detail, reasonably required by the Department ("Reserved Matter Form"), as may be notified by the Department from time to time. The Contractor acknowledges that the Reserved Matter Form may vary between Reserved Matters;
 - (b) **Department Delegate**: the Department shall:
 - (i) appoint the required number of representatives authorised by the Chief Executive from time to time to exercise the relevant Reserved Matter (the Chief Executive and such representatives, each being a "Department Delegate" and together, the "Department Delegates");
 - (ii) ensure that at all times at least one Department Delegate is available and contactable by the Contractor and the Prison Manager to respond to the Contractor's Reserved Matter Request; and
 - (iii) keep the Contractor updated and informed on the identities of the Department Delegates and their contact details (as such details are set out on the Protocol Particulars) as they may be modified by the Department from time to time:

(c) **Timely Manner**:

- (i) the Contractor will submit Reserved Matter Requests to the relevant Department Delegate in a timely manner and will endeavour to do so as far in advance of any deadline as reasonably practicable in the circumstances; and
- (ii) the Department recognises that the exercise of Reserved Matters will have an operational impact if not undertaken before any deadline, and will endeavour to exercise such Reserved Matters in a timely manner and in advance of any such deadline;

- (d) Urgency: The Department acknowledges that the Contractor may need to request the exercise of a Reserved Matter urgently and that the process accommodates (and any changes to the process will need to be able to accommodate) urgent requests;
- (e) **Transparency**: The Department will be open and transparent in the factors that the Department Delegate considers in exercising a Reserved Matter; and
- (f) **Relationship Management**: The operation of this Protocol may be reviewed by the Relationship Management Group in accordance with Schedule 7 (Governance and Service Management).

3. REQUEST PROCESS

- 3.1 The parties acknowledge and agree that for each power or function that comprises a Reserved Matter:
 - (a) unless otherwise agreed, the Contractor will comply with the same processes and procedures that apply to prison managers in the Department's other prisons, by:
 - (i) utilising the relevant Reserved Matter Form as notified by the Department from time to time;
 - (ii) submitting the relevant Reserved Matter Form through IOMS (where applicable) or otherwise in the prescribed manner, as updated from time to time; and/or
 - (iii) verbally communicating the Reserved Matter Form in respect of Emergency Reserved Matters (as defined below);
 - (b) the Department Delegates may not all be authorised in respect of all Reserved Matters, and the extent of each Department Delegate's approval shall be expressly set out in the Protocol Particulars for that Department Delegate.
- 3.2 Each process referred to in paragraph 3.1(a) above may be varied by agreement or by not less than 20 Business Days' written notice from the Department in circumstances where the process is changing across all or substantially all of the Department's prison estate.
- 3.3 The Department will complete and circulate the initial Protocol Particulars to the Contractor no later than 6 months prior to the Planned Service Commencement Date.
- 3.4 Except in respect of Urgent Requests:
 - (a) the Department will respond to each type of Reserved Matter within a reasonable time period, taking into account the circumstances set out in the Reserved Matter Form; and.
 - (b) without prejudice to the foregoing, the Department will endeavour to respond to each Reserved Matter Request within 72 hours of receipt or otherwise by the deadline (if any) set out in the Reserved Matter Form, though the Department may take longer depending on the facts and circumstances of the Reserved Matter Request.
- 3.5 Where the Department does not respond to any Reserved Matter Request by a reasonable time prior to any deadline (including where specified in the Reserved Matter Request or subsequently notified), the Contractor shall be entitled to re-submit the

Reserved Matter Request as an Urgent Request in accordance with paragraph 3.7 below.

- 3.6 The Contractor acknowledges that:
 - (a) where a Reserved Matter Request would have not been an Urgent Request but for the act or omission of the Contractor or any Contractor Related Person, any additional costs incurred by the Department or its Department Delegates in processing such Reserved Matter Request as an Urgent Request shall be payable by the Contractor; and
 - (b) in the event of persistent or material delay in submitting Reserved Matter Requests, the Department may require that the Contractor provide an action plan setting out how the Contractor's internal procedures shall be improved and updated so as to reduce and minimise the volume of Reserved Matter Reguests falling within this paragraph 3.6.
- 3.7 Where the exercise of a Reserved Matter is:
 - (a) required within 12 hours;
 - (b) the Contractor has not received a response from the Department in accordance with paragraph 3.5 above; or
 - (c) the Reserved Matter relates to continued segregation (after the expiry of the initial 14 day period); emergency hospital releases and/or emergency transfers (and such other Reserved Matters as the parties may agree from time to time that will always be responded to as an Urgent Request) ("Emergency Requests"),

the Contractor may seek an urgent request for the exercise of such Reserved Matter ("Urgent Request").

- 3.8 For an Urgent Request, the Contractor may telephone the Department Delegates in descending order of precedence (as set out in the Protocol Particulars) to obtain a verbal response from the Department Delegate and thereafter submit the Reserved Matter Request by email to the relevant Department Delegate.
- 3.9 The Department shall ensure that the Department Delegates are authorised to give a verbal response to an Urgent Request in accordance with paragraph 3.7 (and shall be required in respect of an Emergency Request to give a verbal response immediately upon request), on the basis that the Reserved Matter Request has already been, or will as soon as reasonably practicable thereafter be, provided by email to the relevant Department Delegate.
- 3.10 Where an Urgent Request is sought as a result of the:
 - (a) Contractor failing to seek authorisation in a timely manner; or
 - (b) Department failing to provide a response in a timely manner,

this will result in an automatic joint review of the operation of this Protocol.

4. MISCELLANEOUS

4.1 The parties acknowledge and agree that the details of the Protocol Particulars and the extent of the Reserved Matters may be changed by the Department from time to time by

provision of updated Protocol Particulars or a revised Delegations and Instructions Table (as applicable) to the Contractor.

- 4.2 The terms of this Protocol (excluding the Protocol Particulars) may be amended from time to time:
 - (a) by the agreement of the parties (acting reasonably); or
 - (b) by the Department alone (acting reasonably) on reasonable notice in order to reflect changes to the Department's policies across all or substantially all of the Department's prison estate.
- 4.3 For the purposes of this Protocol, the rights, entitlements and obligations of the Contractor may be exercised and discharged on behalf of the Contractor by the Prison Manager (and the Prison Manager's duly authorised delegates).
- Where the Contractor is unclear whether the discretion or function that it wishes to exercise comprises a Reserved Matter, it may submit a Reserved Matter Form and this Protocol shall apply to such Reserved Matter Form unless any Department Delegate notifies the Contractor separately that any such discretion or function does not comprise a Reserved Matter.
- 4.5 Where the Contractor is unable to obtain a response to a Reserved Matter Request (notwithstanding its compliance with paragraph 3), the Department shall, without prejudice to the terms of the Agreement, work collaboratively with the Contractor to remedy any deficiency in the operation of this Protocol and the Department's internal procedures with a view to preventing any such failure recurring.
- 4.6 The parties shall regularly undertake a joint review of the operation of this Protocol.
- 4.7 Any disputes as to the operation of this Protocol shall be referred for resolution under the Accelerated Dispute Resolution Procedure under the Project Agreement.

Protocol Particulars

Department Delegates

In respect of each Reserved Matter:

- 1. [Name] [Address]; [Email]; [Phone];
- 2. [Name] [Address]; [Email]; [Phone];
- 3. [Name] [Address]; [Email]; [Phone];
- 4. [Name] [Address]; [Email]; [Phone];

Appendix I: Department AVL Equipment Installation and Support Protocol

PROTOCOL IN RELATION TO THE INSTALLATION AND SUPPORT OF AUDIO VISUAL LINK EQUIPMENT

1. INTRODUCTION

- 1.1 Her Majesty, The Queen in Right of New Zealand acting by and through the Chief Executive of the Department of Corrections (the **Department**) and SecureFuture Wiri Limited (the **Contractor**) have entered into an agreement relating to the PPP at Wiri Project on [] 2012 (the **Project Agreement**).
- 1.2 The purpose of this Protocol is to set out the process by which the Department and the Contractor agree to the provision of Audio Visual Link (AVL) equipment and the maintenance and support of this equipment

2. **DEFINITIONS**

2.1 Defined terms used in this Protocol have the same meaning as under the Project Agreement.

3. PROVISION OF AUDIO VISUAL LINK EQUIPMENT

- 3.1 The Courts (Remote Participation) Act 2010 enables any person appearing at court to appear by AVL, where certain criteria are met. Parties can apply (orally or in writing) for AVL to be used or a judicial officer or Registrar can consider the use of AVL on their own motion. In order to facilitate Parole Board hearings as well as other required court appearances, there is a requirement for the Prison at Wiri, South Auckland (the Prison) to make provision for adequate AVL facilities that meet the requirements outlined in the aforementioned Act (paragraph 59.2(r)(iv) of Schedule 10 (Works Requirements)).
- 3.2 Under the Project Agreement between the Department and the Contractor it has been agreed that the Contractor is to provide cabling and infrastructure to support the AVL (paragraph 7.1 of Schedule 13 (ICT Requirements) to the Project Agreement). The Department has agreed to provide and maintain the equipment for the AVL in accordance with the Ministry of Justice "Integrated Courtroom Video Conferencing Requirements Standards". This equipment is likely to include, but is not limited to, the following:
 - A high definition screen of sufficient size to adequately display court proceedings to the Prisoner
 - A high quality sound system to enable the Prisoner to hear court proceedings
 - A high quality microphone to capture sounds made by the Prisoner
 - A high quality camera for high definition display of the Prisoner's head and shoulders to Court
 - A secondary camera (non coercion camera) to display a wide angle view of the Prisoner's location in order to demonstrate to the court that the Prisoner is not being coerced.
 - A telephone handset to enable conversations between the Prisoner and Counsel during court proceedings. Use of this handset will temporarily disable the audio and video feed of the Prisoner so private communications can occur.
- 3.3 The above equipment will be physically located in an AVL suite provided for that purpose by the Contractor. This equipment shall be interfaced with the Contractor's ICT solution as identified in Schedule 13 to the Project Agreement. The installation of AVL equipment will be carried out by the Department or a Department appointed representative.

- The Department shall provide, in accordance with paragraph 10.2(a) of Schedule 13, user training for the operation and administration of the AVL equipment.
- 3.5 Should the AVL equipment fail, the Department will provide a help desk for the diagnosis and rectification of such faults. Should remote resolution of these faults not be achievable, the fault will be addressed by the Department appointed representative at the cost of the Department.
- 3.6 In accordance with paragraph 10.1(c) of Schedule 13, the Department will engage with the Ministry of Justice to identify upgrades, updates, replacement or other change to the AVL equipment and will advise the Contractor of this and any potential ramifications.
- 3.7 The Contractor shall permit the Department and any representative of the Department, at reasonable times and upon giving reasonable notice, to enter the Prison in order:
 - to install the AVL equipment detailed above and to interface this with the Contractors ICT solution
 - (b) to test the installed AVL equipment
 - (c) to conduct routine maintenance and fault resolution in relation to the AVL equipment
 - (d) to upgrade or replace the AVL equipment as required in order to meet Ministry of Justice specifications.

Appendix J: Designation Compliance Monitoring Table

The Social Impact Monitoring Plan, required by conditions 48 - 50 of the Designation, is to provide an annual report on compliance with the Designation conditions. As recorded in Schedule 9 (Resource Management Act Requirements), these conditions are the Department's Responsibility.

A combined Designation Compliance Monitoring Table will be submitted to Auckland Council as the primary means of demonstrating and recording compliance with all conditions of the Designation.

The table will be submitted to Auckland Council annually in accordance with condition 50(d) of the Designation and when a specific request is received from Auckland Council.

The Contractor will be required to update the Designation Compliance Monitoring Table in relation to the conditions of the Designation that are stated to be Contactor Responsibility in the table set out in paragraph 5.2 (Designation conditions) of Schedule 9 (Resource Management Act Requirements) within 10 Business Days of a request being received from the Department and within 20 Business Days following the end of the Contract Year.

The Department will then be responsible for submitting the combined Designation Compliance Monitoring Table to Auckland Council and receiving written confirmation of compliance. Information requests and correspondence from Auckland Council that relate to the conditions of the Designation that are stated to be Contactor Responsibility in Schedule 9 (Resource Management Act Requirements) will be forwarded by the Department within two Business Days of receipt.

The Contractor can submit compliance information directly to Auckland Council, which must be recorded in the Designation Compliance Monitoring Table.

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
Scope of the Designation					
1. (a) The initial works for the ARWCF to give effect to the designation shall be generally in accordance with the Notice of Requirement for the ARWCF dated 28 May 2002, and the indicative concept plan, Figure 2, 3 February 2004, DB0901, subject to any amendments required by the conditions that follow. However, nothing in this condition shall limit future activities on the site in so far as they are consistent with the designation and other conditions	Corrections	ARWCF	N/A		
(b). All works and activities for the MCF shall be generally in accordance with the Notice of Requirement for Alteration to Designation 288 dated 1 November 2010, subject to any amendments required by the conditions that follow. However, nothing in this condition shall limit future activities on the site in so far as they are consistent with the designation and other conditions.	SECUREFuture	MCF	Complies: the facility has been designed in general accordance with the conditions of	Confirmation of OPW	Refer to Master Plan and Appendix 7 of the OPW
(c). The comprehensive corrections facilities on the site shall be limited to the ARWCF and a MCF.	Corrections	ARWCF and MCF	Complies	Confirmation of OPW	Refer to Master Plan and Appendix 7 of the OPW
(d). Any secure facilities associated with the ARWCF shall be generally located within the area identified asindicative Extent of ARWCF Secure Facilities' on the Development Plan (Figure 1, Revision B, prepared by Boffa Miskell, dated 12 May 2011).	Corrections	ARWCF	N/A		
(e). Any secure facilities associated with the MCF shall be generally located within the area identified as Indicative Extent of prison Secure Facilities' on the Development Plan (Figure 1, Revision B, prepared by Boffa Miskell, dated 12 May 2011).	SECUREFuture	MCF	Complies: the facility has been designed in general accordance with the conditions of	Confirmation of OPW	Refer to Master Plan and Appendix 7 of the OPW
(f). Any non-secure facilities associated with the MCF shall be generally located within the area identified as Indicative Extent of prison Non Secure Facilities' on the Development Plan (Figure 1, Revision B, prepared by Boffa Miskell, dated 12 May 2011).	SECUREFuture	MCF	Complies: the facility has been designed in general accordance with the conditions of Designation 288.	Confirmation of OPW	Refer to Master Plan and Appendix 7 of the OPW
2. That for a distance of 45m from the northern boundary of the site, adjoining the land of Wiri Oil Services Ltd, no new buildings or activities shall be constructed or carried out. This condition shall not apply to horticultural activities or to maintenance of grounds, or to maintenance, alteration or use of the existing building.	Corrections	ARWCF	Complies: the facility has been designed in general accordance with the conditions of Designation 288; no new buildings will be constructed within 45m of WOSL	Confirmation of OPW	Refer to Master Plan and Appendix 7 of the OPW
3. No buildings (excluding security fencing and lighting, security and communication devices, including poles for lighting and surveillance equipment) shall be constructed within that part of the Corrections' designation, identified as area "A" on the Heritage Areas Plan (prepared by Boffa Miskell, Figure 2, Revision E, dated 25 March 2011.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complies: no buildings are located within Area A.	Confirmation of OPW	Refer to Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay"
(4. (a) The accommodation units of the ARWCF shall be located at least 134 metres from the Wiri Oil Services Limited boundary and the outside of the secure perimeter fence shall be located at least 100 metres from that boundary.	Corrections	ARWCF	Complies		HEHLARE AIEAS FIAH OVEHAV
(b) All inmate accommodation, staff administration and kitchen buildings to be used by staff and inmates within 200m of the Wiri Oil Services boundary shall have mechanical ventilation. The ventilation system shall be capable of having suitable filtration systems installed to minimise odour and VOCs, to the satisfaction of the Manager – Resource Consents based on results of the monitoring required by condition 35.	Corrections	ARWCF	Complies		
5. An easement for an esplanade strip and/or access strip for a coastal recreational walkway for the benefit and use of the public shall be granted in the Council's favour at no cost to the Council by the Minister generally along the boundary of the subject land with the Manukau Harbour on the following basis:	Corrections	ARWCF and MCF	Complies		Certificate of Title, Appendix 1 of OPW
(a) The easement in perpetuity shall adjoin the mark of mean high water springs of the Manukau Harbour, unless the topography requires that it be located away from the coast. The legal documents relating to the easement shall be prepared by the Council's solicitors at the Minister's expense, executed by or on behalf of the Minister and registered on the certificate of title of the land prior to commencement of the proposed activity.	Corrections	ARWCF and MCF	Complies		Certificate of Title, Appendix 1 of OPW
(b) The esplanade strip and access strip shall be of sufficient width to allow cycle and pedestrian access through the area.	Corrections	ARWCF and MCF	Complies		Certificate of Title, Appendix 1 of OPW
(c) The route of the formed walkway shall be determined jointly by the Minister and the Council and shall minimise the impact upon the part of the Corrections' designation identified as area "C" on plan '21095' dated 9 October 2003. The construction and maintenance of the walkway will be undertaken by the Council, at such time as it deems fit to do so.	Corrections	ARWCF and MCF	Complies		Certificate of Title, Appendix 1 of OPW
(d) The Minister shall construct and maintain as a minimum a standard post and wire fence along the boundary of the esplanade strip and the access strip easement, within 6 months of the creation of the easement.	Corrections	ARWCF and MCF	Complies		
(e) The Minister shall take all reasonable steps to place and maintain signs at the boundaries of the Minister's property along the walkway and at the public entrances to the walkway, prior to its use. The Minister shall consult with the Council, with regard to the wording of signage with a view to ensuring that, to the extent practicable. The signage does not discourage the public from using the walkway.	Corrections	ARWCF and MCF	Complies		
(if) The walkway shall be available to the public during hours of daylight every day of the year except in specified circumstances, to be agreed between the Minister and Council.	Corrections	ARWCF and MCF	Complies		
(g) During the event of the specific circumstances referred to in Condition 5(f), the Minister shall make available an alternative walkway to continue this public access.	Corrections	ARWCF and MCF	Complies		
Advice Note: Easements have been created further to this condition and are registered against Identifier 368904 (North Auckland). Traffic	Corrections	ARWCF and MCF	Complies		
6. The principal access to the ARWCF shall be off Hautu Drive, while access for an "emergency situation" may be provided off other adjacent roads. For the purposes of this condition, an "emergency situation" is defined as a situation requiring alternative vehicular access by the Department of Corrections, New Zealand Police, New Zealand Fire Service and/or an Ambulance, New Zealand Defence Force, Civil Defence and includes situations relating to the escape of any inmate.	Corrections	ARWCF	Complies		
7. Adequate onsite parking, loading, access and manoeuvring areas be provided at all times for all types of vehicles anticipated to visit the facilities. All onsite parking, loading, access and manoeuvring shall be formed, drained, sealed and marked out in accordance with Council's Engineering Quality Standards and Figure 8.5 of Chapter 8 of the District Plan. Full engineering drawings in respect of these works shall be submitted to and approved by the Council, as part of the Outline Plan of Works.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complies: facility has been designed in accordance with relevant EQS and drawings have been approved with the OPW.	Confirmation of OPW	Refer to Appendix 13 of the OPW
8. In the event that the McLaughlins Road frontage of the site requires upgrading due to the Minister's construction, establishment, operation and/or maintenance of the facility, and becomes a public road, this shall be constructed to Business Road standards for half a road frontage in accordance with Rule 9.9.2.11(a)(iv) of the Manukau Operative District Plan. A payment, which shall be agreed between the Minister and the Council, shall be paid to the Council prior to commencement of the road frontage upgrading (such payment to be applied to the upgrade and to take into account any payments made to the owners of the road for its upgrade).	Corrections	ARWCF	Compliance as required: not using McLaughlins Road.		

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
9. Cul de sacs in accordance with Council's Engineering Quality Standards shall be fully formed and vested in the Council and at no cost to the Council as continuations of Hautu Drive and Ha Crescent prior to the commencement of Construction Work (as defined in chapter 18 of the District Plan). These areas shall include any necessary service berms and footpaths in addition to a standard front berm. Full engineering drawings in respect of these works shall be submitted to and approved by the Council. Landscape and Urban Design	Corrections	ARWCF	Compliance as required		
10. An Integrated Design and Mitigation Strategy (IDMS) shall be prepared for the entire designated site and submitted for the approval of the Manager – Resource Consents as part of the outline plan of works for the establishment of the MCF. The Manager-Resource Consents, the Department of Conservation, Ngati Te Ata, Te Akital (and any other mana whenua group subsequently recognised), Nsion Manukau and the Volcanic Poss Society shall be given an opportunity to review and comment on the draft IDMS (including for the avoidance of doubt, the visual mitigation strategy, ecological planting strategy, and comprehensive landscape plan) at least three (3) months prior to its submission with the outline plan of works. The IDMS shall include the matters set out below.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
IDMS Principles and Functions (a) The IDMS must set out the overarching principles that will shape a visual mitigation strategy, an ecological planting strategy, and a comprehensive landscape plan.	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
(b) The IDMS shall address building placement, scale and form in relation to the surrounding and proposed landscape context and, in particular, shall identify viewshafts to Maunga Matukuturela from the southern part of the ARWCF, the marae on the CYFS facility, and the Weymouth/Puhinui walkway that are to be protected to the fullest extent practicable. The IDMS shall specify building materials and colour, proposed screening and planting, proposed pest control measures, proposed site preparation and remediation, plant species selection, plant establishment and ongoing maintenance and monitoring requirements.	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
(c) The IDMS should establish how it is proposed to integrate the development when viewed from the Clendon residential area, ARWCF and CYFS facility, and the means proposed to integrate the scale, form and bulk of the buildings and structures in the western and southern portion of the site in relation to the open space.	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
(d) All buildings and external structures shall be designed and finished in materials and colours that are generally visually recessive.	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
IDMS Components (e) The IDMS shall include the following components, each of which shall give effect to the IDMS and its overarching principles	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
(i) A Visual Mitigation Strategy for the entire site. This shall include but not be limited to:	SECUREFuture		Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
key visual objectives including the identification and management of views towards the site from surrounding residential, commercial and public open space areas ([particularly from the Weymouth/Puhinui Walkway and adjacent DoC reserve) and the objective of maintaining views of Maunga Matukutureia to the fullest extent practicable:	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
the use of mass planting where appropriate within a minimum 8 metre planting strip along all boundaries of the site to enable the screening and/or visual integration of built forms within the site and with the surrounding landscape character, including the maintenance of the existing landform within this 8 metre planting strip (except where mounding or additional soil depth is required to achieve the optimum growth of plants). The 8 metre planting strip shall not apply to the following locations:	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
o at the Hautu Drive, Ha Crescent, McLaughlins Road and Kiwi Tamaki Road vehicle and pedestrian entrances;	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
o either side of the access strip to Kiwi Tamaki Road; and	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
o parking areas, access drives and other hard surfaces associated with the ARWCF existing as at 1 May 2011.; (ii) an Ecological Planting Strategy, to enhance the ecological attributes of the site, and in particular the south-west corner of the site, providing a buffer between the	SECUREFuture SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW Confirmation of OPW	Refer to Appendix 8 of the OPW
ful all cological Planting Strategy, to enhance the ecological activities of the site, and in particular the South-West Corner of the site, providing a buffer between the facilities and the Publicui Creek. The strategy shall promote the use of eco-sourced species where appropriate.; (iii) a Comprehensive Landscape Plan for the entire site, including but not limited to:	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW. Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW Refer to Appendix 8 of the OPW
planting proposals for the retained wetland area and any stormwater ponds;	SECUREFuture	MCF	Complies: consultation undertaken and	Confirmation of OPW	Refer to Appendix 8 of the OPW
planting proposals for the entry and parking areas;	SECUREFuture	MCF	IDMS confirmed as part of the OPW. Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
planting proposals within the required minimum 8 metre planting strip along all boundaries of the site, except in the locations excluded above;	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
new parking areas designed with landscaped dividers or islands to provide separate parking bays each containing not more than 100 car parking spaces. The dividers or islands shall be planted with well developed specimen trees capable of growing to a height of approximately 6 metres within 10 years of planting. When determining tree and shrub spacies safety aspects such as sight distances must not be compromised:	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
consideration of any planting and/or public amenities on adjoining public land to enable the co-ordinated management of the site's boundaries;	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
the name (including botanical), numbers, location, spacing and size of the plant species, details on the timing of planting, and details of existing planting to be retained (where practicable):	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
a landscape management programme, including implementation and maintenance, setting out the methods for pest control (including, if necessary, pest proof fencing along the boundary of the site and the Matukuturua Stonefields Historic reserve), use of sacrificial planting (where appropriate), fertillising, and if necessary irrigation, to ensure continued growth of the plants. The landscape management programme shall detail existing and proposed soil depths, sufficient to ensure the optimum growth of the plants. These minimum soil depths may either be achieved using existing ground conditions where appropriate, or through mounding and/or through the provision of additional soil.	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
(iv) a report by a suitably qualified and experienced urban designer and landscape architect on how the design achieves the principles of the IDMS, including how the design achieves a good interface with surrounding areas.	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
11. The Minister shall not be in breach of Condition 10 if any one or more of the named groups specified do not wish to provide comment.	Not applicable	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
12. The outcomes of the engagement on the IDMS as specified in condition 10, including the comments provided by the parties and any changes made as a consequence, shall be documented and provided to the Manager – Resource Consents with the outline plan of works for the establishment of the MCF.	SECUREFuture	MCF	Complies: consultation undertaken and IDMS confirmed as part of the OPW.	Confirmation of OPW	Refer to Appendix 8 of the OPW
13. The Minister will cover the reasonable expenses of the parties named in condition 10 to commission any expert review of the IDMS, subject to the parties discussing the potential for joint engagement of an expert and subject to the Minister's approval of the scope of works and professional services fee proposals, prior to any expert advice or reports being commissioned by the parties.	Corrections	MCF	Complies: IDMS consultation and reviews Complies. IDMS confirmed as part of the	Confirmation of OPW	Refer to Appendix 8 of the OPW
14 (a) In the event that further outline plans are required and/or submitted for the site, the IDMS shall be updated in accordance with the conditions described above.	Corrections and SECUREFuture (split	ARWCF and MCF	Compliance as required		
(b) Unless and until any outline plan is required and/or submitted for further development undertaken at the ARWCF, only the planting including screening, pest and predator control, site preparation, species selection, and ongoing maintenance and monitoring aspects of the initial IDMS shall apply to the existing ARWCF.	Corrections (Corrections	ARWCF	Compliance as required		
15. Except for the screen and mass planting within the minimum 8 metre planting strip along all boundaries of the site, the landscape plan may be altered at any time, provided the changes to the plan are in general accordance with the IDMS and landscape plan which was approved by the Manager – Resource Consents as submitted with the outline plan.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Ongoing monitoring		
16. The Minister shall implement the comprehensive landscape plan, the ecological planting strategy and the visual mitigation strategy within 12 months of completion of construction of the MCF and shall thereafter maintain all specified works and plantings to the satisfaction of the Manager – Resource Consents.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Yet to action		
Existing Landscaping Plans 17. Until such time as the IDMS required under condition 10 is approved by the Manager – Resource Consents, the following conditions (18-24) shall apply.	Corrections	ARWCF	Compliance as required	IDMS has been approved as part of	
18. The visual mitigation and ecological planting plan for the ARWCF approved by the Council with the outline plan of works for the ARWCF on 10 September 2004	Corrections	ARWCF	Compliance as required	confirmation of OPW. Superseded. IDMS has been approved as part of	
shall apply to the site.				confirmation of OPW. Superseded.	
19. The visual mitigation and ecological planting plan may be altered at any time with the approval of the Manager – Resource Consents. In that regard, the Manager – Resource Consents shall not unreasonably withhold his or her approval, and in particular will not refuse approval to changes to the plan made necessary as a result of expansion of facilities within the site on the sole ground that such expansion is not consistent with the plan as originally approved.	Corrections	ARWCF	Compliance as required	IDMS has been approved as part of confirmation of OPW. Superseded.	
20. The general landscaping plan for the ARWCF approved by the Council with the outline plan of works for the ARWCF on 10 September 2004 shall apply to the site.	Corrections	ARWCF	Compliance as required	IDMS has been approved as part of confirmation of OPW. Superseded.	
21. The general landscaping plan required under condition 20 above may be altered at any time, provided the changes to the plan are in general accordance with the plan which was approved by the Council.	Corrections	ARWCF	Compliance as required	IDMS has been approved as part of confirmation of OPW. Superseded.	
22. The Minister shall implement the visual mitigation screening strategy within 6 months of completion of initial building construction for the ARWCF and shall thereafter maintain the planting to the satisfaction of the Council.	Corrections	ARWCF	Compliance as required	IDMS has been approved as part of confirmation of OPW. Superseded.	
23. The Minister shall implement the ecological planting within 6 months of completion of initial building construction for the ARWCF and shall thereafter maintain the planting to the satisfaction of the Council.	Corrections	ARWCF	Compliance as required	IDMS has been approved as part of confirmation of OPW. Superseded.	
24. The Minister shall implement the remainder of the general landscaping plan within 15 years of the ARWCF being occupied.	Corrections	ARWCF	Compliance as required	IDMS has been approved as part of confirmation of OPW. Superseded.	
Lighting					
25. All exterior lighting plans shall be submitted to the Manager – Resource Consents prior to the commencement of Construction Work. The lighting plans shall show and describe the location, type and intensity of lighting for facilities where external lighting is planned on the site and be approved to the satisfaction of the Manager – Resource Consents. Taking into account the security requirements of the corrections facility.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complaince pending: lighting design plans submitted to Council, awaiting approval.	Approval documentation	Refer to Appendix 16 of the OPW
Noise					
26. All sleeping areas within the ARWCF shall be provided with acoustic insulation against noise from the adjacent Quarry and Business 5 and 6 zones so that internal noise within the ARWCF resultant from offsite activities does not exceed L10 35dBA 35dB LA10 and Lmax 55 dBA with external doors and windows closed. These spaces shall also be provided with alternative ventilation in accordance with the requirements of the New Zealand Building Code, subject to the satisfaction of the	Corrections	ARWCF	Complies		
Manager — Resource Lonsents. 27. Any noise from construction work (as defined in Chapter 18 of the Manukau Operative District Plan) emanating from the site shall comply with the relevant requirements of the Manukau Operative District Plan 2002.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complies: CNVMP sets out methods for achieving compliance	CNVMP, Confirmation of OPW;	Refer to Appendix 17 of the OPW
28. Sound levels shall be measured and monitored by the Minister in accordance with New Zealand Standard NZS 6802:1999, Assessment of Environmental Sound and the results of the monitoring shall be compiled in a report to be submitted to the Manager – Resource Consents within 6 months of the opening of the ARWCF.	Corrections	ARWCF	Compliance as required	monitoring results at operation	
29. Should the results of the monitoring required by Condition 28 indicate that the facility does not comply with the noise limits specified, then discussions shall take place between the Minister and the Manager – Resource Consents to resolve this matter and remedy it as soon as is reasonably practicable.	Corrections	ARWCF	Compliance as required		
Air					
30. The Minister shall undertake monitoring of VOCs, including benzene, in relation to the ARWCF to the satisfaction of the Manager – Resource Consents, the results of which shall be forwarded to the Manager – Resource Consents as and when required. Monitoring shall be conducted simultaneously at two locations:	Corrections	ARWCF	Ongoing monitoring		
(a) one at the northern façade of the closest building to the northern boundary of the site which is required to have mechanical ventilation pursuant to Condition 4(b);	Corrections	ARWCF	Ongoing monitoring		
(b) the other at a location adjacent to the southern boundary of the site.	Corrections	ARWCF	Ongoing monitoring	1	
31. Monitoring required under condition 30 shall consist of passive sampling with 3M badges in accordance with NIOSH Method 1500 & 1501 or equivalent method	Corrections	ARWCF	Ongoing monitoring		
approved by the Manager – Resource Consents, to produce monthly average concentrations, and shall be undertaken: (a) for a period of 12 months commencing not more than one month from the date of confirmation of this designation; and	Corrections	ARWCF	Ongoing monitoring		
(b) in any further 12 month period or periods following receipt of written notice from the Manager – Resource Consents that there has been a significant change in the operations at the WOSL site. Results shall be recorded and made available to the Manager – Resource Consents on request. A report on the monitoring programme	Corrections	ARWCF	Ongoing monitoring		
"significant change in the operations at the WOSI site" includes:					

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
(i) the commissioning of new fuel tanks within 100 metres of the northern boundary of the ARWCF site; and/or	Corrections	ARWCF	Ongoing monitoring		
(ii) increases in total storage tank capacity on the WOSL site of more than 40% above 116 million litres, being the capacity on the WOSL site that existed at the confirmation of this designation; and/or	Corrections	ARWCF	Ongoing monitoring		
(iii) any other change that, in the opinion of the Manager – Resource Consents, could give rise to significant increases in the concentration of VOCs, including benzene, on the ARWCF site.	Corrections	ARWCF	Ongoing monitoring		
32. In addition to monitoring required under condition 31 the Minister shall, from the date that the ARWCF opens, commence a field odour monitoring programme for the succeeding 12 months and repeat this five years thereafter and/or in any 12 month period or periods following receipt of written notice from the Manager – Resource Consents that there has been a significant change in the operations at the WOSL site.	Corrections	ARWCF	Ongoing monitoring		
(a) The monitoring shall be undertaken by an individual whose olfactory sensitivity complies with the requirements of an odour panellist used in dynamic olfactometry as stipulated in AS/NZS 4323.3:2001 (Stationary Source Emissions — Determination of Odour Concentration by Dynamic Olfactometry).	Corrections	ARWCF	Ongoing monitoring		
(b) Odour shall be assessed at no less than five locations in the vicinity of the ARWCF. At least one location will be on the northern boundary fence, and another in a position near the accommodation unit that is closest to that fence.	Corrections	ARWCF	Ongoing monitoring		
(c) The odour assessment method shall follow the "single measurement" procedures set out in the German Standard VDI 3940 (Determination of Odorants in Ambient Air by Field inspections).	Corrections	ARWCF	Ongoing monitoring		
(d) The location, day, time and atmospheric conditions shall be recorded at the time the assessments are made.	Corrections	ARWCF	Ongoing monitoring		
(e) Subject to (g) below, assessments at each location shall as far as practicable be undertaken once per week, with no less than 50 assessments undertaken of each site over the 12 month period. The assessment day and time shall be determined in conjunction with the Manager – Resource Consents and Wiri Oil Services Limited, and shall aim to ensure that:	Corrections	ARWCF	Ongoing monitoring		
(i) the assessments achieve a representative measure of odours at the ARWCF and account for activities at WOSL that may have the potential to cause odour; and	Corrections	ARWCF	Ongoing monitoring		
(ii) information that is necessary for the Manager – Resource Consents to review the monitoring regime pursuant to (g) below to focus monitoring upon times when odour events are more likely is collected as efficiently as possible.	Corrections	ARWCF	Ongoing monitoring		
(f) Results shall be recorded and made available to the Manager – Resource Consents on request. A report on the monitoring programme shall be presented to the Manager – Resource Consents at the end of each 12 month monitoring period.	Corrections	ARWCF	Ongoing monitoring		
Ign The Manager — Resource Consents at the end of each 12 industribution into monitoring period. (g) The Manager — Resource Consents may, if it considers it appropriate having regard to the monitoring results received pursuant to paragraph (e) above, require changes to be made to the monitoring regime so as to focus upon times and/or days of the week when odour events are more likely to occur. Such changes will be made by written notice provided to the Minister or his or her representatives. For the avoidance of doubt, no such alteration to the monitoring regime shall increase its duration beyond 12 months, require monitoring to be undertaken at more than five locations on the site, or require a total of more than 50 assessments of each	Corrections	ARWCF	Ongoing monitoring		
site to be undertaken during the monitoring neriod 33. The Minister shall from the date the ARWCF opens log all air quality complaints received. The complaint details shall include:	Corrections	ARWCF	Ongoing monitoring		
(a) the date, time, position and nature of the complaint;	Corrections	ARWCF	Ongoing monitoring		
(b) location within the corrections facility of the complaint and, unless the complainant elects not to supply those details, their name, phone number and address; and	Corrections	ARWCF	Ongoing monitoring		
c) any remedial actions undertaken. Details of any complaints received shall be provided to the Manager – Licencing & Compliance within seven days of receipt of the complaint(s)	Corrections	ARWCF	Ongoing monitoring		
34. If the Council reaches the view that an odour nuisance and/or health effects may be occurring within the site, based on:	Corrections	ARWCF	Ongoing monitoring		
(a) the frequency or nature of odour complaints received by the Council (pursuant to condition 33 or otherwise); and/or	Corrections	ARWCF	Ongoing monitoring		
(b) monitoring required under conditions 30, 31 and 32, the Manager – Resource Consents will appoint an independent air quality expert to undertake an investigation and make recommendations pursuant to condition 35 below. The independent air quality expert will be chosen by the Manager – Resource Consents,	Corrections	ARWCF	Ongoing monitoring		
Wiri Oil Services Limited and Department representatives. The costs of such expert will be paid for by the Department. 35. In the event that an independent air quality expert is appointed under Condition 34, he or she shall be instructed to undertake an investigation of the site over a period of not less than two weeks and not more than six weeks to determine whether, in his or her professional view, the installation of the filtration equipment	Corrections	ARWCF	Ongoing monitoring		
specified in condition 4(b) is justified so as to mitigate or avoid odour nuisance and/or health effects. 36. In the event that the independent air quality expert recommends the installation of filtration equipment under condition 35 above, the Minister shall ensure that the specified filtration equipment is fully installed and operational within three months of the date the recommendation is received by the Minister.	Corrections	ARWCF	Ongoing monitoring		
Archaeological or Cultural Artefacts					
37. The small triangle of land in the south-western corner of the subject site, which includes remnants of a historic stone wall, stone structures, a midden and the spring, shall be excluded from any earthworks and building development (excluding fencing). This area of land is identified as area "C" on plan '21095', dated 9 October 2003 (as amended by the Heritage Areas Plan prepared by Boffa Miskell, Figure 2, Revision E, dated 25 March 2011).	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complies: Master Plan shows no building development in this area. Pending: earthworks consent application and plans yet to be lodged with Council, however, a draft application has been submitted for review.	Confirmation of OPW Earthworks consent	Refer to Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW.
38. The Minister shall carry out consultation with Ngati Te Ata and Te Akital (and any other mana whenua group subsequently recognised), for any works that are proposed by the Minister within an area identified as a — Remnant Cultural Landscape Feature B shown on the Heritage Areas Plan, prepared by Boffa Miskell, Figure 2, Revision E, dated 25 March 2011. In this regard, consultation should address the following:	Corrections and SECUREFuture (split , responsibility own sites)	ARWCF and MCF	Ongoing	Information to be submitted to Auckland Council prior to the commencement of works	Refer to Section 11.2, Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW.
(a) whether any matters pertaining to tangata whenua protocols need to be addressed;	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Ongoing		Refer to Section 11.2, Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW. Complies with condition.

b) whether the works afford appropriate acknowledgement of the status of the Area of Significance to Tangata Whenua; c) whether the works take into account the necessary tangata whenua protocols; and d) whether there is a need for tangata whenua monitors to be appointed to monitor earthworks on any part of the site. d) whether there is a need for tangata whenua monitors to be appointed to monitor earthworks on any part of the site. he Minister shall not be in breach of this condition if any tangata whenua group declines to consult. 9. In the event of archaeological features being uncovered (e.g. shell midden, hangi, oven stones, pit depressions, defensive ditches, artefact material, gardening soils review to the store of a store of the site of the	Corrections and SECUREFuture (split responsibility own sites) Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF ARWCF and MCF ARWCF and MCF ARWCF and MCF	Ongoing Ongoing Ongoing Noted Complaince pending: Accidental discovery protocols to be included in the CMP	Submitted CMP	Refer to Section 11.2, Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW. Complies with condition. Refer to Section 11.2, Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW. Complies with condition. Refer to Section 11.2, Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW. Complies with condition.
d) whether there is a need for tangata whenua monitors to be appointed to monitor earthworks on any part of the site. he Minister shall not be in breach of this condition if any tangata whenua group declines to consult. 9. In the event of archaeological features being uncovered (e.g. shell midden, hangl, oven stones, pit depressions, defensive ditches, artefact material, gardening soils r koiwi tangata (human skeletal remains), work shall cease within a 10m radius of the discovery and the Manager – Resource Consents, the New Zealand Historic laces Trust Regional Archaeologist and the appropriate iwi authorities shall be contacted within 72 hours so that appropriate action can be taken. dvice Note he requirement set out in Condition 39 above includes the appropriate iwi authorities and the New Zealand Historic Places Trust being given a reasonable time to ecord and recover archaeological features discovered before work may recommence there. Work should not recommence until the New Zealand Historic Places Trust as given approval for work to continue. cological Protection 0. Any works that create the potential for inflows of sediment and nutrients into waterways (e.g. the Puhinui Creek mangrove area) and the Manukau Harbour shall omply with the Auckland Regional Council sediment control guidelines and Council requirements.	responsibility own sites) Corrections and SECUREFuture (split responsibility own sites) Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF ARWCF and MCF	Ongoing Noted Complaince pending: Accidental discovery protocols to be included in the CMP	Submitted CMP	"Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW. Complies with condition. Refer to Section 11.2, Appendix 4 "Heritage Areas Plan" and "Site Wide Heritage Areas Plan overlay" of the OPW. Complies with condition.
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9. In the event of archaeological features being uncovered (e.g. shell midden, hangi, oven stones, pit depressions, defensive ditches, artefact material, gardening soils r koiwi tangata (human skeletal remains), work shall cease within a 10m radius of the discovery and the Manager – Resource Consents, the New Zealand Historic laces Trust Regional Archaeologist and the appropriate iwi authorities shall be contacted within 72 hours so that appropriate action can be taken. dvice Note he requirement set out in Condition 39 above includes the appropriate iwi authorities and the New Zealand Historic Places Trust being given a reasonable time to ecord and recover archaeological features discovered before work may recommence there. Work should not recommence until the New Zealand Historic Places Trust as given approval for work to continue. cological Protection O. Any works that create the potential for inflows of sediment and nutrients into waterways (e.g. the Puhinui Creek mangrove area) and the Manukau Harbour shall omply with the Auckland Regional Council sediment control guidelines and Council requirements.	responsibility own sites) Corrections and SECUREFuture (split		Complaince pending: Accidental discovery protocols to be included in the CMP	Submitted CMP	
r koiwi tangata (human skeletal remains), work shall cease within a 10m radius of the discovery and the Manager – Resource Consents, the New Zealand Historic laces Trust Regional Archaeologist and the appropriate iwi authorities shall be contacted within 72 hours so that appropriate action can be taken. Idvice Note The requirement set out in Condition 39 above includes the appropriate iwi authorities and the New Zealand Historic Places Trust being given a reasonable time to ecord and recover archaeological features discovered before work may recommence there. Work should not recommence until the New Zealand Historic Places Trust as given approval for work to continue. Cological Protection O. Any works that create the potential for inflows of sediment and nutrients into waterways (e.g. the Puhinui Creek mangrove area) and the Manukau Harbour shall omply with the Auckland Regional Council sediment control guidelines and Council requirements.	Corrections and SECUREFuture (split	ARWCF and MCF	protocols to be included in the CMP	Submitted CMP	<u> </u>
r koiwi tangata (human skeletal remains), work shall cease within a 10m radius of the discovery and the Manager – Resource Consents, the New Zealand Historic laces Trust Regional Archaeologist and the appropriate iwi authorities shall be contacted within 72 hours so that appropriate action can be taken. Idvice Note The requirement set out in Condition 39 above includes the appropriate iwi authorities and the New Zealand Historic Places Trust being given a reasonable time to ecord and recover archaeological features discovered before work may recommence there. Work should not recommence until the New Zealand Historic Places Trust as given approval for work to continue. Cological Protection O. Any works that create the potential for inflows of sediment and nutrients into waterways (e.g. the Puhinui Creek mangrove area) and the Manukau Harbour shall omply with the Auckland Regional Council sediment control guidelines and Council requirements.		AKWEF and MEF	protocols to be included in the CMP	Submitted CMP	
he requirement set out in Condition 39 above includes the appropriate iwi authorities and the New Zealand Historic Places Trust being given a reasonable time to ecord and recover archaeological features discovered before work may recommence there. Work should not recommence until the New Zealand Historic Places Trust as given approval for work to continue. cological Protection O. Any works that create the potential for inflows of sediment and nutrients into waterways (e.g. the Puhinui Creek mangrove area) and the Manukau Harbour shall omply with the Auckland Regional Council sediment control guidelines and Council requirements.			currently being prepared		Protocols outlined in NZHPT Authority at Appendix 3 of the OPW
ecord and recover archaeological features discovered before work may recommence there. Work should not recommence until the New Zealand Historic Places Trust as given approval for work to continue. cological Protection O. Any works that create the potential for inflows of sediment and nutrients into waterways (e.g. the Puhinui Creek mangrove area) and the Manukau Harbour shall omply with the Auckland Regional Council sediment control guidelines and Council requirements.					
 Any works that create the potential for inflows of sediment and nutrients into waterways (e.g. the Puhinui Creek mangrove area) and the Manukau Harbour shall omply with the Auckland Regional Council sediment control guidelines and Council requirements. 		ARWCF and MCF			
omply with the Auckland Regional Council sediment control guidelines and Council requirements.					
	Corrections and SECUREFuture (split respor	ARWCF and MCF	compliance pending: Draft consent application currently being reviewed by Council. Application to be lodged in the coming weeks	Earthworks consent	
dvice Note			TATITUDE WAY IN S.		
t the time the Notice of Requirement for the alteration for the designation for the MCF was lodged, the relevant sediment control guidelines are ARC Technical		ARWCF and MCF			
ublication 90 "Erosion & Sediment Control Guidelines for Land Disturbing Activities in the Auckland Region".					
Annioning impact you're comment. 1. (a) The Minister shall establish and coordinate a Community. Impact Forum (CIF) and appoint an independent chairperson in consultation with the Minister of	Corrections	MCF	Complies: CIF established and chair		Confirmation already submitted
Alaori Affairs and the Council on such terms and conditions as the Minister sees fit;			appointed.		to Auckland Council
b) The CIF shall include the prison management from both the ARWCF and the MCF, the Community Liaison Officer (CLO) for the Comprehensive Corrections Facilities in the site, the Council, and one representative from those of the Manurewa, Papakura, Mangere-Otahuhu, and Otara-Papatoetoe Local Boards that wish to be envolved. The Minister shall also invite, as a minimum, 1 representative from the following parties to join the membership of the CIF:	Corrections	MCF	Ongoing monitoring		
) Mana whenua representatives, being Ngati Te Ata, Te Akitai (and other mana whenua group subsequently recognised) and 1 other tangata whenua representative ppointed on the nomination of the Tangata Whenua Committee	Corrections	MCF	Ongoing monitoring		
ii) Local resident and community groups;	Corrections	MCF	Ongoing monitoring		
iii) Local business community; v) Department of Corrections including relevant service areas;	Corrections	MCF MCF	Ongoing monitoring Ongoing monitoring		+
vy Department of Conservation;	Corrections	MCF	Ongoing monitoring		+
(i) Ministry of Social Development;	Corrections	MCF	Ongoing monitoring		+
vii) Child Youth and Family Services;	Corrections	MCF	Ongoing monitoring		†
viii) Management of the Korowai Manaaki Youth Justice Facility;	Corrections	MCF	Ongoing monitoring		
x) Management of the Weymouth Northern Residential Centre;	Corrections	MCF	Ongoing monitoring		
x) Housing New Zealand;	Corrections	MCF	Ongoing monitoring		
ki) Counties Manukau District Health Board;	Corrections	MCF	Ongoing monitoring		
xii) Maori service providers to the Comprehensive Corrections Facilities	Corrections	MCF	Ongoing monitoring		
kill) Pacific Island service providers to the Comprehensive Corrections Facilities;	Corrections	MCF	Ongoing monitoring		
kiv) Te Puni Kökiri;	Corrections	MCF	Ongoing monitoring		
 other social infrastructure and service providers (both government and not for profit) that the CIF agrees as appropriate for example; local NGOs, youth epresentatives, local schools, and early childhood education centres /kindergartens; 	Corrections	MCF	Ongoing monitoring		
xvi) New Zealand Police (including representatives from Counties Manukau Police District);	Corrections	MCF	Ongoing monitoring		
xvii) Wiri Oil Services Limited;	Corrections	MCF	Ongoing monitoring	1	
If Purpose	Corrections	MCF	Ongoing monitoring		
,	Corrections	MCF			

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
(a) To provide a forum for community and stakeholder involvement through which any issues of community interest or concern can be raised and responded to in relation to the construction of the MCF and the presence and operation of the ARWCF and the MCF including any Outline Plans of Works prepared by Corrections.	Corrections	MCF	Ongoing monitoring: SecureFuture to be represented on CIF	Attendance/representation at CIF	
(b) To provide a forum for Corrections to inform the CIF and its members concerning actions taken through its relationships with service providers and government agencies to facilitate the effective provision of social infrastructure, social support and health services to the ARWCF and MCF and to seek the input of the CIF and its members on these matters.	Corrections	MCF	Ongoing monitoring		
(c) To develop, review, implement and report on a Social Impact Monitoring Plan (SIMP) that will be used by Corrections in conjunction with other agencies with relevant responsibilities to address any adverse social and cultural effects and community based service delivery and rehabilitation needs attributable to the presence and operation of the ABWCF and the MCF.	Corrections	MCF	Ongoing monitoring		
(I) To receive and consider the findings of the SIMP to allow the relevant agencies on the CIF (including Corrections) to respond as appropriate in accordance with condition 52.	Corrections	MCF	Ongoing monitoring		
(e) With reference to the SIMP, to identify and promote opportunities to provide mutual benefit for the Comprehensive Corrections Facilities and the local community (for example the provision of local goods and services and employment opportunities) and to support where relevant the achievement of the community outcomes outlined in Tomorrow's Manukau – Manukau Apopo 2006-2016 or other succeeding documents, strategies or frameworks such as Local Board plans.	Corrections	MCF	Ongoing monitoring		
(f) To provide a forum for the promotion of policy and programme integration and cross-sector collaboration at the local and regional levels, where the effects of the	Corrections	MCF	Ongoing monitoring		
(g) To consider issues relating to compliance with designation conditions;	Corrections	MCF	Ongoing monitoring		
(h) To recommend project and scheduling priorities to the Social Impact Fund Allocation Committee established under condition 55 for consideration, scheduling and funding.	Corrections	MCF	Ongoing monitoring		
CIF Operating Procedures					
43. The CIF shall be formed prior to the commencement of the Construction Work on the MCF and no later than 1 February 2012. The CIF shall have its first meeting in February 2012 following appointment of the independent social impact assessment specialist pursuant to condition 48 and circulation of the draft brief for preparation of the SIMP pursuant to condition 51(a). Meetings shall be convened once every 3 months thereafter, unless otherwise sought by the majority of its members.	Corrections	MCF	Ongoing monitoring		
44. Meetings will be held at times and locations that maximise representation and attendance.	Corrections	MCF	Ongoing monitoring		
45. The Minister will offer an honorarium to CIF members (including the independent chair appointed pursuant to condition 41(a)) for participants not members of Government Agencies to cover the reasonable expenses in attending meetings. The amount of this honorarium will be at the sole discretion of the Minister. The Minister shall also be responsible for any direct costs of running the meetings.	Corrections	MCF	Ongoing monitoring		
nominiter shall not be in breach of Condition 41 if any one or more of the parties, specified in Condition 41, either do not wish to be members of the CIF or do not attend particular meetings.	Corrections	MCF	Compliance as required		
47. The CIF shall formulate its Terms of Reference that will include:	Corrections	MCF	Complies	Terms of Reference to be submitted to Auckland Council with meeting minutes	Minutes from initial CIF meeting
(a) Defined roles and responsibilities of its members, to achieve the purposes of the CIF.	Corrections	MCF	Compliance as required		
(b) A process for reviewing membership and roles of the Minister and other groups and agencies involved in the CIF.	Corrections	MCF	Compliance as required		
(c) Procedural matters for the running and recording of meetings, including decision making and quorums for meetings.	Corrections	MCF	Compliance as required		
(d) The establishment of a working group for the purpose of managing the preparation of the SIMP required by Condition 49 and subsequent annual reviews of the SIMP.	Corrections	MCF	Compliance as required		
Social Impact Monitoring Plan (SIMP)					
48. A suitably qualified independent social impact assessment (SIA) specialist (whose appointment shall be agreed by the Council) shall be engaged by 1 January 2012 to prepare a Social Impact Monitoring Plan (SIMP).	Corrections	MCF	Complies		
49. The Purpose of the SIMP is to provide a framework to identify, assess, monitor, manage, and re-assess the social and cultural effects (positive and negative) of the ARWCF and MCF on the community, and also provide an annual report on compliance with designation conditions.	Corrections	MCF	Ongoing monitoring		
SIMP Content and Procedure 50. The SIMP will be based on best practice guidelines and procedures for social impact assessment and shall include:	Corrections	MCF	Compliance as required		
30. The sawre win de dased on least practice guidelines and protections to social migrace assessment and standing and migrace assessment, which shall be undertaken by the independent SIA specialist, to provide a baseline of potential effects.	Corrections	MCF	Compliance as required		
(b) Alignment with the community outcomes sought in Tomorrow's Manukau – Manukau Apopo 2006-2016 or other succeeding documents, strategies or frameworks	Corrections	MCF	Compliance as required		
Such as ECCER OWNER DRIVER TO THE PROPERTY OF	Corrections	MCF	Compliance as required		
Thanges in demand associated with the ARWCF and MCF on social infrastructure and social services (such as health, housing, education, police);	Corrections	MCF	Compliance as required		
3 Capacity of the social infrastructure and service providers to respond to increases in demand for social infrastructure and social services associated with the ARWCF	Corrections	MCF	Compliance as required		
3 Community views (positive and negative) associated with the ARWCF and the MCF (e.g. concerning matters such as community safety, the future of the community	Corrections	MCF	Compliance as required		
B Details of any formalised arrangements and agreements between the Minister and other government agencies in relation to providing supporting services or funding	Corrections	MCF	Compliance as required		
28 Number of prison staff living in or moving into the local area, their transport requirements and accommodation needs;	Corrections	MCF MCF	Compliance as required		
 ■ Number of prisoner families living in or moving into the local area, their transport requirements and accommodation needs; ■ Number of released prisoners living in or moving into the local area, their transport requirements and accommodation needs; 	Corrections Corrections	MCF	Compliance as required Compliance as required		
Number of released prisoners living in or moving into the local area, their transport requirements and accommodation needs, Number of visitors, their transport requirements and accommodation needs;	Corrections	MCF	Compliance as required Compliance as required		
Enumber of visions, their distribution and accommodation needs, 8 Changes in local crime statistics, including gang activity;	Corrections	MCF	Compliance as required		
B Employment and training opportunities within the local community;	Corrections	MCF	Compliance as required		
Employment and training opportunities for prisoner rehabilitation purposes;	Corrections	MCF	Compliance as required		
Opportunities for training and employment at the Comprehensive Corrections Facility(s);	Corrections	MCF	Compliance as required		
Other relevant indicators as identified and agreed to by the CIF from time to time.	Corrections	MCF	Compliance as required		
(d) An annual report on compliance with designation conditions.	Corrections	MCF	Compliance as required		
(e) An annual report on the identification, monitoring, evaluation and management of the effects outlined in the SIMP indicators, together with a summary of matters raised to with the CIF and how they have been responded to by the CIF and its members.	Corrections	MCF	Compliance as required		

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
51. The following procedures shall apply to the preparation of the initial SIMP and to subsequent annual reviews:	Corrections	MCF	Compliance as required		
(a) A draft brief to the appointed SIA specialist detailing the scope of work for preparing the initial SIMP shall be prepared by the Minister and agreed with the Council	Corrections	MCF	Complies	Minutes submitted to Auckland Council	
prior to the first meeting of the CIF and shall be circulated to the CIF's members prior to the CIF's first meeting. (b) The contents of the final brief to the independent SIA specialist shall be considered and agreed by a majority of CIF members at the first meeting of the CIF.	Corrections	MCF	Complies	Minutes submitted to Auckland Council	
(c) The initial SIMP shall be prepared by the independent SIA specialist with the participation and input of the Minister, the Tangata Whenua Committee, CIF and CLO.	Corrections	MCF	Compliance as required	Initial SIMP to be submitted to Auckland	
(d) The initial SIMP shall be prepared prior to the commencement of Construction Work on the MCF and within 6 months of the approval of the brief to the	Corrections	MCF	Compliance as required	Council 31/8/12	
independent SIA specialist (whichever is the earlier). (e) The SIMP shall be reviewed by an independent SIA specialist annually thereafter with the participation and input of the Minister, the Tangata Whenua Committee, CIE and CIO.	Corrections	MCF	Ongoing monitoring		
(f) Both the initial SIMP and subsequent annual reviews will be made publicly available through the Department of Corrections website and by any other suitable means, and shall be forwarded to the Manager – Resource Consents, the Manurewa Local Board and the CIF, and to the Manukau Library and Te Matariki Clendon	Corrections	MCF	Ongoing monitoring		
Library. Matters Arising from the SIMP					
52. Any social and cultural effects attributable to the presence and operation of the ARWCF and/or the MCF (in whole or in part) and identified through the SIMP shall	Corrections	MCF	Ongoing monitoring		
be dealt with by the Minister according to the following process:			<u> </u>		
(a) The Minister in conjunction with the Tangata Whenua Committee, CIF and the independent social impact assessment specialist will determine where responsibility lies to address any social/cultural effect identified in the SIMP (specifically, whether it is the responsibility of the Minister, other parties, or the Minister in combination	Corrections	MCF	Ongoing monitoring		
with other parties to deal with the social/cultural effect identified). (b) Where there is disagreement between the Minister and the CIF as to:	Corrections	MCF	Ongoing manitoring		
(i) whether the social and cultural effects are attributable to the ARWCF and/or the MCF (in whole or in part);	Corrections	MCF	Ongoing monitoring Ongoing monitoring		
		MCF			
(ii) the measures required to be undertaken to avoid, remedy or mitigate those effects; or (iii) whether it is the Minister's responsibility to address any issue (in whole or in part);	Corrections Corrections	MCF	Ongoing monitoring Ongoing monitoring		
an independent and appropriately qualified and experienced arbitrator, agreeable to the Council and the Minister, shall be promptly engaged at the Minister's cost to	Corrections	MCF	Ongoing monitoring Ongoing monitoring		
determine the cause of the social and cultural effects and the measures to be undertaken to avoid, remedy or mitigate the social/cultural effect identified. The independent arbitrator shall consider the findings of the SIMP, the views of the CIF members including the reasons for disagreement, and shall determine whether the effects are attributable to the ARWCF and/or MCF, and if necessary, appropriate measures required to be undertaken to avoid, remedy or mitigate the effects. The independent arbitrator shall also determine whether any matter is within the Minister's responsibility to address, in the event of any disagreement in that regard. The independent arbitrator shall, as soon as possible, issue his or her decision on the matter. In making the decision, the independent arbitrator shall be entitled to seek such further information and hose form the parties or he parties or he or the history for the parties or her parties or her think of the parties or her parties or her parties of the parties or her parti					
(c) The Minister shall take all reasonable steps to ensure that social and cultural effects identified in the SIMP as attributable to the ARWCF and/or the MCF (in whole or in part), or any effects identified in a decision by an independent arbitrator appointed pursuant to condition 52(b) above, and which are within the Minister's responsibility to address (whether in whole or in part), are appropriately avoided, remedied or mitigated as soon as practicable. To the extent that any matter is outside the responsibility of the Minister to address, he or she will request appropriate Ministers, or any other relevant party, to take such measures as are necessary to avoid remedy or mitigate the adverse effects of those matters.	Corrections	MCF	Ongoing monitoring		
(d) The Minister shall have available at least \$250,000 budgeted each year (—the social impact fund 🗈) to ensure that those social and cultural effects identified in Condition 52(c) as being attributable to the ARWCF and/or the MCF within the Minister's responsibility are appropriately avoided, remedied or mitigated.	Corrections	MCF	Ongoing monitoring		
(e) Any unused portion of the social impact fund made available in any given year pursuant to this condition shall accumulate from year to year to a maximum of \$500,000.	Corrections	MCF	Ongoing monitoring		
(f) The fund and maximum shall be CPI adjusted at 1 July each year.	Corrections	MCF	Ongoing monitoring		
Tangata Whenua Committee and Māori stakeholder consultation					
53. (a) The Minister shall establish a Tangata Whenua Committee for the purpose of consultation and advice regarding any matters of cultural concern that might arise with respect to the operation or programmes of either of the prisons on the site.	Corrections	MCF	Complies		
(b) Unless otherwise agreed, the Committee shall meet at least 3 monthly and be co-chaired by those representatives acknowledged as being mana whenua. The first meeting of the Committee shall take place no later than 6 months following the confirmation of the alteration to Designation 288 and shall be facilitated by the manager of the ARWCF.	Corrections	MCF	Complies		
(c) The membership of the Committee shall include 1 representative from each of the following:	Corrections	MCF	Complies		
(i) Ngati Te Ata;	Corrections	MCF	Complies		
(ii) Te Akitai Waiohua;	Corrections	MCF	Complies		
(iii) Te Kawerau lwi Tribal Authority;	Corrections	MCF	Complies		
(iv) Huakina Development Trust;	Corrections	MCF	Complies		
(v) Ngãi Tai Umupuia Te Waka Tōtara Trust ;	Corrections	MCF	Complies		
(vi) Ngāti Paoa Trust;	Corrections	MCF	Complies		
(vii) Ngăti Tamaoho Trust;	Corrections	MCF	Complies		
(viii) Ngāti Whātua o Ōrākei Māori Trust Board;	Corrections	MCF	Complies		
(ix) Waikato-Tainui Te Kauhanganui Incorporated.	Corrections	MCF	Complies		
(d) The Committee shall determine its own procedures and may, with the Minister's approval, invite other relevant tangata whenua to appoint representatives in addition to those named in this condition.	Corrections	MCF	Ongoing monitoring		
(e) The Minister will offer an honorarium to committee members for participants not members of Government Agencies to cover the reasonable expenses in attending meetings. The amount of this honorarium will be at the sole discretion of the Minister. The Minister shall also be responsible for the direct costs of running the meetings.	Corrections	MCF	Ongoing monitoring		
(f) The Minister shall not be in breach of this condition if any one or more of the parties specified either do not wish to be members or do not attend particular meetings.	Corrections	MCF	Ongoing monitoring		

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
54. Prior to the submission of the Outline Plan of Works, the Minister shall ensure that comments are sought from Maori stakeholders groups, including but not limited to those set out below, on the operation of the proposed MCF. The comments will inform the operation of the proposed MCF, particularly as it relates to the rehabilitation and reintegration of Maori prisoners. A report recording these comments will be provided to the Manager – Resource Consents with the Outline Plan of Works. These Maori stakeholder groups may include but are not limited to the following:	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(a) Ngati Te Ata;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(b) Te Akitai Waiohua;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(c) Te Kawerau lwi Tribal Authority;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(d) Hoani Waititi Marae Trust;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(e) Manukau Urban Māori Authority;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(f) Huakina Development Trust;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(g) Māori Women's Welfare League;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(h) National Māori PHO Coalition;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(i) Ngãi Tai Umupuia Te Waka Tōtara Trust;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(j) Ngāti Paoa Trust;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(k) Ngāti Tamaoho Trust;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(I) Ngāti Whātua o Kaipara ki te Tonga (Ltd);	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(m) Ngāti Whātua o Ōrākei Māori Trust Board;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(n) Orakei Marae;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(o) Ruapotaka Marae;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(p) Manurewa Marae;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(q) Te Wananga O Aotearoa;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(r) Tumutumu Marae Trustees Committee;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(s) Waikato Raupatu Lands Trust;	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
(t) Waipareira Trust.	Corrections	MCF	Ongoing monitoring	Report submitted to Auckland Council	Submitted 17 April 2012.
Social Impact Fund Allocation Committee ("SIFAC")					
55. The Minister shall establish a Social Impact Fund Allocation Committee whose purpose is to allocate, review and oversee the funds made available by the Minister under condition 52(d) for the purposes recommended to it from the CIF and/or the Tangata Whenua Committee.	Corrections	ARWCF and MCF	Compliance as required: works commenced on formation of SIFAC and engagement with Auckland Council		
a. The SIFAC shall be chaired by the chairperson appointed to the CIF.	Corrections	ARWCF and MCF	Compliance as required		
b. There shall be no more than 7 members of the SIFAC of whom at least 2 shall be appointed by the Minister (one of whom shall be appointed in consultation	Corrections	ARWCF and MCF	Compliance as required		
with the Minister of Maori Affairs), at least 2 shall be appointed by the Council, and up to 2 may be co-opted by the SIFAC following its establishment.	Corrections	ARWCF and MCF	Compliance as required		
c. Other than the Chair, no member may also be a member of the CIF unless that is the unanimous resolution of the SIFAC.	Corrections	ARWCF and MCF	Compliance as required		
d. The SIFAC shall determine its own proceedings but must report on its activities annually to the Minister and the Manager – Resource Consents. The SIFAC must	Corrections	ARWCF and MCF	Compliance as required		
determine a guorum for the purpose of any significant decision or recommendation. e. The Minister shall provide a secretariat to the SIFAC – who may be the Community Liaison Officer.	Corrections	ARWCF and MCF	Compliance as required	 	-
e. The winnster shan provide a Secretarian to the shrac.—Who may be the community classon Omice. If A member shall be appointed for a term of 3 years and may be reappointed at the end of any such term. A vacancy created by a member retiring or resigning for any	Corrections	ARWCF and MCF	Compliance as required		
8. The Minister will offer an honorarium to SIFAC members for participants not members of government agencies to cover the reasonable expenses in attending	Corrections	ARWCF and MCF	Compliance as required		
h. The SIFAC shall cease to exist when the fund created under condition 52(d) ceases and all allocations and reviews have been finalised.	Corrections	ARWCF and MCF	Compliance as required		
Community Liaison Officer (CLO)					
56. The Minister shall appoint an appropriately qualified Community Liaison Officer (CLO) in accordance with the following provisions:	Corrections	ARWCF and MCF	Complies		
(a) The CLO shall be appointed in consultation with the Council, and on terms and conditions agreed in consultation with the Council, by 1 December 2011.	Corrections	ARWCF and MCF	Complies		
(b) The responsibilities of the CLO shall include:	Corrections	ARWCF and MCF	Complies		
(i) providing advice to the CIF on appropriate Terms of Reference prior to its first meeting;	Corrections	ARWCF and MCF	Complies		
(ii) ongoing liaison with the independent SIA specialist;	Corrections	ARWCF and MCF	Complies		
(iii) proactively engaging with stakeholders and community, including the members of the CIF	Corrections	ARWCF and MCF	Complies		

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
(iv) assistance in the preparation of the SIMP;	Corrections	ARWCF and MCF	Complies		
(v) attendance at community meetings and forums as required to engage on issues of relevance to the MCF (including during its construction) and ARWCF; and	Corrections	ARWCF and MCF	Complies		
(vi) attendance at CIF, SIFAC and Tangata Whenua Committee meetings where invited.	Corrections	ARWCF and MCF	Complies		
(c) The CLO shall be remunerated by Corrections.	Corrections	ARWCF and MCF	Complies		
Existing ARWCF Community Liaison Group - superseded					
57. Until such time as the CIF required under Condition 41 is established, the following conditions (58-62) relating to the existing community liaison group for the ARWCF shall apply.	Corrections	ARWCF and MCF	Compliance as required		
58. The Minister shall establish and co-ordinate a community liaison group which shall comprise a minimum of one representative of each of the following parties:	Corrections	ARWCF and MCF	Compliance as required		
(a) the Council;	Corrections	ARWCF and MCF	Compliance as required		
(b) Ngati Te Ata and Te Akitai (and any other mana whenua group subsequently recognised);	Corrections	ARWCF and MCF	Compliance as required		
(c) Local residential community landowners/community;	Corrections	ARWCF and MCF	Compliance as required		
(d) Department of Corrections Management team;	Corrections	ARWCF and MCF	Compliance as required		
(e) New Zealand Police;	Corrections	ARWCF and MCF	Compliance as required		
(f) Wiri Oil Services Limited.	Corrections	ARWCF and MCF	Compliance as required		
The community liaison group will be an ongoing point of contact between Corrections and the community. The group shall be formed within four months of building	Corrections	ARWCF and MCF	Compliance as required		
construction commencing and shall have its first meeting at that time. 59. The Minister shall be responsible for convening the meetings of the community liaison group and shall cover the direct costs of running those meetings and the	Corrections	ARWCF and MCF	Compliance as required		
costs associated with any actions which are agreed to as a result of the meetings.			·		
60. The Minister shall provide an opportunity for the Community Liaison Group to meet at least twice during any 12 month period and also when otherwise sought by the majority of its members.	Corrections	ARWCF and MCF	Compliance as required		
61. The Minister shall not be in breach of Conditions 58–60 if any one or more of the named groups, specified in Condition 58, either do not wish to be members of the ARWCF Community Liaison Group or do not attend particular meetings.	Not applicable	ARWCF and MCF	Compliance as required		
62. At a minimum, matters to be considered, and recommendations made on, by the Community Liaison Group shall include the following:	Corrections	ARWCF and MCF	Compliance as required		
(a) Any strategy to be developed by the Minister to ensure that opportunities are provided to the local community for employment associated with the construction and operation of the ARWCF.	Corrections	ARWCF and MCF	Compliance as required		
(b) A notification network and community response guidelines in the event of an escape from the ARWCF facilities, as well as a point of contact of the facilities for members of the community to call if any issues arise.	Corrections	ARWCF and MCF	Compliance as required		
Emergency Planning					
63. An upgraded emergency management plan (—EMP) for the ARWCF and the proposed MCF, incorporating evacuation management, shall be developed in consultation with Wiri Oil Services Limited and New Zealand Transport Agency and be submitted to the Council, for the approval of the Council Civil Defence Controller, in conjunction with the Chief Fire Officer Manukau, and the District Commander Counties-Manukau Police. The EMP shall include 24 hour contact details for the facilities in the event of an emergency.	Corrections	ARWCF	Complies	EMP submitted to Auckland Council	
64. The upgraded EMP shall be prepared in two stages. The first stage shall be the upgraded EMP for the ARWCF and shall be submitted to the Council (Civil Defence Controller) within three (3) months of the alteration to the designation being confirmed. The plan shall be developed to particularly address the potential for a vapour cloud explosion from the Wiri Oil terminal. It will include identification of —safe areas to which people can be evacuated in the event of such an emergency, which may include areas within or outside of the ARWCF secure perimeter (including if required within the non-secure perimeter area of the MCF).	Corrections	ARWCF	Complies	EMP submitted to Auckland Council	
65. Any safe areas identified in the EMP as being outside of the ARWCF and necessary for the emergency evacuation of women prisoners, shall be identified on the Outline Plan of Works for the MCF and be reserved during both construction and operation of the MCF (provided that, during construction, such areas may be moved within the site, provided sufficient area and safe access from the ARWCF is maintained at all times).	Corrections	ARWCF	Complies: no safe areas proposed within the MCF for women prisoners, therefore no requirement to identify these areas within this DDW	Confirmation of OPW	Refer to Section 11.3 of the OPW; ARWCF Emergency Management Plan
66. The upgraded EMP for the ARWCF shall incorporate the findings of a structural assessment of all existing buildings at ARWCF in relation to the 0.5 x 10-6 risk contour for a vapour cloud explosion for the future growth scenario as modelled in the Sherpa Report (footnote 1) from the Wiri Oil terminal. The structural assessment shall be undertaken by a suitably qualified engineer as soon as practicable and shall identify the safe buildings at ARWCF within or to which people can be evaruated in the event of an imminent risk of vapour cloud explosion from the Wiri Oil terminal.	Corrections	ARWCF	Complies	EMP submitted to Auckland Council	
Footnote 1 Quantitative Risk Assessment Report (Stage 1) Wiri Oil Terminal Proposed Men's Prison Development, NZ Department of Corrections, Sherpa Consulting,					
October 2010 67. The plan will also include procedures by which the total and overnight accommodated population numbers on site are managed, recorded and reported to ensure	Corrections	ARWCF	Compliance as required	Final information submitted to	
compliance with the thresholds stated in condition 112. 68. The second stage shall be the upgraded EMP for the MCF and shall be submitted to the Council (Civil Defence Controller) prior to the occupation of the MCF.	SECUREFuture	ARWCF	Ongoing monitoring	Auckland Council Final EMP for both sites submitted to Auckland Council prior to occupation	
Wastewater Drainage					
69. Adequate provisions shall be made for the disposal of wastewater. This shall involve the extension of the existing public systems from an adequate system to and	Corrections and SECUREFuture (split	ARWCF and MCF	Complaince pending: Site-wide civil building	Approval documentation and building	Site-wide civil building consent
within the site to provide each building with individual connection points and provision for the upstream catchment(s) in accordance with the Engineering Performance Standards of the District Plan. Engineering plans shall be submitted to Watercare Services and shall be certified as approved prior to the commencement	responsibility own sites)		consent application has been lodged.	consent	application
of Construction Work on site. Engineering proposal.	1				1
Water Supply					
70. Adequate provision shall be made for the supply of water. This shall include the extension of the existing public system to provide buildings with connection points and provision for surrounding district in accordance with Council's Engineering Performance Standards of the District Plan. Engineering plans shall be submitted to Watercare Services and shall be certified as approved prior to the commencement of Construction Work on site.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complaince pending: Site-wide civil building consent application has been lodged.	Approval documentation and building consent	Site-wide civil building consent application
Water Quality Pond Management	1				1
71. The Minister shall provide Manager – Resource Consents with a copy of the Stormwater Quality Pond Management Operation and Maintenance Plan (that shall	Corrections and SECUREFuture (split	ARWCF and MCF	Complaince as required: No changes are		
include but not be limited to the following):	responsibility own sites)		proposed to the stormwater ponds.		

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
(a) Outfall structure maintenance of Pond No's 3 and 5.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(b) Post-storm event maintenance procedure.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(c) The frequency of regular maintenance and inspections.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(d) General inspection checklists for all aspects of the stormwater management systems.	Corrections and SECUREFuture (split	ARWCF and MCF	Complaince as required: No changes are		
72. The Minister shall provide Manager – Resource Consents with a copy of the as-built plans (that shall include but not be limited to the following):	responsibility own sites) Corrections except to the extent that the Contractor's design alters the existing as-	MCF	proposed to the stormwater ponds. Complaince as required: No changes are proposed to the stormwater ponds.		
(a) as-built plans of the stormwater management system shall be submitted to the Manager – Resource Consents within thirty days (30) after completion of the stormwater management system;	Corrections except to the extent that the Contractor's design alters the existing as- built plans	MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(b) the surveyed locations and elevations of all stormwater structures, which shall be measured to the nearest 0.1 metre with co-ordinates expressed in terms of the New Zealand Mapping Grid and DOSLI datum;	Corrections except to the extent that the Contractor's design alters the existing as- built plans	MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(c) stormwater management device details including locations, dimensions, volumes, flood levels, sections, treatment efficiencies, inlet, discharge rates and outlet structures'	Contractor's design alters the existing as- built plans	MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(d) elevations of all inflow and outflow structures;	Corrections except to the extent that the Contractor's design alters the existing as- built plans	MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(e) all flowpath dimensions including emergency flowpaths and the relationship to the Annual Exceedence Probability; and	Corrections except to the extent that the Contractor's design alters the existing as- built plans	MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
(f) documentation of any discrepancies between the approved plans and the 'as-built' plans.	Corrections except to the extent that the Contractor's design alters the existing as- built plans	MCF	Complaince as required: No changes are proposed to the stormwater ponds.		
273. All land modification works shall be undertaken in such a manner as to ensure that beyond the boundary of the site there shall be no 'dust' or 'soil erosion/siltation', which in the opinion of the Manager – Resource Consents, is objectionable, offensive or has the potential to create an adverse effect on the receiving environment.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complaince as required: Draft earthworks consent application submitted to Council for review. Wetland reclamation methodology, draininge information and E&SC procedures to be submitted for approval in the coming week.		Draft consent application
74. If considered necessary by the Manager – Resource Consents, control measures consisting of an all-weather construction entrance will be installed. Such control measures will consist of a stabilised pad of aggregate on a filter cloth base at the construction site entrance/exit to ensure that any vehicles leaving the site do not deposit soil and other debris on public roads. Any such material deposited on any public road shall be cleaned up immediately at the Minister of Correction's expense. Any major movement of excavated material from the site may require the installation of a wheel wash for trucks at the construction site entrance.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Compliance pending: These controls will be detailed in the CMP (currently in progress) and will be submitted to Council before construction work commences on MCF.	Construction Management Plan	
75. The Minister shall ensure that the land within the site and the land on adjoining properties shall remain stable at all times with respect to the approved on-site excavation works.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Compliance Pending: Draft earthworks consent application submitted to Council for review.	Granting of consent	Draft consent application
76. Adequate provision shall be made during the earthworks construction for the protection and/or relocation of all existing public drains within the site. Any damage to public drains that may occur during the development shall be the Minister's responsibility.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Complaince ending: Draft earthworks consent application submitted to Council for review.	Granting of consent	Draft consent application
Network Utility Services 77. Power and telephone services shall be installed underground to provide service connections to the correctional facility and shall be located entirely within the boundaries of the site.	Corrections and SECUREFuture (split responsibility own sites)	ARWCF and MCF	Compliance ending: Site-wide civil building consent application has been lodged with Council.	Building consent	Site-wide civil building consent application
Maximum Prisoner Accommodation					
78. Prisoner accommodation within the MCF shall be limited to that required for the management of 1060 prisoners.	Corrections	MCF	Complies: OPW states that maximum capacity will be 960.	Confirmation of OPW	Refer to Section 4.2 of the OPW
79. Prisoner accommodation within the ARWCF shall be limited to that required for the management of 480 prisoners. This condition is subject to conditions 112 and 113.	Corrections	ARWCF	Ongoing monitoring		
In addition to the other conditions above, the following conditions (80 – 107 and 115 – 121 and 123 - 124) shall only apply to the MCF.	Corrections	MCF	Compliance as required		
Security Level at the MCF 80. There shall be no maximum security prisoner accommodation at the MCF.	Corrections	MCF	Complies: No maximum security prisoners are proposed at the MCF.	Confirmation of OPW	Refer to OPW
Development Controls			are proposed at the MCF.		
	SECUREFuture	MCF	Complies: Buildings have been deisgned to	Confirmation of OPW; Building	Refer to Section 6.1, Appendix 5
12 May 2011): (a) Area 1: RL 24.5 metres or four storeys, whichever is the lower.	SECUREFuture	MCF	comply with prescribed height limits Complies: Buildings have been deisgned to comply with prescribed height limits	consent	and 7 and of the OPW Refer to Section 6.1, Appendix 5 and 7 and of the OPW
(b) Area 2: RL 19.5 metres.	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed height limits		Refer to Section 6.1, Appendix 5 and 7 and of the OPW

Conditions	Responsibility		Status of Compliance	Means of Demonstrating Compliance	Information Reference
(RL above DOSLI datum 1946).	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed height limits		Refer to Section 6.1, Appendix 5 and 7 and of the OPW
Exemptions from this condition are as follows:	SECUREFuture	MCF	Complies: Buildings have been deisgned to		Refer to Section 6.1, Appendix 5
(i) Area 1:	SECUREFuture	MCF	comply with prescribed height limits Complies: Buildings have been deisgned to		and 7 and of the OPW Refer to Section 6.1, Appendix 5
Sloping roofs (limited to either gable or hip) and rooftop projections, including lift rooms and plant not exceeding 3 metres above the height limit in condition 81(a)	SECUREFuture	MCF	comply with prescribed height limits Complies: Buildings have been deisgned to		and 7 and of the OPW Refer to Section 6.1, Appendix 5
above.		1105	comply with prescribed height limits		and 7 and of the OPW
Lighting, security and communication devices, including poles for lighting and surveillance equipment not exceeding 6 metres above the height limits in condition 81(a) above.	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed height limits		Refer to Section 6.1, Appendix 5 and 7 and of the OPW
(ii) Area 2:	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed height limits		Refer to Section 6.1, Appendix 5 and 7 and of the OPW
Sloping roofs (limited to either gable or hip) and rooftop projections, including lift rooms and plant not exceeding 2 metres above the height limits in condition 81(b)	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed height limits		Refer to Section 6.1, Appendix 5 and 7 and of the OPW
Lighting, security and communication devices, including poles for lighting and surveillance equipment not exceeding 2 metres above the height limits in condition 81(b)	SECUREFuture	MCF	Complies: Buildings have been deisgned to		Refer to Section 6.1, Appendix 5
above. 82. The external face of the secure perimeter wall or fence shall not exceed an overall height of 6 metres above finished ground level, provided that the maximum	SECUREFuture	MCF	comply with prescribed height limits Complies: secure perimeter has been	Building consent	and 7 and of the OPW Refer to Section 6.1, Appendix 5
height of the wall or fence shall not exceed RL 27.5 metres in Area 1 and RL 21.5 metres in Area 2 as shown on the Development Plan (Figure 1, Revision B, prepared by Boffa Miskell, dated 12 May 2011). The exterior face of the secure perimeter shall be no closer than 13.5 metres to the external boundaries of the site.			designed to comply with the prescribed height limits		and 7 and of the OPW
For the purposes of this condition finished ground level' shall be measured at the exterior side of the secure perimeter wall or fence.	SECUREFuture	MCF	Complies: secure perimeter has been designed to comply with the prescribed height limits		Refer to Section 6.1, Appendix 5 and 7 and of the OPW
83. Site coverage shall be no greater than 32% of Area 1 and 20% of Area 2 as shown on the Development Plan (Figure 1, Revision B, prepared by Boffa Miskell, dated 4 April 2011):	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed site coverage limits	Submission of updated Master Plan	Refer to Appendix 7 and of the OPW
For the purposes of this condition the area used to calculate site coverage' means that portion of Areas 1 and 2 shown on the Development Plan (Figure 1, Revision B, prepared by Boffa Miskell, dated 12 May 2011) covered by buildings. Included in the term —buildings for the purpose of this definition are accessory buildings, and those parts of the site covered by overhanging buildings, but not fences or walls, eaves, pergolas, slatted open decks, or similar structures of a substantially open nature.	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed site coverage limits		Refer to Appendix 7 and of the OPW
84. The Gross Floor Area (—GFA) for all buildings within Areas 1 and 2, as shown on the development plan (Figure 1, Revision B, prepared by Boffa Miskell, dated 12 May 2011), shall not exceed a total of 75,000m2.	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits	Confirmation of OPW; Building consent	Refer to Appendix 7 and of the OPW
For the purposes of this condition GFA' means the following:	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the
GFA is the sum of the gross area of the several floors of all buildings on a site, measured from the exterior faces of the exterior walls, or from the centre lines of walls separating two buildings or, in the absence of walls, from the exterior edge of the floor.	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
Except as otherwise provided, where floor to floor vertical distance exceeds 6m, the GFA of the building or part of the building so affected shall be taken as the volume of that space in cubic metres divided by 3.6.	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
In particular, GFA includes:	SECUREFuture	MCF	Complies: Buildings have been deisgned to		Refer to Appendix 7 and of the OPW
(a) basement space except as specifically excluded by this definition;	SECUREFuture	MCF	comply with prescribed GFA limits Complies: Buildings have been deisgned to		Refer to Appendix 7 and of the
(b) elevator shafts, stainwells and lobbies at each floor unless specifically excluded by this definition;	SECUREFuture	MCF	comply with prescribed GFA limits Complies: Buildings have been deisgned to		OPW Refer to Appendix 7 and of the
(c) interior roof space providing headroom of 2.4m or more whether or not a floor has been laid;	SECUREFuture	MCF	comply with prescribed GFA limits Complies: Buildings have been deisgned to		OPW Refer to Appendix 7 and of the
			comply with prescribed GFA limits		OPW
(d) floor spaces in interior balconies and mezzanines;	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the
(e) floor space in terraces (open or roofed), external balconies, breezeways, porches if more than 50% of the perimeter of these spaces is enclosed, except that a	SECUREFuture	MCF	Complies: Buildings have been deisgned to		Refer to Appendix 7 and of the
parapet not higher than 1.2m or a railing not less than 50% open and not higher than 1.4m shall not constitute an enclosure; (f) all other floor space not specifically excluded.	SECUREFuture	MCF	comply with prescribed GFA limits Complies: Buildings have been deisgned to		OPW Refer to Appendix 7 and of the
The GFA of a building shall not include:	SECUREFuture	MCF	comply with prescribed GFA limits Complies: Buildings have been deisgned to		OPW Refer to Appendix 7 and of the
			comply with prescribed GFA limits		OPW
uncovered steps;	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
interior roof space having less than 2.4m headroom;	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
floor space in terraces (open or roofed), external balconies, breezeways or porches. (A —breezeway is a roofed outdoor area). Provided that not more than 50% of the perimeter of these spaces is enclosed and provided that a parapet not higher than 1.2m or a railing not less than 50% open and not higher than 1.4m, shall not	SECUREFuture	MCF	Comply with prescribed GFA limits Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
constitute an enclosure: Pedestrian circulation space;	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
space for stairs, escalators and elevators servicing a floor or that part of a floor used only for car parking or loading;	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
required off-street parking and/or loading spaces;	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
car parking in basement space (including manoeuvring areas, access aisles and access ramps).	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
Non-habitable floor space in approved structures.	SECUREFuture	MCF	Complies: Buildings have been deisgned to comply with prescribed GFA limits		Refer to Appendix 7 and of the OPW
85. The sum total of all buildings within the MCF secure facilities area identified on the Development Plan for the MCF (Figure 1, Revision A, prepared by Boffa Miskell, dated 12 May 2011) shall be designed to accommodate the requirement for the management of a maximum of 1060 prisoners.	SECUREFuture	MCF	Complies: The facility has been designed to cater to a maximum of 960 prisoners	Confirmation of OPW	Refer to Appendix 7 and of the OPW
Traffic 86. (a) The principal operational access to the MCF (being the access for staff, service providers and visitors) shall be from either Hautu Drive or Kiwi Tamaki Road.	SECUREFuture	MCF	Complies: the design shows the principal operational access from Kiwi Tamaki Road	Confirmation of OPW	Refer to Section 9 and Master Plan Appendix 7 of the OPW,
(b) Except as provided for by Condition 87 below, should Hautu Drive be the road that services the principal operational access for the MCF, the following mitigation works shall be undertaken by the Minister or their nominee prior to the occupation of the MCF, and operational limits maintained during its operation:	SECUREFuture	MCF	Compliance as required		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
(i) Works on the Hautu Drive/Roscommon Road intersection as follows:	SECUREFuture	MCF	Compliance as required		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
Increase the right-turn bay out of Hautu Drive to a minimum length of 50 metres; and	SECUREFuture	MCF	Compliance as required		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
Increase the right-turn bay on Roscommon Road into Hautu Drive to a minimum length of 100 metres.	SECUREFuture	MCF	Compliance as required		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
(ii) Other operational controls as follows:	SECUREFuture	MCF	Compliance as required		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays.	SECUREFuture	MCF	Compliance as required		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
Custodial shift change-overs shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm.	SECUREFuture	MCF	Compliance as required		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
(c) Except as provided for by Condition 87 below, should Kiwi Tamaki Road be the road that services the principal operational access for the MCF then the following mitigation works shall be undertaken by the Minister or their nominee prior to the occupation of the MCF, and operational limits maintained during its operation:	SECUREFuture	MCF	Complaince pending: application for land use consent to signalise intersection is being prepared so that intersection works can be completed early in the construction phase.	Land use consent	Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
(i) Works on the Kiwi Tamaki Road /Roscommon Road/Bolderwood Place intersection as follows:	SECUREFuture	MCF	Complaince pending: application for land use consent to signalise intersection is being prepared so that intersection works can be completed early in the construction phase.		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
signalisation of the Kiwi Tamaki Road /Roscommon Road/ Bolderwood Place intersection;	SECUREFuture	MCF	Complaince pending: application for land use consent to signalise intersection is being prepared so that intersection works can be completed early in the construction phase.		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
increase the right turn bay on Roscommon Road into Kiwi Tamaki to a minimum length of 100 metres; and	SECUREFuture	MCF	Complaince pending: application for land use consent to signalise intersection is being prepared so that intersection works can be completed early in the construction phase.		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
provide a right turn bay out of Kiwi Tamaki Road to a minimum length of 50 metres.	SECUREFuture	MCF	Complaince pending: application for land use consent to signalise intersection is being prepared so that intersection works can be completed early in the construction phase.		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
(ii) Other operational controls as follows:	SECUREFuture	MCF	Compliance as required: TIA confirms no operational cotrols necessary if intersection is signalised.		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not start or finish during the periods 6.30am - 9.30am or between 4.00pm and 6.30pm on weekdays. ■ Public visiting hours shall not sha	SECUREFuture	MCF	Compliance as required: TIA confirms no operational cotrols necessary if intersection is signalised.		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.
□ Custodial shift change-overs shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm □ Custodial shift change-overs shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm □ Custodial shift change-overs shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm □ Custodial shift change-overs shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm □ Custodial shift change-overs shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm □ Custodial shift change-overs shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm □ Custodial shift change over shall not occur within the period between 6.30am – 9.30am and 4.00pm – 6.30pm □ Custodial shift change over	SECUREFuture	MCF	Compliance as required: TIA confirms no operational cotrols necessary if intersection is signalised.		Refer to Condition 87. TIA attached at Appendix 15 of the OPW.

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
87. A traffic impact assessment (—TIA) of the potential traffic effects of the MCF operation on the Hautu Drive/Roscommon Road or Kiwi Tamaki Road/Roscommon Road intersection shall be undertaken by a qualified traffic engineer and submitted to the Council with the Outline Plan of Works. The TIA shall include consultation with the New Zealand Transport Agency and Auckland Transport. The assessment shall model the traffic effects of the MCF on the intersection, taking into account the operational characteristics of the prison, including staff numbers, shift patterns, and visitor hours to determine whether the mitigation works and/or operational controls imposed by Condition 86 are required. In the event that the TIA determines the intersection performance can be maintained to a level of service acceptable to the Council and Auckland Transport, without some or all of the mitigation works or operational limits et out in Condition 86, then only such mitigation works or operational controls as are necessary to maintain a level of service acceptable to the Council and Auckland Transport are required.	SECUREFuture	MCF	Complies: Operational TIA Complies and determines that intersection signalisation will be sufficient to maintain appropriate levels of service. Complaince pending: application for land use consent to signalise intersection is being prepared so that intersection works can be Compliesd early in the construction phase.	Confirmation of OPW; Land use consent	·
88. A TIA of the potential construction traffic effects of the MCF on the Hautu Drive/Roscommon Road, Kiwi Tamaki Road/ Roscommon Road/ Bolderwood Place and/or McLaughlins Road (Vogler Drive)/Roscommon Road intersection shall be undertaken (whichever is used for construction traffic) by a qualified traffic engineer and submitted to the Council with the Outline Plan of Works. The TIA shall include consultation with the New Zealand Transport Agency and Auckland Transport, and shall determine the traffic effects of the construction of the MCF on the intersection(s), taking into account the construction duration, methodology, earthwork requirements and construction traffic access. In the event that the TIA determines the intersection performance cannot be maintained to a level of service acceptable to the Council and Auckland Transport, then such temporary works as are necessary shall be undertaken and maintained for the duration of construction to ensure an appropriate level of service.	SECUREFuture	MCF	Complies: Construction TIA complete and determines that intersection signalisation will be sufficient to maintain appropriate levels of service. Complaince pending: application for land use consent to signalise intersection is being prepared so that intersection works can be completed early in the construction phase.	Confirmation of OPW; Land use consent	Refer to Appendix 15 of the OPW
Post operation monitoring condition	SEQUIPES .	* * * * * * * * * * * * * * * * * * * *			
39. (a) A traffic assessment survey of the actual traffic effects of the operation of the MCF on either Hautu Drive/Roscommon Road or the Kiwi Tamaki Road/Roscommon Road/Bolderwood Place intersection (depending on which one is used as the principal operational access) shall be undertaken by an independent and qualified traffic engineer on an annual basis commencing one year after the occupation of the MCF until such time as the MCF is fully occupied, or five years have elassed since the initial occupation of the MCF. whichever occurs first.	SECUREFuture	MCF	Yet to action	Report and survey submitted to Auckland Council	
(b) The traffic assessment survey shall be submitted to Manager – Resource Consents and Auckland Transport for review within 2 months of a survey under the above condition	SECUREFuture	MCF	Yet to action		
(c) The assessment should consider weekday and weekend peak trip generation, intersection Level of Service and queuing at the relevant intersection resulting from the operation of the MCF.	SECUREFuture	MCF	Yet to action		
(d) In the event that the traffic assessment survey determines either that:	SECUREFuture	MCF	Yet to action		
(i) the observed queuing into or out of the principal operational access exceeds the queue storage for these movements; or	SECUREFuture	MCF	Yet to action		
(ii) the traffic assessment survey determines that the existing level of service for the Roscommon Road through movements at the relevant intersection is —C (Ausroad standards) or better (excluding traffic attributable to the men's prison) at the time of the survey, and as a result of traffic attributable to the men's prison the level of service for Roscommon Road through movements at the intersection are below the accepted limit of level of service —C (Ausroad standards). then additional mitigation works within the legal road will be required to produce a level of service —C (Ausroads standards) on Roscommon Road through the intersection.	SECUREFuture	MCF	Yet to action		
(e) Where the traffic assessment survey determines that the existing Level of Service for the Roscommon Road through movements at the intersection (excluding traffic attributable to the MCF) is below Level of Service — C at the time of survey (i.e. either Level of Service—D or —E), then additional mitigation works within the legal road will only be required to maintain the existing Level of Service on Roscommon Road through the intersection.	SECUREFuture	MCF	Yet to action		
(f) Any additional mitigation works required by this condition shall be detailed in a mitigation plan which accompanies the traffic assessment survey referred to in this condition. The mitigation plan shall be provided to Manager – Resource Consents and Auckland Transport for approval together with the traffic assessment survey. The approved additional mitigation works shall be undertaken by the Minister or their nominee within 12 months of the approval by Manager – Resource Consents and Auckland Transport of the mitigation plan.	SECUREFuture	MCF	Yet to action		
90. Any of the mitigation works required under Conditions 7 and 86-89 shall be undertaken by the Minister or their nominee at their cost.	SECUREFuture	MCF	Compliance as required	Confirmation of OPW; Land use consent	
Travel Demand Management					
91. The Minister or their nominee shall submit a framework Travel Demand Management Plan (—TDMP) with the Outline Plan of Works for the MCF, for the purposes of encouraging increased use of public transport and active modes (such as walking and cycling) and ride share schemes as a means of travel to the site. The TDMP plan shall be prepared to the satisfaction of the authorised representative of Auckland Transport and shall address, but not be restricted to the following:	SECUREFuture	MCF	Complies: TDM confirmed as part of OPW following consultation with Auckland Transport	Confirmation of OPW	Refer to Appendix 15 of the OPW
(a) working with Auckland Transport to promote the aims outline above;	SECUREFuture	MCF	Complies: TDM confirmed as part of OPW following consultation with Auckland Transport		Refer to Appendix 15 of the OPW
(b) promotion of safe and sustainable travel for all users of the prison facility;	SECUREFuture	MCF	Complies: TDM confirmed as part of OPW following consultation with Auckland		Refer to Appendix 15 of the OPW
(c) monitoring, review and amendment as appropriate of the facilities for active modes, public transport and ride share schemes; and	SECUREFuture	MCF	Complies: TDM confirmed as part of OPW following consultation with Auckland		Refer to Appendix 15 of the OPW
(d) how active modes, public transport and ride share will be encouraged and promoted.	SECUREFuture	MCF	Complies: TDM confirmed as part of OPW following consultation with Auckland Transport		Refer to Appendix 15 of the OPW
The effectiveness of the TDMP shall be reviewed annually by the Minister or their nominee. The results of the review, including any new measures to encourage increased use of public transport and active modes, shall be reported within 2 months of the review to Auckland Transport.	SECUREFuture	MCF	Compliance as required		
Parking and Cycle Facilities					

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
92. The parking required for the MCF under condition 7 shall include the allocation of at least 20 parking spaces for multi-occupancy vehicles and be located as close as practicable to the staff entrance. The use of these parking spaces shall be monitored, reviewed and supply adjusted as part of the Travel Demand Management Plan. Provision shall also be made for at least 10 covered and secured cycle stands for staff and 5 cycles stands for visitors, and a minimum of 2 (if not already provided) showers/changing rooms within the staff facilities.	SECUREFuture	MCF	Complies: facility has been designed to comply with the designation conditions	Confirmation of OPW and engineering drawings	Refer to Appendix 15 of the OPW
Kiwi Tamaki Road					
93. All reasonable steps shall be undertaken by the Minister to secure appropriate access arrangements to and from the MCF over the adjoining property to Kiwi Tamaki Road. In the event that such access is secured it shall serve as the principal access for the MCF and Hautu Drive shall only be used for emergency purposes, but Hautu Drive will continue to be the principal access to the ARWCF. In the event, however, that access from Kiwi Tamaki Drive cannot be secured, Hautu Drive will be the principal access for the MCF.	Corrections (Department responsible for securing appropriate access arrangements. Contractor responsible for forming the access and using it as per the designation condition and related requirements of the Agreement	MCF	Complaince pending: titles obtained, access yet to be formed	Final Code of Compliance signoff	
Lighting 94. All external lighting shall be designed by an appropriately qualified illumination engineer to comply with Australian Standard AS4282, and the final external lighting design plan shall be submitted to the Manager – Resource Consents for approval prior to the commencement of Construction Work in relation to the MCF.	SECUREFuture	MCF	Compliance pending: Lighting design plans submitted to Council for approval		Refer to Appendix 16 of the OPW
Noise					
95. The noise levels from activities within the MCF measured at the following receiving locations shall not exceed: Receiving Location Average Maximum Level dBLAeq Maximum dBL Amax 7am - 10pm At the boundary of any residential zone, at the boundary of Child Youth and Family Services' Korowai Manaaki Youth Justice Residence and at the inner security area of the ARWCF 50 40 65	SECUREFuture	MCF	Ongoing monitoring: likely noise levels and methods for achieving compliance are shown in the Environmental Noise Assessment submitted with the OPW.	Confirmation of OPW; monitoring results at operation	Refer to Section 11.5 and Appendix 17 of the OPW
A that blook blook A that blook blook B A that blook blook A that blook blook A that blook blook A that blook blook B A that blook B A that blook B A that blook B B B B B B B B B B B B B B B B B B B	SECUREFuture	MCF	Amended: A s181 application to alter Condition 96 has subsequently been amended. Complies: House blocks and residences are designed to comply with this condition	Confirmation of OPW; building consent; monitoring results at operation	Refer to Section 11.5 and Appendix 17 of the OPW
97. Noise levels shall be measured and assessed in accordance with the requirements of New Zealand Standard NZS 6801:2008 —Acoustics - Measurement of Environmental Sound and New Zealand Standard NZS 6802:2008 —Acoustics - Environmental Noise.	SECUREFuture	MCF	Complies: relevant standards have been referenced in the Environmental Noise Assessment submitted with the OPWsubmitted with the OPW. Ongoing: monitoring to be undertaken during	Confirmation of OPW; monitoring results at operation	Refer to Section 11.5 and Appendix 17 of the OPW
98. Construction noise shall not exceed the limits specified in and shall be measured in accordance with New Zealand Standard NZS 6803:1999 — Acoustics – Construction Noise.	SECUREFuture	MCF	Complies: relevant standards have been referenced in the Environmental Noise Assessment submitted with the OPWs. Ongoing: monitoring to be undertaken during	Confirmation of OPW; monitoring results at operation	Refer to Section 11.5 and Appendix 17 of the OPW
99. Construction vibration shall not exceed the limits specified in Table 3 of the German standard DIN 4150-3:1999 — Structural Vibration — Effects of Vibration on Structures and shall be measured in accordance with these standards.	SECUREFuture	MCF	Complies: relevant standards have been referenced in the Environmental Noise Assessment submitted with the OPWsubmitted with the OPWsubmitted with the options of the option of the opti	Confirmation of OPW; monitoring results at operation	Refer to Section 11.5 and Appendix 17 of the OPW
100. A Construction Noise and Vibration Management Plan showing how construction activities will comply with New Zealand Standard NZ5 6803:1999 —Acoustics — Construction Noise and German Standard DIN 4150-3:1999 —Structural Vibration — Effects of Vibration on Structures shall be prepared and submitted for the approval of the Manager — Resource Consents prior to the commencement of Construction Work in relation to the MCF.	SECUREFuture	MCF	Compliance pending: CNVMP documentation submitted to Council, awaiting approval	Approval documentation	Refer to Section 11.5 and Appendix 17 of the OPW
Screening					
101. Buildings shall be designed to ensure that there are no direct views between prisoner accommodation and the Children Youth and Family Korowai Manaaki Residential Facility at 24 Kiwi Tamaki Road (Pt Lot 1 DP 177225).	SECUREFuture	MCF	Complies: buildings and structures have been designed and located to ensure visual separation between prisoner accommodation at the MCF and the CYF Korowai Manaaki facility	Submission of relevant information	Refer to Master Plan and Appendix 7 of the OPW
102. Buildings shall be designed and/or visual barriers used to ensure that prisoners within the ARWCF are not visible to prisoners within the MCF, and to ensure that prisoners within the MCF are not visible to prisoners within the ARWCF.	SECUREFuture	MCF	Complies: buildings and structures have been designed and located to ensure visual separation between the MCF and ARWCF.	Submission of relevant information	Refer to Master Plan and Appendix 7 of the OPW
Contamination					

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
103. Prior to the commencement of Construction Work on the MCF site, a Contaminated Land Management Plan (—CLMP) shall be prepared by a suitably experienced person and submitted to the Manager – Resource Consents for approval. The CLMP shall make reference to the site investigations undertaken, and provide procedures and methods for the management (i.e. treatment and/or removal) of any contaminated soils or water on the site, during and post construction.	SECUREFuture	MCF	Complies: CLMP has been reviewed by Council and is approved, pending minor amendments.	Approval documentation	
Community Safety Management Plan (CSMP)					
104. Prior to occupation of the MCF, the Minister shall provide to the Council a Community Safety Management Plan (—CSMP) that includes the following matters:	SECUREFuture	MCF	Yet to action: CSMP will be submitted to		
(a) Response to a prison escape	SECUREFuture	MCF	Yet to action: CSMP will be submitted to Council before occupation.		
The CSMP shall set out procedures to be followed in the event of an escape and a notification procedure for neighbours and the surrounding community.	SECUREFuture	MCF	Yet to action: CSMP will be submitted to Council before occupation.		
(b) Visitor management	SECUREFuture	MCF	Yet to action: CSMP will be submitted to Council before occupation.		
The CSMP shall set out procedures to be followed to manage visitors' behaviour on site. This shall specify practices such as visits by appointment only and subject to	SECUREFuture	MCF	Yet to action: CSMP will be submitted to		
approval from the site manager, requirements for identification to be presented, police checks and spot checks of visitors' cars for drugs and other contraband.			Council before occupation.		
Visitor ablution facilities shall be provided on-site.	SECUREFuture	MCF	Yet to action: CSMP will be submitted to Council before occupation.		
Name, signage and visibility					
105. The name of the MCF must not draw any association with any local feature or place name.	Corrections	MCF	Compliance as required no permanent name has yet been chosen for the facility.	Information submitted to Auckland Council when confirmed.	
106. All signage relating to the prison shall be located within the MCF site and kept to a practicable minimum size and number	SECUREFuture	MCF	Compliance as required		
107. Where practicable, marked prison vehicles shall not use residential streets.	SECUREFuture	MCF	Compliance as required		
Quantitative Risk Assessment and Mitigation					
108. The Minister shall meet, at least annually, with Wiri Oil Services Limited to discuss any relevant compliance issues arising, information exchange or revisions that may be required to the deed between the Department of Corrections and Wiri Oil Services Limited dated 7 March 2011. That deed addresses the management and mitigation of any effects arising from the potential risk of vapour cloud explosion on the prison site or reverse sensitivity effects on WOSL arising from AWRCF activities, including the requirement for further risk assessment should either party be contemplating any material change to the factors modelled in the Sherpa Report referred to in condition [66]. The results of this consultation shall be reported to the Manager – Resource Consents as soon as practicable.	Corrections	ARWCF	Compliance as required: Meeting occurred 14/08/2012	Minutes submitted to Auckland Council.	
109. The Minister shall facilitate the installation at the Wiri Oil Services Ltd Terminal of an early warning detection system as soon as practicable and no later than 31 December 2013, in accordance with the agreement set out in the deed between the Department of Corrections and Wiri Oil Services Limited (WOSL) dated 7 March 2011. The system will provide for the detection of overfill or other loss of containment events at the WOSL site and reduction in the amount of flammable vapour released. A report by a suitably qualified expert setting out the outcomes of an investigation into options for an early warning detection system and a recommendation as to the preferred option shall be provided by the Minister to the Manager – Resource Consents within 6 months of the confirmation of the	Corrections	ARWCF	Complies	Report submitted to Auckland Council	
10. Within 3 months following installation of the early warning detection system or, in the event that no such system is completed or installed, by 31 December 2013, the Minister shall provide a Quantitative Risk Assessment (QRA) to WOSL and the Manager – Resource Consents. The Minister, Council and WOSL shall jointly engage a	Corrections	ARWCF	Ongoing monitoring: in accordance with letter submitted to Auckland Council on		Refer to letter to Auckland Council dated 3/8/12
suitably qualified expert to prepare that ORA. The ORA shall confirm: (a) Whether the level of risk at the AWRCF is now within the —negligible band as calculated by means of the Australian NSW Department of Planning (DoP) Hazard Industry Planning Advisory Paper (HIPAP) No 4 Risk Criteria for Land Use Safety Planning (Foot note 2) (—HIPAP 4 criteria) or such equivalent criteria as agreed between the Minister, WOSL and the Council: Foot Note 2 Hazard Industry Planning Advisory Paper (HIPAP) No 4, Risk Criteria for Land Use Safety Planning, NSW Department of Planning, Consultation Draft, July	Corrections	ARWCF	3/8/12 Ongoing monitoring:		
2008 (b) In addition to the installation of an early warning detection system at the Wiri Oil terminal whether any other mitigation or management measures are required at	Corrections	ARWCF	Ongoing monitoring:		
the ARWCF (or otherwise on the Designation 288 site), to ensure the level of risk at the ARWCF site posed by the Wiri Oil terminal achieves the lowest reasonably practicable ALARP, or such equivalent risk assessment criteria as agreed between the Minister, WOSL and the Council. These mitigation or management measures	Corrections	ANWER	Ongoing monitoring.		
shall include, but are not limited to:	Compatition	ADVACE	On and the state of	1	
(i) buffer areas where night time population is avoided; (ii) decommissioning of existing buildings at ARWCF whose purpose is to accommodate night time population where this is now considered inappropriate;	Corrections	ARWCF ARWCF	Ongoing monitoring:		
	Corrections	ARWCF	Ongoing monitoring:		
(iii) structural works that may be required for buildings; (iv) additional detection or early warning systems; and	Corrections	ARWCF	Ongoing monitoring: Ongoing monitoring:	1	
(v) any other recommended measures.	Corrections	ARWCF	Ongoing monitoring: Ongoing monitoring:		
111. The Minister shall implement on the Designation 288 site as soon as practicable on completion of the QRA, any other mitigation or management measures	Corrections	ARWCF	Ongoing monitoring: Ongoing monitoring:		
pertaining to that site that are recommended by the QRA conducted under condition 110(b), including structural upgrades, to ensure the lowest practicable risk is met. to the satisfaction of Council.	COTTECTIONS	ALL WALL	ongoing monitoring.		
met. to the satisfaction of Council. 112. A further QRA shall be undertaken by a suitably qualified expert (engaged jointly between the Minister, Council and WOSL) and shall be provided to the Council and WOSL by the Minister where the population within the existing ARWCF (as at 1 May 2011) exceeds any of the following triggers:	Corrections	ARWCF	Ongoing monitoring:		
and WOSL by the minister where the population within the existing ARWUCF (as at 1 May 2011) exceeds any of the rollowing (riggers). (a) A total daytime population (all buildings) of 580 (including prisoners, staff, service providers and visitors) within the Indicative Extent of ARWCF Secure Facilities on the Quantitative Risk Assessment and Mitigation Plan (Figure 3, Revision A, prepared by 68f3 Miskell, dated 17 May 2011);	Corrections	ARWCF	Ongoing monitoring:		
the Quantitative hisk Assessment and Mitigation Plan (Figure 3, Nevision A, prepared by Boria Missell, bated 17 May 2011), (b) Introduction of any overight population (including prisoners and staff) within existing buildings 1-3 identified on the Quantitative Risk Assessment and Mitigation Plan (Figure 3, Revision A, prepared by Boffa Miskell, dated 17 May 2011);	Corrections	ARWCF	Ongoing monitoring:		

Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
(c) An increase in any overnight population (including prisoners and staff) in existing buildings 4-13 or otherwise within the Indicative Extent of ARWCF Secure Facilities on the Quantitative Risk Assessment and Mitigation Plan (Figure 3, Revision A, prepared by Boffa Miskell, dated 17 May 2011) above 466; or	Corrections	ARWCF	Ongoing monitoring:		
(d) Any relocation within existing buildings of overnight population closer to the WOSL boundary above the overnight population shown on the Quantitative Risk Assessment and Mitigation Plan (Figure 3, Revision A, prepared by Boffa Miskell, dated 17 May 2011).	Corrections	ARWCF	Ongoing monitoring:		
113. A further QRA shall also be undertaken by a suitably qualified expert (engaged jointly between the Minister, Council and WOSL) and shall be provided to the Council and WOSL by the Minister prior to the lodgement of an Outline Plan of Works for any new building on the Designation 288 site within the Future WOSL Growth Scenario Risk Contour identified on the Quantitative Risk Assessment and Mitigation Plan (Figure 3, Revision A, prepared by Boffa Miskell, dated 17 May 2011).	Corrections	ARWCF	Compliance as required		
114. The QRA required under conditions 112 and 113 shall assess the level of risk for development or activity that exceeds any of these triggers based on the HIPAP 4 criteria, or such equivalent risk assessment criteria as agreed between the Minister, WOSL and the Council. If the risk can be mitigated to meet the individual and societal risk assessment criteria, the appropriate mitigation measures must be put in place by the Minister prior to the occupation of the buildings in the manner set out in condition 110. If the level of risk cannot be adequately mitigated to meet the appropriate risk assessment criteria, the proposed development or activity shall not proceed.	Corrections	ARWCF	Compliance as required		
Advice Note: For clarity, where a QRA is required under conditions [109]-[114], the assessment shall evaluate both the existing and future growth scenarios outlined in the Deed			Compliance as required		
identified in condition [108]. A copy of the Deed is available for inspection at Council offices.					
Construction Management Plan 115. A Construction Management Plan (—CMP) shall be submitted to the Manager – Resource Consents prior to the commencement of Construction Work on the MCF. The CMP shall include specific details relating to the construction and management of all works associated with the MCF, including	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(a) A Construction Lighting Management Plan to control glare and spill light from temporary lighting during the construction period;	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(b) A Construction Noise and Vibration Management Plan to demonstrate how compliance will be achieved with conditions 98, 99 and 100;	SECUREFuture	MCF	Complies: CMP submitted to Council 14/08/2012.	Submission of CMP	
(c) The Construction Traffic Impact Assessment required to be submitted with the Outline Plan of Works in accordance with condition 88;	SECUREFuture	MCF	Complies: Construction TIA confirmed as part of the OPW	Submission of CMP	Refer to Appendix 15 of the OPW
(d) The methods to ensure compliance with Land Modification conditions 73-76; and	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012. Draft earthworks consent application has been submitted to Council	Submission of CMP	
(e) The following information:	SECUREFuture	MCF	for review.		
(i) Details of the Community Liaison Officer appointed by Corrections under condition 56), including their contact details (phone, facsimile, postal address, email address);	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(ii) Details of the site or project manager, including their contact details (phone, facsimile, postal address, email address);	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(iii) The location of large notice boards that clearly identify the name, telephone number and address for service of the site or project manager;	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(iv) An outline construction programme of the works;	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(v) Any means to ensure that no damage occurs to street trees through the construction period;	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(vi) The means to ensure the protection of services such as pipes and water mains within the road reserve;	SECUREFuture	MCF	Complies: CMP submited to Council 14/08/2012.	Submission of CMP	
(vii) Measures to be adopted to maintain the site in a tidy condition in terms of disposal/storage of rubbish, storage and unloading of building materials and similar construction activities;	SECUREFuture	MCF	Complies: CMP submitted to Council 14/08/2012.	Submission of CMP	

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SCURFAUVE MCF Complies: CMP submitted to Council 1,00g/2012.	Conditions	Responsibility	Facility	Status of Compliance	Means of Demonstrating Compliance	Information Reference
Informed about the expected duration of the works; (ii) Means of ensuring the safety of the general public during construction; (iii) Means of ensuring compliance of construction activities with Civil Aviation Rules Part 77 Objects and Activities Affecting Navigable Airspace. SECUREFuture MCF Compliance CMP submitted to Council 14/08/2012. Submission of CMP Prison Operations 116. For so long as the MCF on the site is used to accommodate sentenced prisoners, the Minister shall expert a rehabilitation and reintegration programme at the date but interoperates a Informational and an evaluating reordensing by prisoners as a component of the MCF operation. 117. The Minister shall incorporate a prisoner education programme (which may be part of its rehabilitation and reintegration programme at the date but interoperation and previous a prisoner education programme (which may be part of its rehabilitation programme) as a component of the MCF operation. 117. The Minister shall incorporate a prisoner education programme (which may be part of its rehabilitation programme) as a component of the MCF operation. 118. The Minister shall incorporate a prisoner education programme (which may be part of its rehabilitation and reintegration programme as a component of the MCF operation. 119. The Minister shall incorporate a prisoner education programme (which may be part of its rehabilitation programme) as a component of the MCF operation. 119. The Minister shall incorporate a prisoner education programme (which may be part of its rehabilitation and variety) qualified to the public. 120. The Minister shall norted on the ACF operation of prisonary on-stead prisoners as required. 121. The Minister shall norted on the ACF operation of the MCF. 122. The Minister shall norted on the ACF operation of ACF	(viii) Location of workers offices and conveniences (e.g. portaloos);	SECUREFuture	MCF		Submission of CMP	
(oi) Means of ensuring compliance of construction activities with Civil Aviation Rules Part 77 Objects and Activities Affecting Navigable Airspace. SECUREFuture MCF Compliance of construction activities with Civil Aviation Rules Part 77 Objects and Activities Affecting Navigable Airspace. SECUREFuture MCF Compliance as required 31.6. For so long as the MCF on the site is used to accommodate sentenced prisoners, the Minister shall poerate a rehabilitation and reintegration programme at the tent incorporates a prisoner education programme (which may be part of its rehabilitation programme) as a component of the MCF operation. 117. The Minister shall incorporate a prisoner education programme (which may be part of its rehabilitation programme) as a component of the MCF operation. 118. The Minister shall provide programme or contracting opportunities to suitably qualified Counties-Manukau area individuals and businesses SECUREFuture MCF Compliance as required MCF Compliance as required SECUREFuture MCF Compliance as required SE		SECUREFuture	MCF	·	Submission of CMP	
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million and total expected population of 1770 (1060 prisoners + 710 staff).	indicatively only, and based on the projections given at the hearing, this would equate to a reserve contribution of \$736,000, from an estimated capital cost of \$368			Complies		

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Appendix K: Incentive Payment Information Protocol

Incentive Payment Information Protocol

Purpose

This document confirms how the information required to complete the Incentive Regime calculations will be collected and processed.

Background

Part 4 of Schedule 16 to the Project Agreement sets out the requirements for Reducing Reimprisonment – Incentive Payments, including Definitions.

Part 4, clause 18 of Schedule 16 to the Project Agreement sets out that the parties shall comply with their obligations under the Incentive Payment Information Protocol.

Schedule 16 notes that the Department will provide information in relation to the calculation of the Incentive Payment in accordance with the Incentive Payment Information Protocol.

Clause 19 of Schedule 16 sets out the Reporting and Invoicing requirements and outlines the process via which disputes will be addressed.

Provision of Information

The Contractor is required to enter data into the Department's primary record management system, currently the Integrated Offender Management System (IOMS), as required by the requirements for recording and reporting as set out in the Project Agreement (primarily Schedules 13 and 14).

The data on IOMS will be supplemented with offence data from the Ministry of Justice.

Data Extraction

Following the end of each IP Year, data will extracted by the Department from IOMS. This data forms the basis for completing the formulae for the Incentive Payment i.e. DRi (Māori), DRi(Overall), and CRi(Māori), CRi(Overall).

Data will be extracted [2] weeks after the Incentive Payment Year (IP Year) has concluded to allow sufficient time for data relating to individuals sentenced and reimprisoned near the end of the IP Year to be entered into IOMS.

Data Parameters

The Department currently uses a measure called the Recidivism Index (RI) to measure re-offending rates across the entire population of offenders managed in a year who are subsequently reconvicted or re-imprisoned (as published in the Department's Annual Report) ¹. While there is a high level of alignment between the methodology used to calculate RI, and the methodology that will be used to complete the calculation of the RiR figures, they are not identical. Specific points of difference include:

- specific calculations for Māori Prisoners (Qualifying Māori Prisoner definition)
- exclusion of Prisoners classified as a Maximum Security Prisoner near the time of their release (from DRi (Māori) and DRi(Overall))
- separation of the Contract Prison (and other facilities operated by the Major Subcontractor) from other Prisons within the Department's network.

[Note: The development of the RiR methodology will be ongoing and the process outlined in this document may require further modification once the Contract Prison becomes operational to ensure it is fit-for-purpose.]

¹ http://www.corrections.govt.nz/news-and-publications/statutory-reports/annual-reports.html

Definition

The RiR measures the proportion of offender releases from prison during a period of interest who commit an offence (or offences) within the 730 days following their release where that offence results in a prison sentence.

For the purposes of completing the calculation of DRi (Māori), DRi(Overall), and CRi(Māori), CRi(Overall) the following data parameters will be used:

- An annual release population will be drawn from all prison sentence releases, where the date of release is within a specified12-month release window (12 month period of interest).
- The Release Measurement Period for each offender is from the offender's release date until 730 days (or part thereof) after their release date.
- A re-offence includes offences resulting in Department managed sentences and where they are not offences for minor justice offences or breach. [See exclusions section below]
- A re-imprisonment includes any prison sentence being handed down, even if no actual prison time is served as a sentenced prisoner.
- Releases are only counted when the release events and the muster records agree on the date of release. (Both data sets are based on data records entered manually by prison staff.)
- Re-imprisonments are indicated if an offender commits one, or more offences, resulting in a prison sentence, between the date of release and 730 days following the date of release.
- The offence date on the sentence record in IOMS is used, unless it is blank. If the
 offence date is blank, then the lesser of either the sentencing date or the charge
 date is used.

The re-offence and sentencing data is provided by automatic interfaces from the Ministry of Justice.

Inclusions

Multiple releases per offender

Exclusions

- Releases onto home detention
- Releases² where remand exists of greater or equal to 122 days [in total, not required to be consecutive] within the Release Management Period ("RMP"), except where:
 - the offender commits an offence within the RMP, is subsequently convicted and sentenced to a period of imprisonment (and that sentencing occurs within the RMP).
- Releases of type 'Deported', 'Extradited'.
- Subsequent offending where any resultant sentencing occurs after the Release Management Period.
- Reimprisonment where the related offence(s) that result in the imprisonment occurred prior to the Release Management Period.
- Releases where the offenders gender is recorded as 'Female', 'Unknown' or 'Indeterminate'
- Releases where the Prisoner was a Maximum security prisoner in the 3 month period prior to their release.
- Releases with any of the following recorded Release Types:
 - Released on Head Office Approval
 - o Released on Appeal (Conviction)

² Includes offenders with the release status "Released – Revert to Remand" where the period(s) of custodial Remand within the Release Management Period exceeds 122 days.

- Released on Appeal (Sentence)
- Released on Appeal (Bail)
- o Warrant Cancelled
- o Released Committed to Psychiatric Hospital
- Release Committed to Social Welfare Supervision
- Ministerial Compassionate
- o Sentence Cancelled

Re-imprisonments within 730 days (or part thereof) are selected as follows:

- An offender commits one or more offences subsequent to the date of release resulting in a prison sentence between the time of release and 730 days following the date of release.
- The offence date on the sentence record in IOMS is used, unless it is blank. If the
 offence date is blank, then the lesser of either the sentencing date or the charge
 date is used.

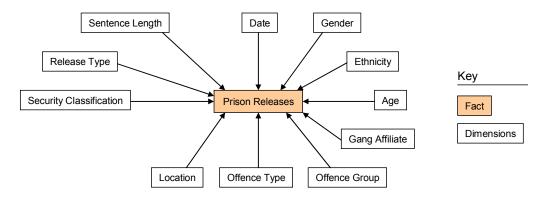
Excluded Return Grounds:

 Reimprisonment solely for committing a minor justice offence(s) based on a selected list of 179 offence codes (as listed in Appendix Two). This includes breaches, default in payment of fines and a number of other offences against justice.

Reporting Schema

The reporting schema shown below provide all of the RiR reporting requirements:

- The fact-table records the prison release events.
- The dimensions provide the various classifications for filtering or summarising the data.



Reporting Schema Diagram

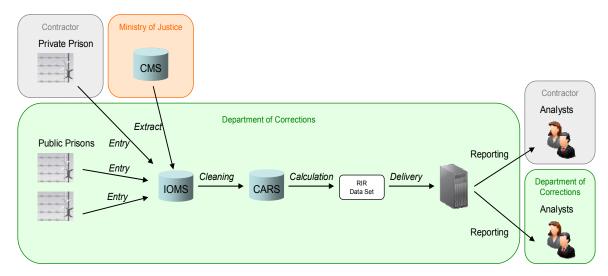
As shown by the diagram above, the data can be disaggregated by a number of dimensions.

Variable notes:

A key factor in the Incentive Payment regime is the desire to measure the effectiveness of the Contractor's operating model with Māori Prisoners. RI calculations define ethnicity based on the latest known *preferred* ethnicity in IOMS. As Prisoners identify their preferred ethnicity, it is foreseeable that there will be instances when a Prisoner enters the Justice System (or indeed commences a Sentence) with one recorded preferred ethnicity and competes their sentence with another.

For the purpose of analysis, a Prisoner's preferred ethnicity (as recorded within 7 days of the prisoner commencing their Initiating Sentence) will be used for the calculation.

Data Flow



Data Flow Diagram

- IOMS is the Department's Integrated Offender Management System. IOMS contains detailed information about offenders.
- CARS is the Corrections Analysis and Reporting System, and the Department's data warehouse.
- CMS is the Courts Management System.
- The Contractor will be granted access to the IOMS application, and will be required to enter all necessary prison management event data.
- Offence, conviction and sentencing data are provided to the Department by the Ministry of Justice.
- Data is currently extracted from IOMS into CARS on a daily, incremental, basis.
 The data are cleaned and prepared for regular ad-hoc reporting by internal users.
 A new process will be developed to create a data set containing the RiR once the Contractor Prison commences operation.

Qualifying Prisoners vs Non-Qualifying Prisoners

Schedule 16 of the PPP Project Agreement currently defines a Qualifying Prisoner for the Contract Prison as:

Qualifying Prisoner (Prison) means a Prisoner who:

- (a) is Released from the Prison: and
- (b) has, at the time of his Release, been a Prisoner in the Prison for the lesser of six months or 75% of the actual time served within a prison under his then-current sentence; and
- (c) served a minimum of three months within the Prison immediately prior to Release,

provided that a person will cease to be a Qualifying Prisoner (Prison) on the earlier of his death and the date 730 days (or part thereof) following the date on which he was Released from the Prison;

Qualifying Prisoner (other prison) means any male prisoner who has been Released and who served no less than three months in custody in a New Zealand prison as a sentenced prisoner, including for the avoidance of doubt any Qualifying Māori Prisoner (other prison), but excludes:

(a) any Qualifying Prisoner (Prison);

- (b) any prisoner who was classified as maximum security within the three month period prior to his Release; and
- (c) any prisoner who has, at the time of his Release, been a prisoner in another prison operated by the Major Sub-contractor for the Corrections Services for:
 - (i) a minimum of three months immediately prior to Release;
 - (ii) the lesser of six months or 75% of the actual time served under his then-current sentence:

There will be a subset of Prisoners released during the period of interest that are neither a Qualifying Prisoner at the Contract Prison nor a qualifying prisoner under the Qualifying Prisoner (other prison) definition.

Analysis

Within New Zealand, use of Personal Information³ is controlled by the Privacy Act 1993. As such the Department will not release identifying information to the Contractor for the purpose of completing the Incentive Payment calculations.

As such, analysis of the DRi (Māori), DRi(Overall), and CRi(Māori), CRi(Overall) will be undertaken by Department, in accordance with the agreed methodology. This information will be provided to the Contractor under clause 19.1.

The calculation of DRi (Māori), DRi(Overall), and CRi(Māori), CRi(Overall) will be undertaken in line with the parameters set out in Schedule 16 of the Project Agreement.

The Department will complete the calculation of DRi (Māori), DRi(Overall), and CRi(Māori), CRi(Overall) within [2 months] of the end of each IP Year and advise the Contractor of the outcome of this calculation. This notification will be accompanied by a report which provides the aggregated figures used in the calculation.

The calculation of DRi (Māori), DRi(Overall), and CRi(Māori), CRi(Overall) will also be provided to the Department's Commercial Team. This team will use the formulae specified in clause 17.1 Schedule 16 of the Project Agreement, alongside data on any Service Failure Points (SFPs) accrued, to assess the Contractor's eligibility for any Incentive Payment.

³ Personal Information is defined [in the Privacy Act 1993] as: Information about a living human being. The information needs to identify that person, or be capable of identifying that person.

Worked example of the Incentive Regime calculations:

Incentive payment received in respect of Maori

DRi(Māori)= 34% CRi(Māori)= 28%

$$\$375,000 + \left[\left(\frac{RiChange(\text{M\^{a}ori)} - 10\%}{5\%} \right) \times \$750,000 \right]$$
 where **RiChange(M\^{a}ori)** means
$$\frac{DRi(\text{M\^{a}ori)} - CRi(\text{M\^{a}ori)}}{DRi(\text{M\^{a}ori)}}$$

RiChange(Māori) =
$$\frac{34-28}{34}$$
 = 17.6
\$375,000+ $\left[\left(\frac{17.6-10}{5} \right) \times \$750,000 \right]$ = $\$1,515,000$ (capped at \$1,125,000)

Incentive payment received in respect to 'Overall'

DRi(Overall)= 32% CRi(Overall)= 30%

$$$125,000 + \left[\left(\frac{RiChange(Overall) - 10\%}{2.5\%}\right) \times $250,000\right]$$$
 where **RiChange (Overall)** means $\frac{DRi(Overall) - CRi(Overall)}{DRi(Overall)}$

RiChange (Overall) =
$$\frac{32-30}{32}$$
 = 6.25

Incentive payment received in respect of Overall \$125,000 + $\left[\left(\frac{6.25 - 10}{2.5} \right) \times \$250,000 \right]$

= Threshold not met

Total incentive payment received in this example would be \$1,125,000

Reporting

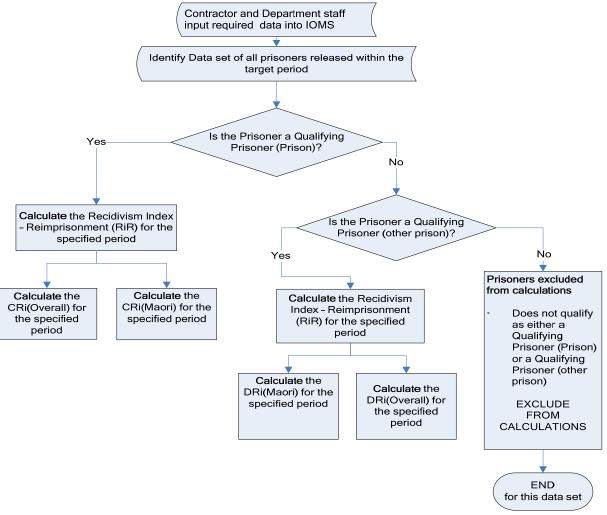
The Department will complete the calculation of DRi (Māori), DRi(Overall), and CRi(Māori), CRi(Overall) within [2 months] of the end of each IP Year and advise the Contractor of the outcome of this calculation. This notification will be accompanied by a [report] which provides the aggregated figures used in the calculation.

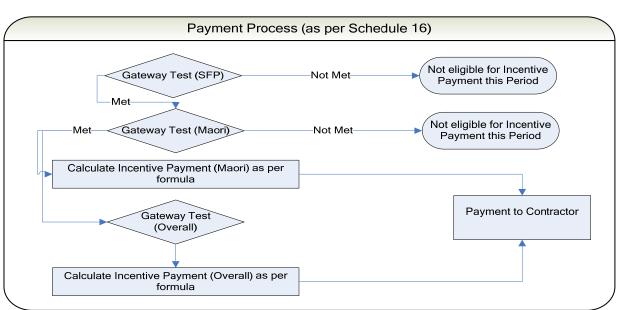
The report will contain:

- Breakdown of all candidate prison releases showing exclusions and final reporting population.
- Interim calculations of CRi(Overall), CRi (Maori), DRi(Overall), DRi (Maori)
- Final calculation of CRi(Overall), CRi (Maori), DRi(Overall), DRi (Maori) and percentage differences for the period of interest using the full 730 day Release Measurement Period.

An interim Report Template is attached in Appendix Three.

Appendix One- Incentive Payment Process Diagram.





Appendix Two - Section 179 Offence Codes

```
CODE
         DESCRIPTION
OFFENCE
  7889
         OTHER JUSTICE (SPECIAL)
  9295
         BREACH OF PERIODIC DETENTION SECTION 45(1)(E) OF THE CRIMINAL JUSTICE ACT
  9296
         BREACH OF PERIODIC DETENTION SECTION 45(1)(F) OF THE CRIMINAL JUSTICE ACT
  9297
         BREACH OF PERIODIC DETENTION SECTION 45(1)(G) OF THE CRIMINAL JUSTICE ACT
  9298
         BREACH OF COMMUNITY WORK SECTION 71(1)(A) OF THE SENTENCING ACT 2002
  9321
         BREACH OF COMMUNITY WORK SECTION 71(1)(B) OF THE SENTENCING ACT 2002
  9322
         BREACH OF COMMUNITY WORK SECTION 71(1)(C)(I) OF THE SENTENCING ACT 2002
  9323
         BREACH OF COMMUNITY WORK SECTION 71(1)(C)(II) OF THE SENTENCING ACT 2002
  9324
         BREACH OF COMMUNITY WORK SECTION 71(1)(D) OF THE SENTENCING ACT 2002
  9327
         BREACH OF COMMUNITY WORK SECTION 71(1)(G) OF THE SENTENCING ACT 2002
  9328
         BREACH OF COMMUNITY WORK SECTION 71(1)(H) OF THE SENTENCING ACT 2002
  9344
         BREACH OF COMMUNITY WORK SECTION 71(1)(I) OF THE SENTENCING ACT 2002
  9345
         BREACH OF COMMUNITY WORK SECTION 71(1)(J) OF THE SENTENCING ACT 2002
  9346
         BREACH OF CONDITIONS OF SUPERVISION SECTION 70 (A) OF THE SENTENCING ACT 2002
  9347
         BREACH OF CONDITIONS OF SUPERVISION SECTION 70 (B) OF THE SENTENCING ACT 2002
  9550
         JUSTICE (SPECIAL)
  9560
         JUSTICE (SPECIAL)
  9580
         JUSTICE (SPECIAL)
  9600
         JUSTICE (SPECIAL)
  9610
         JUSTICE (SPECIAL)
  9999
         DEFAULT IN PAYMENT OF FINE
  7919
         OTHER JUSTICE (SPECIAL)
  7870
         JUSTICE (SPECIAL)
  7880
         JUSTICE (SPECIAL)
  7900
         JUSTICE (SPECIAL)
  7910
         JUSTICE (SPECIAL)
  7930
         JUSTICE (SPECIAL)
  9670
         JUSTICE (SPECIAL)
  9680
         JUSTICE (SPECIAL)
  9690
         JUSTICE (SPECIAL)
  9700
         JUSTICE (SPECIAL)
  9100
         JUSTICE (SPECIAL)
  9110
         JUSTICE (SPECIAL)
  9120
         JUSTICE (SPECIAL)
  9150
         JUSTICE (SPECIAL)
  9160
         JUSTICE (SPECIAL)
  9880
         JUSTICE <SPECIAL>
  9710
         JUSTICE (SPECIAL)
  9730
         JUSTICE (SPECIAL)
  9760
         JUSTICE (SPECIAL)
  9770
         JUSTICE (SPECIAL)
  7142
         FAILURE TO ANSWER BAIL SUMM PROC 57 S 54
  7147
         BREACH OF SUPERVISION
  7148
         BREACH OF PAROLE
  9210
         JUSTICE (SPECIAL)
  9220
         JUSTICE (SPECIAL)
  7000
         ADMINISTRATIVE
  7100
         AGAINST JUSTICE
  7120
         OFFENCES AGAINST JUDICAL PROCEDURE
  7129
         OTHER OFFS AGAINST JUDICIAL PROC
  7136
         BREACH PERIODIC DETENTION
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7137
       BREACH PROBATION
7140
       MISCELLANEOUS OFFENCES AGST JUSTICE
7159
       OTHER ADMIN BREACH OF MISC STATUTE
7160
       OTHER BREACHES MISC STATUTE
7163
       PENAL INSTITUTIONS ACT 1954
7172
       REFUSE/FAILS TO COMPLY WITH IPCA ACT REQUIREMENT
7179
       OTHER BREACHES
7180
       OTHER BREACHES MISC STATUTE
7185
       BREACH OF HOME DETENTION
7189
       OTHER BREACHES MISC STATUTE
7190
       FAILURE TO ANSWER BAIL
7191
       FAILURE TO ANSWER DISTRICT COURT BAIL
7192
       FAILURE TO ANSWER POLICE BAIL
7198
       TRAFFIC ARREST WARRANT
7199
       OTHER AGAINST JUSTICE
7359
       OTHER JUSTICE (SPECIAL)
7370
       JUSTICE (SPECIAL)
7710
       JUSTICE (SPECIAL)
7720
       JUSTICE (SPECIAL)
7770
       JUSTICE (SPECIAL)
7749
       OTHER JUSTICE (SPECIAL)
7759
       OTHER JUSTICE (SPECIAL)
9230
       JUSTICE (SPECIAL)
9240
       JUSTICE (SPECIAL)
9250
       JUSTICE (SPECIAL)
9260
       JUSTICE (SPECIAL)
9330
       JUSTICE (SPECIAL)
9340
       JUSTICE (SPECIAL)
9780
       JUSTICE (SPECIAL)
       BREACH OF COMMUNITY SERVICE SECTION 36(1)(D) OF THE CRIMINAL JUSTICE ACT
9275
9276
       BREACH OF COMMUNITY SERVICE SECTION 41(A) OF THE CRIM REGS
9277
       BREACH OF COMMUNITY SERVICE SECTION 41(B) OF THE CRIM REGS
9278
       BREACH OF PERIODIC DETENTION SECTION 45(1)(A)(I)(A) OF THE CRIMINAL JUSTICE ACT
9287
       BREACH OF PERIODIC DETENTION SECTION 45(1)(A)(I)(D) OF THE CRIMINAL JUSTICE ACT
       BREACH OF PERIODIC DETENTION SECTION 45(1)(A)(II) OF THE CRIMINAL JUSTICE ACT
9291
9292
       BREACH OF PERIODIC DETENTION SECTION 45(1)(B) OF THE CRIMINAL JUSTICE ACT
9293
       BREACH OF PERIODIC DETENTION SECTION 45(1)(C) OF THE CRIMINAL JUSTICE ACT
9294
       BREACH OF PERIODIC DETENTION SECTION 45(1)(D) OF THE CRIMINAL JUSTICE ACT
9350
       JUSTICE (SPECIAL)
9400
       JUSTICE (SPECIAL)
9180
       JUSTICE (SPECIAL)
9190
       JUSTICE (SPECIAL)
9200
       JUSTICE (SPECIAL)
9410
       JUSTICE (SPECIAL)
9450
       JUSTICE (SPECIAL)
9470
       JUSTICE (SPECIAL)
9500
       JUSTICE (SPECIAL)
9510
       JUSTICE (SPECIAL)
9270
       JUSTICE (SPECIAL)
9800
       JUSTICE (SPECIAL)
9810
       JUSTICE (SPECIAL)
9900
       JUSTICE (SPECIAL)
9990
       JUSTICE (SPECIAL)
       RESIST EXECUTION OF WARRANT
3862
9224
       BREACH OF COMMUNITY SERVICE SECTION 36(1)(A)(I) OF THE CRIMINAL JUSTICE ACT
9225
       BREACH OF COMMUNITY SERVICE SECTION 36(1)(A)(II) OF THE CRIMINAL JUSTICE ACT
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9226
       BREACH OF COMMUNITY SERVICE SECTION 36(1)(B)(I) OF THE CRIMINAL JUSTICE ACT
9227
       BREACH OF COMMUNITY SERVICE SECTION 36(1)(B)(II) OF THE CRIMINAL JUSTICE ACT
9228
       BREACH OF COMMUNITY SERVICE SECTION 36(1)(C) OF THE CRIMINAL JUSTICE ACT
9280
       JUSTICE (SPECIAL)
       JUSTICE (SPECIAL)
9300
9310
       JUSTICE (SPECIAL)
7779
       OTHER JUSTICE (SPECIAL)
7750
       JUSTICE (SPECIAL)
7780
       JUSTICE (SPECIAL)
7810
       JUSTICE (SPECIAL)
7830
       JUSTICE (SPECIAL)
7789
       OTHER JUSTICE (SPECIAL)
7740
       JUSTICE (SPECIAL)
7819
       OTHER JUSTICE (SPECIAL)
7839
       OTHER JUSTICE (SPECIAL)
7859
       OTHER JUSTICE (SPECIAL)
7729
       OTHER JUSTICE (SPECIAL)
7939
       OTHER JUSTICE (SPECIAL)
7940
       SENTENCING ACT 2002
       BREACH SENTENCE COND OF SUPERVISION
7942
7943
       BREACH SENTENCE OF COMMUNITY WORK
7945
       BREACH COURT RELEASE CONDITION PRISON
7946
       BREACH NON-ASSOCIATION ORDER
7950
       PAROLE ACT 2002
7953
       REFUSE ENTRY TO RESIDENCE (PAROLE ACT)
7999
       OTHER ADMINISTRATIVE
9840
       JUSTICE (SPECIAL)
9325
       BREACH OF COMMUNITY WORK SECTION 71(1)(E) OF THE SENTENCING ACT 2002
7194
       FAIL KEEP CONDITIONS POLICE BAIL
9660
       JUSTICE (SPECIAL)
9000
       JUSTICE (MISCELLANEOUS)
9286
       BREACH OF PERIODIC DETENTION SECTION 45(1)(A)(I)(C) OF THE CRIMINAL JUSTICE ACT
9141
       BREACH CONDITIONS OF COMMUNITY DETENTION CL69(G)(A) SENTENCING ACT 2002
9142
       REFUSE ENTRY TO COMMUNITY DETENTION CURFEW ADDRESS
9143
       BREACH CONDITIONS OF INTENSIVE SUPERVISION CL70(A)(A) SENTENCING ACT 2002
9144
       BREACH HOME DETENTION CONDITIONS
9145
       REFUSE ENTRY TO HOME DETENTION RESIDENCE
9146
       BREACH POST DETENTION CONDITIONS
9125
       BREACH CONDITIONS OF COMMUNITY DETENTION CL69(G)(B) SENTENCING ACT 2002
7143
       BREACH COMMUNITY SERVICE
9850
       JUSTICE (SPECIAL)
9860
       JUSTICE (SPECIAL)
9910
       JUSTICE (SPECIAL)
9920
       JUSTICE (SPECIAL)
       BREACH OF COMMUNITY SENTENCE (CRIMINAL JUSTICE ACT 1985)
9290
9320
       BREACH OF COMMUNITY SENTENCE (SENTENCING ACT 2002)
9370
       JUSTICE (SPECIAL)
9740
       JUSTICE (SPECIAL)
9820
       JUSTICE (SPECIAL)
9130
       JUSTICE (SPECIAL)
7150
       ADMINISTRATIVE BREACH OF MISC STATUTE
7149
       OTHER MISC OFFENCES AGAINST JUSTICE
7730
       JUSTICE (SPECIAL)
7350
       JUSTICE (SPECIAL)
       CONTRAVENE PARENTING ORDER
3861
9430
       JUSTICE (SPECIAL)
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7951	BREACH BOARD RELEASE CONDITION PRISON
9126	BREACH CONDITIONS OF INTENSIVE SUPERVISION CL70(A)(B) SENTENCING ACT 2002
7990	OTHER ADMINISTRATIVE
7850	JUSTICE (SPECIAL)
9326	BREACH OF COMMUNITY WORK SECTION 71(1)(F) OF THE SENTENCING ACT 2002
9630	JUSTICE (SPECIAL)
9640	JUSTICE (SPECIAL)
9191	FAILS TO COMPLY WITH SUMMONS
7879	OTHER JUSTICE (SPECIAL)
7700	JUSTICE (SPECIAL)
9790	JUSTICE (SPECIAL)
9288	BREACH OF PERIODIC DETENTION SECTION 45(1)(A)(I)(E) OF THE CRIMINAL JUSTICE ACT
7952	BREACH CONDITIONS OF DETENTION
9147	BREACH STANDARD RELEASE OR SPECIAL CONDITIONS
9870	JUSTICE (SPECIAL)
9360	JUSTICE (SPECIAL)

Appendix Three – Incentive Payment Reporting Template

Incentive Payment Information

Ri-R Results

 Report Date:
 10 Aug 2018
 IP Year:
 2017/2018

 Contract Prison:
 CONTRACT PRISON
 Report Status:
 Final

Major Subcontractor: XXXX

Qualifying Releases								
	(Overall)	(Māori)						
Other Prison	XXXX	XXXX						
Contract Prison	XXXX	XXXX						

Other Prison				
6 Month Period End	Re- imprisoned (Overall)*	Re-imprisoned (Māori)*	DRi (Overall)	DRi (Māori)
31 Dec 2015	XXXX	XXXX	XX.XXX	XX.XXX
30 Jun 2016	XXXX	XXXX	XX.XXX	XX.XXX
31 Dec 2016	XXXX	XXXX	XX.XXX	XX.XXX
30 Jun 2017	XXXX	XXXX	XX.XXX	XX.XXX
31 Dec 2018	XXXX	XXXX	XX.XXX	XX.XXX
30 Jun 2018	XXXX	XXXX	XX.XXX	XX.XXX
*Cummulative	1			

Contract Prison						
6 Month Period End	Re- imprisoned (Overall)	Re-imprisoned (Māori)	CRi (Overall)	CRi (Māori)	Ri Change % (Overall)	Ri Change % (Māori)
31 Dec 2015	XXXX	XXXX	XX.XXX	XX.XXX	XX.XXX	XX.XXX
30 Jun 2016	XXXX	XXXX	XX.XXX	XX.XXX	XX.XXX	XX.XXX
31 Dec 2016	XXXX	XXXX	XX.XXX	XX.XXX	XX.XXX	XX.XXX

30 Jun 2017 XXXX XXXX XX.XXX XX.XXX XX.XX XX.XXX 31 Dec 2018 XXXX XXXX XX.XX XX.XXX XX.XXX XX.XXX 30 Jun 2018 XXXX XXXX XX.XXX XX.XX XX.XX

DRi / CRi (Overall)

0.500						
0.450	■DRi (Overa	ID.				
0.400	CRi (Overa					
0.350	a cita (oveia	.,				
0.300						
0.250						
0.200						
0.150						
0.100						
0.050						
0.000 📙	-					
	31 Dec 2015	30 Jun 2016	31 Dec 2016	30 Jun 2017	31 Dec 2018	30 Jun 2018

DRi / CRi (Māori)



Ri Change (Overall) % XX.XXX

Ri Change (Māori) % XX.XXX

Incentive Payment Information

Ri-R Calculations



Report Date:10 Aug 2018IP Year:2017/2018Contract Prison:CONTRACT PRISONReport Status:Final

Major Subcontractor: XXXX

General		
Exclusions	All Prisons	Contract Prison
All sentenced releases	XXXX	XXXX
Less maximum security	xxxx	XXXX
Less gender not male	xxxx	XXXX
Less releases on home detention	xxxx	XXXX
Less deported and extradited	xxxx	XXXX
Less remand 122 days or more (unless reimprisoned)	XXXX	XXXX
Less recalled 122 days or more (unless reimprisoned)	xxxx	xxxx
Candidate releases	XXXX	XXXX

Refer Note

Contract Prison		
Exclusions	Overall	Māori
Candidate releases (Contract Prison)	XXX	XXX
Less than 6 months or 75% at prison of release	XXX	XXX
Less than 3 months at prison prior to release	XXX	XXX
Qualifying releases	XXX	XXX

Other Prison		
Exclusions	Overall	Māori
Candidate releases (All Prisons)	XXXX	xxxx
Less than 3 months served	XXXX	xxxx
Less qualifying releases (Contract Prison)	XXXX	XXXX
Less qualifying releases (Major Subcontractor)	XXXX	XXXX
Qualifying releases	XXXX	XXXX

Note: These calculation lines are not mutally exclusive.

Some of these groups may overlap, where a prisoner fits into two or more categories.

Appendix L: Incident Reporting Framework



Creating Lasting Change

IR.06 INCIDENT REPORTING

Page last Updated on 29.08.12

INCIDENT REPORTING CRITERIA

1. An incident is deemed to be "notifiable" and to be reported in accordance with the IR.06.Sch.01 Schedule of incidents categories.

IR.06.01 IMMEDIATE REPORTING

- 1. Staff on the scene must immediately notify the PCO, or any other manager of any incident, if they are not available, staff will contact the next senior officer on site.
- 2. The staff member notified is responsible for ensuring that:
 - a. all incidents identified in IR.06.Sch.01 Schedule of incident categories, with time code "1", are reported to the incident line (on 04 473 1745 24/7) immediately after their discover and the following details of the incident must be provided:
 - i. name of prison
 - ii. brief summary of incident (including the extent of any injuries)
 - iii. date and time of incident
 - iv. full names and PRN of all prisoners involved in incident
 - b. the following additional information may need to be provided:
 - i. prisoner's status (sentenced, accused, etc)
 - ii. gender, age and ethnic origin
 - iii. commencement date (SCD)
 - iv. parole eligibility date (PED)
 - v. Statutory release date (SRD) or final release date (FRD)
 - vi. date of birth (D.O.B)
 - vii. security rating
 - viii. VNR
 - ix. sentence
 - x. any gang affiliation
 - xi. offences
 - c. the Police are notified immediately of any escapes, deaths, including suicide and assaults in which charges are to be or could be laid, or to provide appropriate information.
 - d. where appropriate, the Visiting Justice, chaplain, and PIRT leader shall be advised of any incident
 - e. the regional manager, assistant regional manager, and the prison manager are advised when notified of a major incident (or any incident that is considered on its merits relevant).

IR.06.02 IOMS REPORTING

- 1. All incidents (time code 1 & 2 or no code) must be reported using:
 - a. the Integrated Offender Management System (IOMS) incident reporting system, or
 - b. if IOMS is unavailable, the IR.06.Form.01 Manual notification of incident.
- 2. The IOMS (or manual form) must be completed by all staff witnesses within two (2) hours of the incident or before the end of their shift.

IR.06.03 ASSIGN COMPONENT (CATEGORIES)

- 1. Complete IOMS component (assign categories and participants). The incident component must be determined by reference to the IR.06.Sch.01 Schedule of incident categories.
- 2. An incident may have multiple components, for example a prisoner may have escaped and assaulted a staff member in the process. The incident component must list both the escape as well as the assault to ensure that all components are captured for analysis.
- 3. The IOMS components (categories) and summary must be completed by 12 midday of the next business day (see note), by the relevant PCO / Manager.

Note: Business day is the days between and including Monday to Friday and do not include public holidays and weekends. Incident that occurs on Saturday, components must be completed by Monday 12 midday.

IR.06.04 APPROVAL AND CLOSURE OF INCIDENTS ON IOMS

- 1. All IOMS incidents should be institution approved by the custodial systems manager or delegated manager no later than 14 days from the incident occurring.
- 2. The closure of IOMS incidents that do not require National Office approval can be completed at the same time as the institution approval.

IR.06.05 PECCS REPORTING REQUIREMENTS

- 1. The PECCS manager is to advise the Department of Corrections PECCS security monitor of an incident, who will advise and provide an interim report to the Department of Corrections operation advisors as soon as practicable.
- 2. The full incident report will be completed where practicable before the end of the security officer witness shift, or within 24 hours of the incident.

IR.06.06 CHIEF EXECUTIVE REQUEST FOR SPECIAL INVESTIGATIONS

1. The Chief Executive may in accordance with the protocol between Internal Audit and Prison Services direct Internal Audit Group to undertake an investigation into an incident.

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Appendix M: Incident Table

Other

Time Code			Type and timing of reports						
1	Immediate notification to Incident Line (04) 473 1745 anytime day or night, followed by IOMS incident report within 2 hours of the incident being advised. In the event of IOMS being unavailable, an IR.06.Form.01 Manual notification of incident faxed to 04 4603205 or 04 4603206 within 2 hours of the incident being advised.								
2	Notification by an IOMS incident report within 2 hours of the incident occuring. In the event of IOMS being unavailable, an IR.06.Form.01 Manual notification of incident faxed to 04 4603205 or 04 4603206 within 2 hours of the incident occuring.								
Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule		
		Cannabis Leaf greater than 20 Grams	Find of substance suspected to be cannabis leaf.		2	Grams	The weight in grams of the find - if unknown then state unknown		
		Cannabis Oil	Find of substance suspected to be cannabis oil.		2	millilitres	The volume in millilitres of the find - if unknown then state unknown		
		Amphetamine / Methamphetamine	Find of substance suspected to be methamphetamine.	Υ	2	Grams	The weight in grams of the find - if unknown then state unknown		
		Pills / Tablets / Capsules	Find of capsules or tablets or pills suspected to be illicit drugs.		2	Item(s)	The number of pills, tablets, capsules found if unknown then state unknown		
	Drugs	Powder	Find of powder substance suspected to be illicit drugs.	N	2	Grams	The weight in grams of the find - if unknown then state unknown		
		Other suspected / Unidentified	Find of other substance suspected to be illicit drugs.		2	NA	The weight in grams of the find - if unknown then state unknown		
		Drug Indication e.g. physical factors, smell	Indication of drugs that did not result in any drugs or drug paraphernalia found.			NA	NA		
		Cannabinoids Leaf Less than 20 grams	Find of substance suspected to be cannabis leaf.			Grams	The weight in grams of the find - if unknown then state unknown		
ONTRABAND /		Confirmed Not Drugs	Any item tested under suspicion of being drugs that is confirmed as not being drugs.			NA	NA		
EXHIBITS		Smoking Device	Find of device suspected to be used for smoking drugs (e.g. pipe, bong, spoon, knife, foil, tube).			Items	Number of individual items in this category		
		Drug Storage Item	Find of any item suspected to be used for storing drugs (e.g. glad wrap, foil, container).			Items	Number of individual items in this category		
	Drugs Paraphernalia	Needles	Find of hypodermic needle(s) suspected of being used for drugs.	N		Items	Number of individual items in this category		
		Weights / Scales	Find of any item used for weighing or measuring drugs.			Items	Number of individual items in this category		
		Drugs Recipe	Find of an item describing how to make drugs.			Items	Number of individual items in this category		
		Other	Find of any other item suspected to be used for taking drugs.			Items	Number of individual items in this category		
		Cell Phone	Find of a cell phone device.			Items	Number of individual items in this category		
		Phone Charger	Find of an item used to charge a cell phone device.	1		Items	Number of individual items in this category		
		Cell Phone Battery	Find of a cell phone battery.	1		Items	Number of individual items in this category		
	Communications	SIM Card	Find of a cell phone SIM card.	N		Items	Number of individual items in this category		
	Device	Network Device	Find of any item that could be or is used for connecting to a network (e.g. watch).	1		Items	Number of individual items in this category		
		1	· · · · · · · · · · · · · · · · · · ·	-		1			

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Items

Number of individual items in this category

Find of any other item suspected to be used for communication.

Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
		Firearm	Find of any item that could be used as a firearm (including parts).		2	Items	Number of individual items in this category
		Ammunition / Explosives	Find of any item used as a projectile in a weapon (e.g. bullets).	Υ	2	Items	Number of individual items in this category
		Plans / Instructions (e.g. for weapons / bombs etc)	Find of any item that details the making of any weapon (e.g. bomb, gun).		2	Items	Number of individual items in this category
		Knife (not CIE)	Find of any knife with the intention to be used as a weapon.			Items	Number of individual items in this category
	Weapons	Improvised Weapon (shank)	Find of any item modified so as to be able to be used as a weapon.			Items	Number of individual items in this category
	Weapons	Hobby Tool	Find of any hobby tool in an unauthorised area that could be used as a weapon (e.g. chisel, screwdriver).			Items	Number of individual items in this category
		CIE Tool	Find of any CIE industry item in unauthorised area that could be used as weapon (e.g. knife from kitchen or screwdriver from workshop).	N		Items	Number of individual items in this category
		Club / Baton	Find of any item construed as a baton, club etc that has the intent of being used as a weapon.			Items	Number of individual items in this category
CONTRABAND / EXHIBITS		Recreational Equipment	Find of any recreational item used as a weapon (e.g. pool cue, darts).			Items	Number of individual items in this category
		Other	Find of any other item with possible intention of being used as a weapon (e.g. batteries in a sock).			Items	Number of individual items in this category
		Homebrew Substance	Find of any home made alcohol.			millilitres	Number of individual items in this category
	Alcohol	Homebrew Ingredients	Find of any item(s) with intention of being used for making homebrew.	N		Items	Number of individual items in this category
	Alcohol	Commercial Alcohol	Find of any other alcohol (can include methylated spirits).	IN IN		millilitres	Volume of other alcohol in millilitres - if unknown then state as unknown
		Other	Find of any other item related to alcohol.			State	Count one find as one
		Tattooing Device	Find of any device used for creating tattoos.			Items	A find of a device and / or needles and / or ink would count as ONE find under device.
	Tattoo Equipment	Tattoo Needle	Find of any item used as a needle for tattooing (not connected to tattoo device).	, i		Items	Count if needles are found on their own. If found with a tattoo device then only count one device
	Tattoo Equipment	lnk	Find of any ink used for tattooing.	N		millilitres	Count if ink is found on its own. If found with a tattoo device or needles then only count one device
		Tattoo	Appearance of any new tattoos on a prisoner.			Prisoners	Number of prisoners identified with new tattoos - not the number of new tattoos

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
		Money	Find of money.			Dollars	Total amount of money in dollars
		Pornography	Find of pornographic material including magazines, dvds, posters, writing.			NA	NA
		Gang Paraphernalia	Find of any item of gang paraphernalia including clothing, pictures, graffiti.			NA	NA
		Throwovers (in no other category)	Any incident where drugs or other contraband is 'thrown' across the perimeter fence.			NA	NA
		Drop-offs (in no other category)	Any incident where drugs or other contraband is 'dropped off' outside the perimeter fence.			NA	NA
CONTRABAND /	Other	Stockpiled Goods	Find of a quantity of item(s) which is believed to be used for trade.	N		NA	NA
EXHIBITS	Other	Prescription Medicine	Find of prescription medication that has either been stockpiled or which belongs to another prisoner.	N		NA	NA
		T-Bomb	Find of any modified electrical item used for the heating of water.			NA	NA
		Modified Equipment	Find of any modified equipment to be used for an illicit purpose.			NA	NA
		Other	Find of any other illegal / illicit / banned item not listed above.			NA	NA
		Tobacco & Smoking Equipment	Find of any items related to smoking, tobacco pipe, cigarettes filters, cigarettes papers, matches, lighter			NA	NA

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
		Assault - Sexual	Any form of sexual contact without voluntary consent - note these are considered 'serious' for reporting purposes. (see Serious Assault definition guidelines, page 12)		1	Victims	Number of victims of assault in this category
	Prisoner Physical	Assault - Serious	Act of physical violence where the victim requires overnight hospitalisation (beyond initial assessment or medical observation) and/or ongoing medical intervention which results in time off work (> 1 day), and/or inability to return to full duties immediately. (see Serious Assault definition guidelines, page 12)	Y	1	Victims	Number of victims of assault in this category
	Assault on Staff	Assault - Non-Serious	Victim subjected to physical violence that resulted in physical injuries that may have required medical treatment, and/or overnight hospitalisation as part of initial assessment or medical observation but not on-going medical treatment. (see Serious Assault definition guidelines, page 12)		1	Victims	Number of victims of assault in this category
		Assault - No Injury	Victim subjected to physical violence that did not result in physical injuries or require any form of medical treatment. (see Serious Assault definition guidelines, page 12)	N		Victims	Number of victims of assault in this category
		Assault - Sexual	Any form of sexual contact without voluntary consent. (see Serious Assault definition guidelines, page 12)		2	Victims	Number of victims of assault in this category
PRISONER BEHAVIOUR		Assault - Serious	Act of physical violence where the victim requires overnight hospitalisation (beyond initial assessment or medical observation) and/or ongoing medical intervention. (see Serious Assault definition guidelines, page 12)	Y	2	Victims	Number of victims of assault in this category
	Prisoner Physical Assault on Prisoner	Assault - Non-Serious	Victim subjected to physical violence that resulted in physical injuries that may have required medical treatment, and /or overnight hospitalisation as part of initial assessment or medical observation but not on-going medical treatment. (see Serious Assault definition guidelines, page 12)	N		Victims	Number of victims of assault in this category
		Assault - No Injury	Act of physical aggression where victim does not sustain an injury. (see Serious Assault definition guidelines, page 12)			Victims	Number of victims of assault in this category
		Assault - Sexual	Any form of sexual contact without voluntary consent. (see Serious Assault definition guidelines, page 12)		2	Victims	Number of victims of assault in this category
	Prisoner Physical Assault on Other	Assault - Serious	Act of physical violence where the victim requires overnight hospitalisation (beyond initial assessment or medical observation) and/or ongoing medical intervention. (see Serious Assault definition guidelines, page 12)	Y	2	Victims	Number of victims of assault in this category
		Assault - Non-Serious	Act of physical violence where the victim sustains an injury. (see Serious Assault definition guidelines, page 12)		2	Victims	Number of victims of assault in this category
		Assault - No Injury	Act of physical aggression where victim does not sustain an injury. (see Serious Assault definition guidelines, page 12)	N		Victims	Number of victims of assault in this category

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
	Prisoner Abuse / Threat on Staff	Prisoner abuses or physically threatens staff	Prisoner(s) abuses or physically threatens an officer(s).	N		NA	NA
	Prisoner Abuse /	Prisoner abuses prisoner	Prisoner(s) verbally abuses prisoner(s).	N		NA	NA
	Threat on Prisoner	Prisoner threatens prisoner	Prisoner(s) verbally threatens prisoner(s).			NA	NA
		Prisoner verbally abuses / threatens other over phone	Prisoner verbally abusive and / or threatening on the telephone.			NA	NA
	Deiganan Abusa /	Prisoner verbally abuses / threatens visitor	Prisoner verbally abusive and / or threatening to a visitor(s).			NA	NA
	Prisoner Abuse / Threat on Other	Prisoner verbally abuses / threatens member of the public	Prisoner verbally abusive and / or threatening to a member of the public (e.g. whilst on escort, RTW).	N		NA	NA
		Prisoner verbally abuses / threatens non-custodial employee	Prisoner verbally abusive and / or threatening to a programme provider, tutors, chaplain, etc.			NA	NA
		Activates Sprinkler	Prisoner(s) deliberately activates sprinkler in cell.			NA	NA
		Activates Smoke Alarm	Prisoner(s) deliberately activates smoke alarm.			NA	NA
	Willful Damage	Deliberately obstructs view (in no other category)	Prisoner(s) intentionally obstructs the view of staff by either covering a camera / food slot etc (damaging a camera would fit under willful damage).	N		NA	NA
		Graffiti / tagging	Prisoner(s) caught graffiting or tagging prison property.			NA	NA
		Other willful damage (in no other category)	Prisoner(s) intentionally damages either prisoner or prison property.			NA	NA

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
		Breaks prison rules	Prisoner(s) deliberately and knowingly breaks one or more prison rule.			NA	NA
		Disobeys lawful order	Prisoner(s) refuses a lawful order given by an officer.			NA	NA
		Steals PRISON property	Prisoner(s) is found with item(s) of prison property in their possession without authority.			N/A	NA
		Steals PRISONER property	Prisoner is found with item(s) of property belonging to another prisoner without permission.			NA	NA
		Attempts to coerce / corrupt staff	Prisoner(s) attempts to convince officer(s) to act in an unlawful way.			NA	NA
DDICONED	Other Bridger	Stand overs / intimidation / taxing	Prisoner(s) attempt to coerce / bully / intimidate other prisoner(s).			NA	NA
PRISONER BEHAVIOUR	Other Prisoner Behaviour	Written threats to staff or prisoner	Prisoner(s) writes inappropriate message / letter to officer or prisoner.	N		NA	NA
			Prisoner(s) writes inappropriate or threatening message / letter to person external to the prison.			NA	NA
		Fighting	Prisoners found fighting with each other (no assault charges - both charged with fighting)			Prisoners	Number of prisoners fighting
		Other Prisoner Behaviour	Any other behaviour which warrants note.			NA	NA
		Smoking	Any prisoner breaching the Prison Manager's rule banning smoking.			NA	NA
		Dilute / tampered drug sample	Prisoner tampers with or returns a dilute drug sample.			NA	NA

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
	Mechanical	Hand Cuffs - other than on escort	Use of hand cuffs in any situation that is not an escort or an internal movement.	v	2	Prisoners	Number of prisoners hand cuffed
	Restraints	Tie Down Bed	When prisoner is restrained on a tie down bed.	Y	2	Prisoners	
		Head Protector	When a prisoner has a head protector applied.		2	Prisoners	
		Pepper Spray	When pepper spray is used on a prisoner.		2	Prisoners	
	Non Lethal Weapons	Baton	When a baton is used on a prisoner.	Υ	2	Prisoners	
		Spit Hood	When a spit hood is used on a prisoner.		2	Prisoners	
		Control and Restraint	Control and Restraint team assembled and force is used.		2	Prisoners	Number of prisoners force is used on
		Use of force - spontaneous	Non-trifling spontaneous force is used on a prisoner by an officer(s) - examples include - taking to the ground, hold and restraints techniques.	Y	2	Prisoners	Number of prisoners force is used on
	Use of Force	Trifling Physical Contact	Trifling Physical Contact is used on a prisoner by an officer- examples include assisting, ushering, guiding, steering, separating or holding apart, any non threatening physical contact.	N		Prisoners	Number of prisoners force is used on
		C&R team formed but not deployed	Control and Restraint team assembled but no force was used.			Prisoners	Number of prisoners force is used on
PRISONER MANAGEMENT		Security Good Order or Safety s 58	Prisoner's ability to associate with others is restricted or denied due to them posing a risk to the good order and safety of the prison or the safety of another prisoner.			NA	NA
		Voluntary Protective Custody s 59(1)(a)	Prisoner's ability to associate with others is restricted at their request.			NA	NA
	Segregation	Directed Protective Custody s 59(1)(b)	Prisoner's ability to associate with others is restricted or denied due to them being at risk from others.	N		NA	NA
		Purpose of Medical Oversight s 60	Prisoner's ability to associate with others is restricted or denied as a result of a medical officer's assessment of their physical or mental health.			NA	NA
		Time out	Prisoner placed on Time Out			NA	NA
		Change of behaviour	Prisoner has an At Risk assessment completed due to a change in their behaviour			NA	NA
		Threatens self-harm	Prisoner has an At Risk assessment completed due to threatening self-harm			NA	NA
	At Risk Assessment	Receives bad news	Prisoner has an At Risk assessment completed due to receiving bad news	N		NA	NA
		Change of circumstance	Prisoner has an At Risk assessment completed due to a change of circumstance			NA	NA
		Other	Prisoner has an At Risk assessment completed due to any other reason			NA	NA

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
	Death in Custody Natural Causes	Apparent natural causes	The death while in custody of any prisoner, as a result of natural causes	Y	1	Prisoners	Number of prisoners
		Apparent homicide	The death while in custody of any prisoner, as a result of foul play		1	Prisoners	Number of prisoners
	Death in Custody Not	Apparent suicide	The death while in custody of any prisoner, as a result of self harm	v	1	Prisoners	Number of prisoners
	Natural Causes	Apparent accident	The death while in custody of any prisoner, as a result of an accident (includes accidental drug overdose)	Y	1	Prisoners	Number of prisoners
		Unconfirmed / unknown	The death while in custody of any prisoner, unable to confirm cause		1	Prisoners	Number of prisoners
	Self Harm	Self harm - threat to life	Intentional act of harm to oneself which would most probably have led to death if there was no immediate intervention (includes all attempted suicides)	Y	1	Prisoners	Number of prisoners
BRICONER	Con mann	Self harm - no threat to life	Intentional act of harm to oneself which would most probably would not have led to death if no immediate intervention	N		Prisoners	Number of prisoners
PRISONER SAFETY / WELFARE	Accident to a	Serious Harm Accident	Prisoner(s) is involved in an accident and receives injuries of a serious nature (as defined in H&S legislation)	Y	2	Prisoners	Number of prisoners
WEEFARE	Prisoner	Non-serious Harm Accident	Prisoner(s) is involved in an accident and receives injuries of a non-serious nature (as defined in H&S legislation)	N		Prisoners	Number of prisoners
	II	Hunger strike of high profile prisoner	A prisoner refuses food or liquid for a period no less than 24 hours	Y	1	Prisoners	Number of prisoners
	Hunger strike	Hunger strike of non high profile prisoner	A prisoner refuses food or liquid for a period no less than 24 hours	ľ	2	Prisoners	Number of prisoners
		Accident	Prisoner taken to hospital due to an accident	v	2	Prisoners	Number of prisoners taken to hospital in this category
		Not accident	Prisoner taken to hospital due to an assault or self harm	Y	2	Prisoners	Number of prisoners taken to hospital in this category
	Hospitalisation	Illness	Prisoner taken to hospital to due illness or poor health			Prisoners	Number of prisoners taken to hospital in this category
		Scheduled Appointment	Prisoner taken to hospital for a scheduled appointment	N		Prisoners	Number of prisoners taken to hospital in this category
		Child Birth	Prisoner taken to hospital to give birth			Prisoners	Number of prisoners taken to hospital in this category

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
		Breakout	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.		1	Prisoners	Number of prisoners who escaped in this category
	E	From Escort	Prisoner escapes from escort, while under supervision, includes escorted outings and court escorts either by PS or contractor.	, ,	1	Prisoners	Number of prisoners who escaped in this category
	Escape	Absconding	Prisoner physically leaves the designated area and is away from direct custodial control (includes walk away from work parties).	Y	1	Prisoners	Number of prisoners who escaped in this category
		Breach of Temporary Release Conditions	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 reason).		1	Prisoners	Number of prisoners who escaped in this category
PRISON SECURITY	Potential escape	Attempted escape	Prisoner is found to either have breached a security barrier in an attempt to escape custody but is still contained within a secure area, or has attempted to breach a security barrier. In such cases the prisoner must remain contained within the security barriers present and / or be under observation of a corrections officer.	Y	1	Prisoners	Number of prisoners who attempted to escape
	i otentiai escape	Find of escape aids	Find of any item with the intent of being used to aid escape (e.g. stockpiled sheets, rope).	'	1	NA	Number of prisoners found with escape aids
		Removal of waist restraints / mechanical restraints	Event in which a prisoner has deliberately removed a waist restraint or mechanical restraint without authority.		1	Prisoners	Number of prisoners who removed restraints
		Riot	Concerted, organised disorder event requiring external agency involvement.		1	NA	NA
	Disorder Event	Prop	Group of prisoners refuse to obey a lawful order.	Y	1	NA	NA
	Disorder Event	Hostage	Prisoner takes a person against there will and makes threats on their welfare in exchange for some benefit.	ľ	1	NA	NA
		Fire or Arson	Prisoner(s) light fires.		2	NA	NA

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
		Prisoner Breaches Security	Prisoner found in an unauthorised area (if this is deemed as an attempted escape then this needs to be categorised as such).		2	NA	NA
		Intruder	Member of the public on prison grounds in an anauthorised area (includes outside normal visiting times).	Y	2	NA	NA
	Breach of Security	Unlocked Doors / Grilles / Gates	A door, gate or grille is found to be unsecured and is not due to a system failure.		2	NA	NA
		Security Equipment Failure	An item of security equipment (e.g. cameras, beams, alarms, fence security) is found to be faulty.		2	NA	NA
		Communications System Failure	A failure in the communications system.	N		NA	NA
	Wrongful Release	Wrongful Release	Prisoner released from custody prior to their lawful release date.	Y	2	Prisoners	NA
	Wrongful Detention	Wrongful Detention	Prisoner held in custody after their lawful release date.	Υ	1	Prisoners	NA
PRISON		Self Harm	Prisoner is unlocked due to actual self harm or threatened self harm and requires relocation (to ARU).			NA	NA
SECURITY		Medical	Prisoner is unlocked due to requiring medical assistance.			NA	NA
0200	After Hours Unlock	Operational	Prisoner(s) unlocked due to a search operation e.g. cell phone detection, drug detection.	N		NA	NA
		Maintenance	Prisoner is unlocked due to maintenance issues in cell e.g leaking toilet or flooding etc.			NA	NA
		Prisoner related incident whilst in the care of Police	Any event involving a prisoner in the lawful custody of the Department whilst in the care of Police.		1	NA	NA
		Organised Protest	An organised and planned event protesting against the Department, persons external to the prison.		2	NA	NA
	External Threats to Security	Bomb Threat	Received information of a bomb on Department property or representing a threat to Department operations.	Y	2	NA	NA
		Prisoner related incident whilst in the care of a security contractor	Any event involving a prisoner in the lawful custody of the Department whilst in the care of a security contractor. Eg First Security (NOT MECF).		1	NA	NA
		Other External Threat to Security	Any other event which threatens prison security.		2	NA	NA

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Primary Category	Secondary Category	Tertiary Category	Descriptor	Notifiable	Time Code	Quantity	Counting Rule
		Visitor Assaults Prisoner	Visitor physically assaults prisoner.		2	NA	NA
	Visitor Assaults	Visitor Assaults Staff	Visitor physically assaults staff member.	Υ	2	NA	NA
		Visitor Assaults Other	Visitor physically assaults other (not prisoner or staff member).	·	2	NA	NA
		Visitor refuses a lawful order, deliberately breaks prison rules or damages prison property	Visitor refuses a lawful order, deliberately breaks prison rules or damages prison property.			NA	NA
VISITOR INCIDENT	Visitor Behaviour	Visitor threatening and abusive	Visitor exhibits threatening and abusive behaviour to a member of staff or a prisoner or another visitor (not physical assault).	N		NA	NA
		Visitor acts inappropriately with prisoner	Non-offender acts in an inappropriate manner with a prisoners.			NA	NA
	Non-offender	Visitor Strip or Rubdown Searched	Visitor is subject to a strip or rubdown search.			NA	NA
	Security	Visitor Vehicle Searched	Visitor's vehicle is subject to a search.	N		NA	NA
		Visitor refused entry	Visitor is refused entry to prison site.			NA	NA
		Any other event not listed with a potential for official notification	Anything else not covered above with a potential for official notification.	Y	2	NA	NA
OTHER	Any other event not listed	Incident while on Temporary Release	Any incident that has occurred while prisoner was on Temporary Release (ensure any other category is also selected if applicable) that does not result in a charge of escaping.	Y	2	Prisoners	Number of prisoners on temporary release
		Incident while on Temporary Removal	Any incident that has occurred while prisoner was on Temporary Removal (ensure any other category is also selected if applicable).	Y	2	Prisoners	Number of prisoners on temporary removal
FACILITIES	Shared cells	Event in a shared cell	Any event in a shared cell that involves one or both of the cell occupants while in the shared cell (this category is used to maintain records of shared cell incidents and will be added to another category).	N		NA	

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agreed between PS Operations and FSI Performance team prior to being closed off at Head Office.

Serious Assaults (Definition guidelines)

following: Sexual assault of any form and degree Bodily harm requiring medical intervention by medical staff followed by overnight hospitalization (beyond initial assessment or medical observation) in a medical facility Bodily harm requiring extended periods of ongoing medical intervention. Guidelines Victim taken to local medical centre / hospital and admitted as in-patient overnight. Or requiring extended periods of ongoing treatment. injuries that may lovernight hospital medical medical observation Guidelines Guidelines Victim taken to local medical centre / hospital and admitted as but not admitted to checked or for observation		
 Victim taken to local medical centre / hospital and admitted as in-patient overnight. Or requiring extended periods of ongoing treatment. Victim taken to pris but not admitted to checked or for observed. 	Guidel	lines
in-patient overnight. Or requiring extended periods of ongoing but not admitted to treatment.	on medical unit, out-patients, local medical centre • Kicki	ing, shoving, jostling, striking, punching that did not
	hospital as in-patient, to have injuries received, resul	It in injury (on the basis of the information available).
1 lactares	ervation (excluding mandatory medical assessment taff or prisoners involved in incidents even if no • Priso	oners or staff exposed to bodily or other fluids not
Severe internal injuries injury received)	•	Iting in an injury. For example, spitting, water throwing.
Serious cuts, lacerations requiring multiple stitches/sutures/staples Blood nose		
 Stab & puncture wounds Severe scalds or burns Extensive bruising X-ray required 		
Severe general shock Cuts requiring mini	nal stitches	
Broken and/or missing teeth which require reconstruction Gouging, bites		
Note: injuries need to be corroborated by a medical professional		

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