



26 April 2012

C57940

[REDACTED]

Dear [REDACTED]

Official Information Act request of 6 March 2012

Thank you for your Official Information Act request of 6 March 2012, as follows:

Please release all performance reports and statutory reports, provided to date by Serco.

I can confirm that the Department of Corrections has received information from Serco that meets the performance reporting requirements of the contract (ie Schedule 5).

Performance Reporting denotes a set of contracted performance standards falling under a number of categories (eg Performance Measures, KPIs) each with targets, and some (ie KPIs) with associated financial incentives. They are to be reported as Year to Date figures each month.

Statutory Reporting denotes the Contractor's responsibility to report to the Crown any instance where the powers vested in them by the Corrections Act are put to use (eg use of force, training provided to officers). It also provides a baseline of information to be reported (eg number and nature of violent incidents, number of complaints) which may overlap with the Contract where the Contract has its own, robust Performance Reporting process. Statutory Reporting is carried out quarterly, and details are to be provided for the quarter in question.

We have agreed with Serco that we will validate the data sets from which the Performance Reporting information has been extracted, and that Serco will provide the Department with its statutory report once this process has been completed. As we are still validating the data, the Department has not yet received the statutory reports, and so this aspect of your request is declined pursuant to section 18(e) of the OIA:

That the document alleged to contain the information requested does not exist or cannot be found

In response to your request for the performance reports, I have attached the reported information received from Serco for the Year to Date (ie seven months to 29 February 2012). However, I should note that the Department has not yet completed its review of the figures, and this information has not been validated. We expect to have this process completed within the month.

You will see from the attached reports that Serco have not achieved the required 100% performance level for several Performance Measures. While this result is less than we expect, we have been actively working with Serco to ensure that improvements are achieved.

The Department is entitled to issue a performance notice for any non-trivial breach of the contract. All notices are signed by the Chief Executive, and are monitored by the Department's Commercial Contracts Team. For every notice issued, Serco must undertake a series of steps to reassure the Department that the breach has been rectified and will not reoccur. If the notice is upheld, Serco will also be liable for a fine, which will be deducted from their performance-related fee.

Should Serco wish to challenge the notice, they have an opportunity to respond within an agreed period, outlining any mitigating circumstances. The Department will consider these and confer with operational teams where appropriate, before deciding whether the notice should be upheld. If the breach has not been remedied within 15 working days of the notice being issued or by another agreed date, the Department may issue to the Contractor a further notice (Unremedied Default Notice), which specifies that the breach has not been remedied and imposing a further fine.

The Department expects the standards will be achieved and the performance notices will be withdrawn. Should there be a performance measure that is not achieved within the year, the Department will enforce the performance notice and will charge the penalty.

I trust this information is of assistance to you. You are welcome to contact the Department's media team for clarification of any of the information in this response on (04) 460 3365 or email commdesk@corrections.govt.nz.

Yours sincerely

PS

Ray Smith
Chief Executive

Contract Management of Prisons: Contracted Reporting Requirements

The following tables outline information requested in Schedule 5 of the Contract (the *Contractor Reporting* section), broken down as follows:

- **Performance Measures:** 37 measures each with a required target
- **KPI's:** 11 measures, each with a required target and with a financial incentive attached (the *Performance Related Fee*)
- **Vote Corrections:** Serco's reporting against the Departments' own Budgetary Appropriations Reporting
- **Statutory Reporting:** Serco's reporting against requirements of the Corrections Act

Performance Measures

N.B. Measures marked in bold are figures provided by Serco, they have not yet been validated by the Department due to a lack of supporting evidence

Performance measure	Required level	Achieved level
1. The percentage of Prisoners who receive an initial health screen by a Registered Health Professional within four hours of reception.	100%	98.7%
2. The number of wrongful detentions of Prisoners.	Zero	1
3. The number of times a Prisoner is not able to be received and accommodated within the agreed number of Prisoner places.	Zero	0
4. The number of escapes from custody under Contractor escort.	Zero	0
5. The number of wrongful releases.	Zero	2
6. The number of escapes from custody.	Zero	1
7. The number of losses of control (e.g. a riot).	Zero	0
8. The percentage of Prisoners correctly placed in shared accommodation, according to their shared accommodation assessment.	100%	84.3%
9. Adherence to searching strategies and plan.	98%	91%
10. The adherence to the drug testing plan.	Equal to or greater than 95%	90%
11. The completion rate of general random drug tests on Prisoners selected by the Department.	98%	82%
12. The percentage of positive general random drug tests.	Less than or equal to 12% of general random drug tests	3%
13. Compliance with incident and contingency protocols.	98%	100%
14. The percentage of compliance with the incident notification system.	100%	74%
15. The rate of serious assaults.	Less than or equal to 0.9 per 100 Prisoners	0.75
16. The rate of self-harm or threat-to-life incidents.	Less than or equal to 0.7 incidents per 100 Prisoners	0.0

Performance measure	Required level	Achieved level
17. The number of unnatural deaths in custody.	Zero	0
18. Percentage of Prisoners that receive a cardio vascular risk assessment (CVRA).	80% of those prisoners who: (a) are assessed at reception as requiring a CVRA, and (b) consent to a CVRA, receive a CVRA within eight weeks of giving consent.	75%
19. The percentage of Prisoner transfers where the Contractor advises the Department of the balance of the Prisoner's Trust Account within 24 hours of the transfer.	100%	100%
20. The number of justified Prisoner complaints.	Less than or equal to 9	3
21. The percentage of chargeable offences where the Prisoner is served within seven days.	100%	65%
22. Percentage of access that is granted to approved visitors according to established visitor protocols.	100%	100%
23. The percentage of Sentenced Prisoners with an appropriate Prisoner management plan in place within 28 days of sentencing for Prisoners sentenced to a period of imprisonment of 26 weeks or less or within 60 days of sentencing for Prisoners sentenced to a period of imprisonment exceeding 26 weeks.	Equal to or greater than 90%	30%
24. The percentage of remand Prisoners (with a remand period of over 60 days) with an appropriate Prisoner Management Plan in place within 60 days of reception.	Equal to or greater than 90%	91%
25. The percentage of Prisoners whose Prisoner Management Plan is reviewed at least every six months.	98%	Not yet applicable
26. The percentage of Prisoners engaged in structured activities (including employment, training, programmes and constructive activities).	75%	76%
27. The adherence to the agreed programme delivery plan for rehabilitation and reintegration activities.	Equal to or greater than 95%	99%
28. The participation rate of Prisoners as a percentage of total available places for rehabilitation and reintegration programmes within the programme delivery plan.	80%	100%
29. The percentage of prisoners who start a rehabilitation and/or reintegration programme, and go on to complete it.	80%	100%
30. The percentage of NZQA credits which are entered into the New Zealand Qualifications Framework within a month of completion.	98%	100%
31. The average number of credits achieved by Prisoners learning industry-based skills under the New Zealand Qualifications Framework.	Equal to or greater than 10 credits per participating Prisoner	2.59
32. The percentage of Sentenced Prisoners released as per their release plan.	98%	87%

Performance measure	Required level	Achieved level
33. The percentage of reports provided to the New Zealand Parole Board to agreed timeframes and standards.	95%	93%
34. The number of justified complaints from agencies.	Less than or equal to 5	0
35. The percentage of complaints from external service providers resolved.	100%	100%
36. Programmes and services are targeted or tailored for Māori prisoners	Yes	Yes
37. Effective engagement of Māori stakeholder groups, including mana whenua, to provide governance and operational support and advice for the Contract Prison.	Yes	Yes

KPI's

TABLE FOR KPI REPORTING DURING YEAR 1				
KPI	Performance Standard	Target level	Achieved level	Weighting
Percentage of Prisoners testing positive for drugs based on random sample	Less than or equal to 12%	Less than or equal to 8%	3%	10%
The rate of serious assaults	Less than or equal to 0.9 per 100 Prisoners per Year	Less than or equal to 0.4 per 100 Prisoners per Year	0.75	10%
The rate of self-harm threat-to-life incidents	Less than or equal to 0.7 incidents per 100 Prisoners per Year	Less than or equal to 0.3 incidents per 100 Prisoners per Year	0.0	10%
Number of justified Prisoner complaints	Less than or equal to 9 per Year	Less than or equal to 3 per Year	3	10%
Number of justified complaints received from agencies	Less than or equal to 5 per Year	0 per Year	0	10%
The percentage of Prisoners with an appropriate Prisoner Management Plan in place within timeframes.	90%	97%	61.42%	10%
Education Training, & Employment Pathway – Percentage of Prisoners with improved benchmarked educational or training outcomes, in accordance with their assessed needs			Methodology agreed, but not yet reported on	
<ul style="list-style-type: none"> Total Prisoners 	10%	20%		5%
<ul style="list-style-type: none"> Māori Prisoners 	10%	20%		2.5%
Mental and Physical Health Pathway – Percentage of Prisoners whose well being is improved whilst at the contract prison			Methodology agreed, but not yet reported on	

TABLE FOR KPI REPORTING DURING YEAR 1				
KPI	Performance Standard	Target level	Achieved level	Weighting
• Total Prisoners	15%	30%		5%
• Māori Prisoners	15%	30%		2.5%
Attitudes and Self Control Pathway – Percentage of Prisoners with improved attitudinal or self control outcomes			Methodology agreed, but not yet reported on	
• Total Prisoners	15%	30%		5%
• Māori Prisoners	15%	30%		2.5%
Children and Family Networks Pathway – Percentage of Prisoners with improved Parenting or Family development outcomes			Methodology agreed, but not yet reported on	
Total Prisoners	10%	20%		5%
Māori Prisoners	10%	20%		2.5%
Contract Prison ranking in the Department's prisons league table	6th	1st	Dept League Table not yet finalised	10%

Vote Corrections

Reporting Requirements		
Information	Standard	YTD Score
Prisoners being released on their lawfully required release date	100%	100%
The percentage of reports provided to agreed standards – Psychological Reports	100%	86%
The percentage of reports provided within the agreed timeframes before sentencing – Psychological Reports	100%	100%
The number of reports provided to the courts - Psychological Reports	N/A	7
The percentage of reports provided to agreed standards - Parole Assessment Reports	100%	100%
The percentage of reports provided to agreed standards - Psychological Reports	100%	100%
The percentage of reports provided to agreed timeframes - Parole Assessment Reports	≤75%	89%
The percentage of reports provided to agreed timeframes - Psychological Reports	≤75%	85%
The number of reports prepared and provided to the NZPB - Parole Assessment Reports	N/A	153

Reporting Requirements		
Information	Standard	YTD Score
The number of reports prepared and provided to the NZPB - Psychological Reports	N/A	13
The rate (and number) of breakout escapes per 100 remand prisoners	≤0.13	0.16
The rate (and number) of other escapes per 100 remand prisoners	0.00	0.00
The rate (and number) of serious prisoner/prisoner assaults per 100 remand prisoners	≤0.65	0.65
The rate (and number) of serious prisoner/staff assaults per 100 remand prisoners	≤0.13	0.00
The rate (and number) of unnatural deaths per 100 remand prisoners	≤0.13	0.00
The rate (and number) of self harm threat-to-life incidents per 100 remand prisoners	≤0.65	0.00
The average number of remand prisoners held	N/A	614
The maximum number of remand prisoners held	N/A	693
The rate (and number) of breakout escapes per 100 sentenced prisoners	0.00	0.00
The rate (and number) of other escapes per 100 sentenced prisoners	0.00	0.00
The rate (and number) of serious prisoner/prisoner assaults per 100 sentenced prisoners	≤0.50	0.97
The rate (and number) of serious prisoner/staff assaults per 100 sentenced prisoners	≤0.50	0.00
The rate (and number) of unnatural deaths per 100 sentenced prisoners	0.00	0.00
The rate (and number) of self harm threat-to-life incidents per 100 sentenced prisoners	≤0.50	0.00
The average number of sentenced prisoners held	N/A	310
The maximum number of sentenced prisoners	N/A	375
The percentage of eligible prisoners who are referred for a specialist health assessment within seven days of reception to a prison	≤90%	No data available
The percentage of justified complaints by prisoners relating to the provision of health services	≤3%	No data available
The percentage of all remand and newly sentenced prisoners who are screened by a health professional within 24 hours of reception	100%	97%
Number of prisoners who receive a health screen upon reception	N/A	3,792

Reporting Requirements		
Information	Standard	YTD Score
Total number of consultations with healthcare staff	N/A	17,284
The positive percentage rate of general random drug tests for remand prisoners	≤10%	4%
The positive percentage rate of general random drug tests for sentenced prisoners	≤%10	2%
The total number of drug tests sampled	1,242	741
The number of prisoner telephone calls monitored	5,527	2,521
The percentage of initial offender plans which meet the agreed quality standards	100%	100%
The percentage of initial offender plans which are completed to agreed timeframes	≤85%	57%
The percentage of prisoners entitled to receive an offender plan that received one	≤90%	83%
The percentage of prisoners that start classroom based adult literacy and numeracy education who met the selection criteria	100%	100%
The percentage of prisoners who started classroom based adult literacy and numeracy education who demonstrate measurable improvements in literacy and numeracy skills as measured by the Tertiary Education Commission Literacy and Numeracy for Adults Assessment Tool	-	-
Number of prisoners who started classroom based adult literacy and numeracy education	N/A	897
The total number of prisoners employed while in custody	Benchmark to be established during 2011/2012	69
The percentage of offenders who start and complete other rehabilitative interventions	70-95%	100%
The total number of offenders who start an offence-focused rehabilitation intervention	Benchmark to be established during 2011/2012	451
The total number of prisoners who participated in constructive activities	N/A	6,635
The total number of hours prisoners spent participating in constructive activities	N/A	11,516