



Department
of Corrections:
Managing
offenders
to reduce
reoffending





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Photo courtesy: Department of Corrections

Department of Corrections: Managing offenders to reduce reoffending

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Contents

Auditor-General's overview	5
Our recommendations	7
Glossary	8
Part 1 – Introduction	11
The purpose of our audit	11
What we audited	12
What we did not audit	13
How we carried out our audit	13
Part 2 – A strategic priority of reducing reoffending	15
The strategic framework that the Department of Corrections works within	15
Unifying the Department of Corrections' effort	18
The What Works approach	19
Part 3 – An offender-centric approach to managing offenders	21
Assessments for offender plans	21
Programmes for offenders	24
Challenges with scheduling offenders on programmes	28
Part 4 – Education, training, and employment opportunities for offenders	31
An increased priority on education and training	31
Increasing the work skills of offenders	34
Part 5 – Reintegrating offenders into the community	37
The aim of reintegration	37
Helping offenders on short or remand sentences	41
Part 6 – Managing the risks of reoffending	43
Monitoring and managing dynamic risk in the community	43
Managing dynamic risk in prisons	46
Managing high-risk offenders in the community	47
Part 7 – Improving staff capability to support the reduction of reoffending	51
Staff training and development	51
Sharing good practices and combining efforts	55
Modernisation	56
Part 8 – Working with others to reduce reoffending	59
Working with other public entities to reduce reoffending	59
Partnering with iwi and community groups	63
Part 9 – Performance measures and targets for reducing reoffending	65
Performance measures and targets	65
Monitoring and reviewing performance information	69
Part 10 – A focus on continuous improvement	71
Evaluating the effectiveness of reducing reoffending	71
Benchmarking performance internationally	75
Gathering feedback from offenders and stakeholders	77

Appendices

1 – The strategic framework for reducing reoffending	81
2 – Reducing Reoffending Action Plan	83
3 – Rates of reconviction and reimprisonment within 24 months	87

Figures

1 – Appropriations for the Department of Corrections, 2013/14	12
2 – Scheduling offenders in and out of programmes	30
3 – The nine types of sentences and orders that community-based offenders are managed under	43
4 – Dynamic risk assessment offender re-entry tool	44
5 – Structured dynamic assessment case management tool	46
6 – The Community Probation Integrated Practice Framework	52
7 – The Community Probation Practice Leadership Framework	54
8 – The criminal justice pipeline	60
9 – Reconviction and reimprisonment rates for offenders released from prison, within 12 months of release	66
10 – Reconviction and imprisonment rates for offenders serving a community-based sentence, within 12 months of beginning their sentence	66
11 – Progress in reducing reoffending towards 2017 targets	68
12 – Results for rehabilitation programmes and interventions, 2012/13	72
13 – Reconviction and reimprisonment rates for offenders released from prison, within 24 months of release from prison	87
14 – Reconviction and imprisonment rates for offenders serving a community-based sentence, within 24 months of beginning their sentence	87

Auditor-General's overview

Most of us know someone who has been affected by crime. The goals of the Department of Corrections (the Department) are to improve public safety and reduce reoffending.

This report sets out the findings of a performance audit that focused on the Department's work to reduce reoffending. We wanted to assess how well the Department is managing offenders to achieve this goal. The Department has set a target to reduce reoffending by 25% by 2017. Overall, this would result in 600 fewer reimprisonments, 4000 fewer community reconvictions, and about 18,500 fewer victims each year.

The Department works in a challenging environment. It is responsible for managing more than 40,000 offenders at any one time. About 8500 are held in prisons, and about 32,000 are serving a community-based sentence or order. Many of the offenders the Department manages have high alcohol and drug dependencies, high mental health needs, low literacy and numeracy skills, and low job skills and qualifications.

We found strengths in how the Department is working to reduce reoffending. The Department's approach to managing offenders is based on, and supported by, international research. It has a culture that values evidence. For example, the Department has placed increased focus on education, training, and employment opportunities for offenders, which research has shown to be effective in reducing reoffending. The Department also targets Māori offenders, who represent about half of all offenders in prison and 45% of offenders serving community-based sentences.

The Department continuously assesses the effectiveness and efficiency of its interventions, learns from success and failures, and uses that information for improvements. The Department is to be commended for its evidence-based approach.

The Department is increasing the number of programmes that work and is putting systems and tools in place to better manage offenders to reduce the likelihood of reoffending. However, it faces some challenges in scheduling offenders into programmes and ensuring the successful transition of prisoners into the community.

The Department will need to continue working on the challenges it faces to maintain and enhance the effectiveness of its approach. We have made recommendations to assist the Department in addressing some of these challenges:

- efficiently and effectively scheduling offenders into programmes – for example, having a scheduling system that provides a structured day for offenders and supports rehabilitation and reintegration once an offender has completed rehabilitation;
- continuing to strengthen the alignment between prisons and community probation – in particular, how case managers in prisons and probation officers work together to better transition offenders from prisons into the community; and
- being more consistent in getting feedback from offenders and stakeholders.

The Department carried out a range of structural changes in 2012 to unify its effort to reduce reoffending. It moved leadership and decision-making to the regions and brought together the management of prisons, community probation, and rehabilitation and reintegration services under a unified regional management structure. The Department also has a clear strategy that staff understand well. The Department has clearly defined what it wants to achieve and how its work contributes to reducing reoffending.

In 2009, my Office carried out a performance audit that looked at the Department's compliance with its procedures for managing offenders. The report of that audit made several recommendations. To the Department's credit, the changes it has made have extended beyond the recommendations of our 2009 report.

The Department still has some way to go to achieve its target of reducing reoffending by 25% by 2017. It has made a good start and has achieved encouraging early results, particularly with community-based offenders. In the last two years, the reoffending rate has reduced from 30.1% to 26.6%. However, the Department manages some very difficult people and will never be able to stop all reoffending. It is important that the Department builds on its successes so far.

I thank the Department – particularly the staff at the National Office and the staff and offenders in the prisons and community probation centres my staff visited – for their time and co-operation.



Lyn Provost
Controller and Auditor-General

5 December 2013

Our recommendations

We recommend that the Department of Corrections:

1. continue to investigate ways to improve its scheduling system so it can support rehabilitation and reintegration after an offender has completed a rehabilitation programme;
2. continue to strengthen the alignment between case managers and probation officers. We encourage the Department to ensure that the knowledge and experience of other prison staff is used in managing and transitioning offenders from prison into the community; and
3. use a survey tool that will:
 - provide a more consistent approach throughout the Department for collecting feedback from offenders and stakeholders;
 - measure the factors that are important to New Zealanders when receiving public services;
 - fit with the offender-centric approach that takes into account the offender's circumstances and what works for offenders to stop reoffending; and
 - allow the Department to benchmark with other justice sector entities, such as the Police and courts.

Glossary

DRAOR (Dynamic Risk Assessment Offender Re-entry tool)	A tool used by community probation officers to assess an offender's imminent risk of reoffending or causing harm to others.
Drug treatment unit	Drug treatment units provide a group-based programme in a therapeutic environment for offenders with alcohol- and drug-related issues.
IPF (Integrated Practice Framework)	A framework to support staff to meet their mandatory standards, provide a supported decision-making environment, and give them the tools they need.
Māori focus unit	Māori focus units provide a group-based programme in a therapeutic environment for offenders who identify as Māori. There are five focus units in five different locations operating within a tikanga Māori environment.
Medium-intensity rehabilitation programme	Rehabilitation programme for male offenders with a medium risk of reoffending.
PLF (Practice leadership framework)	Provides training, development, and support for community probation staff to become professional practitioners.
RIF (Regional initiative fund)	A contestable fund for new interventions to be provided by iwi and community groups to support rehabilitation and reintegration services.
Right Track	A structured approach to the active management of prisoners. The programme helps staff to make the right choices and take the right action with offenders at the right time. Right Track training develops the ability of staff to influence offenders to make the right choices as well.
RNR (Risk, Need, Responsivity)	The three main principles to help rehabilitation and reduce reoffending.

RoC*RoI (Risk of conviction and risk of imprisonment measure)	A static risk assessment tool to predict the likelihood of an offender's risk of conviction and risk of imprisonment.
SDAC-21 (Structured Dynamic Assessment Case Management-21 item tool)	A tool used by case managers in prison to identify risk factors that might lead to reoffending. The tool helps to identify and prioritise rehabilitation and reintegration interventions.
Special treatment unit	Special treatment units provide high-intensity treatment programmes for people who are at highest risk of violence or sexual reoffending. These prison-based therapeutic community environments are offered in six special treatment units. Two of the units provide treatment for child sex offenders, while the other four provide treatments for violent and adult sex offenders.
Special treatment unit rehabilitation programme	High-intensity treatment programmes provided in special treatment units by psychologists for offenders who are at highest risk of violence or sexual reoffending.

Part 1

Introduction

- 1.1 In this Part, we discuss:
- the purpose of our audit;
 - what we audited;
 - what we did not audit; and
 - how we carried out our audit.

The purpose of our audit

- 1.2 We carried out a performance audit to assess how well the Department of Corrections (the Department) manages offenders to reduce their likelihood of reoffending. We wanted to know whether the Department is doing the right thing, with the right offender, at the right time. For the purpose of this report, we use the term “offenders” to refer to all people managed by the Department in prisons or on community-based sentences unless we are specifically referring to prisoners.
- 1.3 The Department is responsible for managing more than 40,000 offenders at any one time. About 8500 are held in prisons, and about 32,000 are serving a community-based sentence or order.
- 1.4 The Corrections Act 2004 (the Act) sets out the purposes and principles of the corrections system. Section 5 of the Act states that the purpose of the Department is to improve public safety and contribute to the maintenance of a just society by:
- assisting in rehabilitating offenders and their reintegration into the community by providing programmes and other interventions;
 - ensuring that the custodial and community-based sentences and orders imposed by the courts and the New Zealand Parole Board (the Parole Board) are administered in a safe, secure, humane, and effective manner;
 - providing for corrections facilities to be operated in keeping with rules under the Act that are based, among other matters, on the United Nations Standard Minimum Rules for the Treatment of Prisoners; and
 - providing information to the courts and the Parole Board to assist their decision-making.
- 1.5 In meeting its purpose, the Department is guided by the principles set out in section 6 of the Act. These principles include:
- maintaining public safety;
 - considering victims’ interests and providing access to restorative justice where appropriate;

- providing access to rehabilitative and reintegrative support;
- ensuring that offenders are treated fairly, taking into account their cultural background, ethnicity, and language; and
- encouraging and supporting contact between offenders and their families where appropriate.

1.6 Appropriations for the Department's output expenditure for 2013/14 total \$1.2 billion. Figure 1 shows the breakdown of that amount.

Figure 1
Appropriations for the Department of Corrections, 2013/14

Appropriations	Budget \$million
Information services to the Judiciary and New Zealand Parole Board	61.8
Policy advice and Ministerial services	5.4
Contract management of services provided by third parties	1.6
Prison-based custodial services	753.4
Rehabilitation and reintegration	170.6
Sentences and orders in the community	206.0
Total	1,198.8

Source: The Estimates of Appropriations 2013/14: Vote Corrections.

What we audited

1.7 We looked at how well the Department manages offenders in prison and in the community to reduce reoffending. Specifically, we looked at how well the Department:

- identifies and prioritises offenders to take part in rehabilitation and reintegration programmes;
- meets the rehabilitation and reintegrative needs of offenders, including by providing access to appropriate programmes such as prisoner employment, alcohol and drug treatment, and cultural programmes;
- manages offenders' transition from prison into the community; and
- ensures that its programmes and activities to reduce reoffending are effective and efficient.

What we did not audit

- 1.8 We did not audit whether the Department will achieve its target of reducing reoffending by 25% by 2017. However, we did consider the early results the Department has achieved as context and evidence for our comments about how successfully the Department manages offenders to reduce reoffending.
- 1.9 We have not considered any aspects of corrections law or policy because doing so is outside the Auditor-General's mandate.

How we carried out our audit

- 1.10 To carry out our audit:
- We interviewed staff from the Department's National Office.
 - We visited five districts in three regions. The three regions were Northern, Lower North, and Southern. The five districts were Te Taitokerau, Auckland, Manukau, Wellington, and Canterbury.
 - We visited seven prisons and interviewed staff. This included talking with three Regional Commissioners, prison managers, prison officers, case managers, psychologists, and programme facilitators.
 - We met with about 300 prisoners in individual and group situations. This included prisoners with security classifications ranging from minimum to high. The prisoners we met had committed a wide range of crimes, including violent and sexual crimes, drug offences, burglaries, fraud, and driving offences.
 - We observed case managers preparing offender plans with prisoners.
 - We observed prisoners in various rehabilitation units and programmes.
 - We visited community probation centres and interviewed staff. This included district managers, service managers, practice leaders, psychologists, and probation officers.
 - We met with about 40 offenders who were being managed in the community by community probation. The seriousness of the crimes committed by the offenders we spoke to varied. Two offenders were on extended supervision orders with 24-hour supervision for 10 years. Another was arrested for armed robbery, and others had committed domestic violence, driving, or drug offences.
 - We observed probation officers interviewing offenders to provide advice to the courts.
 - We shadowed probation officers interviewing parolees. We attended a whānau hui with an offender and his whānau, accompanied a probation officer to meet an offender on home detention, and visited a reintegration centre for high-risk offenders.

- We observed multi-disciplinary meetings with Department staff and representatives of other entities that discussed risk management procedures for high-risk offenders who were being released.

1.11 We also looked at:

- policy manuals and strategic documents;
- national and international research on reducing reoffending;
- internal and external performance reports;
- training manuals;
- action plans; and
- accountability documents.

Part 2

A strategic priority of reducing reoffending

- 2.1 In this Part, we discuss:
- the Department’s strategic priority to reduce reoffending;
 - how the Department has organised to meet this priority; and
 - the logic behind the Department’s approach to assessing and managing offenders.

Summary of our findings

- 2.2 The Department has a clear strategic priority to reduce reoffending, which staff understand well and support. The reducing reoffending programme is based on sound intervention logic that targets the groups and behaviours that contribute disproportionately to rates of offending. The Department now offers programmes to prisoners on remand or short sentences who had high reoffending rates but who were previously ineligible for rehabilitation.
- 2.3 The Department carried out a range of structural changes in 2012 to unify its effort to reduce reoffending. This led to better collaboration between prisons and community probation, and moved leadership and decision-making to the regions. The restructure appears to have been done well.
- 2.4 The body of knowledge and professional skills of the psychologists the Department employs have helped to create a culture that values evidence. There is a strong emphasis on evidence-based interventions and evaluation in assessing and managing offenders. The Department’s approach is based on a substantial body of international research known as What Works.
- 2.5 In our view, the Department should be commended for preparing a practical strategy that clearly sets out its outputs, its intervention logic, and the outcomes that it expects to achieve. The Department’s strategic priority is in line with the justice sector’s shared outcomes framework and the Better Public Services action plan.¹ “Reducing reoffending by 25% by 2017” is clear, well understood, and easy to articulate.

The strategic framework that the Department of Corrections works within

- 2.6 The Department is one of several public entities in the justice sector. Others are the Ministry of Justice, the New Zealand Police (the Police), the Crown Law Office, the Serious Fraud Office, and the Ministry of Social Development (for youth justice). In 2004, justice sector Ministers agreed to a framework of shared sector outcomes. The primary justice sector outcome is “a safe and just society”.

¹ See www.ssc.govt.nz/better-public-services.

- 2.7 Under this framework, the Department works to achieve two specific outcomes:
- reduced reoffending; and
 - improved public safety.
- 2.8 The two outcomes are not mutually exclusive. One way to improve public safety is to reduce reoffending.
- 2.9 In 2011, the Department released a four-year strategic plan called *Creating Lasting Change*. It focuses on four priority areas:
- public safety;
 - reducing reoffending;
 - better public value; and
 - visible leadership.
- 2.10 In March 2012, the Government launched the Better Public Services programme. The Department's strategic planning corresponded with the launch of the programme. As part of the Better Public Services programme, the Department set the target of reducing reoffending by 25% by 2017.
- 2.11 In July 2012, the justice sector released an action plan to direct progress towards reducing crime and reoffending. This action plan included seven work streams that formed the basis of the Department's reducing reoffending programme that was announced in August 2012. We have set out in Appendix 1 the strategic framework the Department works within.
- 2.12 Appendix 2 sets out the Department's programme in a Reducing Reoffending Action Plan. The Department's programme aims to give offenders the skills and support they need to live a crime-free life. Initiatives within the work streams include:
- expanding alcohol and drug treatment for offenders;
 - expanding effective rehabilitation programmes, with increased focus on offenders on remand, offenders serving short sentences, community-based offenders, female offenders, and young offenders;
 - preparing a youth strategy to maximise rehabilitation options for young offenders;
 - enhancing rehabilitation services for high-risk offenders on community-based sentences;
 - expanding education and training programmes to provide offenders with the skills to secure employment after they are released from prison;
 - implementing working prisons and increasing offenders' participation in employment;

- working with employers and industry to provide jobs for offenders after they are released from prison; and
- fostering partnerships with iwi and the community to support offenders' social and accommodation needs.

2.13 The Department is able to expand treatment and rehabilitation programmes because an efficiency and effectiveness review (see paragraph 2.30) identified \$85 million in savings. These savings have been reprioritised towards the reducing reoffending programme.

The Department's intervention logic

2.14 The Department's rehabilitation initiatives are based on sound intervention logic that targets the groups and behaviours that contribute disproportionately to rates of offending. For example, 51% of crimes are committed under the influence of alcohol or drugs, 65% of offenders have alcohol or drug problems, more than 60% of offenders are unemployed before they are imprisoned, and up to 90% of offenders have literacy needs.

2.15 The Department specifically targets Māori offenders to address their high and disproportionate rates of offending. Māori represent about half of all offenders in prison and 45% of offenders serving community-based sentences. The Department maintains that, to achieve its goals, it must be more successful with Māori offenders.

2.16 Young offenders (under 20 years of age) are targeted because they are more likely to reoffend than older offenders, and intervention early in a criminal career might prevent a lifetime of further offending.

2.17 The Department also focuses on female offenders because, although men are significantly more represented, the number of female offenders is growing and the crimes they commit are becoming more violent.

2.18 Previously, the Department did not offer programmes to offenders serving short sentences. Every year, about 6000 prisoners who have served two years or less are released. This group has the highest reoffending rates. Previously, prisoners on remand were not eligible for any rehabilitation programmes. During our audit, the Department piloted a programme at three prisons to extend case management to remand prisoners. A review of the pilot suggested that it was successful, and the programme is likely to be rolled out to all prisons in December 2013.

2.19 The Department told us that initiatives targeting prisoners on remand and short sentences are new for New Zealand.

- 2.20 The Department has comprehensively forecasted the additional benefits that each work stream will deliver. For example, the Department forecasts that expanding alcohol and drug treatment will lead to 280 fewer reimprisonments and 1220 fewer community reconvictions each year. Overall, the Department expects that the reducing reoffending programme will result in 600 fewer reimprisonments, 4000 fewer community reconvictions, and 18,500 fewer victims each year.
- 2.21 Several people told us that the ambitious target of a 25% reduction in reoffending has provided a point of focus and been a catalyst for change. Staff are encouraged to try new things to achieve the target. A “business as usual” approach would not deliver the amount of change needed to achieve a 25% reduction. Picking an ambitious goal has “struck the hearts and minds” of staff. We often heard how the 25% target has galvanised people behind the strategy.

Unifying the Department of Corrections’ effort

- 2.22 The Department recognised that achieving such an aspirational goal would require transformational change.
- 2.23 In 2012, the Department carried out a wide range of structural changes to unify its effort to reduce reoffending by 25% by 2017. The previous organisational structure had three distinct service lines supported by corporate groups: Prison, Rehabilitation and Reintegration, and Community Probation. Some staff told us this led to the Department “working in silos”.
- 2.24 The aim of the restructure was to provide greater integration throughout the Department. The restructure formed the Service Development Group, which includes the positions of Chief Custodial Officer, Chief Probation Officer, and Chief Psychologist. These three positions provide national oversight to ensure consistency. They are the “guardians of best practice”. They are responsible for ensuring that lessons learned from one discipline can be applied to others. These positions provide guidance and advice, and do not make decisions for the regions.
- 2.25 The restructure shifted leadership and decision-making to the regions. Each region now has a Regional Commissioner that the three service lines are combined under. Managers and staff in the regions are accountable for delivering results through district plans.
- 2.26 Many people think that the restructure has led to better collaboration between the three service lines and commented that they are not working in silos any more. For example, the Northern Regional Commissioner told us that, as a regional manager in the prisons, she used to say, “I’ll speak with my counterparts

in rehabilitation and reintegration, and probation.” Now that she is responsible for all three service lines, she can make sure that they are working together – in particular, to manage the transition of offenders from prison into the community.

- 2.27 The restructure appears to have been done well. People affected by the restructure told us that there was open communication throughout the process, consultation was sought and valued, and staff feedback was acted on. There was visible leadership, with the Chief Executive and leadership team spending a lot of time in the regions with staff and stakeholders.
- 2.28 The Department’s workforce survey reinforces these comments. The results show that 88% of staff are proud of their work and that 86% are committed to what they do.

The What Works approach

- 2.29 A substantial body of international research on reducing reoffending efforts, known as What Works, has influenced the design of the Department’s approach to managing offenders. What Works identifies three main principles to help rehabilitation and reduce reoffending. They are risk, need, and responsivity (RNR):
- **Risk:** Interventions are more likely to reduce reoffending rates when they are targeted at offenders who have a high risk of reoffending.
 - **Need:** To have the greatest effect on reducing reoffending, rehabilitation should attempt to address crime-causing characteristics and needs, such as anti-social beliefs and substance abuse problems.
 - **Responsivity:** Assessments are designed to evaluate an offender’s motivation and willingness to change. There is no point in putting offenders into programmes that they cannot benefit from because of a lack of motivation. Responsivity also includes delivering programmes in a way that offenders will relate to and understand.
- 2.30 The Department regularly reviews its approach to offender rehabilitation to ensure that it remains relevant. For example, in 2011/12, the Department carried out an expenditure review. Its purpose was to review the effectiveness and efficiency of expenditure in the Department. As part of this, an internationally respected expert in correctional rehabilitation practices was engaged to review the Department’s approach to rehabilitation and reintegration. The review team was asked to comment on the Department’s consistency with an evidence-based approach that is in line with the international trends identified by What Works. The review team found that the Department’s high standards of professional integrity in adhering to scientific evidence and credible clinical practices set a benchmark for other jurisdictions.

- 2.31 The Department also looks at international research and other jurisdictions' practices to inform its approach. The flow of information goes both ways. Rehabilitation practices in New Zealand are mentioned in international research literature – in particular, the success of the approach used in the sexual and violent offender units.
- 2.32 The Department is the largest employer of psychologists in New Zealand, and several senior managers also have a psychology background. The body of knowledge and professional skills of the psychologists has helped to create a culture that values evidence. There is a strong emphasis on evidence-based practices and evaluation that underpins how the Department assesses and manages offenders.
- 2.33 In our view, the Department should be commended for preparing a strategy that is based on a sound intervention logic and that clearly sets out its outputs and the outcomes it expects to achieve. The Department's strategic priority is in line with the justice sector shared outcomes framework and the Better Public Services action plan. "Reducing reoffending by 25% by 2017" is clear, well understood, and easy to articulate.

Part 3

An offender-centric approach to managing offenders

- 3.1 In this Part, we discuss:
- how the Department assesses offenders to identify their rehabilitation risks and needs;
 - the types of rehabilitation programmes that the Department uses to treat offenders; and
 - issues and challenges with scheduling offenders into programmes.

Summary of our findings

- 3.2 The Department assesses offenders to work out the likelihood that they will reoffend and identify the criminal characteristics that contribute to offending. This determines the management offenders need. Under the new strategy, all offenders have a numeracy and literacy assessment and are screened for alcohol and drug problems. Also, all male offenders over the age of 18 years receive a mental health assessment. The assessments are used to prepare an offender plan that includes appropriate programmes and activities to address the offender's needs.
- 3.3 The Department provides a range of rehabilitation programmes in prisons and the community that focus on treating offenders' criminal behaviours. The programmes are based on the RNR model (see paragraph 2.29).
- 3.4 Several of the Department's rehabilitation programmes are run in therapeutic communities, which are a proven group-based approach to treatment. Therapeutic communities are based on a culture of respect, collaboration, openness, responsibility, and support.
- 3.5 The Department has increased the range of alcohol and drug treatments and is expanding other proven rehabilitation programmes in prisons and in the community.
- 3.6 Scheduling offenders into rehabilitation programmes is reactive, and the Department does not forecast demand for those programmes. The Department's information technology system does not meet its needs. We are concerned that the increase in the number of rehabilitation programmes will make scheduling problems worse.

Assessments for offender plans

- 3.7 The Department uses an offender-centric approach to manage offenders. This means that the Department assesses offenders to work out the likelihood that they will reoffend and the criminal characteristics that contribute to offending.

The Department uses these assessments to decide what it will do to address offenders' criminal behaviours.

- 3.8 The Department uses a risk assessment tool to predict an offender's risk of conviction and risk of imprisonment (the RoC*RoI) based on a number of factors. The risk factors include age, gender, and criminal history (for example, age of first offence, seriousness of previous offences, and length of time between offences).
- 3.9 The RoC*RoI scores on a scale from 0.01 to 1. An offender's score predicts the likelihood of future offending and determines their rehabilitation needs. Offenders with a RoC*RoI score over 0.7 are classified as very high risk. A score of 0.8, for example, means the offender has an 80% likelihood of reoffending within five years.
- 3.10 About 40% of offenders are assessed as high risk or have complex rehabilitation or reintegration needs. These offenders are assigned to enhanced case management. This means that they receive more contact with their case manager, more focused attention on their progress, and regular reviews. The remaining 60% of offenders are assigned to standard case management. They receive a standard case management assessment and plan, and regular reviews.
- 3.11 Another tool, called the Automated Sexual Recidivism Scale, is a static risk measure specifically used to predict sexual offending. This tool classifies sex offenders into low, medium-low, medium-high, or high risk groups.

Preparing plans for offenders

- 3.12 Every sentenced offender entering a prison is assigned a case manager. The case manager interviews the offender to assess their needs and prepares an offender plan that covers:
- the needs or characteristics that are directly related to offending;
 - behaviour, attitudes, and compliance;
 - education and work;
 - health, well-being, and lifestyle support; and
 - housing, finance, and victim-related issues.
- 3.13 As part of the new strategy, each offender receives a numeracy and literacy assessment. All offenders entering youth units complete an initial education and training assessment with a dedicated youth tutor. Adult offenders are assessed using the Tertiary Education Commission's Literacy and Numeracy Tool for Adults. In August 2013, 10 prisons were using the Tertiary Education Commission's

assessment, and 1070 offenders had been assessed. The Department anticipates that the assessment process will be rolled out to all prisons by 31 December 2013.

- 3.14 All male offenders over the age of 18 years receive a mental health assessment. Research has shown that mental health disorders and illnesses are up to five times more prevalent among offenders in prison than in the general population. Offenders with serious mental health needs receive ongoing forensic mental health care.
- 3.15 All offenders entering prison are screened for alcohol and drug problems. Those identified with an alcohol or drug problem receive further screening to rate the seriousness of their dependency and determine the treatment required.
- 3.16 Every offender on a community-based sentence or order must have an offender plan, except for offenders sentenced to community work or community detention. The plans stipulate what the offenders will do during their sentence and any needs they have, such as job-skills training. Probation officers also prepare safety plans with offenders. These identify what the offender's risks are – that is, what could cause them to reoffend – and what the offender can do to mitigate these risks.
- 3.17 The Department has indicators to measure the quality and timeliness of preparing offender plans. Prisoners with time to serve between 28 days and 26 weeks should have an offender plan prepared within 28 days of their sentence beginning. A prisoner with time to serve of more than 26 weeks should have an offender plan prepared within 60 days of their sentence beginning.
- 3.18 Offenders on a community-based sentence should have an offender plan prepared within the first 20 days of sentencing.
- 3.19 At 30 June 2013, 98% of prisoners received a plan, and 85% of these were prepared on time. This shows that there is an opportunity to improve the timeliness of preparing plans in prisons. However, we note that there has been an improvement of 14% on the previous year's results of 71% of offender plans completed on time.
- 3.20 Completion rates for preparing offender plans are part of the mandatory standards that probation officers must meet. Results for meeting mandatory standards are published every two months. In August 2013, 94% of offenders on community-based sentences received offender plans within the time frame.

Programmes for offenders

- 3.21 When the offender plan for a prisoner is ready, the case manager sends the information to a scheduler, who puts the offender on a waiting list for the appropriate programme(s). When a programme becomes available, the scheduler checks each prisoner against the eligibility criteria. Reasons for ineligibility could be that the prisoner's security classification is too high, they are an identified drug user, their age, they might not be able to associate with other prisoners on the same programme, or they have to improve their literacy first through a foundations programme. Eligible prisoners are accepted into the programme.
- 3.22 Broadly, there are five types of programmes:
- motivation to change (discussed in this Part);
 - rehabilitation (discussed in this Part);
 - education and training (discussed in Part 4);
 - employment (discussed in Part 4); and
 - reintegration into the community (discussed in Part 5).

Motivational programmes

- 3.23 The Department assesses the motivation of offenders to attend rehabilitation programmes. Offenders who are not interested in changing their behaviour and attitude are encouraged to attend short motivational programmes. These programmes are designed to encourage offenders to be aware of, and accept responsibility for, the effect of their offending on others and to motivate offenders to enter proven rehabilitation programmes or interventions.

Rehabilitation programmes

- 3.24 The Department provides a range of rehabilitation programmes in prisons and in the community that focus on treating offenders' criminal behaviours. The programmes are based on the RNR model (see paragraph 2.29), which involves assessing motivation and responsivity (Is the offender ready and is the programme the right one for the offender?).
- 3.25 We saw consistency in how the programmes are designed and delivered. The programmes are designed and delivered using principles of cognitive behaviour and relapse-prevention therapy. In general, this meant that programmes are delivered in three phases:
- The first phase focuses on raising self-awareness and insight into the effect of the offending.
 - The second phase deals with criminal behaviours, such as anger management or substance abuse.

- The third phase plans for the future by developing a relapse prevention and/or reintegration plan. This includes a safety plan to provide ways to manage any risks of reoffending. For offenders about to leave prison, it might also include looking at what support they need to reintegrate into the community or return to family.

Therapeutic communities

- 3.26 Several of the Department's rehabilitation programmes are run in therapeutic communities. A therapeutic community is a group-based approach to treatment that has gained a reputation for success. This approach is used in other correctional facilities around the world and is also used in other disciplines, such as treating mental health and drug addiction. Often, the offenders live together in a unit. A good example of the Department's therapeutic communities is the special treatment units that run rehabilitation programmes to treat high-risk offenders who have committed violent and sexual crimes. Other examples include the drug treatment units and the Māori focus units.
- 3.27 The Māori focus units work within a tikanga Māori environment and are designed to motivate offenders to address their behaviour using Māori philosophy, values, knowledge, and practices. Offenders learn their whakapapa (where they come from) and concepts such as the role of marae and whānau in personal growth. The units run the Mauri Tu Pae (formerly known as the Māori Therapeutic Programme) for Māori offenders.
- 3.28 The therapeutic communities are based on a culture of respect, collaboration, openness, responsibility, and support. One way the Department seeks to encourage this culture is through the way that each new group is set up. For example, in setting up a new rehabilitation programme in a special treatment unit, a psychologist picks three or four men who they have identified would be a good starter group. The psychologist then adds others to the starter group until there are 10 men. We were told that it is hard to form a group with 10 men from the start, which is why others are gradually added. The group sets the rules, culture, and norms for the group.
- 3.29 Participants attend weekly "community of change" meetings with custodial and therapeutic staff. This offers a forum for offenders to give each other feedback on progress and to discuss any issues or positive events. Constructive use of peer group influence encourages offenders to take responsibility for their behaviour. The offenders run the meetings. This involves setting the agenda, taking minutes and apologies, and providing an update on the group's progress.

- 3.30 We visited some therapeutic communities and saw examples of the special treatment units, Māori focus units, and drug treatment units. There are different units for different needs. For example, a high-risk offender with a RoC*RoI score over 0.7 who is motivated and has a security classification of low medium is eligible for a special treatment unit. Māori offenders can participate in Māori focus units. Likewise, offenders with alcohol and drug addictions can participate in drug treatment units.

Alcohol and drug treatment

- 3.31 Until recently, alcohol and drug treatment in prisons was only available through dedicated drug treatment units. The Department recognised that this meant that many other offenders were not having their alcohol or drug problems met. It has now increased the range of interventions available. Offenders identified with an alcohol or drug problem are offered, in the first instance, a brief intervention run by prison health or case management staff. Other alcohol and drug treatments include:
- brief motivational programmes for offenders who are ambivalent about changing their patterns of alcohol and drug use – this programme has been specifically designed for prisoners on remand or short sentences;
 - intermediate support programmes that are particularly suitable for offenders who have moderate alcohol and drug problems or are not in prison long enough to complete a longer programme;
 - intensive treatment programmes for those with serious addictions; and
 - drug treatment units that teach offenders about addiction, change, relapse, and the effects of their actions on others.
- 3.32 External facilitators run the programmes in the drug treatment units. One facilitator explained that:

The programme targeted addiction, not just drugs. The unit becomes a self-regulating community. It's about empowering people to make choices. Getting them to understand they can have control over their lives and take total responsibility for themselves. The idea of choice is a liberating notion for many of them. It seems to work well. The dynamic and ethic here is different from mainstream... They don't mix with any other units so they can't be contaminated by others, for example, bringing in contraband. No gang regalia is allowed. In this unit, gang members coexist. The programme also includes classes on anger management and classes that encourage literacy and behaviours.

Expanding proven rehabilitation programmes

- 3.33 We heard criticism about the numbers of offenders taking part in rehabilitation and other programmes. As discussed in paragraph 3.28, the number of people in a programme affects the group dynamics and the success of the programme. Too small a group, and ideas and support are not forthcoming. Too big a group, and people can hide or the group can become unmanageable.
- 3.34 The Department is increasing the number of programmes it will deliver so that more offenders can participate in them. For example, an increase in alcohol and drug treatment will see the number of offenders receiving treatment in prison and in the community increase from about 8500 in 2012/13 to 33,000 in 2016/17.
- 3.35 Similarly, the Department is expanding rehabilitation programmes in prisons that are proven to reduce reoffending. For example, the Department has increased the number of offenders participating in the rehabilitation programme in the Matapuna special treatment unit at Christchurch Men's Prison. At first, 40 offenders would go through the programme each year. Now the unit is running an additional rehabilitation programme, meaning 50 offenders will participate in the programme each year. In total, 120 additional offenders a year will be treated in special treatment units.
- 3.36 The Department is offering more programmes for offenders on community-based sentences. About 50,000 offenders complete community-based sentences each year. The programmes include:
- brief alcohol and drug treatment;
 - relapse prevention;
 - work and living skills; and
 - support, education, and job-skills training.
- 3.37 Community work holds offenders to account for their offending by making them carry out a set number of hours of unpaid work on activities that will benefit the community. The Department wants to use this time to provide work and living skills that might increase offenders' likelihood of leading a constructive life and reduce their likelihood of reoffending. Courses include parenting, budgeting, cooking, and literacy and numeracy skills. Offenders can use 20% of their community-based sentence to attend courses to develop these skills.

Trade-offs between rehabilitation programmes and other activities

- 3.38 Rehabilitation takes priority over all other activities. Some offenders we spoke to in prisons and in the community told us that this presents a problem for them. For offenders in the community, it could interfere with work opportunities. For

offenders in prison, it might mean having to leave trade training, which offenders often thought was more beneficial because it prepared them for work. For many offenders, going on rehabilitation was a “tick-the-box” exercise to satisfy the Parole Board or conditions of their sentence. However, some offenders seemed to go through a change of heart, and we received many positive comments about the programmes.

- 3.39 Some offenders told us that the hardest thing about being on a rehabilitation programme was all the down time. For example, offenders in one high-intensive rehabilitation programme in a special treatment unit spend nine hours a week in classroom-based therapy sessions. They explained that there was nothing else for them to do when they were not taking part in the programme and that this was when people got into trouble. The lead psychologist attached to the unit told us that offenders desperately need to be able to work or have some other activity that they can do, even if it is just working in the tree nursery.
- 3.40 The issue was that, to avoid “contamination”, the Department did not want offenders in rehabilitation programmes mixing with other offenders who had not completed any rehabilitation. This seemed symptomatic of a wider scheduling issue.

Challenges with scheduling offenders on programmes

- 3.41 The Department’s scheduling system is reactive. It does not plan for or forecast future anticipated demand for programmes. Also, the Department’s information technology system does not meet its needs. Instead, schedulers rely on spreadsheets to keep track of the programmes and to manage waiting lists. They find this inefficient because spreadsheets require a lot of manual data input, which can lead to mistakes.
- 3.42 Because scheduling is reactive, it does not seem to take into account what other activities offenders could take part in at the same time or what happens when they complete rehabilitation.
- 3.43 Ideally, offenders finishing intensive rehabilitation will either leave prison shortly after or be transferred to a unit, such as release to work, an internal or external self-care unit, or a pre-release unit. This means that they are released into an environment where they can practise the skills and behaviours they have learned.
- 3.44 However, this is not always possible because some offenders will not be eligible to be released or have a security classification that is too high for a low-security unit. Even if an offender has a low security classification, there is no guarantee that space will be available in a low-security unit. Some offenders end up being

sent back to mainstream units. For example, when we visited a drug treatment unit, out of 12 offenders who had started the programme, two went to the pre-release unit, two went to release to work, three went back to mainstream units, and five dropped out of the programme. Psychologists, facilitators, and offenders described how sending offenders back to mainstream units can undermine their rehabilitation. Not knowing which unit they were going to after completing rehabilitation made some offenders anxious.

- 3.45 The number of programmes is expected to increase from 19,279 in 2012/13 to 103,415 in 2016/17. In our view, this increase will make the scheduling problems worse.
- 3.46 The Department has a project under way to improve scheduling. The Department told us that the project depends on it upgrading its information technology system. The aim of the project is to allow the Department to:
- schedule offenders to attend multiple programmes; and
 - forecast future need for programmes to help plan efficient use of resources and identify gaps in supply.
- 3.47 The Department described the information technology requirements as similar to a university timetabling system that allows a student to attend multiple courses. The timetabling system allows the university to plan its resources for the year, such as how many courses, rooms, lecturers, and tutors are required.
- 3.48 The Department is planning a scheduling system that maps an offender's rehabilitation journey. At the moment, it seems to us that the journey stops once an offender starts a programme. In our view, scheduling needs to take into account not just where and when offenders start programmes but also, importantly, where they go after they have completed a programme.
- 3.49 Our concern is that, by increasing the number of offenders going on rehabilitation programmes without improving its scheduling system, the Department will become less effective and efficient. Although more offenders will complete programmes, it is likely that a higher proportion will be sent back to mainstream units, which are not as effective at supporting rehabilitation. The Department is likely to be less efficient because it will invest in more resources for a lower return. In our view, this is a significant risk, and the Department needs to continue to work on improving its scheduling system.
- 3.50 In the short term, the scheduler can make sure that, when they book an offender into a rehabilitation programme, they also book the offender into a low-security unit when the programme finishes. Figure 2 shows this approach.

Figure 2
Scheduling offenders in and out of programmes



- 3.51 This will require taking stock of available space that could support rehabilitation compared to the number of offenders likely to complete programmes. We do not consider that this is about increasing the number of facilities. Rather, it is a matter of using the current facilities to keep the focus on rehabilitation. A good example is the pre-release unit at Auckland Men's Prison. This unit has been set up in a high-security area but is run as a therapeutic community, with a focus on reintegrating into the community.

Recommendation 1

We recommend that the Department of Corrections continue to investigate ways to improve its scheduling system so it can support rehabilitation and reintegration after an offender has completed a rehabilitation programme.

Part 4

Education, training, and employment opportunities for offenders

- 4.1 In this Part, we discuss:
- the Department's increased priority for offender education and training; and
 - the work that the Department is doing to increase offenders' work skills.

Summary of our findings

- 4.2 The Department has prepared a new strategy for education and training that will double the number of education programmes available to offenders. The Department's education and training programmes are National Certificate in Educational Achievement (NCEA) or National Qualifications Framework (NQF) recognised.
- 4.3 We identified a gap between strategy and practice. In particular, prison staff and offenders were often not aware of what education and training options were available. The Department plans to have a Pathway Support Officer at each prison. The Pathway Support Officer will work with case managers and offenders to ensure that offenders have access to education and training programmes that meet their needs.
- 4.4 Offenders who find stable employment after leaving prison are less likely to reoffend in the 12 months after their release. To increase offenders' work skills, the Department is piloting working prisons that match their work streams and trade training to the local job market. A working prison means that offenders have a 40-hour structured week. This includes being engaged in rehabilitation programmes, education or training programmes, employment opportunities (such as release to work), or structured physical activity (that is, physical exercise).

An increased priority on education and training

- 4.5 Studies highlight the importance of literacy and numeracy skills, particularly numeracy skills, in better educational, employment, and economic outcomes. Up to 90% of offenders have low literacy skills, and 80% have low numeracy skills. By comparison, about 43% of New Zealand adults have low literacy or numeracy skills.
- 4.6 The Department's 2011/12 expenditure review found that education in prisons was operating without a clear strategy. It highlighted the need for an overall strategy with clear ownership and connectivity between the education and training programmes. In response, the Department created a new education group in its organisational structure and, in February 2013, released a new training and education strategy.

- 4.7 Under the reducing reoffending programme, the number of education programmes will double. There are four types of education programmes:
- youth education, with a focus on NCEA;
 - foundation learning programmes;
 - trade and industry training qualifications that lead to nationally recognised pre-trade and trade qualifications within the NQF; and
 - self-directed secondary and tertiary studies.

- 4.8 The Department is now offering short intensive programmes for prisoners on remand or short sentences who were previously ineligible for support. These include literacy and numeracy training and work-ready courses, which teach workplace skills such as communication, financial literacy, and computer skills.

Youth education

- 4.9 Under the Act, the Department is required to provide all offenders in prison up to the age of 19 years with a free education. About 400 offenders are aged between 15 and 19 years, with most of them 17 years old or older. Young offenders are likely to have low educational attainment and a history of failure in the classroom. The Department has set up youth units to keep 16- and 17-year-olds separate from older offenders. The units also have some 18- and 19-year-olds who are deemed too vulnerable to be put with older offenders. The youth units run a basic education programme and also teach foundation skills (basic literacy and numeracy). The units also provide skills-based learning, such as budgeting, interview skills, finding accommodation, how to talk to people, and cooking.
- 4.10 The Department introduced a new programme that uses movies to support literacy. The Audio-Visual Achievement in Literacy, Language and Learning programme works by getting students to “read-watch” movies. They watch movies in English and read English subtitles at the same time. Research shows that the programme has been especially successful for low-progress students. An initial evaluation from Christchurch Men’s Prison showed promise, and the Department is introducing the programme to other youth units at Rimutaka, Hawke’s Bay, and Waikeria prisons.

Adult education

- 4.11 An important mechanism for addressing adult literacy and numeracy is embedding literacy and numeracy education in foundation-level vocational courses. We saw a couple of examples. The facilitator for the Housing for Humanity workshop showed how a course to teach building skills taught offenders literacy and numeracy skills. Similarly, the whakairo (Māori carving)

workshop, as well as teaching carving and Māori values, also helps teach literacy and numeracy skills.

- 4.12 We visited a Māori focus unit that also teaches foundation courses. One offender told us that the courses taught him “writing, spelling, and numbers and percentages”. He was now writing to, and drawing cartoons for, his children. He explained that he had never done that before.

Improving awareness of education and training opportunities

- 4.13 When we visited prisons in April and May 2013, it was still early days for the education and training strategy, and we could see a gap between strategy and practice. In particular, it was unclear what kinds of education and training opportunities were available. For example, several offenders told us that they wanted to continue their studies or training to a higher level than they thought possible. One female offender told us that she wanted to do Level 4 training in horticulture because she thought this would significantly help her employment prospects. She needed only 20 more points. However, she did not think this was possible because she would need to either attend the course at a polytechnic or have more access to a computer.
- 4.14 Other offenders told us similar stories. In these instances, the programme facilitators were not aware of further opportunities and were unable to provide advice.
- 4.15 The Regional Commissioner, who was accompanying us, pointed out to the offenders that, under the reducing reoffending programme, further study might be possible. She explained that the offenders would need to speak to their case officer or the prison residential manager.
- 4.16 These stories highlight the need for a dedicated education specialist in each region. When we spoke to the Department about this, it had already recognised this gap. The Department plans to appoint a Pathway Support Officer at each prison. The Pathway Support Officer will carry out education, training, and employment assessments with all offenders. The Pathway Support Officer will work with case managers to ensure that offenders have access to education and training programmes that meet their needs. The Department expects all staff to understand how education and pathways training fit together and has prepared a guide for frontline staff.
- 4.17 We consider that the Pathway Support Officer position could fill the identified gap. We expect the Pathway Support Officer to provide clarity, and extra advice and

support, to frontline staff and offenders about the educational programmes and courses available.

Providing nationally recognised training opportunities

- 4.18 All the prisons that we visited offered trade training courses. The courses that we observed were recognised by the NQF. In general, offenders appeared proud of their qualifications: “I never thought I’d get a qualification.” They told us that they appreciated the opportunity to gain qualifications and change their lives. Other offenders were surprised at how many qualifications they had when they were tallied up: “Look – I have all these qualifications now.”
- 4.19 Also, all prisons do their own food preparation and catering and grounds maintenance, which count towards the NQF. In total, prisoners achieved 3160 NQF-recognised qualifications in 2012/13.
- 4.20 The programme facilitators that we talked to were all proud of their trainees and were passionate about helping them. In the distribution warehouse at Auckland Women’s Prison, the facilitator had a “wall of fame” where the offenders’ certificates and qualifications were hung. The facilitator told us he would “pit [his] girls against any warehouse supermarket distributor”.
- 4.21 However, we noticed that, because they were so passionate, the facilitators often thought that the Department was not doing enough to help offenders. They had several ideas and suggestions for improvements. It seemed to us that the Department was either doing or planning to do many of these ideas, but the facilitators were not aware of this. This highlights again the role that the new Pathway Support Officer position should play. With the changes happening in education and training, it is important to keep programme facilitators up to date.

Increasing the work skills of offenders

- 4.22 More than 60% of offenders are unemployed when they are imprisoned. Research shows that offenders who find stable employment after leaving prison are less likely to reoffend in the 12 months after their release. For this reason, the Department is working to increase the skills and experience of offenders that will lead to jobs.
- 4.23 The Department is piloting three working prisons at Auckland Women’s, Tongariro/Rangipo, and Rolleston. The three prisons focus their work streams and trade training programmes on the local job market. Rolleston focuses on trades and the Christchurch rebuild, Tongariro/Rangipo focuses on forestry and primary industries, and Auckland Women’s has a commercial focus with a distribution warehouse.

- 4.24 A working prison means that offenders participate in a 40-hour structured week to replicate what it would be like to work full-time in the community. This includes being engaged in rehabilitation programmes, education or training programmes, employment opportunities, or structured physical activity.
- 4.25 The Department intends that all prisons will move towards the working prison model. The other prisons that we visited already recognise the importance of keeping offenders occupied. In general, offenders told us that they enjoyed doing programmes and being kept busy.
- 4.26 The working prison model reinforces the need for a scheduling system that will support offenders attending multiple programmes.

Fancy a flat white?

A canteen has been set up inside the construction site of the new prison being built at Wiri in South Auckland. Four offenders from Auckland Women's Prison provide on-site catering for the construction teams. Fletcher Construction, which is building the public private partnership prison, asked the prison to provide the service.

The offenders run the canteen in a work party supervised by a prison officer. Their work includes interacting with the public and handling cash. They were selected after having completed a National Certificate in Hospitality through the prison's training programme. Other offenders work in the prison kitchen to make food items to sell in the canteen.

The prison manager said that the project provided offenders with the real-life work experience that they needed to gain jobs as café workers:

Working on this project allows the prisoners to gain valuable job skills, which will improve their chances of gaining employment on release. We know that, by assisting prisoners to reintegrate into the community, giving them skills, and helping them find sustainable work after release, they are less likely to reoffend.

Working with employers and industry to provide real jobs

- 4.27 The Department is partnering with employers and industry to create relationships between offenders and prospective employers that begin in prison. This early relationship is intended to allow more offenders to leave prison with the prospect of a real job. One example of this relationship is release to work.
- 4.28 The Department uses release to work to help offenders get into jobs and to test whether offenders can use the skills that they have learnt from rehabilitation programmes. Offenders live in prison, but go to work each day and come back at night and are paid a wage. This gives offenders with a low security classification the opportunity to work outside the prisons in jobs that might provide employment on their release. Nearly half of the offenders maintain their jobs after release. Another advantage is that offenders are able to pay off any debts or fines that they have incurred and save money for when they are released.

- 4.29 We visited a work site that had two workers from Rolleston Prison on release to work and has employed offenders for the last five years. Some former offenders were offered jobs when they got out of prison, as have the two current workers. The work site manager told us that:

The guys are great, they show up every day on time, they are clean of drugs, and they work hard.

- 4.30 The Department described to us the “employment pathway”. The pathway starts in the classroom and moves to the workshops and trade training. It then moves to a practical setting, such as a construction yard or a distribution centre, and, finally, release to work.

Christchurch rebuild – employment pathway in action

After the Canterbury earthquakes in February 2011, the Department contributed 200,000 working hours to the recovery. Since then, the Department has prepared an industry training pathway to continue its contribution to the rebuild.

The pathway identifies and matches offender training with employer demand. One large employer said to the Department: “Why are you teaching these guys residential plumbing? You should be teaching them commercial plumbing.” In response, the Department worked with the Christchurch Polytechnic Institute of Technology to refine the trade training programmes.

In November 2011, three Trade Training Workshops were opened at Christchurch Men’s Prison. The workshops allow more offenders to be trained each year in commercial painting, plumbing, drain laying, roofing, and automotive engineering. Offenders do a 17-week course and receive an NQF Level 2 qualification.

The Department has also built two refurbishment yards at Rolleston Prison. One of the yards is for offenders in prison, and the other is for offenders on community-based sentences. The idea of the yards came from the Spring Hill Corrections Facility, where houses are built and refurbished for Habitat for Humanity. The Department buys Housing New Zealand red zone damaged houses from the Canterbury Earthquake Recovery Authority. These houses are transported to the refurbishment yards to be renovated. The refurbished houses then go back to Housing New Zealand to increase the depleted social housing stocks in the region.

The Department invites prospective employers to the yards. This means that they can meet the offenders and view the quality of work being done before offering them jobs.

Part 5

Reintegrating offenders into the community

- 5.1 In this Part, we look at how the Department manages the transition of offenders from prison into the community. We discuss the challenges the Department faces in trying to meet the needs of these offenders and some initiatives to address these challenges.

Summary of our findings

- 5.2 Successfully reintegrating offenders relies on several factors, including finding suitable accommodation, finding suitable employment, and building pro-social support.² Finding suitable accommodation for offenders is difficult. The Department partners with non-governmental organisations to provide supported accommodation, but it will remain a challenge.
- 5.3 Knowing their probation officer before they are released is important to offenders. We saw some good and not so good examples of prisons and community probation working together to transition offenders into the community. We highlight the pre-release unit in Auckland as a good example of this practice.

The aim of reintegration

- 5.4 The aim of reintegration is to successfully manage the transition of offenders from prison into the community. This includes maintaining or building on the positive changes made in prison and ensuring that all reintegrative needs are effectively addressed. These needs include ensuring that the offender:
- has suitable accommodation;
 - can obtain employment;
 - manages their finances;
 - can manage their relationships; and
 - gets pro-social community support.
- 5.5 The Department often referred to the “offender pathway”, where offenders would transition through the prison from high security, to low security, to external self-care units such as Whare Oranga Ake or reintegration houses in the community such as the Salisbury Street Foundation in Christchurch. The pathway was viewed as the offender’s journey to rehabilitate themselves and reintegrate into the community.

The Auckland pre-release unit

- 5.6 The Department has one pre-release unit in Auckland. The unit in Auckland was set up to work with male offenders rated up to high security who had not previously been motivated to address their offending. The Department recognised

2 Pro-social support is positive support that fosters and reinforces positive behaviour and actions.

that the men were getting out of prison because their sentence had ended. However, they had not received any rehabilitation, nor was there anything in place to support them.

- 5.7 The unit focuses on six areas to prepare offenders for transition into the community. Feedback from prisoners and ex-prisoners helped the Department to determine the types of activities, courses, and support required to prepare them for release. Often, it was the simple things, such as not knowing their probation officer before release or having no accommodation or even a driver's licence. In response, the unit came up with "the big six":
- accommodation on release, both temporary and long term;
 - preparation for employment, including a curriculum vitae (CV) and interview skills;
 - driver's licence;
 - debt and money management;
 - Work and Income support as necessary; and
 - probation "plus" support network (community, whānau, and family).
- 5.8 We were told that 70% of offenders in the pre-release unit did not have a driver's licence or birth certificate. The pre-release unit helps offenders to leave with both. This is important for a couple of reasons. First, traffic offences result in about 4% of prison sentences and 25% of community-based sentences. This is more than 15,000 offenders a year. Although not all of these offences will be for not having a driver's licence, it often contributes towards the offending. One offender told us that, because he had got his licence in the unit, "I might stop for the Police now."
- 5.9 Secondly, a driver's licence also provides identification, which is important for getting a bank account, for signing up for a rental property, and for any other situation where identification is needed. Having a bank account is critical for managing money and being paid a benefit or a wage. We were told that it can also mean that offenders do not have to deal with loan sharks, which can get them into trouble.
- 5.10 The staff emphasised that the focus was on giving offenders "real tools" that they can use when they are back in the community. The staff will try to put the offenders on rehabilitation programmes, but that is not their main focus:
- It's about giving them something real they can take out with them, along with their driver's licence – saying they are a citizen.*

Transitioning from prison into the community

- 5.11 Offenders said that knowing their probation officer before release was important to them. We heard this from many current and former offenders during our audit. The handover to community probation needs to start before the prisoner is released so that the proper support mechanisms are in place and offenders know what is expected of them before they leave.
- 5.12 The pre-release unit is a good example of the Department working as “one team” to manage the transition from prison into the community. The Department has a probation officer who is a dedicated team member of the unit and comes into the prison to meet with offenders.
- 5.13 Offenders told us that having their case manager, prison officer, and probation officer working together was “choice” and “bloody good”. They appreciated having the probation officer there to help them understand what they need to do when they get out, what their special conditions mean, and what support is available. We met other offenders who had breached the conditions of their sentences because they did not fully understand the conditions and ended up being recalled to prison.
- 5.14 Working with community probation is in its early days. It has been a change in approach for both prison and community probation staff. We were told that, previously, prison staff saw their job as ending at the front gate. Now there is an awareness that prisons and community probation need to work together to successfully manage an offender’s transition into the community.
- 5.15 We saw some examples where prisons and community probation were working well together. These were presented to us as examples of innovative practices.
- 5.16 We saw other examples where the Department was still working in silos. In one example, we observed a risk assessment that community probation staff were preparing for a sex offender about to be released from prison. No prison officer or case manager was present, which meant the community probation staff had no information about the offender’s recent behaviour in prison. Without that information, they were unable to assess the risk the offender would pose on release. In our view, this example appeared to be a legacy of the old Department structure and would not have happened if the Department had made sure that the right people, with the right information, were in the room at the right time.
- 5.17 We understand that collaboration has improved significantly in the last year. We recognise that the Department is carrying out good practices, and we expect the Department to do so more consistently.

A recently released prisoner struggling to reintegrate into the community

At the beginning of our audit, we were scheduled to meet with a recently released high-risk offender and his probation officer in Northland to observe how they were managing the transition into the community. The offender had been paroled from the pre-release unit in Auckland one week before. Our meeting with the offender was cancelled because the offender was apprehensive about meeting with us.

The probation officer was concerned that the offender was using drugs again. She had contacted the high-risk team and the practice leader for advice. They had concerns but not enough evidence at that stage to recall the offender.

One month later, we visited the pre-release unit and talked to the team there. The unit had been told that the probation officer in Northland was planning to recall the offender. The prison officer asked whether it would help if he went to Northland. He drove up to talk to the offender and the probation officer. The prison officer was able to offer a lot of information that the probation officer did not have. The information was gathered over years of knowing the offender in prison. Their conversation determined that the offender's accommodation was unsuitable because it was too close to drugs. The decision was made to try to get him a better place to live.

The offender was surprised to see the prison officer. In the past, it was a "no no" to visit former prisoners. They were someone else's responsibility when they were past the gate. This example showed that the prison officer now works with the case manager and probation officer to have a one-team approach.

- 5.18 We have highlighted the pre-release unit because it provides a formalised structure for prisons and community probation to work together. The Department has a project under way to align case management in prison with community probation. There is an opportunity to make sure that this work includes prison officers. Prison officers spend a lot of time with offenders, which means that they have valuable information to contribute to managing offenders transitioning into the community.

Recommendation 2

We recommend that the Department of Corrections continue to strengthen the alignment between case managers and probation officers. We encourage the Department to ensure that the knowledge and experience of other prison staff is used in managing and transitioning offenders from prison into the community.

Support networks and accommodation

- 5.19 Offenders spoke of the need for support in the community when they are released and how important family and whānau are to reintegration. Research shows that community and pro-social support is vital to stop them reoffending.
- 5.20 Finding work and suitable accommodation is also vital for offenders to remain free from offending. However, finding suitable accommodation for offenders is difficult. For example, in Christchurch, there is less social housing after the 2010/11 earthquakes. Other areas also experience difficulties because of shortages in available accommodation.
- 5.21 Reintegration centres operate as a residential bridge between prisons and the community. They provide a controlled environment for offenders to adjust to being back in the community. We visited the Salisbury Street Foundation in Christchurch. We received feedback that “Salisbury is a good bridge back into the community, especially for long-laggers.”
- 5.22 The Department partners with non-governmental organisations to provide supported accommodation, but it will remain a challenge because of shortages in accommodation.

Helping offenders on short or remand sentences

- 5.23 As noted in paragraph 2.18, the Department now focuses on prisoners on remand or short sentences. Every year, about 6000 offenders who have served two years or less are released. About 400 of these are under the age of 20 years. About 80% of prisoners on remand spend less than six months in prison.
- 5.24 Offenders within this group have often spent previous time in prison for short periods and have the highest reoffending rates. It makes sense to focus on these offenders because they are more likely to return to prison – more than 60% of these offenders are reconvicted within 24 months of their release.
- 5.25 One new initiative that will focus on prisoners on remand or short sentences is the Out of Gate programme.

Out of Gate

Out of Gate will provide a navigation service to make sure that eligible prisoners on remand or short sentences have access to the reintegrative support they need as they prepare to return to the community.

The Department has been allocated \$10 million from the justice sector fund to establish Out of Gate nationwide over the next two years from September 2013. The Department is contracting providers to assess individual reintegrative needs and “navigate” offenders to a range of community services. The focus will be on employment, accommodation, education and training, living skills, health/well-being, and whānau, family, and community links.

Navigation will involve engaging with and assessing the prisoner before they are released. A navigator will come to the prison to meet the prisoner. On the day of release, the navigator will pick up the released prisoner from prison and take them to where they need to go. This could include driving them home, taking them to check in with their probation officer, connecting them to social services (such as Work and Income), and/or providing parenting and budgeting advice.

Participation is optional for eligible offenders, and they might receive about 20-40 hours of support, depending on their age and needs. The Department estimates that the service could reach about 2150 offenders each year.

Part 6

Managing the risks of reoffending

- 6.1 In this Part, we look at how the Department:
- monitors and manages risk in the community;
 - manages risk in prisons; and
 - manages high-risk offenders in the community.

Summary of our findings

- 6.2 The Department's staff often work in a fast-changing, or what the Department calls "dynamic", environment. Managing some offenders can be challenging.
- 6.3 The Department has a structured approach to manage offenders' progress and respond quickly to concerns. The Department manages community-based offenders in line with how likely they are to reoffend. High-risk offenders receive more monitoring and closer supervision. This includes using the Intelligence (Intel) and the high-risk response teams, multi-disciplinary teams, and global positioning system (GPS) monitoring.
- 6.4 The Department has developed a dynamic risk assessment tool to assess how likely an offender is to reoffend soon. The tool ensures that a comprehensive assessment of risk takes place. The success of using the tool in the community has led to a similar tool being created for prisons.

Monitoring and managing dynamic risk in the community

- 6.5 The Department manages community-based offenders in line with their risk of reoffending. High-risk offenders receive more monitoring and supervision. Offenders are also managed according to their sentence. There are nine community-based sentences and orders. Figure 3 lists these sentences and orders.

Figure 3
The nine types of sentences and orders that community-based offenders are managed under

Sentences	Orders
home detention	parole
community detention	release on conditions (after short prison sentences)
intensive supervision	extended supervision
supervision	post-detention conditions (after a sentence of home detention)
community work	

Source: Department of Corrections.

- 6.6 All offenders managed on sentences and orders in the community are required to report to their probation officer or for community service work. The frequency of reporting and how long it is required for is based on the seriousness of the offence and the assessment of risk to the public. Mandatory standards help probation officers to ensure that offenders meet their reporting times.
- 6.7 Meetings between offenders and probation officers can take place at community probation centres, or probation officers can make home visits. An advantage of home visits is that probation officers can assess the environment that the offender is living in. For example, if alcohol and drugs are present, the probation officer might move the offender to other accommodation. The probation officer can meet the people the offender lives with and assess whether they provide pro-social support. If necessary, the probation officer can issue a non-association order.

Dynamic risk assessment offender re-entry tool

- 6.8 Probation officers work in a dynamic environment. The Department has developed the dynamic risk assessment offender re-entry tool (DRAOR). Probation officers use the tool to assess the changing risk of reoffending or causing harm to others an offender poses.
- 6.9 The DRAOR is built on the RNR model (see paragraph 2.29), which classifies interventions based on risk and changing needs. It measures an offender's risk against 19 stable, acute, and protective factors. Figure 4 lists the 19 risk factors.

Figure 4
Dynamic risk assessment offender re-entry tool

Stable (slow-changing) factors	Acute (fast-changing) factors	Protective factors
Peer associates	Substance abuse	Responsive to advice
Attitudes to authority	Anger/hostility	Pro-social identity
Impulse control	Opportunity/access to victim	High expectations
Problem solving	Negative mood	Costs/benefits
Sense of entitlement	Employment	Social support
Attachment with others	Interpersonal relationships	Social control
	Living situation	

Source: Department of Corrections.

- 6.10 Stable factors take longer to change. They will usually only change with intervention or some work. They are factors in achieving what the Department calls long-term desistance from crime.³ The acute factors can change quickly and give the best indication of whether an offender is likely to reoffend soon. Acute factors can include a relationship break-up, losing a job, or starting drinking again. Protective factors are things that the offender cannot do on their own. They include having social or whānau support or getting (positive) advice from friends. Protective factors are important for helping the offender to remain free from offending.
- 6.11 The RoC*RoI (see paragraphs 3.8-3.10) identifies *who* is likely to reoffend, and the DRAOR indicates *when* someone might reoffend. The Department has used the RoC*RoI for many years. The DRAOR now complements it to provide a comprehensive assessment of risk.
- 6.12 Probation officers complete a DRAOR assessment after every session with an offender to check whether an acute risk has risen. The DRAOR uses a three-point scoring format (0, 1, 2) to score each factor, with 0 being low risk and 2 being high risk. These scores give an overall assessment of risk. The probation officer prioritises the factors that need the most attention for particular offenders.
- 6.13 The assessment process also includes identified risk scenarios. Risk scenario planning involves preparing several informed, plausible, and imagined alternative future events. It is not a prediction about what will happen but rather a projection. Probation officers use the assessment and identified risk scenarios to discuss real risk and the imminence of harm with the offender:

[We] used to say, "John is a high-risk offender," but you can't manage a label. But you can manage an identified high-risk scenario. This provides a structured way of discussing real risk with an offender and in deciding on how to manage the offender.

The DRAOR in action

A probation officer identified that a high-risk offender was at imminent risk of reoffending. We asked how he identified the risk, and he told us that he used the DRAOR. The offender's acute factors had risen because his living situation had deteriorated and the risk of him taking drugs had increased.

The probation officer and a police officer decided to go together to the offender's house. They went together for safety reasons and to show the offender that they were working together. The probation officer convinced the offender to leave his accommodation at 4pm on a Friday and go to supported accommodation for the weekend. The offender was not exposed to drugs and alcohol and did not reoffend.

- 6.14 DRAOR scores are peer reviewed to ensure consistency between probation officers. Staff compare DRAOR scores and discuss them at fortnightly reflective practice

³ Desistance means the process of moving away from committing crime. For many offenders, it takes time to stop committing crimes. It starts with them committing less serious crimes before eventually stopping.

sessions. These sessions help to mitigate any risk a probation officer might not see. District and practice managers regularly review trends in DRAOR scores and, together with practice leaders and service managers, work to improve practice.

- 6.15 The Department is carrying out a study to assess the effectiveness of the DRAOR. The study looks, over two years, at 5000 offenders who have left prison and are being managed with the DRAOR. Early results show that reoffending occurred when there was an increase in acute factors and a decrease in protective factors. Conversely, reoffending went down when acute factors decreased and protective factors increased. Early signs show that the DRAOR is an effective tool for predicting when an offender might reoffend.

Managing dynamic risk in prisons

- 6.16 The Department has used the DRAOR for three years. The tool has become business as usual for probation officers. The DRAOR's success led to the Department developing a similar tool for prisons. The structured dynamic assessment case management tool (SDAC-21) was initially piloted at six prisons and has since been introduced to the other prisons.
- 6.17 Similar to the DRAOR, the SDAC-21 identifies stable and protective factors. However, the SDAC-21 does not include the acute DRAOR factors because imminent risk assessment is not relevant in prisons. Instead, the SDAC-21 identifies seven responsivity factors. These are important for identifying issues that might prevent an offender from engaging and addressing risk. Another difference is that "employability" is included as a protective factor rather than an acute factor, as it is in the DRAOR. Figure 5 lists the 21 risk factors.

Figure 5
Structured dynamic assessment case management tool

Stable factors	Responsivity factors	Protective factors
Gang association	Health problems	Responsive to advice
Negative attitude towards authority	Conduct issues	Pro-social identity
Impulse control	Personal distress	High expectations
Problem-solving	Unresponsive rehabilitation	Costs/benefits
Sense of entitlement	Hostility/interpersonal aggression	Social support
Attachment with others	Offence mirroring behaviours	Social control
Substance abuse	Learning difficulties	Employability

Source: Department of Corrections.

- 6.18 Case managers use the SDAC-21 to produce an effective individualised case management plan. They assess and score the 21 stable, responsivity, and protective factors based on the offender’s history and current circumstances. Case managers then consider relevant risk scenarios to help identify priority, or “keystone”, risks, based on the information from the assessment. Case managers then use this understanding of the offender and their needs to identify and prioritise rehabilitation and reintegration interventions for the offender’s plan.
- 6.19 By using a common language and approach to risk assessment, the two tools improve consistency throughout the Department. The Department is confident that using the SDAC-21 will result in a more seamless transition of offenders between case managers and probation officers. We understand that no other correctional jurisdiction in the world uses dynamic risk assessments in both community and prison settings.

Managing high-risk offenders in the community

The high-risk response team

- 6.20 The Department has several approaches for managing high-risk offenders. The high-risk response team is responsible for overseeing the management of high-risk, high-profile offenders in the community. They are an extra support to probation officers.
- 6.21 The high-risk response team identifies, in consultation with psychologists, offenders that are eligible for extended supervision. Applications for extended supervision are made to the courts, and special conditions of the extended supervision order are imposed by the Parole Board. An extended supervision order allows the Department to monitor sex offenders for up to 10 years after their prison sentence. Currently, about 230 people are on extended supervision orders.
- 6.22 The Department is preparing for the first offenders who are due to come off an extended supervision order in 2014 but who remain at very high risk of reoffending. Currently, the Public Safety (Public Protection Orders) Bill is before Parliament. The Bill empowers the High Court to issue a public protection order to detain an offender when, at the end of a prison sentence or an extended supervision order, they pose a very high risk of imminent and serious sexual or violent reoffending.

Managing an offender on an extended supervision order

A multi-disciplinary team manages a high-risk sexual offender on a 10-year extended supervision order. Team members include probation staff, two psychologists, a sex treatment therapist, and the residential care facility manager where the offender lives. The team liaises with the high-risk response team in the National Office.

The offender has been on 24-hour extended supervision for eight years. He reports in once a week, and probation staff visit his home each fortnight. The offender has two minders at all times, and the care facility staff report any incidents.

The offender is highly manipulative and difficult to manage. Interdisciplinary meetings ensure that staff receive support. The information shared at these meetings ensures that the offender cannot play people off against each other.

For example, at the meeting we attended, the residential care facility manager reported an incident involving a new female resident at the home. The offender admitted to the therapist that the incident had a sexual connotation, but he later gave the psychologist a different story. He told the psychologist that there had been “nothing sinister going on”. Because the psychologist had already spoken to the therapist, she knew he was not telling her the same thing about the incident.

- 6.23 The high-risk response team is also responsible for identifying offenders for GPS monitoring and provides support to the GPS monitoring team (see paragraphs 7.19-7.21).

The intelligence team

- 6.24 The Department also has an Intel team. In general, intelligence is focused on high-risk sex offenders and offenders with a RoC*RoI score over 0.8. Historically, Intel focused only on prisons and putting together profiles of offenders of great concern, and the high-risk response team focused on probation.
- 6.25 Since the restructure, the two teams work closer together, and Intel now provides information to community probation. One Intel officer pointed out how difficult it is to measure the value of intelligence. However, everyone we spoke to who uses Intel, including the Police, commented on how valuable the service is. There is no doubt that Intel adds extra value to the Department’s work in improving public safety by actively managing some high-risk offenders.

Multi-disciplinary teams

- 6.26 The Department also uses multi-disciplinary teams to monitor high-risk offenders. The teams can involve community probation staff, prison staff, Intel, the high-risk response team, case managers, psychologists, the Police, support people, whānau, and non-governmental organisations.
- 6.27 We observed several multi-disciplinary team meetings and gained an appreciation for how challenging it can be to manage some offenders. All the participants

were committed to working together and dedicated to ensuring public safety. The meetings produced tangible actions that the Department's staff, the Police, or other participants had to carry out.

Multi-disciplinary team meeting

During our audit, we were scheduled to observe a multi-disciplinary team reviewing the risk management plan for a high-risk offender who had been released from prison one week before. The offender had several complex problems, including an anti-social personality disorder, a drug addiction, and an inability to cope on the outside.

The team involved four probation staff, two police officers, two psychologists, a support person, and two representatives from the Prisoners Aid and Rehabilitation Trust. The meeting was originally scheduled to identify any concerns or matters that posed a risk to maintaining community safety.

However, the purpose of the meeting changed because the offender had breached his release conditions within two days of being released. He had also been hospitalised twice in 24 hours for overdosing on solvents. At the time of the meeting, he was in custody and due to appear back in court.

He had been living in supported accommodation that he had nearly set on fire by cooking up solvents, in a pot on the stove, with Weetbix and two-minute noodles. It was clear that he was a danger to himself and to others. The team discussed options for managing him, including whether he was eligible for mental health treatment. In the end, the team decided that the best option was to oppose bail and have him resentenced. This was to give them more time to come up with an appropriate plan for him. They would try to get him into a drug treatment unit.

Part 7

Improving staff capability to support the reduction of reoffending

- 7.1 In this Part, we discuss:
- the Department’s tools and frameworks for the ongoing training and development of staff working with offenders; and
 - the Department’s modernisation programme to improve technology and facilities to support staff.

Summary of our findings

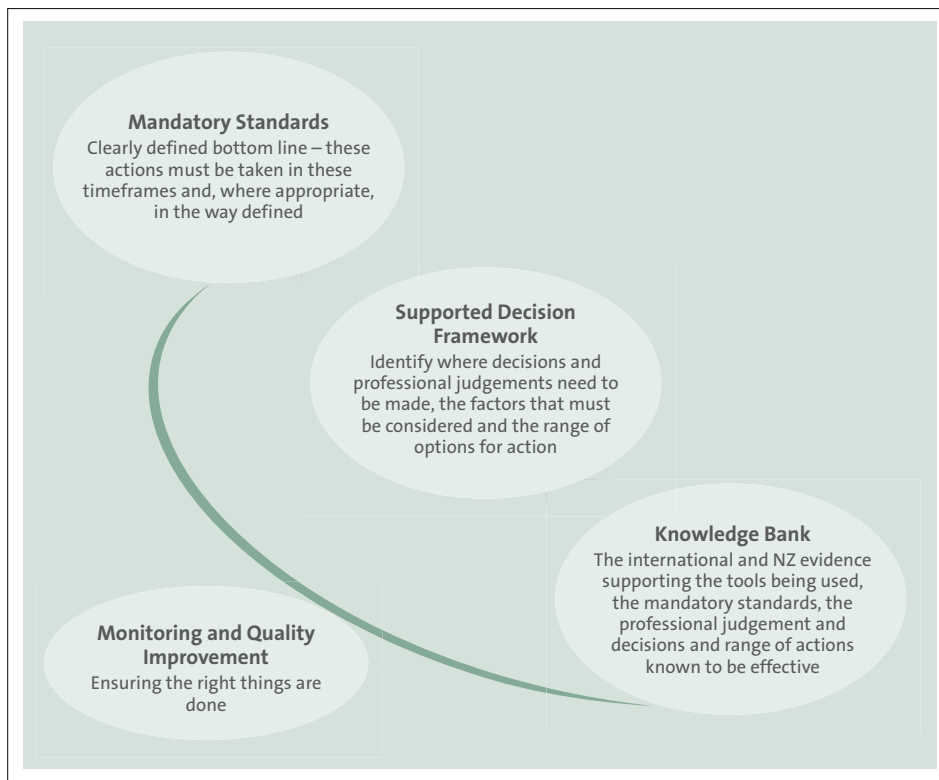
- 7.2 The Department carried out a change programme to improve community probation work practices. The programme included preparing the Integrated Practice Framework (IPF) and the Practice Leadership Framework (PLF). The frameworks support staff to meet their mandatory standards, provide ongoing training and development, and give staff the tools they need.
- 7.3 The change programme created a strong platform for the Department’s new strategic direction. “Unifying our effort” included rolling out the good practices prepared by community probation to the rest of the Department. Staff working in prisons and community probation are starting to talk the same language and apply consistency in practice.
- 7.4 The Department has a modernisation programme that includes using technology such as GPS and audio-visual links to better manage and engage with offenders. Audio-visual links in courts and prisons will reduce the costs and risks associated with transporting offenders between prisons and courts. The modernisation programme includes building and modifying facilities that help to support offenders’ rehabilitation.

Staff training and development

Integrated Practice Framework

- 7.5 After our 2009 performance audit of the Department, community probation carried out a change programme to improve its work practices to improve public safety, which included preparing the IPF. Figure 6 describes the IPF, which includes:
- the mandatory standards specific to each sentence or order that probation officers must meet for each offender;
 - a supported decision framework that identifies where probation officers can or need to use their professional judgement to make decisions about managing the offender and to help inform them about the most appropriate action to take; and
 - a knowledge bank of articles and tools that probation officers can access (also known as the practice centre).

Figure 6
The Community Probation Integrated Practice Framework



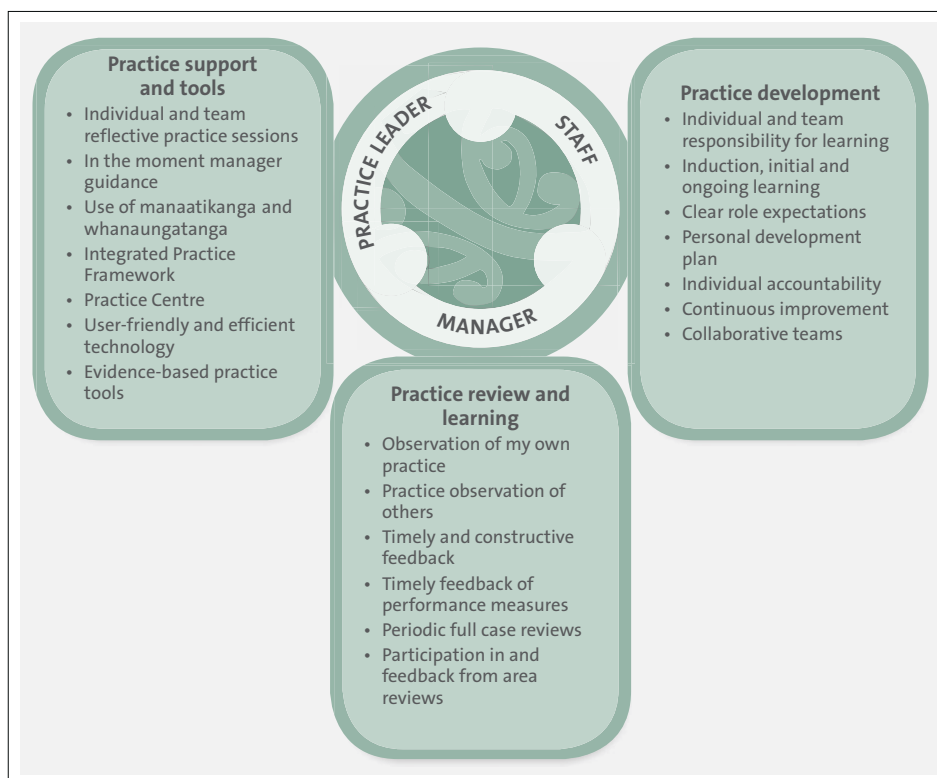
Source: Department of Corrections.

- 7.6 The IPF was rolled out to community probation staff in a series of intensive training programmes over three years. The Department took a “reiterative approach” to the roll-out, constantly reviewing, asking for feedback on, and making improvements to the training and framework.

Practice Leadership Framework

- 7.7 To support the roll-out of the IPF, the Department prepared the PLF to build the capability of staff. Figure 7 describes the PLF. The PLF provides training, development, and support for staff to become professional practitioners. Professional practitioners are expected to be proficient in the IPF. This includes:
- meeting all mandatory standards for all offenders;
 - making decisions that are well reasoned, using the supported decision framework and taking into consideration the offender’s circumstances;
 - using the risk assessment tools to assess an offender’s likelihood of reoffending and taking action to reduce this risk;
 - engaging effectively with the offender to increase compliance and reduce the likelihood of reoffending; and
 - engaging with offenders in a way that builds on and enhances cultural strengths.

Figure 7
The Community Probation Practice Leadership Framework



Source: Department of Corrections.

- 7.8 Practice support and leadership is provided through practice leaders and fortnightly reflective practice sessions. The sessions create an environment to support staff and provide advice on managing cases effectively. The sessions emphasise the importance of staff learning by reflecting on their work. The practice leaders provide technical guidance on how to use the practice tools, including the DRAOR.
- 7.9 We were told that the change programme has been successful. In November 2012, the Department received an international community corrections award for its change programme. Also, the Department met 93% of its mandatory standards in 2012/13.
- 7.10 In our view, the change programme has been successful because the Department embeds the IPF into the day-to-day work of probation staff and, in particular, encourages the use of practical on-the-job training led by experts. The PLF is

directly relevant to probation officers' work. The reflective practice sessions that we observed show a supportive environment where staff are encouraged to openly discuss, question, and reach decisions.

Sharing good practices and combining efforts

- 7.11 In our view, the change programme created a strong platform for the reducing reoffending programme. At the heart of the Department's restructure and unifying its efforts was sharing good practice between staff in prisons and community probation. After the successful roll-out of the IPF and PLF, the Department is now introducing these good practices to prisons – for example, by creating the SDAC-21 based on the DRAOR.
- 7.12 The Department is implementing a training programme known as Right Track in prisons. Right Track is similar to the PLF and is based on active management, where staff act as change agents and use positive interaction and communication to motivate offenders to change. Prisons had used active management before, but inconsistently, and relied on individual staff using it themselves. Right Track sets up a framework for active management that provides support and professional development for staff.
- 7.13 The name Right Track was chosen to reflect the need to “do the right thing in the moment” and support the “right relationship”. It uses an offender-centric approach to managing and interacting with offenders. All prison staff in direct contact with offenders receive Right Track training. Staff told us that Right Track was making a difference in how prison staff interact with offenders, and the programme has mostly had good support from staff.
- 7.14 Right Track meetings are similar to the reflective practice meetings. Meetings can include prison officers, psychologists, case managers, programme facilitators, and medical staff. “It’s about how we interact as a team to better manage offenders.”
- 7.15 Prison staff also receive training from psychologists to understand what goes on in the therapy classes. Each offender in a special treatment unit has an assigned prison officer, and training sessions ensure that prison staff and psychologists work together and share knowledge about the offender. This ensures that prison staff continue to support the values and philosophy of the therapeutic community beyond the treatment room.
- 7.16 Because of the PLF and Right Track, staff in prisons and community probation are starting to talk the same language and apply consistency in practice. In some instances, prison and probation staff receive joint training, such as motivation and interviewing training. The Department also provides opportunities for staff in prison and probation to shadow each other and job share. We spoke to one prison

manager who thought that secondments between prison and probation staff were effective and recommended more opportunities.

- 7.17 The final part of the IPF is the practice centre (knowledge bank), which has a range of practice tools and strategies for probation officers to use for managing and holding offenders to account. The tools provide practical examples and activities for probation officers to work through with the offender. For example, one activity is designed to change the offender's attitude towards domestic violence. The activity involves presenting a situation that makes the offender angry and asking the offender to identify feelings that prevent them from making a change. The offender then discusses with the probation officer all the possible strategies they can use to cope. For example, "My wife nags me all the time... I'll go for a walk and think about what she is saying." We consider that the practice centre is a good resource and that preparing a similar resource for case managers would enhance their capability.

Modernisation

- 7.18 The Department has a modernisation programme to support staff to perform their job. Modernisation includes using technology to better manage and engage with offenders and building new facilities that help to support offenders' rehabilitation.

Global positioning system monitoring

- 7.19 The introduction of GPS allows for real-time monitoring of offenders in the community. Offenders wear a GPS bracelet around their ankle. This allows the Department to monitor where they go and at what time. This provides greater assurance that offenders are not reoffending.
- 7.20 The latest equipment is more robust than previous electronic monitoring. An alert is activated immediately if the offender tries to remove or tamper with the GPS bracelet. When an alert is set off, the GPS team immediately notifies the offender's probation officer, who calls the offender. The offender has to answer. The Department supplies the offender with a phone if they do not have one. The Department says that the GPS monitoring is working effectively and that offenders are adapting their behaviour.
- 7.21 The Department started using GPS monitoring for high-risk sex offenders being managed in the community. The Department sets "no-go zones" for offenders and is alerted when they enter these areas. The Department found that the monitoring worked well. They now use GPS for some offenders on home detention and release to work. This enables those offenders to access employment while being managed.

Audio visual links

- 7.22 The Department is increasingly using audio-visual links as an alternative to transferring offenders from prison to court. In a June 2013 press release, the Minister of Corrections stated that:
- The risks associated with transporting prisoners outside the wire – to the public, Corrections and court staff – are completely removed, along with any risk of escape.*
- [Audio-visual links are] also more efficient, as it means Corrections and Police don't have to spend valuable time planning, carrying out, or funding escort duties from prison to court and back again. It also removes the risk of contraband being smuggled back into prisons.*
- 7.23 In a joint initiative, the justice sector has budgeted \$27.8 million to expand audio-visual links in courts and prisons to reduce the costs and risks associated with transporting offenders. Prisoner movements between prisons and courts are forecast to reduce from about 82,000 a year to about 25,000-40,000 a year.
- 7.24 Audio-visual links will provide some additional benefits to the Department. They will be a good tool to improve how prison and community probation staff work together to transition offenders into the community. When probation officers cannot come into prison (for example, because they are in another town), offenders could meet their probation officer through an audio-visual link before release. Prison and community probation staff could also use audio-visual links to discuss issues relevant to handover, such as joint assessments of any risks around release. Audio-visual links have the potential to save time, facilitate information-sharing, and reinforce the culture of “unifying our effort”.
- 7.25 Audio-visual links can also be used for offenders to talk with their families, face to face, when families cannot come into the prison. Research shows that children of offenders in prison often have difficulties getting to see their parents, with more than half of the children living more than an hour's drive from the prison.

Improving facilities to support rehabilitation

- 7.26 As part of its modernisation, the Department is improving its facilities to support rehabilitation outcomes for offenders. We visited some of the Department's newer, open-style prisons to see the Department's vision for effective rehabilitation and reintegration. The aim of the open-style facilities is to provide and support a pro-social, pro-active environment that best enables offenders to make changes. Offenders are encouraged and supported to practise the skills that they learn in programmes. The layout of the facilities encourages interaction between staff and offenders to allow for, and to promote, active management.

There is a body of evidence that this type of environment supports rehabilitation.⁴ The Department has an initiative to upgrade some of the ageing prisons that are inadequate for securing and humanely managing offenders.

- 7.27 Modernising facilities includes adapting them to provide family-friendly environments. Research has shown that children of offenders in prison are up to seven times more likely to end up in prison themselves. There is some debate about whether children should visit their parents in prison and whether this leads to children seeing the prison environment as normal. However, there is significant research that shows multiple benefits from maintaining family relationships.
- 7.28 Christchurch Men's Prison is working with the Pillars Charitable Trust to provide a positive experience for children when they visit their fathers in prison. They are piloting an activity space with toys and colouring books in a low-security visiting area. The activity space aims to facilitate father and child bonding and to contribute to better family outcomes. We were told that this is a big shift for the Department, which has previously feared that contraband will be smuggled in. Pillars staff told us that offenders are encouraged to interact with their children by reading stories to them and getting down on the ground and playing with them. Family visits have increased. Other prisons are also trying family-friendly ideas, such as having family days, building a children's playground, and providing fruit to children when they visit. We were told that, as well as providing healthy food, it helped create a different atmosphere.
- 7.29 The Department is also modernising community probation centres to encourage more successful interactions between staff, offenders, and local service providers in the community. We visited the newly built Kapiti community probation service centre. The centre is designed to maintain staff safety while also helping offenders to feel comfortable. The reception is open plan, with a front counter that is high and wide (making it hard to jump over), and there are no bars or wires between the receptionist and visitor. The centre has an open-plan design, with glass meeting rooms. The area is monitored by security cameras.

4 Pratt, J and Eriksson, A (2013), *Contrasts in Punishment: An explanation of Anglophone excess and Nordic exceptionalism*, Routledge, London.

Part 8

Working with others to reduce reoffending

8.1 In this Part, we discuss:

- how the Department works with other government entities to reduce reoffending; and
- how the Department is partnering with iwi and community groups to support offenders.

Summary of our findings

8.2 The Department has been innovative in how it partners with other public entities to achieve its strategic priorities. It has established good relationships. However, without shared goals or outcomes, it has been difficult for the Department to get traction in some areas. Working effectively with others remains a challenge for all public entities. It relies on more than just establishing good relationships. Good relationships with shared goals are important for achieving results.

Working with other public entities to reduce reoffending

8.3 A challenge for every public entity is how to work effectively with other public entities. The Department is clear that it cannot reduce reoffending alone. The Department is working with many public entities with which it has “common clients” – for example, Child Youth and Family, the Police, Work and Income, the Ministry of Health, and Housing New Zealand Corporation (for social housing). It also participates in intersectoral groups such as the Northland Regional Intersectoral Forum.

8.4 The Department presents its case as “we can help you with your problems, so that it becomes our problem”, rather than just asking agencies for help. We noticed that sometimes this approach works, and sometimes it does not.

8.5 Some of the Department’s more successful partnerships are within the justice sector – in particular, with the Police. This partnership is at both a strategic and operational level. At a strategic level, the Justice Sector Leadership Board, which comprises the Chief Executives of the Ministry of Justice, the Police, and the Department of Corrections, has been working for several years on joint outcomes and the criminal justice pipeline. Figure 8 describes the pipeline. The Police and crime prevention are at one end of the pipeline, and the Department and sentence management are at the other end. By working together, the entities recognise that reducing reoffending is, in effect, crime prevention.

Figure 8
The criminal justice pipeline



Source: Ministry of Justice.

- 8.6 We heard comments that the Better Public Services programme to reduce crime has helped to reinforce the Department's target. One police officer explained to us:
- The 15% reduction in crime and violent crime rate by 20% means they have to address the underlying causes and work with others to stop/prevent crime. This will flow through into other targets, such as reducing reoffending.*
- 8.7 The Ministry of Justice and the Police are both on the Reducing Reoffending Governance Committee, which oversees the reducing reoffending work programme.
- 8.8 At an operational level, the Department, the Police, and the Ministry of Justice set up the Joining Forces programme in November 2011 to work together more efficiently. Initiatives include the following work streams:
- watch house and court custodial services;
 - escorts and transport;
 - court security;
 - intelligence and information-sharing;
 - safe communities;
 - combined training;
 - emergency response management;
 - electronic bail; and
 - co-location of facilities.
- 8.9 We saw several examples of collaboration resulting from Joining Forces. This included sharing facilities, such as the justice sector hub being built in Christchurch. Some probation sites are next to police stations and courts. The close working relationship encourages information-sharing and Intel (see paragraph 6.24). For example, probation officers often help to identify offenders of interest to the Police. Probation staff also inform the Police when high-risk

offenders are about to be released from prison. Some community probation service centres have formalised information-sharing through the multi-disciplinary teams and by setting up daily or weekly meetings.

- 8.10 The Department has formed a partnership with Work and Income to set up Job Club. Job Club is an initiative that supports offenders nearing release with help preparing for, and finding, a job. This includes preparing a CV, interview techniques, and linking offenders to potential employers. Job Club was presented to Work and Income as a way of meeting its goal of reducing unemployment. Staff at Work and Income saw it as a “no-brainer” and that it was “crucial to partner up”. In Christchurch, Work and Income staff were seconded to the Department to set up Job Club and to help manage the Department’s contribution to the Christchurch rebuild. Both the Department and Work and Income staff on this project agreed that this approach worked well.
- 8.11 The Department’s focus on education is in keeping with the education sector’s Better Public Services target to boost skills and employment by:
- increasing the proportion of 18-year-olds with NCEA Level 2 or equivalent qualification; and
 - increasing the proportion of 25- to 34-year-olds with advanced trade qualifications, diplomas, and degrees (at Level 4 or above).
- 8.12 The Department is also partnering with the Open Polytechnic and the Open Wānanga to provide fee-free education and training courses for community offenders. These courses focus on employment skills, financial literacy, bridging to tertiary education, and te reo Māori.
- 8.13 The common theme for all of these working relationships is a shared strategic priority. Having shared goals has led to successful outcomes. Other factors— for example, relationship skills and close proximity – have resulted in some good outcomes, such as being seen to be working together, avoiding duplication, and increasing the capacity of both partners.
- 8.14 We consider that there is an opportunity to use this approach for the transport sector’s strategy for *Safer Journeys*. Areas of mutual concern include young drivers, high-risk (that is, dangerous and reckless) drivers, disqualified and unlicensed drivers, and repeat drink/drug drivers. The reducing reoffending programme and *Safer Journeys* have complementary strategic priorities.⁵
- 8.15 The Department approached the Ministry of Health about immunising children. The Department pointed out that it could help the Ministry of Health to reach a “hard-to-reach” population – for example, children who need immunisation visiting their parents in prison. Initial discussions with the Ministry of Health

5 See the *Safer Journeys* website, www.saferjourneys.govt.nz.

led to a conclusion that immunising children in prison would present significant logistical issues. A subsequent discussion with the Ministry of Health led to an offer to establish contacts with Immunisation Coordinating Committees at each district health board (DHB).

- 8.16 The Department needs to work with the Ministry of Health to expand the alcohol and drug treatment available to offenders in the community. In March 2012, Parliament agreed the Vote Health appropriations of \$10 million a year for the Drivers of Crime package. From this package, \$3.5 million was identified for increasing access to alcohol and drug treatment for community offenders. The Department worked with the Ministry of Health and with DHBs to expand the alcohol and drug treatment available in the community through the new funding. About \$2 million has been allocated to six DHBs (Waitemata, Waikato, Bay of Plenty, Mid-Central, Capital and Coast, and Canterbury).
- 8.17 The Department is working with the Ministry of Health and the six DHBs to prepare implementation plans for treatment, including monitoring, reporting, and evaluation processes. The remaining \$1.5 million is currently unallocated. The decision on whether to expand treatment in the current DHB regions or whether to resource other DHBs will be informed by the progress of implementation within the currently funded DHBs.
- 8.18 Another challenging area for the Department is finding suitable accommodation for offenders. The Department is building a relationship with Housing New Zealand. Using the shared problems approach, the Department identified that Housing New Zealand has a problem with some people damaging their houses. The Department has offered to provide pastoral care such as drug tests and counselling to help offenders be better tenants if Housing New Zealand provides accommodation. However, providing accommodation for offenders is challenging when there is a shortage of social housing.
- 8.19 In one initiative, the Department has partnered with the Christchurch Earthquake Recovery Authority and Housing New Zealand to restore and renovate houses in the Rolleston Prison construction yard. The refurbished houses will go to Housing New Zealand to be used for social housing in Canterbury.
- 8.20 The Department has been innovative in how it partners with other agencies to achieve its strategic priorities. It has established good relationships. However, without a shared strategy, it has been difficult for the Department in some areas. Working effectively with others remains a challenge for all public entities. It relies on more than just establishing good relationships. Good relationships with shared goals are important for achieving results.

Partnering with iwi and community groups

- 8.21 As part of the reducing reoffending programme, the Department is placing more emphasis on partnering with iwi and community groups to deliver rehabilitation and reintegration services.
- 8.22 The Department has some initiatives to support third-party capability. It has set up a regional initiative fund for additional interventions provided by iwi and community groups. The process involves submitting an application to the Department for funding, preparing a business case, and getting it signed off by the Regional Commissioner. The proposals range from low-cost, high-volume interventions that target work and living skills training to intensive wrap-around support for high-risk offenders being released into the community.
- 8.23 The Pathways programme in Christchurch is an example of a programme funded through the regional initiative fund. Non-governmental organisations support offenders moving from prison into the community to find and keep paid employment. The initiative focuses on supporting offenders' own efforts to find, apply for, and sustain suitable employment, rather than the Department's traditional educational and vocational skills-based programmes. The Department commented that the programme is working well because it has outcomes-based contracts. The providers are paid more the longer an offender keeps a job.

Work and living skills

Every Friday from 11 am to noon, the Maraeroa marae in Porirua holds a one-hour work and living skills session for 20-30 offenders. The sessions start with a cup of tea and a biscuit, and focus on skills that offenders need in the community. Other organisations – such as Work and Income, the Police, the Citizens Advice Bureau, and the Ministry of Health – attend to give advice about budgeting, consumer rights, and practical matters such as getting a driver licence.

This is an example of a local solution. Porirua community probation service centre looked at what support was available for low-level offenders and came up with an idea for something new. The Department told us that the local non-governmental organisations were “incredibly supportive” because they had wanted to help but did not know how to reach this group of offenders. The non-governmental organisations have got other local providers to help. For example, the Citizens Advice Bureau came up with an idea to run cooking classes. The free classes are held at the local scout hall, and the food and tutors are provided for free.

We were told that the range of services and support available in the community has been an eye-opener for some offenders. This includes health and child care, food banks, and even the Salvation Army's Sunday dinners.

Part 9

Performance measures and targets for reducing reoffending

9.1 In this Part, we discuss the Department’s performance measures and targets, and how the Department monitors and reviews performance information.

Summary of our findings

9.2 The Department has clear performance measures and targets for reducing reoffending that are in line with its strategic priority. The Department has set a target to reduce reoffending by 25% by 2017. This would see the reimprisonment rate of offenders reduce from 27.1% to 20.3% and the reconviction rate of community-based offenders reduce from 30.4% to 22.8%. The Department calculates that this will mean 4600 fewer offenders each year by 2017.

9.3 The reducing reoffending rate reported by the Department includes prisoners reconvicted and sent back to prison, but it does not include prisoners who have been reconvicted and have received a community-based sentence.

9.4 The June 2013 results show that the reimprisonment rate of offenders is 26.7% and that the reconviction rate of community-based offenders is 26.8%. These are the lowest reoffending rates in the last 10 years.

9.5 We tested the Department’s performance measures and targets to see whether it was possible for it to manipulate results. On the balance of what we have seen, we conclude that the decreasing reoffending rates are a result of the Department’s practices and improved management of offenders.

9.6 The Department collects good management information on prisons’ performance. There is an opportunity to publish the reoffending rates at a prison level to show how each prison contributes to the Department’s overall strategic goal to reduce reoffending.

Performance measures and targets

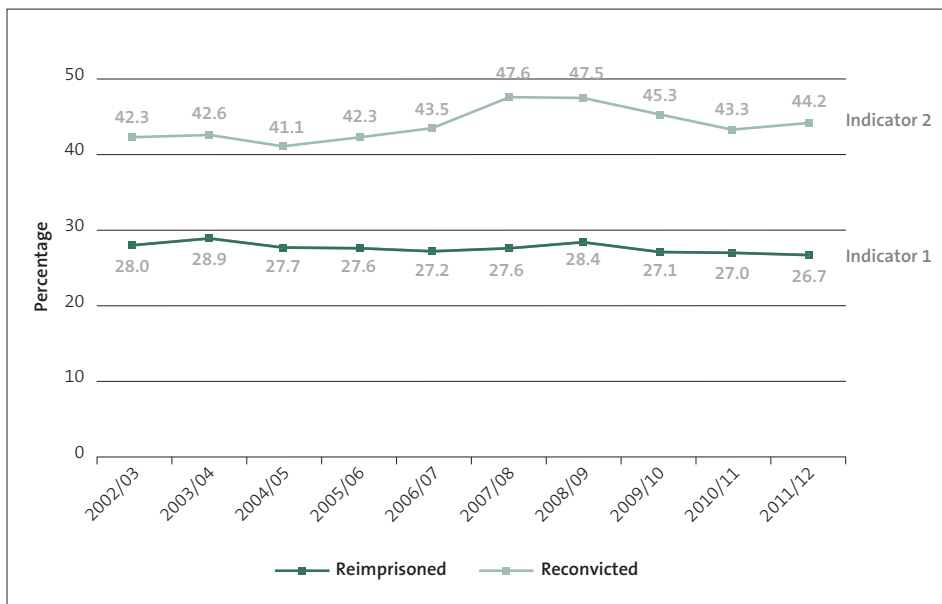
9.7 The Department has reported reoffending rates in its annual report for more than a decade. The recidivism index⁶ shows the four main indicators used to measure reoffending rates. They are the percentage of:

- prisoners who are reimprisoned within 12 months of release (indicator 1);
- prisoners who are reconvicted within 12 months of release (indicator 2);
- offenders serving a community-based sentence who are reconvicted within 12 months of beginning their sentence (indicator 3); and
- offenders serving a community-based sentence who are imprisoned within 12 months of beginning their sentence (indicator 4).

6 The recidivism index measures the Department’s effectiveness in reducing reoffending.

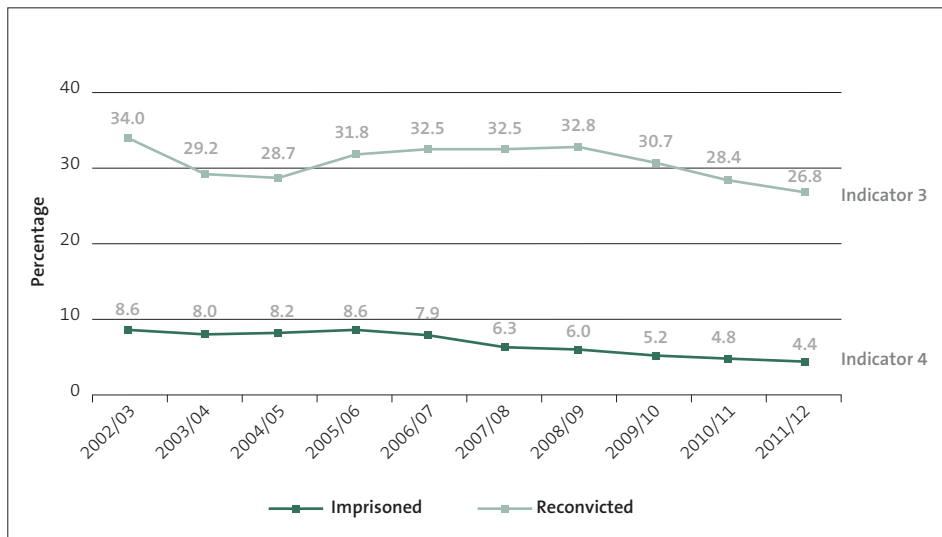
9.8 The four indicators are shown in Figure 9 and Figure 10.

Figure 9
Reconviction and reimprisonment rates for offenders released from prison, within 12 months of release



Source: Department of Corrections.

Figure 10
Reconviction and imprisonment rates for offenders serving a community-based sentence, within 12 months of beginning their sentence



Source: Department of Corrections.

- 9.9 Some people believe that 12 months is too short a measurement period and that five years would better represent results. However, the Department maintains that more than half of all offenders who are reimprisoned after they are released are returned to the prison within 12 months. We note that 12 months after release appears to be the international standard measure. We also note that the Department's annual reports include reconviction and reimprisonment rates for 12 and 24 months. (Appendix 3 shows recidivism rates within 24 months.)

Reducing reoffending by 25% by 2017

- 9.10 Reconviction rates are the most widely used method of measuring reoffending. Reconviction figures include imprisonments and community-based sentences. For the target of reducing reoffending by 25% by 2017, the Department reports on indicators 1 and 3, as shown in Figures 9 and 10.
- 9.11 Indicators 2 and 4 measure the seriousness of offending in comparison to previous offending. For example, if a released prisoner is reconvicted but not imprisoned, their offending is considered less serious. Conversely, if an offender serving a community-based sentence is reconvicted and imprisoned, their offending is considered more serious. By using indicator 1 and indicator 3 (which includes indicator 4), the Department reports on reoffending that is either as serious as, or more serious than, an offender's previous offences.
- 9.12 The Department set the baseline for the 2017 target at 30 June 2011 (30.1%). Based on this figure, a 25% reduction in reoffending would see the reimprisonment rate of prisoners reduce from 27.1% to 20.3% and the reconviction rate of community-based offenders reduce from 30.4% to 22.8%. The Department calculates that this will mean 4600 fewer offenders by 2017.
- 9.13 The results, as at June 2013, show that reimprisonment rate of prisoners is 26.7% and that the reconviction rate of community-based offenders is 26.8%.⁷ Figure 9 and Figure 10 show that these are the lowest reoffending rates in the last 10 years for the 12-month follow-up period. Figure 11 shows the progress the Department has made to date in achieving its target of reducing reoffending by 25% by 2017.

⁷ The September 2013 results show that the reimprisonment rate of prisoners is 26.2% and the reconviction rate of community-based offenders is 26.6%.

Figure 11
Progress in reducing reoffending towards 2017 targets

Period reported	Reimprisonment rate of prisoners %	Reconviction rate of community-based offenders %
Baseline, in the year to June 2011	27.1	30.4
Current, in the year to June 2013	26.7	26.8
Target, for the year to June 2017	20.3	22.8

Source: Ministry of Justice and Department of Corrections.

- 9.14 So far, the results have come mostly from reducing the reconviction rates of offenders on community-based sentences. This is partly because of a lag in results for prisoners. For example, prisoners need to complete a rehabilitation programme, be released, and then be measured 12 months later. Offenders on community-based sentences are measured from the time they are sentenced, meaning their results are seen sooner.

Risk of the Department manipulating results

- 9.15 We tested the Department's performance measures and targets to see whether it was possible for the Department to manipulate results.
- 9.16 The reducing reoffending rate reported by the Department includes prisoners reconvicted and sent back to prison (indicator 1), but it does not include prisoners who have been reconvicted and have received a community-based sentence (indicator 2). In the last 12 months, 1350 prisoners were reconvicted and given a community-based sentence. We checked to see whether excluding this group made the results look better. However, this was not the case because the reconviction rate of prisoners has decreased more than the reimprisonment rate. We note that the June results have shown an upturn in the reconviction rate of prisoners but that, during the past four years, the overall trend is downwards.
- 9.17 However, not using the overall reconviction rate for all offenders as part of the Department's reporting for reducing reoffending by 25% can make the results more difficult to understand and could detract from the good results that the Department is achieving.
- 9.18 In our view, the results have come after the successful community probation change programme and after putting the IPF into effect. This includes creating

a supportive learning environment, the DRAOR, and the practice centre. These initiatives ensure that the mandatory standards are being met more consistently.

- 9.19 On the balance of what we have seen and everything the Department has put into practice, our judgement is that the Department's performance results are because it manages offenders better.

Monitoring and reviewing performance information

- 9.20 The Department has performance measures to assess the performance of prisons and community probation.
- 9.21 The Department assesses the performance of its prisons against key performance indicators (KPIs). The KPIs measure whether a prison is meeting minimum requirements to be a safe and secure facility. They also measure the rehabilitation performance of the prison. The KPIs are relevant and link to the Department's two strategic priorities of public safety and reducing reoffending.
- 9.22 Community probation assesses its performance against its mandatory standards. Mandatory standards are unique to each type of order or sentence. For example, one of the 13 mandatory standards probation officers must meet for an offender on parole is to "take action every time the offender does not comply with any requirement of their parole to hold them accountable for compliance with their order". Community probation has a target to consistently achieve 98% of mandatory standards for all sentences and orders. The latest figures show that 94% of mandatory standards were achieved in August 2013.

Measuring and reporting prison performance

- 9.23 The Department publicly reports each prison's performance through a league table. The purpose of the table is to track the performance of each prison and to allow public and privately operated prisons to be compared.
- 9.24 There are three measures to work out a prison's overall rating:
1. core security indicators, such as escapes, riots, and unnatural deaths – if any of these take place, the prison will be classified as needing improvement, no matter how well it performs in the next two measures;
 2. internal procedure measures, such as the number of complaints, drug testing results, and assaults – if these do not meet the required standards, the prison will be classified as needing improvement; and
 3. rehabilitation measures – this includes increasing participation in education or employment programmes.

- 9.25 Each prison is given a performance grade of Exceptional, Exceeding, Effective, or Needs Improvement, based on the KPIs. The Department weights each KPI to reflect the significance it places on each indicator and the challenges facing each prison, such as prisoner population, prisoner turnover, security classifications, and programmes offered. If the minimum requirements for a safe and secure prison are met, the rehabilitation KPIs become the main driver of which performance grade is awarded.
- 9.26 The prison performance table is one tool the Department uses to monitor performance against its intended goals. The Department also uses information from the recidivism index to see which prisons contribute the most to reducing reoffending and which have the highest recidivism rates. For example, Hawke's Bay Prison consistently has high reimprisonment rates. Hawke's Bay Prison has a high young Māori male population with high gang affiliation, and the recidivism index shows that these groups have high reoffending rates.
- 9.27 In our view, the Department collects good management information on prisons' performance. We note that the Department has begun a review of the prison performance table rehabilitation measures, which will result in recommendations for change and add additional KPIs. We suggested to the Department that there is an opportunity for it to also review what performance information about prisons it publishes. We consider that publishing the reoffending rates at a prison level would complement the performance results reported in the league table. This would publicly show how each prison contributes to the Department's overall strategic goal to reduce reoffending.

Part 10

A focus on continuous improvement

10.1 In this Part, we discuss:

- how the Department evaluates and monitors the effectiveness and quality of its programmes and interventions, and how it uses that information to make improvements;
- international benchmarks and where New Zealand is doing well; and
- how the Department gets feedback about the experiences of offenders and stakeholders.

Summary of our findings

10.2 The Department has a robust and internationally recognised method for monitoring the delivery, and evaluating the effectiveness, of its programmes. The Department uses the results of reviews and evaluations to improve its strategy and programmes. In our view, the Department should be commended for the importance it places on monitoring and evaluation.

10.3 International comparison is challenging because other jurisdictions have different measures and ways of reporting. Despite this, New Zealand seems to be doing well and leading the way in some aspects.

10.4 The Department has a range of approaches for getting formal and informal feedback from offenders and stakeholders. However, the Department could benefit from being more consistent in the way it collects the experiences of offenders and stakeholders.

Evaluating the effectiveness of reducing reoffending

10.5 The Department defines effectiveness as meaning that both the rate of reoffending and the seriousness of reoffending are decreasing. There is a growing awareness in the Department that it takes time to move away from crime. This is why the Department also measures effectiveness by looking at desistance or a change in an offender's former pattern of behaviour. This indicates that offenders are on a pathway to stopping reoffending.

10.6 The Department has prepared methods to evaluate the effectiveness of its programmes. It has commissioned studies to evaluate its methods, including an external review as part of its expenditure review (see paragraph 2.30). The review team was impressed by the standards of professional integrity that the Department sets and by the quality of its programmes. In particular, the review team was impressed with the work on the employment and work programmes. The team maintained that the reported reductions in recidivism were more than adequate when compared to what has been cited in international research findings.

Using the recidivism index and rehabilitation quotient to measure effectiveness

- 10.7 The recidivism index uses two primary measurement approaches. The first approach measures reoffending rates throughout the entire population of offenders managed in a year by age, gender, ethnicity, gang affiliation, type of crime committed, type and length of sentence, and prisoner security classification.
- 10.8 The second approach is called the rehabilitation quotient. This calculates the effectiveness of programmes by comparing a group of offenders who have completed a programme with a control group of offenders who have not. For example, if the rate of reimprisonment for untreated offenders was 35% and the corresponding rate for offenders who had completed the programme was 25%, there would be a 10 percentage point reduction in the rate of reimprisonment between treated and untreated groups. Figure 12 would show this as a percentage-point change of -10.0.
- 10.9 Several factors can affect the success of rehabilitation interventions. It can be difficult to separate out what has been successful, especially if offenders have completed several programmes. However, by comparing treated and untreated offenders, the Department can show that its programmes are successful.

Figure 12
Results for rehabilitation programmes and interventions, 2012/13

Prisoner interventions	Reconviction rate (12-month follow up) percentage point change	Reimprisonment rate (12-month follow up) percentage point change
Special treatment units (sex offenders)	-7.7**	-6.8**
Special treatment unit rehabilitation programme	-12.5**	-12.9**
Drug treatment units	-6.8**	-3.6*
Medium-intensity programme	-1.3	-3.8**
Short rehabilitation/motivational programmes	-0.1	-4.5*
Prisoner employment	-1.6	-1.4
Trade and technical training	-1.6	-8.3**
Release to work	-5.9**	-3.2**
Community-based interventions		
Medium-intensity programme	-3.1	-6.4**

* Results are statistically significant below the 95% level of confidence threshold but are highly likely to be indicative of effectiveness.

**Results are statistically significant at the 95% level of confidence.

Source: Department of Corrections.

- 10.10 Figure 12 shows that participation in rehabilitative activities generally has a positive effect on reducing reoffending. For example, offenders who complete a rehabilitation programme in a special treatment unit are reimprisoned at a rate 12.9 percentage points lower than offenders who have not completed a programme.
- 10.11 The Department told us that rehabilitation quotient scores of around -10.00 are the “gold standard” internationally. However, this reduction is infrequently achieved when programmes are routinely delivered to large volumes of offenders.
- 10.12 The rehabilitation quotient also shows which offender groups the programmes work best for. For example, results for the drug treatment units in 2009/10 showed that they were particularly successful for Māori participants. Conversely, some programmes are not producing good results for youth. This is reflected in the recidivism index, which shows that youth are reimprisoned and reconvicted at significantly higher rates than older offenders. The Department acknowledged the difficulty of achieving good results with youth. It told us that it knows it needs to improve the quality of programmes delivered to youth.

Evaluating and reviewing the effectiveness of programmes for Māori

- 10.13 The Department is committed to reducing the reoffending rates of Māori:
As Māori offenders make up over half of the offender population, we need to succeed with Māori in order to reduce reoffending overall.
- 10.14 The Department has set an even more ambitious target to reduce reoffending by 30% by 2017 for offenders in the Māori focus units. The target is 5 percentage points higher than the overall target for the general prison population.
- 10.15 The Department’s expenditure review highlighted some concerns about the purpose and delivery of the tikanga Māori programmes. The review recommended re-evaluating the purpose of the programmes and relaunching an improved programme. The Department found that there was not a lot of evidence to support tikanga Māori as a rehabilitative programme. However, the “word on the ground” was that they are “pretty good” and that offenders and staff love the programme. The Department has reviewed the purpose of tikanga Māori programmes and recognises that Māori offenders benefit by improving their sense of cultural identity and values. The Department now uses tikanga Māori programmes as short motivational programmes to encourage further participation in proven rehabilitation programmes, such as medium-intensity rehabilitation programmes or Mauri Tu Pae.

- 10.16 The Department's results show that Mauri Tu Pae is doing well. The programmes are similar to medium-intensity rehabilitation programmes but include a specific Māori cultural perspective that builds on the foundation provided by the kaupapa of the Māori focus units and tikanga Māori programmes. We consider that this is a good example of an evidence-based approach that incorporates the importance of cultural values.

Monitoring the quality and delivery of programmes

- 10.17 The Department monitors the quality of programme delivery to maintain the effectiveness of rehabilitation programmes.
- 10.18 As discussed in paragraph 2.29, the Department based its approach to managing offenders on international best practice and the standard RNR principles. It monitors the quality or integrity of its rehabilitation programmes to ensure that the delivery of those programmes adheres to these principles.
- 10.19 The Department's quality monitoring method is based on the internationally recognised Correctional Programme Assessment Inventory. The external review team reviewed the Department's method as part of the expenditure review in 2011.
- 10.20 The Department follows general principles of monitoring, such as reviewing paperwork, including pre-programme assessment documents, observations, recorded and reviewed programme sessions, peer reviews, and interviews with programme facilitators. However, the extent to which offenders' feedback is collected is not clear.
- 10.21 The Intervention Design and Delivery Team reviews medium-intensity rehabilitation programmes. The Chief Psychologist's team reviews rehabilitation programmes in special treatment units. There appeared to be less monitoring of Mauri Tu Pae. We note that Mauri Tu Pae is based on the proven medium-intensity rehabilitation programme and that the amount of monitoring might not be a problem. However, if the results for Mauri Tu Pae drop below an acceptable level, increasing the amount of quality monitoring might be one area for the Department to look at.
- 10.22 The Department monitors how programmes are delivered and evaluates how effective its programmes are. In our view, the Department should be commended for the importance it places on monitoring and evaluation. Although we have identified areas where there might be room for improvement, overall, we consider that the Department monitors and evaluates the delivery of its programmes robustly and to a high standard.

Examples of using information to implement improvements

- 10.23 We saw many examples of how the Department uses its reviews of its effectiveness in reducing reoffending to make improvements.
- 10.24 For example, as a result of the expenditure review, the Department has placed more focus on education and training.
- 10.25 The expenditure review also carried out a stocktake of the Department's rehabilitation and reintegration interventions. It examined the outcomes of the interventions against their costs. The review identified which programmes delivered the best value and the most positive, measurable results. The review identified interventions that do not work and recommended replacing them with ones that are proven to work or could be delivered more cost-effectively. The review made 11 recommendations, most of which have been carried out. For example, the Department has extended the range of alcohol and drug treatments to match need and has stopped using faith-based interventions in prisons.
- 10.26 At a programme level, the results of monitoring and evaluation are used to redesign and redeliver programmes. For example, a youth programme was piloted in Counties Manukau. At the end of the pilot, it was evaluated by the programme facilitator and psychologist. The programme had not been a success. The reviewers made some recommendations to improve the programme, including shortening the length of the programme and not running it during the Christmas period. The evaluation was peer reviewed by a senior psychologist in the National Office. The Department decided to run the programme again with the recommended changes. It would be reviewed again before deciding whether to set it up nationally.

Benchmarking performance internationally

- 10.27 International comparison is challenging because other jurisdictions have different measures and ways of reporting. For example, Australia reports at a state level. New Zealand is one of the few jurisdictions to have set a target for reducing reoffending. Scotland used to have a target to reduce reconviction by 2% but no longer does. New South Wales has a target to reduce the rate of reoffending by 5% by 2021.
- 10.28 The Department participates in two international benchmarking exercises. The first is with the eight Australian states. Each year, a "Comparative Analysis" report is produced that reveals relative performance on a number of critical indicators. These include prisoner assaults, deaths in custody, participation in prison employment, relative operating expenditure, and recidivism. Secondly, New

Zealand participates in the International Roundtable for Corrections Excellence benchmarking exercise, which includes eight European countries, including Scotland, Ireland, Norway, and Belgium. The benchmarking exercise produces performance information about indicators similar to those used in the New Zealand and Australia exercise.

- 10.29 New Zealand seems to be doing well and is leading the way in some aspects. As mentioned in paragraph 10.6, an international review team found that New Zealand's professional standards of following an evidence-based approach set a benchmark. The review team stated:
- We contend that one would be very hard pressed to find another state or provincial [Department of Corrections] in Australia, Canada, and the US or Federal prison system ... that meets the standards set forth by [the Department].*
- 10.30 Further, we were told that nowhere else in the world assesses risk for both prison and community settings (DRAOR and SDAC-21). The Department told us that New Zealand was the first country to include responsivity factors in a risk assessment tool for prisons.
- 10.31 New Zealand has the advantage of doing things that other jurisdictions are unable to do because of the smaller scale of our corrections system and because we have only one jurisdiction and one legal system. For example, having a national database gives the Department a comparative advantage over other countries. The database enables it to find data on any offender, such as the computerised risk register for sex offenders. In comparison, the Department told us that, in Australia, it can be difficult to track offenders across state lines.
- 10.32 Another area where the Department seems to be leading the way is reporting results on effectiveness in its annual report. We are not aware of any other country or jurisdiction that does this. New Zealand also appears to be the only country to publish results at a wider system level and report on programmes delivered at multiple prisons. Other countries that publish effectiveness tend to focus on small, niche, and specific programmes that show good results. The Department does not just publish good results but also results that show no improvements or small increases. For example, the Department's 2011/12 annual report showed that there was no difference between treated and untreated groups of prisoners in the medium-intensity rehabilitation programmes.⁸

⁸ The 2012/13 medium-intensity rehabilitation programme results show a 3.8 percentage point reduction in reimprisonment between treated and untreated prisoners (see Figure 12).

Gathering feedback from offenders and stakeholders

Offender-centric approach

- 10.33 The offender-centric approach means providing offenders with rehabilitation and reintegration interventions that meet their individual circumstances and that help them to not reoffend. In Scotland, an audit on reducing reoffending pointed out that the best way to ensure that the needs of offenders is being met is to ask offenders what worked for them. Staff and offenders we spoke to agreed, because this approach encourages support.

How the Department gets feedback from offenders

- 10.34 The Department has several ways to get feedback from offenders. We attended a community meeting in the Kia Marama therapeutic unit at Rolleston Prison. The meeting involved all 60 offenders in the unit, prison staff, psychologists, the Chaplain, and volunteers at the prison. The meeting was formal and minutes were kept. These meetings are held once a week. All members are given the opportunity to speak and voice any concerns they have. This allows the community to set its culture, self-manage and regulate, and improve respect for others. As one offender pointed out, it allowed the group to deal with little infringements before they escalated into big problems.
- 10.35 We attended another unit that holds daily meetings. Offenders told us that making staff available like that meant they can raise issues and get them addressed. They said that staff were helping them work towards their release: “They don’t turn you away.”

The pre-release unit at Auckland Men’s Prison

When setting up the pre-release unit at Auckland Men’s Prison, staff collected feedback from current and former offenders to help work out the types of activities and courses needed to prepare offenders for release. Based on that feedback, the unit identified the “big six” (see paragraph 5.7).

The unit continues to get feedback from offenders by running an exit survey. The survey asks whether the unit met the offender’s expectations and what worked and did not work for them. The survey says that their answers will help the Department create programmes and services to help other offenders to successfully move from prison into the community.

- 10.36 We attended several programmes and had the opportunity to talk with offenders and facilitators both individually and in focus group settings. We were often accompanied by the Regional Commissioners, who told us that they found it valuable hearing feedback from offenders and facilitators. One Regional Commissioner told us that they often visited and spoke with offenders, but it was not clear to us how regular or consistent this practice is.

- 10.37 We heard concerns that not all offenders were getting the right programmes to meet their needs and that the system has a “one size fits all” approach. The alcohol and drug treatment programmes are an example of this. The Department acknowledged that it was not meeting the needs of all offenders who need treatment (see paragraph 3.31). Having a systematic approach to capture offenders’ experiences could provide opportunities to signal early where the Department might not be meeting needs and identify ways to improve how programmes are delivered.

How the Department gets feedback from stakeholders

- 10.38 The Department has formal and informal methods to get feedback from stakeholders. For example, members of the Department’s senior leadership team meet with unions, judges, the Parole Board, and non-governmental organisations such as the Salvation Army.
- 10.39 The Department gets feedback on public perception through two surveys. First, the Department purchases a report from a private research company that conducts an annual survey of the general public, seeking views about trust and confidence in a range of government agencies. Second, the Ministry of Justice surveys public perceptions of the justice system and sector agencies. The survey includes questions about the Department and whether it is seen to be effective.
- 10.40 The Department gets feedback on the support it provides in court, and the quality and timeliness of pre-sentence and prosecution reports. Feedback from the Parole Board and judges resulted in a programme designed to streamline the provision of advice reports and make them more efficient and consistent.
- 10.41 Community probation managers lead the Department’s relationship with district courts at the district level. Other probation staff also meet with local courts and judges to get feedback. They also pick up some complaints from judges in the media.

Taking a more consistent approach to collecting feedback

- 10.42 The Department has a mix of approaches for getting formal and informal feedback from offenders and stakeholders. In addition to surveying the general public’s perceptions, we consider that the Department could adopt a more consistent approach to capturing the experiences of offenders and stakeholders.
- 10.43 For example, the Department could use a tool such as the Common Measurements Tool survey, which measures client satisfaction by using a common set of questions. The survey measures the six main factors that influence New

Zealanders' satisfaction with the quality of services they receive from public service entities. The most important factor is meeting expectations. The other factors link directly to the offender-centric approach the Department uses and the principles of the Act – for example, “ensuring fair treatment of offenders” and taking into account their cultural background, ethnicity, and language. Other public service entities in New Zealand have adopted the methodology. By using a common set of questions, the Department will be able to compare its performance with other justice sector entities, such as the Police and courts, that use the Common Measurements Tool.

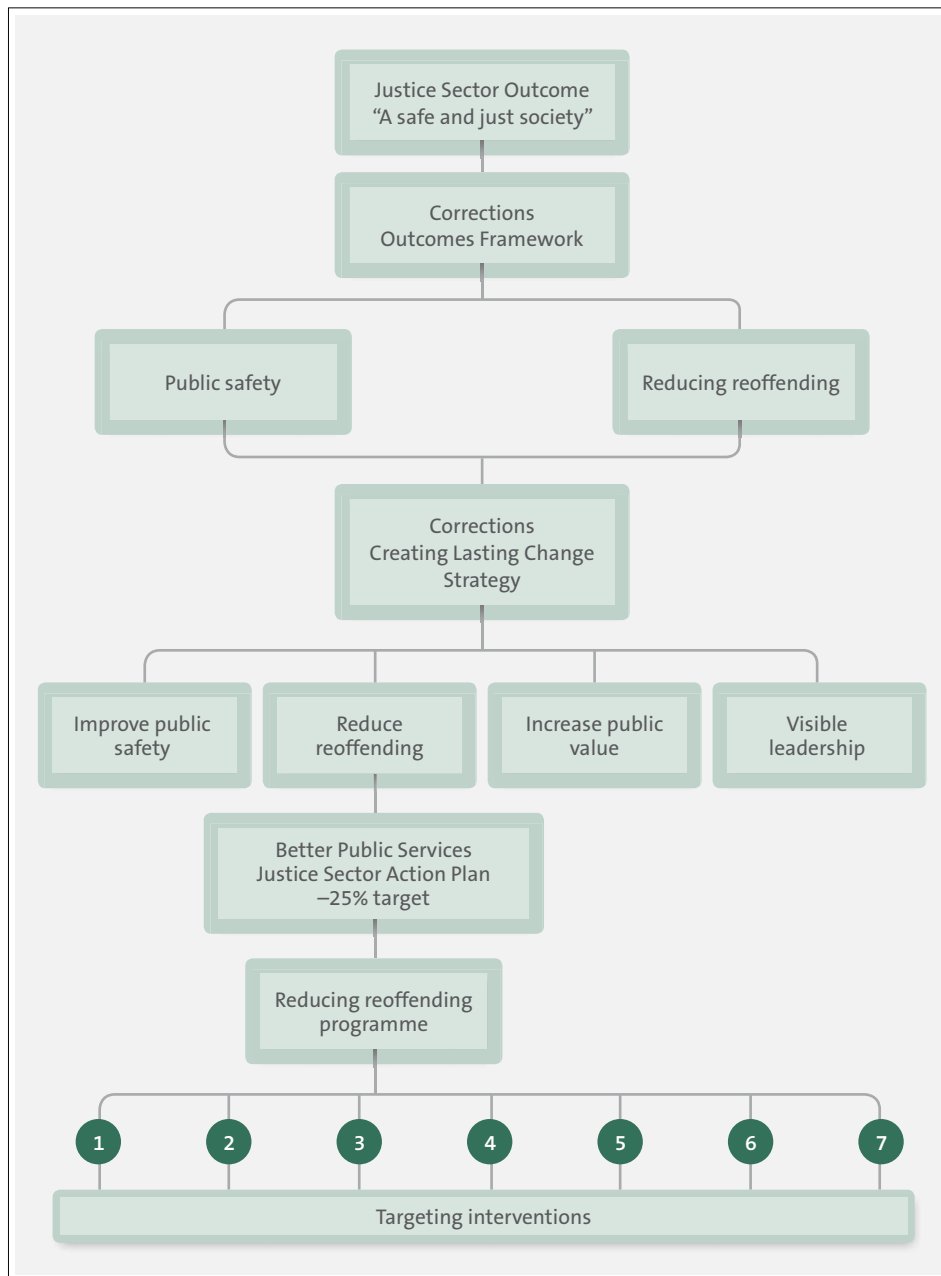
Recommendation 3

We recommend that the Department of Corrections use a survey tool that will:

- provide a more consistent approach throughout the Department for collecting feedback from offenders and stakeholders;
 - measure the factors that are important to New Zealanders when receiving public services;
 - fit with the offender-centric approach that takes into account the offender's circumstances and what works for offenders to stop reoffending; and
 - allow the Department to benchmark with other justice sector entities, such as the Police and courts.
-

Appendix 1

The strategic framework for reducing reoffending



Appendix 2

Reducing Reoffending Action Plan

Interventions	Why these interventions	Additional benefits
<p>Expand alcohol and drug treatment for offenders in prison and the community</p> <p>4000 additional alcohol and drug treatment places each year for offenders (720 existing places, bringing total to 4720)</p> <p>1200 offenders each year receive brief alcohol and drug treatment delivered by health staff (new intervention)</p> <p>5800 additional alcohol and drug treatment places each year for community offenders (6000 existing places, bringing total to 11,800)</p> <p>22,000 community offenders each year receive brief alcohol and drug interventions delivered by probation officers (new initiative)</p> <p>100 community offenders each year referred to treatment from pilot drug court for adult offenders in Auckland (new initiative led by Ministry of Justice)</p>	<p>Proven to reduce reoffending</p> <p>51% of crimes committed under the influence of alcohol or drugs</p> <p>65% of offenders have identified alcohol or drug problems</p> <p>Removes barriers to offenders leading offence-free lives</p>	<p>280 fewer reimprisonments each year</p> <p>1220 fewer community reconvictions each year</p>
<p>Expand rehabilitation programmes that are proven to reduce reoffending</p> <p>100 young offenders each year receive rehabilitation programmes (new initiative)</p> <p>120 additional offenders each year treated in special treatment units (235 existing places, bringing total to 355)</p> <p>180 additional offenders each year receive a rehabilitation programme from the medium intensity suite (including the Māori Therapeutic Programme) (795 existing places, bringing total to 975)</p> <p>5000 offenders each year receive expanded end-to-end case management (new initiative)</p> <p>100 young community offenders each year receive rehabilitation programmes (new initiative)</p> <p>2000 community offenders receive improved externally-provided rehabilitation programmes (new initiative)</p> <p>445 additional community offenders each year receive a rehabilitation programme from the medium-intensity suite, including the Kowhiritanga programme for female offenders (690 existing places, bringing total to 1135)</p>	<p>Proven to reduce reoffending</p> <p>More offenders being productive members of society</p> <p>Improve communities' social well-being</p> <p>Targets key drivers of criminal behaviour, anti-social attitudes, poor self-control and unstructured lifestyles</p>	<p>85 fewer reimprisonments each year</p> <p>200 fewer community reconvictions each year</p>

Interventions	Why these interventions	Additional benefits
<p>Enhance rehabilitation services provided directly by probation staff</p> <p>6400 adult community offenders each year and 1,700 young community offenders each year receive rehabilitative interventions from probation staff (new initiatives)</p> <p>17,000 community offenders each year receive relapse prevention and motivation interventions from probation staff (new initiative)</p> <p>10,000 community offenders on community work sentences each year receive basic work and living skills interventions (new initiative)</p> <p>6000 community offenders each year receive support or education and training in the community (new initiative)</p>	<p>Proven to reduce reoffending</p> <p>Community offenders more responsive to other interventions</p> <p>More community offenders being productive members of society</p> <p>Improves communities' social well-being</p>	<p>1890 fewer community reconvictions each year</p>
<p>Deliver rehabilitation in partnership with iwi and community groups and contract for results</p> <p>750 offenders each year receive an innovative externally provided rehabilitation intervention using results-driven contracts (new initiative)</p> <p>2000 community offenders each year receive an innovative externally provided rehabilitation intervention using results-driven contracts (new initiative)</p> <p>1370 young Māori community offenders each year receive facilitated rehabilitation support (new initiative)</p>	<p>Payment based on results</p> <p>Department and external providers identify and learn from best practice</p> <p>Offenders better linked to supportive community members</p> <p>Strong community and iwi engagement</p>	<p>25 fewer reimprisonments each year</p> <p>260 fewer community reconvictions each year</p>

Interventions	Why these interventions	Additional benefits
<p>Implement working prisons and increase offenders' participation in education and employment</p> <p>1500 additional offenders each year receive literacy and numeracy training and in-work support (1469 existing, bringing total to 2969)</p> <p>800 additional offenders each year participating in secondary and self-directed tertiary learning (1168 existing, bringing total to 1968)</p> <p>800 additional offenders each year employed while in prison (10,660 existing, bringing total to 11,460)</p> <p>150 offenders each year receive training in construction skills relevant to rebuild of Christchurch (new initiative)</p>	<p>Offenders in regular employment are less likely to reoffend</p> <p>Poor literacy a major barrier to employment</p> <p>Up to 90% of offenders have literacy needs</p> <p>Contributes to the rebuilding of Christchurch</p> <p>More than 60% of offenders are unemployed prior to imprisonment</p>	<p>100 fewer reimprisonments each year</p>
<p>Work with employers and industry to provide real jobs for released offenders and community offenders</p> <p>400 additional offenders each year on release to work (465 existing, bringing total to 865)</p> <p>1500 offenders each year receive improved services to assist them to find sustainable employment (new initiative)</p> <p>6000 community offenders each year assisted to find stable employment (new initiative)</p>	<p>Placement of offenders directly into jobs after release</p> <p>Offenders become more productive members of society</p> <p>Improves communities' economic well-being</p>	<p>60 fewer prisoners each year</p> <p>230 fewer community reconvictions each year</p>
<p>Partner with iwi and communities to strengthen reintegration services and establish reintegration centres</p> <p>2000 offenders each year receive reintegrative support and assistance from the community and iwi after release (new initiative)</p> <p>4000 community offenders each year receive reintegrative support and assistance from the community and iwi (new initiative)</p>	<p>After release from prison, offenders face daily challenges to remaining offence-free</p> <p>Removes barriers to offenders living offence-free lives</p> <p>Improves communities' economic well-being</p> <p>Offenders better linked to supportive community members</p>	<p>50 fewer reimprisonments each year</p> <p>200 fewer community reconvictions each year</p> <p>600 fewer reimprisonments 4000 fewer community reconvictions 18,500 fewer victims</p>

Source: Department of Corrections.

Appendix 3

Rates of reconviction and reimprisonment within 24 months

Figure 13
Reconviction and reimprisonment rates for offenders released from prison, within 24 months of release

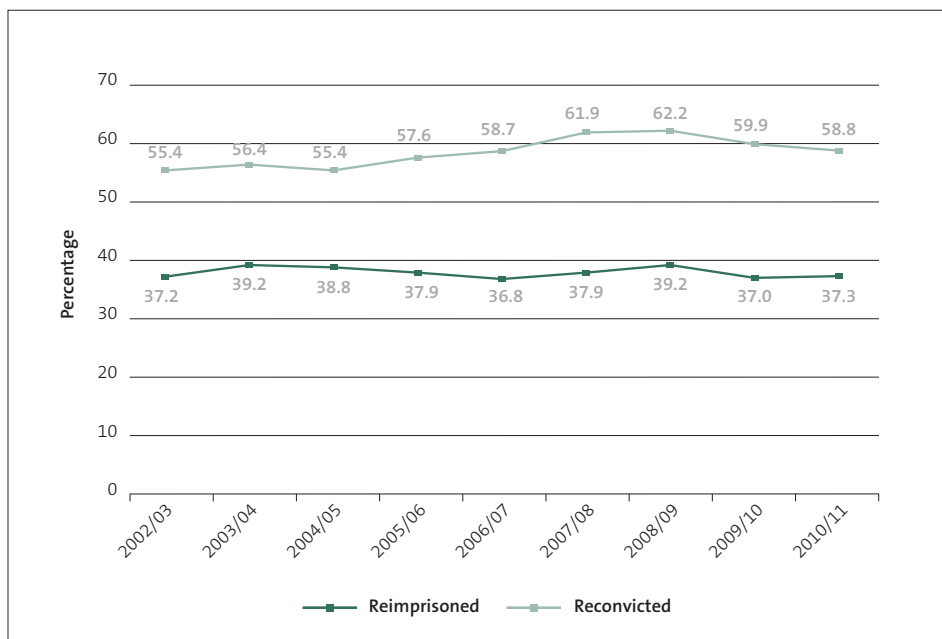
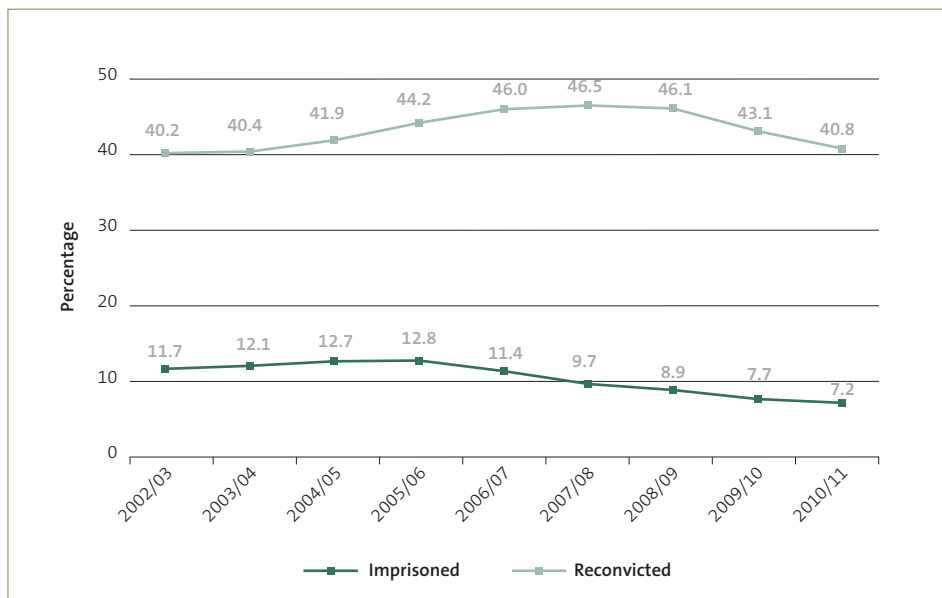


Figure 14
Reconviction and imprisonment rates for offenders serving a community-based sentence, within 24 months of beginning their sentence



Source: Department of Corrections.

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Other publications issued by the Auditor-General recently have been:

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- Inquiry into the Mangawhai community wastewater scheme
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- Using the United Nations' Madrid indicators to better understand our ageing population
- Annual Report 2012/13
- Using development contributions and financial contributions to fund local authorities' growth-related assets
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