



Briefing: Auckland South Corrections Facility PPP – Quarterly Performance Update (July – September 2021)

To Hon Kelvin Davis, Minister of Corrections			
Date	14 December 2021	Deadline	20 December 2021
B number	B4271	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets (Acting)	Contact number	S 9(2)(a)
Second contact	Peter Mitchell, Director PPP Contracts	Contact number	S 9(2)(a)

Purpose

This briefing provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period July 2021 to September 2021. It also provides an update on progress with the review and update of the ASCF Public-Private-Partnership (PPP) Agreement.

Key messages

ASCF is operating well during COVID-19 restrictions, with low levels of incidents and assaults. The ASCF PPP Project underwent a Gateway review during November 2021. Corrections received a detailed Innovation Report from Serco which is under consideration, which is provided as Appendix One. ASCF continues to work with the New Zealand Parole Board Chair to improve performance. The contract reset/review is progressing, with the signing of an Interim Amendment and Restatement to the Performance Regime, and submissions of business cases during the Quarter.

Recommendations

It is recommended that you note the contents of this briefing

Yes / No

Sign-off

Hon Kelvin Davis
Minister of Corrections

Date signed: 8/2/2022

Alastair Turrell
Deputy Chief Executive, Infrastructure & Digital Assets (Acting)

Date signed: 15 December 2021

Performance is continuing to improve

Leadership and Staff Capability

- 1 Richard Laws (ASCF Prison Director) has continued the work to increase the overall capability and experience of senior staff at ASCF. This has included the appointment of two Operational Managers in July 2021 and one in August 2021, as well as the appointment of a new Health Centre Manager in July 2021. Serco are currently recruiting for a Deputy Director Residential Services position.
- 2 Overall staff turnover at ASCF has decreased to 21.2 percent¹ in September 2021 (rolling 12 months), an improvement from 30.9 percent in September 2020.

Incidents and Assaults

- 3 The number of incidents and assaults at ASCF has been steadily decreasing since 2020. For the quarter to September 2021, ASCF had a total of 332 incidents, compared to 509 incidents over the same period in 2020. Similarly, ASCF had 24 total assaults (total of prisoner on prisoner and prisoner on staff) compared to 53 over the same period in 2020. The average number of assaults across the comparator sites² for the Quarter was 37.

Complaints and Misconducts

- 4 Resolution timeliness for complaints from people in prison has improved significantly to 95 percent from 30 percent in December 2020. The number of misconducts has decreased as well as the number withdrawn, suggesting the behaviour of people in prison has improved and ASCF is using the misconducts process more effectively.

Employment Activities

- 5 The newly appointed Industries Manager has been working to increase employment opportunities for people in prison. Despite COVID-19 restrictions, 286 people were involved in employment activities in September 2021 (36% of cohort), with the kitchen and Industries areas continuing to operate.

KPI Breaches and Deductions

- 6 Deductions for seven KPI Breaches totalled \$3,439 with zero Serious Assault incidents occurring during the Quarter – Table 1 refers. This is the lowest number of KPI Breaches in a Quarter since December 2018, and the lowest deduction amount since Service Commencement in 2015.

Table 1: KPI Breaches and Deductions for the Quarter end September 2021

KPI Breach	Number	Deduction
Serious Assault – Prisoner on Prisoner	0	Nil
Serious Assault – Prisoner on Staff Member	0	Nil
Non-Serious Assault – Prisoner on Prisoner	3	Nil
Non-Serious Assault – Prisoner on Staff	0	Nil
Failure to Report in Accordance with the Agreement	2	\$3,439
Self-Harm – No Threat to Life	1	Nil
Communication and Security Equipment Failures	1	Nil
Total	7	\$3,439

¹ Note that this percentage is not directly comparable to Corrections' turnover figures reported in the 2019/20 Annual Report. Corrections' turnover does not include transfers between sites, whereas any transfer from ASCF to a Corrections site would be classed as turnover for ASCF/Serco.

² Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

- 7 Performance against KPIs is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance). ASCF is currently in Service Failure Level 1 as a result of the Charge Event (unnatural death of a person in prison) that occurred in June 2021. Service Failure Level 1 entitles Corrections to receive additional performance reporting from ASCF. Additional reporting is not required in respect of the Charge Event, but the entitlement may be exercised later in the year if Corrections has performance concerns.

Innovation is a key focus area for ASCF and Corrections

- 8 Innovation is a key objective/outcome of the ASCF PPP Project and is of particular focus for Corrections and Serco. Serco has detailed five recent innovations to Corrections in their September 2021 Innovation Report (Appendix One). The initiatives outlined in the report were³:
- *Pūwhakamua Concept* – The Pūwhakamua Concept is a partnership with Iwi, delivering rehabilitation and reintegration services by Māori for Māori. ASCF has formed a partnership with the Tikanga Aroro Charitable Trust, administered by Te Arawa iwi. The Trust sponsors the Pūwhakamua Concept and provides papakāinga housing arrangements for participants in cabin-style accommodation around the communal utilities of a converted house. Participants are engaged in a strict Tikanga support programme, including full Te Reo immersion. Graduates of the first stage may move to Stage 2 supported transition housing on Iwi land and later Stage 3, being supported towards home ownership. More than 100 men are supported by Pūwhakamua in ASCF and 10 men currently before the Parole Board have release plans involving post release engagement and supported housing at Pūwhakamua.
 - *Take2 Coding Programme* – ASCF has entered into a partnership with a not-for-profit organisation Take2, to teach prisoners computer coding language and skills toward website and IT content design. Take2 is supported by several Corporate Information Technology stakeholders who have committed to providing internships and employment for participants post release. These stakeholders also support the Take2 Coding Programme by providing seminars and motivational talks to the participants within the classroom. ASCF is establishing Release to Work (RTW) opportunities where prisoners will be supported to provide IT consultancy services for Take2's clients. Eight men are currently participating in the programme, with a further 12 men joining following the addition of a second classroom.
 - *Barber Shop* – In order to provide skills training and potential post-release employment opportunities for prisoners, a Barber Shop has been set up in Houseblock One. Prisoners undertake a Barber Course which is 10 weeks long with 310 practical and theory learning hours, as a part of which prisoners will gain 31 NZQA Level 2 and 3 credits. The course is run in partnership with the UCOL School of Technology to meet the expected standards of the Hairdressing Industry Training Organisation. Prisoners can use this experience towards further qualifications, an apprenticeship or employment through RTW, post-release employment or potentially develop their own businesses.
 - *External Worker Duress Alarm* – Serco is trialling the use of an external worker duress alarm which is a key-fob type device that can be provided to staff when undertaking escort duties such as Guided Release, RTW transport, Compassionate Release, External Work Party, and Hospital Guard duties. The device and supporting application use a combination of mobile broadband communication and GPS positioning, allowing for web-based location visibility and alert response management. With the discreet press of a button, the device will alert the Master Control Room of an alarm. The device is quicker, easier, and more accessible than the previous contingency of placing a call from a mobile telephone and is more practicable in a duress or escapee pursuit situation.
 - *Video Conference Suites* – Designed for prisoners to connect with whānau/friends where visitation sessions are not possible/available (i.e. as a result of visitors being located in another region or COVID-19 restrictions). It is anticipated that the video call rooms will be available in every House Block and within the Residence complex. Serco will utilise the Unify Video Conference System,

³ Information relating to the Pūwhakamua and the Take2 Coding Programme was provided previously in the ASCF Gateway Review Briefing (B4257).

which is an end-to-end encrypted secure video calling platform, designed to connect occupants of secure facilities with friends and whānau. With tight pre-connection controls and ongoing post-connection facial recognition technology, Video Conference affords the benefits of ongoing face-to-face communication whilst also minimising risk to all involved.

- 9 Corrections is currently considering the report and innovations outlined to determine if any initiatives can be leveraged for use in other Corrections sites.

Gateway Review findings and recommendations are being assessed

- 10 On the week of 22 to 26 November 2021, the ASCF PPP Project underwent a Treasury Gateway Review. Gateway is a one-week review undertaken by independent experts, held before key decision points in a project. It is designed to give high-level, action-oriented recommendations to the Senior Responsible Owner (Director PPP Contracts), focusing on the issues that are important to the continuing success of the project. Key stakeholders were interviewed by the review team to gain insight on the performance of the project and developments since the previous Gateway Review in July 2018. As a part of this process, your office was briefed on 15 November 2021 (B4257) in preparation for your interview on 22 November 2021.
- 11 The findings and recommendations have been presented in a report to the Senior Responsible Owner. The PPP Contracts Team is reviewing the findings and working on an action-plan to implement the recommendations where appropriate. Overall, the report was very positive, acknowledging the work to date on the "contract reset/review" to address substantial changes since contract signing (September 2012). One of the key recommendations was for Corrections to recognise the unique potential of ASCF as a specialised rehabilitation and reintegration facility, and to realise agreed outcomes through rebalancing and more localised cohort planning within the integrated network configuration. Corrections will consider this recommendation through the Enterprise Planning Framework (outlined in further detail in paragraph 23).
- 12 As a part of the Gateway Review, Māori and Pasifika men engaged in Pūwhakamua and the Take2 Coding Programme were interviewed. The review team members remarked that the Take2 Coding Programme had clearly resonated with the young men involved and that the participants are fully intent on gaining jobs in the IT sector when released. They also remarked that the Pūwhakamua programme shows real potential in encouraging young men to take a "righteous path" on release, and creates a marae/whare-like environment within ASCF where rehabilitative responsibilities can be taught and modelled.

ASCF has responded positively to the challenges of COVID-19

- 13 ASCF has responded well to the ongoing pressures of COVID-19. The site has demonstrated a strong commitment to adapting routines and maintaining constructive activities for prisoners, particularly following the move to Alert Level Three and subsequently at a "red traffic light". ASCF are continuing access to gym facilities, in-cell and virtual learning capabilities, and participation in industries. ASCF is staffing houseblocks in "bubbles" to mitigate risk of a positive COVID-19 case on-site. A group of key custodial staff were identified to operate remotely with the capability to manage the site if on-site senior management staff had to self-isolate.
- 14 The site is supporting the Northern Region in its response to COVID-19, accepting 50 prisoners (majority voluntary segregation) from Mt Eden Corrections Facility (MECF) in September 2021 to free-up contingency COVID-19 isolation capacity. ASCF are working collaboratively with Corrections to understand the impacts of the newly implemented "COVID-19 Protection Framework (traffic lights)".
- 15 In November 2021, Corrections requested ASCF to decant a wing in Houseblock Two to setup a dedicated COVID-19 isolation wing in order to manage any potential positive cases or close contacts in the Northern Region.

New Zealand Parole Board concerns are being addressed by ASCF

- 16 The timeliness of reports provided to the Parole Board remains a key issue for ASCF. ASCF has outlined that the 50 MECF transfers caused significant timeframe pressure due to the high reporting requirements of the voluntary segregation prisoners. ASCF reported 85% timeliness for the Quarter for 202 reports (Corrections' benchmark is 95% timeliness).
- 17 Serco continues to work collaboratively with the Chair of the New Zealand Parole Board to address the concerns raised earlier this year. The main issues raised were regarding the standard of psychological reports, ensuring case manager presence at Parole Board hearings, availability of programmes at ASCF, and clarification of the eligibility criteria for the Residences (self-care accommodation) and RTW.
- 18 ASCF, in conjunction with Corrections, has made good progress addressing these issues, updating the format for ASCF psychological reports to match Corrections, training additional case managers and ensuring back-up case managers are available, and communicating the eligibility criteria to the Chair. The ASCF Prison Director, via a dedicated senior advisor resource, and Corrections are working collaboratively to address any outstanding matters. Progress against the availability of programmes and RTW has been delayed slightly due to COVID-19 restrictions.

Progress in the Review/Reset of the ASCF PPP Agreement

- 19 The contract parties are continuing to progress the contract reset/review. Corrections recently signed an Amendment and Restatement Agreement to the Performance Regime in November 2021. This Agreement incorporates the changes made in respect to the calibration of several custodial KPIs, as well as amendments/clarifications to KPI definitions. This is an interim Agreement with effect from 1 November 2021 to 31 October 2022. At the conclusion of this period, it is anticipated that the changes will be formally incorporated into the PPP Agreement.
- 20 Corrections is working with SecureFuture/Serco to develop metrics that are in Serco's direct control that provide an overarching view of "healthy prison performance". The concept under consideration is that if Serco is operating at the appropriate level of healthy performance, then financial deductions applied to a custodial KPI breach could be mitigated in part or in whole. This Quarter Serco submitted an initial "Healthy Prison Indicator" concept with metrics such as time out of cell, purposeful activity, availability of visitation sessions, and resolution of prisoner complaints. The PPP Contracts Team is currently reviewing the proposal with an aim to implement agreed metrics by early 2022.
- 21 In November 2021, Serco submitted a business case to Corrections to address cost pressures in relation to the provision of health services at ASCF. The business case seeks funding to address the shortfall in full-time equivalent resources required currently against the resources estimated at financial close (September 2012) and to align services in mental health and addictions between ASCF and other Corrections sites. The PPP Contracts Team is reviewing the business case collaboratively with Corrections' health team.
- 22 The role of ASCF in the wider Corrections network is being considered as a part of Enterprise Planning Framework. This includes reviewing network configuration and placement of people in prison at ASCF. A key consideration is ensuring Corrections maximises the use of the available capacity at ASCF, and the programme and industry capability of the facility. The facility continues to operate below capacity with the self-care Residences at 65 percent occupancy and the Houseblocks at 85 percent occupancy, resulting in an overall vacancy of around 150 men on any given day.
- 23 The intention is to consolidate all changes from the workstreams above into a combined restatement of the PPP Project Agreement. At that time, the restated PPP Project Agreement will be tabled in Parliament (this last occurred in 2017). Corrections will brief your office prior to the commencement of this process.

Next Steps

- 24 Corrections will provide the next performance update on ASCF to your office in February 2022. This will include progress on the contract review and update.

Appendices

25 Appendix One – ASCF Innovation Outside the Project Report – September 2021

Minister comments

Empty box for Minister comments.

Used under the Official Information Act 1982

Briefing: Auckland South Corrections Facility PPP – Quarterly Performance Update (October 2021 – December 2021)

To Hon Kelvin Davis, Minister of Corrections			
Date	24 March 2022	Deadline	31 March 2022
B number	B4316	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets (Acting)	Contact number	S 9(2)(a) [REDACTED]
Second contact	Peter Mitchell, Director, PPP Contracts	Contact number	S 9(2)(a) [REDACTED]

Purpose

This briefing provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period October 2021 to December 2021 (the Quarter).

Key messages

ASCF continues to perform well against key custodial indicators, with low levels of incidents and assaults.

The ASCF PPP Project underwent a Gateway (Targeted Investment) review in November 2021. The recommendations are being assessed.

The contract reset/review is progressing, with Corrections receiving a business case for the provision of Health Services.

ASCF is working collaboratively with Corrections to address the longstanding concerns outlined by the Chair of the New Zealand Parole Board.

Recommendations

It is recommended that you **note** the contents of this briefing

Yes / No

Sign-off

Hon Kelvin Davis
Minister of Corrections
Date signed:



Alastair Turrell
Deputy Chief Executive, Infrastructure & Digital Assets (Acting)
Date signed:
16 March 2021

Performance is continuing to improve

Leadership and Staff Capability

- 1 Richard Laws (ASCF Prison Director) has continued the work to increase the overall capability and experience of senior staff at ASCF. This has included the appointment of two senior leadership positions during the Quarter (Deputy Director Security and Deputy Director Residential).
- 2 Overall, annual staff turnover at ASCF is consistent with the previous Quarter, increasing slightly to 22.2 percent¹ at 31 December 2021 from 21.2 percent at 30 September 2021. This is a significant improvement from 30.7 percent turnover as at 31 December 2020.

Incidents and Assaults

- 3 The number of incidents continues to decrease at ASCF, especially incidents related to prisoner behaviour and prisoner management. ASCF had a total of 202 incidents during the Quarter, a significant decrease from 332 incidents in the previous Quarter. The average number of incidents across the comparator sites² was 626.
- 4 The occurrence of assaults at ASCF remains low, with 25 total assaults for the Quarter (total of prisoner on prisoner and prisoner on staff) compared to 24 last Quarter. The average number of assaults across the comparator sites was 43.

Complaints and Misconducts

- 5 The number of complaints remains low with a total of 258 for the Quarter, down from 391 in the previous Quarter, with resolution timeliness remaining above 90 percent. The number of complaints is similar to the average of the comparator sites of 252.
- 6 The number of misconducts continues to decrease as well as the number withdrawn. ASCF had a total of 211 misconducts with 2.8 percent withdrawn during the Quarter, down from 285 misconducts with 4.6 percent withdrawn in the previous Quarter.

ASCF received the lowest amount of deductions for KPI Breaches in a quarter since service commencement in May 2015

- 7 Deductions for eight KPI Breaches totalled \$1,719, with 0 Serious Assault incidents occurring during the Quarter – Table 1 refers. This is the lowest amount of Deductions for KPI Breaches in a Quarter since Service Commencement in May 2015.

Table 1: KPI Breaches and Deductions for the Quarter end December 2021

KPI Breach	Number	Deduction
Serious Assault – Prisoner on Prisoner	0	Nil
Serious Assault – Prisoner on Staff	0	Nil
Non-Serious Assault – Prisoner on Prisoner	4	Nil
Non-Serious Assault – Prisoner on Staff	2	Nil
Failure to Report in Accordance with the Agreement	2	\$1,719
Self-Harm – No Threat to Life	0	Nil
Total	8	\$1,719

¹ Note that this percentage is not directly comparable to Corrections' turnover figures reported in the 2019/20 Annual Report. Corrections' turnover does not include transfers between sites, whereas any transfer from ASCF to a Corrections site would be classed as turnover for ASCF/Serco.

² Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

- 8 Performance against KPIs is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance). ASCF is currently in Service Failure Level 1 as a result of the Charge Event (unnatural death of a person in prison – suspected suicide) that occurred in June 2021. Service Failure Level 1 entitles Corrections to receive additional performance reporting from ASCF. Additional reporting is not required in respect of the Charge Event, but the entitlement may be exercised later in the year if Corrections has performance concerns.

In December 2021, ASCF was placed under Stage 2 of the COVID-19 Custodial Environments Operating Procedures

- 9 With the country moving to the Traffic Light COVID-19 Protection Framework on 3 December 2021 (Auckland being in the Red setting), the site transitioned from the High-level Guidance for Alert Level 3 to the COVID-19 Custodial Environments Operating Procedures (CCEOP).
- 10 On 3 December 2021, ASCF was placed under Stage 2 of 3 of the CCEOP framework, along with the Northern Region Prisons and Spring Hill Corrections Facility. Despite the Auckland Region moving from Red to Orange on 30 December 2021, ASCF remained at Stage 2.

Gateway Review findings and recommendations are being assessed

- 11 On the week of 22 to 26 November 2021, the ASCF PPP Project underwent a Treasury Gateway Review (Targeted Investment Review). The initial findings and recommendations of the review were provided to your office in the previous ASCF update (B4271 refers). The Organisational Performance Committee at Corrections is reviewing the Gateway Report in the next Quarter and creating a workplan to implement the recommendations.

Progress in the Review/Reset of the ASCF PPP Agreement

- 12 In November 2021, Serco submitted a business case to Corrections to address cost pressures in relation to the provision of health services at ASCF. The business case seeks funding to address the shortfall in full-time equivalent resources required currently in the provision of primary healthcare to people in prison against the resources initially estimated at project signing in September 2012. It also seeks to align services in mental health and addictions between ASCF and other Corrections sites as well as with the Hōkai Rangī Strategy. The PPP Contracts Team is reviewing the business case collaboratively with Corrections' Health team. The cost of the business case is approximately \$2-3 million per annum.
- 13 The role of ASCF in the wider Corrections network continues to be considered as a part of Enterprise Planning Framework. This includes reviewing network configuration and placement of people in prison at ASCF. A key consideration is ensuring Corrections maximises the use of the available capacity at ASCF, and the programme and industry capability of the facility. The key issue that remains is the facility continues to operate below capacity, with the self-care Residences at 65 percent occupancy and the Houseblocks at 95 percent occupancy, resulting in an overall vacancy of around 115 men on any given day³.

Work is continuing to address concerns raised by the Chair of the New Zealand Parole Board

- 14 The issues outlined by the Chair of the New Zealand Parole Board regarding ASCF's quality of psychological reporting to the Parole Board and psychological evaluation of people in prison, are continuing to be worked through. ASCF is working closely with Corrections' psychology teams to ensure the quality of ASCF reports remain up to standard.

³ As at 31 December 2021.

Next Steps

- 15 Corrections will provide the next performance update on ASCF to your office in April 2022. This will include progress on the contract review and update.

Minister comments

Released under the Official Information Act 2000

Briefing: Auckland South Corrections Facility PPP – Quarterly Performance Update (January – March 2022)

To Hon Kelvin Davis, Minister of Corrections			
Date	5 May 2022	Deadline	12 May 2022
B number	B4330	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets (Acting)	Contact number	S 9(2)(a)
Second contact	Peter Mitchell, Director PPP Contracts	Contact number	S 9(2)(a)

Purpose

This briefing provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period January 2022 to March 2022 (the Quarter).

Key messages

In February 2022, ASCF experienced an outbreak of the Omicron variant of COVID-19. This was managed in line with the Northern Region response and Corrections' COVID-19 policies.

ASCF experienced a low number of incidents and assaults during the Quarter. This is reflected in the low number of KPI Breaches and financial deductions.

An Unnatural Death in Custody (apparent suicide) occurred on 1 March 2022.

The role of ASCF in the wider prison network is being considered.

Recommendations

It is recommended that you **note** the contents of this briefing

Yes / No

Sign-off

Hon Kelvin Davis
Minister of Corrections
Date signed:



Alastair Turrell
Deputy Chief Executive, Infrastructure & Digital Assets (Acting)
Date signed:
28/04/2022

ASCF are continuing to manage COVID-19 in prison

- 1 ASCF was the first site in the Northern Region to experience an outbreak of the Omicron variant of COVID-19. On 10 February 2022, 22 people in prison returned positive Rapid Antigen Tests (RAT) for COVID-19, with two staff members also testing positive. Following the subsequent confirmation via the Polymerase Chain Reaction (PCR) test, ASCF moved to Stage 3 of Corrections' COVID-19 Custodial Environments Operating Procedures (CCEOP) framework.
- 2 Houseblock 1, housing 226 men (240 capacity), was placed into quarantine with staff in the unit wearing full PPE including face masks, gloves, glasses, and gowns. A number of employment and rehabilitation activities have been placed on hold. People in prison have been provided with additional learning resources, games, and phone credit for the in-cell phone technology.
- 3 Throughout March 2022, ASCF continued to identify more positive COVID-19 cases, with people in prison and staff returning both positive RAT and PCR tests. The peak of the outbreak occurred on 25 March 2022 with 132 people in prison testing positive and 16 active staff cases, with 24 staff isolating as close contacts to a positive case. The majority of positive cases were housed in Houseblock 1, with a small number of cases in Houseblock 2 and the Residences.
- 4 Recent prisoner and staff case numbers have dropped significantly, with one and eight active cases respectively as at 22 April 2022. As at 19 April 2022, 83 percent of people in prison have received two vaccinations and 42 percent have received the Booster dose. To date, ASCF has had a total of 348 positive cases with very few serious adverse health effects from the virus.
- 5 Throughout the outbreak, Corrections has been working with ASCF to ensure the site has adequate custodial staff numbers, noting the number of close contact staff cases. As at 31 March 2022, ASCF has not required staff support from Corrections. However, ASCF's Health Services received staff support from the District Health Board to conduct PCR and RAT tests for people in prison.

Performance is continuing to improve, however, complaints have increased

Leadership and Staff Capability

6

S 9(2)(a)

- 7 Overall, annual staff turnover at ASCF is consistent with the previous Quarter, decreasing slightly to 21.1 percent¹ at 31 March 2022 from 22.2 percent at 31 December 2021.

Incidents and Assaults

- 8 The number of incidents continues to decrease at ASCF, especially incidents related to prisoner behaviour and prisoner management. ASCF had a total of 182 incidents during this Quarter, a decrease from 202 incidents in the previous Quarter. The number of incidents continues to be materially lower than the average of 565 incidents across the comparator sites² this Quarter.
- 9 The occurrence of assaults at ASCF remains low with a total of 17 prisoner on prisoner and prisoner on staff assaults for this Quarter compared to 25 last Quarter. The number of assaults continues to be materially lower than the average of 56 assaults across the comparator sites.

Complaints and Misconducts

- 10 There were a total of 323 complaints made by people in prison for this Quarter, up from 258 in the previous Quarter with resolution timeliness remaining above 90 percent. The uplift is attributable to an increase in complaints related to prisoner conditions and prisoner personal matters. The number of complaints is high compared to the quarterly average of 230 at comparator sites.
- 11 The number of misconducts continues to decrease. Over this Quarter, ASCF had a total of 165 misconducts, down from 211 in the previous Quarter.

Charge Event

- 12 On 1 March 2022, a Charge Event (Unnatural Death of a Prisoner – apparent suicide) occurred in the Residences at ASCF. ASCF followed Corrections' Death in Custody Protocols to manage the incident. This is the second Unnatural Death at ASCF since Service Commencement in May 2015. Over the same seven year period, the comparator sites have had four Unnatural Death events on average.³
- 13 ASCF is investigating the facts of the incident and will outline the findings to Corrections in a report. The Office of the Inspectorate will also investigate this incident and provide a summary report to the Chief Executive.

ASCF received the equal lowest KPI Breaches in a Quarter since service commencement in May 2015

- 14 Deductions for seven KPI Breaches totalled \$11,462, with one Serious Assault incident occurring during the Quarter, Table 1 refers. This is a continuation of good performance with the number of KPI Breaches being the equal lowest in a Quarter since Service Commencement.

¹ Note that this percentage is not directly comparable to Corrections' turnover figures reported in the 2019/20 Annual Report. Corrections' turnover does not include transfers between sites, whereas any transfer from ASCF to a Corrections site would be classed as turnover for ASCF/Serco.

² Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

³ Christchurch Men's Prison: 5, Rimutaka Prison: 3, Spring Hill Corrections Facility: 4

Table 1: KPI Breaches and Deductions for the Quarter end March 2022

KPI Breach	Number	Deduction
Serious Assault – Prisoner on Prisoner	0	Nil
Serious Assault – Prisoner on Staff Member	1	\$11,175
Non-Serious Assault – Prisoner on Prisoner	4	Nil
Non-Serious Assault – Prisoner on Staff	1	Nil
Failure to Report in Accordance with the Agreement	1	\$287
Self-Harm – No Threat to Life	0	Nil
Total	7	\$11,462

- 15 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance). ASCF is currently in Service Failure Level 1 as a result of the Charge Event on 1 March 2022. Service Failure Level 1 entitles Corrections to receive additional performance reporting from ASCF. Additional reporting is not required in respect of the Charge Event, but the entitlement may be exercised later in the year if Corrections has performance concerns.

Progress in the Review/Reset of the ASCF PPP Agreement

- 16 The role of ASCF in the wider Corrections network continues to be considered as a part of Enterprise Planning Framework. This includes reviewing network configuration and placement of people in prison at ASCF. Key considerations include ensuring Corrections maximises the use of the available capacity at ASCF and the programme and industry capability of the facility. The facility continues to operate below capacity, with the self-care Residences at 60 percent occupancy and the Houseblocks at 86 percent occupancy, resulting in an overall vacancy of around 194 men on any given day.⁴
- 17 Corrections continues to review the recently submitted health services business case from Serco with the aim of finalising it in the next Quarter. The cost of the business case is approximately \$2-3 million per annum.

Next Steps

- 18 Corrections will provide the next performance update on ASCF to your office in the next quarter. This will include progress on the contract review and update.

⁴ As at 31 March 2022.

Minister comments

Used under the Official Information Act 1982

Aide Memoire: Auckland South Corrections Facility PPP – Quarterly Update (April 2022 – June 2022)

To Hon Kelvin Davis, Minister of Corrections			
Date	27 July 2022	Decision and Timing	
B number	B4364	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets	Contact number	S 9(2)(a)
Second contact	Peter Mitchell, Director PPP Contracts	Contact number	S 9(2)(a)

Purpose

- 1 This aide memoire provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period April 2022 to June 2022 (the Quarter).

ASCF is performing well against key custodial measures

Incidents and Assaults

- 2 ASCF had a total of 218 incidents during the Quarter, an increase from 182 incidents in the previous Quarter. The number of incidents continues to be significantly lower than the average number of incidents across the comparator sites¹ (574 this Quarter).
- 3 The occurrence of assaults at ASCF remains low, with a total of 19 assaults for the Quarter (total of prisoner on prisoner and prisoner on staff) compared to 17 last Quarter. The number of assaults continues to be significantly lower than the average number of assaults across the comparator sites (48 for the Quarter).

Complaints and Misconducts

- 4 There was a total of 274 complaints made by people in prison for the Quarter, down from 323 in the previous Quarter, with resolution timeliness remaining above 90 percent. The number of complaints is high compared to the Quarterly average (225) of the comparator sites.
- 5 The number of misconducts increased slightly to 187 from 165 in the previous Quarter. This is lower than the Quarterly average (364) of the comparator sites.

¹ Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

SecureFuture is tracking to receive the maximum Incentive Payment based on 2021/22 recidivism data

- 6 Under the Public Private Partnership (PPP) Project Agreement, SecureFuture (the Contractor) is entitled to an Incentive Payment of up to a total of \$1.5 million if ASCF achieves improvements in recidivism rates of both Māori and Overall people in prison (relative to Corrections' performance), providing certain gateways are met.
- 7 Corrections has undertaken an initial assessment of performance for the 2021/22 Incentive Payment year, which is based on people released in 2019/20. Based on information to April 2022 (which is 22 months of the 24-month release measurement period), the Contractor is tracking to receive the maximum Incentive Payment for both the Māori and Overall cohort.²
- 8 Relative to Corrections' performance, ASCF has achieved a 36.5 percent lower recidivism rate for the Māori cohort and a 51.1 percent lower recidivism rate for the Overall cohort. This is further improvement on the 2020/21 recidivism rates – Table 1 refers.

Table 1: Incentive Payment Performance 2021/22 and 2020/21

	2021/22		2020/21	
	Māori cohort	Overall cohort	Māori cohort	Overall cohort
Corrections recidivism index	33.6%	29.5%	43.3%	37.3%
ASCF recidivism index	21.4%	14.4%	33.3%	19.6%
Percentage Improvement	36.5%	51.1%	23.0%	47.5%
Resulting Incentive Payment	\$1.125m	\$0.375m	\$1.125m	\$0.375m

- 9 The finalised Incentive Payment results may be subject to change based on performance over the final two months of the release measurement period. However, given the significant performance difference between ASCF and Corrections, it is unlikely that the Contractor will not be entitled to the full Incentive Payment.

ASCF are continuing to manage COVID-19 in prison

- 10 ASCF continued to operate at Stage 3 of the Department's COVID-19 Custodial Environments Operating Procedures (CCEOP) until 25 May 2022. Subsequently, ASCF along with all Corrections' sites, moved to the COVID-19 Custodial Resilience Operating Framework (CCROF), replacing CCEOP. The new framework allows for a more flexible approach to delivery of services to people in prison, while keeping people safe.
- 11 In early May 2022, ASCF identified their peak of positive COVID-19 cases due to a combination of people in prison and staff returning positive results on both Rapid Antigen Tests (RATs) and Polymerase Chain Reaction (PCR) tests. Positive results started to decline in late May 2022 with daily case numbers remaining in the single figures for June 2022. ASCF continues to monitor and report cases as they are confirmed.
- 12 In person visits re-commenced in the last week of June 2022 following a four-month suspension since the COVID-19 omicron outbreak in February 2022.

ASCF are managing staffing changes

13

S 9(2)(a)

² Corrections will provide the finalised results in the following ASCF Quarterly Update.

- 14 Annual staff turnover at ASCF is consistent with the previous Quarter, increasing slightly to 21.7 percent as at 30 June 2022 from 21.1 percent as at 31 March 2022.

KPI Breaches and Deductions remain low

- 15 Deductions for nine KPI Breaches totalled \$8,596, with zero Serious Assault incidents occurring during the Quarter – Table 2 refers. This is a continuation of good performance with the number of KPI Breaches and Deductions remaining low.

Table 2: KPI Breaches and Deductions for the Quarter end June 2022

<i>KPI Breach</i>	<i>Number</i>	<i>Deduction</i>
Serious Assault – Prisoner on Prisoner	0	Nil
Serious Assault – Prisoner on Staff Member	0	Nil
Non-Serious Assault – Prisoner on Prisoner	1	Nil
Non-Serious Assault – Prisoner on Staff	2	Nil
Failure to Report in Accordance with the Agreement	5	\$8,596
Self-Harm – No Threat to Life	1	Nil
Total	9	\$8,596

- 16 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance). ASCF is currently in Service Failure Level 1 as a result of the Charge Event on 1 March 2022. Service Failure Level 1 entitles Corrections to receive additional performance reporting from ASCF. Additional reporting is not required in respect of the Charge Event, but the entitlement may be exercised later in the year if Corrections has performance concerns.

Refinancing of the Senior Debt of the Project will occur in the next Quarter

- 17 In April 2022, the Contractor commenced the process to refinance the Senior Debt of the Project (the funding used to design and build ASCF). The refinancing was originally scheduled for December 2022, however, due to favourable market conditions the Contractor is seeking to refinance by 30 September 2022.
- 18 Corrections will provide an aide memoire to your office detailing the process and the likely refinancing gain to Corrections (if any) in September 2022.

The Review/Reset of the ASCF PPP Agreement has yet to be finalised

- 19 We have previously advised you that Corrections and SecureFuture agreed in December 2020 that it is appropriate to review the effectiveness of the PPP Agreement and assess the impact of changes in the prison operating environment since 2012 (B4257 refers). This also provides an opportunity to review the alignment of the Agreement with the objectives of Hōkai Rangī.
- 20 The role of ASCF in the wider Corrections network is yet to be confirmed. Corrections' immediate focus has shifted to tactical consolidation as a response to COVID-19 and low frontline Corrections staffing levels. To assist Corrections' Northern Region sites, ASCF agreed to closing the quarantine wing in House Block Two and moving additional people into ASCF.
- 21 Corrections is focused on utilising operational capacity at ASCF to provide flexibility across the prison network. ASCF continues to operate below capacity, with the self-care Residences at 59 percent occupancy and the Houseblocks at 87 percent occupancy, resulting in an overall vacancy of around 193 men (as at 30 June 2022).
- 22 Corrections continues to review the health services business case from Serco with the aim of finalising in the next Quarter. The cost of the business case is approximately \$2-3 million per annum.

Next Steps

23 Corrections will provide the next ASCF Quarterly Performance Update to your office in October 2022.

Released under the Official Information Act 1982

Aide Memoire: Auckland South Corrections Facility PPP – Quarterly Update (July 2022 – September 2022)

To Hon Kelvin Davis, Minister of Corrections			
Date	19 October 2022	Decision and Timing	N/A
B number	B4438	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets	Contact number	S 9(2)(a)
Second contact	Peter Mitchell, Director PPP Contracts	Contact number	S 9(2)(a)

Purpose

- 1 This aide memoire provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period July 2022 to September 2022 (the Quarter).

ASCF continues to perform well against key custodial measures

Incidents and Assaults

- 2 ASCF had a total of 250 incidents during the Quarter, an increase from 218 incidents in the previous Quarter. The number of incidents continues to be significantly lower than the average number of incidents across the comparator sites¹ (581 this Quarter).
- 3 The occurrence of assaults at ASCF remains low, with a total of 18 assaults for the Quarter (total of prisoner on prisoner and prisoner on staff) compared to 19 last Quarter. The number of assaults continues to be significantly lower than the average number of assaults across the comparator sites (46 for the Quarter).²

Complaints and Misconducts

- 4 There was a total of 363 complaints made by people in prison for the Quarter, up from 274 in the previous Quarter, with resolution timeliness remaining above 90 percent. The number of complaints is high compared to the Quarterly average (199) of the comparator sites.
- 5 The number of misconducts increased slightly to 233 from 187 in the previous Quarter. This is lower than the Quarterly average (343) of the comparator sites.

¹ Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

² Assault figures are a total of Serious Assaults, Non-Serious Assaults, and Assault No Injury data. Serious and Non-Serious Assaults are also KPIs under the Project Agreement, with the Quarterly figures detailed in Table 2.

SecureFuture are entitled to the maximum Incentive Payment based on 2021/22 recidivism data

- 6 Under the PPP Project Agreement, SecureFuture (the Contractor) is entitled to an Incentive Payment of up to \$1.5 million if ASCF achieves improvements in recidivism rates of both Māori and Overall people in prison (relative to Corrections' performance), providing certain gateways are met.
- 7 For the 2021/22 Incentive Payment year, which is based on people released in 2019/20, relative to Corrections' performance, ASCF achieved a 24.6 percent lower recidivism rate for the Māori cohort and a 47.3 percent lower recidivism rate for the Overall cohort which is a similar improvement to the 2020/21 recidivism rates – Table 1 refers. Based on this performance, the Contractor is entitled to the maximum Incentive Payment of \$1.5 million.

Table 1: Incentive Payment Performance 2021/22 and 2020/21

	2021/22		2020/21	
	Māori cohort	Overall cohort	Māori cohort	Overall cohort
Corrections recidivism index	38.6%	33.7%	43.3%	37.3%
ASCF recidivism index	29.1%	17.8%	33.3%	19.6%
Percentage Improvement	24.6%	47.3%	23.0%	47.5%

ASCF are continuing to manage COVID-19 in prison

- 8 Throughout the Quarter, ASCF have continued to identify positive cases using both Rapid Antigen Tests (RAT) and Polymerase Chain Reaction (PCR) tests. The figures change daily but remain low and ASCF continues to monitor and report cases when they are confirmed.
- 9 ASCF continue to operate under the COVID-19 Custodial Resilience Operating Framework (CCROF) along with the rest of the estate. Television rental and additional phone credits are being offered to people in prison free of charge while COVID-19 impacts social visits and unlock hours.

KPI Breaches and Deductions remain low

- 10 Deductions for fourteen KPI Breaches totalled \$26,750, with zero Serious Assault incidents occurring during the Quarter – Table 2 refers. This is an increase from the previous Quarter, which included nine KPI Breaches and \$8,596 of Deductions.

Table 2: KPI Breaches and Deductions for the Quarter end September 2022

KPI Breach	Number	Deduction
Serious Assault – Prisoner on Prisoner	0	Nil
Serious Assault – Prisoner on Staff Member	0	Nil
Non-Serious Assault – Prisoner on Prisoner	6	Nil
Non-Serious Assault – Prisoner on Staff	4	Nil
Wrongful Detention	1	\$23,983
Failure to Investigate or Self-Report	1	\$2,767
Self-Harm – No Threat to Life	2	Nil
Total	14	\$26,750

- 11 Although Deductions and KPI Breaches increased from the previous Quarter, the figures are low in comparison to previous years. For the twelve months ending 30 September 2022, the Contractor incurred a total of \$41,650 of Deductions from 36 KPI Breaches. This is significantly lower than \$705,506 of Deductions from 62 KPI Breaches incurred in twelve months ending 30 September 2021.

- 12 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance). ASCF is currently in Service Failure Level 1, as a result of the Charge Event (unnatural death of a prisoner) on 1 March 2022. Service Failure Level 1 entitles Corrections to receive additional performance reporting from ASCF. Additional reporting is not required in respect of the Charge Event, but the entitlement may be exercised later in the year if Corrections has performance concerns.

Refinancing of the Senior Debt of the Project occurred in September 2022

- 13 In April 2022, the Contractor commenced the process to refinance the Senior Debt of the Project (the funding used to design and build ASCF). The refinancing was originally scheduled for December 2022, however, due to favourable market conditions the refinancing took place in September 2022 [B4401 refers].
- 14 The refinancing reached Financial Close on 23 September 2022, and resulted in a gain to Corrections of approximately \$0.35 million.

Progress in the Review/Reset of the ASCF PPP Agreement

- 15 The role of ASCF in the wider Corrections network continues to be considered. Corrections' immediate focus has shifted to tactical consolidation as a response to COVID-19 and frontline staffing pressures. To assist Corrections' Northern Region sites, additional prisoners were moved to ASCF during the Quarter, as well as frontline ASCF staff providing assistance to MECF.
- 16 Corrections is focused on ensuring operational capacity is met at ASCF to relieve the strain across the prison network. ASCF continues to operate below capacity, with the self-care Residences at 70 percent occupancy and the Houseblocks at 94 percent occupancy, resulting in an overall vacancy of around 103 men (as at 30 September 2022).
- 17 Corrections will be finalising a number of Change Notices with the Contractor in the following Quarter. The Change Notices are a result of changes in the custodial operating environment since Service Commencement in 2015. The changes relate to the delivery of health services, on-body cameras, electronic monitoring, and changes to the Site Emergency Response Team (SERT).
- 18 Following finalisation of the Change Notices above, the PPP Project Agreement will be restated to incorporate the contract amendments.

Next Steps

- 19 Corrections will provide the next Quarterly Performance Update on ASCF to your office in January 2023.

Aide Memoire: Auckland South Corrections Facility PPP – Quarterly Update (October 2022 – December 2022)

To Hon Kelvin Davis, Minister of Corrections			
Date	9 February 2023	Decision and Timing	No decision required
B number	B4490	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets	Contact number	S 9(2)(a)
Second contact	Peter Mitchell, Director PPP Contracts	Contact number	S 9(2)(a)

Purpose

- 1 This aide memoire provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period October 2022 to December 2022 (the Quarter).

ASCF is nearing operational capacity

- 2 Corrections' recent focus has shifted to tactical consolidation as a response to COVID-19 impacts and low frontline Corrections staffing levels. To assist Corrections' Northern Region sites, additional prisoners have been moved into ASCF during the Quarter, with the majority arriving from Mount Eden Corrections Facility and Spring Hill Corrections Facility.
- 3 The prison population at ASCF has continued to increase throughout 2022, reaching 894 men (as at 31 December 2022) out of a 960-bed capacity, up from 708 men in March 2022.

ASCF continues to perform well against key custodial measures

Incidents and Assaults

- 4 ASCF had a total of 272 incidents during the Quarter, an increase from 250 incidents in the previous Quarter. The number of incidents continues to be significantly lower than the average number of incidents across the comparator sites¹ (579 this Quarter).
- 5 The occurrence of assaults at ASCF remains low, with a total of 20 assaults for the Quarter (total of prisoner on prisoner and prisoner on staff) compared to 18 last Quarter. The number of assaults continues to be significantly lower than the average number of assaults across the comparator sites (40 for the Quarter).²

¹ Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

² Assault figures are a total of Serious Assaults, Non-Serious Assaults, and Assault No Injury data. Serious and Non-Serious Assaults are also KPIs under the Project Agreement, with the Quarterly figures detailed in Table 1.

Complaints and Misconducts

- 6 There was a total of 302 complaints made by people in prison for the Quarter, down from 363 in the previous Quarter, with resolution timeliness above 95 percent. The number of complaints is similar to the Quarterly average (312) of the comparator sites.
- 7 The number of misconducts increased slightly to 276 from 233 in the previous Quarter. This is lower than the Quarterly average (320) of the comparator sites.

ASCF are continuing to manage COVID-19 in prison

- 8 Throughout the Quarter, ASCF has continued to identify positive cases of COVID-19 due to a combination of people under their management and staff returning positive results on both Rapid Antigen Tests (RATs) and Polymerase Chain Reaction (PCR) tests. The figures change daily but remain low as ASCF continues to monitor and report cases.
- 9 ASCF continues to operate under the COVID-19 Custodial Resilience Operating Framework (CCROF) along with the rest of the estate. ASCF reintroduced mask wearing for all staff onsite in late November 2022 in order to minimise the transmission of COVID-19. Television rental and additional phone credits are being offered to people in prison free of charge where COVID-19 impacts social visits and unlock hours.

KPI Breaches and Deductions increased this Quarter

- 10 Deductions for twenty-one KPI Breaches totalled \$50,732, with one Serious Assault occurring during the Quarter – Table 1 refers. This is an increase from the previous Quarter of fourteen KPI Breaches and \$26,750 of Deductions.

Table 1: KPI Breaches and Deductions for the Quarter end December 2022

KPI Breach	Number	Deduction
Serious Assault – Prisoner on Prisoner	0	Nil
Serious Assault – Prisoner on Staff Member	1	\$35,974
Non-Serious Assault – Prisoner on Prisoner	7	Nil
Non-Serious Assault – Prisoner on Staff	1	Nil
Failure to Comply with Terms of Temporary Release	2	\$14,758
Breach of Corrections Services Requirements	2	Nil
Communication or Security Equipment Failure	2	Nil
Self-Harm – Threat to Life	1	TBC ³
Self-Harm – No Threat to Life	4	Nil
Events While on Escorted Outing	1	Nil
Total	21	\$50,732

- 11 Although Deductions increased from the previous Quarter, the annual figure is low in comparison to previous years. For the twelve months ending 31 December 2022, SecureFuture (the Contractor) incurred a total of \$97,540 of Deductions compared to \$257,175 and \$915,515 for the same period in 2021 and 2020 respectively.
- 12 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance) under the Project Agreement. The Contractor is currently in Service Failure Level 0.

³ The dollar value of the KPI Breach is currently under discussion between Corrections and the Contractor.

Corrections has finalised Change Notices with the Contractor

- 13 Corrections has finalised three Change Notices with the Contractor during the Quarter, including:
- Body-Worn Cameras (BWC): ASCF has transitioned to the new Axon BWC along with the rest of the prison estate. The new cameras are designed to be easier to operate, with a longer battery life and footage quality.
 - Site Emergency Response Team (SERT): an uplift to the number of SERT staff at ASCF in order to meet the operational needs of the prison and Corrections.
 - Primary Health: an uplift to the number of staff (predominately nurses) that deliver primary health services at ASCF as a result of the increasing health needs of people in our care and multiple policy changes since Service Commencement of ASCF in 2015.
- 14 Several Change Notices are under discussion with the Contractor relating to Electronic Monitoring, Mental Health and Addictions, and reporting to the Parole Board. Corrections is aiming to finalise these Change Notices in the next Quarter.

Next Steps

- 15 Corrections will provide the next Quarterly Performance Update on ASCF to your office in April 2023.

Used under the Official Information Act 1

Aide Memoire: Auckland South Corrections Facility PPP – Quarterly Update (January 2023 – March 2023)

To Hon Kelvin Davis, Minister of Corrections			
Date	4 May 2023	Decision and Timing	No decision required
B number	B4531	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets	Contact number	S 9(2)(a)
Second contact	Peter Mitchell, Director PPP Contracts	Contact number	S 9(2)(a)

Purpose

- 1 This aide memoire provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period January 2023 to March 2023 (the Quarter).

ASCF has reached operational capacity during the Quarter

- 2 Corrections' recent focus has shifted to consolidating the prison population following COVID-19 measures being lifted and in response to our low custodial staffing levels. To assist the Northern Region sites, additional prisoners have been moved to ASCF during the Quarter, with the majority arriving from Mt Eden Corrections Facility and Spring Hill Corrections Facility.
- 3 The prison population at ASCF has continued to increase throughout 2022 and 2023, reaching 954 men (as at 31 March 2023) out of a 960-bed capacity, up from a low of 708 men in March 2022. ASCF now houses 12 percent of all male prisoners and 21 percent of all sentenced male prisoners nationally. With the increase of men on-site, and several internal transfers to accommodate these men, there has been an increase in overall incidents and assaults this Quarter.
- 4 A large proportion of the men housed at ASCF are under voluntary protective segregation (435) or are high security (225 men or 34 percent of all high security sentenced prisoners nationally).

Although the number of assaults and incidents have increased, ASCF continues to perform well against comparator sites

Incidents and Assaults

- 5 ASCF had a total of 283 incidents during the Quarter, an increase from 272 incidents in the previous Quarter. The number of incidents continues to be significantly lower than the average number of incidents across the comparator sites¹ (566 this Quarter).

¹ Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

- 6 The occurrence of assaults at ASCF increased significantly this Quarter, with a total of 33 assaults, comprised of five serious, six non-serious and 22 no injury (total of prisoner on prisoner and prisoner on staff) compared to 20 last Quarter. The number of assaults continues to be significantly lower than the average number of assaults across the comparator sites (47 for the Quarter).²

Complaints and Misconducts

- 7 There was a total of 431 complaints made by people in prison for the Quarter, up from 302 in the previous Quarter, with resolution timeliness above 95 percent. The uplift in complaints related to health services (26 percent) and prisoner property (74 percent) from the previous Quarter. The number of complaints is similar to the Quarterly average (463) of the comparator sites.
- 8 The number of misconducts increased to 327 from 276 in the previous Quarter. This is similar to the Quarterly average (342) of the comparator sites.

SecureFuture is tracking to receive the maximum Incentive Payment based on 2022/23 recidivism data

- 9 Under the PPP Project Agreement, SecureFuture (the Contractor) is entitled to an Incentive Payment of up to a total of \$1.5 million if ASCF achieves improvements in recidivism rates of both Māori and overall people in prison (relative to Corrections' performance), providing certain gateways are met.
- 10 Corrections has undertaken an initial assessment of performance for the 2022/23 Incentive Payment year, which is based on people released in 2020/21. Based on information to April 2023 (which is 22 months of the 24-month release measurement period), the Contractor is tracking to receive the maximum Incentive Payment for both the Māori and Overall cohort³.
- 11 Relative to Corrections' performance, ASCF has achieved a 44.9 percent lower recidivism rate for the Māori cohort and a 68.0 percent lower recidivism rate for the Overall cohort. This is further improvement on the 2021/22 recidivism rates – Table 1 refers. The improvement is not caused by an increase in recidivism by Corrections managed sites, but by the greater reduction in recidivism achieved by ASCF between 2021/22 and 2022/23.

Table 1: Incentive Payment Performance 2022//23 and 2021/22

	2022/23		2021/22	
	Māori cohort	Overall cohort	Māori cohort	Overall cohort
Corrections recidivism index	34.0%	30.7%	38.6%	33.7%
ASCF recidivism index	18.8%	9.8%	29.1%	17.8%
Percentage Difference	44.9%	68.0%	24.6%	47.3%
Incentive Payment	\$1.125m	\$0.375m	\$1.125m	\$0.375m

- 12 The finalised Incentive Payment results may be subject to change based on performance over the final two months of the release measurement period. However, given the significant performance difference between ASCF and Corrections, it is likely that the Contractor will be entitled to the full Incentive Payment.

KPI Deductions increased with four serious assaults occurring during the Quarter

- 13 Fifteen KPI Breaches occurred during the Quarter resulting in \$205,694 of Deductions to the Contractor's Monthly Unitary Payment from the Department – Table 2 refers.

² Assault figures are a total of Serious Assaults (includes Sexual Assaults), Non-Serious Assaults, and Assault No Injury data. Serious and Non-Serious Assaults are also KPIs under the Project Agreement, with the Quarterly figures detailed in Table 2.

³ Corrections will provide the finalised results in the April 2023 to July 2023 ASCF Quarterly Update.

- 14 This is a decrease in the number of KPI Breaches from the previous Quarter (21), however due to the severity of the Breaches (four serious assaults and one self-harm threat to life), the Deductions amount has increased significantly from the previous Quarter (\$50,732).

Table 2: KPI Breaches and Deductions for the Quarter

KPI Breach	Number	Deduction
Serious Assault – Prisoner on Prisoner	3	\$107,921
Serious Assault – Prisoner on Staff Member	1	\$35,974
Non-Serious Assault – Prisoner on Prisoner	2	Nil
Non-Serious Assault – Prisoner on Staff	1	Nil
Breach of Corrections Services Requirements	2	Nil
Self-Harm – Threat to Life	1	\$61,801
Self-Harm – No Threat to Life	5	Nil
Total	15	\$205,694

- 15 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance) under the Project Agreement. The Contractor is currently in Service Failure Level 0.

Other Items of Note

- 16 During the Quarter, Corrections finalised a Change Notice with the Contractor relating to Electronic Monitoring. Three Change Notices are under discussion relating to the Performance Regime, reporting to the New Zealand Parole Board, and mental health and addiction services provided at ASCF. Corrections is aiming to finalise these in the next Quarter.
- 17 Corrections would like to acknowledge Richard Laws, Prison Director at ASCF from 2019 to 2022, who sadly passed away in January 2023. Richard contributed immensely to the successful operation of ASCF and was held in high regard by colleagues for his leadership, compassion, and integrity.
- 18 Serco have begun the process to recruit for a permanent Prison Director, with Deputy Prison Director Gerry Smith continuing in an acting capacity, in the interim.

Next Steps

- 19 Corrections will provide the next Quarterly Performance Update on ASCF to your office in July 2023.

Aide Memoire: Auckland South Corrections Facility PPP – Quarterly Update (April 2023 – June 2023)

To Hon Kelvin Davis, Minister of Corrections			
Date	3 August 2023	Decision and Timing	No decision required
B number	B4580	Priority	Low
Key contact	Alastair Turrell, Deputy Chief Executive, Infrastructure & Digital Assets	Contact number	S 9(2)(a)
Second contact	Peter Mitchell, Director PPP Contracts	Contact number	S 9(2)(a)

Purpose

- 1 This aide memoire provides an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period April 2023 to June 2023 (the Quarter).

The prison population at ASCF remains near capacity

- 2 The prison population at ASCF has continued to increase throughout 2022 and 2023, reaching 946 men (as at 30 June 2023) out of a 960-bed capacity. This is up from a low of 708 men in March 2022. ASCF now houses 12 percent of all male prisoners and 21 percent of all sentenced male prisoners nationally.
- 3 A large proportion of the men housed at ASCF are under voluntary protective segregation (434) or are high security (186 men or 27 percent of all high security sentenced prisoners nationally).

ASCF continues to perform well against key custodial measures

Incidents and Assaults

- 4 ASCF had a total of 283 incidents during the Quarter, which is the same number of incidents as the previous Quarter. The number of incidents continues to be significantly lower than the average number of incidents across the comparator sites¹ (601 this Quarter).
- 5 The occurrence of assaults at ASCF decreased significantly this Quarter, with a total of 21 assaults, comprised of one serious, seven non-serious and 13 no injury (total of prisoner on prisoner and prisoner on staff) compared to 33 last Quarter. The number of assaults continues to be significantly lower than the average number of assaults across the comparator sites (48 for the Quarter).²

¹ Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

² Assault figures are a total of Serious Assaults (includes Sexual Assaults), Non-Serious Assaults, and Assault No Injury data. Serious and Non-Serious Assaults are also KPIs under the ASCF PPP Project Agreement, with the Quarterly figures detailed in Table 2.

Complaints and Misconducts

- 6 There was a total of 350 complaints made by people in prison for the Quarter, down from 431 in the previous Quarter, with resolution timeliness above 95 percent. The number of complaints is lower than the Quarterly average (535) of the comparator sites.
- 7 The number of misconducts increased slightly to 330 from 327 in the previous Quarter. This is similar to the Quarterly average (356) of the comparator sites.

SecureFuture are entitled to the maximum Incentive Payment based on 2022/23 recidivism data

- 8 Under the PPP Project Agreement, SecureFuture (the Contractor) is entitled to an Incentive Payment of up to a total of \$1.5 million if ASCF achieves improvements in recidivism rates of both Māori and overall people in prison (relative to Corrections’ performance), providing certain gateways are met.
- 9 Corrections has undertaken an assessment of performance for the 2022/23 Incentive Payment year, which is based on people released in 2020/21. Relative to Corrections’ performance, ASCF has achieved a 35.2 percent lower recidivism rate for the Māori cohort and a 59.7 percent lower recidivism rate for the Overall cohort. This is further improvement on the 2021/22 recidivism rates – Table 1 refers.

Table 1: Incentive Payment Performance 2022//23 and 2021/22

	2022/23		2021/22	
	<i>Māori cohort</i>	<i>Overall cohort</i>	<i>Māori cohort</i>	<i>Overall cohort</i>
Corrections recidivism index	37.8%	33.8%	38.6%	33.7%
ASCF recidivism index	24.5%	13.6%	29.1%	17.8%
Percentage Difference	35.2%	59.7%	24.6%	47.3%
Incentive Payment	\$1.125m	\$0.375m	\$1.125m	\$0.375m

KPI Deductions decreased with one serious assault occurring during the Quarter

- 10 Fourteen KPI Breaches occurred during the Quarter resulting in \$35,374 of Deductions to the Contractor’s Monthly Unitary Payment from Corrections – Table 2 refers.
- 11 This is a decrease in the number of KPI Breaches from the previous Quarter (15), as well as a significant decrease in Deductions in the previous Quarter (\$205,694).

Table 2: KPI Breaches and Deductions for the Quarter

<i>KPI Breach</i>	<i>Number</i>	<i>Deduction</i>
Serious Assault – Prisoner on Prisoner	1	\$35,374
Serious Assault – Prisoner on Staff Member	0	Nil
Non-Serious Assault – Prisoner on Prisoner	7	Nil
Non-Serious Assault – Prisoner on Staff	0	Nil
Wrongful Detention	0 ³	\$0 ³
Breach of Corrections Services Requirements	1	Nil
Self-Harm – No Threat to Life	3	Nil
Communication or Security Equipment Failure	2	Nil
Total	14	\$35,374

³ Currently under discussion between Corrections and SecureFuture/Serco. If KPI Breach is upheld, Deduction value would be \$23,983.

- 12 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance) under the Project Agreement. The Contractor is currently in Service Failure Level 0.

Other Items of Note

- 13 Serco have appointed Gerry Smith, who is currently acting ASCF Prison Director, as the permanent Prison Director of ASCF. The Chief Executive of Corrections approved this appointment as required under the Corrections Act 2004.
- 14 Two Change Notices are under discussion relating to reporting to the New Zealand Parole Board and mental health and addiction services provided at ASCF. Corrections is aiming to finalise these in the next Quarter.
- 15 During the Quarter, Serco submitted a discussion paper seeking funding for an additional 45 frontline officers employed at ASCF since Service Commencement in 2015. Given the potential cost impact, this will require significant review and discussion.

Next Steps

- 16 Corrections will provide the next Quarterly Performance Update on ASCF to your office in October 2023.

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AIDE MEMOIRE: Auckland South Corrections Facility PPP Update (July 2023 to December 2023)

To Hon Mark Mitchell, Minister of Corrections			
Date	25 January 2024	Timing	Not applicable
B number	B4660	Priority	Medium
Key contact	Alastair Turrell Deputy Chief Executive, Infrastructure and Digital Assets S 9(2)(a)	Second Contact	Peter Mitchell Director PPP Contracts S 9(2)(a)

Purpose

- 1 This aide memoire provides you with an introduction to the Auckland South Corrections Facility (ASCF) Public Private Partnership (PPP) contract and an overview of matters of interest that have occurred in the operation and management ASCF for the period July 2023 to December 2023 (the period).

Overview of the ASCF Public Private Partnership (PPP)

- 2 On 10 September 2012, Corrections entered into a PPP Agreement (the Agreement) with SecureFuture Wiri Ltd (SecureFuture) to finance, design, build, maintain, and operate ASCF, a 960 bed men's prison facility located in Wiri, Auckland. The Agreement outlines that SecureFuture are responsible for the operation and maintenance of the site for a period of 25 years following Service Commencement in May 2015.
- 3 SecureFuture subcontracted the operation of ASCF to Serco New Zealand Ltd and the facilities maintenance to Spotless Facility Services NZ Ltd. After the 25-year period, responsibility for operation and maintenance of ASCF will revert to Corrections.
- 4 ASCF is New Zealand's only privately operated prison and can accommodate sentenced male prisoners from minimum to high security. The key features of the site are the three houseblocks, twelve self-care residences that collectively house up to 240 men, prison industries area, wharekura, fale, and sports field.
- 5 The Agreement has a range of key performance indicators (KPIs) to support the safe, secure, and effective operation of the prison, as well as the rehabilitation and reintegration of prisoners. Non-performance against these KPIs can result in deductions to SecureFuture's Monthly Unitary Payment from Corrections. The Agreement has a provision for an annual 'Incentive Payment' of up to \$1.5 million, which is payable to SecureFuture if prisoners released from ASCF have a lower rate of recidivism than prisoners released from Corrections' operated facilities.
- 6 Corrections has a team of site-based monitors who oversee operations at ASCF and ensure it is meeting the expected standards. Their monitoring role includes inspections of prison operations against contractual and legislative requirements.

The prison population at ASCF is now above their contracted capacity, by formal agreement and on a temporary basis

- 7 On 13 October 2023, due to nationwide staffing pressures and the increasing prison population, Corrections requested mutual aid from ASCF. To support Corrections, ASCF agreed to house 20 prisoners above the 960-bed capacity for an initial period of eight weeks, subject to agreed charges payable by Corrections. In December 2023, an extension to this arrangement was requested by Corrections, and agreed to by ASCF, until mid-February 2024.

- 8 The prison population at ASCF has continued to increase throughout 2022 and 2023, up from a low of 708 men in March 2022 to 977 men as at 31 December 2023. As at 31 December 2023, ASCF houses 11 percent of all male prisoners and 20 percent of all sentenced male prisoners nationally.
- 9 As at 31 December 2023, a large proportion of the men housed at ASCF are under voluntary protective segregation (474) or are high security (235 men or 29 percent of all male high security prisoners nationally).

ASCF continues to perform well against key custodial measures

Incidents and assaults

- 10 ASCF had a total of 668 incidents during the July – December 2023 period, up from 566 incidents in the previous six months. The number of incidents continues to be significantly lower than the average number of incidents across the comparator sites¹ (1,293 during the period).
- 11 The total combined number of prisoner on prisoner and prisoner on staff assaults at ASCF decreased this quarter, with a total of 51 assaults, comprised of three serious, 20 non-serious and 28 no injury assaults. This compares to 55 in the previous six months. The number of assaults continues to be significantly lower than the average number of assaults across the comparator sites (93 for the period).²

Complaints and misconducts

- 12 There was a total of 609 complaints made by people in prison for the period, down from 781 in the previous six months, with resolution timeliness of over 90 percent. The number of complaints is lower than the six-month average (750) of the comparator sites.
- 13 The number of misconducts increased to 757 from 657 in the previous six months. This is similar to the six-month average (777) of the comparator sites.

Thirty-six KPI breaches and a Charge Event occurred during the period

- 14 Thirty-six KPI breaches occurred during the period resulting in \$47,480 of deductions to SecureFuture's Monthly Unitary Payment from Corrections, as outlined in the below table:

KPI breach	Number	Deduction
Serious assault – prisoner on prisoner	1	\$7,629
Serious assault – prisoner on staff member	0	Nil
Non-serious assault – prisoner on prisoner	11	Nil
Non-serious assault – prisoner on staff	5	Nil
Failure to comply with the terms of temporary release	1	\$20,095
Breach of Corrections Services requirements	5	Nil
Failure to investigate or self-report	6	\$18,582
Prisoners attend planned appointments	2	\$1,174
Self-harm no threat to life	3	Nil
Communication or security equipment failure	1	Nil
Rate of drug misuse as measured by IDU, temporary release, reasonable cause or voluntary	1	Nil
Total	36³	\$47,480³

¹ Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

² Assault figures are a total of Serious Assaults (includes Sexual Assaults), Non-Serious Assaults, and Assault No Injury data. Serious and Non-Serious Assaults are also KPIs under the Agreement, with the Qu figures detailed in Table 1.

³ The parties are currently discussing eight KPI Breaches in addition to those listed in Table 1. These include: two serious assaults, four non-serious assaults, one breach of Corrections Services requirements, and one self-harm no threat to life. If upheld, these will result in an additional deduction of \$75,777.

- 15 A Charge Event (unnatural death of a prisoner) occurred at ASCF during the period (21 December 2023). This is the third Charge Event since service commencement and the first in 2023. The resulting charge payable by SecureFuture to Corrections for this event will be \$99,820.
- 16 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance) under the Project Agreement. The SecureFuture is currently in Service Failure Level 1 due to the December 2023 Charge Event.

Other items of note

- 17 A change notice relating to the provision of mental health and addiction services provided at ASCF was finalised in October 2023. The change notice provides ASCF with an additional eight staff at an ongoing cost of approximately \$940,000 per annum.
- 18 Corrections and Serco are currently negotiating a change notice relating to the provision of an alcohol and other drug (AoD) programme at ASCF. The programme is intended to be for high security prisoners assessed as having moderate to high AoD treatment needs. The parties expect to finalise this in the next quarter.

Next steps

- 19 Corrections will provide an ASCF Quarterly Performance Update (January to March 2024) to your office in April 2024.

AIDE MEMOIRE: Auckland South Corrections Facility PPP Update (January 2024 to March 2024)

To Hon Mark Mitchell, Minister of Corrections			
Date	1 May 2024	Timing	Not applicable
B number	B4723	Priority	Low
Key contact	Alastair Turrell Deputy Chief Executive, Infrastructure and Digital Assets S 9(2)(a)	Second Contact	Peter Mitchell Director PPP Contracts S 9(2)(a)

Purpose

- 1 This aide memoire provides you with an overview of matters of interest that have occurred in the operation and management of Auckland South Corrections Facility (ASCF) for the period January 2024 to March 2024 (the period). An overview of the ASCF Public Private Partnership was provided to you in the previous introductory aide memoire (B4660 refers).

The prison population at ASCF has returned to the contracted capacity of 960

- 2 On 13 October 2023, due to nationwide staffing pressures and the increasing prison population, Corrections requested mutual aid from ASCF. To support Corrections, ASCF agreed to house an additional 20 prisoners above the 960-bed capacity for an initial period of eight weeks, subject to agreed charges payable by Corrections. In December 2023, an extension to this arrangement was requested by Corrections, and agreed to by ASCF, until mid-February 2024.
- 3 This arrangement formally ended on 29 February 2024, with ASCF returning to the contracted capacity of 960 prisoners.
- 4 As at 31 March 2024, ASCF houses 11 percent of all male prisoners and 19 percent of all sentenced male prisoners. A large proportion of the men housed at ASCF are under voluntary protective segregation (492) or are high security (216 men or 26 percent of all male high security prisoners nationally).

ASCF continues to perform well against key custodial measures

Incidents and assaults

- 5 ASCF had a total of 276 incidents during the January to March 2024 period, down from 311 incidents in the previous quarter. The number of incidents continues to be significantly lower than the average number of incidents across the comparator sites (691 during the period).¹
- 6 The total combined number of prisoner on prisoner and prisoner on staff assaults at ASCF increased this quarter, with a total of 27 assaults. This was comprised of two serious, six non-serious and 19 no injury assaults. This compares to 26 in the previous quarter. The number of assaults continues to be significantly lower than the average number of assaults across the comparator sites (53 for the period).²

¹ Christchurch Men's Prison, Rimutaka Prison, and Spring Hill Corrections Facility.

² Assault figures are a total of serious assaults (includes sexual assaults), non-serious assaults, and assault no injury data. Serious and non-serious assaults are also KPIs under the Agreement, with the Quarterly figures detailed in Table 1.

Complaints and misconducts

- 7 There was a total of 272 complaints made by people in prison for the period, down from 285 in the previous quarter, with resolution timeliness of over 90 percent. The number of complaints is lower than the quarterly average (570) of the comparator sites.
- 8 The number of misconducts decreased to 299 from 338 in the previous quarter. This is lower than the quarterly average (415) of the comparator sites.

Seventeen KPI breaches occurred during the period

- 9 Seventeen KPI breaches occurred during the period resulting in \$36,382 of deductions to SecureFuture's Monthly Unitary Payment from Corrections, as outlined in the below table:

KPI breach	Number	Deduction
Serious assault – prisoner on prisoner	0	Nil
Serious assault – prisoner on staff member	1 ³	\$7,629 ³
Non-serious assault – prisoner on prisoner	6	Nil
Non-serious assault – prisoner on staff	0	Nil
Breach of Corrections Services requirements	1	Nil
Failure to investigate or self-report	4	\$15,648
Self-harm threat to life	1	\$13,105
Self-harm no threat to life	3	Nil
Communication or security equipment failure	1	Nil
Total	17	\$36,382

- 10 Performance against KPIs and Charge Events is graded in bands ranging from Service Failure Level 0 (best performance) to Service Failure Level 4 (poorest performance) under the Project Agreement. The SecureFuture agreement is currently in Service Failure Level 1 due to the December 2023 Charge Event (unnatural death of a prisoner).

Other items of note

- 11 Corrections and SecureFuture have finalised a change notice relating to the provision of an alcohol and other drug (AoD) programme at ASCF. The programme is intended to be for high security prisoners assessed as having moderate to high AoD treatment needs. The programme is expected to commence at ASCF on 1 June 2024 for an initial period of two years. The expected number of participants is approximately 100 prisoners per year.
- 12 On 31 January 2024, the Chief Executive of Corrections appointed two Monitors under Section 199E(2) of the Corrections Act 2004. The purpose of these appointments is to review the provision of psychological services and health services at ASCF. The Monitors are subject matter experts employed by Corrections who will provide a report to the Chief Executive at the conclusion of their review, which is currently expected mid-June 2024.

Next steps

- 13 Corrections will provide an ASCF Quarterly Performance Update (April to June 2024) to your office in July 2024.

³ An additional serious assault - prisoner on staff has been held-over pending further information. If upheld the financial deduction would be \$7,629.