

# **INDEPENDENT POLICE CONDUCT AUTHORITY**

## **Statement of Intent 2017/18 – 2020/21**

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## Preamble

This Statement of Intent (SOI) has been prepared in accordance with the requirements of sections 141 and 142 of the Crown Entities Act 2004.

It describes the vision and approach of the Independent Police Conduct Authority (the Authority) to our work over the period 2017/18 to 2020/21.

The Authority will also produce an annual Statement of Performance Expectations (SPE) to accompany the Statement of Intent. The SPE will consist of key performance indicators and financial forecasts for the currency of the Statement of Intent.



Judge Sir David Carruthers, KNZM

Chair



Dianne Macaskill

Member

Simon Murdoch

Member

## Introduction by the Chair

It is the role of the Authority to oversee the Police and to help maintain public trust and confidence in the New Zealand Police. To fulfil our role we receive, manage and resolve complaints against Police; we independently investigate serious Police incidents involving death or injury and allegations of serious misconduct; and we monitor Police places of detention. Through our work we are able to have a positive impact on the conduct of both individual members of Police and the Police organisation as a whole.

Each complaint made about Police conduct and each incident notification must therefore be considered in a fair, impartial and thorough manner. We must continue to provide timely responses and better outcomes in the management of work. Our recommendations, once implemented, are directed towards improved Police conduct.

To achieve such results the Authority must be appropriately visible and accessible to the Police, the public, and particularly those that would wish to complain about Police conduct. These stakeholders must be made aware of the Authority and understand that it is an avenue through which complaints about the Police can be made and investigated.

Among the challenges we will face in the next four years is the impact of an existing increase in the number of complaints and notifications. This will be exacerbated by the anticipated effects of a growing Police organisation, with the government announcing recently that a further 1000 Police employees will be recruited over the next four years, 880 of whom will be frontline officers and lacking experience when first placed in operational roles. The trend of increasing volumes is therefore expected to continue and to place growing strain on our resources. Our financial forecasts attest to the leanness of our operating model. In order to produce our stated outputs, therefore, we will need to prioritise carefully and ensure that our work is undertaken in an efficient and proportionate manner.

Within the constraints of our current resources, we are focused on increasing our efficiency and effectiveness. We have established new processes for dealing with complaints to ensure better quality and timeliness of outcomes. The emphasis now is on resolving complaints in a timely way without unnecessary investigations. This requires early identification of the issues and the facilitation of a response to the grievance by Police that provides appropriate redress. First introduced in 2016, the early results of working this way have been immediately apparent.

The Authority also recognises that there is considerable value to be gained by using thematic reviews to address specific, identifiable issues that arise from a range of complaints and incidents. The movement from a blame-oriented approach to one of prevention is in keeping with our legislation and a more effective use of our resources. We are already working much more closely with the Police to review Police policies, practices and procedures when we identify issues that need to be addressed and intend to further develop the use of such reviews. We also intend in the future to complement this by increasing opportunities for our work to feed into Police training and development.

There will always be a need for a strong and independent Authority overseeing Police actions. But the environment within which that work is being undertaken is evolving and the complexity of complaints and incidents received by us is increasing. As a result, some of our investigations, thematic reviews and other work to resolve complaints are consuming greater resources and leading to more varied outcomes that go beyond merely making findings and recommendations to Police about a particular incident or complaint. In order to meet the challenges arising for this environment, we need to adapt our operations and seek resourcing that enables us to meet the demands and expectations of the public we serve.

## Our purpose, functions and services

### Our purpose

At the heart of our work is the belief that public confidence in an effective Police oversight system will lead to greater trust in Police and policing as a whole. That trust and confidence will in turn contribute toward increasing the overall effectiveness of Police and the Authority in achieving the government's justice sector outcomes.

We describe our purpose and reason for existing as follows:

***The Authority exists so that people have trust that complaints about, and incidents involving, Police conduct, and any practice, policy or procedure, will be fairly and impartially investigated or reviewed; that grievances and issues will be identified and resolved in a timely fashion; and that any recommendations made and implemented will result in improved Police performance.***

Our vision, operating as a robust, oversight body, is to:

***Be a world class oversight body that, by contributing toward improved trust in Police conduct, contributes to a safe and just society.***

We are committed to:

- demonstrating to the community and to the Government that the Authority is an independent and effective oversight body that contributes significantly to the promotion of public confidence in the Police;
- providing high levels of productivity, timeliness and quality control in the delivery of services;
- ensuring that our findings and recommendations are well grounded and feed into Police training and development;
- ensuring that the New Zealand public, particularly vulnerable sectors of our communities, is aware of the presence and work of the Authority.

### Nature and scope of functions

#### *Legislative mandate*

We are an Independent Crown Entity under Part 3 of Schedule 1 of the Crown Entities Act 2004. The Authority was established under the Independent Police Conduct Authority Act 1988 (the IPCA Act) which defines our functions as:

- Receiving and taking action on complaints alleging misconduct or neglect of duty by any employee of the Police, or concerning any practice, policy or procedure of the Police.
- Where we are satisfied there are reasonable grounds to do so in the public interest, investigating incidents involving death or serious bodily harm caused or appearing to have been caused by an employee of the Police acting in the execution of their duty.

Separately, but allied to the management of public complaints against the Police, we also serve as a National Preventive Mechanism under the Crimes of Torture Act 1989 that implements New Zealand's obligations under the United Nations Optional Protocol to the Convention Against Torture (OPCAT). This involves inspecting Police detention facilities throughout New Zealand to ensure they are safe and humane and that they meet international standards.

### *Independent Oversight*

Under the Independent Police Conduct Authority Act 1988, the Authority is required to be independent. Being 'independent' means that we make our own judgements and decisions based on the evidence and the law. As the government entity with direct responsibility for independent oversight of the conduct, practices, policies and procedures of the Police, it is critical that our work is carried out independently and that it is seen to be independent of the functions and influence of the Police.

When the Authority was first established, it was largely dependent on Police investigative resources. It has now evolved into a more high profile and proactive organisation that undertakes its own independent investigations of the most serious complaints and referrals it receives and publicly reports on the outcome. The Authority now also has more significant input into those matters referred to the Police for investigation or facilitated resolution. It does so by first agreeing with Police on the issues to be addressed and how these will be investigated or resolved, and then actively monitoring Police actions and reviewing outcomes upon conclusion.

We identify three factors critical to our independence:

1. *Statutory independence:* We are statutorily independent by virtue of the Independent Police Conduct Authority Act 1988 and the Crown Entities Act 2004. That statutory independence is critical for our effectiveness.
2. *Operational independence:* In practical terms, operational independence means that, without undue reliance on Police, we have investigative capability and capacity to carry out our own investigations into the most serious matters; to independently oversee Police investigations; to conduct our own reviews; to monitor Police performance; and to publish reports.
3. *Impartiality:* We act impartially in all our dealings and take great care to do so, and to be seen to do so. The importance of actual and perceived impartiality is constantly reinforced in all our actions.

We ensure that we maintain appropriate investigative expertise, as this capability goes to the heart of our performance, public perceptions of our credibility and ultimately the levels of trust and confidence in our work. No serving member of any Police service is employed by the Authority. However, a small number of ex-police personnel from New Zealand and overseas are employed in specialist roles alongside other staff with a range of backgrounds and expertise in investigations, law and criminal justice.

We also ensure that we have expertise in facilitated complaint resolution, since our ability to resolve as many complaints as possible in a timely and effective way without lengthy and resource-intensive investigations is essential to ensure the effective delivery of our services and meet the expectations of our customers.

We have policies and procedures to identify and manage any possible conflicts of interest for all staff. Operational staff do not work in isolation but as members of teams with complementary skills. All investigations, reviews and facilitated resolutions are subject to constant managerial oversight. All decisions relating to the outcome of investigations are made collectively by the team, and ultimately by the Authority Chair before any public reports are issued.

### *Working relationship with Police*

The Authority maintains a professionally cooperative relationship with the Commissioner of Police, the Police executive, senior commanders, Police Professional Conduct staff, and investigators. The Authority and Police have a common understanding of how complaints are handled and agreed protocols that define our respective responsibilities. This ensures effective cooperation and avoids unnecessary duplication.

In addition to the statutory jurisdiction of the Authority, a Memorandum of Understanding with the Police provides that internally reported matters of serious misconduct or criminal offending by a Police member, of such significance that they are likely to place the Police reputation at risk, are to be notified to the Authority by the Commissioner. The Authority deals with such notifications in the same manner as if they were externally reported complaints.

## Our services

The Authority provides a range of inter-linked services, including:

### Management and resolution of complaints and referrals

The resolution of complaints and matters referred by Police involves the receipt, assessment, categorisation, allocation, and monitoring of all complaints received by the Authority. Our approach to complaints resolution emphasises a timely and appropriate response for users of the service. This usually entails direct contact with complainants and Police to gather information and to discuss how the complaint should be resolved. Where possible, it concludes with a facilitated resolution of the complaint by the Police that addresses the grievance and provides appropriate redress. We also have processes through which complainants may express their dissatisfaction with the way in which their complaint is being or has been resolved.

### Independent Investigations into Police conduct and reviews of Police investigations

The Authority has its own investigative capability that allows investigations to be completed expeditiously and independently without any reliance on the completion of any parallel Police inquiry. We investigate a substantial proportion of the incidents where death or serious bodily harm resulted or appears to have resulted from the actions of a Police employee, as well as any allegations of serious misconduct by Police. A report on the outcome of investigations is usually made publicly available, whether or not this contains any criticism of Police actions.

We also directly oversee Police investigations and resolution of other complaints and review their findings at the conclusion of their investigation.

### Thematic reviews of identified issues

The Authority undertakes thematic reviews as a preventive initiative. These are normally based on identification of common issues across a range of complaints or referrals where the analysis suggests that an investment of resource now will prevent similar complaints from arising in the long term. The process of the review normally entails close collaboration with Police and the outcomes are found in recommendations for improvements in Police policy, practice or procedure.

### Recommendations for improved Police conduct, practices, policies and procedures, based on the results of investigations, and monitoring implementation of those recommendations

The Authority makes recommendations as a result of both investigations and thematic reviews. These include recommendations for disciplinary or criminal proceedings and for changes and improvements in Police conduct, practices, policies and procedures. The Commissioner of Police must notify the Authority of any action taken to implement a recommendation or give reasons if a recommendation is not being implemented.

### Monitoring of and reporting on Police places of detention

Separate from but allied to the IPCA's role in public complaints against the Police, is our role as a National Preventive Mechanism under the Crimes of Torture Act 1989. In our performance of this

role the Authority monitors places of detention for which the Police have responsibility to ensure that the physical conditions and the care and custody of prisoners provided by the Police meet an expected and agreed standard.

## The next four years

### Governance and management of the Authority

The Authority is governed by a Board that is accountable to Parliament and reports to a Responsible Minister within the Government – currently the Associate Minister of Justice. The Authority’s Board has a full-time Chair and two part-time members. Including the Chair, the Board may comprise up to five members.

The current members of the Authority’s Board are:

Name	Date of original appointment	Expiry date of present term
Judge Sir David Carruthers, KNZM [Chair]	16 April 2012	15 April 2017
Dianne Macaskill*	1 September 2010 (Reappointed 28 September 2015)	27 September 2018
Simon Murdoch*	24 September 2015	23 September 2018
* Part-time		

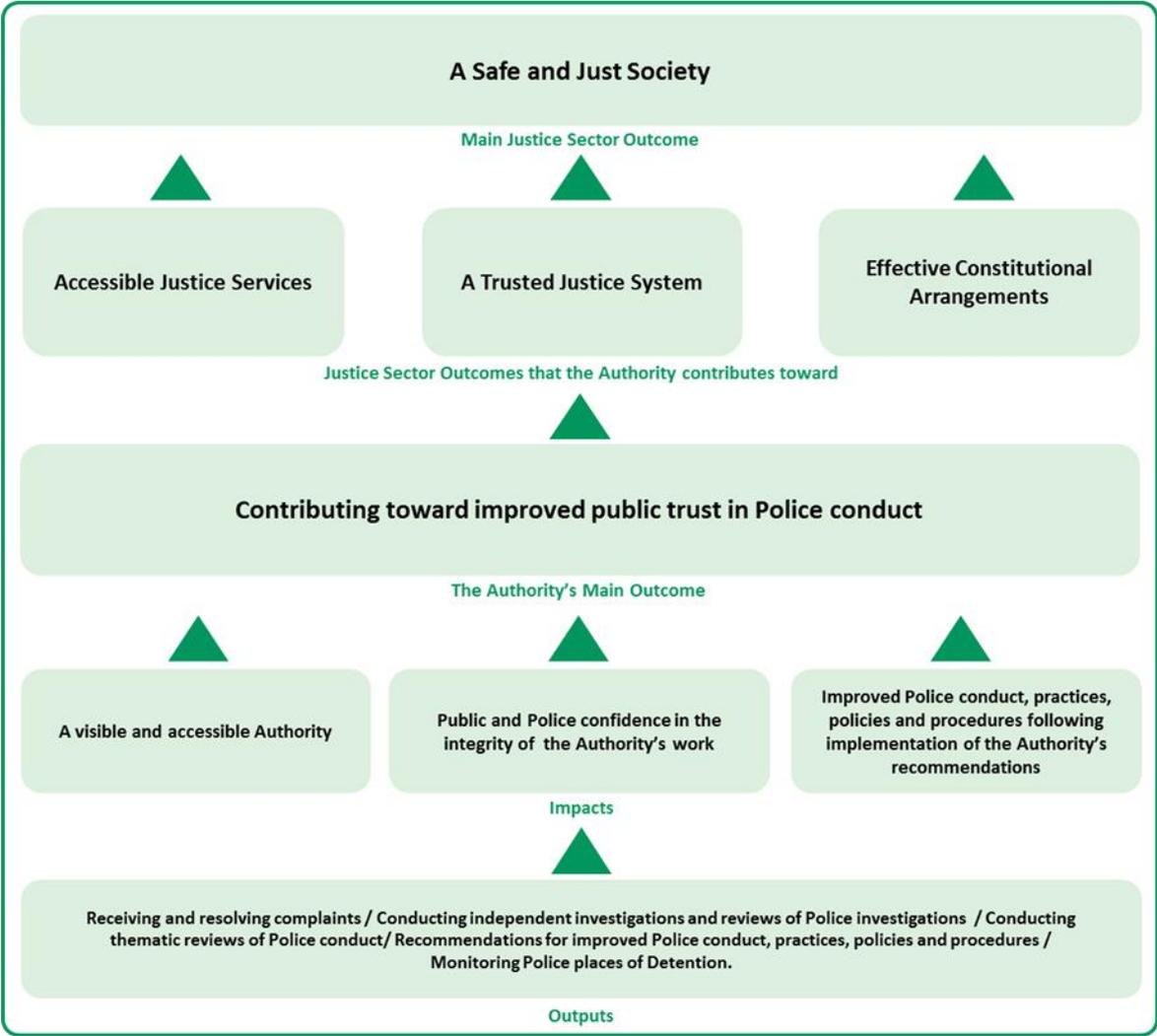
The five-year term of Judge Sir David Carruthers ended on 15 April 2017 but has been extended in terms of section 32(3) of the Crown Entities Act 2004 until such time as a new appointment is confirmed by the Government.

Authority Board members have a range of relevant skills and experience, including knowledge of the law and law enforcement, executive level management, and public sector expertise. The Board focuses on two key issues in regard to its governance functions: **performance** (assessing the effectiveness of the Authority’s delivery of services against its strategic objectives); and **conformance** (the extent to which the requirements of relevant legislation and public expectations are met).

In regard to the day-to-day management of the Authority, the full-time Chair discharges a range of executive functions and is supported by an organisational structure that prioritises available resources toward the efficient and effective delivery of operational services.

# Our outcomes framework

This section of the document describes the context for our work, our intended outcomes and expected areas of impact. It also sets out how the Authority expects to achieve these impacts and describes how we will know when we are performing effectively. The Authority’s Outcomes Framework is summarised in the diagrammatic and text form below:



## IPCA contributes toward Government priorities for the justice sector

The justice sector has as an aspirational outcome that all New Zealanders should expect to live in a safe and just society.

To that end the justice system itself should be trusted and underpinned by effective constitutional arrangements. The Authority is part of the justice sector, so it has a role to play in achieving all the outcomes set for the sector.

The two justice sector outcomes that the Authority most contributes toward are ‘A trusted justice system’ and ‘Effective constitutional arrangements’.

A trusted justice system	Effective constitutional arrangements
<p>How the Authority operates (i.e. the quality and perceived independence of services provided when in direct contact with users) goes to the heart of whether the Authority is seen as trustworthy in approach and credible in its judgements.</p>	<p>The Authority’s role, within the Police oversight system, is to hold Police accountable; to promote public confidence in the accountability of Police; and to improve policing practice, policy and procedure.</p> <p>A fundamental purpose of the Authority is to assist the public in effectively engaging with the Police oversight system. To do this the public should be aware of our role and must have trust and confidence in the Authority to carry out that role.</p>

**Our main outcome is to contribute toward improved public trust in Police conduct**

Our main outcome is achieved through the fulfilment of our key role: to ensure that people have confidence that complaints about, and incidents involving, Police conduct will be fairly and impartially investigated or reviewed; that issues relating to Police practice, policy or procedure will be properly identified and addressed; and that any recommendations made and implemented will result in improved Police conduct.

Our work leads to improvements in Police conduct and performance. This should ensure that the levels of trust and confidence that New Zealanders have in Police and policing generally remains high.

The Authority does not separately measure the level of public trust and confidence in Police. This is measured by Police themselves and reported on in their Annual Report.

# Our impacts

The Authority undertakes a range of activities that are aimed at achieving three high level impacts. Our Impacts are summarised below. Contained within the annual Statement of Performance Expectations will be the detailed performance targets and measures for the year.

A visible and accessible Authority	Public and Police confidence in the integrity of the Authority's work	Improved Police conduct, practices, policies and procedures following implementation of the Authority's recommendations	
<p>Information about the role of the Authority and how to access its services is readily accessible and available to all sectors of the community.</p>	<p>The public and Police have trust and confidence in the Authority because they know it is an independent organisation which carries out its duties thoroughly, fairly, and impartially.</p>	<p>The Authority's recommendations for changes to Police conduct, practice, policy and procedures have received high levels of acceptance and implementation by Police.</p>	<p>Impact description</p>
<p style="text-align: center;"></p> <p>The Authority will have in place an active 'Community Engagement Plan' that is aimed at improving community awareness of the Authority's work and accessibility to its services.</p> <p>The Plan will include an informative and user-friendly website that will enable members of the public across a wide range of sectors to access the Authority's services.</p> <p>This will also include the expanded use of social media.</p>	<p style="text-align: center;"></p> <p>Surveys conducted by the Authority show that it is recognised and trusted by both complainants and Police to independently investigate and resolve complaints about Police conduct in an effective and timely manner.</p> <p>The process is robust and fair.</p> <p>Surveys conducted demonstrate that the Authority's interactions with Police and public are consistently timely, respectful and sensitive.</p>	<p style="text-align: center;"></p> <p>The Authority has strong, positive relationships with Police.</p> <p>There is constructive engagement with Police to incorporate recommendations in their work programmes and policy development.</p>	<p>Critical factors to successfully achieving our impacts</p>
<p style="text-align: center;"></p> <p>The community is informed of the Authority's role in enhancing Police accountability and improving Police performance; access to the Authority's services is readily available.</p>	<p style="text-align: center;"></p> <p><u>We know we are performing well when:</u></p> <p>Complainants and Police officers are satisfied with the level of contact from Authority staff and are also satisfied with the processes of independent investigation or the oversight of the Police investigation of the complaint as the case may be.</p> <p>Complainants and Police officers in facilitated case resolution of complaints agree that the IPCA's processes are satisfactory.</p>	<p style="text-align: center;"></p> <p>Police accept and implement Authority recommendations for changes and improvements in Police conduct, practice, policy and procedures.</p>	<p>Demonstrating our Impact</p>

## Performance measures

The Authority will assess performance through the application of service management indicators.

Our impacts are measured by regular surveys of satisfaction with various aspects of our business processes; detailed performance targets are contained within the Annual Statement of Performance Expectations.

The delivery of our outputs is measured in relation to five services: our receipt and resolution of complaints; our independent investigations and our reviews of Police investigations; our thematic reviews of identified policing issues; our recommendations on Police conduct, policies, practices and procedures; and our monitoring of Police places of detention. Again, detailed performance targets in respect of each of these services are contained in the Annual Statement of Performance Expectations.

## Our operating environment

In order to maintain a robust, independent and timely investigation process, and achieve the two critical strategic priorities outlined above, the Authority must be conscious of and address some key elements of its operating environment. These include:

### Managing workload – our resource model

The Authority currently receives around 2600 -2700 complaints from members of the public or referrals from the Police per year. We believe that most complaints can and should be addressed in a timely and appropriate way without the need for lengthy and resource-intensive investigations. To that end, we have developed new and more robust processes for handling complaints to ensure that the key issues are identified at an early stage; that there is more effective dialogue with both the complainant and Police; and that ways of providing appropriate redress quickly and informally are agreed to and put into effect wherever practicable.

However, there are a range of matters that because of their serious nature are unable to be addressed in this way. These normally relate to allegations involving serious misconduct or serious consequences, or raising significant issues relating to policy and procedure. Such cases are carefully assessed and prioritised in order to ensure that the limited investigative resources available to us are directed to areas where the absence of independent investigation or oversight would be most likely to undermine public trust and confidence in the Police.

### Maintaining independence

Our credibility as an oversight body depends upon our actual and perceived independence. If we are seen to be too close to the Police, or to be rubber-stamping Police decisions, we will fail to achieve our core purpose. At the same time, our ability to produce outcomes that are seen to be fair, and to influence Police policy, practice and procedure, depend upon having an effective working relationship with the Police.

A delicate balance must be struck between these competing requirements. We strive to ensure that we have a cooperative and consultative relationship with Police throughout the country, whilst always being clear that we make our own independent findings and recommendations on the matters that we deal with.

### Responding to the growing complexity of Police operations

Criminal activity is becoming more diverse and sophisticated. Evidential material is increasingly held only in electronic form, and offenders increasingly use electronic media to commit or facilitate criminal activity.

In response, Police operations are becoming correspondingly more complex. They are increasingly reliant on the use of technology, as an aid to both routine preventive policing and the detection of offending after it has occurred.

This impacts on the nature and range of complaints and referrals received by the Authority. It also makes our investigations more challenging, since they are growing in complexity and require a greater investment of resource. It will be important over the next four years to ensure that we recruit and retain staff with the right mix of skills to meet this challenge.

## **Our strategic priorities 2017/18 – 2020/21**

The Authority is a relatively small entity in the Justice Sector, but has a key role in maintaining public trust and confidence in the New Zealand Police. It achieves this by providing a robust process for managing, investigating and resolving complaints against the Police and by holding them to account when things have gone wrong. More importantly, the Authority works closely with the Police to ensure that appropriate changes are made to Police policy, practice and procedure so that similar problems do not recur.

Over the next four years, we will be working to enhance our effectiveness in these respects by embedding our new processes for the facilitated resolution of cases; increasing the emphasis on prevention through the expanded use of thematic reviews; enhancing interactions with the community; enhancing our ability to report on trends in both policing and complaints about Police; and continuing to develop a more systematic and effective process for monitoring and improving the quality of places of detention for which the Police are responsible.

### **Embedding our facilitated case resolution processes**

We have recently introduced a number of changes to our business processes to improve the way in which we receive and prioritise incoming complaints and referrals and determine the most appropriate way in which they should be resolved. As noted above, we are aiming to ensure that issues are identified at an early stage; that there is more effective dialogue with both the complainant and Police; and that ways of providing appropriate redress quickly and informally are agreed to and put into effect wherever practicable.

Over the next four years we will be working closely with the Police to strengthen and enhance these processes to ensure that every case is receiving a proportionate and appropriate response that reasonably addresses the complainant's grievance in a timely way. This will not only produce better outcomes in terms of both quality and timeliness, but will also free up resource that can be applied to those cases that need more in-depth investigation and review.

## Increasing the emphasis on prevention

The Authority is more likely to be successful in achieving its core purpose of maintaining and enhancing public trust and confidence in the Police, if its work not only holds the Police to account for misconduct, but also prevents similar problems from recurring.

We have already developed a practice of considering as part of our initial triaging process whether there are policy and procedure issues that need to be addressed. We then work proactively and cooperatively with the Police to determine the significance and extent of the problems and the changes that are required to address them. These changes may include a revision of policy, an enhancement to Police training, and the inclusion of material on the Police Bulletin Board or in the Lessons Learned database for the attention of all staff.

Where appropriate, we also undertake thematic reviews that take into account problems that have arisen in a range of cases.

We believe that such reviews are an efficient application of the Authority's resources and, when used in appropriate cases, produce more effective outcomes. As part of our strategic objective of placing more emphasis on prevention, therefore, we intend to expand the number of specific, thematic reviews that we undertake. The extent to which we are able to do so will depend upon the available resource.

Over the next four years, again subject to available resources, we also intend to work with the Police to use the cases we investigate and review as case studies that can be fed into Police training at a range of levels (from Police recruits to specialist squads and supervising officers). This will allow the Police to reflect on incidents that have come to the attention of the Authority and learn the appropriate lessons from them.

## Enhancing our engagement with the community

We will develop further our plans to engage with all sectors of the community, including those groups identified as being vulnerable and disadvantaged, in order to ensure that there is a much greater understanding of the Authority and its role. This will include systematic dissemination of the results and outcomes of our investigations, facilitated case resolutions and thematic reviews. To achieve this, we will be revamping our website to enhance the visibility of our work, improve the accessibility of our services and incorporate multilingual features. Subject to available resources, we also plan to expand our use of social media. The increased awareness of our role and the value of the work that we do is intended to enhance community confidence in the Authority.

In addition, over the planning period covered by this Statement of Intent, the Authority intends to engage with particular communities where practicable and appropriate in order to determine how specific issues and areas of concern that have arisen from complaints or notifications can best be addressed and resolved. For example, we have received a number of complaints about the policing of small communities, and we intend to talk to a number of those communities to gain a better understanding of the issues and how they might be resolved.

As a longer term objective, the Authority also considers that there would be value in engaging with communities more broadly and in a variety of ways to gain a better understanding of community concerns about policing that may not be directly related to particular complaints or notifiable incidents. However, this would be a broader function that would require additional resourcing and a greater range of expertise than is currently available to the Authority. It would be a gradual and evolving function that, if done properly, would lead to the need for an “own motion” jurisdiction.

## Enhancing the Authority’s ability to report on its own performance and on broader policing trends

In order to report fully and accurately on the effectiveness of its recently introduced facilitated case resolution procedures, and also to accommodate future directions, the Authority in the next four years will seek to expand and refine its case management system and reporting processes. The current system was developed in 2007 and while it has proved effective in the management of individual complaints and investigations to date, it will not adequately support future operations as the Authority moves towards embedding facilitated case resolution. In addition, it will not adequately support and provide reports on the use of thematic reviews that arise from more than one complaint or incident.

We have also recognised the need to provide for more sophisticated data analytics in support of trend analysis of complaints and issues. There is an increasing demand by media and the public for more detailed, accurate information on complaint outcomes and the Authority’s performance that the current system struggles to provide. These demands can only be met by investing in a new system that will meet our future requirements.

## Monitoring and improving Police places of detention

Over the next four years the Authority intends to refine its new approach to fulfilling its responsibilities as a National Preventive Mechanism to monitor and report on Police places of detention under the Crimes of Torture Act 1989. That approach places responsibility in the first instance on the Police themselves to ensure that Police places of detention meet the required standards, subject to the Authority’s oversight and supervision. A process of joint auditing of the care and custody of prisoners by the Police and the Authority to ensure that the agreed national standards for detention facilities is now operational, and it will be refined and developed during the planning period to ensure that it is working effectively and producing results. The Authority will also be working with Police to refine the Accommodation Code, so that Police decisions about the upgrading of their physical infrastructure are being directed to areas of greatest need.

## Organisational health and capability

The key issues underpinning the Authority’s approach to maintaining and enhancing organisational health and capability include the need to:

- Respond to our operating environment and the organisational priorities emerging from this environment – in particular to deliver productivity and performance improvements.
- Meet state sector good employer expectations.

## Enhanced productivity and performance improvement

During the period of this Statement of Intent we will build on the approaches already begun to enhance our productivity and performance. We are focused on four key productivity drivers to enhance our performance and build our capability. The planned actions in each of the four areas until 2021 include:

Productivity driver	Actions until 2021
Investing in our people capability	<p>Ensure we maintain a relevant and appropriate retention and reward programme for high performing staff.</p> <p>Continue to train and develop staff in appropriate skill areas and in line with emerging technologies and methodologies relevant to the work of the Authority.</p>
Leadership and management capability	Identify appropriate leadership and management development programme(s) to build individual and collective leadership and management capability.
Relationships	Actively work with Police and other counterpart agencies in the justice sector as appropriate in support of our main outcomes.
Leveraging technology and Systems development	Continue to grow and improve our ability to offer modern web-based services. Review and seek to develop new systems for case management in support of new case resolution processes and enhanced data analysis of our performance.

## Capital expenditure intentions

The Authority is not a capital-intensive agency; it utilises a robust capital expenditure management framework that includes integrated planning, budgeting, reporting, appraisal and monitoring processes. The Authority normally expects to spend up to \$30,000 per annum on capital items over most of the forecast period. The most significant component of the capital expenditure programme relates to maintaining our computer hardware and supporting software.

In the next four years we will endeavour to further develop new systems to underpin our core complaint resolution processes and in support of this will seek to establish a refined case management system with enhanced abilities to assess our performance. The establishment of such a system could involve significant capital expenditure and may be dependent on the Authority successfully obtaining one-off, additional funding of around \$300,000 to support this.

## Good employer

The Authority recognises that a diverse workforce is required to effectively deliver services to the diversity of New Zealanders that will use our services. We aim to provide equal employment opportunities to make the most of the talents of all our people. We assess our status as a good employer against the elements and criteria set out by the Human Rights Commission. Over the next four years we will continue to ensure that all elements are in place and working well.

# Strategic risks

The Authority assesses organisational risk on a regular basis to better understand and actively manage emergent and on-going risks and ensure this understanding is reflected appropriately in the way we deliver services. Our strategic risks take into account the environment in which the Authority operates. Our identified strategic risks and responses to those risks include:

Risk area	Response
<p><b>Loss of independence</b></p> <p>The credibility of the Authority rests on its actual and perceived independence (from Police and from Executive Government).</p>	<p>To ensure we remain credible we maintain an appropriate relationship with the Police. We will also ensure that our investigative resources retain sufficient capability and expertise to be able to carry our investigative mandate. We will also be focused on monitoring and reviewing Police-led investigations in a timely and robust manner.</p>
<p><b>Loss of reputation</b></p> <p>Our risks here would revolve around a loss of independence or credibility, or challenges to our impartiality or integrity, and the attendant reputational risks that would flow from such issues.</p>	<p>We ensure that the positions we take, and judgements made, are objectively considered, evidence-based and developed through the use of reliable information and robust practices and procedures. We seek to confirm our reputation and satisfaction with our services through a ‘customer’ satisfaction questionnaire. Ethical and integrity obligations are articulated via a staff Code of Conduct, and in our position descriptions, and reaffirmed in the performance management and development process.</p>
<p><b>Financial sustainability</b></p> <p>We must maintain financial sustainability and viability in order to deliver our services and to continue to enjoy credibility with key stakeholders.</p>	<p>The Authority’s Board actively monitors the Authority’s financial performance. Our financial performance and requirements are presented to Government on a regular basis. We will continue to emphasise financial sustainability, efficiency and cost-effectiveness as a critical part of determining how we will meet organisational priorities and goals.</p> <p>The longer-term financial sustainability of the Authority will be challenged as the Authority faces increasing volumes of complaints and an expanding Police organisation. The need alongside this to provide better and more timely outcomes and enhanced performance monitoring will drive the Authority to ensure that it is adequately resourced to meet public expectations and its statutory duties.</p>
<p><b>Invisibility/lack of awareness of our functions</b></p> <p>If people are unaware of our services, functions,</p>	<p>We are focussed on enhancing the accessibility of</p>

and roles they will not make use of our services.

information about the Authority, its services, and role. We raise awareness of our services through the supply of information in appropriate locations (e.g. custodial facilities, Community Law Centres). We will develop multilingual services and expand our use of social media in order to raise awareness and engage with specific sectors of the community.

**Insufficient organisational capability and capacity**

There is a risk that our human resources capabilities (at all levels) may not exist in sufficient quantities (capacity) or levels of capability (quality) to meet our and our stakeholders' expectations.

We will regularly update our capability strategies against our strategic direction to ensure our organisational structure and people remain relevant to service delivery requirements. A key part of this process is to ensure that our employees are supported with appropriate professional development, training and performance management.

**Insufficient Information Technology infrastructure and software programs to support the organisational requirements**

There is a risk of not having appropriate Information Technology infrastructure, devices and support arrangements to be able to manage our systems and effectively measure our performance.

The Authority is growing as an organisation, its workload is expanding and there are risks as it faces the challenges of an increasingly sophisticated IT environment. It must ensure it develops its systems to meet the needs of demanding public by recognising the increasing use of mobile technologies and social media.

We will also continue to develop our systems to ensure that the organisation is able to support the efficiencies in our processes and meet the increasing sophistication required to measure our performance effectively. This will require new funding to support the appropriate hardware and software needed.



Whaia te pono, kia puawai ko te tika

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