

Custodial Operations Policy and Procedures

13.1 Serious incident reporting

Policy summary

Serious incidents in correctional centres must be directly and immediately reported to the Officer in Charge (OIC), governor, duty officer and Custodial Corrections Branch.

The duty officer must provide urgent notifications to other stakeholders depending on the type of incident.

Other reportable incidents similar to serious incidents occurring in correctional centres must be directly and immediately reported to the governor or OIC.

Serious and other reportable incidents must also be reported electronically through the Incident Reporting Module (IRM) which generates mandatory email notifications to stakeholders.

This policy only concerns internal reporting processes. The reporting of serious incidents to external agencies is covered in other **COPP section 13 Serious Incident** policies.

Management of Public Correctional Centres Service Specifications

Service specifications	Professionalism and accountability Safety and security
------------------------	---

Scope

This section applies to all correctional centres and other facilities administered by or on behalf of Corrective Services NSW (CSNSW).

It also applies to all CSNSW employees, and where relevant to other personnel such as, Justice Health & Forensic Mental Health Network (JH&FMHN), contractors, subcontractors, and visitors.

For Security & Intelligence (S&I) staff, this policy must be read in conjunction with S&I Local Operating Procedures (LOPs).

Requirements to upload data to evidence.com or share evidence from evidence.com may not apply to privately managed correctional centres who may have their own evidence management system and processes in place.

While it is not mandated that privately managed correctional centres use evidence.com, other aspects of this policy document must be complied with. If there is any conflict with process related matters described in this document, and where there is reference to specific CSNSW business units, privately managed correctional centres should seek further advice from the relevant contract management team.

Table of contents

1	Serious incidents	4
1.1	Policy	4
2	Immediate and direct reporting	4
2.1	Chain of command	4
2.2	Notifying the Governor	4
2.3	Notifying custodial corrections branch	5
2.4	Notifying security and intelligence (S&I units only)	5
2.5	Telephoning the duty officer	5
2.6	Briefing note	6
2.7	Communications, liaison and administration duties	6
3	Incident reporting module	7
3.1	Timeframes for IRM reporting	7
3.2	IRM reporting officer	7
3.3	IRM reviewing officer	8
3.4	Mandatory email notifications	9
3.5	Duty officer	9
4	Incident/witness reports and other documents	9
4.1	Incident and witness reports	9
4.2	EDRMS records management	10
4.3	Procedures for EDRMS records management	10
4.4	Evidence.com	10
5	Quick links	10
6	Definitions	10
7	Document information	12

1 Serious incidents

1.1 Policy

A serious incident is any incident that includes:

- escape or attempted escape
- death in custody
- death of an employee
- serious assault of any person resulting in hospital treatment
- riot
- hostage taking
- major fire.

For reporting procedures in this policy, a serious incident also includes:

- serious injury to an employee, contractor, visitor or inmate other than by means of assault
- use of force with discharge of weapons or chemical aids including warning shots
- disturbance involving groups of inmates
- assault on a high profile inmate with a significant media interest
- discovery of escape implements or preparations
- discovery of a significant amount of contraband, particularly drugs
- erroneous release or unlawful detention, but only if CSNSW is at fault.

2 Immediate and direct reporting

2.1 Chain of command

Serious incidents must be reported through the chain of command. Where one officer cannot be contacted, the next officer in the chain of command is to be notified immediately.

2.2 Notifying the Governor

A serious incident must be reported immediately to the Governor or OIC. Where an OIC has been informed in the Governor's absence, the OIC must report the incident to the Governor by telephone.

	Procedure	Responsibility
1.	Report a serious incident immediately to the Governor or OIC.	First responding officer
2.	Report a serious incident immediately to the Governor.	OIC

2.3 Notifying custodial corrections branch

A serious incident must be reported immediately by telephone to the respective regional Director, Custodial Operations who will then report it to the Assistant Commissioner, Custodial Corrections (ACCC) by telephone.

Contract managed correctional centres must also notify the Director, Contracted Corrections Compliance and Monitoring, Operational Performance and Review Branch (OPRB).

Reporting must be as factually accurate as possible. It might not be possible to confirm all information reported, therefore the reporting officer should distinguish between confirmed and unconfirmed details.

	Procedure	Responsibility
1.	Report a serious incident immediately to the Director, Custodial Operations.	Governor
2.	Report a serious incident immediately to the ACCC.	Director, Custodial Operations
3.	Additional procedure for contract managed centres: Report a serious incident immediately to the Director, Contracted Corrections, Compliance and Monitoring.	Governor/General Manager (GM)

2.4 Notifying security and intelligence (S&I units only)

A serious incident which has occurred in relation to an operational unit of Security and Intelligence (S&I) Branch must be reported immediately by telephone to the Assistant Commissioner, Security and Intelligence.

	Procedure	Responsibility
1.	Report a serious incident immediately to the Assistant Commissioner Security and Intelligence (AC S&I).	GM

2.5 Telephoning the duty officer

A serious incident must immediately be reported to the duty officer by telephone on [REDACTED].

The duty officer is on duty between 6:00am-10:00pm daily. After-hours calls to the duty officer are diverted to 1 Post CESU at Silverwater.

If there is a fault with the after-hours telephone diversion, 1 Post can be contacted on [REDACTED].

The duty officer or GM, Corrections Intelligence Group (CIG) will notify the appropriate stakeholders.

	Procedure	Responsibility
1.	Report a serious incident immediately to the duty officer.	Governor or OIC
2.	Inform the GM CIG of all serious incidents.	1 Post (for after-hours calls)

2.6 Briefing note

A briefing note must be completed for all serious incidents as soon as practicable and within two hours of the incident occurring. The *Serious incident briefing note* form must be completed for all serious incidents, including those involving high profile inmates and other incidents that require the Commissioner to be briefed.

The briefing note must be submitted to the relevant Regional Director and the **Custodial Corrections Branch** by email to: [REDACTED]

	Procedure	Responsibility
1.	Forward briefing note to the relevant Regional Director and the Custodial Corrections branch within two hours of the incident.	Governor or OIC

2.7 Communications, liaison and administration duties

The Governor or OIC is responsible for all direct communications with the:

- Director, Custodial Operations;
- AC S&I (S&I units only);
- GM, Statewide Operations; and
- Duty officer.

The Governor or OIC may appoint a correctional officer as a liaison officer to liaise directly with police, emergency services, CSNSW investigators, JH&FMHN and any other relevant services.

The Governor or OIC may appoint one or more correctional officers or non-custodial staff to perform the following administrative duties:

- request, retrieve or collate any reports, electronic records or documents required for post-incident reporting procedures
- assist with distribution of reports, electronic records or documents to police, Custodial Corrections, the duty officer, CSNSW Investigators, Manager Coronial Investigations and External Oversight or any other relevant stakeholders as required

3 Incident reporting module

3.1 Timeframes for IRM reporting

Serious incidents must be reported through the IRM as soon as possible after the Governor or OIC becomes aware of the incident. All other reportable incidents must be reported within two hours.

The duty officer must be informed if a serious incident cannot be reported by IRM within two hours by telephone on [REDACTED].

3.2 IRM reporting officer

An officer must be appointed to complete an IRM incident report for all reportable incidents (refer to annexure *Table of reportable incidents*).

The IRM reporting officer must use reliable sources of information to complete the IRM incident report such as incident/witness reports and any other completed forms, e.g. *Inmate injury questionnaire – assault/use of force*.

If there is uncertainty as to which category the incident should be recorded under, the IRM reporting officer should contact the Governor or OIC for advice.

The Governor or OIC must be informed if an IRM incident report cannot be entered within two hours.

Specific instructions for completing an IRM incident report are available on the CSNSW intranet at the Brush Farm Corrective Services Academy webpage: Learning Online> Courselettes> [OIMS – IRM](#).

	Procedure	Responsibility
1.	Appoint an IRM reporting officer to complete an IRM incident report for any reportable incident.	Governor or OIC
2.	Collate incident reports and any other completed forms relating to the incident.	IRM reporting officer
3.	Go to the OIMS <i>Incident Reporting (OIDINCRS)</i> screen and complete the <i>Incident Details</i> and <i>Questions and Responses</i> sections. Also complete <i>Involved Parties</i> detailing all staff, inmates and persons involved in the incident. Review the summary, spellcheck and save record.	IRM reporting officer
4.	Change report status to <i>Submit for review</i> when the report is completed and inform the IRM reviewing officer.	IRM reporting officer
5.	Forward all reports and forms which were relied on for completion of the IRM incident report to the IRM reviewing officer.	IRM reporting officer

	Procedure	Responsibility
6.	Comply with any request from the IRM reviewing officer or duty officer to complete, amend or add information to the IRM incident report as soon as possible.	IRM reporting officer
7.	Inform the Governor or OIC and duty officer if IRM incident report cannot be entered within two hours.	IRM reporting officer

3.3 IRM reviewing officer

In large and medium correctional centres, the Functional Manager (FM) is the IRM reviewing officer (the reviewing officer). In small correctional centres, the Manager of Security (MOS) or FM will be the IRM reviewing officer at the MOS's discretion.

The reviewing officer must not review an IRM incident report if they were the IRM reporting officer or were involved in the incident. In these circumstances, the Governor may review the IRM incident report or they must assign another IRM reviewing officer.

An IRM incident report must be reviewed for accuracy and completeness by the close of business on the day the report is made or (depending on the time of the incident) as the first order of business the next day.

An IRM report must be amended if it is inaccurate or incomplete.

Note: There are several Incident types that requires the reviewing officer to enter their details into the *Involved Parties* field and answer specific questions in relation to the incident (refer to annexure *Table of reportable incidents*).

	Procedure	Responsibility
1.	Appoint an independent IRM reviewing officer to review the IRM incident report by close of business or as the first order of business the next day.	Governor or OIC
2.	Go to the OIMS <i>Incident Enquiry (OIIRSEN)</i> screen and review reports with a <i>Submit for Review</i> status.	IRM reviewing officer
3.	Verify the correct incident category/type has been selected, all involved parties are listed, all questions answered, and the summary completed.	IRM reviewing officer
4.	Check that the incident summary provides a concise and accurate overview of the incident.	IRM reviewing officer.
5.	Change report status to <i>Open</i> if the report is incomplete or inaccurate and amend if necessary.	IRM reviewing officer
6.	Enter your details in <i>Involved parties</i> field (if specified in annexure <i>Table of reportable incidents</i> and answer the questions in that section.	IRM reviewing officer
7.	Change report status to <i>Reviewed Pending Closure</i> if satisfied the report is accurate and complete.	IRM reviewing officer

	Procedure	Responsibility
8.	Record all completed actions and status changes in <i>Event Log</i> .	IRM reviewing officer
9.	Check that any IRM incident reports relating to the same incident are linked and noted in the <i>Event Log</i> (e.g. assault, use of force, section 24).	IRM reviewing officer
10.	Check the IRM for any incidents with a status of <i>Incomplete - Reporting Officer</i> daily or on the advice of the duty officer.	IRM reviewing officer
11.	Review reports with a status of <i>Incomplete – Reporting Officer</i> and make amendments or add information if necessary.	IRM reviewing officer
12.	Change report status to <i>Resubmitted for Closure</i> if satisfied the report is complete.	IRM reviewing officer
13.	Record all completed actions and status changes in <i>Event Log</i> .	IRM reviewing officer

3.4 Mandatory email notifications

IRM incident reports generate mandatory email notifications (MEN) to the duty officer and relevant stakeholders. The email notifications usually contain limited and preliminary information about the incident and location.

3.5 Duty officer

The duty officer will contact certain stakeholders by telephone after being informed of a serious incident in line with the *Duty office notification priority protocols*.

The duty officer may contact the correctional centre to obtain more details of the incident before contacting stakeholders.

The duty officer may request the IRM reporting officer or IRM reviewing officer amend or review any incomplete IRM incident report.

4 Incident/witness reports and other documents

4.1 Incident and witness reports

Officers are required to submit *Incident/witness reports* to the OIC or Governor as specified in other subsections of **COPP section 13 Serious incidents**. These reports are in addition to all direct and electronic reporting detailed above.

If requested by Custodial Corrections Branch, incident and witness reports from correctional centres may be emailed to [REDACTED]

4.2 EDRMS records management

All reports and documents relating to a serious incident must be registered, stored and managed using the EDRMS in accordance with the *DJ Records Management Procedure* (D12/637168). There is a dedicated Electronic Data Records Management System (EDRMS) folder for deaths in custody (12/7372) (**refer to COPP section 13.3 Deaths in custody**).

4.3 Procedures for EDRMS records management

	Procedure	Responsibility
1.	Make sure all reports and documents are registered and stored in EDRMS in accordance with the <i>Records Management Procedure</i> and COPP section 13.3 Deaths in custody policy (for a death in custody).	Governor or OIC

4.4 Evidence.com

All reports and documents including video footage relating to a serious incident that may be required to be shared with internal or external stakeholders must be uploaded and shared via evidence.com.

5 Quick links

- [Related COPP](#)
- [Forms and annexures](#)
- [Related documents](#)

6 Definitions

ACCC	Assistant Commissioner, Custodial Corrections
AC S&I	Assistant Commissioner, Security and Intelligence
CESU	Court Escort Security Unit
CIG	Corrections Intelligence Group
COPP	Custodial Operations Policy and Procedures
Contract managed correctional centre	Any correctional centre managed under contract, by a private or public sector service provider, for Corrective Services NSW.
Correctional centre	Any place of detention including a correctional centre, correctional complex, police or court cell complex or residential facility where inmates are in Corrective Service NSW custody.
CSNSW	Corrective Services NSW.

EDRMS	Electronic Document and Records Management System.
FM	Functional Manager
GM	General Manager
Governor	For this policy a Governor includes (unless otherwise stipulated) a general manager of a contract managed correctional centre or a general manager of an operational unit of Security and Intelligence Branch.
Hospitalisation	Admission to a hospital for treatment.
IRM	Incident Reporting Module.
IRM reporting officer	An officer appointed by the Governor or OIC to complete an IRM incident report.
IRM reviewing officer	The FM or MOS at the correctional centre who reviews an IRM incident report for accuracy and completeness.
LOPs	Local Operating Procedures
MOS	Manager of Security
OIC	Officer in charge: the on-duty ranking correctional officer who is in charge of the correctional centre in the absence of the Governor, e.g. Manager of Security or Night Senior.
OIMS	Offender Integrated Management System.
OPRB	Operational Performance and Review Branch
Reportable incident	Any serious incident or other incident listed in the annexure <i>Table of Reportable Incidents</i> .
S&I	Security and Intelligence, a branch of CSNSW
Serious incident	<p>A serious incident is any incident that includes:</p> <ul style="list-style-type: none"> • escape or attempted escape • death in custody • death of an employee • serious assault of any person resulting in hospital treatment • riot • hostage taking • major fire.

7 Document information

Business centre: Custodial Operations

Approver: Kevin Corcoran

Date of effect: 16 December 2017

EDRMS container: 18/7549

Version	Date	Reason for amendment
----------------	-------------	-----------------------------

1.0	16/12/17	Initial publication (<i>Replaces section 13.1 of the superseded Operations Procedures Manual</i>).
-----	----------	--

1.1	12/06/19	Inclusion to subsection [2.6] regarding use of <i>Serious incident briefing note</i> form.
-----	----------	---

1.2	12/03/20	General formatting update and improvements
-----	----------	--

1.3	13/07/21	Requirement for IRM Reviewing Officer to add their details in the <i>Involved Parties</i> field and answer specific questions for certain incident types in [3.3] IRM Reviewing Officer . This change is part of the update of the IRM – see ACCC Memo 2021/12.
-----	----------	--

1.4	23/03/23	Addition of subsection 4.4 – inclusion of all reports and documents and media on evidence.com
-----	----------	---
