

Custodial Operations Policy and Procedures

21.5 Handover procedures (Under review)

Under review

This policy and its associated procedures are under review. Until the review is complete, correctional centres are to manage the function of handover procedures as per the Operations and Procedures Manual, section 8.31 Handover procedures, which has been included **below** for reference.

Centre management in Rapid Build centres and others under Benchmarked operations must ensure that all responsibilities have been allocated to meet operational needs in Local Operating Procedures (LOPs).

For Security & Intelligence (S&I) staff, this policy must be read in conjunction with S&I Local Operating Procedures (LOPs). In the event of any inconsistency between this policy and S&I LOPs, the LOPs prevail.

For any enquiries in relation to this policy please contact Custodial Operations on: COPP@dcj.nsw.gov.au

Corrective Services NSW Operations Procedures Manual

SECTION 8.31 HANDOVER PROCEDURES

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8.31. HANDOVER PROCEDURES FOR CORRECTIONAL CENTRES

The annexures (Attestation forms) relating to activities in this sub-section are still under review.

Summary Page

Policy Overview	Corrective Services NSW (CSNSW) objectives are two-fold: <ol style="list-style-type: none">1. to ensure that resource allocation, utilisation and accountability processes demonstrate high standards of corporate governance, effectiveness and efficiency; and2. to ensure CSNSW property, plant and equipment are maintained in accordance with sound asset management principles.
Purpose	These procedures are designed to facilitate handovers of correctional centres and to assist General Managers to ascertain operational readiness, compliance and systems accuracy in all operational areas of the centre and providing for a declaration, by relevant accountable officers, as to the current status of all operations and assets within their area of responsibility.
Scope	These procedures affect all General Managers and relevant accountable officers in all correctional centres.
Strategic Focus	Corporate Plan 2009 - 2012
Legislation	<ul style="list-style-type: none">• Crimes (Administration of Sentences) Act 1999• Crimes (Administration of Sentences) Regulation 2008
ACO	97/137

*Additional or amended attestation forms that may need to be designed locally, should closely follow the existing design/concept and should be named and numbered in their relevant sequence.

8.31.1. Procedures

The outgoing General Manager completes the nomination section of each attestation form and distributes them to relevant officers.

Note: In circumstances where the outgoing governor is either not available or has to leave at very short notice, the Manager Security, or acting General Manager, or any other officer nominated by the Regional Assistant Commissioner may process the handover procedures.

Refer also to the Explanatory Notes relative to the '*Outgoing General Managers Centre Status Report*'.

In larger centres, General Managers may choose to nominate various managers to complete attestation forms relative to accountabilities within their area of management e.g. Program Manager, Manager Security, Manager Industries, and the Administration Manager.

The completed attestations form the supporting documentation for a status report, from the outgoing General Manager to the incoming General Manager.

The procedures provide for the incoming General Manager to sign acceptance of responsibility for the centre, based on the assurance inherent in the outgoing General Manager's status attestation.

If an incoming General Manager has any significant concerns as to the status of the centre, he/she should attempt to resolve the matter with the outgoing General Manager, or else refer the matter to the relevant Regional Assistant Commissioner.

In the event that matters of **significant concern** are brought to light within a reasonable time following the handover/takeover process, the incoming General Manager or the Commander has the option of either ordering a review of the attestation process, or (if the concerns are sufficiently widespread) of requesting an audit of the centre.

Completed handover documentation distribution is as follows:

1. The outgoing General Manager gives the incoming governor the original documentation, which comprises his/her status attestation, together with supporting attestations from junior accountable officers.
2. The outgoing General Manager retains a personal copy of the handover documents.
3. A complete copy of the handover documentation is filed at the centre.
4. A complete copy of the handover documentation is forwarded to the regional office for filing.

Note: These procedures and documents support a Centre Status attestation (refer Annexure 8.17) by the

outgoing General Manager and provide for a documented acceptance of responsibility for the centre, by the incoming General Manager (refer Annexure 8.18).

The procedures and annexures are divided into the two major fields of correctional centre activities, i.e. financial/administrative functions and operational functions.

As precise responsibility for each function may vary between centres, these procedures are designed to facilitate certification / attestation, as to the status of each function, by individual, accountable officers as nominated by the General Manager.

The following Explanatory Notes section is designed to assist officers participating in the handover process. In addition, individual explanatory notes are reproduced on each annexure.

8.31.2. Explanatory Notes

8.31.2.1. Outgoing General Manager's Attestation Process Checklist (refer

Annexure 8.36)

This checklist is used to record the names of officers who have been nominated by the General Manager to complete an *attestation form*. There is provision on the checklist to record the name of each recipient against each listed form.

The attestation procedure has been designed to be as flexible as possible, within the constraint of being able to give the incoming General Manager a good picture as to the general state of the centre.

In light of this requirement, and within this constraint, outgoing General Managers may wish to add individual forms that fit particular local requirements. New forms may be designed and added to this *Attestation Process Checklist*, however, generally, the existing standard forms should be completed. In the event a form is not considered relevant, it should be endorsed as 'Not Relevant' and signed off by an officer nominated by the General Manager.

8.31.2.2. Outgoing General Manager's Centre Status Report (refer Annexure 8.17)

The completion of this form is the focus of the handover procedures. All checks, reviews, stock takes, and attestations ultimately lend support to the outgoing General Manager's ability to complete this form.

As Annexure 22.5 implies, **it is not intended to be a statement that there are no areas of concern within the centre**. In the normal day to day centre operations, errors may occur, stocks may be misplaced, procedures may not be followed, etc.

It follows, therefore, that Annexure 8.17 cannot attest to the absolute correctness of everything within a centre. It is designed to reinforce accountability and acceptance of responsibility for individual areas of the centre's administration and operation.

After the outgoing General Manager has left and the incoming General Manager has taken over, **most staff will still hold their pre-handover positions**. This is certainly the case at the time of handover and therefore, it is these officers who are now accountable to the new General Manager. Put plainly, there is a continuum of accountability. The new General Manager can therefore legitimately accept responsibility for the operation of the centre **from the moment of handover**.

Note: In addition to Annexure 8.17, the outgoing General Manager also needs to complete Annexures 8.29, 8.30, 8.31 & 8.33

8.31.2.3. Incoming General Manager's Acceptance Form (refer Annexure 8.18)

This form is a simple recording of the incoming governor's acceptance of responsibility for the operation of the centre **from the moment of handover** (i.e. from the moment of signing Annexure 8.18).

There is an implication in the signing of this form that the incoming General Manager has sighted the *Outgoing General Manager's Status Report* (Annexure 8.17) after the outgoing General Manager has signed it.

Note: In those rare events where the outgoing General Manager cannot sign due to absence, illness etc. the Manager Security signs the relevant forms in his/her stead, based on the completion of all relevant supporting annexures.

8.31.2.4. Organisation Chart (refer Annexure 8.19)

An organisation chart should exist for each centre. In the event that the handover process reveals omissions or inaccuracies, the document should be updated before the handover. The organisation chart should show the hierarchy of responsibility within the centre (i.e. rank and/or title), together with the names of the incumbent officers.

In addition, the organisation chart should include, or have attached, a detailed listing of each responsibility attached to each position. For example, the Manager Security might be responsible for the general administration of rostering. In this case, the roster clerk would report to the deputy governor while any assistant staff would report to the roster clerk.

8.31.2.5. Centre Executive Staff/Senior Staff (refer Annexure 8.19A)

This form is used to record contact details of the centre's executive and senior staff.

8.31.2.6. Emergency Plan (refer Annexure 8.20)

The emergency plan should be current and the attestation process should indicate when, or if, the plan was last tested.

8.31.2.7. Business Plan (refer Annexure 8.21)

A current version of this document should exist as a result of compliance with departmental planning policy.

8.31.2.8. Cash (refer Annexures 8.22 and 8.22A)

Control of cash is the subject of a range of documents, including *Treasurer's Directions*, the *Accounting Policy Manual* and *CSNSW Accounting Procedures Manual*. For the purpose of handover, a simple attestation regarding relevant controls, together with the results of the most recent cash count and reconciliation, should suffice.

As the process of cash counting and reconciliation is ongoing within centres, it follows that, if correctly performed, the results of the latest count should be sufficient to support a declaration by the relevant responsible officer as to the status of this area.

- **(Advances)** Petty cash, travelling etc. (Refer Annexure 8.22)
- **Public Moneys Account (Pcash system)** (refer Annexure 8.22A)
- **Finance related matters** (refer Annexure 8.22B)

Note: Budgets are covered in 'Financial Information Systems' – Annexure 8.22C)

8.31.2.9. Financial Information Systems (refer Annexure 8.22C)

For the purpose of handover, a printout of the latest (last month's) information concerning budgets, year to date expenditure, commitments, assets and liabilities, together with a copy of the last *Monthly Financial Management Report*, should be sufficient evidence to support an attestation by the relevant officer (usually the centre's administrative manager) as to the current position. **The attestation should include a statement whether any significant variation to trends and targets is expected in the forthcoming monthly figures.**

8.31.2.10. Inmate Private Property (refer Annexure 8.23)

As with other systems within centres, this area of accountability is required to be subjected to regular counts and reconciliations to relevant records. CSNSW procedures exist which govern the checking process and therefore, a copy of the results of the last cyclic check, or full stock take (whichever was most recent), would be sufficient documentation to support an attestation by the responsible officer as to the status of this area.

8.31.2.11. Accountable Books / Forms (refer Annexure 8.24)

The majority of the accountable forms and books held within centres are within administrative areas, i.e. general office, stores etc. For handover purposes, the officer who has responsibility for control over any accountable books would need to mention, within the attestation for his/her area, the status of accountable books. A reference to the most recent check would suffice (providing a system of regular, evidenced checks exists).

8.31.2.12. Stores, Industry Resources (CSI), Plant and Equipment (refer Annexures 8.25, 8.25A & 8.25B)

These areas should be the subject of cyclical stock takes. These cyclic (rolling) stock takes culminate in an annual declaration as to the status of all assets including consumables. For this reason and where it is determined that a system of cyclic stock takes is in position, a handover attestation based on the results of the last few months stock takes would suffice.

As these areas contain significant assets and therefore would be of major concern to both outgoing and incoming General Manager, two matters should be stressed.

Firstly, all annexures covering these areas must include a statement as to the system of stock takes in place, i.e. annual or cyclic (monthly rolling stock takes).

Secondly, both incoming and outgoing General Managers should accept that, without the use of considerable resources, a system of comprehensive stock takes gives only a rapidly dating picture and is only accurate at the time of the stock take (usually once a year). It is more important that a good management information system that detects problems as they arise exists, rather than relying on a once-yearly, frame-frozen picture that rapidly dates with the passage of time.

General Managers have a natural concern that **everything** is correct in the area of stores and assets; this situation is rarely the case. A certification, based on evidential documentation that a system of cyclic stock takes is in place, should give General Managers considerable assurance as to the current state of control.

8.31.2.13. Motor Vehicles (refer Annexure 8.25C)

This form is designed to give assurance that control exists over the operation, servicing and fuelling of all vehicles attached to the centre, and over bulk fuel storage.

8.31.2.14. Legislation & Manuals (refer Annexure 8.26)

Centres are required to possess current versions of numerous publications. The core group of these documents consists of:

- specific legislation [Crimes (Administration of Sentences) Act, Sentencing Act, Public Finance and Audit

- Act, Public Sector Management Act, OH&S Act etc., including relevant Regulations] (refer Annexure 8.26);
- Treasurer's Directions (refer Annexure 8.26A);
- Procurement and Materials Management Manual (refer Annexure 8.26B)
- Transport Policy / Procedures Manual (refer Annexure 8.26C)
- Accounting Policy & Procedures Manual (refer Annexure 8.26D)
- Computer Systems Finance Manual (refer Annexure 8.26E)
- Sentence Administration Manual (refer Annexure 8.26F)

NOTE: The establishment of a register would assist General Managers to achieve control over the distribution and currency of copies of legislation, and procedural documentation. Maintenance of the register would be a function of the Administration Manager or his/her delegate.

8.31.2.16. Local Orders / Memoranda (refer Annexure 8.27)

In addition to the core documents listed in **Legislation & Manuals** (Annexures 8.26 to 8.26K), centres have a system of Local Orders and/or Memoranda. These should be registered in such a way (e.g. numerically within each operational year) as to permit both reference and currency checks.

8.31.2.17. Staff Matters (refer Annexure 8.28)

A list of staff who are either on workers compensation, or are the subject of workers compensation insurance claims should be maintained by the relevant responsible officer. Similarly, a list of staff who are the subject of disciplinary action should be maintained. These lists and supporting documentation should be available for inspection by the incoming governor.

8.31.2.18. Committees (refer Annexure 8.29)

The outgoing General Manager's handover documentation should include a reference to the departmental or community-based committees of which he/she is a member. Note that some committees are required to exist as a matter of either legislation or policy, eg. OH&S etc.

8.31.2.19. Management Information Systems (MIS) - General (refer Annexure 8.30)

In addition to the various MIS that are inherent in existing procedures, there should also be in place a range of MIS which keep the General Manager apprised as to specific issues. These may include performance monitoring of in-centre programs such as education, drug and alcohol and work release. The outgoing General Manager should include references to any systemic MIS documentation and any related issues of importance in the handover annexure.

All General Managers should be submitting monthly reports on key result areas via the department's online reporting mechanism (Correctional Centre Monthly Reports) on the Intranet. These reports are designed to include a wide range of management and statistical data. Outgoing General Managers are responsible for the accuracy of data prior to formally signing off on all electronic reports. Adopting a practice of keeping a hard copy of outstanding issues is recommended as part of the handover process.

8.31.2.20. Management Information Systems (MIS) - Inmate States (refer Annexure 8.30A)

*Inmate states, ie. inmate population statistics.

8.31.2.21. Management Information Systems (MIS) - Staffing Profile (refer Annexure 8.30B)

*Staffing profile - Statistical data relative to staff attached to the Centre.

8.31.2.22. Management Information Systems (MIS) - Overtime Status (refer Annexure 8.30C)

*Overtime status (under/over budget), leave trends etc.

8.31.2.23. Security - Centre - General Manager's attestation (refer Annexure 8.31)

This form facilitates the provision of an attestation by the outgoing General Manager to the incoming General Manager relative to the physical security of the centre. While this annexure would take note of the position taken by the Manager Security, the outgoing General Manager should take this opportunity make notes (in the comments section) on issues and concerns that, in his/her opinion, need to be passed on to the incoming General Manager.

In addition, this form is also to be used to attest to the handing over of all keys, pagers etc. by the outgoing General Manager, and to the deletion/negation of his/her electronic access to centre property.

8.31.2.24. Security - Centre - Manager Security's attestation (refer Annexure 8.31A)

The Manager Security is required to attest in this form, his/her opinion of the general security status of the centre. While it would be natural for there to be some degree of reluctance to give a high security centre an 'excellent' rating for fear of being proved wrong should some incident occur, this should not be the case in practice. This document is not designed to be more than a simple statement regarding the current position, as the Manager Security believes it to be.

For this reason, it is important that any issue or concern, which could or does impact on the centre's security, should be documented in the 'Comments' section of the form. Comments could include such issues as instances of escape, self-harm, assault, trafficking- contraband and drugs, etc.

8.31.2.25. Security - Information systems (refer Annexure 8.31B)

This form is predicated on the General Manager assigning an officer in the centre to take responsibility for the security of information systems. The responsible officer would not be responsible for security controls, which may be either missing from, or built into, central operating systems. The form is designed to take account of local systems of control over the security of information systems.

In addition, this form is also to be used to attest to the steps taken to remove the outgoing General Manager's local computer access.

8.31.2.26. Security - Keys (refer Annexure 8.31C)

The issue of security of the centre's keys is of obvious and major importance. This form is designed to give a reasonable degree of assurance that a system of control exists over keys and that compliance is given to controls.

In relation to the first attestation, centres should have a physically secure area in which to store keys. This area should be in accordance with any current policy or procedures.

In relation to the second attestation, the system of control over stored keys should be capable of singularly identifying whoever accesses the storage area and during what period of time the access was made e.g. during normal daylight hours, a particular officer may have responsibility for all stored keys. After these hours, the storage area would be secured and the responsible officer would not be at the centre to give access. A system of access could include having a duplicate key to the key storage area, sealed in an envelope stored in a safe in another location, to which the Night Senior has access. Any instances of emergency access to the key storage area would involve the Night Senior breaking the sealed envelope and obtaining the key. Details of this would be recorded in the Night Senior's Log. When the normal responsible officer resumes duty, a check of all stored keys would need to be conducted and the spare access key re-sealed in an envelope in the relevant safe.

In relation to the third attestation, it is implied that a register is maintained of all keys kept in storage, and all keys issued. As keys are commonly issued to a Post, it is sufficient to note, in the key register, a generic list of which keys are on which Post key ring.

In relation to the fourth attestation, the key register should contain evidence of regular key checks and the results of those checks, i.e. checking officer, date, keys missing or damaged, and relevant reports to the General Manager to facilitate action regarding discrepancies.

8.31.2.27. Armoury (refer Annexure 8.32)

In this form, various attestations are requested concerning the status of the armoury's weapons assets, security etc.

The opportunity should also be taken to record in the 'Comments' section, any issues or concerns that are held concerning the armoury and its operational readiness.

8.31.2.28. Ongoing and outstanding Capital Works (refer Annexure 8.33)

The outgoing General Manager should use this form to pass on to the incoming governor information concerning capital works which are commenced but incomplete, as well as any capital works which have been authorised but are yet to commence.

The major purpose behind the use of this form is to focus the incoming governor's attention on activities within the centre, which may otherwise not come to his/her attention for some time following the takeover.

8.31.2.29. Programs (refer Annexure 8.34)

As there are numerous programs in operation within centres, and as these programs may vary from centre to centre, this form is designed to facilitate the incoming General Manager in gaining an overview of programs that are specific to his/her new

accountabilities. It is important that a certification is made that all part time employees are operating under current contracts.

The Manager Programs should give as much detail in the 'Comments' section as is necessary to bring important issues to the attention of the new General Manager.

8.31.2.30. Corrective Services Industries (refer Annexure 8.35)

Details of Corrective Services Industries activities within the centre should be listed. Comments should be made concerning the impact normal centre activities have on Industries.

8.31.2.31. Community Consultative Committee (refer Annexure 8.35A)

This form is designed to provide the incoming General Manager with:

- information concerning the membership, meeting arrangements and agenda format of the Community Consultative Committee.
- Information concerning community contact persons.

8.31.2.32. Periodic Detention Centre (refer Annexure 8.35B)

The Officers in charge of PDCs attached to the centre, should complete this form and include comments on any matters on which it is felt the incoming General Manager should be briefed.

REVIEW DATE	June 2004	REVIEW DATE	June 2008
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