

# **AUDITOR-GENERAL'S REPORT**

## **PERFORMANCE AUDIT**

### **Follow-up of Performance Audits: NSW Police**

**Enforcement of Street Parking (1999)  
Staff Rostering, Tasking and Allocation (2000)**

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## **Foreword**

Periodically we review the extent to which agencies have implemented the recommendations they accepted from our earlier audits. (I reported in September this year on the extent to which the Office of the Protective Commissioner, Office of the Public Guardian and the Department of State and Regional Development implemented the recommendations they accepted from our earlier audits.)

In this follow-up audit, we examine changes following two reports on NSW Police:

- enforcement of street parking (November 1999)
- staff rostering, tasking and allocation (January 2000)

NSW Police accepted all the recommendations in those earlier reports. Some changes have been made, however there are still matters raised in the 2000 report that need to be addressed.

Where agencies accept our recommendations, there is an expectation that they will implement the recommendations in a timely manner. Unless that is done, the value of our recommendations, and the agencies' ability to improve on their performance, may diminish.

R J Sendt  
Auditor-General

December 2003



## **Enforcement of Street Parking (1999)**

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## NSW Police

### Audit opinion

Progress has been made to address the issues raised in our 1999 audit report on the enforcement of street parking.

The major achievement has been the transfer of primary responsibility for the enforcement of street parking from NSW Police to local councils in 2002.

There is, however, one recommendation that has not been advanced to the extent we believe is warranted. Legislation needs to be reviewed in respect of multiple infringements, penalty structures and fine strategies for drivers from overseas.

### Background

On-street parking regulations are intended to enhance road safety and the flow of traffic, as well as provide equitable access to parking spaces.

Historically, the enforcement of street parking has been undertaken by both police officers and parking patrol officers employed by NSW Police.

Legislation was changed in 1992 to allow NSW Police to authorise local councils to enforce street parking laws in areas not patrolled by parking patrol officers. In 1998, 47 councils were authorised to undertake this function.

All parking infringements are processed by the Infringement Processing Bureau (IPB). Fines can only be paid to IPB and IPB is responsible for instituting recovery action.

In October 2003, IPB was transferred from NSW Police to the Office of State Revenue.

### The 1999 audit

#### 1999 audit

The 1999 audit examined the efficiency and effectiveness of the enforcement of street parking by NSW Police. The audit focussed on:

- the adequacy of guidelines on enforcement
- arrangements for enforcing the law
- management of the function.

## Findings

**1999 audit findings** Overall, the 1999 audit found that arrangements for enforcing street parking were not as efficient and effective as they could be and should be reviewed.

Although new technology and communication devices were available, they were not being used by NSW Police to improve parking officer efficiency.

The audit found that there was no measures of success of enforcement activities, and limited monitoring of compliance with the law.

The 1999 audit also found some parking laws were unclear and therefore subject to interpretation by motorists and parking officers. The audit recommended a review of legislation particularly in relation to issuing multiple infringements, penalty structures and fine strategies for overseas drivers.

## Status of the implementation of recommendations

All four recommendations were accepted by NSW Police and substantial changes have occurred since the 1999 audit.

The 1999 audit found that in other jurisdictions, council employees were responsible for enforcing parking regulations rather than police and recommended the Government review current arrangements.

In response, the Government transferred to local councils primary responsibility for the:

- enforcement of laws that create parking offences
- issue of penalty notices in respect of parking offences.

Other changes that have occurred since our 1999 audit are outlined in Appendix 1.

Table 1 provides an overview of the status of recommendations, followed by a more detailed analysis of action taken in respect of these recommendations.

Some of the recommendations from the 1999 audit are no longer applicable to NSW Police following the transfer of the function to councils.

It should be noted that the Audit Office has no jurisdiction to conduct audits in local government.

For the remaining recommendations, most have been actioned although there is one matter that remains outstanding and, in our opinion, should be addressed.

| <b>Table 1: Status of the implementation of recommendations</b>                   |   |  |
|---|---|--|
| <b>Recommendation</b>   | <b>Status</b>                                   | <b>Changes in practice</b>   |
| Government to initiate a review of enforcement arrangements                       | Implemented                                     | Enforcement arrangements were reviewed. Primary responsibility for parking enforcement transferred to local councils in 2002.  |
| Police Service (and councils where applicable) to review enforcement arrangements | Some matters no longer applicable to NSW Police | IPB implemented a new system and procedures for processing infringements and alternate payment methods were introduced.  |
| Legislative changes to improve the deterrent factor                               | Not implemented                                 | The law has not been reviewed in regard to issuing multiple infringements, changes to penalty structures and alternate fine strategies for overseas drivers.                                   |
| Improve driver awareness and understanding of the law                             | Partially implemented                           | Roads and Traffic Authority (RTA) has run public awareness campaigns when road rules have changed.<br><br>The Road Users Handbook has not been amended to provide clearer guidance on the law. |

**Review of outcomes**

NSW Police has not conducted a review to assess if the transfer of the function to councils has improved the efficiency and effectiveness of parking enforcement.

**The review of arrangements for parking enforcement**

The 1999 audit found that the allocation of responsibilities between NSW Police and councils for the enforcement of street parking were not always clear or resulted in the most efficient, effective and economical outcome.

In late 2000, following consideration of the audit recommendations, the Government announced the transfer of responsibility for street parking enforcement to councils.

The Government considered councils more capable of achieving the parking enforcement objectives of enhanced road safety and traffic flow and equitable access to parking spaces than NSW Police. The transfer was to take effect from 1 July 2001.

NSW Police established an interdepartmental committee to facilitate the transfer. The transfer was subject to the completion of legislative amendments and agreement with councils on the employment of parking patrol officers and revenue sharing arrangements.

### **Revenue sharing**

The transfer of parking enforcement to councils would have the effect of reducing State revenue by approximately \$30 million per annum. In response, the Government amended the *Local Government Act* to establish revenue sharing arrangements with the three councils expected to benefit most from the transfer.

Deeds of agreement were entered into with the City of Sydney, the City of South Sydney, and North Sydney Councils. These deeds allowed for money received through the issuing of parking penalties and fines to be apportioned between these councils and the State.

All other councils were allowed to retain revenues from enforcing parking offences.

### **Transfer conditions**

It was proposed to transfer the function to only those councils that agreed to:

- offer employment to parking patrol officers employed in their areas
- the IPB processing all infringements for the first five years.

In April 2002, councils accepted these conditions and legislative changes to allow the transfer of the function to councils took effect from 1 July 2002.

Since 1 July 2002, council employees have issued the majority of parking infringements (over 90 per cent) compared to around 80 per cent of infringements issued by NSW Police in 1997-98.

### **Improving the economy, efficiency and effectiveness of parking enforcement**

The 1999 audit found that practices in NSW to enforce street parking laws were at odds with practices in other jurisdictions where enforcement is undertaken by council employees.

Nevertheless, the audit recommended that NSW Police could improve enforcement outcomes through better monitoring and management of the function. Better performance measurement, better use of technology, more guidance to staff on parking law and more options for paying penalties were recommended.

|                                 |  |
|---------------------------------|--|
| <b>Performance measurement</b>  | <p>The 1999 audit found that NSW Police did not routinely monitor the enforcement of street parking.</p> <p>Following the transfer of the function to councils, NSW Police do not monitor or report on the performance of councils or police in enforcing parking even though data is available from IPB.</p>  |
| <b>Guidance on the law</b>      | <p>IPB provided training to council employees on issuing infringement notices and dealing with customers following the transfer.</p>   |
| <b>Better use of technology</b> | <p>Neither NSW Police or councils have introduced handheld technology for recording and issuing parking infringement notices.</p>  |
| <b>Prompt payment of fines</b>  | <p>Parking fines can only be paid directly to IPB, not councils or NSW Police. Before July 2000, payments could only be made by posting a cheque, money order or credit card details to IPB or paid over the counter at the Parramatta office.</p> <p>From July 2000, internet and telephone payment facilities were established allowing payments to be made 24 hours a day.</p> <p>These changes have not been assessed for impact on payment rates.</p>   |
| <b>Processing fines</b>         | <p>Since the 1999 audit, IPB has implemented new systems to process infringements for offences including parking.</p> <p>System changes and the relocation of IPB to Maitland in 2002 have reportedly led to significant delays in IPB collecting fines for its clients.</p> <p>In August 2003, the NSW Treasurer reported that approximately \$32 million in revenue owed to the State Government, local councils and other bodies had been lost as a result of IPB's failure to collect fines within the six month statute of limitations.<sup>1</sup></p> <p>Legislation has since been amended to extend the statute of limitations to twelve months. In October 2003, IPB was transferred from NSW Police to the Office of State Revenue.</p> |

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<sup>1</sup> Press release from the Treasurer of NSW dated 28 August 2003.

### **Improving the deterrent effect of parking laws**

The 1999 audit found that:

- the law prevents the issue of multiple infringements for the same offence on the same day
- the introduction of a sliding scale of penalties would allow potentially dangerous parking offences to carry a larger fine
- 6,862 infringements were waived in 1997-98 for parking and traffic offences by non-Australian residents, including overseas visitors.

These arrangements differ to what occurs in other jurisdictions. The 1999 audit recommended that NSW Police review the law to address the issue of multiple infringements, alternate penalty structures and fine strategies for overseas drivers.

#### **Review of legislation**

NSW Police reports that the legislation has not been reviewed to address these issues.

Since the RTA is responsible for administering the legislation, NSW Police should have pursued this recommendation in consultation with the RTA.

We have now referred this recommendation to the RTA for its consideration.

### **Improving driver awareness and understanding of the law**

The 1999 audit recommended that in order to improve driver awareness and understanding of the law relating to parking, the Road Users Handbook be amended to provide clearer guidance on parking restrictions and limitations and that action be taken to improve public awareness.

While the implementation of this recommendation is within the ambit of the RTA, the recommendation was not specifically brought to the attention of the RTA by the Audit Office in 1999.

We have also referred this recommendation to the RTA for its consideration.

#### **Education campaigns**

In the meantime, the RTA reports that public awareness campaigns have been conducted following changes in road or parking laws.

The first campaign followed the introduction of the Australian Road Rules in 1999. The campaign included media advertising and letterbox drops. The RTA reports that 77 per cent of respondents to a survey to test the effectiveness of the campaign indicated they were aware of the changes.

When the No Standing rule was eliminated and No Parking and No Stopping rules were changed, the RTA campaign included flyers and road signs. A booklet outlining the changes in parking rules was made available to the public through the RTA and distributed directly to courier companies.

### **Monitoring the implementation of recommendations**

#### **Monitoring and reporting on implementation**

The NSW Police Audit Committee (formally the Business Risk Committee) is responsible for monitoring the implementation of recommendations arising from performance audits.

While the 1999 audit was referred to the Committee, no action was taken regarding the implementation of recommendations after street parking enforcement was transferred to councils.

#### **Public reporting**

There was no reference to the audit in the NSW Police Annual Report that followed the audit or subsequent annual reports.

## Response from NSW Police

*I refer to your letter, dated 7 November 2003, inviting a formal response to your follow up report.*

*It is pleasing to observe that your follow up audit report observes that progress has been made to address the issues raised in your initial report. As your report recognizes, the major achievement in this regard has been the transfer of primary responsibility for the enforcement of street parking from New South Wales Police to Local Councils in 2002.*

*I note that the only recommendation that the Audit Office considers has not been advanced to the extent that is warranted is the recommendation with regard to the review of legislation in respect of multiple infringements, penalty structures and fine strategies for drivers from overseas. The report suggests that New South Wales Police should have pursued this recommendation in consultation with the RTA. I am aware that this issue was the subject of a Cabinet Decision on 27 November 2000. The Cabinet apparently accepted recommendations of the Inter-Departmental Committee For Enforcement of On-Street Parking that the appropriate portfolio, in this case the RTA, review the relevant legislation. As you may be aware the RTA were represented on the Inter-Departmental Committee. Accordingly, it is considered that there was no requirement for New South Wales Police to pursue this recommendation.*

*(signed)*

*K E Moroney APM  
Commissioner*

*Dated: 27 November 2003*



## **Staff Rostering, Tasking and Allocation (2000)**

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## **NSW Police**

### **Audit opinion**

**Proactive, high visibility policing is an important crime prevention strategy. Rostering and tasking systems and flexible staff allocation practices are critical to the successful deployment of officers to proactive policing.**

**Our 2000 audit found that NSW Police could maximise the impact of proactive policing through intelligence based tasking and rostering. To achieve this, improvements were needed to information systems.**

**NSW Police accepted all the recommendations for improvement in the 2000 audit but the progress with implementation has been rather limited.**

**So far, a service wide rostering system has been introduced along with a system to allocate and record proactive tasks. However, neither system interfaces with intelligence databases.**

**In addition, NSW Police has not addressed the issue of what activities constitute proactive policing preventing regional comparisons or the evaluation of impacts.**

**NSW Police has not adequately monitored the implementation of these recommendations. In our opinion, most of the issues raised in the 2000 report still need to be addressed.**

**In view of this, we propose to conduct a further follow-up audit of these matters in 2004-05.**

### **Background**

At the time of the 2000 audit, the aim for Local Area Commands (LACs) was to reduce crime in their area to 1996 levels and below. To achieve this, LACs needed to implement crime prevention strategies, undertake more proactive high-visibility policing and gain improved support from information systems.

### **The 2000 Audit**

The 2000 audit examined the efficiency and effectiveness of staff rostering, tasking and allocation systems and practices at metropolitan LACs.

## Findings

**2000 audit findings** Our 2000 audit found that information systems did not adequately support intelligence-based rostering and tasking by LACs.

In addition, proactive policing was not clearly defined and interpreted differently by LACs, preventing service-wide measurement and analysis of impacts.

At the time of the 2000 audit, NSW Police was planning a wide range of information technology initiatives to improve the use of intelligence data in deciding the most effective ways to deploy police.

These initiatives included:

- an Enterprise Data Warehouse (EDW) that would act as a central repository of police data to support the measurement and assessment of police activities
- a corporate rostering system to replace manual processes and PC based systems
- enhancements to the Computerised Operational Policing System (COPS) and the Computer Incidence Despatch System (CIDS) to allow the transfer of data between systems and capture data on proactive policing
- an activity based management system to assess the cost of policing.

Our 2000 audit concluded these enhancements would help NSW Police better target proactive, high visibility policing, and improve the overall efficiency and effectiveness of crime reduction strategies.

## Status of the implementation of recommendations

NSW Police accepted all five recommendations from the 2000 audit. However none of the recommendations have been fully implemented.

A summary of the status of recommendations is provided in Table 2.

| <b>Table 2: Status of the implementation of recommendations</b>   |                       |   |
|---|-----------------------|---|
| <b>Recommendation</b>   | <b>Status</b>         | <b>Changes in practice</b>  |
| <p>Better co-ordinate current initiatives to expand the recording and assessment of proactive policing through:</p> <ul style="list-style-type: none"> <li>▪ improving tasking and rostering practices</li> <li>▪ employing roster officers</li> <li>▪ enhancing COPS/CIDS</li> <li>▪ introducing an activity-based management system</li> <li>▪ defining proactive policing</li> </ul> | Partially implemented | <p>Some change.</p> <p>Proactive tasks are allocated to police using the iTask system. ITask also records these activities.</p> <p>Phase 1 of the Smart Rostering System was implemented in 2001.</p> <p>Roster officer positions were created however not all positions have been filled by civilians.</p> <p>Some enhancements to COPS/CIDS implemented.</p> <p>An activity based management system has not been implemented.</p> <p>No change.</p> |
| Evaluate the benefits of corporate systems to support tasking.  | Partially implemented | <p>Some change.</p> <p>The iTask system was implemented service wide.</p>   |
| Assess options to replace the concept of authorised strength with a more flexible approach to release police from support roles.  | Not implemented       | No change.  |
| Undertake a review of the benefits of civilianisation.  | Partially implemented | NSW Police reports that a review of the civilianisation program has commenced.  |
| Further examine opportunities to deploy police from shopfront stations supported by larger stations.  | Partially implemented | <p>Some change.</p> <p>NSW Police reports that flexible deployment of police occurs within regional boundaries.</p>   |

### **Better coordinate initiatives to record and assess proactive policing**

The intent of this recommendation was to establish rostering and tasking systems to improve the efficiency and effectiveness of police deployment to proactive duties using intelligence data.

NSW Police advises that since the audit, the Crime Management Support Unit was established to assist LACs to evaluate the impact of proactive, high visibility policing on crime and to improve the effective use of resources.

#### **Recording proactive policing**

In the current audit we found that NSW Police has not progressed all of the information system improvements that were planned in 2000.

NSW Police has implemented a service-wide tasking system (iTask) which allocates tasks and captures time spent on proactive, high visibility policing.

However, NSW Police has not addressed the issue of what activities constitute proactive policing preventing regional comparisons or the evaluation of impacts.

#### **Enterprise Data Warehouse**

An Enterprise Data Warehouse (EDW) was implemented in January 2000. EDW allows police to retrieve data from various systems including COPS, CIDS and human resource systems.

The EDW assists decision-making by allowing data to be extracted more easily for analysis of crime trends and tasking needs.

#### **Smart Rostering System**

Phase one of the Smart Rostering System (SRS) was introduced in April 2001. The system creates rosters, records time worked including overtime and records leave taken.

NSW Police reports a number of problems with the SRS such as:

- it no longer has vendor support
- the system is not networked to other Police systems or the EDW
- the system is inefficient. Data must be entered twice, initially to prepare a draft roster and finally in the SRS
- compliance with Award conditions must be checked manually.

In addition, the implementation of Phase 2 of the SRS did not proceed. Phase 2 was to integrate an intelligence-based demand module into the roster system.

NSW Police is now planning to replace the SRS by December 2004 at a cost of \$2.78 million. The new system should interface with existing financial systems and tasking so that data can be exchanged between rosters and iTask.

NSW Police also plans to install a demand module as part of the new roster system, as originally planned for SRS Phase 2.

**COPS/CIDS  
enhancement  
project**

COPS and CIDS were enhanced to allow incidents such as an arrest or a fine resulting from proactive policing duties to be captured in COPS. However, further enhancements to extend the range of standard COPS incidents to allow proactive policing activities to be captured such as a visit to a licensed premise, has not progressed.

NSW Police reports that these matters should be addressed by the new COPS system to be implemented by 2005 making further enhancements to the current system unlikely.

**Activity based  
management  
systems**

NSW Police reported that activity based costing was to be introduced in 2000 to provide better information on whether resources were deployed efficiently and effectively.

The system was not implemented.

Without this information, it is not possible to calculate the cost of activities or the cost effectiveness of crime prevention strategies.

NSW Police advises that an activity based costing system will be included as part of the new rostering system.

**Evaluate the benefits to be derived from the  
development of corporate tasking systems**

The 2000 audit found similarities in tasking practices in various LACs that would support the development of a service-wide tasking system.

**iTask**

NSW Police introduced an intranet-based tasking and allocation system (iTask) in July 2002.

Most LACs now use iTask. Intelligence officers or supervisors create and allocate proactive duties and general tasks to police crews using iTask.

Some of the benefits of iTask reported by NSW Police include the ability to capture high visibility policing activities, and track changes in crime as a result of these activities.

However, no rules or definitions were developed as part of the implementation of iTask and, as a result, not all LACs currently use iTask, or use it in the same way.

## **Assess options to replace the concept of authorised strength**

Prior to 1997, each police patrol was allocated an authorised strength which specified the number of positions of general duties officers, detectives etc to be employed.

The limitations of this approach on effective resource deployment were raised in the report on the Royal Commission into NSW Police. Following this, Section 9 of the *Police Act 1990* that provided the basis for authorised strength was repealed.

Our 2000 audit found that authorised strength continued in practice.

There has been no change since 2000 in resource allocation practices with funding for police officers still treated as a protected amount and therefore not available for civilian salaries.

## **Reviewing the benefits of civilianisation**

The 2000 audit reported that the employment of civilians in support positions occupied by police officers would release officers to frontline duties and possibly proactive policing.

The Government announced in 1999 that 470 police would be released to frontline policing duties through the employment of 350 civilians to undertake clerical and administrative duties. This program was to be completed by June 2003.

### **Extent of civilianisation**

NSW Police reports that so far 347 civilians have been employed and 298 police have been deployed to the frontline.

NSW Police reports that a review of the outcomes of the civilianisation program has now commenced.

### **Roster officers**

As part of the civilianisation program, NSW Police decided in 1999-2000 to employ civilians as roster officers freeing up police for frontline duties.

In the 2003 audit we found that:

- not all roster officer positions are filled by civilians
- NSW Police can not provide details of the number of roster officer positions still held by police.

It may be possible for additional police to be released to frontline duties if all roster officer positions were civilianised as planned.

### **Examine possibilities for the flexible deployment of police**

The 2000 audit found the increasing use of shopfronts or police stations operating for less than 24 hours per day would release more officers for patrol duties.

#### **New Regional Commands**

In 2002, eleven regional commands were amalgamated into five. NSW Police reports that some police were released from administrative roles to operational duties as regional offices were closed.

#### **Future plans**

NSW Police advises that a review of how policing services will be delivered in the future, including reviewing the approach to frontline policing, support services, technology and infrastructure has commenced. NSW Police reports that the review is to be completed by late 2003.

### **Monitoring the implementation of recommendations**

#### **Monitoring and reporting on progress**

The NSW Police Audit Committee (formally the Business Risk Committee) is responsible for monitoring the implementation of recommendations arising from performance audits.

For the 2000 audit, an internal steering committee was established to oversight the implementation of the recommendations and report progress.

However, there is no record of the committee meeting and no reports on progress.

#### **Public reporting**

A statement regarding the fact that a performance audit was conducted was included in the NSW Police Annual Report for 2000. However, there were no details provided on the implementation of recommendations.

#### **Overall finding**

NSW Police did not have an effective monitoring and reporting mechanism in place to track the implementation of the recommendations arising from this performance audit.

This was further evidenced by the fact that there were extensive delays in providing relevant documents and reports to the audit team.

NSW Police needs to establish procedures to monitor and report on the implementation of audit recommendations as a matter of urgency.

#### **Further reviews**

Since many of the recommendations have only recently been addressed by NSW Police, we propose to conduct a further follow-up audit on this report in 2004-05.

## Response from NSW Police

*I refer to your letter, dated 7 November 2003, inviting a formal response to your follow up report. As is indicated in your letter, I am aware that extensive consultation between your Office and the NSW Police has occurred in relation to the content of the report. With respect to the particular issues raised in your report the NSW Police wish to make the following observations.*

*Your comments with respect to recommendation one are noted. Various changes have been implemented. Processes are currently being developed and implemented within the NSW Police to address the issues raised in your report. Various changes have already been implemented. Various technology difficulties, beyond the control of the organisation, have limited the capacity of NSW Police to implement the recommendations in your initial report that were accepted. It is felt that sufficient attention has been paid to the issues raised in the report of the Audit Office of NSW by way of implementation of the Integrated Crime Management Model, continued review and evaluation of tasking practices at Operational Crime Reviews, Audits and by the Crime Management Support Unit. Since your first report, Operational Commands ability to deploy staff according to crime trends and statistics to proactively address crime and crime issues through a variety of crime prevention strategies has been significantly enhanced.*

*As you are also aware NSW Police is now in the process of replacing the current COPS system. It is considered that it would be fiscally irresponsible to unnecessarily expend further significant resources on enhancements to the current COPS system in the light of proposed significant expenditure on COPS2.*

*Your second recommendation recommended that NSW Police, "Evaluate the benefits of developing corporate systems to support tasking practices". Your report observes that there has been change since your initial report in 2000. NSW Police has made a significant commitment to the development and implementation of the iTask system. Your comments with respect to the inadequacy of rules and definitions developed as part of the implementation of iTask are noted and will be considered in the ongoing development process.*

*The third recommendation in your report deals with the assessment of options to replace the concept of an "Authorized strength of police officer positions with a more flexible approach to release police officers from support duties". While NSW Police accepted the recommendation in your initial report and continues to support the release of police from support duties. However, the Audit Office Report implication that police salaries should be diverted to civilian salaries is contrary to Government Policy. Additional funding for unsworn positions is provided, when appropriate for new enhancement proposals. The civilianisation program provided for additional unsworn positions to release police back to the beat. This program ran for 4 years and concluded in 2002/2003.*

*Your fourth recommendation involves the undertaking of a review of the benefits of civilianisation. It is considered that NSW Police has substantially implemented this recommendation in terms of filling positions and reviewing the process of doing so. Your report identifies that unsworn staff have been employed and police have been released to operational duties. NSW Police has substantially fulfilled the commitment made to employ 350 civilians by June 2003. Only 3 positions remain unfilled due to difficulties associated with recruitment to remote locations. It is expected that unsworn staff will occupy the remaining positions within the next two months.*

*It is agreed that roster positions are still filled by sworn officers. This fact needs to be seen in the context of the development of the Restricted Duties Policy that commenced in November 2002. The revised policy makes utilization of non-operational police mandatory within every command in the NSW Police. Positions such as the Roster Officer are the type of position best suited to place police on restricted duties. This policy developed in the context of a Ministerial Inquiry and was in part a reaction to the loss of valuable employees who could no longer meet full operational requirements. It is important to balance the effects and importance of these two complementary policies. In the light of this policy change it would now be inappropriate to fully adopt the initial recommendation.*

*It is noted that the Human Resource Command is in the process of conducting a thorough review of the civilianisation process. Initial results of a Survey in this regard were, I understand, provided to your Office.*

*Recommendation 5 dealt with the further examination of opportunities to deploy police from "shop front" stations supported by larger stations. I note the discussion in the original Report addressed this issue in the context of the closure and rationalisation of police stations, including the greater use of "shop fronts". You may be aware of Police Minister's statements that closure of police stations is not on the Government's agenda. As this is a matter of Government policy it would be inappropriate to adopt the recommendation.*

*However, as you acknowledge in your report, gains have been achieved in the release of police from administrative roles through the amalgamation of 11 to 5 Region Offices in 2002. This followed trials of different service methodologies and the amalgamation of management, administration, service delivery points and scarce resources throughout the 2000 Sydney Olympics. The introduction of a 'Shared Services' model in 2002 has further provided rationalization of the administrative functions and personnel utilized in the performance of these functions. NSW Police is committed to the identification and development of strategies to maximize resources deployment benefits.*

*With respect to the comments of the Audit Office with regard to, "Monitoring the implementation of recommendations" it might be observed that since 2000 the NSW Police has experienced great change in terms of both Executive structure and Executive composition. The very way in which NSW Police manages co-ordinated improvement across all units within the organization has also been the subject of significant change during this period. It is conceded that the consideration and possible implementation of the recommendation identified in this report could have been better addressed. It is believed that action now being taken will lead to better co-ordination in the future.*

*(signed)*

*K E Moroney APM  
Commissioner*

*Dated: 27 November 2003*



## Appendices

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## **Appendix 1: Summary of changes to street parking enforcement since the 1999 Audit**

- December 1999** The *Traffic Act 1909* and its regulations repealed by the *Road Transport Legislation Amendment Act 1999*. This Act provided the necessary framework to allow the Australian Road Rules to be adopted.
- The Australian Road Rules are a uniform set of road rules to be applied in each state. Introduction of the Australian Road Rules in NSW resulted in few changes for motorists.
- In relation to parking, the Australian Road Rules led to the removal of No Standing offences and changes to No Stopping and No Parking limits.
- December 2000** Government decision to transfer primary responsibility for enforcing street parking from NSW Police to local councils. The transfer was to be effective from 1 July 2001.
- An inter-departmental committee was established to negotiate terms of transfer with local government. The transfer was subject to the completion of legislative amendments and agreement with councils on the employment of parking officers and revenue sharing arrangements.
- July 2001** Transfer of responsibility to local councils delayed.
- April 2002** Councils accepted the conditions of transfer and agreed to the Infringement Processing Bureau processing all parking infringements for a period of five years.
- 1 July 2002** Regulations introduced to authorise council employees to issue penalty notices for parking offences within their council area.
- 15 July 2002** *Local Government Act* amended to allow revenue sharing arrangements between the State Government and the three councils expected to gain the greatest financial benefit from the transfer.
- NSW Police, on behalf of the Government, entered into revenue sharing arrangements with the City of Sydney Council, North Sydney Council, and South Sydney City Council.
- 22 July 2002** Local councils assume primary responsibility for the enforcement of street parking laws.

**Appendix 2:        Audit scope and objectives**

|                          |  |
|--------------------------|--|
| <b>Audit scope</b>       | <p>In this follow-up performance audit we examined the extent to which accepted recommendations from the following reports had been implemented by NSW Police:</p> <ul style="list-style-type: none"><li>▪ <i>Enforcement of Street Parking</i> (November 1999)</li><li>▪ <i>Staff Rostering, Tasking and Allocation</i> (January 2000).</li></ul> <p>We judged changes in practice or performance based on whether:</p> <ul style="list-style-type: none"><li>▪ the agency had assessed the impact of the recommendations, determined the course of action, and implemented accepted recommendations</li><li>▪ the implementation plan was monitored and progress reported (eg, through an Audit Committee or other monitoring mechanisms)</li><li>▪ the agency had reported its progress in subsequent annual reports.</li></ul> |
| <b>Cost of the audit</b> | <p>The audit cost was \$118,000 which includes printing costs of around \$6,000.</p>   |
| <b>Acknowledgement</b>   | <p>The Audit Office gratefully acknowledges the cooperation and assistance provided by representatives of NSW Police.</p>  |
| <b>Audit Team</b>        | <p>Jane Tebbatt and Sandra Tomasi</p>  |



## **Performance Audits by the Audit Office of New South Wales**

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## Performance Auditing

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### What are performance audits?

Performance audits are reviews designed to determine how efficiently and effectively an agency is carrying out its functions.

Performance audits may review a government program, all or part of a government agency or consider particular issues which affect the whole public sector.

Where appropriate, performance audits make recommendations for improvements relating to those functions.

### Why do we conduct performance audits?

Performance audits provide independent assurance to Parliament and the public that government funds are being spent efficiently and effectively, and in accordance with the law.

They seek to improve the efficiency and effectiveness of government agencies and ensure that the community receives value for money from government services.

Performance audits also assist the accountability process by holding agencies accountable for their performance.

### What is the legislative basis for Performance Audits?

The legislative basis for performance audits is contained within the *Public Finance and Audit Act 1983, Part 3 Division 2A*, (the Act) which differentiates such work from the Office's financial statements audit function.

Performance audits are not entitled to question the merits of policy objectives of the Government.

### Who conducts performance audits?

Performance audits are conducted by specialist performance auditors who are drawn from a wide range of professional disciplines.

### How do we choose our topics?

Topics for performance audits are chosen from a variety of sources including:

- our own research on emerging issues
- suggestions from Parliamentarians, agency Chief Executive Officers (CEO) and members of the public
- complaints about waste of public money
- referrals from Parliament.

Each potential audit topic is considered and evaluated in terms of possible benefits including cost savings, impact and improvements in public administration.

The Audit Office has no jurisdiction over local government and cannot review issues relating to council activities.

If you wish to find out what performance audits are currently in progress just visit our website at [www.audit@nsw.gov.au](http://www.audit@nsw.gov.au).

### How do we conduct performance audits?

Performance audits are conducted in compliance with relevant Australian standards for performance auditing and operate under a quality management system certified under international quality standard ISO 9001.

Our policy is to conduct these audits on a "no surprise" basis.

Operational managers, and where necessary executive officers, are informed of the progress with the audit on a continuous basis.

### **What are the phases in performance auditing?**

Performance audits have three key phases: planning, fieldwork and report writing.

During the planning phase, the audit team will develop audit criteria and define the audit field work.

At the completion of field work an exit interview is held with agency management to discuss all significant matters arising out of the audit. The basis for the exit interview is generally a draft performance audit report.

The exit interview serves to ensure that facts presented in the report are accurate and that recommendations are appropriate. Following the exit interview, a formal draft report is provided to the CEO for comment. The relevant Minister is also provided with a copy of the draft report. The final report, which is tabled in Parliament, includes any comment made by the CEO on the conclusion and the recommendations of the audit.

Depending on the scope of an audit, performance audits can take from several months to a year to complete.

Copies of our performance audit reports can be obtained from our website or by contacting our publications unit.

### **How do we measure an agency's performance?**

During the planning stage of an audit the team develops the audit criteria. These are standards of performance against which an agency is assessed. Criteria may be based on government targets or benchmarks, comparative data, published guidelines, agencies corporate objectives or examples of best practice.

Performance audits look at:

- processes
- results
- costs
- due process and accountability.

### **Do we check to see if recommendations have been implemented?**

Every few years we conduct a follow-up audit of past performance audit reports. These follow-up audits look at the extent to which recommendations have been implemented and whether problems have been addressed.

The Public Accounts Committee (PAC) may also conduct reviews or hold inquiries into matters raised in performance audit reports. Agencies are also required to report actions taken against each recommendation in their annual report.

To assist agencies to monitor and report on the implementation of recommendations, the Audit Office has prepared a Guide for that purpose. The Guide, *Monitoring and Reporting on Performance Audits Recommendations*, is on the Internet at [www.audit.nsw.gov.au/guides-bp/bpglist.htm](http://www.audit.nsw.gov.au/guides-bp/bpglist.htm)

### **Who audits the auditors?**

Our performance audits are subject to internal and external quality reviews against relevant Australian and international standards. This includes ongoing independent certification of our ISO 9001 quality management system.

The PAC is also responsible for overseeing the activities of the Audit Office and conducts reviews of our operations every three years.

### **Who pays for performance audits?**

No fee is charged for performance audits. Our performance audit services are funded by the NSW Parliament and from internal sources.

### **For further information relating to performance auditing contact:**

Tom Jambrich  
Assistant Auditor-General  
Performance Audit Branch  
(02) 9285 0051  
email: [tom.jambrich@audit.nsw.gov.au](mailto:tom.jambrich@audit.nsw.gov.au)

## Performance Audit Reports

| No. | Agency or Issue Examined   | Title of Performance Audit Report or Publication   | Date Tabled in Parliament or Published |
|-----|--|--|--|
| 64* | Key Performance Indicators   | <i>Government-wide Framework<br/>Defining and Measuring Performance<br/>(Better practice Principles)<br/>Legal Aid Commission Case Study</i> | 31 August 1999                         |
| 65  | Attorney General's Department  | <i>Management of Court Waiting Times</i>   | 3 September 1999                       |
| 66  | Office of the Protective Commissioner<br>Office of the Public Guardian | <i>Complaints and Review Processes</i>   | 28 September 1999                      |
| 67  | University of Western Sydney   | <i>Administrative Arrangements</i>   | 17 November 1999                       |
| 68  | NSW Police Service   | <i>Enforcement of Street Parking</i>   | 24 November 1999                       |
| 69  | Roads and Traffic Authority of NSW                                     | <i>Planning for Road Maintenance</i>   | 1 December 1999                        |
| 70  | NSW Police Service   | <i>Staff Rostering, Tasking and Allocation</i>   | 31 January 2000                        |
| 71* | Academics' Paid Outside Work   | <i>Administrative Procedures<br/>Protection of Intellectual Property<br/>Minimum Standard Checklists<br/>Better Practice Examples</i>        | 7 February 2000                        |
| 72  | Hospital Emergency Departments   | <i>Delivering Services to Patients</i>   | 15 March 2000                          |
| 73  | Department of Education and Training                                   | <i>Using Computers in Schools for Teaching and Learning</i>  | 7 June 2000                            |
| 74  | Ageing and Disability Department                                       | <i>Group Homes for people with disabilities in NSW</i>   | 27 June 2000                           |
| 75  | NSW Department of Transport  | <i>Management of Road Passenger Transport Regulation</i>   | 6 September 2000                       |
| 76  | Judging Performance from Annual Reports                                | <i>Review of Eight Agencies' Annual Reports</i>  | 29 November 2000                       |
| 77* | Reporting Performance  | <i>Better Practice Guide<br/>A guide to preparing performance information for annual reports</i>   | 29 November 2000                       |
| 78  | State Rail Authority (CityRail)<br>State Transit Authority             | <i>Fare Evasion on Public Transport</i>  | 6 December 2000                        |

| No. | Agency or Issue Examined                            | Title of Performance Audit Report or Publication   | Date Tabled in Parliament or Published |
|-----|---|--|--|
| 79  | TAFE NSW  | <i>Review of Administration</i>  | 6 February 2001                        |
| 80  | Ambulance Service of New South Wales                | <i>Readiness to Respond</i>  | 7 March 2001                           |
| 81  | Department of Housing                               | <i>Maintenance of Public Housing</i>   | 11 April 2001                          |
| 82  | Environment Protection Authority                    | <i>Controlling and Reducing Pollution from Industry</i>  | 18 April 2001                          |
| 83  | Department of Corrective Services                   | <i>NSW Correctional Industries</i>   | 13 June 2001                           |
| 84  | Follow-up of Performance Audits                     | <i>Police Response to Calls for Assistance</i><br><i>The Levying and Collection of Land Tax</i><br><i>Coordination of Bushfire Fighting Activities</i> | 20 June 2001                           |
| 85* | Internal Financial Reporting                        | <i>Internal Financial Reporting including a Better Practice Guide</i>  | 27 June 2001                           |
| 86  | Follow-up of Performance Audits                     | <i>The School Accountability and Improvement Model (May 1999)</i><br><i>The Management of Court Waiting Times (September 1999)</i>                     | 14 September 2001                      |
| 87  | E-government  | <i>Use of the Internet and Related Technologies to Improve Public Sector Performance</i>   | 19 September 2001                      |
| 88* | E-government  | <i>e-ready, e-steady, e-government: e-government readiness assessment guide</i>  | 19 September 2001                      |
| 89  | Intellectual Property                               | <i>Management of Intellectual Property</i>   | 17 October 2001                        |
| 90* | Intellectual Property                               | <i>Better Practice Guide</i><br><i>Management of Intellectual Property</i>   | 17 October 2001                        |
| 91  | University of New South Wales                       | <i>Educational Testing Centre</i>  | 21 November 2001                       |
| 92  | Department of Urban Affairs and Planning            | <i>Environmental Impact Assessment of Major Projects</i>   | 28 November 2001                       |
| 93  | Department of Information Technology and Management | <i>Government Property Register</i>  | 31 January 2002                        |
| 94  | State Debt Recovery Office                          | <i>Collecting Outstanding Fines and Penalties</i>  | 17 April 2002                          |

| No. | Agency or Issue Examined  | Title of Performance Audit Report or Publication              | Date Tabled in Parliament or Published |
|-----|---|---|--|
| 95  | Roads and Traffic Authority   | <i>Managing Environmental Issues</i>                          | 29 April 2002                          |
| 96  | NSW Agriculture   | <i>Managing Animal Disease Emergencies</i>                    | 8 May 2002                             |
| 97  | State Transit Authority<br>Department of Transport  | <i>Bus Maintenance and Bus Contracts</i>                      | 29 May 2002                            |
| 98  | Risk Management   | <i>Managing Risk in the NSW Public Sector</i>                 | 19 June 2002                           |
| 99  | E-government  | <i>User-friendliness of Websites</i>                          | 26 June 2002                           |
| 100 | NSW Police<br>Department of Corrective Services   | <i>Managing Sick Leave</i>                                    | 23 July 2002                           |
| 101 | Department of Land and Water Conservation   | <i>Regulating the Clearing of Native Vegetation</i>           | 20 August 2002                         |
| 102 | E-government  | <i>Electronic Procurement of Hospital Supplies</i>            | 25 September 2002                      |
| 103 | NSW Public Sector   | <i>Outsourcing Information Technology</i>                     | 23 October 2002                        |
| 104 | Ministry for the Arts<br>Department of Community Services<br>Department of Sport and Recreation | <i>Managing Grants</i>  | 4 December 2002                        |
| 105 | Department of Health<br>Including Area Health Services and Hospitals                            | <i>Managing Hospital Waste</i>                                | 10 December 2002                       |
| 106 | State Rail Authority  | <i>CityRail Passenger Security</i>                            | 12 February 2003                       |
| 107 | NSW Agriculture   | <i>Implementing the Ovine Johne's Disease Program</i>         | 26 February 2003                       |
| 108 | Department of Sustainable Natural Resources<br>Environment Protection Authority                 | <i>Protecting Our Rivers</i>                                  | 7 May 2003                             |
| 109 | Department of Education and Training  | <i>Managing Teacher Performance</i>                           | 14 May 2003                            |
| 110 | NSW Police  | <i>The Police Assistance Line</i>                             | 5 June 2003                            |
| 111 | E-Government  | <i>Roads and Traffic Authority Delivering Services Online</i> | 11 June 2003                           |
| 112 | State Rail Authority  | <i>The Millennium Train Project</i>                           | 17 June 2003                           |
| 113 | Sydney Water Corporation  | <i>Northside Storage Tunnel Project</i>                       | 24 July 2003                           |

| No. | Agency or Issue Examined  | Title of Performance Audit Report or Publication   | Date Tabled in Parliament or Published |
|-----|---|--|--|
| 114 | Ministry of Transport<br>Premier's Department<br>Department of Education and Training | <i>Freedom of Information</i>  | 28 August 2003                         |
| 115 | NSW Police<br>NSW Roads and Traffic Authority   | <i>Dealing with Unlicensed and Unregistered Driving</i>  | 4 September 2003                       |
| 116 | NSW Department of Health  | <i>Waiting Times for Elective Surgery in Public Hospitals</i>  | 18 September 2003                      |
| 117 | Follow-up of Performance Audits   | <i>Complaints and Review Processes (September 1999)</i><br><i>Provision of Industry Assistance (December 1998)</i> | 24 September 2003                      |
| 118 | Judging Performance from Annual Reports   | <i>Review of Eight Agencies' Annual Reports</i>  | 1 October 2003                         |
| 119 | Asset Disposal  | <i>Disposal of Sydney Harbour Foreshore Land</i>   | 26 November 2003                       |
| 120 | Follow-up of Performance Audits<br>NSW Police   | <i>Enforcement of Street Parking (1999)</i><br><i>Staff Rostering, Tasking and Allocation (2000)</i>               | December 2003                          |

\* Better Practice Guides

#### Performance Audits on our website

A list of performance audits tabled or published since March 1997, as well as those currently in progress, can be found on our website [www.audit.nsw.gov.au](http://www.audit.nsw.gov.au)

If you have any problems accessing these Reports, or are seeking older Reports, please contact our Governance and Communications Section on 9285 0155.



THE AUDIT OFFICE  
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