

Control of emergency management documents

Authorised by	A/Mgr Emergency Operations	Authorised date	6 Feb 2015
Authorisation period		Effective date	6 Feb 2015

1. Application / Scope

- Emergency management (EM) operations (biosecurity, natural disasters, oil/chemical spills and plague locusts) include preparedness, response and recovery activities which require documents that conform to a standard. Prevention documents are usually for potentially affected stakeholders and are not included in this procedure.
- This procedure is to ensure that documents for all levels of operations centres are registered, authorised, current, archived, regularly reviewed, identifiable and available for use.
- Documents include policies, procedures, forms, templates, risk assessments (RA), safe work method statements (SWMS), worksheets, manuals and guidelines. Documents do not include records eg emails, completed forms.
- Emergency management documents are necessary for:
 - Uniformity and efficiency in operations;
 - Managing risks;
 - Maintaining and improving health, safety and well-being;
 - Supporting consistent training of personnel;
 - Listing required resources;
 - Providing a basis for an auditable process;
 - Allowing spread of knowledge; and
 - Promoting continuous improvement.
- Policies must be formatted and managed using the NSW Trade and Investment Policy procedure and template (available on the Department's Intranet).

2. Abbreviations / Definitions

- AAR – After Action Review
- EM documents are policies, procedures, forms, templates, RA, SWMS, role descriptions, worksheets, manuals and guidelines.
- LCC - Local Control Centre
- LLS – Local Land Services
- Master document - is a document that is used to generate copies
- NSW DPI – NSW Department of Primary Industries
- RA refers to operational risk assessments for specific tasks. Strategic, program or plan risk assessments are located elsewhere in TRIM
- TRIM Context (TRIM) – the department's records management system
- SWMS – safe work method statement

3. Resources / Equipment

- TRIM access for document controllers (non-response)
- Google drive access for document controllers (response)
- Document inventory
- Access to the internet and EM extranet <http://www.agric.nsw.gov.au/extranet/ead-frt> for emergency management approved documents

4. Warnings

- Document management system ensures one source of current, approved versions of documents required by EM personnel to ensure safe, efficient, and effective operations.
- Procedures require relevant risk assessments and work method statements to be available to ensure personnel are aware of and take action on health and safety issues.
- Trained and competent personnel are required to implement policies and procedures.
- Lessons learnt during preparedness training and emergency responses should be implemented as soon as practical to avoid unnecessary repetition of errors.

5. Procedure

5.1. Document control – pre-response

- All master documents are:
 - Registered in the EM Document Inventory by a document controller
 - Allocated a TRIM number (see 5.2 below) – a new version number for each version
 - Only be accessed by a document controller
- Copies of finalised, approved master documents to be published on the NSW Department of Primary Industries (NSW DPI) emergency management website
- Documents (excluding forms and worksheets) on external website are converted to pdf format
- Forms and worksheets are in a format to allow electronic completion
- References are hyperlinked where possible
- Published documents are compliant with Web Content and Accessibility guidelines
- Approval process is to be managed electronically in TRIM. Approved versions are finalised in TRIM to prevent change.

5.2. TRIM locations

- Master documents for policies and procedures in TRIM to be classified in the relevant activity. Free text is used for container names describing the activity. The same container name/activity is used to load the document on the NSW DPI external webpage. See examples below.
- RA, role descriptions, SWMS, forms and templates, and other document types are grouped as an activity (ie one container) under procedures. See example below.

Classification	Activity (free text)
DROUGHT & EMERGENCY RESPONSE - Policies	Locusts
DROUGHT & EMERGENCY RESPONSE - Procedures	Decontamination
DROUGHT & EMERGENCY RESPONSE - Procedures	Forms and templates

- Containers/activities and associated TRIM folder numbers are listed in the EM Document Inventory (in TRIM) and accessible by document controllers. New folders to be created by the EM Unit Document Controller.

5.3. Document control – during operations (response and recovery)

- Register specific response documents in the Response Document Inventory (by a document controller in Planning)
- File names to include document type, unique title, version and draft (until approved) or final (after approval) eg Procedure-Use of XXX_V1_draft, Form-XXX_V2
- A new version number is allocated when any changes are made to an approved version
- Documents to be located in Planning folder on Google drive. Refer to Table 1 for required folders.

Google folders	Details
<ul style="list-style-type: none"> • Planning 	<p>The Planning section is responsible for information management</p>
<ul style="list-style-type: none"> <ul style="list-style-type: none"> ○ Documents 	<p>Documents is one on many folders in the Planning folder Document inventory located here – saved daily or as edited with new date in filename eg 20150130 (yyyymmdd)</p>
<ul style="list-style-type: none"> <ul style="list-style-type: none"> <ul style="list-style-type: none"> ▪ Approved 	<ul style="list-style-type: none"> • Location of current approved version – pdf or writable format for forms • There must be only 1 version of each document • Personnel are to use this version • Should be divided into folders for each Sections eg Logistics, Planning, Operations, Operations-IP Ops, Operations-Movements (will depend on response type) • Folder can be shared with multiple LCCs
<ul style="list-style-type: none"> <ul style="list-style-type: none"> <ul style="list-style-type: none"> ▪ Archived 	<ul style="list-style-type: none"> • Location of all replaced/out dated approved and draft documents Note: drafts should not be deleted • Can be divided into Sections but not required as not routinely used
<ul style="list-style-type: none"> <ul style="list-style-type: none"> <ul style="list-style-type: none"> ▪ Draft 	<ul style="list-style-type: none"> • Location of draft version of documents currently under review or in development • Include “draft” in file name • Can have multiple versions of same document but should be distinguished by initials (of developer/reviewer) and date. It is preferable to have reviewers editing the same file. • When a draft is ready for approval, it is moved to the Final unapproved folder and the filename is edited to change ‘draft’ to ‘final’. Any other draft copies moved to the Archived folder. • A draft version of an approved document can be available for editing if the file has the next version number and draft in the filename • Should be divided into Sections eg Logistics, Planning, Operations, Operations-IP Ops, Operations-Movements (will depend on response type)
<ul style="list-style-type: none"> <ul style="list-style-type: none"> <ul style="list-style-type: none"> ▪ Final unapproved 	<ul style="list-style-type: none"> • Final Word versions of documents which are used to produce a pdf version. The pdf version is moved to the Approved folder for use. • Copy the final version to form the next draft version in the Draft folder. The final current version must remain here until superseded, then moved to archived folder

- Note: Documents on the NSW DPI emergency management website should only be updated when changes are relevant to all response types. Changes are to be processed by the EM Unit.
- References are hyperlinked where possible.
- Approval process is detailed in 5.6.2 (below).

5.4. Format of procedures

- Use the Procedure template and refer to Appendix 1 for further information
- Minimum requirements are:
 - Unique identifier eg title
 - Version date in footer
 - Approval authority
 - Page number and total page numbers (ie Page x of y) in footer
 - Unique identifier eg title (in footer) and TRIM number
 - Summary of document amendments
- Use dot points; avoid long paragraphs
- Apply clear, concise and simple language
- Consider using tables or graphs where applicable
- Use consistent terminology eg role titles

5.5. Format of other documents

- Minimum requirements are:
 - Unique identifier (eg title) in footer
 - Version date in footer
 - Page number and total page numbers (ie Page x of y) in footer
- Forms – comply with Trade and Investment *MS Word template for creating forms* (refer to Intranet)
- Risk assessments – use EM strategic or task risk assessment templates
- Safe Work Method Statements – use NSW Trade and Investment SWMS template
- Policies – use NSW Trade and Investment policy template (refer to Intranet)

5.6. Approval process

5.6.1. *Non-emergency situations*

- Preparation of draft documents by personnel familiar but not necessarily expert in the task
- Circulate the draft (with a specified due date) for review by relevant task experts and potential users
- Finalise the draft
- A working draft can be used where there is a need for an exercise or similar, and the final version produced after the exercise
- Forward to EM Unit Document Controller for checking compliance to document management processes
- Documents to be forwarded to Manager Emergency Operations or delegate for approval and publishing of the document
- Policies must be approved and published according to the Department's procedure.
- Approved documents are to be published on the EM extranet or NSW DPI external EM web site (internet) by the EM Unit Document Controller.

5.6.2. *During emergencies*

- Section Managers are responsible for:
 - Managing the development of drafts or revision of current versions in response to the need for documents identified by their sections
 - Notifying Planning of development/revision process
 - Liaising with equivalent section managers in other LCC's (where relevant) to ensure relevance of document development/revision i.e. one LCC will coordinate development of the procedure to be used by all the LCCs
 - Working drafts may be used during a response for a specified period until a final version is approved for use
 - Finalising documents and obtaining approval from the relevant role eg Controller, Planning Manager, Operations Manager, Logistics Manager, other section manager
- Publishing on the EM extranet/internet (if required) is the responsibility of the Planning section to coordinate with the EM Unit Document Controller.

5.7. Document review and consultation

- Documents should be regularly reviewed to ensure ongoing suitability and compliance with applicable requirements
- Document review is to be coordinated by a document controller
- Reviews are recommended to occur at least every three years to ensure currency
- Document reviews can be triggered by:
 - Audits and reviews
 - After Action Reviews (AAR) and response mid action reviews/debriefs
 - Corrective and preventive actions
 - Technology improvements
 - Changes in legislation, regulations, guidelines, Government and/or department policy
 - Division/Branch risk assessments and plans
 - Preparedness workshops
- Consultation:
 - Part of the review process
 - Required by the WHS regulations
 - Can occur during preparedness workshops
 - Facilitated by emails, team meetings and teleconferences
- Consultation groups and members can include:
 - Experienced EM personnel from NSW DPI and LLS
 - Technical experts from participating and supporting agencies
 - Personnel (eg technical experts) from emergency services agencies eg RFS
 - Regional Emergency Management Committee (REMC) representatives
 - Local Emergency Management Committee (LEMC) representatives
 - Trade and Investment WHS Unit
 - Plague Locust Consultative Committee (PLCC)
 - Plague Locust Management Group (PLMG)
 - Australian Plague Locust Commission (APLC)

6. References

[Forms and templates](#)

- [Task risk assessment template](#)
- [Strategic risk assessment template](#)
- [Safe work method statement template](#)
- [Procedure template](#)
- [Document inventory template](#)

Information

- [Emergency management web page](#)

7. Revision History

Version	Date	Amendments	
		Section	Details
1	27 Jan 2009		For approval
2	6 Feb 2015	All	Inclusion of procedure format, content & approval; update to include Google

Contact Officer: Emergency Management Officer, EM Unit

8. Appendices

Appendix 1 - Content of procedure

Procedure requirements: Refer to the Procedure template

Title:

- unique and adequately describes the task that is to be completed
- typically used as the file name so use a title that is likely to be found easily
- easily recognisable by infrequent users eg contractors, employment agency personnel

Authorised by: Different for non-emergency situations and during emergencies – refer to Section 5.6.

Authorisation date: Date the current version is authorised.

Effective Date: Date the current version is implemented.

Authorisation period: A period (eg response campaign, months) may be inserted to shorten the shelf-life of the procedure. When not relevant, the field should be left blank and the period will default to replacement by the next version or when the procedure is withdrawn.

Section 7: Revision history: Use an amendment table to track and highlight changes.

Contact Officer: Position title of officer responsible for operating, maintaining, reviewing and communicating the procedure, and to whom communication can be addressed. Do not include the name of the incumbent.