

**Victoria State Emergency Service**

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| **Victoria State Emergency Service** |
| **Municipal Emergency Management Planning Committee (MEMPC)** |
| **Audit Guide** |
| **1st Edition Version 1.1 | CD/17/34151 | 1 June 2017**Supports MEMP Audit Workbook 2nd Edition Version 1.1 |

**Audit Guide Version Control**

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| **Amendment List**

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| **Version Number** | **Issue Date** | **Nature of Amendment** |
| 1st Edition, Version 1.0, Pilot | 28 April 2017 | Final draft version available for pilot testing. |
| 2nd Edition, Version 1.1, Final | 1 June 2017 | Final version, incorporating changes identified as being required during pilot testing phase. |

**Contact for enquiries and proposed changes**If you have any questions regarding this document, please contact the responsible area identified below:*VICSES Emergency Management Planning03 9256 9000emp@ses.vic.gov.au*  |
| Published by the Victoria State Emergency ServiceMelbourne, 1 June 2017Authorised by the Victoria State Emergency Service 168 Sturt Street Southbank An electronic version of the plan can be obtained at:<https://www.ses.vic.gov.au/em-sector/em-planning/MEMP-audits> |

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#

# INTRODUCTION

The Victoria State Emergency Service (VICSES) is required to audit every Municipal Emergency Management Plan (MEMP) at least once every three years, in accordance with the Emergency Management Act 1986 (EM Act) Section 21A(1):

**EM Act S21A(1)** A municipal emergency management plan **must** be audited during the period commencing 1 July 1995 and ending 31 December 1996 and thereafter at least once every 3 years by the Chief Officer, Operations of the Victoria State Emergency Service to **assess whether the plan complies with the guidelines issued by the Minister.**

Part 6 of the Emergency Management Manual Victoria (EMMV) (Municipal Emergency Management Planning Arrangements) constitutes these guidelines. The MEMP must therefore be compliant with both the EM Act, and the most current version of the EMMV. Although Part 6 of the EMMV is the most relevant part to the MEMP audit process, all parts should be considered when drafting the MEMP.

The following legislative requirements are also included in the EM Act:

**EM Act S20(1)** A municipal council must prepare and maintain a municipal emergency management plan.

**EM Act S21(3)** A municipal council must appoint a municipal emergency planning committee constituted by persons appointed by the municipal council being members and employees of the municipal council, response and recovery agencies and local community groups involved in emergency management issues.

**EM Act S21(4)** The function of a municipal emergency planning committee is to prepare a draft municipal emergency management plan for consideration by the municipal council.

**EM Act S21(5)** A municipal emergency planning committee must give effect to any direction or guidelines issued by the Minister **[EMMV]**.

Therefore, by endorsing the MEMP, the council agrees to all processes and arrangements detailed in the MEMP. The council is also responsible for ensuring the currency of the MEMP.

**The MEMP presented for Audit must be the latest MEMP adopted by the Municipal Council.**

**(EMMV Part 6-9)**

# FOR THE AUDITEE

The responsibility for the accuracy of the information contained in the MEMP rests with the relevant Municipal Emergency Management Planning Committee (MEMPC). The responsibility of the auditor is to obtain audit evidence and to evaluate it objectively to determine the extent to which the municipality’s MEMP complies with the legislation and with any direction or guidelines issued by the Minister. The extent of the compliance found is then reported within an audit report.

The audit is intended to assess the compliance of the MEMP with the EM Act, the EMMV, and other associated emergency management legislation, including the Country Fire Authority Act 1958, the Metropolitan Fire Brigades Act 1958 and the Libraries Act 1988.

This audit guide has been designed to help the MEMPC in preparing for a MEMP audit. This guide:

* Provides a list of all audit questions and criteria.
* Identifies compliance requirements with examples of evidence that may be used to demonstrate compliance.
* Provides self-assessment resources to assist councils in using a continuous improvement approach to compliance.

The audit tool is mandatory in its range of criteria, but flexible in acknowledging different types of evidence, recognising that each MEMPC and audit event has unique compliance characteristics. It is important that both MEMPCs and auditors have the capacity to adapt to the diversity of each MEMPC, while upholding the integrity of the guidelines that underpin the Act. The evidence that one MEMPC presents to show compliance may differ from that presented by another MEMPC. The audit panel will exercise flexibility in their judgement, while maintaining the rigour and diligence necessary in auditing compliance.

# USE OF AUDIT GUIDE

To achieve a ‘complies’ result for an audit question, the MEMPC must be able to address each of the criteria listed under that question. The suggested evidence contained in this guide is a **recommendation only**, and does not represent a definitive indication of compliance.

Auditors will consider a wide range of evidence presented to them, and will accept types of evidence that may not have been listed in this guide.

While MEMPCs are not obligated to provide all evidence listed in this guide, enough evidence must be presented to ensure that the auditor is satisfied that each criteria has been met.

# LEGISLATIVE REQUIREMENTS

Where a question in the Audit Workbook is marked as a ‘Legislative Requirement’, at least one of the criteria for that question will be required under one of the following acts: Emergency Management Act 1986, Country Fire Authority Act 1958, Metropolitan Fire Brigades Act 1958 or the Libraries Act 1988. As stated below, failure to comply with any one of these legislated criteria will result in an overall ‘Does Not Yet Comply’ result for the audit.

# AUDIT INFORMATION

## Grading of audit findings

### Audit Questions

The findings for **each question** will be graded as follows:

**Complies** The evidence collected meets each of the audit criteria.

**Does Not** **Yet** **Comply** At least **one** audit criteria has not been met.

### Audit Report

The finding for the **audit report** will be graded as follows:

**Complies** The plan has met all of the legislative criteria, and at least 22 of the audit questions have been found compliant.

**Does Not** **Yet** **Comply** The plan falls short of the guidelines. This can result from failing to comply with:

* Any **one** legislative **criteria** (see Questions 2, 3, 4, 6, 7, 9, 10, 17-CFA areas only, 19), and/or
* Any **three** audit questions.

The auditor’s recommendation must identify areas that need be addressed for the plan to comply at the next audit.

## Audit techniques

In accordance with sound auditing practice, the auditor may use any of the following techniques to obtain objective evidence:

* Examining documents and systems such as policies and procedures, relevant components of business plans.
* Examination of documentary evidence.
* A range of investigative and inquiry techniques, including questioning of staff and stakeholders.
* Questioning the council under audit to further explore evidence.
* Contacting or holding interviews with management and/or staff.
* Observing processes.
* Looking at facilities and observing activities.
* Viewing computer applications such as email, GIS or databases.
* Undertaking dip samples.
* Any other activity that may provide evidence that a council has met the audit criteria.

## MEMP Audit Policy and Procedure

VICSES is developing an Audit Policy & Procedure document which describes the audit process from start to finish. This document will also be made available to MEMPCs via VICSES website.

## Auditing of MEMP Sub-Plans

Where evidence pertaining to audit criteria is included in a sub-plan to the MEMP, this sub-plan must be included as part of the audit.

## Pre-audit activities

It is expected that MEMPCs/Councils will prefill the audit report document with evidence which they believe demonstrates that they have met each of the audit criteria. This activity will help MEMPCs identify any areas where additional work may be required before the audit, and also streamline the gathering of evidence during the audit.

In some cases, VICSES may be able to assist by facilitating a formal pre-audit. MEMPCs should liaise with their local VICSES regional office to establish whether this is possible.

## On-site audit activities

To ensure that any ambiguous aspects or areas of misunderstanding are avoided, the audit will commence with a formal Opening Meeting and conclude with a Closing Meeting. The following agenda items are to be covered and understood by all attendees. These meetings should be attended by the auditors and appropriate representatives of council.

1. **OPENING MEETING AGENDA**
* Introductions.
* Audit objectives, criteria and scope.
* Audit process is an evidence-based system (requesting to see documentation, observing activities and interviewing council staff or other MEMPC members who have a responsibility for meeting particular criteria).
* Emphasis of audit being on process, not people.
* Agenda/timings (Opening Meeting, audit activities, preparation for closing, and Closing Meeting).
* Definition of Audit Terminology (Complies, Does Not Yet Comply, etc.).
* Format of reporting (as per VICSES Policy & Procedure).
* Safety, security and confidentiality.
* Questions.
1. **AUDIT**
2. **CLOSING MEETING AGENDA**
* Introductions (if new attendees are present).
* Restate audit scope (for new attendees, if any).
* Overview of findings (strengths and weaknesses, if any).
* Discuss audit findings (clarify content of findings, including aspects that exceed basic compliance).
* Disclaimer regarding sampling (other aspects of non-compliance may exist that this audit did not uncover due to sampling).
* Discuss corrective action timeframes for those rated ‘Does Not Yet Comply’ (if any).
* Explain follow-up on corrective actions (VICSES may re-visit or may require extra documentation).
* Answer questions.
* Audit reporting process (audit report will be issued in accordance with VICSES procedure).
* Restate confidentiality (will only discuss or report audit findings to those mentioned in the procedure).
* Overview of compliance and non-compliance, and reaudit timeframes.
* Remind council to respond to VICSES Chief Officer Operations (COO) within three months of receiving audit report.

## Certification

A Certificate of Compliance will be issued to council once the auditor is satisfied that the MEMP is compliant. It is recommended that MEMPCs contact their local VICSES regional staff, who may be able to assist with the presentation of the certificate, and to provide further feedback to council.



**AUDIT QUESTIONS AND GUIDE**

# **QUESTION 1**

***Describe and demonstrate how the MEMP reflects and incorporates the characteristics of the municipal district.***

*This question is intended to ensure that the MEMP has been developed with consideration of local characteristics, including demographics, geology and community, as they relate to local risks.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP incorporates the entire area of the municipal district with description of:* Maps and/or description illustrating topography.
* Demographic profile of municipality.
* History of significant emergencies.
 | *EMMV 6-22* | * Demographic information, including identification of vulnerable groups, gender, age, disabilities, CALD, etc.
	+ This should identify numbers or percentage of the overall population.
	+ Statistics quoted should also include a reference to the source, including the year (e.g. ABS 2016).
* Maps (these must be available to the auditor, and may be included in the appendices).
	+ If a GIS system used, procedures on how to access this information and how to contact the responsible officer should be listed.
	+ Note that GIS should not be the only source of mapping; at least one hard copy map of the municipal district should be included in the plan.
* A list of significant natural and man-made features (e.g. terrain, infrastructure, etc.), which impact the risk profile of the municipal district.
* A list of significant emergencies that have occurred in the past. This list may be kept external to the plan (e.g. if this list is stored in a database, a reference to this source must be detailed in the plan).
* A list of public events (e.g. music festivals, sporting events, etc.) that may affect emergency management in the municipality.
 |

# **QUESTION 2** (Legislative Requirement)

***Describe how Council has prepared and maintained the MEMP in relation to the identification, use and coordination of municipal resources for emergency management activities.***

*This question is intended to ensure that the MEMP contains relevant and current information on the use of municipal resources for emergency management activities.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP identifies council procedures and arrangements for the provision of available municipal resources required by the community and response agencies, and how these can be activated (i.e. a list of resources owned by or under the direct control of the municipal council). | *EM Act s.20 (2)(a)**EMMV 6-16* | * The plan:
* contains a list of resources owned by or under the direct control of the municipal council.
* references resource list (e.g. a standalone document, database, etc.), which should be available to be sighted during audit).
* details how resources are to be used or obtained, for use in prevention, response and recovery.
* The MEMPC can provide copies of MOUs and/or formal agreements with contractors or organisations outside control of council.
 |
| The MEMP demonstrates that arrangements have been identified for the use of other resources which do not fall under the control of council, where applicable. (This may include formal agreements). | *EM Act s.20 (2)(a)**EMMV 6-16* |
| The MEMP specifies how the resources are to be used for emergency management activities. | *EM Act s.20 (2)(b)* |
| The MEMP describes the arrangements that support the provision of municipal resources (e.g. the use of an operations room, Crisisworks, etc.). | *EMMV 6-16* *& 6-17* |

# **QUESTION 3** (Legislative Requirement)

***Outline who has been appointed by the council, to coordinate, support and manage municipal emergency management activities.***

*This question is intended to establish that municipal emergency management roles are defined and filled by appropriate persons.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP identifies that the following roles exist and are filled:* Municipal Emergency Resource Officer.
* Municipal Recovery Manager.
* Municipal Fire Prevention Officer (MFPO).

**Note**: An MFPO is only required for Councils which are wholly or partly located in the:1. Metropolitan area of Victoria, within the meaning of the *MFB Act 1958 –* see *MFB Act 1958 S 4(2).*
2. Country area of Victoria, within the meaning of the *CFA Act 1958* (i.e. that part of Victoria which lies outside the metropolitan district, but does not include any forest, national park or protected public land).

Therefore, Alpine Resort Management Boards (ARMBs) may not require an MFPO. | *EM Act s.21(1) & (2)**CFA Act s.96A(1)**MFB Act s.5A(1)**EMMV 6-26 to 6-29* | * Duty statements/position descriptions that outline roles and responsibilities of each position.
* An organisation chart, identifying the person appointed to each position.
* A record of a person being appointed (e.g. a memo or email to staff, a letter to the appointee or minutes of a meeting where the discussion of the appointment is recorded).
* The MEMP contains a contact list with current details of the person undertaking each role.
* Confirmation that any known changes have been updated in the MEMP.
* Confirmation from a staff member fulfilling the role that the position is part of their duties.
 |

# **QUESTION 4** (Legislative Requirement)

***Provide evidence that the Council has appointed a Municipal Emergency Management Planning Committee (MEMPC) and that the plan identifies appropriate representation of agencies/ groups.***

*This question is intended to ensure that a MEMPC has been established, and includes representation from appropriate agencies and groups.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| It can be demonstrated that the council has established a Municipal Emergency Management Planning Committee (MEMPC). | *EM Act s.21(3)* | * The MEMP contains the MEMPC structure, with representation from appropriate agencies, including:
	+ Members and Employees of Council (e.g. MERO, MRM).
	+ Response Agency (e.g. VicPol, CFA).
	+ Recovery Agency (e.g. DHS).
	+ Local Community Groups (e.g. Red Cross, CALD community leaders).
* The MEMP contains a contact list of current MEMPC committee members.
* There is an organisation diagram showing MEMPC structure, in relation to any sub-committees.
* Minutes of MEMPC meetings, demonstrating attendance of committee members.
* MEMPC Terms of Reference, including business rules (e.g. frequency of meetings).
* Where there are sub-committees:
	+ The sub-committee is defined within the MEMP.
	+ The sub-committee agenda and minutes are available.
	+ The sub-committee Terms of Reference are available.
 |
| It can be demonstrated that the committee consists of representatives from the agencies and groups listed under *EMMV 6.4 – Membership*. | *EM Act s.21(3)**EMMV 6-11 & 6-12* |
| Where the risk assessment process has identified the need for specialist sub-committees or working groups, these groups have been established (this may include other specific plans that mitigate risks within an LGA).**Note:**Where these committees or groups are not required, this criteria can be considered to have been met. | *EMMV 6-12* |

# **QUESTION 5**

***How often and under what circumstances does the Municipal Emergency Management Planning Committee (MEMPC) convene?***

*This question is intended to ensure that the MEMPC meets regularly enough to be effective, defined in the EMMV as being ideally 3-4 times annually, and/or following a significant incident or organizational change.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that it has met ideally 3-4 times annually since the previous audit. | *EMMV 6-12* | * Review agendas of meetings for last 3 years.
* Review minutes of meetings for last 3 years.
* Review of minutes showing that the MEMPC has met ideally 3-4 times per year.
* MEMP states that an out of session meeting will be called following an incident or change.
* Written policy or procedure to call an out of session meeting following an incident or change.
* Minutes of meeting to discuss a significant incident or organisation change.
* Discussion with committee member to ascertain if meetings have been held following an incident or change.
* MEMPCs should consider whether they have met outside of regular meetings (e.g. CERA sessions, sub-committees, etc.).
 |
| The MEMPC can demonstrate that it has met following:* Any significant incident.
* Any significant organizational change.
 | *EMMV 6-12* |

# **QUESTION 6** (Legislative Requirement)

***Explain the process by which the MEMP has been developed and maintained.***

*This question aims to demonstrate that there are processes in place to ensure that the MEMP is a living document, and is being reviewed and updated by members of the MEMPC.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that there is a process in place to prepare and maintain the MEMP. | *EM Act s.20(1)* | There is a process to develop and maintain the MEMP, and the MEMP has been maintained.* Plan has been reviewed and updated since last audit. This should include:
	+ Version control on MEMP.
	+ Change of dates on footnotes.
	+ Amendments page.
	+ Confirmation that any known changes have been updated in plan.
* View policy or procedures for developing and updating MEMP.
* Discussion with staff to determine if there is a process to maintain the plan (the audit should test the process not the person – auditors should consider discussion with Municipal Emergency Resource Officer/s, Municipal Recovery Manager/s, Municipal Fire Prevention Officer, Municipal Community Safety Manager, Municipal Emergency Manager)
* Minutes of meetings that discuss maintenance of plan.
* Minutes of meetings that discuss continuous improvement of plan.
* Any other documentation advising of amendments or suggested changes to the MEMP.

Responsibility for update/maintenance of MEMP:* Plan contains details of person responsible for plan
* Position Description states responsibility of staff member to update MEMP.
 |
| The MEMPC can demonstrate who is responsible for the update/maintenance of the MEMP. | *EMMV 6-11* |

# **QUESTION 7** (Legislative Requirement)

***Explain how the MEMP has been reviewed by the MEMPC and the frequency.***

*This question is intended to ensure that the MEMP is regularly updated and maintained by the MEMPC.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that a review of all sections of the MEMP has occurred since the last audit, and that the MEMP has been maintained. | *EM Act s.20(1)* | * Plan has been reviewed and updated since last audit , including:
	+ Version control on plan.
	+ Change of dates on footnotes.
	+ Amendments page.
	+ Confirm any known changes have been updated in the MEMP.
* The most recent review date is documented in the MEMP.
* Policy or procedures for reviewing and updating the MEMP.
* Can demonstrate that the MEMPC members have attended meetings and been engaged in the process.
* Discussion with staff to determine if there is a process to maintain the plan (the audit should test the process, not the person – auditors should consider discussion with Municipal Emergency Resource Officer/s, Municipal Recovery Manager/s, Municipal Fire Prevention Officer, Municipal Community Safety Manager, Municipal Emergency Manager).
* Minutes of meetings that discuss review of the plan.
* Memos, emails and/or any other documentation relating to the review of the plan.
* Documentation of workshops held to review plan.
* Discussion paper and comment received regarding review of plan.
* Correspondence regarding review of plan.
 |
| The MEMPC can demonstrate that the information has been amended and updated on each occasion that a review has been conducted. | *EMMV 6-3* |

# **QUESTION 8**

***Explain the process by which the contact directory is reviewed, updated and maintained.***

*The intent of this question is to ensure that the process for maintaining currency of contact details is occurring.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that there is a process to ensure that the contact directory: * Has been reviewed at least once annually since the last audit.
* Has been updated as contact details change.
* Amendments have been recorded.
* Amendments have been distributed and incorporated into copies of the MEMP.
 | *EMMV 6-10* | * The MEMP has been reviewed and updated since last audit, including:
	+ Version control on plan.
	+ Change of dates on footnotes.
	+ Amendments page.
	+ Confirm any known changes have been updated in plan.
* Discussion with staff to determine if there is a process to maintain the plan (the audit should test the process not the person – auditors should consider discussion with Municipal Emergency Resource Officer/s, Municipal Recovery Manager/s, Municipal Fire Prevention Officer, Municipal Community Safety Manager, Municipal Emergency Manager).
* Documentation to show distribution of updated details to stakeholders.
* Procedures that outline the process for a stakeholder to change their contact details.
* Process/procedures to ensure changes to contact details are incorporated into all copies of the MEMP.
* Staff response to questions about how they maintain the plan (e.g. “If I had a change of details – what would you do?”).
* Conduct a “dip sample” (random) check of contact details.
 |
| The MEMP includes, or includes instructions for how to obtain, the name, current contact details and list of responsibilities for each of the following roles:* Municipal Emergency Resource Officer.
* Municipal Recovery Manager.
* Municipal Fire Prevention Officer.
* Municipal Emergency Response Coordinator.
 | *EMMV 6-10* |

# **QUESTION 9 (Legislative Requirement)**

***Provide evidence that the MEMP has been presented to the Municipal Council for consideration.***

*This question is intended to ensure that the MEMP provided for audit has been considered and endorsed through an appropriate council process.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that a review of the MEMP has been presented to Council/ARMB (Councillors or CEO) for consideration on at least one occasion since the last audit.  | *EM Act s.21(4)* | * Copy of the MEMP signed by Council, Councillor, CEO or delegated authority.
* Letter from Council, CEO or delegated authority endorsing or approving plan.
* Letter of delegation where the council or CEO have delegated authority to endorse or approve MEMP.
* Minutes of Council meeting with confirmation that Council have endorsed or approved MEMP.
 |
| The MEMPC can demonstrate that the updated MEMP has been endorsed by the MEMPC, and has undergone a council consideration process. | *EMMV 6-2, 6-5 & 6-20* |

# **QUESTION 10 (Legislative Requirement)**

***Explain the process for the distribution of amendments to the MEMP, and to whom.***

*This question is intended to ensure that all versions of the MEMP, as distributed in both hardcopy and softcopy, are updated whenever changes are made.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that there is a process to ensure that all non-administrative amendments are distributed to all stakeholders and agencies identified on the MEMP distribution list. | *EMMV 6-20* | * Verify that there is a policy or procedure for the distribution of non-administrative amendments:
	+ Who forwards documentation?
	+ Who receives documentation?
	+ How the amendments are distributed?
* Check available MEMPs to demonstrate that amendments have made:
* Version control on plan.
* Change of dates on footnotes.
* Amendments page.
* A list of amendments with the respective issue and/or amendment status identified is maintained.
* Discussion with members of the MEMPC, the REMI or RERC, and/or agencies on the distribution list and confirmation that the amendments have been received.
* Where amendments are not emailed to all stakeholders, there should be a process to ensure that there is a ‘single point of truth’ (e.g. the current version of the MEMP is available on the council website, etc.).
* Verification that legal deposit has been made:
* Confirmation of submission (e.g. lodgement letter or email).
* Formal acknowledgement of lodgement.
 |
| The MEMPC can demonstrate that a copy of the updated MEMP has been lodged as legal deposit with the State Library of Victoria. | *Libraries Act 1988 s.49(1) and 49(4)**EMMV 6-20* |

# **QUESTION 11**

***Describe and elaborate on the linkages between the MEMP and other municipal plans or strategies.***

*This question is intended to ensure that the MEMP is developed and maintained in collaboration with relevant departments and agencies, and is consistent with other relevant municipal plans or strategies.*

|  |  |  |
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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that the MEMP references relevant policies, plans and strategies.  | *EMMV 6-5* | The MEMP should contain, or contain reference to, relevant plans and policies. Examples may include:* Community safety strategies (municipal).
* Prevention plans.
* Municipal Planning Scheme / local planning policies.
* Environmental and public health plans.

Hazard specific planning and response documents.Public event plans.Building codes.Fire management plans. Drainage plans.Traffic Management plans.Business Continuity plans.Municipal Risk Management plans. |

# **QUESTION 12**

***Outline the process by which the emergency risk management process is conducted and reviewed.***

*This question is intended to ensure that there is a risk management process in place that is consistent with* ISO-31000 Risk Management*.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that an emergency risk management process has been, or is being, undertaken and is consistent with *ISO-31000 Risk Management - Principles and guidelines*. | *EMMV 6-13* | * The plan contains (or contains reference to) the Emergency Risk Management (ERM) process; relevant documentation may include:
	+ Consultation and communications.
	+ Community description.
	+ Environment description.
	+ Risk evaluation criteria.
	+ Risk Identification.
	+ Risk analysis and evaluation.
	+ Risk treatment.
	+ Risk treatment options.
	+ Review process.
* Strategies and options for treating risks and the preparation of implementation treatment plans (these may be contained in a separate document).
* Aspects of the ERM process are recorded. Assumptions, methods, data sources, analyses, results and reasons for decisions may all be documented (e.g. minutes, progress reports, final report).
* Demonstration through documentation that the ERM process has been reviewed if a significant new risk has emerged.
* The MEMP and ERM can demonstrate that amendments have been made since the last audit, including:
	+ Version control on plan.
	+ Change of dates on footnotes.
	+ Amendments page.
 |
| The MEMPC can demonstrate that the identified risks have been reviewed at least once since the last audit, using an appropriate emergency risk management process. | *EMMV 6-13* |
| Where a significant new risk has emerged, or where the risk profile of a hazard has changed, the MEMPC can demonstrate that the emergency risk management process been reviewed. **Note:**Where there have been no new or changed risks, this criteria can be considered to have been met. | *EMMV 6-13* |

# **QUESTION 13**

***Explain what process has been undertaken to analyse and evaluate the identified risks.***

*This question is intended to ensure that risks to the municipality are identified and evaluated through the risk management process.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that there is a process to develop a listing of risks, identified through the risk management process, with associated consequences, likelihood and risk level information. | *EMMV 6-22* | * The plan contains identified risks (risk register):
	+ Description of risk, cause and impacts.
	+ Existing controls.
	+ Assessment of consequences and likelihood of the consequence.
	+ Risk rating.
* Document process for recording key decisions:
	+ Meeting agendas.
	+ Minutes of meetings.
 |

# **QUESTION 14**

***Outline the process which was undertaken to develop an action plan for the treatment of risks.***

*This question is intended to demonstrate that plans have been, or are being, developed to treat risks that have been identified by the MEMPC.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that there is a process to develop a list of treatment strategies for identified risks, which includes responsibility for implementation of the treatments. | *EMMV 6-14* | * The MEMP records risk treatment schedule and action plan, including:
	+ Actions to be taken for the risk.
	+ Responsibility for the risk.
	+ Resources.
* Risk treatment strategies are identified, such as tolerating the risk, reducing the likelihood of occurrence, reducing the consequence or transferring the risk.
* Risk treatment strategies are evaluated on the basis of the extent of risk reduction, the extent of benefits or opportunities created.
* Where the MEMP does not contain the documentation from the ERM, it contains reference to the ERM process, and details where documentation is available.
* Documented process for recording key decisions:
	+ Meeting agendas.
	+ Minutes of meetings.
 |
| The MEMP includes a listing of risks requiring treatment, with associated consequences, likelihood and risk level information. | *EMMV 6-22* |

# **QUESTION 15**

***Provide evidence that sub-plans are consistent with the risk profile of the municipal district.***

*This question is intended to ensure that sub-plans have been developed for hazards where the MEMPC has determined that one is required.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| Where a risk has been identified, it can be demonstrated that a risk treatment(s) has been considered and, where appropriate, that specific plans have been developed. | *EMMV 6-8* | * Sub-plans have been developed for risks identified in ERM with a risk rating of ‘high’ or ‘extreme’.
* All emergency sub-plans are identified in the MEMP.
 |
| The MEMP identifies and references relevant emergency sub-plans. | *EMMV 6-8* |
| The sub-plans identified in the MEMP reflect the risk profile of the municipal district. | *EMMV 6-8* |
| The MEMPC can demonstrate that there is a process to review the sub-plans, where they exist.**Note:**Where there are no sub-plans, this criteria can be considered to have been met. | *EMMV 6-5* |

# **QUESTION 16**

***Explain and demonstrate where the MEMP addresses the frequency of and details for exercises, which test elements of the MEMP.***

*This question is intended to ensure that (a) exercises are regularly conducted to test the efficacy of the MEMP, and (b) where exercises highlight shortcomings in the MEMP, that the MEMP is updated to incorporate these learnings.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that:* At least one exercise has been conducted after a significant review of the MEMP.
* It has taken part in an exercise that involved multiple agencies.
* A debrief has been undertaken after each exercise, and a record of outcomes maintained.
* Amendments have been made to the MEMP from the debrief outcomes, where required.
 | *EMMV 6-5* | * The MEMP contains details regarding requirement to exercise the plan, including:
	+ Frequency of exercises.
	+ Exercising of all stages (preparedness, response, relief and recovery).
	+ Person/Agency responsible for coordinating the exercise.
	+ When exercises are to be conducted.
	+ Who is to be involved (stakeholders).
	+ Who has the responsibility to plan the exercise.
	+ Who is to document exercise outcomes.
* Documentation from past exercises:
	+ Meeting minutes.
	+ Exercise reports.
* Evidence of collaborative exercises with other key agencies (e.g. minutes, emails, etc.).
* Verification that debrief or outcome of exercises has resulted in changes to MEMP, where required.
* Exercises may include:
	+ Discussion (seminars, workshops, desktop) designed to stimulate discussion of issues or to assess plans, policies and procedures.
	+ Function exercises such as Drill or Games style that are undertaken to reinforce specific skills, procedures or arrangements. Designed to test or evaluate individual capabilities, multiple functions or interagency relationships.
	+ Full deployment exercises that may be conducted in real time under simulated conditions with deployment of personnel and other resources. Designed to achieve maximum realism and test organisational performance, interagency cooperation, communications links, personnel and equipment
	+ Syndicate exercises where participants discuss scenarios and the effectiveness of the plan in providing the capacity to deal with those scenarios, with each syndicate providing feedback on questions posed about the scenario under discussion.
	+ Documented evidence that the plan was exercised during any actual operations that may have occurred (e.g. minutes, after action review).
* A record is maintained of all planned training exercises for key council and other personnel.
 |

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# **QUESTION 17** (Legislative Requirement for Communities in a CFA district)

***Demonstrate that arrangements are in place for community awareness and information.***

*This question is intended to ensure that, where local community education, information and warnings processes exist, these are included in the MEMP.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that emergency management information is provided to the community. | *EMMV 6-4 & 6-5* | * Community education documentation that has been made available to public, for example:
	+ Newsletters.
	+ Website.
	+ Newspaper articles.
	+ Brochures/flyers Training session plans and notes.
	+ Workshop documentation.
	+ Email or letter.
	+ Media events.
	+ Handbook.
	+ Local government facilities, libraries, main office, etc.
* View Community Education strategy.
* Reference is made in the MEMP to a Community Education strategy.
* The MEMP details the relationship with the ICC, with regard to local community information and warnings.
* In conjunction with the ICC, or where there is no ICC active, procedures exist to provide public information and/or warnings (e.g. media usage, loud speaker, door knock, etc).
* Community education strategy incorporated into MEMP, to inform community regarding fire refuges and neighbourhood safer places.
* Check community education/ awareness programs have been conducted at least once since last audit; program may be around MEMP, general safety programs, etc.
* The plan contains a list (or reference to a listing) of locations for Community Fire Refuges and Neighbourhood Safer Places. Confirm that this list is reviewed regularly.
* Arrangements for local networks (e.g. telephone trees) for provision of community information.
* Local arrangements for disseminating warning information, where this is different from the State arrangements.
 |
| The MEMP includes references to education strategies MEMP. | *EMMV 6-4 & 6-5* |
| The MEMP contains provisions identifying the location of community fire refuges and neighbourhood safer places (places of last resort), if applicable.**Note**: Only applicable to Councils which are wholly or partly in the country area of Victoria, within the meaning of the *CFA Act 1958* (i.e. that part of Victoria which lies outside the metropolitan district, but does not include any forest, national park or protected public land). | *EM Act s.20(2)(ba)* |
| The MEMP outlines strategies to assist with the provision of:* Localised community information.
* Localised warning arrangements, where these differ from the State arrangements.

**Note:**Where there are no local warning arrangements, this criteria can be considered to have been met. | *EMMV 6-4* |

# **QUESTION 18**

***Demonstrate how the MEMP has considered and identified the response arrangements and whether these are consistent with State and Regional level plans.***

*This question is intended to demonstrate how the MEMP links the municipal level to the State and Regional emergency management arrangements as outlined in the EMMV (Parts 1, 3 and 7 particularly), and should include councils methods (e.g. Operations Centre, Crisisworks, etc.) for conducting its operations.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP contains an introduction for the response arrangements, including local arrangements, of the municipal plan.  | *EMMV 1-16 & 1-17* | * The plan contains a list (or reference to a listing) of council resources and services for response activities with procedures on acquisition and coordination.
* Confirm consistency of the MEMP with State Emergency Response Arrangements.
* Confirm consistency of the MEMP with the Regional Response Plan.
* The plan is supported by sub-plans or, where applicable, partner agency plans, as referenced.
* An introduction to the response arrangements can be found in *EMMV Part 1 – Response Management*. The MEMP should provide these arrangements in a local context.
* The functions of Coordination, Control and Command can be found in *EMMV Part 3 – State Emergency Response Plan*.
* Written policy or procedure for response, including:
	+ Command and Control.
	+ Coordination Centre.
	+ Relief / evacuation.
	+ How to access resources:
		- Knowledge of resource sharing procedures.
		- Escalation process.
		- Responsibilities.
 |
| The MEMP references the State Emergency Management Priorities (EMMV Part 3). | *EMMV 3-3 & 3-4* |
| The MEMP clearly delineates the functions of Coordination, Control and Command.  | *EMMV 3-7 & 3-8* |
| Tiers of Control are stated, and support the Coordination, Control and Command functions. | *EMMV 3-4* |

# **QUESTION 19** (Legislative Requirement)

***Outline what procedures and arrangements are in place for the management of municipal response activities.***

*This question is intended to demonstrate how the MEMP identifies the operational response requirements at municipal level and how they are arranged as per the EMMV (particularly Parts 3 and 6), including those matters that are the responsibility of council (EMMV Part 7).*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP outlines the Emergency Management Roles and responsibilities as provided at municipal level, and how to activate for response. | *EM Act s.20(2)(b)* | * Procedures and/or arrangements are in place to identify community organisations already working with vulnerable individuals at the local level.
* Procedures and/or arrangements are in place to identify facilities where vulnerable people are likely to be situated (e.g. aged care facilities, hospitals, schools and child care centres).
 |
| The MEMP outlines:* The provision of liaison and connection between the municipality and the controlling agency.
* The provision of facilities for emergency services’ staging areas.
* The provision of information to the public and the media during preparation and response.
* The process and authority to transfer from response to recovery.
* A process to assist the control agency and Victoria Police with evacuation.
 | *EMMV 4-16, 6-16 - 6-18 & 7-76* | * The plan contains a list (or reference to a listing) of locations and facilities where vulnerable people are likely to be located. Confirm that this list is reviewed regularly.
* The plan contains a list (or reference to a listing) of locations for Community Fire Refuges and Neighbourhood Safer Places. Confirm that this list is reviewed regularly.
* The plan contains a list (or reference to a listing) of locations for Emergency Relief Centres and the functionality of facilities (including back up power, etc.). Confirm that this list is reviewed regularly.
* Coordination of the provision and operation of emergency relief (includes relief catering, emergency relief centres, emergency shelters and material needs).
* The plan contains a list of community organisations that are already working within the community providing services to vulnerable people.
* Identifies a process to support the collection and reporting of initial impact assessment within the municipality.
* Provides plans and current road networks maps to assist in planning for emergency traffic management.
* Plan refers to or details arrangements from the Evacuation JSOP (J03.12).
* MEMPCs should consider developing a map and identifying potential staging areas, including the facilities available at each (e.g. power, toilets, running water, etc.).
* MEMPCs should also consider areas where they would specifically exclude setting up a staging area (e.g. areas that may sustain significant damage from response vehicles, etc.).

Note: the term ‘vulnerable persons’ is used here in the context of the recommendations from the 2009 Victorian Bushfires Royal Commission, meaning people who may require early warning, assistance or separate consideration during emergencies. This is a broader definition than that provided in the DHHS *Vulnerable people in emergencies* policy. |
| The MEMP contains provisions to assist with:* Clearance of blocked drains and local roads, including tree removal.
* Road closures and determination of alternative routes.
 | *EMMV 7-76* |
| The MEMP contains:* Information about community organisations already working with vulnerable individuals at the local level.
* A register of facilities where vulnerable people are likely to be situated, for example, aged care facilities, hospitals, schools and child care centres.
 | *EMMV 6-7 & 6-18* |

# **QUESTION 20**

***Demonstrate how the MEMP has considered and identified the emergency relief and recovery arrangements and whether these are consistent with Regional and State Emergency Relief and Recovery Plans.***

*This question is intended to ensure that the provision of relief and recovery services outlined in the MEMP is consistent with Regional and State arrangements, or to capture any instances where local arrangements differ from these.*

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| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP identifies and lists the local emergency relief and recovery arrangements. | *EMMV 6-18 & 6-19* | * Confirm consistency between the MEMP and the State Emergency Relief and Recovery Arrangements.
* Confirm consistency between the MEMP and the Regional Emergency Relief and Recovery Plan.
* The plan details emergency relief and recovery arrangements.
* The plan references arrangements for the transition from response to recovery.
* View written policy or procedure for each area of emergency relief and recovery.
* The MEMP also articulates how the relief and recovery services are activated at the local level, including the triggers and process for escalation to regional level.
* The plan contains a list (or reference to a listing) of locations for Emergency Relief Centres and the functionality of facilities (including back up power, etc.). Confirm that this list is reviewed regularly.
* Coordination of the provision and operation of emergency relief (includes relief catering, emergency relief centres, emergency shelters and material needs).
 |
| The local relief and recovery arrangements are consistent with* Regional Emergency Relief and Recovery Plans.
* State Emergency Relief and Recovery Arrangements.
 | *EMMV 6-18 & 6-19* |

# **QUESTION 21**

***Outline the procedures and policies in place for municipal emergency relief arrangements in relation to the coordination, management and provision of emergency relief activities.***

*This question intends to ensure that the MEMP documents local arrangements for the provision of relief services and outlines how these services will be managed and coordinated at the local level.*

|  |  |  |
| --- | --- | --- |
| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that there are arrangements in place for communicating with the affected community during the relief period. | *EMMV 6-18 & 6-19* | * A strategy exists to engage with the affected community during relief activities.
* Details arrangements to inform community of emergency relief arrangements / emergency relief centres.
* Identifies roles and responsibilities for:
	+ Emergency Shelter.
	+ Food and water.
	+ Reconnecting families and friends.
	+ Disbursement of material aid (non-food items).
	+ Emergency financial assistance.
	+ Animal welfare.
	+ Drinking water for households.
	+ Food supply continuity.
	+ Health care and first aid.
	+ Community information.
	+ Psychosocial support.
* Identifies access to emergency relief services (e.g. re-supply, communal access points, direct agency provision, emergency relief centres).
* If the above information is recorded in a separate Relief and Recovery plan, ensure that appropriate links to this plan exist in the MEMP.
 |
| The MEMPC can demonstrate that there are arrangements in place:* With agencies that have roles and responsibilities in relief activities.
* For the provision of emergency relief services to communities.
 | *EMMV 6-18 & 6-19* |

# **QUESTION 22**

***Outline the procedures and policies in place for municipal recovery arrangements in relation to the coordination, management and service provision of emergency recovery activities.***

*This question intends to ensure that the MEMP documents local arrangements for the provision of recovery services and outlines how these services will be managed and coordinated at the local level including engagement with impacted community.*

|  |  |  |
| --- | --- | --- |
| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMPC can demonstrate that there are arrangements in place for communicating and engaging with the affected community during the recovery phase. | *EMMV 6-19* | * Arrangements contained in the plan reference each of the recovery environments, including:

|  |  |  |
| --- | --- | --- |
|  | * Social:
 | * Housing and accommodation.
* Individual and household financial assistance.
* Psychosocial support.
* Health and medical assistance.
* Community development.
 |
|  | * Economic:
 | * Local economies.
* Business.
* Agriculture.
 |
|  | * Built:
 | * Energy services.
* Telecommunications.
* Water and wastewater.
* Transport.
* Buildings and assets.
 |
|  | * Natural:
 | * Natural environment, public land and waterways.
 |

* Record of Agency/stakeholder agreement regarding recovery responsibilities, as defined in the MEMP:
	+ Documentation of the activation process for emergency recovery activities.
	+ Identification of key municipal positions, including contingency arrangements for key recovery positions.
	+ Arrangements for recovery coordination and management structures (e.g. Terms of Reference, membership (where possible) of Municipal Recovery Committee and Community Recovery Committee(s)).
* A strategy exists to engage with the affected community during recovery phase.
* Procedures are in place to identify vulnerable community members who may require additional assistance.
* If the above information is recorded in a separate Relief and Recovery plan, ensure that appropriate links to this plan exist in the MEMP.
 |
| The MEMPC can demonstrate that there are arrangements in place for the provision of emergency recovery services. | *EMMV 6-19* |

# **QUESTION 23**

***Outline what procedures and arrangements are in place for municipal emergency relief and recovery arrangements in relation to the gathering and processing of information?***

*The MEMP outlines the process for collating and managing impact data and procedures for conducting post-impact assessments, to inform the development of a recovery plans for specific incidents.*

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| --- | --- | --- |
| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP contains arrangements to survey and make a determination regarding the occupancy of damaged buildings and secondary impact assessment. | *EMMV 4-29, 4-40 & 6-19* | * Written procedure or process for determining, recording and collating impacts, including but not limited to:
	+ Damage to private property.
	+ Loss of residences.
	+ Critical utility infrastructure.
	+ Public buildings and facilities.
	+ Public infrastructure (e.g. bridges, roads, etc.).
	+ Businesses, including loss of business premises.
	+ Livestock, crops, pasture, etc.
* Written process for utilising the impact data to inform and guide the recovery process.
* Process for reporting on the progress of recovery across all functions and activities of the four recovery environments.
* Process for identifying and reporting on risks, consequences and issues that arise during the recovery process.
* Personnel tasked with gathering information during recovery.
* If the above information is recorded in a separate Relief and Recovery plan, ensure that appropriate links to this plan exist in the MEMP.
 |
| The MEMP outlines arrangements for monitoring and reporting on recovery progress and issues, in order to facilitate the development of recovery plans for specific incidents. | *EMMV 4-26 & 6-19* |
| The MEMP contains arrangements for coordinating post-impact assessments (e.g. secondary impact assessment, Post Emergency Needs Assessment, etc.). | *EMMV 3-27, 4-6 & 7-76* |
| The MEMP contains information regarding systems for the management of information, including impact data, during an emergency. | *EMMV 4-29, 6-27 & 7-76*  |

# **QUESTION 24**

***Outline what procedures and arrangements are in place for the establishment and functioning of Community Recovery Committee.***

*This question is intended to ensure that the MEMP outlines the arrangements for the establishment and operation of a community-based recovery committee.*

|  |  |  |
| --- | --- | --- |
| **Criteria** | **Relevant legislation or guidelines** | **Guide for Actions or Evidence** |
| The MEMP includes arrangements for the establishment of a Community Recovery Committee (CRC), should one be required. | *EMMV 6-27 & 4-15* | * MEMP contains the following information on CRCs:
* CRC function, including generic roles and responsibilities.
* Consideration for how the MEMPC will work with a CRC when established.
* Possible evidence may include a generic Terms of Reference for a CRC.
 |