



POLICY STATEMENT No.1

DEPARTMENT OF ENVIRONMENT AND CONSERVATION - KEY DOCUMENTS

1. OBJECTIVE

The objective of this Policy Statement is to establish the hierarchy, structure, attributes, review and access requirements for groups of key documents that guide staff in the conduct of the business of the Department of Environment and Conservation (DEC).

2. SCOPE

The primary groups of DEC's key documents are:

- corporate policies (numbered corporate level policy statements);
- corporate guidelines (numbered corporate level procedural guidelines);
- operational policies (divisional level policies);
- divisional guidelines and procedures (divisional, branch, section, unit or regional level sets of guidelines);
- manuals or user guides (divisional, branch, regional or functional level compendium of documents, mostly technical in nature); and
- prescriptions (district, region, branch level documents to direct staff how to undertake a task).

The attributes of the six key document categories listed above are tabulated in Appendix 1.

This policy covers the attributes of the first three groups of key documents listed above.

This policy does not deal with the following subject matter:

- the processes involved in the development of policy in DEC;
- the processes involved in public and stakeholder consultation about policy;
- the comprehensiveness of DEC's suite of corporate and operational policies; and
- the evaluation of policy effectiveness.

3. CONTEXT

The fulfilment of DEC's mission and responsibilities will be enhanced by the continued development and maintenance of a comprehensive set of key documents to guide staff in their work. Certain key documents may also serve to inform the community and key

stakeholders as to how decisions will be made and actions will be taken by the department and its officers. Some key documents will interpret how legislation for which DEC is responsible will be implemented.

There are several groups of key documents that provide the primary policy and procedural guidance for staff in the conduct of their work. Where possible there should be a consistent style and format for these documents. Corporate policies (numbered Policy Statements) are generally intended for both internal and external audiences. Development and amendment of some corporate policies may include the opportunity for public or stakeholder input. All key documents must be kept up to date, with regular review and oversight maintained. Efficient and user-friendly access to key documents will be maintained through the department's intranet website.

4. STANDARDS

The department's key documents will be developed and amended (as far as possible) in accordance with templates designed to ensure consistency of content and format. Variations to the standard formats will be permitted in exceptional circumstances.

Templates for three key document groups - Corporate Policy Statements, Operational Policies and Corporate Guidelines are appended (Policy Statement template, Appendix 2; Operational Policy template, Appendix 3; Corporate Guideline template, Appendix 4).

Document custodians must ensure that key documents are reviewed and amended in accordance with the review timeline contained in the document. Documents placed on the intranet must also be kept up to date.

5. LEGISLATION

The Chief Executive Officer (CEO) of the department is, subject to the direction and control of the Minister, empowered to undertake a wide range of functions specified in the legislation administered by DEC. The CEO has a broad range of functions and powers prescribed in the *Public Sector Management Act 1994*, the *Conservation and Land Management Act 1984*, the *Environmental Protection Act 1986*, the *Contaminated Sites Act 2003*, the *Waste Avoidance and Resource Recovery Act 2007*, the *Wildlife Conservation Act 1950* and other legislation administered by the department.

6. POLICY

- 6.1** Corporate policies (numbered Policy Statements) will be developed and amended as required by Directors and presented to Corporate Executive for consideration, before final approval by the Director General.
- 6.2** New and revised Policy Statements will continue to be published in a number of formats, however variations to the format provided in Appendix 2 will be made only in exceptional circumstances.
- 6.3** New and revised Policy Statements that deal with contentious issues or matters of public interest will generally be made available for public comment, prior to finalisation. The extent of circulation of draft policies for comment (to selected stakeholders or to the general public through advertisement) will be determined by the Director General or in some cases by Ministerial direction.

- 6.4 The Director General, via Corporate Executive, will approve and sign final versions of numbered Policy Statements. Only signed and dated versions of Policy Statements will be used in the conduct of the department's business.
- 6.5 New and revised versions of Operational Policies will be prepared using the format provided in Appendix 4. Final draft versions will be submitted by the responsible Director(s) to Corporate Executive for information and comment, particularly when the content has implications for the work of staff in other divisions.
- 6.6 Following endorsement by Corporate Executive new and revised versions of Operational Policies will be signed by the responsible Director(s). Only signed and dated versions of Operational Policies will be used in the conduct of the department's business.
- 6.7 New and revised Corporate Guidelines (numbered corporate level guidelines) will be prepared using the format provided in Appendix 4. Corporate Guidelines will progressively replace documents titled Administrative Instructions and Numbered Circulars. Corporate Guidelines will be developed and amended as required by Directors and presented to Corporate Executive for consideration, before final approval by the Director General.
- 6.8 The Director General, via Corporate Executive, will approve and sign final versions of numbered Corporate Guidelines. Only signed and dated versions of Corporate Guidelines will be used in the conduct of the department's business.
- 6.9 Current versions of Policy Statements, Operational Policies, Corporate Guidelines and other key documents will be placed on the intranet with access via a main menu on the home page. Document custodians are to ensure that documents placed on the intranet site are current and that document control attributes are included (custodian; revision date; authority; authorisation date).
- 6.10 Directors and managers are to ensure that procedural manuals, technical manuals, guidelines, user guides, codes of practise and prescriptions required for their business functions are up to date and placed on the intranet under divisional sub menus. New and revised versions of these documents may be submitted by Directors to Corporate Executive for information and feedback.
- 6.11 Templates for each key document group will be available on the intranet key documents web page. Templates will cover the broad attributes, style and format for each of the key document groups.

7. POLICY IMPLEMENTATION STRATEGIES

- 7.1 The key documents web page of the intranet will contain menus designed to provide easy access by staff to required documents. Multiple access points and links will be provided where necessary to improve the speed of access. All key documents will contain nominated key words to aid the online search facility.
- 7.2 Approved versions of selected Corporate Policy Statements and Corporate Guidelines will be made available on the department's internet website.

- 7.3** Custodian Directors are responsible for the promulgation of new and revised key documents, including any required staff training and awareness-raising.

8. CUSTODIAN

The Manager of the Office of the Director General has the responsibility for the timely review of this policy document.

9. KEY WORDS

The following key words have been selected to assist on-line searching:
Key documents; Corporate policy; Policy Statement; Operational policy; Corporate Guideline; key document attributes; policy templates; and policy custodians.

10. REVIEW

This policy will be reviewed no later than 1 March 2014.

11. DIRECTOR GENERAL APPROVAL

Approved by



Keiran McNamara
DIRECTOR GENERAL

Effective date 14/9/2011

ATTRIBUTES OF DEC'S KEY DOCUMENTS

Document title	Purpose	Suggested Content	Custodian level	Authority to approve
Corporate Policy	Corporate level statement of principles and rules to guide decisions and actions in the conduct of the department's business.	What and Why <ul style="list-style-type: none"> - Objectives; - Scope; - Context; - Standards; - Legislation; - Policy statements; - Policy Implementation strategies and responsibilities; - Custodian; - Key Words; - Review; and - Director General approval and date <p>Some policies will be released in draft form for public comment.</p>	Director	Director General (via Corporate Executive)
Corporate Guideline (Formerly Administrative Instructions and Circulars).	<p>Corporate level set of procedures that will guide and direct actions by departmental staff to achieve consistency and required standards.</p> <p>Guidelines contain sufficient detail to ensure that processes are streamlined to a set routine.</p>	What, Why, How, When, Where <ul style="list-style-type: none"> - Aim/Objectives; - Scope; - Context; - Legal/policy considerations; - Procedures; - Custodian; - Key Words; - Review; and - Director General approval and date <p>Guidelines permit some flexibility in their application.</p>	Director	Director General (via Corporate Executive)
Operational Policy	Divisional level statement of operational policy to guide decisions and actions by departmental staff.	What, Why, How, When, Where <ul style="list-style-type: none"> - Objectives; - Scope; - Context; - Legislation; - Policy/procedure statements; - Implementation, including responsibilities; - Custodian; - Key Words; - Review; and - Director approval and date 	Director	Director (Corporate Executive informed)

Document title	Purpose	Content	Custodian level	Authority to approve
Divisional Guidelines and Procedures Alternative names: Standard Operating Procedures, Protocols	Divisional, Branch, Section, Unit or Regional level set of guidelines to guide and direct actions by departmental staff.	What, How , When, Where <ul style="list-style-type: none"> - Aim/Objectives; - Scope; - Context; - Legal/policy considerations; - Guidelines/Procedures; - Custodian; - Key Words; - Review; and - Approval 	Director, Branch, Section, Unit or Regional Manager	Director, Branch, Section, Unit or Regional Manager
Manual Alternative name: User Guide	Branch, Region or functional level compendium of documents, mostly technical in nature to assist people to locate and use a particular system or process.	How, When, Where A manual may contain some or all of the following items: <ul style="list-style-type: none"> - Background – Relevant Policies, Strategies, Procedures, Guidelines, Acts, and Regulations; - Scientific/Technical background; - Plans (programs, maps); - Staff structures; - Priority setting process; - Standards/specifications; - Checklists; - Templates / Example Forms; and - References 	Director, Branch, Section, Unit or Regional Manager	Director, Branch, Section, Unit or Regional Manager
Prescription	Branch, Region or District level documents that direct people how to undertake a particular task.	Where and How A sequence of job steps and required standards. <ul style="list-style-type: none"> - Job location; - Materials, machinery, labour requirements; - Environmental considerations; - Job specifications; - Pre-job staff briefing; - Waste disposal; and - Clean up A job prescription should always have an accompanying Job Safety Analysis.	District/ Region/ Branch Manager	District/ Region/ Branch Manager



TEMPLATE – CORPORATE POLICIES

POLICY STATEMENT No. XX

(Numbers for new corporate policy statement are issued by Management Audit)

TITLE

1. OBJECTIVE(S)

This section consists of a single sentence that clearly states the purpose of the Policy Statement, with the intent to establish consistency of decisions and actions by staff in the conduct of the department's business.

2. SCOPE

This is a brief statement that outlines the scope of the policy. The scope is the range and sphere of operation of the policy including geographic, temporal, governmental, administrative, collaborative, included or excluded content. Policy Statements are generally intended for both internal and external audiences.

3. CONTEXT

This section outlines the background, philosophy, principles, associated legislation and related policies and strategies that inform and support this policy. Where the context is extensive it may be contained in an appendix (Appendix 1) to the policy.

4. STANDARDS

This section outlines the standards that may apply to the policy. Where possible standards should be auditable and each policy statement should link to a defined standard. These standards may include: Occupation Safety and Health requirements; ethical standards; operational requirements; national and international standards; design and technical standards; certification; training; procurement; auditing; compliance and performance monitoring; and references. The standards may be contained in an appendix (Appendix 2).

5. LEGISLATION

This section refers briefly to salient parts of the relevant legislation administered by DEC, other state and national legislation that pertain to the policy.

6. POLICY

This section consists of a series of numbered policy statements (6.1, 6.2 etc.).

Each statement consists of a single sentence or short paragraph stating the department's position or the parameters for decision making towards the achievement of DEC's mission and program objectives.

The statements must have a clear intent and also clarify compliance issues for staff. Most statements will be specific and will establish corporate commitment. Most statements will include the words "the department will ...".

Policy statements must comply with relevant legislation and government policy, consider the effect on the community, consider the effect on resources, be feasible to implement and have measurable outcomes.

7. POLICY IMPLEMENTATION STRATEGIES

This section lists the broad approaches, work plans, programs and actions that will be implemented to give effect to the policy.

The allocated responsibilities for the implementation of the policy will be contained in this section.

8. CUSTODIAN

The title of the Director who has primary responsibility of the implementation of the policy and the timely review of the policy document.

9. KEY WORDS

Selected words from the text that will assist the search function

10. REVIEW

The date for review and update of the policy. This date will be no longer than five years from the approval date of the current version.

11. DIRECTOR GENERAL APPROVAL

The signing block for Director General approval will include the date of signature and consequently this becomes the authorisation date for the policy. Only signed versions of the policy will be used in the course of departmental business. Unsigned or draft policy statements have no currency or legal standing.



Department of
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TEMPLATE – OPERATIONAL POLICY

Division name

OPERATIONAL POLICY **(Operational policies are not numbered)**

TITLE

1. OBJECTIVE(S)

This section consists of a single sentence that clearly states the purpose and aims of the policy, with the intent to establish consistency of decisions and actions by staff in the conduct of the department's business.

2. SCOPE

A brief statement that outlines the scope of the policy. The scope is the range and sphere of operation of the policy/procedure including geographic, temporal, governmental, administrative, collaborative, inclusive or exclusive features. Operational policies are generally intended for an internal audience.

3. CONTEXT

This section outlines the background, philosophy, principles, associated legislation and related policies and strategies that inform and support this policy/procedure. This section may also contain reference to consultation with affected stakeholders that may have contributed to the development of the policy.

4. LEGISLATION

This section refers briefly to salient parts of the relevant legislation administered by DEC, other state and national legislation that pertain to this policy.

5. POLICY

This section consists of a series of dot points or numbered statements.

Each statement outlines the required direction to staff that pertains to the circumstances that may arise in relation to legislation administered by DEC, other legislation, government or corporate policies, public sector standards and codes and other government protocols.

The statements may also clarify compliance issues for staff.

6. POLICY IMPLEMENTATION

The body of the operational policy will generally not include the detailed strategies, programs, standards, operational guidelines, checklists, OSH requirements, prescriptions and actions that will be implemented to give effect to the policy. These should be appended if necessary and hyperlinked to the electronic version of the document. The allocated responsibilities for the implementation of the policy will be contained in this section.

7. CUSTODIAN

The title of the Director who has primary responsibility of the implementation of the policy and the timely review of the document.

8. KEY WORDS

Selected words from the text to assist the search function.

9. REVIEW

The date for review and update of the policy.

10. DIRECTOR APPROVAL

Operational policies will be approved, signed and dated by the responsible Director. Corporate Executive will be informed before promulgation. Only signed versions of the policy will be used in the course of departmental business.



TEMPLATE – CORPORATE GUIDELINE

CORPORATE GUIDELINE No XX

(Numbers for new corporate guidelines are issued by Management Audit)

TITLE

1. AIM / OBJECTIVE(S)

This section consists of a brief statement that clearly outlines the purpose and aims of the Corporate Guideline.

2. SCOPE

This section consists of a brief statement that outlines the scope of the guideline. The scope is the range and sphere of operation of the guideline, including geographic, temporal, governmental, administrative, collaborative, inclusive or exclusive descriptors. Numbered Corporate Guidelines are corporate level documents that are generally intended for an internal audience.

3. CONTEXT

This section outlines the background, philosophy, principles, associated legislation and related policies, strategies and standards that inform and support this Corporate Guideline.

4. LEGISLATION

This section refers briefly to salient parts of the relevant legislation and policies administered by the Department of Environment and Conservation (DEC), other state and national legislation and policies that pertain to this Corporate Guideline.

5. DEFINITIONS / GLOSSARY / ACRONYMS

This section contains any relevant definitions, glossary of terms and list of acronyms as required.

6. PROCEDURES

This section consists of a series of dot points or numbered statements that describe how a decision will be reached or how an activity will be carried out. The statements may also clarify compliance issues for staff.

Also included in this section could be decision models, structure charts, flow diagrams and other visual aids.

7. CUSTODIAN

The custodian is the Director who has primary responsibility of the implementation of the guideline and the timely review of the document.

8. KEY WORDS

Selected words from the text to assist the search function.

9. REVIEW

The date for review and update of the guideline. This date will be no longer than 5 years from the approval date.

10. DIRECTOR GENERAL APPROVAL

Corporate Guidelines will be approved, signed and dated by the Director General. Only signed versions of the Corporate Guideline will be used in the course of departmental business.