



IMPROVING EMERGENCY PREPAREDNESS AND COMPETENCIES THROUGH TESTING & MOCK TRIALS

By

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Increasing Response & Recovery Capability by testing plans and procedures to maintain knowledge skills and attitude Firstly let me establish our credentials with you, especially for those that do not know *Truscott* Crisis Leaders already.

Truscott has been consulting across 30 countries for the last 12 years primarily with public companies and many in the mining sector. We have considerable experience in the field of preparing Management Teams to deal with crises, major emergencies and business outages in all forms. We have conducted many hundreds of tests to rehearse First Responders through to corporate teams and we have been called in to assist several companies facing significant difficulty. Accordingly we have a proven track record as Crisis Practitioners, Continuity Planners and ER Professionals.

Resilience These days we talk about the notion of being resilient to business interruptions. Some companies seek to build in notions of resilience into contingency plans but resilience is really more a mental and physical disposition and not a system as such. It is said that companies become resilient when they put people first, when they have internal diversity, and when they reach out and actively engage third parties. In practical terms it means that there must be some focus by companies across the spectrum of prevention, planning, response and recovery. Nothing new about that. Such preparation is the domain of the Risk Register, the Business Impact Analysis, the Security Threat Assessment and the Contingency Plan. This is where the combination of emergency, crisis and business continuity plans constitute the major components of a resilience framework. Our experience is that when Emergency Response, Crisis and Business Continuity Management activities are conducted as a continuum that this seamless approach actually assists to manage risk more effectively

People – Industry Best Practice Emergency command, be it the On Scene Commander at the event location, the Incident Team Leader at mine site or the Crisis Team Leader in head office are the single most important components of any system. For this reason these leaders at each level and their deputies or alternates should be selected not by virtue of seniority but because they display the qualities required to regain control of difficult situations. There must also be a culture of leadership permeated down through each level of emergency command in the company. Practicing all layers is best practice.

Organization – Industry Best Practice Best in class is the formation of effective teams to solve problems under time and resource constraints. Just as a football

team immediately adopts set positions before the ball goes into play so to must each part of the company know and relate to all relevant internal and external stakeholders. There must be a documented Emergency Response, Crisis and Business Management framework in place. It is now best practice to have a holistic approach to using the Incident Control System at the emergency level and the extant leadership structure at the corporate level. These systematic approaches with linkages to governance and HSE systems allow budget attribution, management review and audit. In a mature system there will be a linkage with third parties and plans for all critical infrastructure, single points of failure and single points of sale. Rehearsing all parts of the organization is best practice.

Serviceability of Facilities & Equipment – Industry Best Practice It is one thing to have the emergency facilities in place in accordance with the Incident Command System, especially redundancy in communications, it is quite another to constantly check that equipment is in working order. Competence and confidence in facilities and equipment is achieved through their use and improvement in regular drills and exercises at all levels. Best practice is training and preparation in the same facilities and using the same equipment should an incident occur.

Training – Industry Best Practice. The best racing car drivers practice in the rain because they want to win. Emergency Response Teams at sites should train and drill every one to two weeks subject to identified risks. Incident Management Teams should practice at least every six months with refresher training and exercises with linkages to the other levels if there has not been any substantial operational activation, and individual IMT members must receive an induction on joining. The leadership should practice at least every 12-18 months with refresher training and exercises with linkage to the other levels. Individual CMT members must also receive an induction on joining.

I hear and I forget. I see and I remember. I do and I understand. Confucius, Philosopher 551-479 BC In rehearsals emphasis should always be placed on increasing the knowledge, skills and attitudes of individuals in the command and control of emergency situations through observation and feedback on their performance, that is competency based training. Best practice is to provide Certificates of Attendance or formal Certificates of Attainment along with informal assessments of any participants who require further training or who are not yet deemed competent.

Equipment (ER & ITC) – Industry Best Practice There must be minimum essential first responder requirements at mine sites with a particular focus on redundancy in command and control facilities and communications. Many companies now use Virtual Crisis Management Environments as part of their Emergency Response, Crisis and Business Management system. In this regard it is important to very clearly differentiate between ER for life and environment versus ER for asset protection and insurance.

Doctrine – Industry Best Practice Finally, without a commonly-understood, company-wide policy underpinning the emergency survival systems in any mine, emergency preparedness can be severely undermined. There must be a strongly promoted and accepted attitude that people must be the first priority in any

emergency and potential emergency situation. This attitude is enhanced when leadership is permeated down through the operational levels of the company. Remember that companies become resilient when they put people first, have internal redundancy and reach out and actively engage third parties.

Testing the execution of emergency systems, plans and procedures and rehearsing/building your people. ISO 22320 Societal security - Emergency management - Requirements for incident response & ISO22301 Societal security - Business continuity management systems – Requirements

While there is a trend towards formal competency based training in the oil and gas sector and discussion about an industry passport approach, there has been hardly any take up at all in the mining sector at the management level. Indeed there is still very little mining regulation in any State of Australia when it comes to testing the execution of plans and the rehearsing of people. The harmonization laws may well change this. There are international standards in Emergency and Business Continuity Management, but both are so broad that they have had little to no impact. It comes back to companies themselves to decide what form of exercise activity is sufficient to test plans and build people. It all boils down to the design of rehearsals based largely on management availability, physical and virtual participation, single versus multiple layers of management.

Emergency Preparedness From this perspective it is important to have a clear understanding as to what emergency preparedness is all about. Plans are just shelfware in a cupboard; ideal for inductions, important for contact directories and technical references. In planning it is absolutely critical that you do not end up with large volumes of paperwork that become difficult to maintain and keep current and which add little to the overall resilience of the business. Small policies, plans and procedures are good, even great. Thin not thick. Size is not important; readability is everything. Mike Tyson the famous boxer said that everyone has a plan until he gets punched in the face. Moltke a famous German General said that no plan survives contact with the enemy. This is why you also need sweatware. This is the physical application of leadership. It is experiential, face-to-face, presence-based, hands-on, applied leadership. It is also why you need wetware. This is the mental application of leadership; through advanced problem solving, triggering new thoughts and leadership. Accordingly the best exercises enable shelfware plus sweatware plus wetware to be rehearsed.

Minimalist Plan and Optimized Team Approach In an ideal world with unlimited resources a mining company would have fully tested and comprehensive plans and carefully chosen regularly exercised teams. However, the reality is that for the vast majority of companies, planning activities are compromised by limited budgets and insufficient time and resources. Therefore prioritization of effort must take. Is it better to try and focus on both the plan and the team or should one area be given the lion share of resources to the detriment of the other? The evidence would show that the benefits fall on of the side of having a strong team, although some plan development is essential to ensure that the team has the necessary bunker lists ready to go. This is the minimalist plan and optimized team approach. Keep the plan to the absolutely bare minimum; simple information that the team can use as the basis of taking action.

Involving third parties, Emergency Services and the community to determine what resources are available, their support and communication expectations

EM WA? Wide area emergencies and other scenarios which are beyond business require the interfaces with local and State Government to be effectively tested. There are multiple plans for a wide range of hazards in all States with their own command and control requirements at local, district and State level. Our experience is that these government contingency arrangements are not well understood by business and effort needs to go into practicing the interfaces and in ensuring common understanding of basic but critical protocols including communications. An organization known as Emergency Management WA manages the State exercise program and the WA Police actively engages the Resource Sector to participate in exercises at the State and District level. The Police have noted a significant lack of awareness in the resources industry in relation to State arrangements and have recently issued a directive to District Superintendents who are the Chairs of the District EM Committees to engage mining companies in District exercises. From a 3rd party recovery perspective it is also important to test upstream and downstream commercial dependencies, single points of failure and single points of sale. This is referred to as Business Continuity outside the cave or beyond the fence.

Preparedness in isolated mine sites and regional responses. Accessing and skilling voluntary responders in isolated mining areas, across regions and the State.

Isolation mandates standalone capabilities particularly when it comes to testing responses to multiple or mass casualties and understanding the limitation of technical medical evacuation by air. Isolation also demands the testing the practical constraints of any mutual aid and evaluating fly way teams from head or regional offices. The acute limitations of medically evacuating even small numbers of badly burnt casualties from remote parts of WA has been highlighted on several occasions and it has led to the rise of commercial service providers especially to support O&G companies and to augment traditional responses by RFDS. The voluntary nature of the first responder provides further challenge to maintaining capability.

Keeping plans and procedures current with churn in the workforce

Contact Directories, Communications Devices and Different Work Schedules

Virtual Crisis Management Environments.

Increasingly businesses which operate from more than one location are using Virtual Crisis Management Environments to store and apply plans and collaborate between different time zones and different locations. Testing Contact Directories and manual call trees is vital under these conditions of time and space. Many VCME are now on the market and they seek to reach hundreds and even thousands of people quickly. VCME find and assemble response teams, particularly during out of hours by automating complex manual call trees. They collect and analyze feedback for faster decision-making by key staff. And so it is that the Internet is now central in emergency planning and execution enabling new levels of notification and collaboration.

VCME IMT@coy.com & E-log VCME provide access to plans at any location, at any time of day or night, and critical tasks are pushed to team members. VCME seek to optimize IT and Communications through various combinations of Virtual Private Networks, portals to inform traveling managers and fixed team email addresses to allow 24/7 communications. Some use toll free numbers for hotlines. Some have switchboards which allow for a cascading system of answering multiple

calls. Some have dark websites. VCME can be e-manpower intensive so companies must always be prepared to go back to basics. The benchmark for posting traditional media releases is one hour; a near impossible task without pre-programmed email and you must be able to do it from the car park. Computers in the Management Team room can become Senior Officer Fascination Devices or vapourware and so VCME are no substitute for the wetware required to develop and implement plans under pressure.

Testing critical information plans for families, community, traditional and social media, Process Checker, Delegation, Information Speed, Stakeholder Speed, Media Speed, Family Speed. Rehearsing the interaction with families, local communities and media requires these tools to be embedded in plans and rehearsed. The process checker remains supreme as does effective delegation. Multi-tasking through support staff is a leadership and team work skill enabling speed of delivery. Good information capture and transfer is vital though individual and team logging; pull and push. The use of cloud technology enables teams previously constrained by one-to-one and one-to-many forms of communications to now reach out through mass media and engage many to many, and all at once. Going at stakeholder speed is key, not forgetting proven direct contact with stakeholders in implementing plans. Using the also proven monitor, analyze and respond formula to seize the first moving advantage with traditional and social media and to fill the information vacuum with releasable information, is best practice. Finally HR data bases must also be tested to check the accuracy of Nominated Emergency Contacts and enabling notification first and fast

Practicing passage of information that requires escalation for business continuity, reputation, financial and legal liability issues. Culture of Deputies, Focus Board, Stakeholder Board, Decision Support Tools. In this space it is important to have scenarios that cross risk thresholds to enable the practice of handing off of issues from the IMT to the CMT, and to achieve reporting discipline through hard stops and leader to leader communications. These are the simple and proven tools that are now in widespread use and which enable best process when it comes to escalation from mine site to head office. Firstly a culture of deputies both vertical and horizontal, must be embedded in plans to achieve management in depth. Focus Boards are now state of the art enabling teams at all levels to grasp tasks and issues under the headings of life, property, environment, business continuity, liability and reputation. This tool enables an unequivocal focus on people and puts all other emergency plans and strategies into relative perspective. A stakeholder board is another war winning tool enabling teams to start bracketing the problem and ensuring the all-important, point-to-point stakeholder engagements at all levels. Other decision support tools be they Duty Cards, or team prompts are also standard practice so that management can go at speed of the problem they face.

Should tests always end with success? While the usual aim for rehearsals is to build management capability and confidence, performance is often measured across both people and procedures. Edison produced 19,000 light bulbs before it all came together for him and the rest of the world. Success is always built on a mountain of failure. Agassi the world class tennis champion almost lost every game that he played until he made it to the top. Typically a successful rehearsal is one in which the teams have demonstrated the ability to regain control and begin to plan for the

future. This will often come through the sometimes uncomfortable process of exposing vulnerabilities and deficiencies in accepted procedures and at times even in people.

Games are the most elevated form of investigation. Albert Einstein In summary, however carefully a company goes through the steps, and however well drawn its plans are, it is the leadership teams proficiency that will achieve success and efficiency and ultimately determine your reputation when a risk becomes a major event.