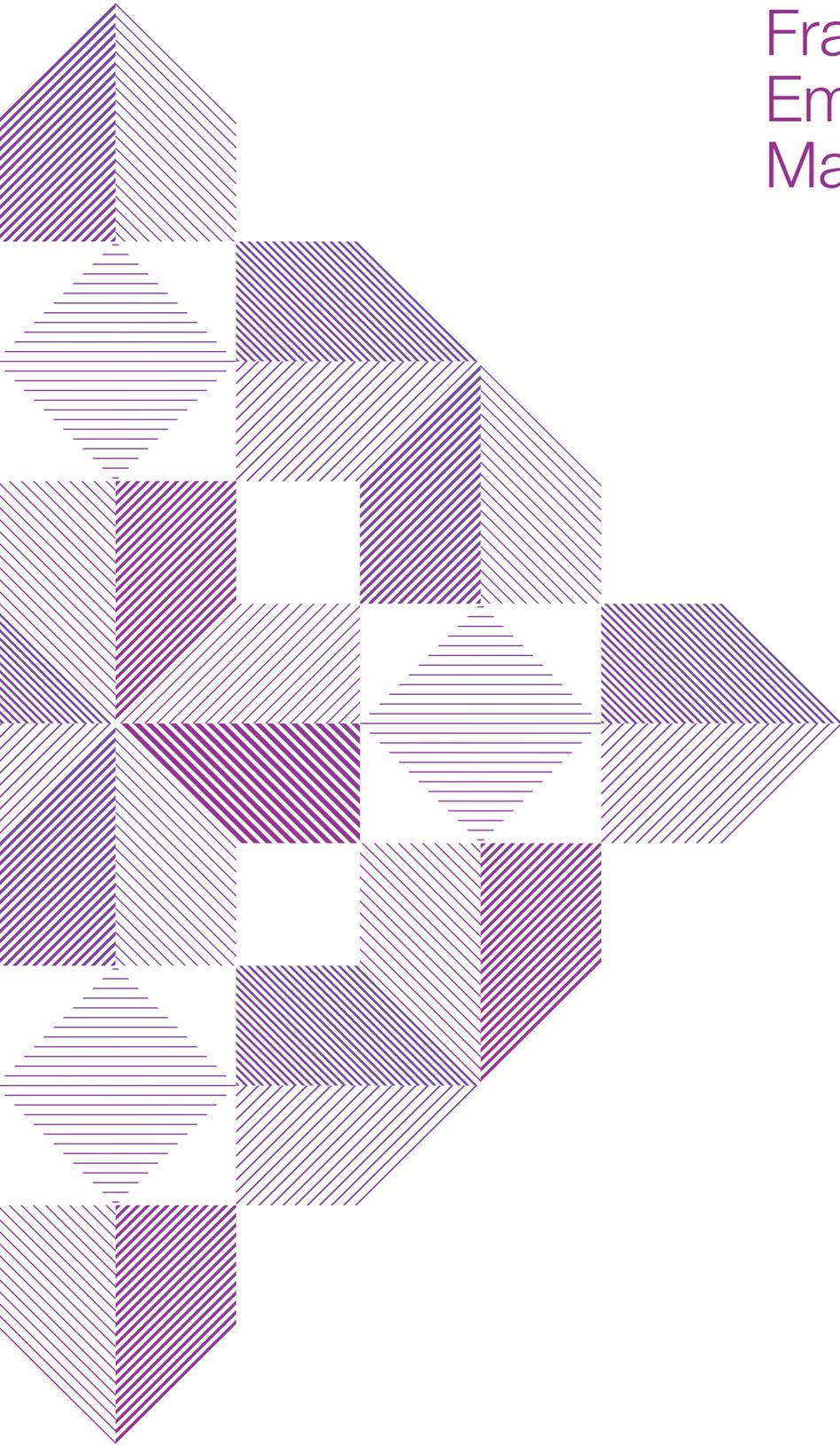


Monitoring and Assurance Framework for Emergency Management



The Monitoring and Assurance Framework for Emergency Management has been developed and will be maintained under the provisions of Sections 64(1)(a) and 65 of the *Emergency Management Act 2013*.

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- Department of Education & Training
- Department of Environment, Land, Water & Planning
- Department of Health & Human Services
- Department of Premier & Cabinet
- Department of Treasury & Finance
- Emergency Management Victoria
- Emergency Services Telecommunications Authority
- Environment Protection Authority Victoria
- Life Saving Victoria
- Metropolitan Fire & Emergency Services Board
- Municipal Association of Victoria
- Public Transport Victoria
- VicRoads
- Victoria Police
- Victoria State Emergency Service
- Victorian Council of Social Service
- Victorian Managed Insurance Authority
- WorkSafe Victoria

Minister's foreword

It is essential that the emergency management sector is responsive to increasingly changing and dynamic situations, and is ready for the challenges posed by emergencies in order to achieve our vision of safer and more resilient communities.

Individuals, communities, agencies, organisations, industry and government all have a role to play in emergency management and contributing to the way we work together to reduce the likelihood, effect and consequences of emergencies.

We have made considerable strides towards a more integrated and collaborative approach and have strengthened the performance of emergency management in Victoria.

It is vital that we understand our performance and continue to monitor it over time to ensure that we are making informed, appropriate and timely decisions about where to focus our efforts into the future.

The Inspector-General for Emergency Management is responsible for developing and maintaining a monitoring and assurance framework against which the capacity, capability and performance of the emergency management sector is to be assessed.

All agencies, departments and organisations with a role in emergency management have a role in the implementation of the framework and ensuring a coordinated approach to assurance activities across the sector.

Such activities help us to understand the needs of communities, our volunteers, paid workers and emergency management partners so that we can continually improve and ensure that the state's emergency management arrangements are contemporary and appropriate to changing needs.

Under the provisions of the *Emergency Management Act 2013*, I have consulted with other relevant ministers and am now pleased to approve the *Monitoring and Assurance Framework for Emergency Management*.

The Framework complements and supports the broader reforms to strengthen emergency management in Victoria by enabling the provision of evidence-based, meaningful and timely information to help inform and shape future decision making for a more sustainable and efficient Victorian emergency management system.

The Hon. Jane Garrett MP

Minister for Emergency Services

Message from the Inspector-General for Emergency Management

Victoria has a long history of emergencies, including some highly destructive events that have caused devastating losses and considerable social, built, economic and environmental impacts across the state.

Over time, Victoria has built a capability to manage such emergencies which it constantly strives to strengthen.

Emergency management is a shared responsibility which encompasses community, government departments, agencies, the not for profit sector and business working together to prepare for, respond to and recover from emergencies.

There are many examples of how this works well, but in a constantly changing and challenging environment it is important that we learn from our collective experiences and are focused on continually improving Victoria's emergency management arrangements.

To achieve this it is important to have a means to bring together and share learnings, including both the successes and opportunities for improvement, across the emergency management sector.

The *Monitoring and Assurance Framework for Emergency Management* provides a starting point for a coordinated sector-wide approach to ensure that lessons from emergencies will be identified and turned into sustainable improvements that make a lasting difference for Victorian communities.

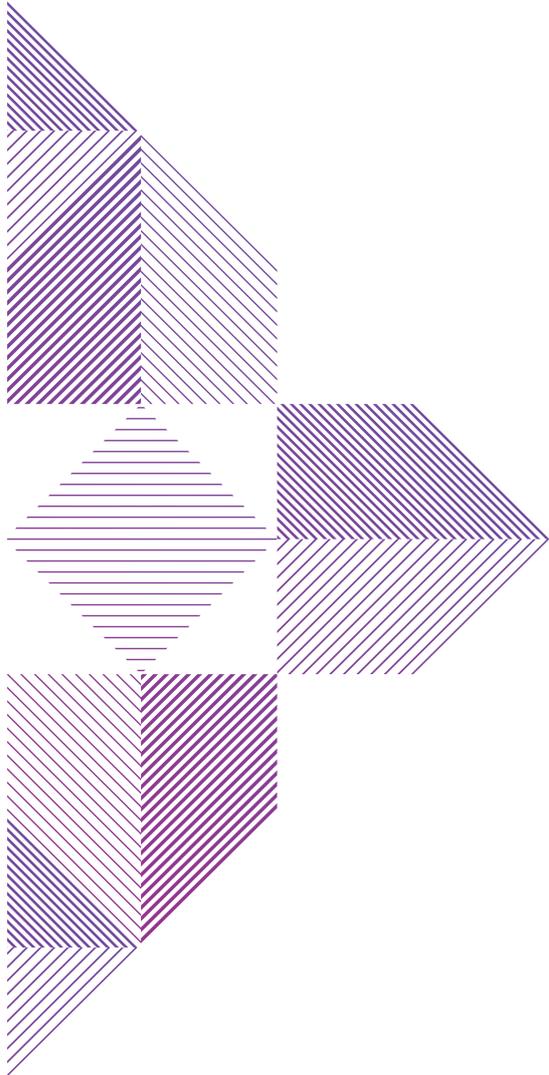
As required under the *Emergency Management Act 2013*, I have consulted broadly with all parts of the emergency management sector affected by the Framework and the State Crisis and Resilience Council. I would like to thank everyone who contributed to the development of the framework for their expertise, enthusiasm and cooperation.

The Framework is only one element of significant reforms to emergency management in Victoria, including the establishment of Emergency Management Victoria, the role of the Emergency Management Commissioner and the implementation of the *Emergency Management Strategic Action Plan*, and its work programs, by the sector.

I look forward to working collaboratively with our emergency management partners to implement the Framework to support continuous improvement across the emergency management sector.

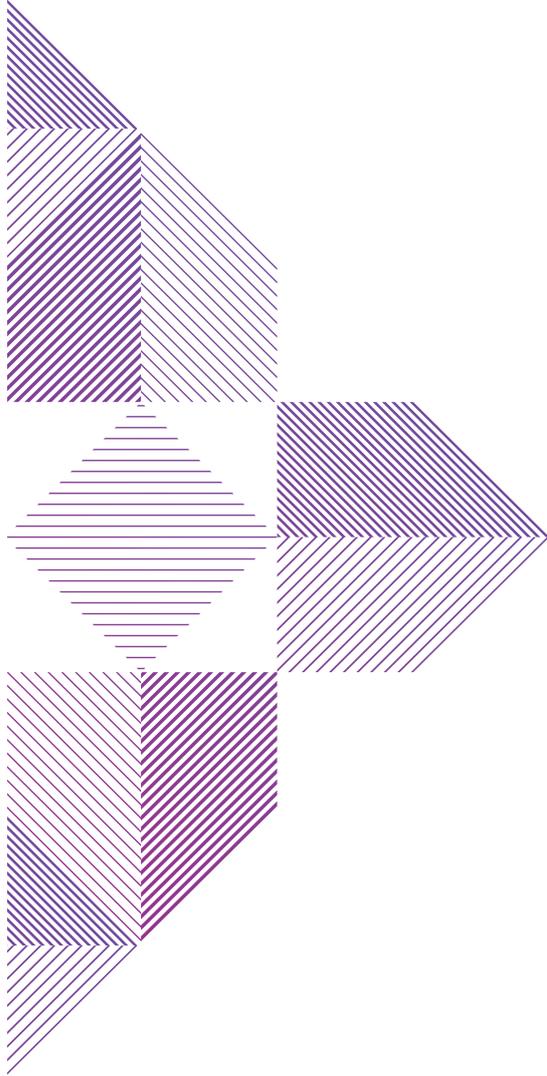
Tony Pearce

Inspector-General for Emergency Management



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1. Executive overview

What is the Monitoring and Assurance Framework?

The *Monitoring and Assurance Framework for Emergency Management* (the Framework) provides a starting point for a coordinated and collaborative approach to sector-wide assurance. There is a need to provide assurance to government and the community that lessons from emergencies will be identified and turned into sustainable improvements to emergency management arrangements which make a lasting difference.

For this reason, Emergency Management Victoria (EMV) and the Inspector-General for Emergency Management (IGEM) have been established to strengthen Victoria's emergency management system.

To support this, a legislated function of IGEM is to develop and maintain the Framework, including outcome measures, against which the capacity, capability and performance of the emergency management sector (the sector) is to be assessed. The Framework is the overarching assurance framework for the sector.

What are the objectives of the Monitoring and Assurance Framework?

The Framework aims to contribute to the shared sector vision of 'safer and more resilient communities'.

The objectives of the Framework are to:

- support continuous improvement across the sector
- drive a coordinated approach to assurance activities across the sector
- promote a common assurance platform and approach for the sector
- describe IGEM's assurance approach and activities.

Who is responsible for assurance?

All organisations have a role in assurance of the emergency management system. Assurance activities within the sector – such as evaluations, reviews, monitoring, audits and debriefs – occur at many levels including:

- **organisational** – i.e. agencies, departments, organisations
- **system** – i.e. EMV and IGEM undertaking various distinct assurance activities, focusing on interoperability across the sector
- **independent** – independent inquiries, reviews, monitoring and the Victorian Auditor-General's Office.

As a general principle, the identification of areas for improvement and associated assurance activities start at the organisational level. The Framework also provides an avenue to examine issues that have sector-wide implications or implications for multiple organisations.

It should be emphasised that the general principle outlined above does not preclude the conduct of assurance activities at any level, or at any time, including by direction of the minister. Ongoing consultation and engagement across organisations is essential to reduce any gaps and minimise duplication in assurance activities.

How will IGEM undertake its assurance activities?

Ongoing consultation with the sector underpins IGEM's approach.

Assurance activities undertaken by IGEM are:

- **Performance monitoring** to proactively identify emerging performance issues, risks and trends. IGEM will seek to leverage the data gathered through EMV's *Emergency Management Performance Framework* and organisations' existing risk and performance information.
- **Evaluation and review** to provide reliable, evidence-based information that may aid decision making or provide in depth analysis of a given emergency management theme or topic. IGEM will develop an annual forward plan of reviews in consultation with sector organisations, which will be published to provide advance notice of planned IGEM evaluations and reviews. The minister may, with the agreement of any other relevant minister, make IGEM reviews or reports publicly available.
- **Implementation monitoring** to track the implementation of agreed actions and recommendations from major reviews and inquiries. Examples include the 2009 Victorian Bushfires Royal Commission, the Hazelwood Mine Fire Inquiry (in consultation with the Hazelwood Mine Fire Implementation Monitor), and evaluations and reviews conducted by IGEM. IGEM also has a legislated function to monitor and report on the implementation of actions under the *Emergency Management Strategic Action Plan*. In conducting all implementation monitoring activity, IGEM will endeavour to leverage existing information and data from the sector.

Further detail on specific elements of the Framework, including IGEM assurance activities, will be outlined in guidance notes developed in partnership with the sector and introduced progressively as part of the implementation of the Framework.

2. Introduction

Victoria has endured a number of significant natural disasters and emergencies over time that have resulted in significant social, environmental and economic impacts.

These events, and others, have generated considerable government and community concern and resulted in a number of independent reviews or inquiries at various levels. In addition to these, the sector has conducted a range of assurance activities that have been undertaken routinely or in response to specific incidents or events.

Over the years, assurance activities (including reviews and inquiries) have generated hundreds of recommendations and actions aimed at supporting the continuous improvement of emergency management in Victoria. The sheer volume of recommendations and actions, some of which may be interdependent, come with resource implications and implementation challenges for the sector.

To lead a coordinated approach to assurance for the sector, the *Emergency Management Act 2013* (the Act) established the Inspector-General for Emergency Management. Effective as of 1 July 2014, IGEM's legislated objectives are to:

- provide assurance to the government and the community in respect of emergency management arrangements in Victoria
- foster continuous improvement of emergency management in Victoria.

A legislated function of IGEM is to develop and maintain the Framework, including outcome measures, against which the capacity, capability and performance of the sector is to be assessed. The Framework is the overarching assurance framework for the sector and describes a process by which the sector can demonstrate improvements in performance over time. The Framework was developed in consultation with the sector and provides a starting point for a coordinated and collaborative approach to sector-wide assurance.

In accordance with the Act, the sector means all agencies, bodies, departments and other persons who have a responsibility, function or other role in emergency management.

As the sector undertakes assurance activities at various levels, a clearly defined monitoring and assurance framework assists in clarifying roles and responsibilities, and supports accountability. This will promote a coordinated and collaborative approach for assurance activities, and thereby create efficiencies and foster continuous improvement in emergency management.

3. Purpose of the document

The purpose of this document is to describe the Framework. The audience for this document is the Minister for Emergency Services, the State Crisis and Resilience Council, the sector and the community.

In accordance with this purpose, this is a high level, principles-based document that provides a starting point for sector assurance which will be progressively updated over time. It will be supported by guidance notes developed in partnership with the sector and introduced progressively as part of the implementation of the Framework.

4. Framework objectives

The Framework provides a means for the sector to provide assurance to government and the community that lessons from emergencies will be identified and turned into sustainable improvements which make a lasting difference.

The objectives of the Framework are to:

- support continuous improvement across the sector
- drive a coordinated approach to assurance activities across the sector
- promote a common assurance platform and approach for the sector
- describe IGEM's assurance approach and activities.

5. Principles

The following principles underpin the Framework:

Continuous improvement

The sector supports a culture of continuous improvement by:

- sharing results of assurance activities and information on contemporary, better practice in emergency management
- focusing on systems of work – and not individuals – to ensure that assurance is non-adversarial
- understanding that the sector requires time, resources, and the opportunity to identify and implement sustainable solutions.

Collaboration and coordination

The sector works together, and with Victorian communities, to ensure a coordinated approach to assurance to reduce unnecessary duplication by leveraging shared information and systems.

Adding value

Assurance is proportionate and considers risk-based approaches. The results provide evidence-based, meaningful, and timely information for the sector, government and the community about the performance of the sector and opportunities for improvement.

Reducing burden

Assurance activities should be conducted in the most efficient way possible taking into account the need to not create unnecessary burden for organisations.

Where possible, required information to support assurance activities should be acquired through existing organisational mechanisms, EMV's *Emergency Management Performance Framework* and information already gathered through any existing monitoring or review process.

6. Key concepts

The following describes key terms and their application within the context of the Framework.

Assurance

Assurance is an expression or statement designed to increase the confidence of government and the community in the ability of the emergency management system to plan for, respond to and recover from emergencies.

Assurance encompasses the identification of risks that may hinder the achievement of the outcomes and objectives of the emergency management system.

The identification of risks is based on an objective and evidence based assessment of information in relation to the capacity, capability, and performance of the sector.

These risks are owned and managed by designated organisations within the sector and may occur anywhere across the organisation and at system level.

System level

In the context of the Framework, system level refers to issues associated with how organisations work together before, during and after emergencies.

7. Scope

The Framework exists within a broader context of continuous improvement in the sector, which may be described by a Plan-Do-Check-Act cycle (Figure 1).

The four phases of the cycle typically involve:

- **Plan** – determining the objectives, clarifying roles and responsibilities and establishing success factors.
- **Do** – organising activities to deliver on the objectives of the plan and implementing the plan.
- **Check** – measuring performance against pre-determined success factors and reviewing to determine successes and areas for improvement.
- **Act** – taking action on lessons identified to drive continuous improvement.

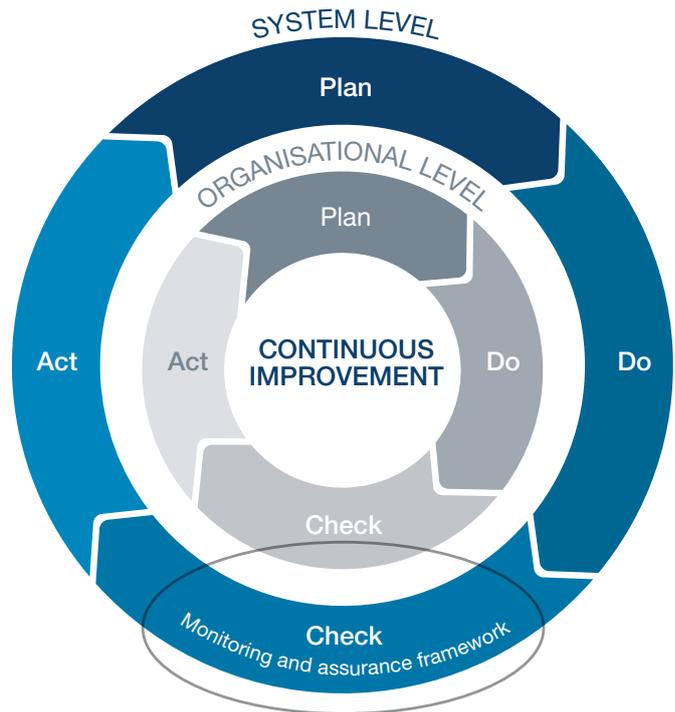
Every organisation has internal processes to support its routine operations. These are overseen by boards or departmental senior executive groups.

Sector organisations work together to manage emergencies. Maximising the ability of organisations to work together and share resources is a key function of EMV.

The Framework describes assurance activities that support the continuous improvement of the emergency management system.

This includes assurance of the overarching governance, risk and resilience, capability and response, and relief and recovery arrangements in Victoria.

Figure 1: Monitoring and Assurance Framework within the Plan-Do-Check-Act cycle



8. Components of the emergency management system

The emergency management system is comprised of the following components: governance, risk and resilience, capability and response, and relief and recovery. In the context of assurance, each of these components (and their sub-components) can be described in terms of inputs, processes, outputs, and outcomes, which ultimately all contribute to the shared vision of 'safer and more resilient communities'.

With the shared vision established, EMV in consultation with the sector will determine the outcomes it requires to realise it. From this point, the sector can establish the outputs it needs to produce and determine the processes and inputs required to produce them.

The following provides a brief description of Vision, Outcomes, Outputs, Processes and Inputs:

- **Vision** – the changed state that the sector seeks to achieve in the long term (safer and more resilient communities).
- **Outcomes** – the impacts or results of services produced or provided by the sector for the community.
- **Outputs** – services produced or provided by the sector for the community.
- **Processes** – activities carried out by the sector in order to deliver services.
- **Inputs** – resources and assets, including systems, used by the sector to provide services for the community.

9. Assurance roles and responsibilities

All organisations have a role in assurance of the emergency management system. To ensure a coordinated approach, it is important to clarify the roles and responsibilities associated with assurance activities across the sector.

Assurance activities within the sector occur at many levels as there are a multitude of organisations accountable for mitigating risks within the emergency management system.

Figure 2 outlines levels of assurance, based on actual roles and responsibilities that feature in the emergency management system. The model clarifies how each organisation contributes to the overall level of assurance provided as well as describing how they are integrated and mutually supportive. This has the added benefit of increased accountability across the emergency management system.

The results of assurance activities seek to:

- aid decision making by the State Crisis and Resilience Council and its sub-committees and government
- increase the confidence of government and the community in the ability of the emergency management system to plan for, respond to and recover from emergencies.

Figure 2: Levels of assurance

ORGANISATIONAL	SYSTEM	INDEPENDENT
<p><i>(i.e. agencies, departments, organisations)</i></p> <p>All organisations undertake assurance activities to assess the capacity, capability and performance of their organisation, and to inform system level assurance.</p> <hr/> <p>Where a performance issue is identified through organisational or system level assurance activities, accountable organisation(s) should be provided with the first opportunity to implement sustainable solutions.</p>	<p><i>(i.e. EMV and IGEM)</i></p> <p>The system level focuses on interoperability across the sector. EMV and IGEM will undertake various distinct assurance activities at this level.</p> <p>EMV's focus is on improving capability and capacity and setting performance standards and measures.</p> <p>IGEM's focus is on assessing the capacity, capability and performance of the sector against outcome measures.</p> <p>EMV and IGEM will leverage the data gathered through EMV's <i>Emergency Management Performance Framework</i> and organisations' existing risk and performance information to inform their respective assurance activities.</p> <hr/> <p>Where an identified performance issue persists despite attempts to address it or has system level implications, it may warrant further system level assurance activities or solutions.</p>	<p><i>(i.e. independent inquiries or reviews, independent monitors and the Victorian Auditor-General's Office)</i></p> <p>Independent assurance activities may be commissioned to assess the emergency management system holistically, including the role of EMV and IGEM.</p> <hr/> <p>Where an identified performance issue continues to persist or has broader implications, it may warrant independent assurance activities.</p>

As a general principle, the identification of areas for improvement and associated assurance activities should occur at the organisational level where the issue is specific to the organisation. The Framework provides an avenue to further examine an issue where it becomes evident that its resolution will have sector-wide implications or implications for multiple organisations.

It should be emphasised that the general principle outlined above does not preclude the conduct of system or independent assurance activities at any level, including by direction of the minister. Ongoing consultation and engagement across organisations is essential to ensure that there are no gaps and to minimise duplication in assurance activities.

10. Emergency management assurance activities

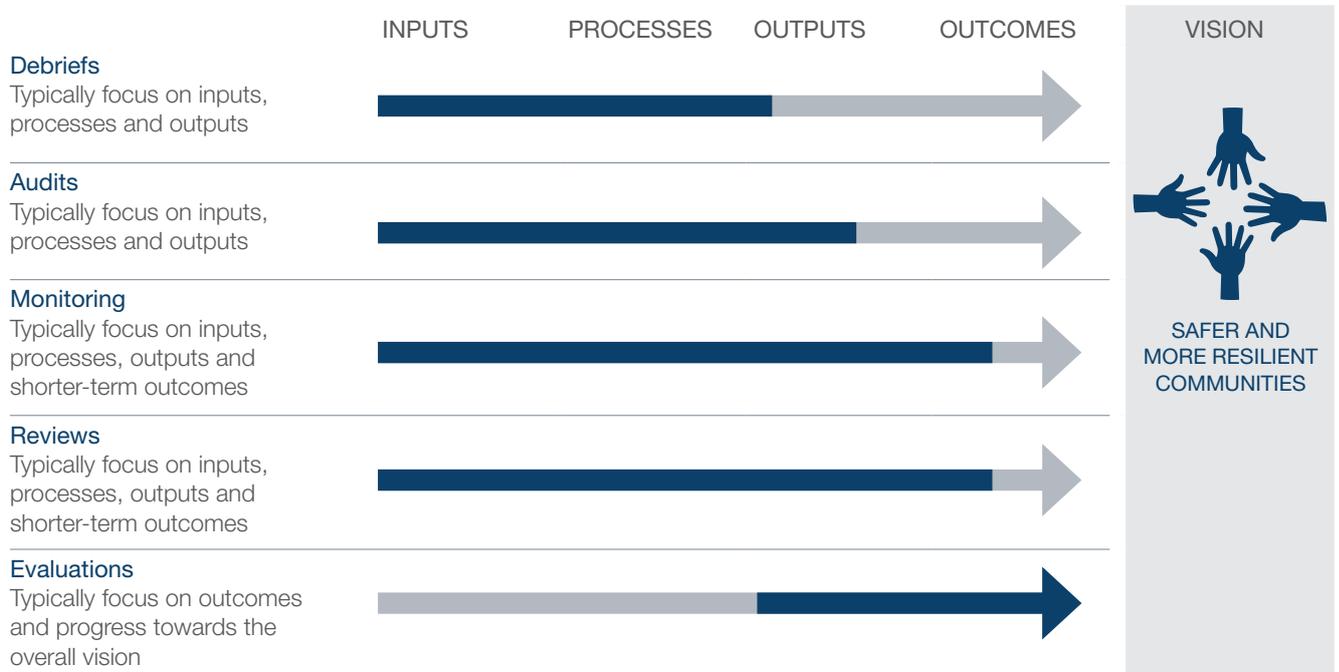
Assurance activities are undertaken at various levels in order to measure and assess capacity, capability and performance.

Table 1 lists examples of assurance activities that are conducted within the sector, and Figure 3 illustrates the linkages between assurance activities and inputs, processes, outputs, outcomes, and the overall vision.

Table 1: Emergency management assurance activities

ASSURANCE ACTIVITY	DESCRIPTION	EXAMPLES
Debriefs	Debriefs typically occur shortly after a specific incident or event to allow participants to share aspects that worked well and identify areas for improvement. Debriefs work best when there is an established and consistent process to ensure the observations are captured, analysed and subsequently used to inform future decision-making.	<ul style="list-style-type: none"> • Organisational debriefs • Multi-agency debriefs
Audits	Audits typically seek to assess whether inputs, processes and outputs have been delivered in accordance with legislation, established rules, regulations, procedures, or standards. They can be used to inform decisions and remedial actions and provide accountability.	<ul style="list-style-type: none"> • Financial, performance, compliance, quality or safety-oriented audits
Monitoring	Monitoring is ongoing and typically seeks to assess progress towards the delivery of inputs, processes, outputs, and shorter-term outcomes. Monitoring supports accountability by assessing progress against actions, recommendations, and key projects/initiatives. Monitoring can also proactively identify issues, trends and risks and provide an indication of community and sector sentiment. Therefore, monitoring can be used to inform decisions and remedial actions, as well as potential reviews or evaluations of high-risk areas.	<ul style="list-style-type: none"> • Responder agency reporting on operational standards • Real-time performance monitoring or evaluation • Community and workforce surveys • Project tracking and reporting
Reviews	Reviews typically seek to assess the delivery of inputs, processes, outputs, and shorter-term outcomes. They identify key issues and can be used to inform decisions and remedial actions. Reviews collectively involve stakeholders to foster continuous improvement, enable the sharing of learnings and successes, and provide accountability. Reviews are often undertaken in response to specific incidents or a period of emergency.	<ul style="list-style-type: none"> • After Action Reviews • EMV's annual Post Season Operations Review <p><i>Both of these examples draw on a range of debriefing, incident, and activity-specific reviews across the state.</i></p>
Evaluations	Evaluations typically seek to assess progress towards the achievement of outcomes and overall vision in practice. Evaluations focus on longer-term impacts and encompass the identification of lessons and recommendations for longer-term planning and sector learning. Often proactive in nature, the purpose of evaluations is to share learnings and successes and to provide accountability.	<ul style="list-style-type: none"> • Evaluations of government-funded programs

Figure 3: Linkages between assurance activities, inputs, processes, outputs, outcomes and vision



To promote efficiencies, assurance activities should link strategically with, and take into account existing government and sector processes. This involves the sector working collaboratively to ensure that there are appropriate linkages with:

- organisational debriefs, evaluations and reviews
- reviews and audits undertaken or being undertaken by external bodies
- government funding processes and reporting requirements
- the *Emergency Management Strategic Action Plan*.

11. IGEM assurance activities

The legislated objectives of IGEM are to provide assurance to the government and the community in respect of emergency management arrangements in Victoria, and foster their continuous improvement.

Ongoing consultation with the sector underpins IGEM's approach.

The relationship between broader sector processes and IGEM assurance activities is shown in *Figure 4*. Further detail on IGEM assurance activities and the products that IGEM will produce for community, government and the sector is provided in *Table 2*.

Figure 4: Relationship between broader sector processes and IGEM assurance activities

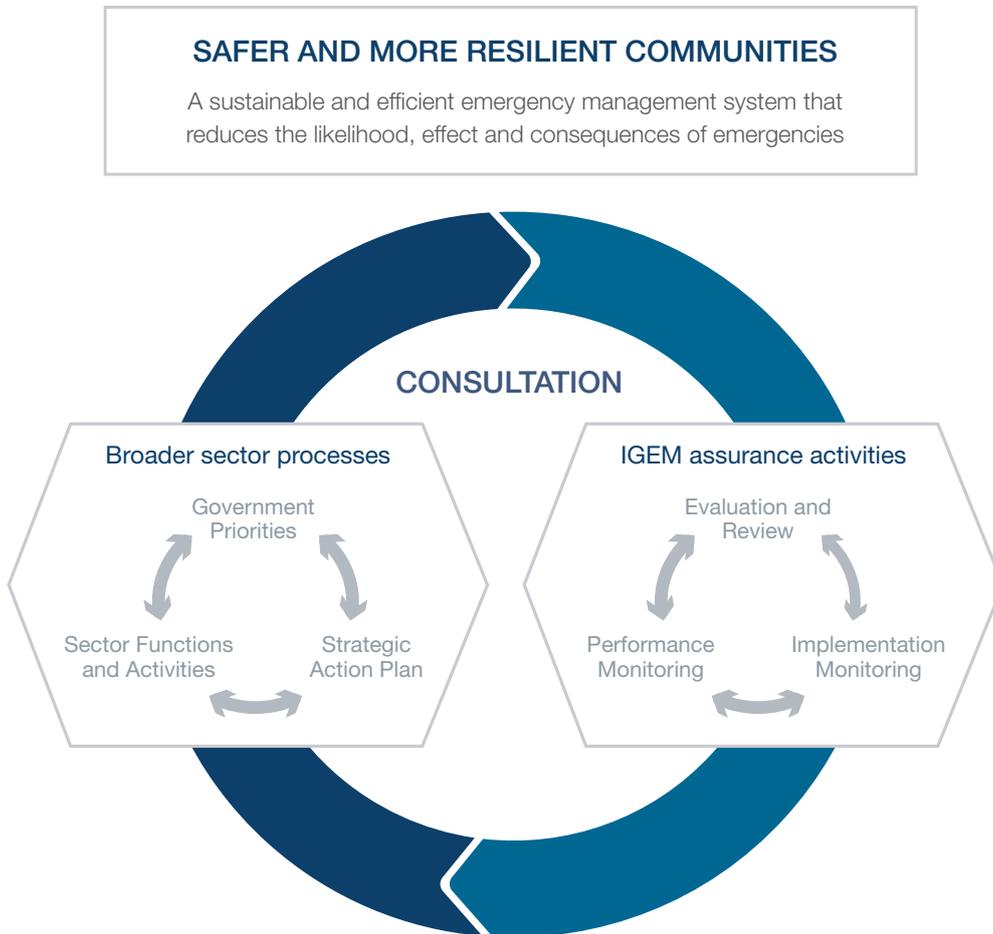
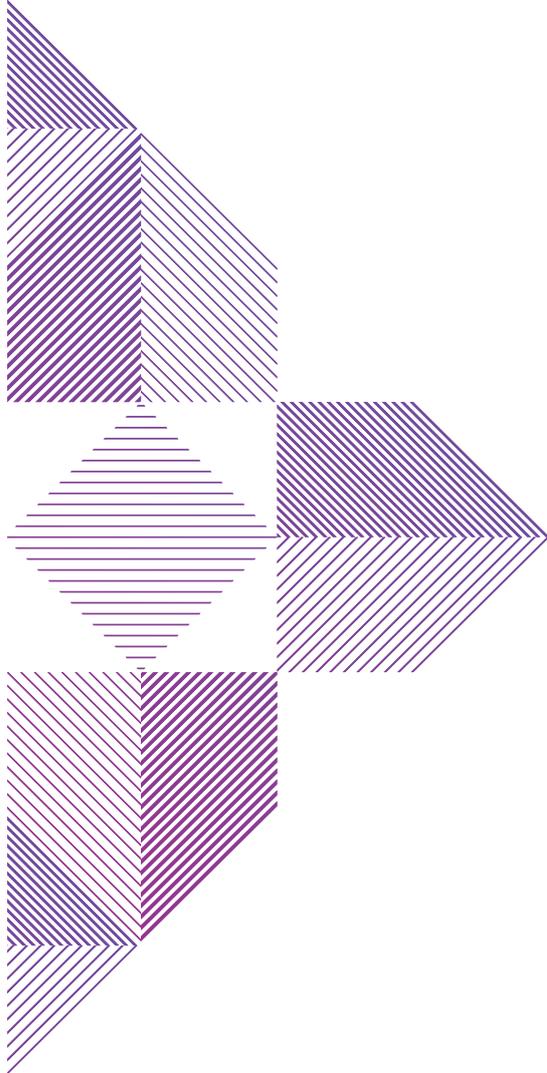


Table 2: IGEM assurance activities

IGEM ASSURANCE ACTIVITIES	DESCRIPTION	EXAMPLES OF PRODUCTS
Performance monitoring	<p>IGEM will undertake monitoring to proactively identify emerging performance issues, risks and trends. IGEM will seek to leverage the data gathered through EMV's <i>Emergency Management Performance Framework</i> and organisations' existing risk and performance information.</p> <p>This function is closely linked with implementation monitoring in that consideration will be given to the status of planned improvement actions in assessing performance, in consultation with the sector.</p>	<ul style="list-style-type: none"> • Performance reports • Briefings
Evaluation and review	<p>IGEM will conduct evaluations and reviews to provide reliable, evidence based information that may aid decision making or provide in depth analysis of a given emergency management theme or topic.</p> <p>IGEM will develop and publish an annual forward plan of reviews to provide the sector with advance notice of planned evaluations and reviews. As part of the forward plan development process IGEM will consult broadly with the sector, including providing a mechanism for organisations to provide input into prospective areas for review. The forward plan will also include provision for the conduct of reactive reviews undertaken into specific emergencies.</p> <p>IGEM evaluations and reviews will be conducted in accordance with the provisions of the <i>Emergency Management Act 2013</i> (the Act). This includes consulting and taking into account the role and functions of the Coroner, Victoria Police, the Director of Public Prosecutions, the Commissioner for Privacy and Data Protection, and the Independent Broad-based Anti-corruption Commission.</p> <p>IGEM will seek and provide the opportunity for affected organisations to supply information to inform the evaluation or review as well as feedback and comment on draft reports.</p> <p>The Minister for Emergency Services may, with the agreement of any other relevant minister, make IGEM reviews or reports publicly available.</p> <p>Recommendations from IGEM evaluations and reviews may inform the development of future <i>Emergency Management Strategic Action Plan</i> initiatives and will be monitored in accordance with IGEM's implementation monitoring function.</p>	<ul style="list-style-type: none"> • Annual forward plan of reviews • Evaluation reports • Review reports
Implementation monitoring	<p>IGEM will monitor the implementation of recommendations and agreed actions from major reviews and inquiries and the recommendations and implementation actions arising from IGEM evaluations and reviews.</p> <p>IGEM also has a legislated function to monitor and report on the implementation of the <i>Emergency Management Strategic Action Plan</i>.</p> <p>In conducting all implementation monitoring activity, IGEM will endeavour to leverage existing information and data from the sector.</p> <p>In accordance with agreed protocols, IGEM may also undertake in-field activities to directly observe whether changes are being achieved or realised in practice during emergency events.</p> <p>Where more in-depth consideration or analysis is required in relation to the implementation of recommendations and agreed actions, IGEM will consult with EMV and the sector to determine whether an evaluation or review is required.</p>	<ul style="list-style-type: none"> • <i>Emergency Management Strategic Action Plan</i> implementation reports • Implementation reports following major reviews and inquiries • Implementation reports following IGEM reviews



12. Implementation of the Framework

The Framework will be implemented progressively and IGEM will work collaboratively with the sector to:

- develop a communication and implementation strategy for the Framework
- develop guidance notes that provide further detail on specific elements of the Framework
- undertake ongoing monitoring activities and conduct evaluations and reviews as scheduled in its annual forward plan of reviews or at the request of the Minister for Emergency Services
- evaluate the Framework for the purposes of its continuous improvement.

