

Section 2 – Profile Vulnerability

Description: Vulnerability is analyzed and an entity vulnerability profile is developed.

2.1 – Existing information collected and reviewed.

Existing information about the vulnerability of the entity at risk is collected and reviewed. Review criteria should include currency, reliability, and accuracy.

Section 2 – Profile Vulnerability

2.1

CRITERIA

Existing information collected and reviewed

Current Capability:



EVIDENCE

Existing information about the vulnerability of the entity at risk is collected and reviewed. Review criteria...



Future Target:



2.2 – A broad and comprehensive information set is gathered.

The “environmental” information is broad and comprehensive. The information should cover and provide input to considerations related to the risk assessment criteria. It should include but is not limited to systems or networks which provide for the movement of people, goods, services, and information upon which the health, safety, comfort, and economic activity of the community depend; elements from the natural environment such as topographical features, water bodies, and ecosystems; and the nature of the community, incorporating characteristics of elements such as politics, economics, and culture.

2.2

CRITERIA

A broad and comprehensive informatio

Current Capability:

N P L F

EVIDENCE

The “environmental” information is broad and comprehensive. The information should cover and provide ...



Future Target:

N P L F

2.3 – Measures of social protection are described and assessed.

A range of best practice performance criteria should be used to assess the level of social protection provided by responsible authorities such as planning authorities, emergency service providers and those responsible for warning.

2.3

CRITERIA

Measures of social protection are descr

Current Capability:

N P L F



EVIDENCE

A range of best practice performance criteria should be used to assess the level of social protection provided by ...



Future Target:

N P L F



2.4 – Measures of self-protection are described and assessed.

Self-protection should be assessed in relation to current exposure / location; mitigation and preparedness activities of the entity; knowledge of and attitude to potential risks

2.4

CRITERIA

Measures of self protection are describ

Current Capability:

N

P

L

F



EVIDENCE

Self protection should be assessed in relation to current exposure / location; mitigation and preparedness activities ...



Future Target:

N

P

L

F



2.5 – Information gaps are met.

Any gaps in the required information need to be met. Gaps may be functions of information insufficiency (quantity) or information inadequacy (quality).

2.5

CRITERIA

Information gaps are met.

Current Capability:



EVIDENCE

Any gaps in the required information need to be identified and met. Gaps may be functions of information ...



Future Target:



Section 3 – Profile Hazards

Description: Hazards are identified, analyzed and profiled.

3.1 – Stakeholders are consulted.

Stakeholders are consulted to identify what can happen and how and why it can happen. This involves the identification of all perceived sources of risks, using techniques such as Delphi, brainstorming, polling, and research.

3.1

CRITERIA

Stakeholders are consulted.

Current Capability:



EVIDENCE

Stakeholders are consulted to identify what can happen and how and why it can happen. This involves the ...



Future Target:



3.2 – Sources of risk are researched.

Each identified source of risk is researched. This involves collecting and documenting relevant information such as research results, maps, Geographic Information System outputs, expert opinion, case studies and technical reports.

3.2

CRITERIA

Sources of risk are researched.

Current Capability:



EVIDENCE

Each identified source of risk is researched. This involves collecting and documenting relevant information suc...



Future Target:



3.3 – Hazard characteristics are established.

Key characteristics of each hazard are established.

These include characteristics such as scope, spatial and temporal scale and perceptions. Specific key characteristics will be derived from context – they should focus on supporting decisions using the decided assessment criteria. Key aspects of the hazards to which the entity is likely to be subject are detailed including Perceived dread; Frequency of occurrence; Magnitude and potential intensity; Likely strike location; Probable spatial extent; Duration; Seasonality; and Speed of onset.

3.3

CRITERIA

Hazard characteristics are established.

Current Capability:



EVIDENCE

Key characteristics of each hazard are established.
These include characteristics such as ...



Future Target:



3.4 – Risk analysis basis is identified.

What, why, and how things can arise are identified as the basis for risk analysis. Particular focus should be given to those things which can inform scenario analysis.

3.4

CRITERIA

Risk analysis basis is identified.

Current Capability:



EVIDENCE

What, why and how things can arise is identified as the basis for risk analysis. Particular focus should be given to ...



Future Target:



3.5 – Information gaps are met.

Any gaps in the required information need to be met. Gaps may be functions of information insufficiency (quantity) or information inadequacy (quality).

3.5

CRITERIA

Information gaps are met.

Current Capability:



EVIDENCE

Any gaps in the required information need to be met. Gaps may be functions of information insufficiency (quantity) ...



Future Target:



Section 4 – Analyze & Prioritize Risks

Description: Causes and effects of the hazard/vulnerability interaction are analyzed

4.1 – A range of methods is used.

A range of analysis methods and tools should be used. These include, but are not limited to: What- if, Checklist, What-if checklist, Hazard and operability studies, Failure modes and effect analysis, Fault trees, Failure-logic diagrams, event-tree analysis.

4.1

CRITERIA

A range of methods is used.

Current Capability:



EVIDENCE

A range of analysis methods and tools should be used. These include, but are not limited to: What-if, Check list, What...



Future Target:



4.2 – Scenarios are created & applied.

In the complex emergency management context, scenario analysis is recommended as a core, general methodology. Risk is usefully explored as a function of Hazard × Vulnerability (where the key elements of Vulnerability are exposure and sensitivity as compounding variables, and capacity or capability as an ameliorating variable).

A focus of considerations should be Business Impact Analysis from the perspective of the entity. Interactive risk characterization should be undertaken. The analysis is a process incorporating considerations of hazard, consequences, and vulnerability, within the context of existing control measures, to characterize risk. This form of risk characterization is an iterative, analytic-deliberative process. The risk characterization processes should incorporate a synthesis and summary of information about a hazard that addresses the needs and interests of decision-makers and affected parties. The objective of the process is to provide information to assist in the evaluation of risks. The information produced will also assist the process of developing options for the treatment of risk. Any gaps in the required information need to be met. Gaps may be functions of information insufficiency (quantity) or information inadequacy (quality). There should be a focus on techniques which reduce uncertainty. This analysis uses judgments and assumptions which may be based on incomplete information. Therefore best available information sources and techniques should be used when characterizing hazard, consequences, and vulnerability. Sensitivity analysis should also be applied to explore uncertainty. Scenarios are varied to examine how the results of a consideration or model vary as

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4.2

CRITERIA

Scenarios are created & applied.

Current Capability:



EVIDENCE

In the complex emergency management context, scenario analysis is recommended as a core, general ...



Future Target:



4.3 – Risks are ranked.

All risks analyzed are ranked using the developed likelihood and consequence criteria. A matrix with sufficient detail to advise management priority should be used.

4.3

CRITERIA

Risks are ranked.

Current Capability:



EVIDENCE

All risks analyzed are ranked using the developed likelihood and consequence criteria. A matrix with sufficient detail t...



Future Target:



4.4 – Evaluation informs intervention.

The evaluation informs a broad range of risk treatment considerations. Evaluation should not only contain information appropriate to response. Prevention, preparedness, response, and recovery needs and opportunities should be addressed. There is a particular focus on the identification of capacity-building opportunities under the responsibility, control or influence of the entity.

4.4

CRITERIA

Evaluation informs intervention.

Current Capability:



EVIDENCE

The evaluation informs a broad range of risk treatment considerations.
Evaluation should not only contain ...



Future Target:



4.5 – Best practice benchmarking and case studies.

Benchmarking and table-top studies exhibit the characteristics of exemplary case studies.

- o **Significance** i.e. individual case/cases are unusual or of significant interest, the underlying issues are important to the entity in some way or both of the above.

- o **Completeness** i.e. within constraints of time or funding, distinction between the phenomenon under study and the context, exhaustive collection of relevant evidence.

- o **Consideration of Alternative Perspectives** i.e. rival propositions and analysis of evidence from different perspectives.

- o **Display of Sufficient Evidence** i.e. neutral, selective data collection to judiciously and effectively present the most compelling evidence.

- o **Composed in an Engaging Manner** i.e. clear writing style.

4.5

CRITERIA

Best practice benchmarking and case s

Current Capability:



EVIDENCE

Benchmarking and table top studies exhibit the characteristics of exemplary case studies.



Future Target:





Section 5 – Develop Intervention Programs

5.1 – A comprehensive range of options is identified.

A comprehensive range of options for treating risk should be identified. This needs to demonstrate evidence of applying an open and innovative approach designed to generate a broad range of risk treatment options. The risk evaluation information for each risk should serve as a suitable input to this process. Frameworks for comprehensive and integrated approaches include Prevention, Preparedness, Response, and Recovery; The Hierarchy of Control from safety management disciplines; Standard risk management options of avoiding risk, reducing the likelihood of occurrence, reducing the consequences of occurrence, transferring the risk, or retaining the risk.

5.1

CRITERIA

A comprehensive range of options is ide

Current Capability:



EVIDENCE

A comprehensive range of options for treating risk should be identified. This needs to demonstrate evidence of ...



Future Target:



Section 5 – Develop Intervention Programs

5.1 – A comprehensive range of options is identified.

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5.1

CRITERIA

A comprehensive range of options is idk

Current Capability:



EVIDENCE

A comprehensive range of options for treating risk should be identified. This needs to demonstrate evidence of ...



Future Target:



5.2 – Identified options are evaluated.

Identified options for treating risk are evaluated against determined criteria. While sensitive to entity context, the criteria used in evaluating the viability of any given option may include considerations of risk reduction potential, cost-effectiveness, continuity or sustainability of effects, risk creation potential, leverage leading to further risk-reducing actions by others, return on investment payback, compatibility and integration with other actions that may be adopted, and equity.

5.2

CRITERIA

Identified options are evaluated.

Current Capability:



EVIDENCE

Identified options for treating risk are evaluated against determined criteria. While sensitive to entity context, the ...



Future Target:



5.3 – Risk treatment plans are prepared.

Plans should document how the chosen options shall be implemented. The treatment plan should identify responsibilities, schedules, the expected outcome of treatments, budgeting, performance measures and the review process to be set in place.

5.3

CRITERIA

Risk treatment plans are prepared.

Current Capability:



EVIDENCE

Plans should document how the chosen options shall be implemented. The treatment plan should identify ...



Future Target:



5.4 – Risk treatment plans are implemented.

Implementation should be assessed to achieve milestones on time and against budget.

5.4

CRITERIA

Risk treatment plans are implemented.

Current Capability:



EVIDENCE

Implementation should be assessed to achieve milestones on time and against budget



Future Target:



5.5 – Decision-making is sound.

Research, information management, and decision-making demonstrate rigor. “Crucial Decisions (after Janis) style approaches are used – including the use of rigor, best available information sources and validation techniques.

5.5

CRITERIA

Decision making is sound.

Current Capability:



EVIDENCE

Research, information management and decision making demonstrate rigor.
“Crucial Decisions” (after Janis) style ...



Future Target:



Section 6 – Communication and Warning

Description: This aspect of the risk management processes applies across all elements of the framework.

6.1 – Risk communication principles are applied.

Best practice risk communication principles should be applied. These include a focus on the primacy of purpose – working for resilience outcomes; devoting effort and resources to building bridges with other organizations; establishing long term relationships of trust; not make assumptions about what people know, think, or want done – rather, find out; identify stakeholders; involve all parties that have a stake; involve them early; lean toward sharing more information, not less; be sensitive to norms; speech and dress; use simple, non-technical language; use vivid, concrete images that communicate on a personal level; use examples; acknowledge and respond to emotions; anxiety, fear, anger, outrage, and helplessness.

6.1

CRITERIA

Risk communication principles are appl

Current Capability:



EVIDENCE

Best practice risk communication principles should be applied. These include a focus on the primacy of ...



6.2 – Risk message construction is a focus.

Risk messages should be well-structured and easily understood. This invokes criteria around the necessary and sufficient elements to be included in messages and the need for the use of sound communication techniques.

6.2

CRITERIA

Risk message construction is a focus.

Current Capability:

N

P

L

F



EVIDENCE

Risk messages should be well structured and easily understood. This invokes criteria around the necessary and ...



Future Target:

N

P

L

F



6.3 – Stakeholder needs are addressed.

Communication processes should be inclusive and meet the varying needs of stakeholders. Planning processes interactively involve the exchange of information and opinion about risk and its management among individuals, groups, and institutions.

6.3

CRITERIA

Stakeholder needs are addressed.

Current Capability:



EVIDENCE

Communication processes should be inclusive and meet the varying needs of stakeholders. Planning processes ...



Future Target:



6.4 – Communications capability is developed and maintained.

Development and maintenance of a reliable communications capability to alert and warn stakeholders and effectively manage response to an actual or impending emergency. To what extent is warning treated as a complete system. The system should integrate the detection of an extreme event with effective communication to those at risk – from observation of indicators of an impending extreme event to informing those at risk of impact implications and appropriate protective behavior.

6.4

CRITERIA

Communications capability is develope

Current Capability:



EVIDENCE

Development and maintenance of a reliable communications capability to alert and warn stakeholders and ...



Future Target:



6.5 – Warning elicits appropriate protective behavior.

Warning should elicit appropriate protective behavior.

This evidence is difficult to simulate as it occurs in different and complex contexts under extreme stress – it may need to rely on prior performance analysis and case studies.

6.5

CRITERIA

Warning elicits appropriate protective k

Current Capability:



EVIDENCE

Warning should elicit appropriate protective behavior. This evidence is difficult to simulate as it occurs in ...



Future Target:



Section 7 – Train, Exercise and Evaluate

Description: Activities which train, exercise, or evaluate any elements of business continuity planning may be conducted to promote awareness, develop and demonstrate capability, confirm preparedness, or to test plans.

7.1 – Activity range is broad.

To what extent is a broad range of activities which train, exercise, or evaluate elements of business continuity planning conducted to promote awareness, develop and demonstrate capability, confirm preparedness or to test plans.

7.1

CRITERIA

Activity range is broad.

Current Capability:



EVIDENCE

To what extent is a broad range of activities which train, exercise or evaluate elements of business ...



Future Target:



7.2 – Activity aims are determined.

The aim and objectives of each activity (training, exercise, or evaluation) are determined. By identifying the need for the activity; consulting with stakeholders; determining activity aim; and determining activity objectives.

7.2

CRITERIA

Activity aims are determined.

Current Capability:



EVIDENCE

The aim and objectives of each activity (training, exercise or evaluation) are determined. By identifying the need for...



Future Target:



7.3 – Activity is planned.

The activity (training, exercise, or evaluation) is planned. By consulting with stakeholders; identifying appropriate type of activity to meet need; apply planning processes effectively; and identifying resource requirements.

7.3

CRITERIA

Activity is planned.

Current Capability:



EVIDENCE

The activity (training, exercise or evaluation) is planned. By consulting with stakeholders; identifying ...



Future Target:



7.4 – Activity is conducted.

The activity (training, exercise, or evaluation) is conducted. By initiating the activity; facilitating the direction of the activity; Monitoring the progress of the activity; and terminating the activity.

7.4

CRITERIA

Activity is conducted.

Current Capability:



EVIDENCE

The activity (training, exercise or evaluation) is conducted. By initiating the activity; facilitating the direction of...



Future Target:



7.5 – Monitor and Review performance.

Monitor and review the performance of the risk management system and changes which might affect it. Sources of risk are monitored by environmental scanning. Activities (training, exercises, or evaluations) are analyzed and evaluated. By conducting a debrief of the activity; reviewing activity outcomes against objectives; and reporting to stakeholders.

7.5

CRITERIA

Monitor and Review performance.

Current Capability:



EVIDENCE

Monitor and review the performance of the risk management system and changes which might affect it. Sources ...



Future Target:



