



**SEMC**  
STATE EMERGENCY  
MANAGEMENT COMMITTEE

# Western Australian Emergency Management Capability Framework

**USER GUIDE**

---

Developed by the Department of Fire and Emergency Services State Capability Team on behalf of the State Emergency Management Committee, 2023



Let our Interactive Contents and Resource List help you!

# Contents

<b>1. Introduction</b>	<b>3</b>
<b>2. Capability Assessment Tool: Working Example</b>	<b>5</b>
<b>3. Capability Development Model: Identifying and Assessing Risk</b>	<b>7</b>
<b>4. Capability Development Model: Understanding Capability Requirements</b>	<b>11</b>
<b>5. Capability Development Model: Enhance and Develop Capabilities</b>	<b>21</b>

## Acknowledgment of Country

The State Emergency Management Committee acknowledges the traditional custodians throughout Western Australia and their continuing connection to the land, waters and community. We pay our respects to all members of the Aboriginal communities, their cultures and to Elders past and present.



## Resource List

---

This user Guide is designed to support the Western Australian Emergency Management [Capability Framework](#), published by the State Emergency Management Committee in 2023 and should be read in conjunction with The Framework. The following documents have been designed for use with this 'User Guide'. Each document is located in the [Capability Framework Toolbox](#) and links are supplied below and throughout the document.

[Visit](#)

### Capability Toolbox

[Download](#)

#### Appendix 1: **Capability Assessment Tool: Working Example**

[Download](#)

#### Appendix 2: **Capability Assessment Tool: Template**

Use interactive functionality or print in color, double-sided on A3 paper, providing one copy for each participant.

[Download](#)

#### Appendix 3: **Scenario Library**

These are example scenarios to provide a starting point. They can be adapted by using in full or part of to suit your organisations requirements.

[Download](#)

#### Appendix 4: **Capability Maturity Scale**

To determine the current level of capability maturity and also to determine the level of maturity required.

[Download](#)

#### Appendix 5: **Core Capabilities Descriptors and Indicators**

To assist in determining a context around the core capability you wish to assess. Use the descriptors and indicators to guide what you are assessing.

[Download](#)

#### Appendix 6: **Capability Elements**

Descriptors of the 5 categories to assist in grouping the gaps identified.

# 1. Introduction

In Western Australia (WA), we confront diverse challenges and evolving threats arising from both natural and non-environmental risks. The changing risk landscape is influenced by climate shifts, demographic transformations, increased population density in high-risk zones, and technological advancements. As a result, the probability and severity of emergencies is on the rise.

To effectively address these challenges, Western Australia has developed the WA Emergency Management Capability Framework (The Framework). The Framework outlines the necessary capabilities to manage large-scale emergencies efficiently. Its purpose is to build collective resilience in the face of emergencies and to aid decision-makers in identifying the capabilities required to manage the likelihood and consequences of emergencies, regardless of their type or severity.

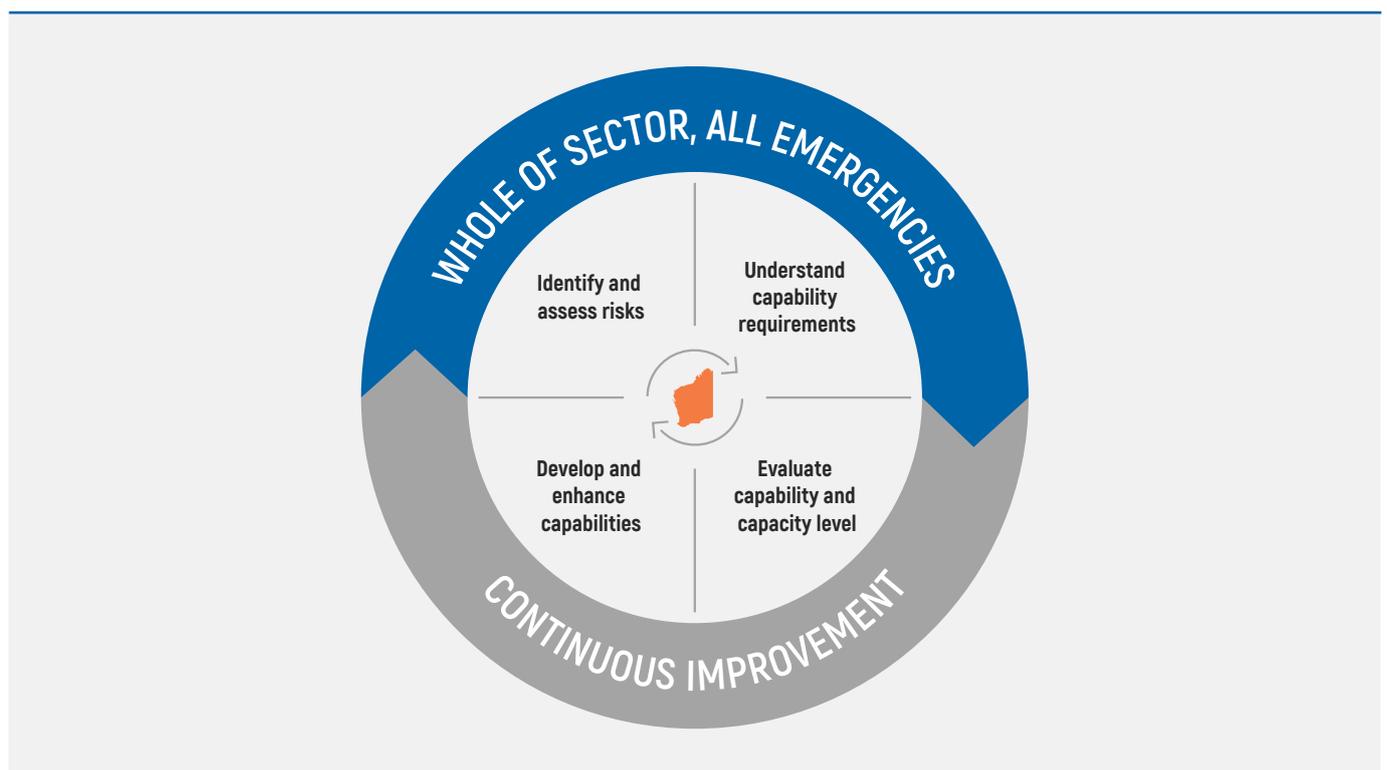
## About The Framework

The Framework defines capability as our collective capacity to engage in prevention, preparedness, response, and recovery (PPRR) endeavours, aiming to diminish the impact of emergencies and foster a more prepared, resilient, and secure State. It outlines 25 distinct Core Capabilities spanning the entire PPRR spectrum.

## About The Capability User Guide

The Framework introduces the Western Australian Capability Development Model, offering a broad overview of the capability development process. In this model's context, the User Guide serves as a comprehensive resource, enabling practitioners to gain a deeper understanding and assess their capability levels for effective emergency risk management ([see Figure 1](#)).

**Figure 1. The Framework's Capability Development Model**



## Capability Framework User Guide

As a companion to the Framework, the Capability Framework User Guide (The Guide) is designed as a planning tool to be applied to various scenarios. It establishes a common language and processes that planners at different levels—State, regional, municipal, community, agency, or group—can seamlessly integrate into their emergency management planning. Moreover, the User Guide enhances confidence and visibility in preparedness levels, aiding in the identification of ownership at each tier of emergency management preparedness.

It's important to note that The Guide is meant to complement, not replace, your organisation's regular policies, processes, and practices.

## Capability Assessment Tool

The Capability Assessment Tool is crafted for individuals involved in managing the likelihood, impact, and consequences of emergencies within an organisation, catering to roles at a State, Regional and Local level. However, recognising that not all core capabilities apply universally, users are encouraged to tailor the tool to their specific organisational needs.

This tool is envisioned to establish a shared language for assessing, developing, and evaluating emergency management capability, encompassing the following aspects:

**Capability Testing and Exercising:** The tool facilitates the practical testing and exercising of various capabilities to enhance their effectiveness in real-world scenarios.

**Assessment of Capability Maturity, Gaps, and Thresholds:** Users can employ the tool to assess the maturity of their capabilities, identify gaps, and establish thresholds for improvement.

**Development of Core Tasks and Capability Targets:** It aids in the formulation of core tasks and specific targets to enhance the organisation's emergency management capabilities.

**Capability Evaluation:** The tool supports the evaluation of capabilities through activities such as lessons management, reviews, and assurance, ensuring continuous improvement.

Consistently applying the framework will provide a transparent view of your organisation's current capability level, through identification of priority areas that require further development. This adaptability ensures that the Capability Assessment Tool serves as a versatile resource for organisations with diverse needs and priorities in the area of emergency management.

The use of the Capability Assessment Tool will be demonstrated throughout this User Guide. The example provided aims to assess the risk of earthquake to a given organisation to ensure its peoples safety in association with such an event.

An explanation in each section to facilitate understanding of what is expected is also provided (see [Figure 2](#)). You can also find a blank version of the [Capability Assessment Tool](#) for you to use found on the SEMC website.



**The Framework defines capability as our collective capacity to engage in PPRR aiming to diminish the impact of emergencies and foster a more prepared, resilient, and secure State.**

Figure 2. Capability Assessment Tool: Working Example

## Appendix 1 Capability Assessment Tool: Working Example



Why is this Process Necessary?		Plausible Scenario	Scenario Method
<p>A new Community Earthquake Preparedness Guide has been produced and this is an opportunity to conduct an organisation evacuation drill to determine if our staff and evacuation procedures align to the latest advice.</p> <p><b>1A: Figure 3</b></p>		<p>The scenario is modelled on a magnitude 5.2 earthquake event centred under the CBD of the City of Perth, Western Australia. This event corresponds with the recurrence interval for ground shaking of approximately 500 years, as defined in the current building regulations.</p> <p>The damage predicted for this scenario indicates significant damage to older buildings on softer soil sites, with many severely damaged.</p> <p><b>1B: Figure 5</b></p>	<p><input type="checkbox"/> Functional Exercise</p> <p><input checked="" type="checkbox"/> Drill</p> <p><input type="checkbox"/> Desktop Exercise</p> <p><input type="checkbox"/> Competency Assessment</p> <p><input type="checkbox"/> Evacuation Exercise</p> <p><input type="checkbox"/> Scenario Walkthrough</p> <p><input type="checkbox"/> Document Review</p> <p><b>1C: Figure 6</b></p>
Core Capability Maturity Level Required		Capability Maturity Description	Observations
<b>Training and Exercising</b>	Established	<ul style="list-style-type: none"> <li>80% of staff have been trained in the new procedure and act appropriately during an event.</li> <li>Emergency Personnel in specific role such as wardens act in accordance with their role statement including directing staff, accounting for staff whereabouts and giving all clear.</li> </ul>	<p>Run the Scenario</p> <ul style="list-style-type: none"> <li>Most staff acted appropriately and performed the Drop. Cover Hold on advice.</li> <li>2-3 key wardens showed excellent leadership skills however 2 wardens looked a little lost in their role, but joined in when instructed.</li> </ul> <p><b>3B: Figure 12</b></p>
<b>Planning and Arrangements</b>	Established	<ul style="list-style-type: none"> <li>Informal and/or untested plans are in place, but with a high degree of confidence, they will be effective.</li> <li>Procedures are easy to follow and demonstrated by 80% staff following them during the drill.</li> </ul>	<ul style="list-style-type: none"> <li>All Staff are not familiar with the organisation's evacuation procedure.</li> <li>Current procedure pointed staff to 2 locations that made it difficult to account for all staff.</li> </ul> <p><b>1. People</b></p> <p><b>2. Processes</b></p>
<b>Situational Awareness and Intelligence</b>	Established	<ul style="list-style-type: none"> <li>Contact details for further information and assistance are located by relevant staff.</li> <li>Communication systems are utilised correctly in majority of cases.</li> <li>FELT Report is registered on the Geoscience Australia Website.</li> </ul>	<ul style="list-style-type: none"> <li>The Chief Warden had a copy of the emergency contact numbers on hand.</li> <li>The communication system worked as it should.</li> <li>The FELT report was not registered.</li> <li>Emergency WA was not accessed.</li> </ul> <p><b>1. Processes</b></p> <p><b>2. Processes</b></p>

**2A: Figure 7**

**2C: Figure 9**

**3A: Figure 11**

**3B: Figure 12**

**3C: Figure 13**

**Capability Elements**

List the corresponding 'Capability Element' with the bullet point for 'Caps Identified': **People, Resources, Governance, Systems, Processes**

Download Appendix 1: Working Example

Download Appendix 2: Template



# Appendix 1 Capability Assessment Tool: Working Example (Cont.)

## Capability Development

Capability Element and Identified Gap	Actions (SMART)	Assigned to	Timeline
<b>People</b> <ul style="list-style-type: none"> <li>Not all wardens are aware of their roles.</li> <li>A few staff did not know the Drop, Cover and Hold on procedure – Some could have missed the training.</li> <li>There is no record of training.</li> <li>All staff are not familiar with the organisation's evacuation procedure.</li> </ul>	<ul style="list-style-type: none"> <li>Engage an external company to provide some Warden training for all current wardens.</li> <li>Assess the number of wardens we currently have prior to the training and identify additional personnel who could perform the function if someone is on leave.</li> <li>Identify who has not received the Drop, Cover, Hold On training and provide an information session.</li> <li>Induction procedures to be updated with inclusion of evacuation procedures.</li> <li>Training to be provided to all staff on the current evacuation procedure, procedures to be clearly located around the organisation and a regular drill schedule to be developed.</li> </ul>	All actions to be assigned to the Manager Lessons Learnt.	31 March 20XX
<b>Resources</b> NIL Gaps Identified	No Action Required		
<b>Governance</b> NIL Gaps Identified	No Action Required		
<b>Systems</b> NIL Gaps Identified	No Action Required		
<b>Processes</b> <ul style="list-style-type: none"> <li>Current procedure pointed staff to 2 locations that made it difficult to account for all staff.</li> <li>FELT report was missed. Whilst not detrimental, it does assist response agencies.</li> <li>Current Emergency information from authorities was not accessed.</li> </ul>	<ul style="list-style-type: none"> <li>Current evacuation procedure to be reviewed to develop only 1 evacuation muster point.</li> <li>Chief and Deputy Chief Wardens to be provided with a checklist of actions – The addition of completing a FELT report and accessing and monitoring Emergency WA to be an action.</li> </ul>	OHS Manager to update procedure. And develop checklist.	31 January 20XX

4B: Figure 15

4A: Figure 13

4C: Figure 16

# 3. Capability Development Model: Identifying and Assessing Risk

## Identifying the Risk

In the 'Why is this Process Necessary' box, (see Figure 3) you need to describe why you need to conduct a capability assessment.

The synergy between capability development and risk lies at the core of effective emergency management. The Capability Assessment Tool can systematically enhance organisations capabilities to directly address and mitigate identified risks. This symbiotic relationship involves a comprehensive understanding of the potential impact of emergencies and allows for the targeted development of capabilities and resources to be prioritised against specific risk profiles. The tool not only serves as a mechanism for testing and exercising capabilities but also acts as a conduit for assessing the maturity of these capabilities, identifying gaps, and setting thresholds for improvement.

The strategic linkage between capability development and risk management ensures that organisations are not only well-prepared for a broad spectrum of emergencies but are also equipped to proactively manage and mitigate the risks associated with these dynamic challenges.

In order to get to this point, you would have potentially already gone through some sort of risk assessment process, which would have identified that something might not be working as well as it should or expected results may not be achieved. For others it could be the need to test a new emergency response procedure, or just that a set of documented actions does not exist. Either way, it is important to document how you came to this point and what you hope to get out of it.

The development of the [State Emergency Risk Management Guideline](#) published by the State Emergency Management Committee or the [National Emergency Risk Assessment Guideline](#) issued by the Australian Institute for Disaster Resilience are two publications that can be used to help you define your current and emerging risks.

In the [Figure 4](#) below, a new publication has been released which identifies a change in advice in relation to 'What to do in the case of and earthquake'. The advice promotes the **Drop, Cover and Hold On** instructions which are different to the current perception of staff which is to go to the nearest doorway. It would be unfair to expect staff to simply comply with new direction

Figure 3. Why is this Process Necessary?

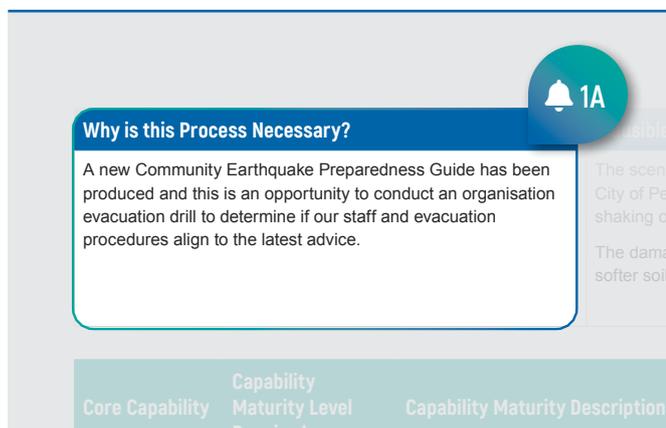


Figure 4. During an Earthquake



[Download Appendix 3: Scenario Library](#)

such as this without any form of training. Prior to the assessment of this capability, each section of the organisation was given a 10-minute presentation on earthquakes and the new advice in preparation for the assessment, aligned with ‘The International Great Shakeout Day’<sup>1</sup> raising awareness around the world on earthquakes. The description provided a simple understanding of why we are going to assess capability in this area to ensure that our staff are safe in the event of an earthquake.

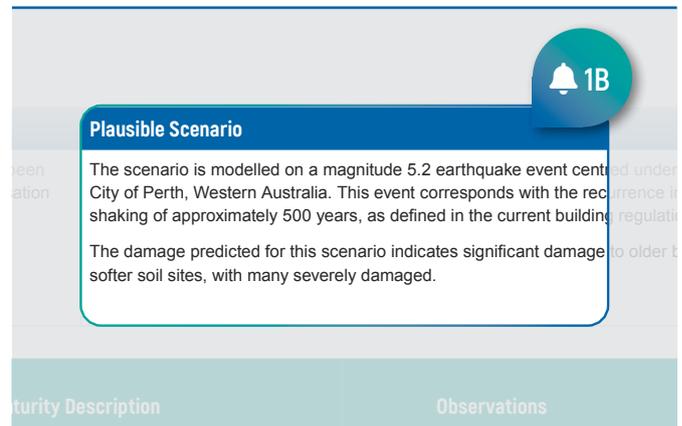
## Plausible Scenario

In the ‘**Plausible Scenario**’ box, (see [Figure 5](#)) you need to describe the scenario that you plan to use for the capability assessment.

Using plausible scenarios in emergency management exercises, drills, or reviews is imperative for comprehensive preparedness. Realistic scenarios, mirroring actual events, enable participants to engage authentically, fostering effective learning and enhancing the applicability of lessons. This approach facilitates a more accurate assessment of participant behaviour and allowing for valuable insights into strengths and improvement areas. Additionally, plausible scenarios aid in realistic resource allocation assessments, ensuring that organisations have the necessary personnel, equipment, and procedures for effective emergency management.

The use of plausible scenarios aligns training efforts with realistic conditions. This maximises the impact of exercises and contributing to robust risk management and operational readiness.

**Figure 5. Plausible Scenario**



An earthquake event has been used as an example in this User Guide because earthquakes in WA occur on average, 100 times a year, and this is considered a plausible scenario.

In the [Capability Framework User Guide Toolbox](#) located on the [semc.wa.gov.au](http://semc.wa.gov.au) website a simple library of Plausible Scenarios has been developed (see [Appendix 3: Scenario Library](#)). There are examples for the majority of the 28 prescribed hazards in Western Australia. You can use all or part of a listed Plausible Scenario or simply write or alter the scenario to suit your context.

If you have a great example that you have developed that you wish to share, please send it to [info@semc.wa.gov.au](mailto:info@semc.wa.gov.au) and it can be added to the library for others to use.

<sup>1</sup> [The International Great Shakeout Day](#)

### 3. Capability Development Model: Identifying and Assessing Risk (Cont.)

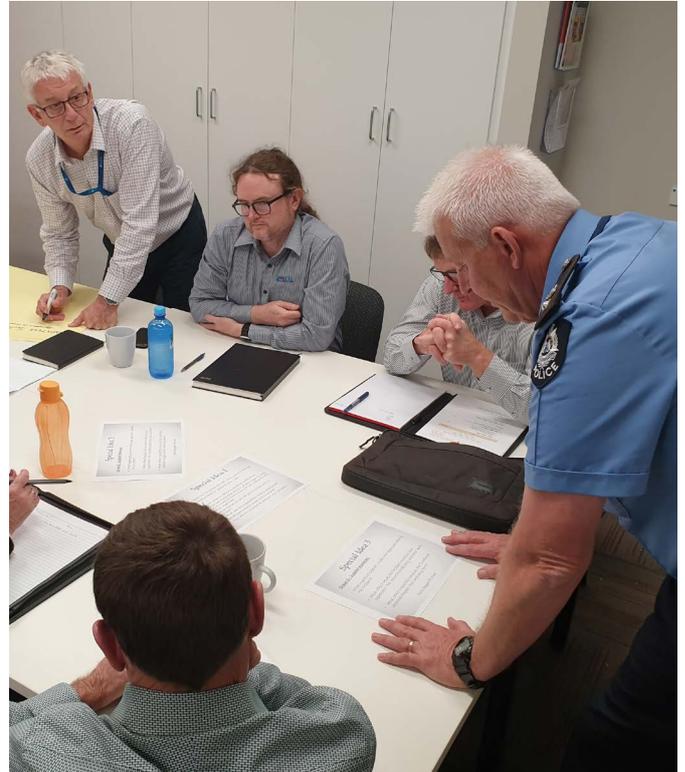
#### Scenario Method

In the ‘**Scenario Method**’ box, ([see Figure 6](#)) describe the scenario that you plan to use for the capability assessment.

Testing capability is a crucial aspect of ensuring preparedness and resilience in various domains. There are a number of methods that can be used to test capability, some examples are listed in [Figure 6](#).

Whilst exercises are perhaps the most common, they also require significant resources and planning in order to conduct the exercise.

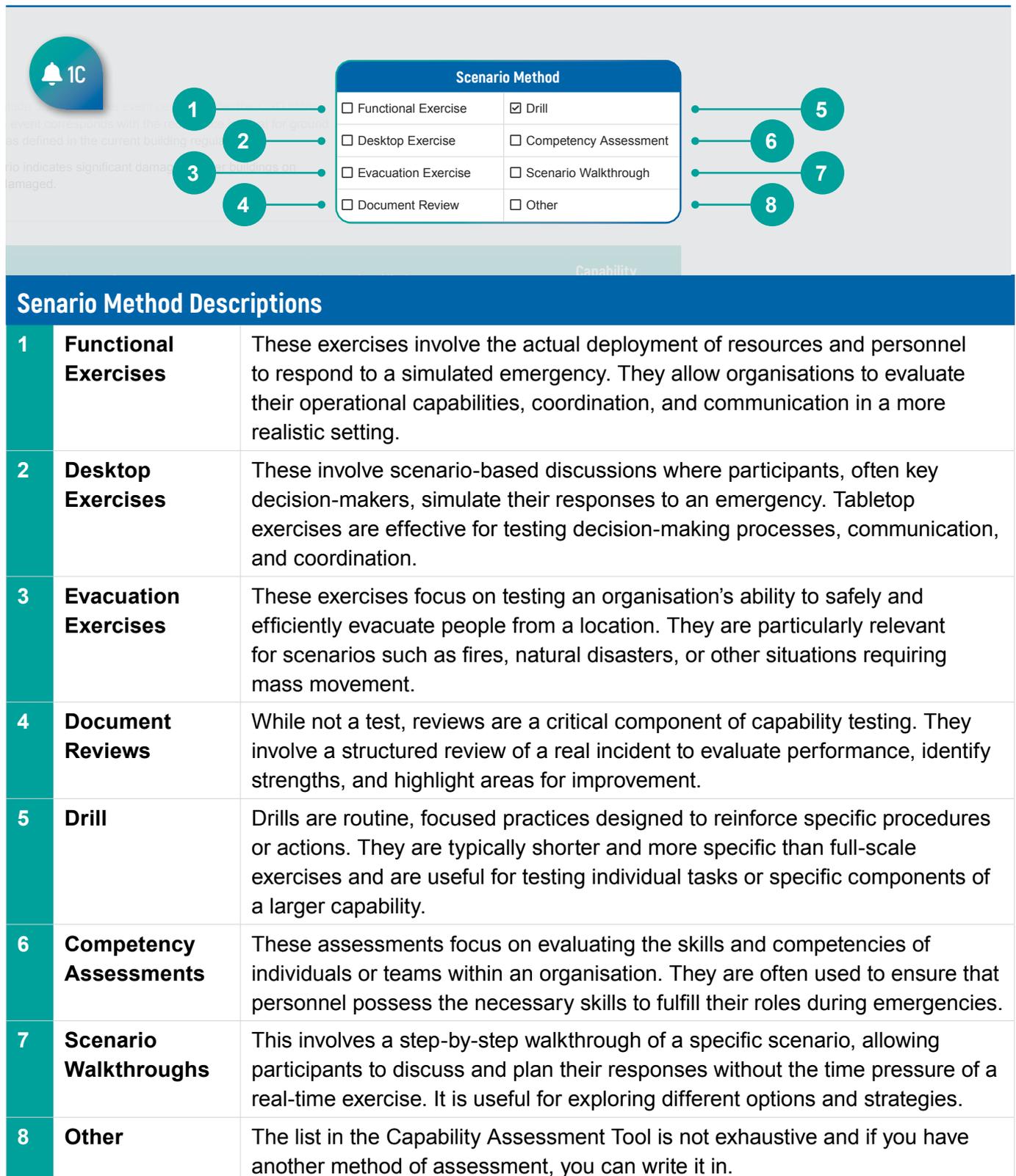
Regardless of which method you choose, the SEMC publishes the [Western Australian Managing Exercises Guideline](#) to assist in planning and running the exercise. There is some great material to assist in all the above methods of assessment.



For our example on earthquakes, we have chosen to conduct an evacuation drill as the best method to assess our current capability. We have therefore chosen the ‘**DRILL**’ box.

We are also planning to test and evaluate our evacuation policy and procedures. In this case, you could just pick the major method as we have, or you can select multiple boxes.

Figure 6. Scenario Method



## 4. Capability Development Model: Understanding Capability Requirements

### Core Capability

Once the testing methodology has been determined, the next step is to identify the core capabilities to be tested and record them in the ‘**Core Capability**’ column ([see Figure 7](#)).

The selection of these Core Capabilities will depend upon on factors such as time, financial resources, and personnel. Larger agencies may opt for a comprehensive assessment, developing a ‘Capability Statement’ encompassing all relevant core capabilities for the assessed hazard or risk. Conversely, most organisations will find it more practical to concentrate on three to four core capabilities at a time, ensuring a more concentrated and focused assessment. To this extent, this is the recommended approach when using the Capability Assessment Tool.

The [Core Capabilities and Associated Descriptors and Indicators](#) ([see Figure 10](#) or [Appendix 5](#)) is designed to help you select three to four relevant core capabilities. Each capability is accompanied by a succinct description and associated ‘Indicators’ which are provided to summarise the expected outputs for that capability. We have also provided some relevant questions that will focus your selection. In most cases, selection of the core capabilities can be achieved from the description and indicators. Whilst not mandatory, to complete all indicators for optimal capability levels, they

serve as guidance on the tasks anticipated for each core capability. This approach facilitates a more manageable and targeted assessment, aligning with the practical considerations of organisations.

For the earthquake example we have chosen the following three (3) Core Capabilities to assess:

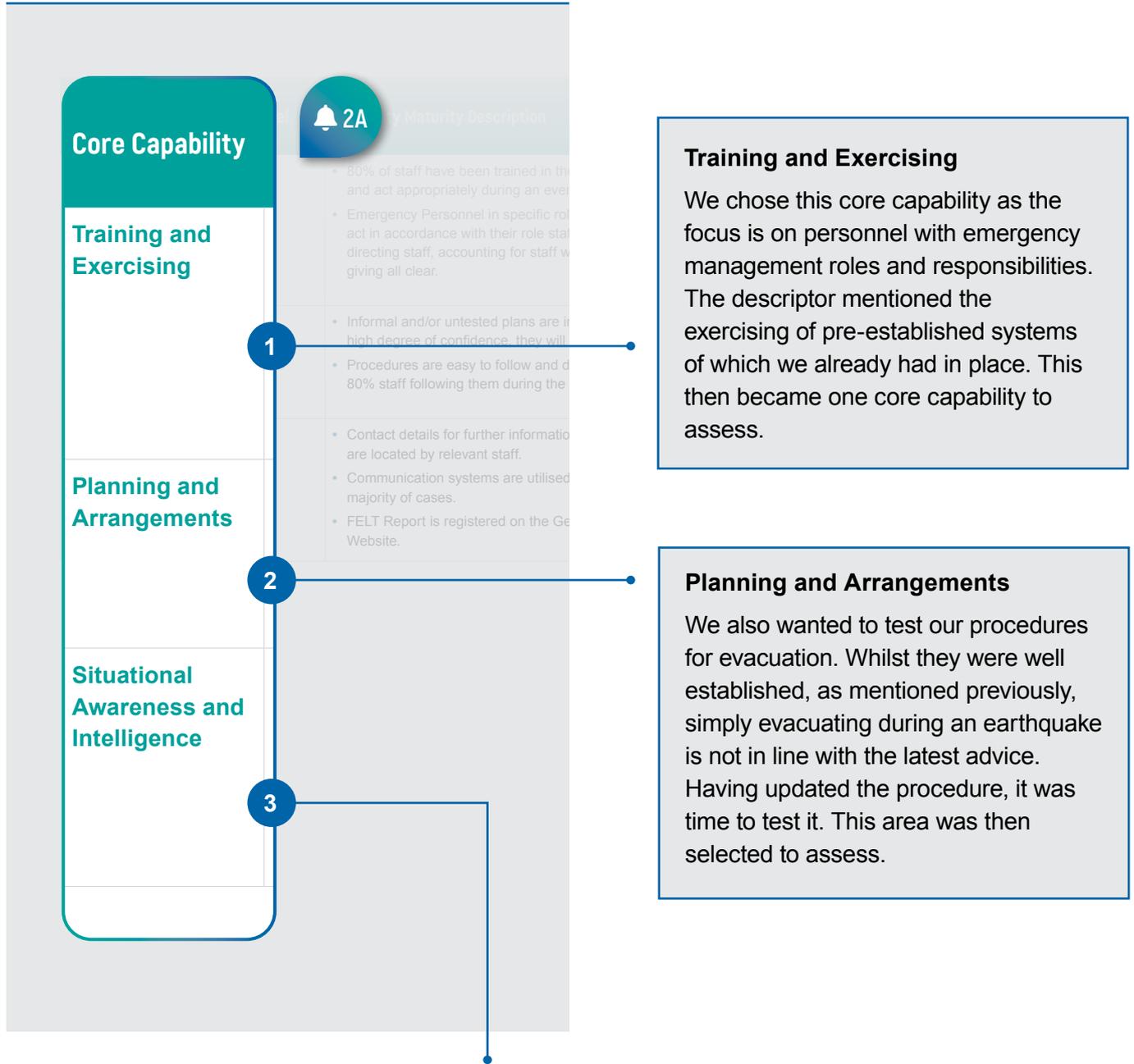
1. **Training and Exercising**
2. **Planning and Arrangements**
3. **Situational Awareness and Intelligence**

In order to do this, we first looked at the Core Capability names and descriptions to see which ones best aligned to the three focus areas we wanted to achieve from the ‘**Drill**’: The need to ensure that all staff need to know what to do in case of an earthquake whilst at work, ensuring that we have emergency personnel available and know their specific roles in an earthquake context and also ensure that our evacuation procedures are up to date and fit for purpose. We narrowed it down to four Core Capabilities and eventually settled on three. The reasoning is outlined in [Figure 7](#).



**Conversely, most organisations will find it more practical to concentrate on three to four core capabilities at a time, ensuring a more concentrated and focused assessment.**

Figure 7. Core Capability



**Situational Awareness and Intelligence**  
 Communications after an earthquake can be compromised and this was an opportunity to test the resilience of our systems and look at alternatives. During this time, we would also look at where to go for further advice and also external contact numbers for assistance.

# 4. Capability Development Model: Understanding Capability Requirements (Cont.)

## Capability Maturity

For each of the chosen Core Capabilities, you need to determine the required level of maturity for your organisation and record it in the ‘**Capability Maturity Level**’ (see [Figure 8](#)) column.

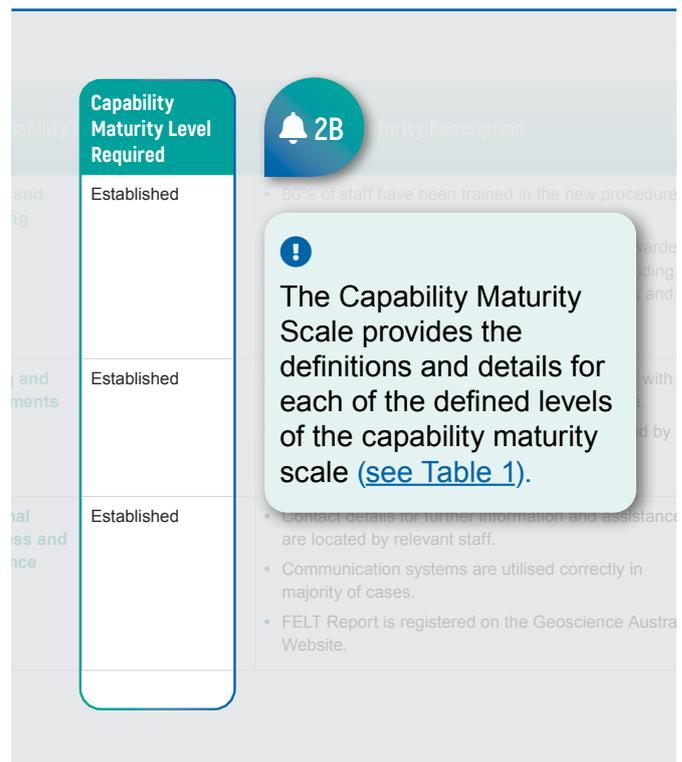
Capability Maturity refers to the degree of development and optimisation an organisation has achieved in its specific capabilities over time. It is often assessed on a scale, typically ranging from an initial or basic level to a fully optimised and mature level.

In the context of emergency management or other organisational domains, capability maturity encompasses the organisation’s ability to execute processes, manage resources, and respond to challenges effectively and consistently. As an organisation progresses along the maturity scale, it demonstrates an increasing level of sophistication, efficiency, and reliability in its capabilities.

Assessing capability maturity provides valuable insights into an organisation’s strengths, weaknesses, and areas for improvement, guiding strategic planning and development initiatives to enhance overall resilience and performance.

It is important to determine the level of capability maturity that suits your organisations. For example, a well- resourced organisation may insist on an optimal level of capability maturity, because their organisation has been performing in this space for some time and has a high level of maturity: operating procedures, training for staff, regular exercising, to name a few. For a recently established organisation or one with limited resources, the level of maturity may be much lower. In addition, if this a new concept to the organisation, could be developed in a stage approach.

**Figure 8. Capability Maturity Level**



In this example, the organisation in its first year would accept a basic level of maturity as they are unlikely to be able to achieve all the steps necessary to be at an established or optimal level yet.

It is also important to note that the same level of capability maturity may vary between organisation to organisation, depending on a range of factors. Writing descriptors that indicate exactly what is expected by the organisation will help provide some clear points to focus on in the assessment.

 Download Appendix 4: Capability Maturity Scale

**Table 1. Capability Maturity Scale**

Capability Maturity Scales		
Level	Definition	Detailed scale for resources, skills, plans, arrangements, etc.
<b>Optimal</b>	Working well	<ul style="list-style-type: none"> <li>Existing resources exceed requirements/are self-sustaining.</li> <li>Surge capacity arrangements are planned, exercised, and operate effectively.</li> <li>Formalised plans are tested, effective, reliable, and embedded in the organisation.</li> <li>Demonstrates organisational learning, adaptive capacity and effective coordination and cooperation with other organisations. Commits to research and best practice.</li> <li>Working well.</li> </ul>
<b>Established</b>	Minor limitations, room for improvement	<ul style="list-style-type: none"> <li>Sufficient resources are available.</li> <li>Surge capacity is documented and planned but untested.</li> <li>Informal and/or untested plans are in place, but with a high degree of confidence, they will be effective. Self-identifies opportunities for improvement and adaptive capacity.</li> <li>Integrates with other organisations to increase effectiveness and efficiency.</li> <li>Suboptimal, room for improvement.</li> </ul>
<b>Limited</b>	Major limitations, not severe	<ul style="list-style-type: none"> <li>Insufficient resources are readily available.</li> <li>Surge capacity arrangements are informal, reactive, and untested.</li> <li>Some plans with the goal of achieving a balance between resource demands and availability.</li> <li>Plans are developed in terms of the knowledge, skills, and capabilities to manage emergencies and are updated periodically.</li> <li>Problematic but not severe.</li> </ul>
<b>Basic</b>	Significantly extensive limitations, severe	<ul style="list-style-type: none"> <li>Unable to resource or manage effectively.</li> <li>Insufficient capability and/or surge capacity to sustain an effective response.</li> <li>No formalised plans were developed; response is ad-hoc and improvised.</li> <li>Significantly problematic and severe.</li> </ul>
<b>None</b>	Capability does not exist, but should	<ul style="list-style-type: none"> <li>No resources.</li> <li>No plans or processes.</li> <li>No documentation.</li> </ul>

# 4. Capability Development Model: Understanding Capability Requirements (Cont.)

## Capability Maturity Description

Documenting your maturity descriptors in the ‘**Capability Maturity Description**’ column (see [Figure 9](#)).

In the context of the example earthquake scenario, our organisation, having well-established, tried and tested evacuation procedures, has determined that the key difference lies in updated information regarding earthquake response. Specifically, individuals are now required to shelter in place before initiating evacuation, contrasting with the previous practice of immediate evacuation. Given the strength of our existing evacuation procedures, we have opted for a higher level of capability maturity. In aligning with our Capability Assessment Tool, we have selected the ‘**Established**’ level for all three of the core capabilities instead of ‘**Optimal**’. This choice acknowledges our current capabilities may have minor limitations and allows for a degree of improvement.

To provide context in assessing the core capabilities, the use of specific points to focus on will help guide your observations during the scenario. Using [Core Capabilities Descriptors and Indicators](#) (example in [Figure 10](#)), choose some of the example indicators that you may like to use to focus your assessment. Whilst they provide some guidance, you may have to provide further context for your organisation.

For example, shown below for Training and Exercising, we only elected to use the indicators that centred around trained and capable people and currency of training to respond to an earthquake and did not focus on all the administration associated with it at this point. The same process was repeated for the selection of the other Core Capabilities.

Figure 9. Capability Maturity Description

Level	Capability Maturity Description
Established	<ul style="list-style-type: none"> <li>80% of staff have been trained in the new procedure and act appropriately during an event.</li> <li>Emergency Personnel in specific role such as warden act in accordance with their role statement including directing staff, accounting for staff whereabouts and giving all clear.</li> </ul>
Developing	<ul style="list-style-type: none"> <li>Informal and/or untested plans are in place, but with a high degree of confidence, they will be effective.</li> <li>Procedures are easy to follow and demonstrated by 80% staff following them during the drill.</li> </ul>
Emerging	<ul style="list-style-type: none"> <li>Contact details for further information and assistance are located by relevant staff.</li> <li>Communication systems are utilised correctly in majority of cases.</li> <li>FELT Report is registered on the Geoscience Australia Website.</li> </ul>

## Run the Scenario

In the previous steps you have determine ‘**What**’ and ‘**How**’ to assess the identified capabilities. You are now ready to Run the Scenario. Providing information on how to run an effective scenario is out of scope of this User Guide, but valuable information is offered in the SEMC publication: [Western Australian Managing Exercises Guideline](#).

The Exercise Guideline provides a simple to use template that will help you to establish a concept for the scenario, how to plan for, conduct evaluate the results. Whilst focused on exercising, they can be used in whichever method of assessment you choose.

**For the earthquake exercise, we used the following selected templates:**

Download Appendix 5: Core Capabilities Descriptors and Indicators

Figure 10. Core Capabilities Descriptors and Indicators

Preparedness Capability 10		
Capability: Training and Exercising		
Capability Description	Indicator (Note that there is not necessarily a direct relationship between the guiding questions and the indicators)	Guiding Questions
Provide appropriate training for personnel with emergency management roles and responsibilities. Includes the exercising of pre-established systems, plans and arrangements to ensure their functionality, as well as the skills and capability of relevant personnel.	<ul style="list-style-type: none"> <li>Your organisation has an appropriate level of trained, capable and supported people to effectively undertake all aspects of emergency management.</li> <li>Where possible, training is conducted in accordance with nationally endorsed training packages, or state-based equivalents.</li> <li>Currency of training is maintained and monitored.</li> <li>Agencies have appropriate levels of trained, capable and supported people to effectively provide training and exercising for employees and volunteers.</li> <li>A clear strategy exists for the initial and ongoing training of volunteers that addresses motivation and barriers.</li> </ul>	<ul style="list-style-type: none"> <li>Is the organisation's training program conducted by accredited AQF providers?</li> <li>Do employees and volunteers have training records?</li> <li>How do you allocate resources to support developing and implementing training programs and exercises?</li> <li>How do you collaborate with stakeholders to ensure that training programs meet or exceed established standards and contribute to the overall effectiveness of emergency response systems?</li> <li>How do you integrate incident management systems into your training and exercising processes to simulate real-time coordination and decision-making during emergencies?</li> <li>Can you provide examples of continuous improvement initiatives in training and exercising, particularly in response to lessons learned from past exercises and advancements in emergency management practices?</li> </ul>

## Earthquake Exercise

### 1. Concept

- a. The Exercise Proposal template to develop our objectives for the drill.

### 2. Plan

- a. The Exercise Plan Template, along with the Control Document Exemplar template to help plan out the drill.
- b. The Participant's Guide was used to provide information to staff prior to the drill being conducted.
- c. The Master schedule of events was used by coordinators to show a timeline of inputs into the drill including announcements and all clear warnings.

### 3. Conduct

- a. The drill observers used the Evaluator report to gather information during the event.

### 4. Evaluate

- a. The Evaluation meeting template was used to guide our team on the effectiveness of the drill by assessing the core capabilities identified and to record evidence which our recommendations will be based on.

# 4. Capability Development Model: Understanding Capability Requirements (Cont.)

## Observations

During the running of the scenario, take note of how closely your capabilities align with the Capability Descriptors, and record your observations in the ‘**Observations**’ box, (see [Figure 11](#)). Observations should be recorded in simple statements that directly align to the Capability Maturity Descriptions.

Making observations that align with predetermined criteria is paramount in any assessment process. It ensures a systematic and objective evaluation, providing a clear framework for assessing performance or capabilities. Moreover, aligning observations with predetermined criteria enables evaluators to address essential aspects and avoid subjective biases promoting transparency, objectivity, and the overall effectiveness of the evaluation process.

In the example for the Training and Exercising Core Capability, it was documented in the previous section, for an established level of maturity we would expect to see 80% of staff acting appropriately during the drill with the wardens demonstrating their roles effectively. What was observed during the drill was that most staff did act appropriately however it was observed that two of the wardens looked a little lost. By specifically focusing on these areas, we can make a direct comparison later in the evaluation tool.

There is no reason to document observations that do not directly align to the Capability Maturity Descriptions developed earlier; however, as best practice, for all observations, you should add an additional Capability Maturity Descriptor for the level required level.

Figure 11. Observations

Observations	Gaps Identified
<ul style="list-style-type: none"> <li>Most staff acted appropriately and performed the Drop, Cover Hold on advice.</li> <li>2-3 key wardens showed excellent leadership skills however 2 wardens looked a little lost in their role, but joined in when instructed.</li> </ul>	<ol style="list-style-type: none"> <li>Not all wardens are aware of the current evacuation procedure.</li> <li>A few staff did not know the current evacuation procedure.</li> </ol>
<ul style="list-style-type: none"> <li>Staff demonstrated the Drop, Cover and Hold on technique but did not follow the current evac procedure, walking to 3 separate areas. This indicated that not all staff were aware of the evac procedure.</li> </ul>	<ol style="list-style-type: none"> <li>All staff are not familiar with the organisation's evacuation procedure.</li> <li>Current evacuation procedure points to locations that made it difficult for all staff.</li> </ol>
<ul style="list-style-type: none"> <li>The Chief Warden had a copy of the emergency contact numbers on hand.</li> <li>The communication system worked as it should.</li> <li>The FELT report was not registered.</li> <li>Emergency WA was not accessed.</li> </ul>	<ol style="list-style-type: none"> <li>FELT report was missing. If not registered, it does assume that all agencies are notified.</li> <li>Current Emergency information system was not accessible.</li> </ol>



## Gap Identified

At the conclusion of the scenario, a comparison needs to be made between the recorded observations and the maturity descriptors. Differences (ie: gaps) are to be recorded in the ‘**Gaps Identified**’ column (see Figure 12).

Conducting a gap analysis and comparing observed practices against pre-identified Capability Maturity Descriptors, is a critical step in the capability assessment process. This analysis serves as a diagnostic tool to reveal disparities between the current state and the desired level of capability maturity. Through systematically identifying these gaps, organisations gain valuable insights into areas where improvement is needed. This process not only highlights strengths and weaknesses but also guides targeted efforts for enhancement. The Capability Maturity Descriptors provide a benchmark, allowing for a structured evaluation that goes beyond observations.

In the earthquake example we analysed the differences between the Observations and Capability Maturity Descriptors. The core capability Training and Exercising will be used to demonstrate our processes. In conducting the comparison, it was noticed, the wardens exhibited a range of experience and competence. Whilst the Chief and Deputy Chief warden had a good knowledge of what to do based on their experience, some of the others were a lot less proficient in their role. This gap, was documented as a statement. ‘Not all Wardens are aware of their roles’.

For the next observation, we noticed all staff did not demonstrate the **Drop, Cover and Hold On** procedure as demonstrated during the pre-training. We did note that this could have been for several reasons including, staff just not wanting to get on the ground if they really did not have to, reluctance due to injury and, they were not present at the pre-

Figure 12. Gaps Identified

Gaps Identified	Capability Maturity Descriptors
<ol style="list-style-type: none"> <li>Not all wardens are aware of their roles.</li> <li>A few staff did not know the Drop, Cover and Hold on procedure – Some could have missed the training.</li> <li>There is no record of training.</li> </ol>	<ol style="list-style-type: none"> <li>People</li> <li>People</li> <li>People</li> </ol>
<ol style="list-style-type: none"> <li>All staff are not familiar with the organisation’s evacuation procedure.</li> <li>Current procedure pointed staff to 2 locations that made it difficult to account for all staff.</li> </ol>	<ol style="list-style-type: none"> <li>People</li> <li>Processes</li> </ol>
<ol style="list-style-type: none"> <li>FELT report was missed. Whilst not detrimental, it does assist response agencies.</li> <li>Current Emergency information from authorities was not accessed.</li> </ol>	<ol style="list-style-type: none"> <li>Processes</li> <li>Processes</li> </ol>

**\*Capability Elements**  
List the corresponding ‘Capability Element’ with the bullet point for ‘Gaps Identified’. People, Resources, Governance, Systems, Processes

training. Whilst not directly identified as a gap, we did explore this further and identified that we had minimal records of attendance at the pre-training. This was then captured as a statement under Gaps Identified. We repeated the process for the other core capabilities and completed the table as shown.



# 4. Capability Development Model: Understanding Capability Requirements (Cont.)

## Align to the Capability Elements

For each Capability Gap, at least one capability element should be assigned and recorded it in the 'Capability Elements' column (see Figure 13).

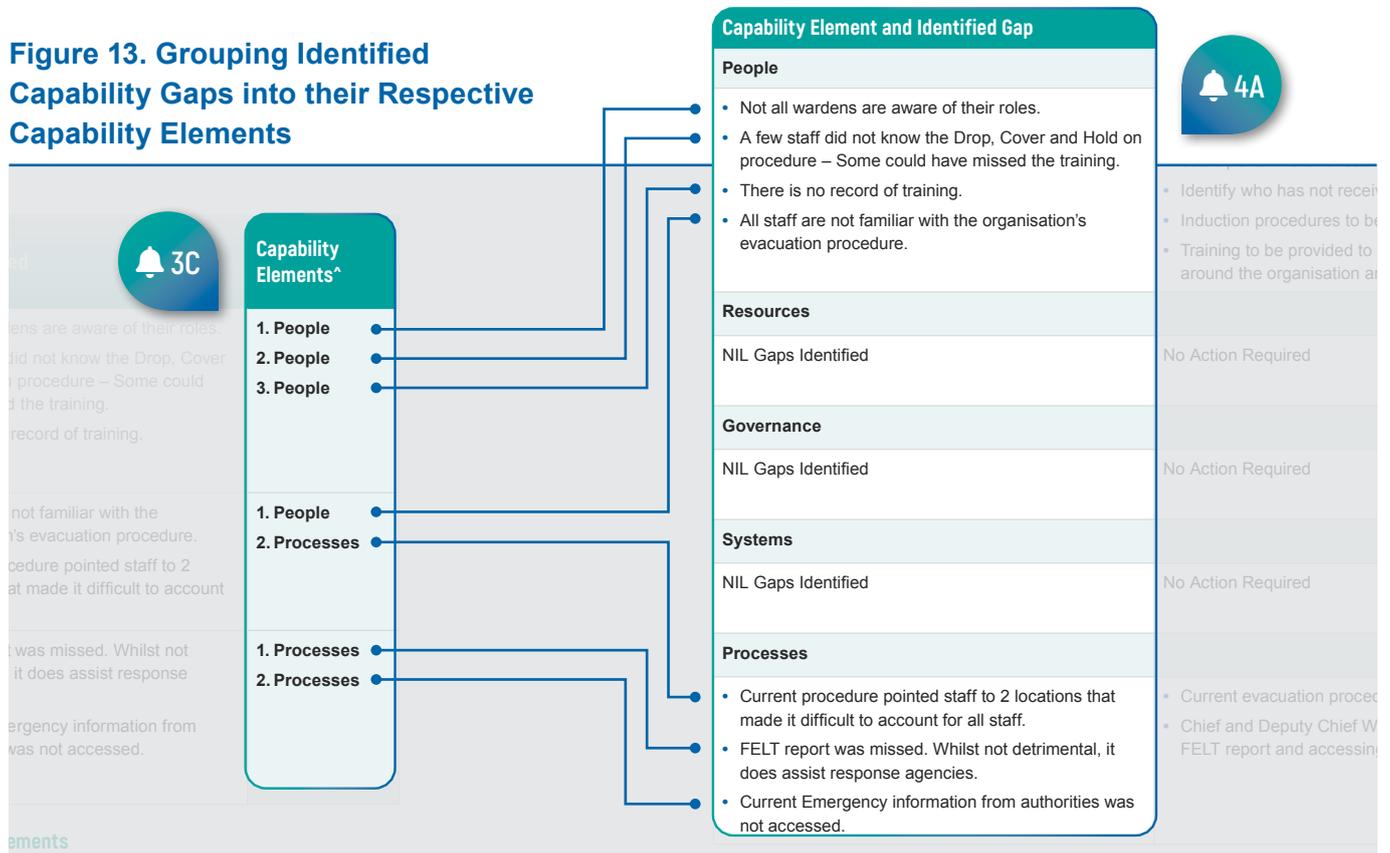
The five Capability Elements; **people, resources, governance, systems and processes** described in Section Three of the Framework, are derived from the Australian Disaster Preparedness Framework. The Capability Elements displayed in Table 2, shows an additional column defining their application to closing Identified Capability Gaps.

Grouping identified capability gaps into the distinct capability elements, People, Resources, Governance, Systems, and Processes, is essential for a comprehensive and structured approach to improvement. Each element represents a crucial facet of an organisation's collective capability, and categorising gaps in this manner provides a systematic framework for analysis.

By organising gaps into these elements, it becomes easier to discern patterns, root causes, and interdependencies. This approach facilitates targeted interventions and planning, allowing organisations to identify key activities and allocate resources efficiently. For instance, addressing People-related gaps may involve training and development initiatives, while addressing gaps in Systems might require technological upgrades.

Furthermore, categorising gaps enables a more holistic understanding of the challenges faced by an organisation, fostering a cohesive and integrated approach to capability development across various organisational dimensions.

**Figure 13. Grouping Identified Capability Gaps into their Respective Capability Elements**



 Download Appendix 6: Capability Elements

**Table 2. Capability Elements**

Elements	Description	Application to Capability Gap
<b>People</b>	The required number of trained and skilled people across communities, government, and business working together to perform emergency management activities.	How many people are needed? What sort of skills do they need? What changes will be needed to your training programs?
<b>Resources</b>	The physical equipment and assets needed for effective emergency management. Includes, but is not limited to, information technology (IT) and communications equipment, protective equipment, consumables, fleet and transport, as well as facilities and infrastructure.	What new or additional resources or funding are needed? If the capability involves the replacement of old equipment, how will it be disposed of?
<b>Governance</b>	The enabling factors that emergency management operates within including legislation, funding, authorising environment, emergency management arrangements, doctrine and policy.	How can governance arrangements be enhanced or developed? Who has accountability? Are they sufficiently transparent?
<b>Systems</b>	The systems that are used to deliver emergency management outcomes. Includes, but is not limited to, IT, management systems (e.g., financial, infrastructure, and assets), learning and development, workforce management, workplace health and safety, quality control, arrangements that enhance cross-sector resilience, and incident management systems such as the Australasian Inter-service Incident Management System (AIIMS).	What systems are needed, or how can they be improved?
<b>Processes</b>	Documented or undocumented ways of delivering emergency management such as risk management, continuous improvement, information flow, capability and capacity planning.	How can processes be developed or improved?

## 5. Capability Development Model: Enhance and Develop Capabilities

The next step is to develop a plan that will reduce the identified (or create new capabilities); but how is that achieved?

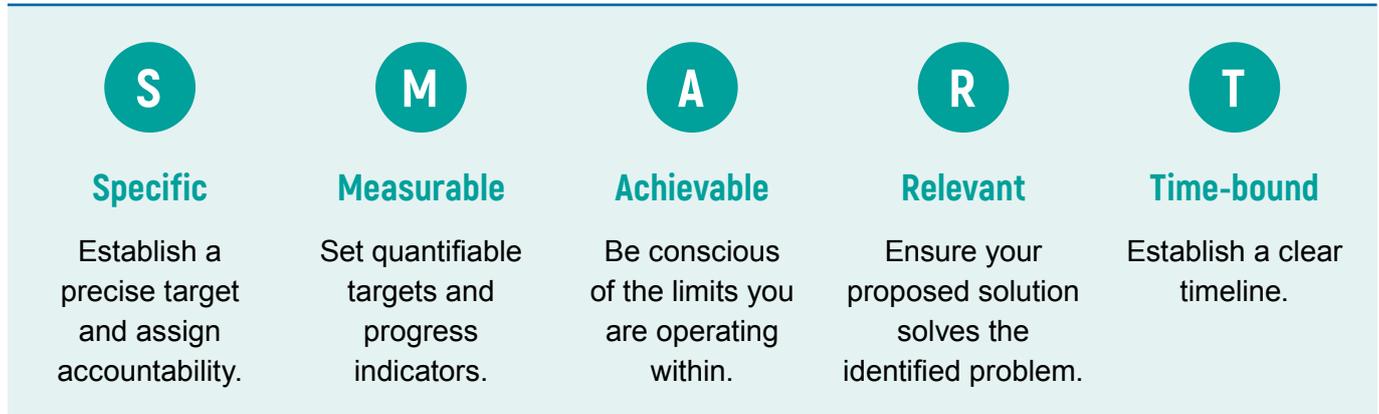
Deciding how to manage capability gaps within an organisation involves various methods that leverage the strengths and expertise of the workforce. Some helpful ideas are listed in [Table 3](#) below.

By employing these methods, organisations can create a multifaceted and inclusive approach to address capability gaps effectively. Regardless of your organisation's project management process, the planning process should start with identifying practicable actions; for example, you can use the **SMART Model** ([see Figure 14](#)) which, aims at assigning clear responsibilities and provides a good starting point.

**Table 3. Enhance and Develop Capabilities**

Ways You Can Reduce Capability Gaps
<p><b>Small Groups or Task Forces:</b></p> <ul style="list-style-type: none"> <li>• Form small, cross-functional groups or task forces comprising individuals from diverse departments.</li> <li>• Foster collaboration to collectively analyse and address specific capability gaps.</li> <li>• Encourage brainstorming and sharing of insights from different perspectives.</li> </ul>
<p><b>Subject Matter Experts (SMEs):</b></p> <ul style="list-style-type: none"> <li>• Identify and involve subject matter experts relevant to the specific capability gaps.</li> <li>• Leverage their specialised knowledge and experience to provide targeted recommendations.</li> <li>• Conduct consultations or workshops with SMEs to extract valuable insights.</li> </ul>
<p><b>Workshops, Seminars, and Training Sessions:</b></p> <ul style="list-style-type: none"> <li>• Organise workshops, seminars, or training sessions facilitated by experts in the field.</li> <li>• Focus on building internal knowledge and capabilities related to the identified gaps.</li> <li>• Provide hands-on learning experiences to enhance practical skills.</li> </ul>
<p><b>Employee Surveys and Feedback Sessions:</b></p> <ul style="list-style-type: none"> <li>• Conduct surveys to gather input from employees directly involved in the areas of concern.</li> <li>• Host feedback sessions to understand perspectives, challenges, and potential solutions.</li> <li>• Ensure open communication channels to capture valuable on-the-ground insights.</li> </ul>
<p><b>External Consultants:</b></p> <ul style="list-style-type: none"> <li>• Seek input from external consultants to provide an objective and impartial viewpoint.</li> <li>• Benefit from their industry knowledge and familiarity with best practices.</li> <li>• Collaborate on developing tailored strategies for reducing capability gaps.</li> </ul>

**Figure 14. SMART Model**



In the earthquake example (see Figure 15), we put together a working group to look at some of the identified capability gaps from the previous step. The group consisted of technical experts who develop earthquake information for use by operational personnel. In the [Core Capabilities, Descriptors and Indicators](#) (Appendix 5) in the [SEMC Capability Toolbox](#), you can also use the Guiding questions to trigger some actions.

The way you achieve the above process is primarily dependent upon your organisations policies and procedures. Allocation and approval of recommendations will be subject to a variety of factors that are out of scope of this user guide.

**Figure 15. Actions (SMART)**

People	
Actions (SMART)	Assigned to
<ul style="list-style-type: none"> <li>Engage an external company to provide some Warden training for all current wardens.</li> <li>Assess the number of wardens we currently have prior to the training and identify additional personnel who could perform the function if someone is on leave.</li> <li>Identify who has not received the Drop, Cover, Hold On training and provide an information session.</li> <li>Induction procedures to be updated with inclusion of evacuation procedures.</li> <li>Training to be provided to all staff on the current evacuation procedure, procedures to be clearly located around the organisation and a regular drill schedule to be developed.</li> </ul>	All actions to be assigned to the Manager Lessons Learnt.
Processes	
<ul style="list-style-type: none"> <li>Current evacuation procedure to be reviewed to develop only 1 evacuation muster point.</li> <li>Chief and Deputy Chief Wardens to be provided with a checklist of actions – The addition of completing a FELT report and accessing and monitoring Emergency WA to be an action.</li> </ul>	OHS Manager to update procedure. And develop checklist.



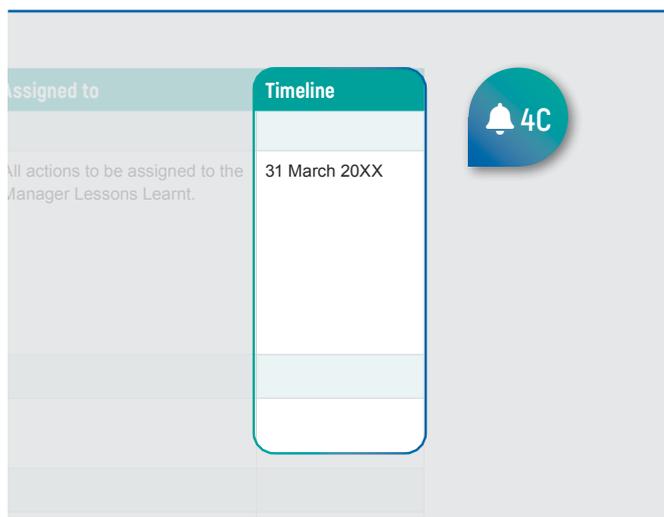
# 5. Capability Development Model: Enhance and Develop Capabilities

## Identify Timelines

In the ‘**Timeline**’ box, (see [Figure 16](#)) you need to provide a clear date for completion of the required actions.

While identifying capability gaps is a crucial step, addressing all identified gaps may not always be feasible due to limitations in financial resources, personnel, and time constraints. Prioritisation is key in such scenarios, as it allows organisations to strategically allocate available resources to address the most critical gaps that align with overarching goals and objectives. This selective approach ensures efforts are concentrated where they can have the most significant impact on overall performance and resilience. By prioritising capability gaps, organisations can navigate constraints more effectively, making informed decisions that lead to tangible improvements and sustainable enhancements within the given limitations. This strategic prioritisation contributes to a more focused and efficient development strategy, optimising the use of available resources for the greatest organisational benefit.

**Figure 16. Timeline**



Once your organisation has identified what it needs to do to close the capability gap, the implementation phase may require the formulation of a business cases adhering to your organisation’s standard budgeting, acquisition, and procurement processes. Depending on the complexity of the requirements, change management and organisation development procedures may also be considered, especially in the case of new capabilities.

## Evaluation

Evaluating the change post-implementation is a critical step in ensuring the success and sustainability of improvements within an organisation. This assessment serves as a vital feedback loop, allowing for a comprehensive understanding of the impact of the implemented changes. It helps ascertain whether the intended improvements have been realised while identifying any unforeseen challenges or unintended consequences. Regular evaluation provides insights into the effectiveness of strategies. employed during the change process. This provides an opportunity to celebrate successes and address areas that may require further attention or refinement. Additionally, ongoing evaluation contributes to a culture of continuous improvement, fostering adaptability and responsiveness to evolving organisational needs. By systematically assessing the outcomes of change initiatives, organisations can optimize their processes, enhance overall performance, and reinforce a commitment to achieving lasting positive transformations.

Once the goals are established, your organisation’s governance and management procedures will continue to determine its success.



**SEMC**  
STATE EMERGENCY  
MANAGEMENT COMMITTEE



GOVERNMENT OF  
WESTERN AUSTRALIA

**SEMC**  
STATE EMERGENCY  
MANAGEMENT COMMITTEE

© Government of Western Australia Published 2023 by the Department of Fire and Emergency Services.

---

This report is copyright and may be reproduced provided the source is acknowledged. All photographs within have been used with permission and remain the property of the SEMC or the contributors. The report has been produced in electronic format and is available to download from the SEMC's website in PDF. The report is available in alternative formats on request. For hearing or speech-impaired access, please contact the National Relay Service TTY 133 677.

#### CONTACT INFORMATION

20 Stockton Bend,  
Cockburn Central  
Western Australia 6164

Tel: +61 8 9395 9888

Email: [info@semc.wa.gov.au](mailto:info@semc.wa.gov.au)

[semc.wa.gov.au](http://semc.wa.gov.au)

---