
**Security and resilience — Emergency
management — Guidelines for
capability assessment**

*Sécurité et résilience — Gestion des situations d'urgence — Lignes
directrices pour l'évaluation de la capacité*

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

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For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

The committee responsible for this document is Technical Committee ISO/TC 292, *Security and resilience*.

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Introduction

This document provides guidelines for an organization in assessing its emergency management capability by using four maturity levels, eight indicators and an assessment process (see [Figure 1](#)).

A capability assessment can be used to:

- ensure regulatory compliance, reduce risk and meet the safety expectations of the population;
- improve organizational processes;
- enhance partnership, coordination and cooperation within an organization and with other agencies and sectors;
- share best practices;
- promote continual improvement.

A capability assessment can be performed by the organization itself or by an external organization.

Organizations can define their context to allow for an appropriate assessment of its emergency management capability. This context can be expressed through identifying appropriate activities in relation to prevention, mitigation, preparedness, response and recovery. While most organizations deliver all emergency management functions, some organizations can be responsible for only a single function so not all the indicators will apply.

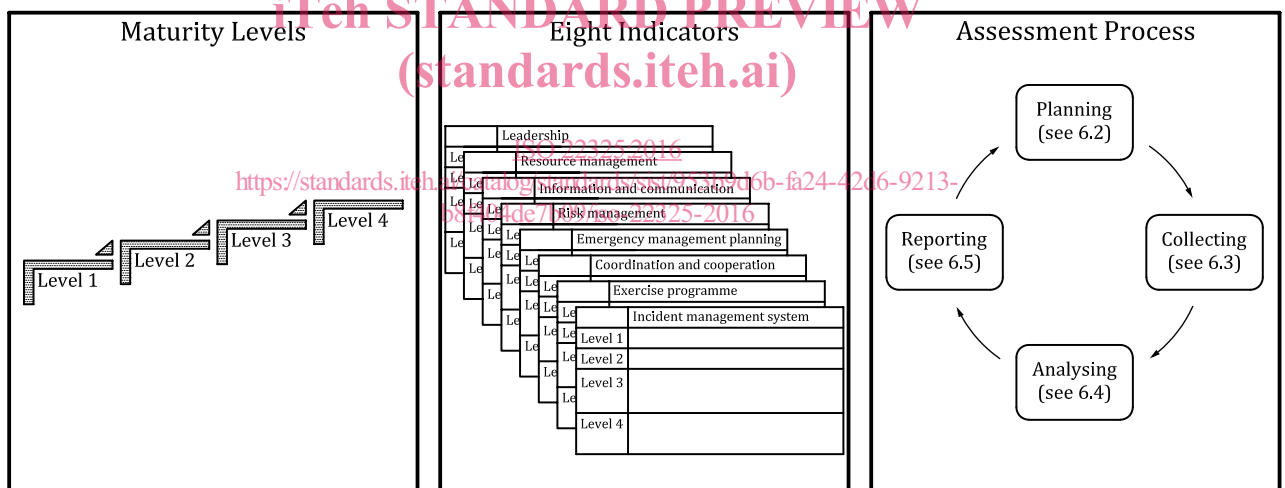


Figure 1 — Emergency capability assessment

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Security and resilience — Emergency management — Guidelines for capability assessment

1 Scope

This document provides guidelines for an organization in assessing its emergency management capability. It includes

- an assessment model with a hierarchy of four levels;
- eight indicators;
- an assessment process, explaining how to plan, collect, analyse and report.

This document is intended to be used by organizations responsible and accountable for emergency management. Each organization's context can involve a mix of prevention, mitigation, preparedness, response and recovery activities.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 22300 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

3.1 context

external and internal factors to be taken into account when undertaking a capability assessment

Note 1 to entry: External context includes the following:

- cultural, social, political, legal, regulatory, financial, technological, economic, natural and competitive environment, whether international, national, regional or local;
- key drivers and trends having impact on the objectives of the organizations;
- relationships with, and perceptions and values of external stakeholders.

Note 2 to entry: Internal context includes

- the organization's mandate,
- business sensitivity,
- governance, organizational structure, roles and accountabilities,
- resources and knowledge (e.g. capital, time, people, processes, systems and technologies), and
- organizational culture.

3.2 emergency management capability

overall ability to effectively manage prevention, preparedness, response and recovery before, during and after potentially destabilizing or disruptive events

4 Assessment model

The organization should use the assessment model with four levels to classify its emergency management capability (see Figure 2). This is subject to the role, functions, scope and authority of an organization and the operational context.

Level 1 represents the minimum level of emergency management capability, while Level 4 represents the highest level of emergency management capability.

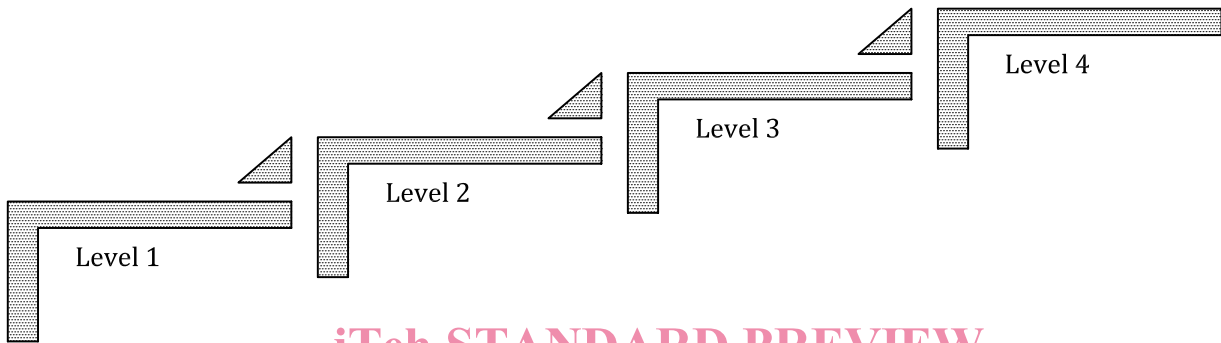


Figure 2 — Levels of emergency management capability

At Level 1, an organization performs its emergency management role at a basic level.

At Level 2, an organization has established detailed plans with the goal of achieving a balance between resource demands and availability. Plans are developed in terms of the knowledge, skills and capabilities to manage incidents and are updated periodically.

At Level 3, an organization has designed an emergency management process to facilitate appropriate measurement and assessment which enables the organization to identify opportunities for improvement. The organization has integrated with other organizations in order to increase the effectiveness and efficiency.

At Level 4, an organization has reached an optimal level of emergency management capability. Critical to this level of performance is the ability to demonstrate organizational learning, adaptive capacity and effective coordination and cooperation with other organizations. It commits to research and best practice and is able to appropriately use technology.

5 Indicators

5.1 General

The organization should assess emergency management capability using the indicators which reflect the scope, function and authority of the organization:

- a) leadership;
- b) resource management;
- c) information and communication;
- d) risk management;

- e) coordination and cooperation;
- f) emergency management planning;
- g) exercise programme;
- h) incident management system.

The indicators in [Tables 1](#) to [8](#) are described in accordance with the four levels of the assessment model (see [Figure 2](#)).

5.2 Leadership

Effective leadership enables the organization to forge effective communication and collaboration among organizations. It is important for the leadership to be aware of the organization's internal and external context. A clear commitment to the assessment process should be demonstrated.

Table 1 — Indicator for leadership

Level	Criteria
Level 1	The roles and responsibilities of the organization have been defined. An emergency management policy has been approved which includes emergency management objectives.
Level 2	The leadership is aware of the roles and responsibilities of the own organization and commits appropriate resources. The emergency management objectives have been harmonized with objectives of the organization. Leadership approves and supports these objectives. The leadership has demonstrated a commitment to continual improvement.
Level 3	The leadership is aware of the roles and responsibilities of other organizations and demonstrates coordination and cooperation. The leadership has identified strengths and weaknesses of organization and shares opportunities for improvement with other organizations. The leadership ensures alignment between job competences and individuals.
Level 4	Procedures have been implemented to learn from incidents, near misses, exercises and tests. Leadership has been involved in exercises. The leadership has assigned resources to support research and development activities and to improve its capacity to cope with current and future emergencies. Commitment includes identified contingency funding. The organization demonstrates the ability to optimize according to its context.

5.3 Resource management

Resource management is the efficient and effective allocation and deployment of resources when and where they are needed.