

A Lessons Management Framework for NSW Emergency Management Sector



*Building a safer, stronger,
more disaster resilient NSW by
sharing lessons and knowledge
and learning from experience.*



**Resilience
NSW**

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Disclaimer

Every effort has been made to ensure that the information contained within this document is accurate and where possible reflects current best practice and knowledge. Users of this document should obtain additional information from other sources if the document publication date exceeds 12 months.

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Executive Summary

Whether it is drought, floods, bushfires, cyclones or other disasters, the impacts remind us of the need to constantly review and improve. Lessons management (LM) refers to the component of knowledge management that seeks to introduce better practice and improvement opportunities for an organisation's systems and processes.

LM is an essential discipline that contributes to achieving continuous improvement and development.

Following an incident, exercise or review, there is an opportunity to identify lessons and learn. LM enables the lessons to be identified, shared and embedded through action and change. The lessons can be an opportunity for improvement or a good practice to be sustained and will have implications for current operations, planning of future operations, as well as capability development. The aim is to sustain positive performance and improve in areas where deficiencies are identified.

The Lessons Management Framework (LMF) for the NSW Emergency Management Sector sets out what is required to build on the good work already being done at the organisational level.

It supports the international, national and state position of reducing disaster risk by supporting a coordinated and collaborative effort to enhance our capacity to prepare for and withstand and recover from emergencies and disasters.

The LMF identifies five essential elements to support the LM lifecycle: governance; leadership and culture; roles, responsibilities and accountabilities; standard language; and a clearly defined LM process. The LM process consists of four key steps for identifying, sharing and learning lessons. Applied together they support and sustain a consistent approach to LM fostering a learning culture. How it is applied by stakeholders will depend on their own unique context, characteristics and current maturity levels in LM.

The LMF acknowledges the good work already being done by many organisations and provides a way for organisations to develop and build on existing levels of maturity in LM. Organisations applying the LMF see a culture of LM and learning naturally develop as a consequence.

Such a culture will encourage and support a trusted network for sharing of lessons across organisations and the willingness and means to change.

The benefits to the NSW emergency management sector for building a robust LM capability will be continuous improvement of organisational interoperability and a strong learning culture to ensure that organisations are positioned to meet the future evolving operating environments.

Policy Context and Drivers

International, National and State policies for Emergency Management (EM) emphasise the need for a continuous improvement program and use of lessons to improve disaster resilience and continually improve EM arrangements.

Key documents at the international, national and state level are outlined in Figure 1 below. Refer to Appendix 1 for additional details.

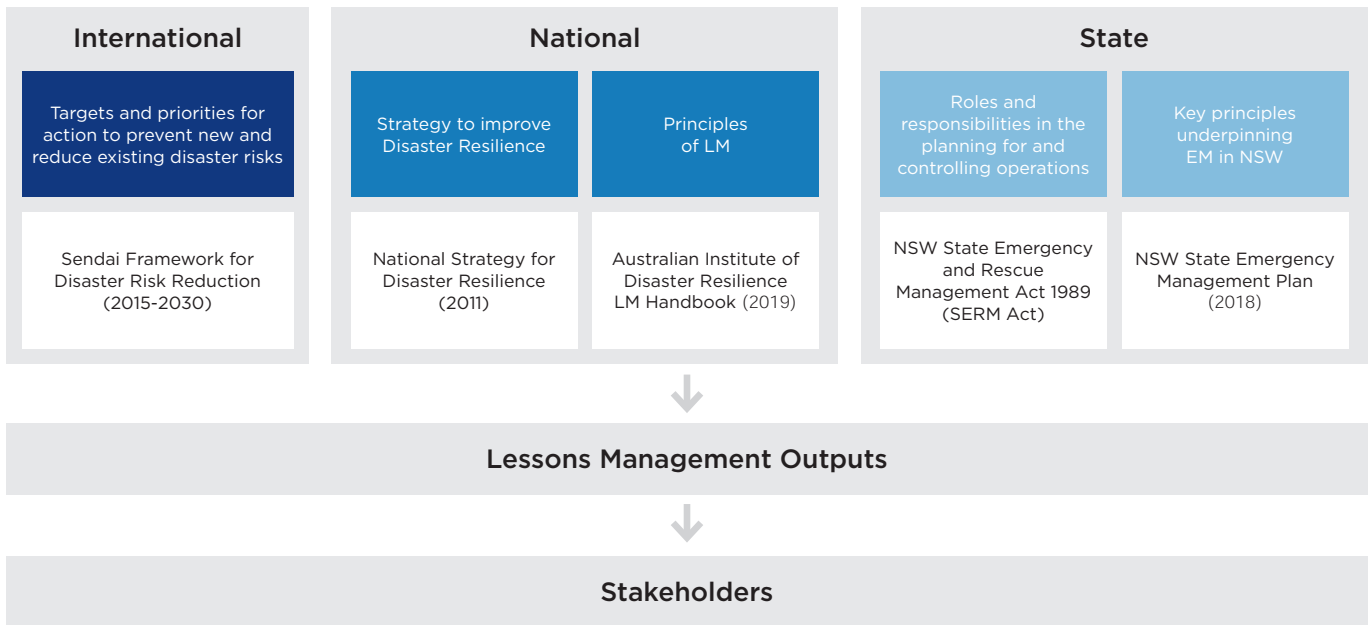


Figure 1: International, National and State level context

International Level

The Sendai Framework for Disaster Risk Reduction (2015 – 2030) highlights LM as a key input for building knowledge, understanding disaster risk and information sharing, enhancing disaster preparedness, incorporating disaster risk management into recovery, preparedness for disaster reconstruction and disaster preparedness and response.

National Level

1. Australia’s National Strategy for Disaster Resilience (2011) identifies sharing of knowledge and lessons as important in promoting innovation and good practice. It highlights LM as a key input for risk management, communication, education and stakeholder engagement, and supporting capabilities for disaster resilience.

2. The Australian Institute of Disaster Resilience (AIDR) Lessons Management Handbook supports the priorities set in the National Strategy for Disaster Resilience by providing principles and guidance for LM.

State Level

1. The State Emergency and Rescue Management Act 1989 (SERM Act) specifies the roles and responsibilities in the planning for and controlling of emergency operations. A key function of the State Emergency Management Committee (SEMC) under the SERM Act is to ‘facilitate strategic State level emergency management capability through inter-agency co-ordination, co-operation and information sharing arrangements’.
2. The NSW State Emergency Management Plan (EMPLAN) highlights the role of LM as a key principle of EM and key input for continuous improvement, information sharing, planning, emergency risk management and improving response and recovery.

A Lessons Management Framework for NSW Emergency Management Sector

Vision

Building a safer, stronger, more disaster resilient NSW by sharing lessons and knowledge and learning from experience.

Mission

To provide a framework that captures and analyses information to develop lessons that can be applied to strengthen EM capability across the sector.

Scope

The LMF is intended to support the capture and analysis of information and identification and learning of lessons from incidents, exercises and other reviews. It provides the elements for a standard approach to LM which can be applied at organisational, local, regional and state levels. How it is applied at each level depends on the context, characteristics and current level of LM maturity.

The LMF can also be tailored and applied to other disciplines that would benefit from sharing knowledge or lessons identified, such as horizon scanning, risk management or project management.

Guiding Principles

The following principles have been applied in the development of the LMF:

1. Strong governance, leadership and commitment is required to drive effective LM
2. Learning from experience involves an objective review of system, process or organisational performance, not the performance of an individual or team
3. LM relies on stakeholder collaboration
4. LM provides validation that lessons are learned and changes are sustained
5. LM provides evidence for improved decision making
6. LM is essential for promoting a culture that supports learning and sharing
7. Sharing enables stakeholders to leverage off each other's capabilities and experience.



Purpose

LM enables the sector to learn from experience and provide validated justifications for making changes to improve the efficiency and/or effectiveness of how we do our work. The LMF (Figure 2) provides a good practice model for LM for the sector.

Definitions

For the purposes of this framework, definitions listed in the Australian Institute of Disaster Resilience, Lesson Management Handbook will apply.



Referenced Documents

The LMF should be read in conjunction with the Australian Disaster Resilience Lessons Management Handbook. Documents referred to are included in Appendix 3.

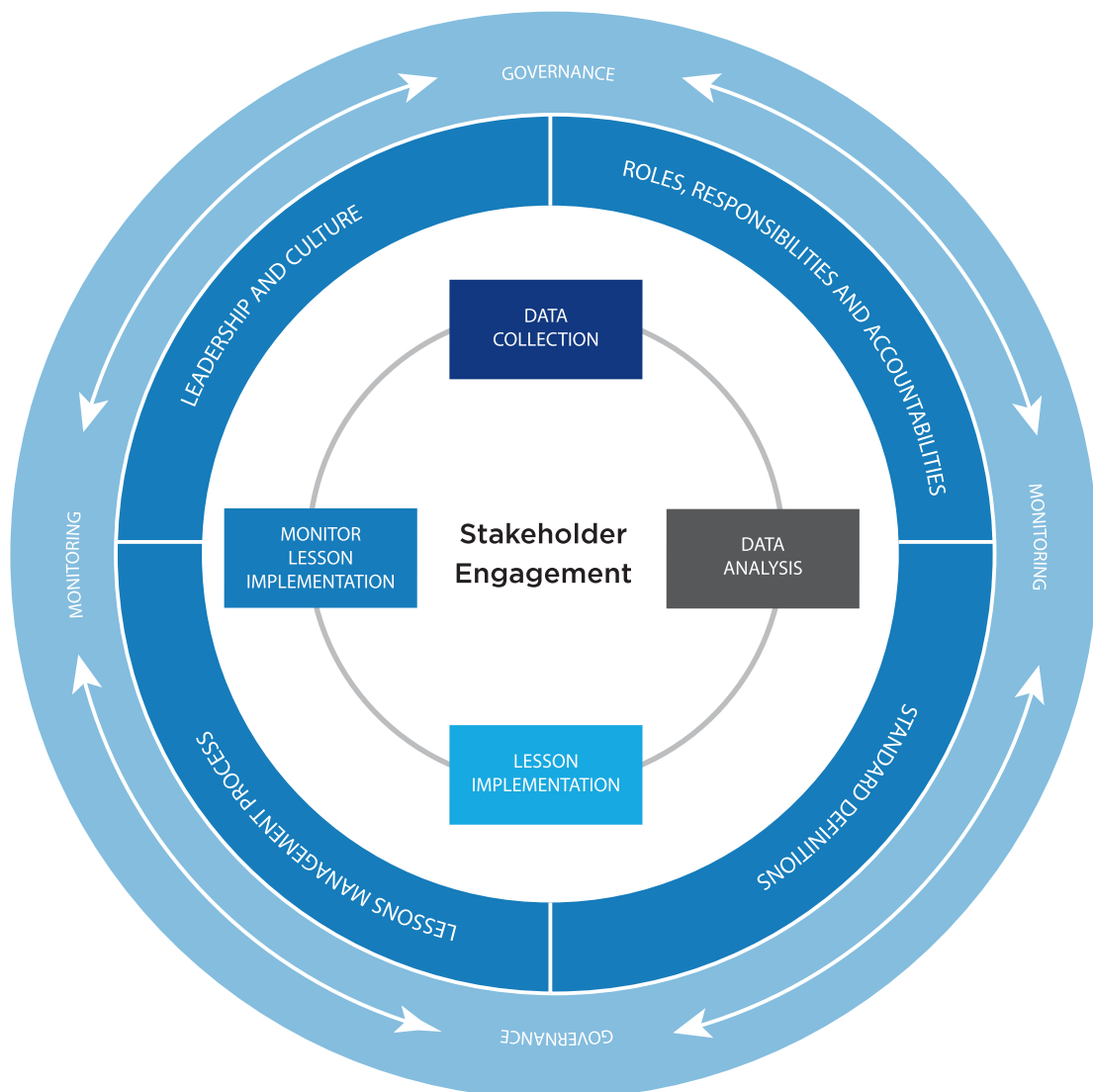


Figure 2: Lessons Management Framework Model

Target Audience

The LMF is aimed at LM practitioners and those with a responsibility for implementing and maintaining LM within their organisations. LM can be implemented at an individual, team, organisational or strategic levels as shown in Figure 3.

1. Organisational level LM is sponsored and supported by organisational leadership. Organisations provide key inputs into strategic level LM.
2. Strategic level LM (local, regional or state level) is sponsored and supported by Local Emergency Management Committees (LEMC), Regional Emergency Management Committees (REMC) and State Emergency Management Committee (SEMC).

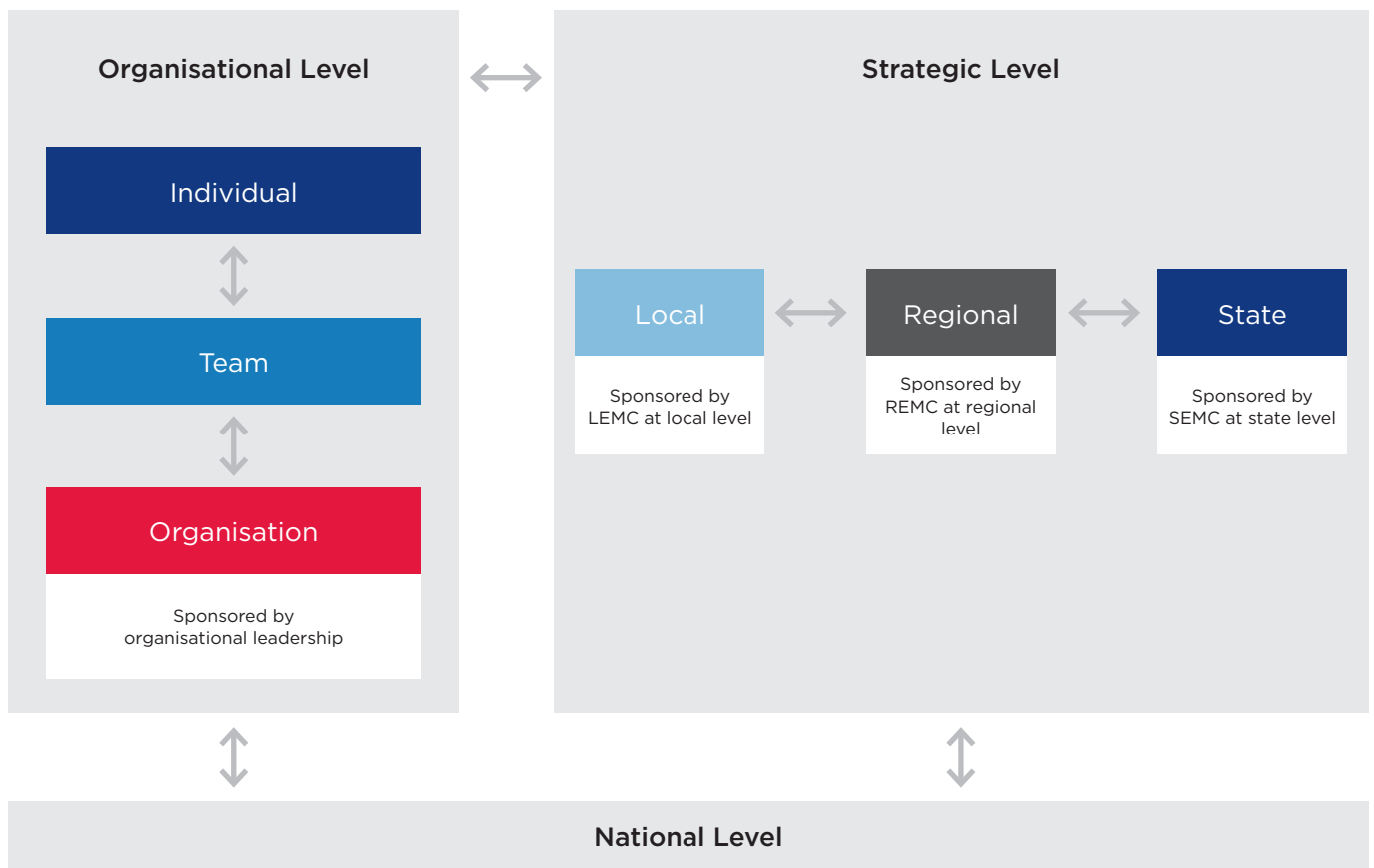


Figure 3: Lessons Management Levels

Who needs to learn lessons?

Everyone involved in the EM sector has a responsibility for contributing to LM and learning lessons including tactical operators, incident management teams, developers of doctrine, supervisors, managers and leaders, learning and development professionals, knowledge and lessons practitioners.

Stakeholders in the EM sector also need to consider the lessons being identified. The range of stakeholders that lessons may impact include Cabinet and Ministers, members of local, regional and state emergency management committees and subcommittees, local and regional emergency management officers, organisations, local governments and other government and non-government organisations as well as private sector and community representatives.

Key Outputs

Implementation of the LMF will support the development and delivery of:

1. Leadership and cultural requirements to support learning
2. Appropriate governance, monitoring and reporting practices for LM
3. Processes for moving towards lessons learned
4. Guidelines, tools and resources for LM
5. Guidance on sharing of data, information and lessons
6. Guidance on organisational support for LM sponsorship, expertise and champions
7. A shared repository of lessons for the EM sector.

Benefits

Implementation of the LMF is expected to deliver the following benefits:

1. Leadership support and a just culture that supports learning and change
2. Evidence of continuous improvement with a focus on good practice and opportunities for improvement
3. Contribution to evidence based decision making
4. Validation that lessons are identified, shared and learning is taking place
5. Enable principles, policies, processes, practices, and training to be reviewed and improved
6. Enable improved interoperability through common understanding of LM requirements
7. Enable stakeholders to leverage off each other's capabilities and experience through information sharing
8. Open pathways for possible solutions outside immediate operations and organisations
9. Timely and ready access to lessons.



Lessons Management Lifecycle

The generic LM lifecycle consists of 4 phases which are key to identifying, sharing and learning lessons as shown in figure 4.

The 4 phases of the LM lifecycle include:

1. **Collection** of observations and insights from experiences
2. **Analysis** of observations and insights to develop lessons that can be learned
3. **Implementation** involves assessing lessons for implementation, communicating the lessons so that others can benefit, making and sustaining the changes
4. **Monitoring** implementation involves monitoring and measuring the changes to validate the lesson has been learned.

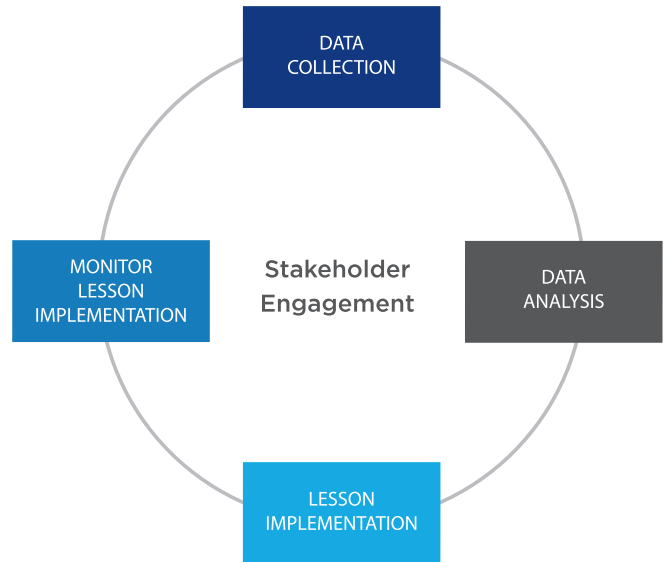


Figure 4: LM lifecycle

Checklist for Implementing the Lessons Management Framework

A checklist for implementation of the LMF is included in Appendix 2.

Managers and LM practitioners can use the checklist to assess their own organisational progress in implementing the LMF.

Appendix 2: Checklist for Implementing the Lessons Management Framework

LMF Element	Checklist	Yet to commence	Work in progress	Performing
Governance	LM Sponsor role is defined and assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM requirements are documented, communicated and accessible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Measures, metrics, KPIs and reporting requirements for LM are established	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Process is in place for monitoring continuous improvement of the LM system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Process is in place to protect the security of information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Process is in place for feedback to stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Processes are in place for sharing and change management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Appropriate technology is in place to support LM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leadership and Culture	LM is resourced effectively	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Actively promote culture of learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM requirements incorporated into EM requirements and approved by relevant authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM requirements are embedded into relevant business practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM is included in high level meeting agendas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Mechanisms are in place to support LM at all levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Stakeholders are educated and trained in relevant LM processes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Roles, Responsibilities & Accountabilities	Communications strategy to promote LM is documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Promote achievements of LM system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM roles are defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Responsibilities for each role are clearly defined and communicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Position descriptions/functional roles for LM leaders are defined and communicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholders are educated and trained in how to write, analyse and use well-constructed observations, insights and lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Characteristics of the Lessons Management Framework

Each stakeholder within the sector is unique. They vary in context, objectives, size, culture, geographical location, workforce profile, and capability requirements. Different approaches to LM are therefore necessary.

Nonetheless, there are elements that should be consistently observed which reflect good LM practice. The LMF has adopted the model shown in Figure 2.

The model depicts the 5 essential elements that define, support and sustain the implementation of the LM Cycle. The elements are interconnecting i.e. if one element is missing, the LMF will not operate effectively.

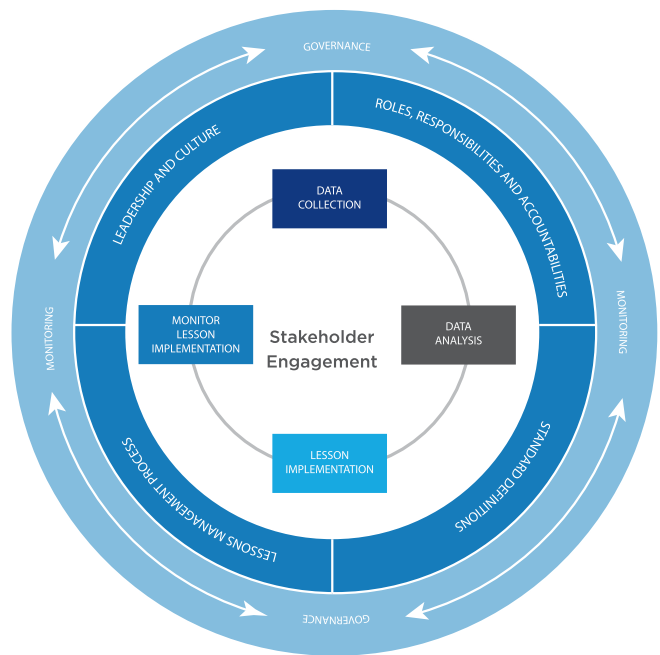


Figure 2: Lessons Management Framework Model

Elements of the LMF

The 5 essential elements of the LMF that support the LM Cycle are outlined in the following tables:

1. Governance: structures and systems including monitoring and measuring of the application of the LMF against predefined performance measures/KPIs and reporting	Table 1, pg. 12
2. Leadership and Culture: leadership requirements to support the development of a learning culture	Table 2, pg. 14
3. Roles, Responsibilities and Accountabilities: clarity of expectations	Table 3, pg. 16
4. Standard Definitions: glossary and standard language	Table 4, pg. 18
5. Lessons Management Process: detailed process steps for achieving lessons learned	Table 5, pg. 20

Table 1: Governance

Element	Governance
Description	Provide the direction, oversight and monitoring requirements for LM
Enablers	<ul style="list-style-type: none">• Acceptance of principles and LM approach by senior management• Governance systems, structures and chain(s) of accountability• Willingness to change and share• Communication of expectations• Technologies to support LM

Good Practice Principles

1. Expectations are communicated and accessible
2. Stakeholders receive regular feedback
3. Processes are transparent with appropriate security of information
4. Processes are auditable
5. People are trained in processes
6. LM capability is monitored, measured, reviewed and improved
7. LM requirements are embedded into business practices



Activities

Set clear direction and expectations for what LM means in practice and reinforce through feedback and actions

Leadership expectations

- Assign process ownership
- Establish governance structure and arrangements
- Establish leadership boundaries, roles, functions, accountabilities and reporting mechanisms for decision making
- Define characteristics for the desired learning culture

Direction

- Define focus areas and priorities for identification of lessons
- Stipulate which lessons, information, activities and issues are to be brought to attention of leadership and/or committees and the decisions required
- Establish mechanisms for how information is to be provided to leadership and/or committees to enable decision making
- Establish feedback loops for communication

Establish roles, responsibilities, processes, resourcing and technologies to support LM

Roles and responsibilities

- Define the behaviours, roles, responsibilities and accountabilities for day-to-day activities

Processes

- Define content for principles, policies, processes and procedures

Resourcing and technology

- Ensure staff are adequately trained to deliver against expectations for LM
- Provide technology for recording, storing, searching, retrieving, extracting, and sharing LM data, information and lessons

Monitor and measure LM

- Assign accountability for monitoring and measurement
- Establish measures, metrics and KPIs and reporting requirements relevant to the organisation
- Ensure learning is taking place
- Ensure LM capability is meeting expectations

Table 2: Leadership and Culture

Element	Leadership and Culture
Description	Leadership requirements to support a learning culture
Enablers	<ul style="list-style-type: none"> • Position descriptions/functional roles for LM so leadership understand what is expected of them • LM requirements are incorporated into EM policy at both organisational and strategic levels • Ability to write, analyse and use well-constructed observations, insights and lessons • Strategic level understanding of LM processes and their application throughout the organisation

Good Practice Principles

1. Leaders ensure LM is supported at all levels within the organisation
2. Leaders model expected behaviours and demonstrate the value of LM
3. Leaders ensure contemporary working knowledge of LM practice and principles is maintained
4. Leaders ensure LM is included on high level agendas
5. Leaders ensure LM is embedded into business practices



Activities

Leaders promote a learning culture and the value of LM

- Implement an objective, just and fair approach for LM with clearly defined leadership boundaries, roles, responsibilities and accountabilities
- Promote, enforce and prioritise LM at all levels including senior leadership levels
- Include LM on high level agendas
- Promote the benefits of collaboration and sharing
- Promote active involvement in continuous improvement i.e. be willing to highlight learning opportunities, share and change and encourage others to do same

Implement requirements for LM including principles, policies, processes and procedures, roles, responsibilities and accountabilities

- Ensure requirements are documented, communicated and accessible to those who need it
- Focus on what can be improved or sustained, not on who was involved
- Balance between no-blame and accountability
- Ensure requirements are embedded into business practices and EM policy for the organisation
- Ensure adequate resources and time is allocated for LM activities
- Provide processes to identify priorities, evolving risks and opportunities

Ensure expectations for LM are communicated to stakeholders

- Set expectations through clear and transparent communication
- Utilise positive language for LM messaging
- Share LM stories

Conduct monitoring and review to ensure LM is effective and continues to add value

- Develop measures, metrics and KPIs and monitoring requirements for LM
- Carry out monitoring, measurement and review and report outcomes to senior levels
- Provide validation that learning is taking place

Maintain contemporary working knowledge of LM practices and principles

- Provide tools, education and training opportunities for LM
- Ensure people understand how to write, analyse and use well-constructed observations, insights and lessons

Table 3: Roles, Responsibilities and Accountabilities

Element	Roles, Responsibilities and Accountabilities
Description	<p>LM roles and responsibilities exist at the individual, team, organisational and strategic level and should be clearly defined and communicated</p> <p>Participants involved in LM need to understand their role, what is expected of them and appreciate how they fit into LM</p>

	Individual	Team	Organisation	Strategic
Governance & Monitoring	<ul style="list-style-type: none"> Compliance with LM process requirements 	<ul style="list-style-type: none"> Compliance with LM process requirements 	<ul style="list-style-type: none"> LM ownership and governance at organisational level Implement a LM process consistent with LMF at the organisational level Ensure LMF is working and applied as intended at organisational level Compliance with organisational LM process requirements 	<ul style="list-style-type: none"> LM ownership and governance at strategic level Implement a LM process consistent with LMF at the strategic level Ensure LMF is working/ applied as intended at strategic level Compliance with strategic level LM process requirements
Leadership & Culture	<ul style="list-style-type: none"> Be a reflective practitioner Contribute to building a learning culture Compliance with LM process requirements 	<ul style="list-style-type: none"> Be a reflective practitioner Contribute to building a learning culture Compliance with LM process requirements 	<ul style="list-style-type: none"> Contribute to building a learning culture Provide resourcing and support for LM at organisational level 	<ul style="list-style-type: none"> Contribute to building a learning culture Provide resourcing and support for LM at strategic level

	Individual	Team	Organisation	Strategic
Lesson Identification	<ul style="list-style-type: none"> Identify and share observations at team, organisational and strategic levels Contribute to debriefing and review activities 	<ul style="list-style-type: none"> Identify, capture and share observations and insights with other teams, organisations and state Lead and contribute to monitoring, debriefing and review activities 	<ul style="list-style-type: none"> Identify and share insights and lessons with local, regional, state level EM committees and national and international organisations where appropriate Facilitate the capturing and sharing of insights and lessons Facilitate debriefing and review activities at organisational level 	<ul style="list-style-type: none"> Identify and share insights and lessons at the NSW strategic level, and with other organisations and states Accept referral of data, information and lessons from organisations Conduct reviews as appropriate at strategic level
Learning Lessons	<ul style="list-style-type: none"> Contribute to implementation of the lessons Utilise lessons to learn and improve 	<ul style="list-style-type: none"> Utilise lessons to learn and improve Implement any necessary change and improvement actions resulting from lesson identification 	<ul style="list-style-type: none"> Utilise lessons to learn and improve Implement and oversee any necessary change and improvement actions resulting from lesson identification 	<ul style="list-style-type: none"> Utilise lessons to learn and improve Oversee the implementation of change and improvement actions at strategic level
Monitoring & Measurement	<ul style="list-style-type: none"> Contribute to monitoring and review activities 	<ul style="list-style-type: none"> Lead and contribute to monitoring, and review activities 	<ul style="list-style-type: none"> Facilitate monitoring, and review activities at an organisational level 	<ul style="list-style-type: none"> Oversee and coordinate monitoring and review activities at strategic level

Table 4: Standard Definitions

Element	Standard Definitions
Description	Standard terms and definitions to enable common understanding of LM concepts and terms.
Enablers	<ul style="list-style-type: none">• EM sector wide LM data dictionary and glossary• Accountability for management of data dictionary and glossary• Training in LM practices according to their roles and capabilities• Administrator assigned to ensure technology reflects standard LM language and is aligned to LM data dictionary

Good Practice Principles

1. Validation of language by sector
 2. Language consistent with national approach¹
 3. Work practices and documentation reflects standard LM definitions and terms
 4. Training in use of language
 5. Data dictionary, glossary and training is regularly reviewed and updated
 6. Use plain English and keep it as simple as possible
-

Activities

Develop a data dictionary and/or glossary for LM

- Assign ownership for data dictionary and/or glossary
- Ensure terms and definitions are reviewed, updated and approved and ensure alignment with National approach and good practice
- Communicate changes and provide training in use of LM terms and definitions
- Provide access to the data dictionary and/or glossary for those who need it



Table 5: Lesson Management Process

Element	Lesson Management Process
Description	Documented process for operating the LM lifecycle and achieving lessons learned. It includes requirements for: data collection, data analysis, lesson implementation, monitoring and review of implementation.
Enablers	<ul style="list-style-type: none">• Process owner accountable for process maintenance• Documented LM process requirements and workflow• Activities such as debriefs, after action reviews and reviews that produce essential data inputs for LM• Standards, resources, tools and technology to capture, store, sort and distribute observations, ideas, improvements and innovations• Standards for data quality• Support structure for LM e.g. skilled, dedicated personnel• Training and education in LM process

Good Practice Principles

1. Good quality data e.g. observations, insights and lessons
2. All parts of the organisation know and use the LM system
3. Organisation members can access lessons from their internal LM systems
4. Organisations can access lessons from other organisation's LM systems
5. LM process leads to measurable changes
6. Collaboration networks are in place for sharing of lessons
7. Active communities of practice, champions and subject matter experts within organisations and across the sector

Activities

Implement processes for LM that define process roles, responsibilities and accountabilities; process inputs and outputs as well as who does what, when and how often

- Identify opportunities for data collection and ensure there is a focus on both positive and negative observations e.g. after action reviews, debriefs, exercises, submissions by individuals or organisations, communities
- Use proven methodology for data analysis such as the OIL process
- Decide what will be done with the data i.e. coding, themes, root cause analysis, recommendations, identifying lessons, authorisation and reporting
- Assess and implement lessons identified including action planning, prioritisation, authorisation, tasking and tracking
- Communicate and share insights and lessons
- Monitor the implementation of lessons including how, when, and what information will be collected to validate that lessons have been implemented effectively
- Establish requirements for managing sensitive information: such as lessons that may have legal implication; lead to disclosure of personal, ethical or safety issues; or have potentially incriminating information
- Record, store and manage data, information and lessons
- Establish community of practice and subject matter experts

Identify barriers to LM implementation and implement mitigation measures

- Implement mitigation measures



Appendix 1: Policy Context

International, National and State policies for EM emphasise the need for a continuous improvement program and use of lessons to improve disaster resilience and continually improve emergency management arrangements.

Key documents at the international, national and state level are outlined in Figure 1 below.

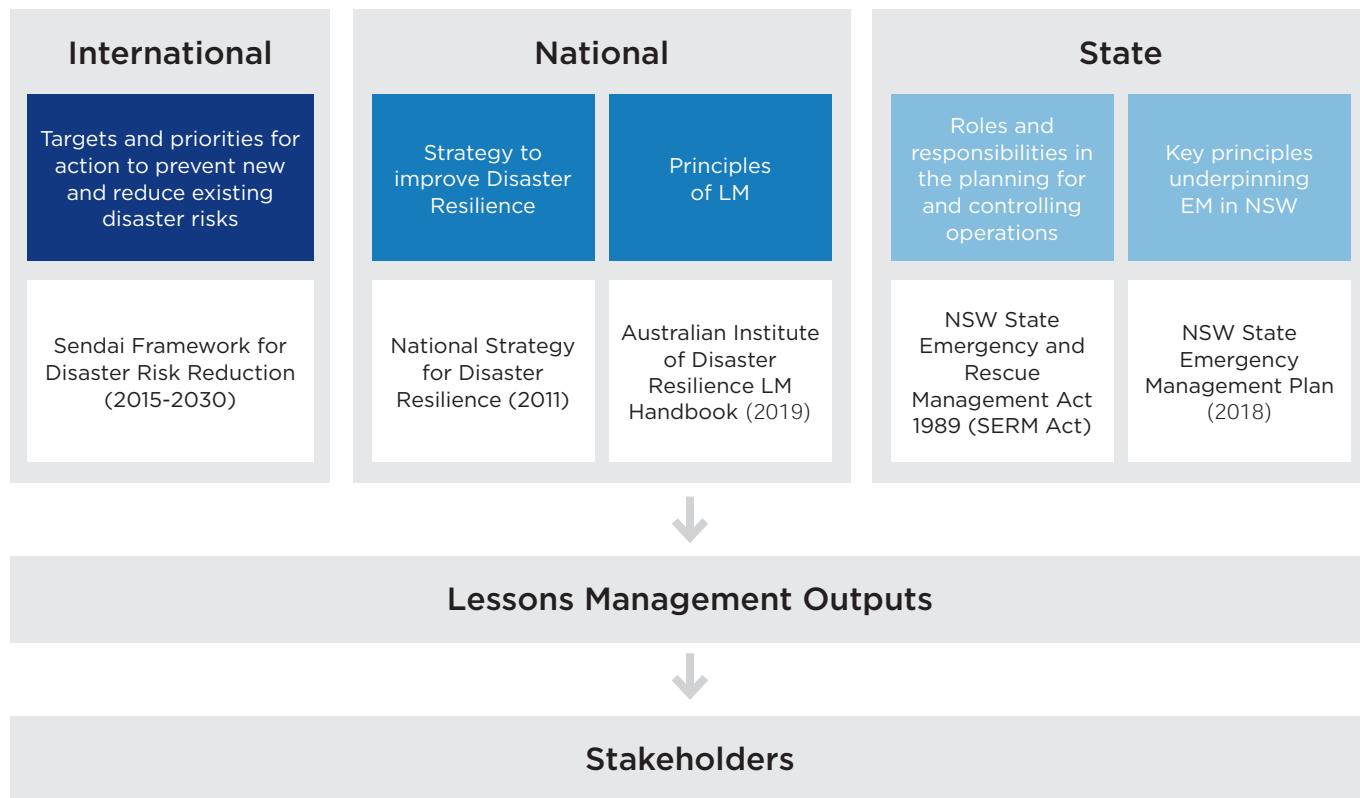


Figure 1: International, National and State level context

International Level

The Sendai Framework for Disaster Risk Reduction (2015 – 2030) was adopted at the United Nations World Conference on Disaster Risk Reduction in early 2015 and outlines seven targets and four priorities for action to prevent new and reduce disaster risk worldwide. It highlights LM as a key input for:

- **Building knowledge** – increasing stakeholder knowledge through sharing experiences, lessons learned, good practices and training and education on disaster risk reduction, including the use of existing training and education mechanisms and peer learning
- **Understanding disaster risk and information sharing** – lessons on policies, plans and measures for disaster risk reduction support the development of local, national, regional and global systems and services for information exchange
- **Enhancing disaster preparedness** – lessons from past disasters contribute to understanding what needs to be done to: strengthen disaster preparedness for response; take action in anticipation of events; integrate disaster risk reduction in response preparedness; and ensure that capacities are in place for effective response and recovery
- **Incorporation of disaster risk management into recovery** – sharing and integrating expertise, knowledge, post-disaster reviews and lessons into recovery activities contributes to economic and socially sustainable development of affected areas
- **Preparedness for disaster reconstruction** – contributing to preparedness activities such as land-use planning and structural standards improvement through learning from the recovery and reconstruction programs and exchanging experiences, knowledge and lessons learned
- **Disaster preparedness and response** – supporting coordinated action through information sharing on lessons and good practices for policy practice and post-disaster reconstruction programs

National Level

1. Australia's National Strategy for Disaster Resilience (2011) acknowledges the increasing severity and regularity of natural disasters in Australia and the need for a coordinated and cooperative national effort to enhance Australia's capacity to withstand and recover from emergencies and disasters.

The National Strategy for Disaster Resilience has identified that sharing knowledge and lessons is important in promoting innovation and good practice. It highlights LM as a key input for:

- **Risk Management and understanding risks** – information on lessons should be accessible and available for use by governments, organisations and communities undertaking risk management planning and mitigation works.
 - **Communication, education and stakeholder engagement** – knowledge is fundamental to enabling everyone in the community to determine their hazards and risks, and to inform preparation and mitigation measures. Sharing lessons from previous events, is important in promoting innovation and best practice.
 - **Supporting capabilities for disaster resilience** – adapting systems and approaches requires constant evaluation of capabilities and the implementation and sharing of lessons.
2. The Australian Institute of Disaster Resilience (AIDR) Handbook Collection outlines nationally agreed principles and guidance in disaster resilience; across different disasters, jurisdictions, contexts and stakeholders.

The AIDR Lessons Management Handbook supports the priorities set in the National Strategy for Disaster Resilience by providing principles and guidance for lesson management.

It highlights the importance of:

- a learning culture and collaborative approach to support continuous improvement
- stakeholder engagement and sharing of lessons as key to successful lessons management outcomes
- need for adaptability and flexibility across the sector
- having guidelines and a national reference for the management of lessons
- consistency in the terminology, management and shared understanding of key concepts, principles and frameworks used in Australia
- importance of LM systems interoperability to facilitate information sharing and national analysis.



State Level

1. The *State Emergency and Rescue Management Act 1989* (SERM Act) specifies the roles and responsibilities in the planning for and controlling of emergency operations. A key function of the State Emergency Management Committee (SEMC) under the SERM Act is to 'facilitate strategic State level emergency management capability through inter-agency co-ordination, co-operation and information sharing arrangements'.
2. The NSW State Emergency Management Plan (EMPLAN) sets out the NSW state level approach for Emergency Management (EM). It provides the key principles that underpin EM arrangements in NSW, the governance and co-ordination requirements as well as roles and responsibilities of organisations.

It highlights the role of LM as a key principle of EM and key input for:

- **Continuous improvement** – organisations with responsibilities under EMPLAN should continually improve through updating of plans from testing and evaluation of plans, and experience.
- **Information sharing** – Continuous improvement – organisations with responsibilities under EMPLAN should continually improve by updating plans and arrangements in light of lessons identified from testing, evaluation and experience.
- **Planning** – lessons from exercises should be fed back into planning processes.
- **Emergency risk management** – lessons from response and recovery provide important insights to inform emergency risk management.
- **Improving response and recovery** – lessons from response and recovery also provide important insights to enhance planning and prevention activities.

Appendix 2: Checklist for Implementing the Lessons Management Framework

LMF Element	Checklist	Yet to commence	Work in progress	Performing
Governance	LM Sponsor role is defined and assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM requirements are documented, communicated and accessible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Measures, metrics, KPIs and reporting requirements for LM are established	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Process is in place for monitoring continuous improvement of the LM system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Process is in place to protect the security of information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Process is in place for feedback to stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Processes are in place for sharing and change management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Appropriate technology is in place to support LM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM is resourced effectively	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leadership and Culture	Actively promote culture of learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM requirements incorporated into EM requirements and approved by relevant authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM requirements are embedded into relevant business practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM is included in high level meeting agendas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Mechanisms are in place to support LM at all levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Stakeholders are educated and trained in relevant LM processes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Communications strategy to promote LM is documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Promote achievements of LM system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Roles, Responsibilities & Accountabilities	LM roles are defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Responsibilities for each role are clearly defined and communicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Position descriptions/functional roles for LM leaders are defined and communicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Stakeholders are educated and trained in how to write, analyse and use well-constructed observations, insights and lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

LMF Element	Checklist	Yet to commence	Work in progress	Performing
Standard Definitions	LM language is defined and consistent with national approach	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Stakeholders have access to LM data dictionary and glossary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Accountabilities for management of data dictionary and glossary are clearly defined and assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Standard LM language and definitions are reflected in EM requirements, business practices and documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Standard LM language and definitions are reflected in technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lesson Management Process	LM Process roles are defined and assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM process workflow and responsibilities including requirements for data collection, data analysis, lesson implementation and monitoring implementation are documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Processes are in place for effective reviews e.g. after action reviews, debriefs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Good quality data inputs are provided e.g. observations, insights and lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	All parts of the organisation know and use the LM system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Stakeholders have access to systems and processes to submit observations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Measurable changes (i.e. improvements) are occurring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Collaboration networks are in place for sharing of lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	LM subject matter experts are available to support LM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Stakeholders have ready access to supporting resources e.g. tools, templates, guidelines, FAQs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Processes and technology are in place to capture as well as store, sort and distribute data and information e.g. observations and lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Standards are in place for maintaining acceptable level of data quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Processes are in place for managing sensitive and legal issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Processes are in place for managing sensitive information e.g. lessons that may lead to disclosure of personal, ethical or safety issues, or include potentially incriminating information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix 3: Reference List

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