

A report on the capability of CDEM Groups, including the results of the CDEM Monitoring and Evaluation Programme 2009-2012, progress on the National CDEM Strategy, and nationwide trends and issues.

CDEM Capability Assessment Report: Part 1

April 2012



**Ministry of Civil Defence
& Emergency Management**

Te Rākau Whakamarumarū

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Executive Summary

Introduction to CDEM Monitoring and Evaluation

The CDEM Monitoring and Evaluation Programme was initiated in 2009 and aims to address the monitoring and evaluation requirements set out in the CDEM Act 2002, namely to monitor the National CDEM Strategy and the performance of CDEM Groups and other agencies with responsibilities under the CDEM Act 2002. The CDEM Monitoring and Evaluation Programme has to-date comprised the capability assessments of the 16 regional CDEM Groups in New Zealand. This report is an overview of those results, a discussion of trends and issues observed, and an assessment of the state of CDEM in New Zealand.

The report comes exactly 10 years following the introduction of the CDEM Act 2002, and makes comment on the progress made since this significant reorganisation and paradigm shift in how we undertake civil defence emergency management in New Zealand. This period of time has also seen significant domestic and international disasters that have shaped the way we think about emergency management. There have also been substantial changes to the economic and social environments in this time, all of which have influenced our approach to CDEM work programmes.

The capability assessment process is based on the strategic framework provided by the National CDEM Strategy – a series of four goals, and fifteen objectives that outline the desired outcomes for CDEM in New Zealand over a 10-year period. Each of the objectives has been broken down into a number of performance indicators that would comprise coverage in that objective; each of those indicators was broken into a number of performance measures that describe achievement in that indicator. CDEM Groups completed self-assessments via the CDEM Capability Assessment Tool; a series of interviews with key members of the Group, together with a review of plans and documentation comprised the evidence on which to base assessment.

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Figure 1

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Figure 3

The data collected over the course of the 16 CDEM Group assessments – including self-assessments completed by 103 organisations, and interviews with 493 people across 76 local authorities – means that it is now possible to describe collective CDEM capability on a range of levels, as well as evaluating progress on our strategic goals and objectives, and outlining perceived challenges and issues for CDEM in the future.

High-Level National Results

The overall scores of CDEM Groups ranged from a low of 43% to a high of 76%. While there was more than a 30% spread in scores across the 16 CDEM Groups, all 16 scores fell within the ‘satisfactory’ achievement zone. Four Groups scored above 70% and as such were within 10% of the ‘target environment’ zone. Conversely three Groups scored below 50% and were within 10% of the ‘requires attention’ zone. The remaining nine Groups were relatively tightly constrained and within 12% of each other in the middle of the satisfactory zone.

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Figure 5

In terms of progress on the National CDEM Strategy goals and objectives, the averages of all 16 CDEM Group scores are presented at the goal and objective level. The data show that Goal 1 (community preparedness) and Goal 3 (readiness and response) are the highest scoring goals and fall in the upper part of the ‘satisfactory’ zone. Goal 2 (risk management), Goal 4 (recovery), and Enabler 1 (governance and organisational structures) are in the lower part of the satisfactory zone. The lowest scoring goal was Goal 4 (recovery) at an average of only 47% achievement.

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Figure 8

At the performance indicator and measure level, the categories represent some of the 'functional' areas of CDEM within which we commonly work (e.g. public education, volunteer management, planning, exercising, welfare, lifelines etc.). Results at this level form the 'bulk' of the data, and have been grouped into a standalone section of the report, 'Part 2'. For each functional area relevant indicator scores are shown, there is a discussion of capability observed, best practice is highlighted, and in most cases, a case study given. Scores are shown against a backdrop of the national high, average, and low scores to enable organisations to compare their own scores and see where they stand in this range.

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Part 2

Themes and Issues Observed

Five high-level themes are discussed in more detail in Part 1 of the Report. Theme One outlines some of the challenges of undertaking CDEM, particularly the low profile CDEM has in some councils (and the priority it is afforded as a result), the problems of undertaking CDEM in small and rural councils that lack staff and resources, and the role of personality and the importance of recruiting the 'right' staff. The observation is made that there is often a significant misperception about what CDEM is or isn't, and as a result it can often fall into obscurity amongst the more immediate and tangible requirements of councils, such as roads, water, public facilities, etc. Some suggestions are made about how to raise awareness of issues.

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Theme Two discusses the level of integration of emergency management-related functions in councils, and notes, in particular, the lack of connection between functions that could (and should) be working together towards common goals. CDEM is often considered 'civil defence' only, a largely response-focused undertaking. However the CDEM of the new era is supposed to be comprehensive of needs, and cover a range of related activities, functions, and processes – across the '4Rs' of emergency management (risk reduction, readiness, response, and recovery) – that need to be integrated and coordinated across councils and beyond in order to achieve outcomes. This theme also discusses the relative lack of attention garnered by two of the 4Rs, namely reduction and recovery.

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Figure 13

Theme Three outlines observations regarding the key elements of 'successful' CDEM Groups, namely: leadership, structure, funding, and culture. The capability assessment process has shown that the CDEM Groups with engaged leadership, deliberate organisational structures, equitable and transparent funding, and positive working cultures are the Groups making great progress, while those that do not have these elements quite right are struggling to make headway. An 'ideal' CDEM Group is described, along with some suggestions for improving process.

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Figure 14

Theme Four describes partnerships in CDEM, noting the progress that has been made in coordinated, multi-agency emergency management in New Zealand. Successful CDEM Groups are noted to reach far and wide for partners, and emergency services, lifeline utilities, and government departments are now key and integral partners. An as-yet largely untapped source of partners in emergency management is noted to be the business sector, and it is believed this sector will become increasingly important to achieving 'Resilient New Zealand' in the future. This theme also discusses the role of CDEM as a support agency to other lead agencies' emergencies, and notes that this role – as demonstrated by several recent events – has not always been as clear as it could be.

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Theme Five outlines observations about how CDEM authorities are approaching community resilience building and community engagement in recent years. It is noted

that the community is becoming an increasing focus of emergency management efforts, particularly in those local authorities and CDEM Groups who have 'graduated' from a focus on organisational processes and 'housekeeping'. Where internal processes are embedded and systemic in an organisation (i.e. 'owned' by a wide range of people), a greater proportion of time is able to be spent on the important matter of improving community preparedness and resilience to disasters.



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Summary and Conclusions

Future opportunities for CDEM are discussed. The further implementation of the capability assessment process is recommended, including a thorough review of roles and responsibilities, and some attention to the important success factors of leadership, structures, funding, and culture.



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The concept of 'developing', 'advancing', and 'mature' organisations is presented, together with a range of observations on what makes a council or CDEM Group developing, advancing or mature across a range of aspects that constitute CDEM performance. An organisation can look at these observations and decide for themselves where they stand on each aspect. By extension, if that organisation is not at the level at which they would wish to be, the table also gives some suggestions on how to enhance performance and move to the next level.



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Figure 15

The key descriptors are:

- **'Developing' organisations** are said to practice traditional 'civil defence', with a focus on facilities, staffing, equipment, and procedures. These organisations comply with the CDEM Act – minimally; they rely on individuals, are reactive to needs, and CDEM usually struggles for resources and priority.
- **'Advancing' organisations** are said to practice 'emergency management', with a mix of internal capability building, and externally facing programmes. These organisations comprehensively implement the requirements of the CDEM Act, with a range of programmes becoming coordinated within the organisation.
- **'Mature' organisations** are said to practice more holistic 'public safety', with a focus on strategic community resilience building. These organisations go beyond the CDEM Act into acting for 'public good'. Their processes and procedures are systemic, and CDEM is integrated within and across organisations.

Finally, the report makes some recommendations about improving the understanding of and awareness about CDEM as a discipline and brand. CDEM is no longer the civil defence of old: 'civil defence' implies a focus on response, and on single-agency processes, procedures, equipment, and facilities. CDEM is multi-agency and partnership-based comprehensive emergency management, with a clear focus on risk-based management, and community wellbeing. It encompasses a number of related disciplines and acts on a number of levels within organisations and nationally; it is ultimately about public safety and should be an integrated programme and high priority in all organisations with responsibilities under the CDEM Act.



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Where To From Here

Ideally all organisations – from CDEM Groups as a collective, to individual local authorities, emergency services, lifeline utilities, and government departments – will review this report and translate any issues and themes observed into lessons and actions for their own organisation. Not all aspects will be relevant, but some undoubtedly will be, and the responsibility is on everyone to take these forward.

1 Introduction

1.1 Purpose of This Report

The purpose of this report is fourfold:

1. To report on the CDEM Monitoring and Evaluation Programme 2009-2012.
2. To assess the state of CDEM in New Zealand, in particular:
 - Progress on the National CDEM Strategy
 - The performance of CDEM Groups
 - National trends and issues.
3. To provide a benchmark for CDEM Groups so that they can assess their regional or local performance relative to national averages, and provide examples that may be useful to them in their future work.
4. For the Ministry of Civil Defence & Emergency Management (MCDEM) and other government departments, to inform future support requirements, policy, planning, and work programmes.

1.2 Background to the CDEM Monitoring and Evaluation Programme

The CDEM Act 2002 sets out several requirements of the Director CDEM for monitoring and evaluation, including the monitoring and evaluation of the National CDEM Strategy (s8(2)(c)), National CDEM Plan (s8(2)(d)), and the performance of CDEM Groups and all agencies with responsibilities under the CDEM Act (s8(2)(f)). Individual CDEM Groups are also responsible for monitoring and reporting their compliance with the CDEM Act (s17(1)(h)).

Prior to the creation of this programme, this monitoring function never took place or was requested in any formal way. Further than this, there was a growing recognition that it is important for all agencies to know, with some evidence basis, what level of capability they have to respond to events, and for MCDEM to know what capability there is in place across New Zealand. This information is important – at all levels – for forward planning and setting of work programmes, as well as providing assurance to stakeholders that CDEM is complying with obligations and that progress is being made towards goals and objectives. At the central government level, it is important for MCDEM to be able to give evidence-based, quantifiable policy advice and report to Government on the state of CDEM in New Zealand.

With this in mind, the CDEM monitoring and evaluation programme had four main objectives:

1. To develop a set of nationally-consistent performance indicators and measures – a ‘standard’ measure of emergency management capability for New Zealand.
2. To develop an assessment tool that utilised these performance indicators and measures, which any organisation involved in CDEM could use to assess their own capability.
3. To undertake a programme of National Capability Assessments, in which all organisations with responsibilities under the CDEM Act would periodically complete a capability assessment in order to document New Zealand’s collective CDEM capability.
4. To encourage a monitoring and evaluation culture in CDEM.

The CDEM Monitoring and Evaluation Programme focuses around the ‘CDEM Capability Assessment Tool’, a tool that can be used by any organisation to self-assess their own capability – on an ‘as-needed’ basis. The tool can also be used periodically to support National Capability Assessments, wherein all organisations will submit an assessment using the tool.

The first National Capability Assessment was initiated in late 2009, and began with a pilot study of one CDEM Group. Following some adjustments to process and format, capability assessments were then conducted with the remaining 15 CDEM Groups, and later a re-assessment of the initial pilot CDEM Group. These were conducted over a period from September 2009 until February 2012.

Changes to the CDEM Monitoring and Evaluation Programme

The original intention for the Monitoring and Evaluation Programme was that it would include capability assessments for all agencies with responsibilities under the CDEM Act, i.e. including government departments, emergency services, and lifeline utilities, as per section 8(2)(f) of the CDEM Act. As the CDEM Group programme progressed it became clear that that would not be feasible in the timeframes allowed. Following the Canterbury earthquake events, MCDEM's work programme had to be re-prioritised and it was decided to drop this element of the programme this time around in favour of concentrating on CDEM Groups. These agencies will be included in the next national capability assessment.

1.3 The CDEM Capability Assessment Tool

The CDEM Capability Assessment Tool was developed by MCDEM using several international evaluation tools as models. Of particular influence was:

- US *Capability Assessment for Readiness*
- UK *National Capabilities Survey*
- South Africa *Disaster Management Evaluation Tool*
- Business Continuity Institute *Audit Workbook for BCM Programme Management*

Most of these tools comprise emergency management functions, which have several questions or criteria underneath. Collectively they score emergency management capability, readiness, or performance.

For the New Zealand tool it was decided to go a step further and introduce a ‘strategic framework’ to the tool, being the goals and objectives of the National CDEM Strategy. Each objective was broken into a number of performance indicators that would comprise coverage in that objective; each of those indicators was broken into a series of performance measures, which would describe achievement in that indicator. An organisation scores itself at the performance measure level, and scores get automatically aggregated up to indicator, objective, and then goal level, so that capability can be described on a number of levels.

Figure 1: Framework of the CDEM Capability Assessment Tool

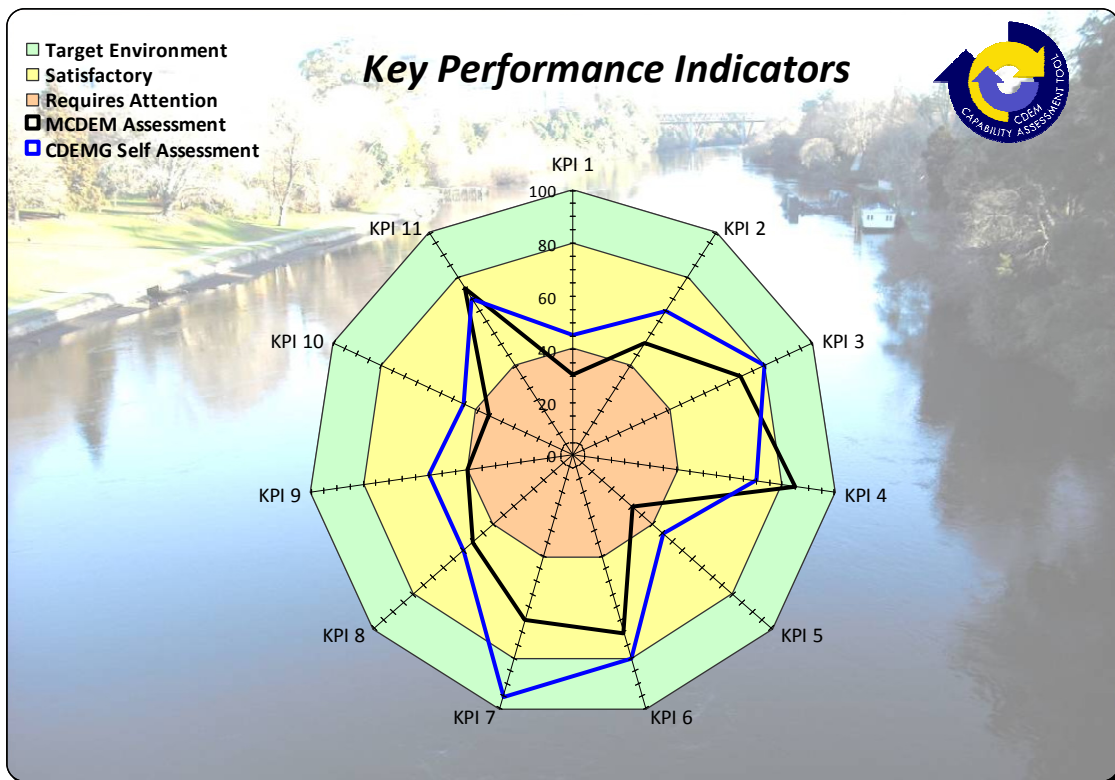
Strategic Framework		Capability Criteria	
Goal	Objective	Performance Indicators	Performance Measures
1	A	1.1	1.1.1
			1.1.2
			1.1.3
		1.2	1.2.1
			1.2.2
		1.3	1.3.1
			1.3.2
			1.3.3
	1.4	1.4.1	
		1.4.2	
	B	1.1	1.1.1
			1.1.2
			1.1.3
			1.1.4
1.2		1.2.1	
		1.2.2	
		1.2.3	

By using this strategic framework as a basis for the tool it is not just measuring ‘emergency management capability’, over time it can also measure progress towards outcomes, i.e. to the goals and objectives of the National CDEM Strategy. When collated by Group – and then nationally – it starts to become a powerful tool for describing nationwide CDEM capability and progress on outcomes.

As well as scoring organisations at measure, indicator, objective, and goal level, the assessment tool also displays results graphically relative to a standard. Results are shown at an indicator level on a ‘spider’ or ‘radar’ diagram that has a background of three achievement zones: ‘target environment’ (green), ‘satisfactory’ (yellow), and ‘requires attention’ (red). This provides a quick visual for an organisation on their areas of strength and weakness. A summary page is also given,

with results at the high-level objective and goal level – to show broad areas of strength and weakness – and a final, overall score.

Figure 2: Example of a ‘Spider’ Diagram Displaying Indicator Results



A Note About Performance Measures and Scoring

It should be noted that the performance measures in the Capability Assessment Tool are not easy to achieve – at least comprehensively, as described – and are designed to stretch CDEM Groups and be targets which they can aim for over the lifespan of the National CDEM Strategy (i.e. 10 years). There would be little point in an assessment tool in which every participating organisation scored 100% in the first round. By making the measures ‘targets’ the tool should have some longevity and Groups can measure themselves and monitor progress over the course of several years.

Further information on the CDEM Capability Assessment Tool

Can be found at www.civildefence.govt.nz – select ‘For the CDEM Sector’, ‘CDEM Monitoring and Evaluation’. The webpage contains an explanation of the monitoring and evaluation programme, further detail on the assessment tool, and the assessment tool for download. The tool is an Excel spreadsheet file that includes background, instructions, and a scoring guide.

1.4 Process for CDEM Group Capability Assessments

The CDEM Capability Assessment Tool is a relatively quantitative approach to evaluation. In a rigorous evaluation this needs to be accompanied with a qualitative component in order to validate the scoring in the assessment tool, and provide additional information to support the quantitative data.

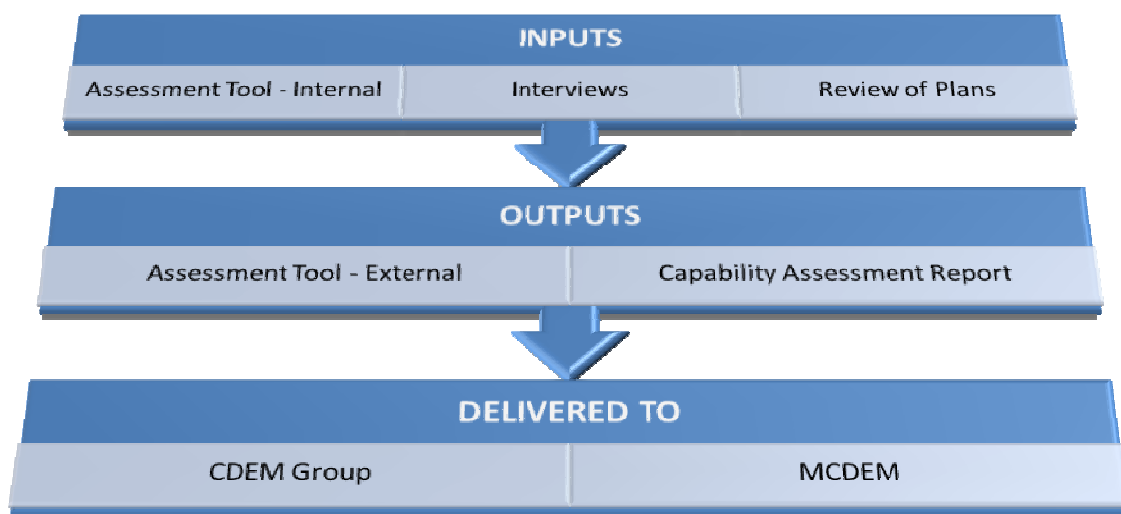
A threefold approach was therefore used to evaluate each CDEM Group:

1. **CDEM Capability Assessment Tool** – the CDEM Group Office, all member organisations, and some key position appointments were asked to complete self-assessments via the assessment tool.
2. **Interviews with key members of the CDEM Group** – interviews were conducted with as many members of the Joint Committee, Coordinating Executive Group, and other key positions in the Group as possible, usually over a 3-7 day period. Interviews were typically 30-60 minutes, and conducted by a 3-person MCDEM panel¹. Questions were based on performance measures in the CDEM Capability Assessment Tool, as well as more open-ended questions about general strengths and weaknesses.
3. **Review of CDEM Group documentation** – the MCDEM panel reviewed key CDEM Group documentation, including the CDEM Group Plan (or draft of second generation CDEM Group Plan), any Recovery, Welfare or other plans, and any key service level agreements or terms of reference.

Together these three strands of inquiry formed the evidence basis for the MCDEM panel to:

4. **Use the CDEM Capability Assessment Tool** – to complete an external assessment of the CDEM Group.
5. **Produce a Capability Assessment Report** – write up findings of the assessment, including scoring, discussion of issues, and to make any recommendations to address weaknesses, and/or for future work. Reports were subsequently presented to the Group, and made available to MCDEM staff.

Figure 3: Process for CDEM Group Capability Assessments



¹ N.B. to ensure national consistency of approach and scoring, two MCDEM staff were nominated as 'cross-checkers' and the assessment panel always included one of these two staff.

1.5 Process for this Report

This report has been prepared using the following evidence:

1. **Quantitative data derived from 16 CDEM Group capability assessments** – this has been compiled in a database and statistics performed to show, amongst other things, national highs, averages, lows, and standard deviations at goal, objective, performance indicator, and performance measure levels.
2. **Qualitative data from 16 CDEM Group capability assessment reports** – the regional capability assessment reports were reviewed for themes, issues, and recommendations. The original interview notes were also consulted for broader themes not captured in the reports.
3. **Contribution and consultation** – contribution has been sought from CDEM Groups for the case studies in Part 2. MCDEM staff has contributed to the ‘best practice’ sections of Part 2, as well as having reviewed the document for accuracy.

Evidence Basis for This Report

- 103 organisations submitted a self-assessment via the Capability Assessment Tool
- 72 performance indicators
- 452 performance measures
- 493 people interviewed
- 76 (of 78) local authorities
- 16 regional Capability Assessment Reports produced

A Note About Currency of Data

It is acknowledged that the 16 CDEM Group capability assessments were conducted over a two year period, and as such some of the data and issues may be out of date by the time this report is written. Furthermore, some CDEM Groups have put significant effort into addressing the recommendations in their capability assessment reports, and understandably do not want to be judged on prior performance.

Any capability assessment is necessarily a ‘snapshot’ in time. This report is intended to represent the ‘state of CDEM’ 2009-2012 – as an overview for the Minister of Civil Defence and CDEM stakeholders, and as a benchmark for future assessments.

This report does present results (in terms of scores and national statistics) but this is by no means the focus of the report. The report also does not cite individual Group scores – for exactly the reasons above. National statistics (highs, averages, lows) are there for comparison by CDEM Groups, should they feel their capability assessment score for any particular indicator is still valid (or to see how they compared relative to other CDEM Groups at the time of their assessment).

The emphasis, instead, is intended to be on high-level themes and issues, and future opportunities. All CDEM Groups are at different stages of development, and have different geographical and social contexts; while some CDEM Groups may have moved on from any particular issue, others may not have, and it is hoped aspects of the report will prove useful for everyone.

1.6 Context of this Report – CDEM, Economic, and Social Environments

It is important to put this report – and the results and issues discussed – in the context of the current CDEM, economic, and social environments.

The CDEM Environment

In 2012 it is now 10 years since the current CDEM Act came into force. The CDEM Act 2002 set out more clearly defined roles for local authorities, including the requirement to coordinate civil defence emergency management at the local level and to organise themselves in a new regional format, as CDEM Groups. It also required the direct participation of emergency services, lifeline utilities, and government departments, described new principles and arrangements for civil defence emergency management, and outlined significant powers and authorities for some individuals. In all, it was a significant shift in philosophy and organisation for the CDEM sector.

This shift has taken some time to embed – for individuals and organisations to understand their new roles and responsibilities, for philosophies to become ingrained, and for partnerships to develop. Only now, 10 years later, is there solid evidence that the principles of the Act are becoming understood, accepted and integrated.

The CDEM sector has seen significant change in this time. Most CDEM Groups have now completed a second generation CDEM Group Plan. While the first generation plans were somewhat ‘feeling the way’ in the new CDEM environment, the second generation plans show a level of maturity and comfort with the new arrangements, explore new and advanced concepts, and have ambitious goals and objectives. Although not the subject of this report, significant changes have also taken place in government departments as well, with an increasing commitment to emergency management shown by several departments, and significant strides taken to improve emergency management policy, planning and guidance.

A notable feature of the last 10 years has been the increasing ‘professionalisation’ of the CDEM sector. What was once ‘civil defence’ – an often largely individual, part-time, response-focused pursuit – is now comprehensive and integrated emergency management, encompassing many agencies working in partnerships, with formal and documented arrangements, working across the 4Rs of emergency management (risk reduction, readiness, response, and recovery), and addressing the holistic needs of communities.

This is not to say that there is not still some way to go – in some places more than others – but the progress over the last 10 years is significant, and noted by many of those interviewed.

International and Domestic Disasters

A series of significant international and domestic disasters have heightened awareness about emergency management over the last 10 years and have helped move CDEM forward. This began in 2004 with the ‘Boxing Day Tsunami’ in south-east Asia, which illustrated to all a previously under-rated risk to coastal communities, and the need to have community and organisational level arrangements to deal with such large yet infrequent events. The importance of tsunami risk management, public education, and warning and alerting systems were particularly highlighted.

Over the same period, New Zealand experienced significant a weather event in the central and lower North Island (the ‘February 2004 Floods’) that caused substantial flooding and provided many lessons for readiness and response. Internationally Hurricane Katrina in 2005 demonstrated the pitfalls of ill-preparedness, even for a well developed country, and thereby reinforcing core CDEM concepts as to the importance of robust and coordinated plans, processes and procedures. It also

illustrated the need for risk reduction measures, public information management, community resilience, evacuation planning, and welfare arrangements.

The period from 2006 to 2010 saw some significant events for New Zealand, including the Canterbury snows of 2006, the Gisborne earthquake of 2007, the Samoan tsunami event of 2009, and the Pike River explosion of 2010: all provided significant learning opportunities for the CDEM sector and beyond.

From 2009 to 2011 other major events provided lessons for New Zealand, from the Victoria Bushfires of February 2009 that provided many lessons on public education and warning procedures, to the Icelandic volcanic eruption of April 2010 that had such a significant effect on European air travel, and the Queensland Floods of 2010-2011 that forced the evacuation of thousands of people from towns and cities across the state. It reminded New Zealand of the full range hazards and risks that we face, and the importance of not becoming overly focussed on one to the detriment of others.

The most momentous recent events for New Zealand have been the Darfield earthquake of 4 September 2010, and the Christchurch earthquake of 22 February 2011 (together with the aftershock sequence that followed). The impacts of these events have been an order or two larger than anything New Zealand has had to deal with in living memory. They have altered not just the physical, but also the economic, social and cultural landscape, with ripple effects throughout the whole country. For some individuals, businesses and entire communities these events are proving to be 'life changing'. Even for those not directly affected they have raised community and political expectations about 'if it happens to us' and, in this sense, curtailed public and bureaucratic complacency that 'we will never have to deal with a national-size event'.

In the future we will no doubt look back on this decade of events as having changed the way we think about civil defence emergency management in New Zealand. Already evident are changes to individuals' and organisations' thinking and communicating about risk reduction, readiness, response, and recovery.

The evidence basis for this report is largely derived from *before* the events of 2011, and it is important to note that many organisations are making changes following the Canterbury earthquakes that will improve their capability and readiness. Nevertheless, some of the analysis in the report is unavoidably in the context of the 'post-Canterbury' environment. Three CDEM Groups capability assessments were undertaken after the Canterbury earthquakes, and these were interesting for the insight they provided into thought process changes following those events.

The Economic Environment

The economic environment in 2012 is quite different from that of 5-10 years ago. Large parts of the world are in the midst of a major 'global economic downturn', considered by some observers to be the worst financial crisis since the Great Depression of the 1930s. High levels of indebtedness within many economies has led to austerity programmes and low levels of economic growth that, in turn, continue to create risks for global financial markets. All of this has resulted in unprecedented interventions within various international fora in support of the global economy.

The New Zealand economy is very much caught up in this, and has to bear the additional cost of the significant Christchurch recovery and reconstruction effort. The Government and Reserve Bank have responded to this crisis with a range of measures designed to alleviate its effects. At the policy level the Government has a stated aim to manage the risk by eliminating fiscal deficit, reducing debt to manageable levels, and reducing future borrowing and finance costs. This translates (in part) to tighter controls on public sector spending, and a general environment of fiscal responsibility, if not restraint: 'value for money' has become a key concept.

Of particular importance to CDEM Groups is that council debt is at an all-time high, meaning councils are having to look at ways to do things more cheaply, reduce services, or find different ways to deliver outcomes. These pressures are informing decision-making in councils, and this will have impacts on the delivery of CDEM – now, and in the future.

The Social Environment

The social environment has also seen great changes over the last 10 years. Of particular relevance to emergency management is the explosion and speed of information available on the internet, through social networking and other information technology and broadcast media. Information is 'always on', and the immediacy of new information and breaking news has led not just to a more informed public, but to a heightened awareness of hazards, risks, and global events, as well as greater expectations of authorities to respond to those events.

Those that provide this information – primarily the media – are increasingly demanding of authorities to answer for issues and provide information where there is none. This has led to considerable changes in the way we conduct business, respond to events, and approach public information and education.

New Zealand is no longer insular and isolated, but part of the global community and global psyche. In terms of emergency management, responsibility has shifted from addressing local issues in local jurisdictions, to having to respond to and address wider concerns and global issues.

While new technologies bring challenges, they of course also bring new opportunities. The CDEM sector is increasingly cognisant of these opportunities, and is beginning to take advantage of them. Social networking and other informal information channels are changing the way public information and education is managed, as well as providing new sources of 'intelligence'. Global professional networks offer new contacts and sharing of innovative and/or successful practices and methodologies. Online project and information management technologies allow greater levels of collaboration and coordination. In all, there are many new possibilities becoming available to CDEM.

Summary

The above issues outline some of the enablers and constraints facing emergency management practitioners over the last few years. This report sits squarely within these environments, and it is in this context that the results of this programme are presented.

2 High-Level National Results and Themes

2.1 Overall Scores: Where Do You Stand?

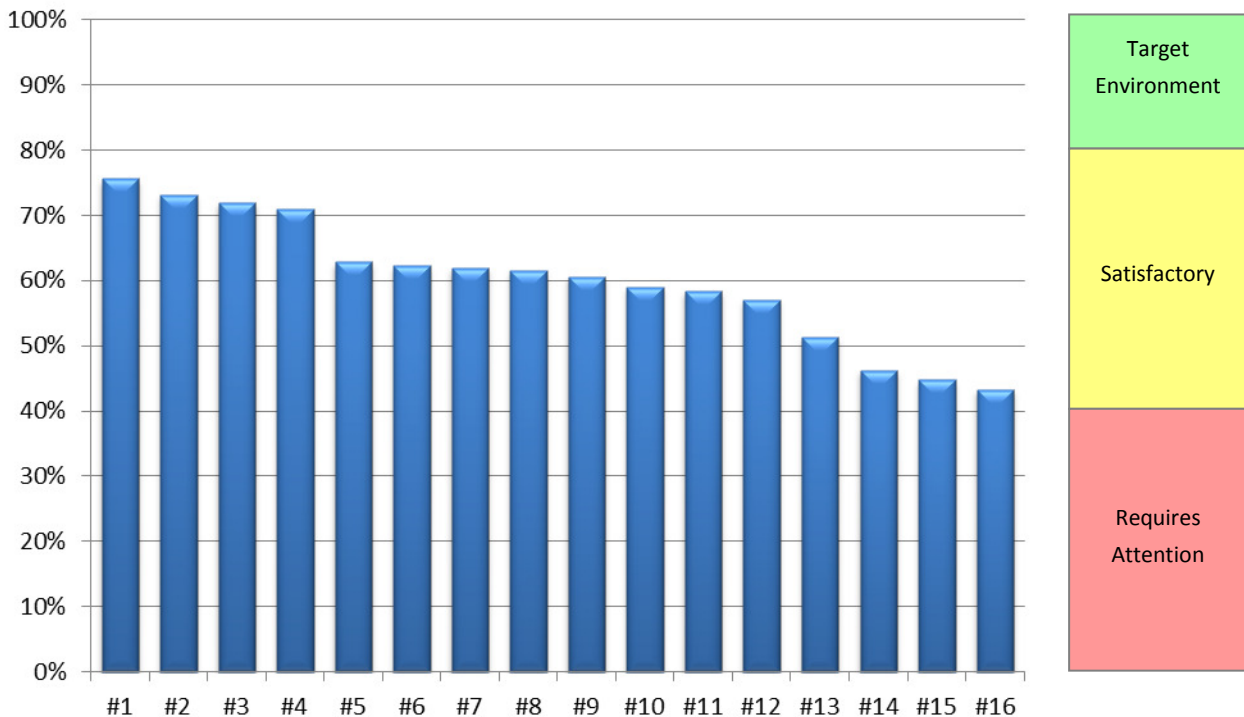
This section looks at the overall scores of the 16 CDEM Group Assessments. The overall score gives a broad brush indicator of where Groups stand relative to each other, but does of course hide a wealth of variation and detail underneath. Subsequent sections will discuss results at the goals and objectives level (section 2.2) and the indicator and measure levels (Part 2).



Figure 4: Levels At Which Scores Can Be Displayed

Figure 5 displays the distribution of overall CDEM Group scores, together with the 'achievement zones' as described in the CDEM Capability Assessment Tool. Scores ranged from a low of 43% to a high of 76%.

Figure 5: Distribution of Overall CDEM Group Scores



While there is more than a 30% spread in scores, all 16 scores fell within the 'satisfactory' zone, which is pleasing to see given the high standard required of the performance measures, the stringency of the scoring, and as a first assessment of regional CDEM capability.

Four Groups scored above 70% and as such were within 10% of the 'target environment' zone. Conversely three Groups scored below 50% and were within 10% of the 'requires attention' zone. The remaining nine Groups were relatively tightly constrained and within 12% of each other in the middle of the 'satisfactory' zone.

2.2 Goals and Objectives: Progress on the National CDEM Strategy

The National CDEM Strategy sets out the vision, values, and principles for CDEM in New Zealand. It sets out what we as New Zealanders expect from CDEM and what we want to achieve in the longer term. The Strategy outlines four main goals and associated objectives; these are the outcomes we are seeking for CDEM in New Zealand.

As described in section 1.3 above, the CDEM Capability Assessment Tool – and capability assessment process – is based on the strategic framework provided by the National CDEM

Strategy. Any assessment and scoring that is conducted on this basis can then be aggregated and tracked as a mechanism for monitoring progress made towards these goals and objectives.

The CDEM Monitoring and Evaluation Programme has added a fifth ‘enabling’ goal that describes the organisational constructs and authorities necessary to enable CDEM. These are administrative and organisational aspects that are described in the CDEM Act 2002 but not in the National CDEM Strategy (being enabling features rather than outcomes sought). For the purposes of measuring CDEM capability and performance these were added into the strategic framework for the programme.

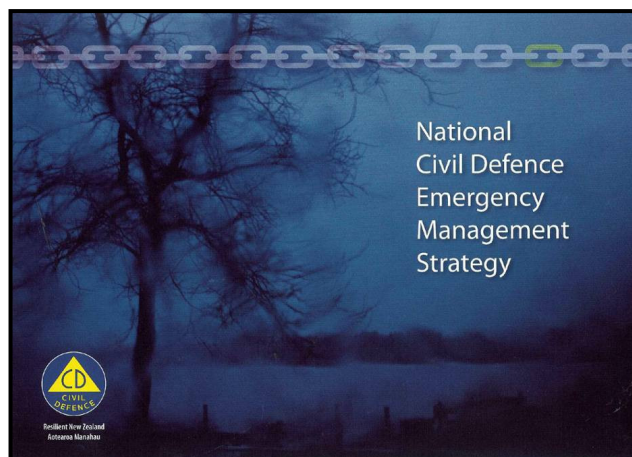


Figure 6: Goals and Objectives of the National CDEM Strategy, with Additional Enabler

Goal One	Goal Two	Goal Three	Goal Four	Enabler One
Increasing community awareness, understanding, preparedness and participation in civil defence emergency management	Reducing the risks from hazards to New Zealand	Enhancing New Zealand’s capability to manage civil defence emergencies	Enhancing New Zealand’s capability to recover from civil defence emergencies	Ensuring all agencies have the structures and authorities to be able to reduce risks, be ready for, respond to and recover from civil defence emergencies
1A: Increasing the level of community awareness and understanding of the risks from hazards	2A: Improving the coordination, promotion and accessibility of CDEM research	3A: Promoting continuing and coordinated professional development in CDEM	4A: Implementing effective recovery planning and activities in communities and across the social, economic, natural and built envts	5A: Ensuring compliance with relevant legislative frameworks
1B: Improving individual and community preparedness	2B: Developing a comprehensive understanding of New Zealand’s hazardscape	3B: Enhancing the ability of CDEM Groups to prepare for and manage emergencies	4B: Enhancing the ability of agencies to manage the recovery process	5B: Implementing effective organisational structures for CDEM
1C: Improving community participation in CDEM	2C: Encouraging all CDEM stakeholders to reduce the risks from hazards to acceptable levels			5C: Ensuring agencies have funding for CDEM
1D: Encouraging and enabling wider community participation in hazard risk management decisions				5D: Ensuring agencies are able to function to the fullest possible extent during and after an emergency

The following figures show the goals and objectives of the National CDEM Strategy, coloured according to the results of the 16 CDEM Group capability assessments. The achievement zones have been broken down into two colour brackets from here on to show more granularity of results.

Figure 7: Achievement Zones

	'Target Environment' (80-100%) – signifying substantial to comprehensive achievement, with sustained organisational commitment.
	'Satisfactory' (40-80%) – signifying considerable progress or achievement, but not yet comprehensive of needs.
	'Requires Attention' (0-40%) – signifying 'no', 'minor', or 'some' progress or achievement, with work still required to be effective.

Figure 8 shows the average of all 16 CDEM Groups. It shows that all goals and indicators fall within the 'satisfactory' zone, except for one – objective 5D (business continuity management) that falls into the 'requires attention' zone. Goal 1 (community preparedness) and Goal 3 (readiness and response) fall in the upper part of the satisfactory zone and are the highest scoring goals. Goal 2 (risk management), Goal 4 (recovery), and Enabler 1 (governance and organisational structures) are in the lower part of the zone. The lowest scoring goal was Goal 4 at an average of 47%.

Figure 8: Average Score – All 16 CDEM Groups

Goal One	Goal Two	Goal Three	Goal Four	Enabler One
Increasing community awareness, understanding, preparedness and participation in civil defence emergency management	Reducing the risks from hazards to New Zealand	Enhancing New Zealand's capability to manage civil defence emergencies	Enhancing New Zealand's capability to recover from civil defence emergencies	Ensuring all agencies have the structures and authorities to be able to reduce risks, be ready for, respond to and recover from civil defence emergencies
1A: Increasing the level of community awareness and understanding of the risks from hazards	2A: Improving the coordination, promotion and accessibility of CDEM research	3A: Promoting continuing and coordinated professional development in CDEM	4A: Implementing effective recovery planning and activities in communities and across the social, economic, natural and built envts	5A: Ensuring compliance with relevant legislative frameworks
1B: Improving individual and community preparedness	2B: Developing a comprehensive understanding of New Zealand's hazardscape	3B: Enhancing the ability of CDEM Groups to prepare for and manage emergencies	4B: Enhancing the ability of agencies to manage the recovery process	5B: Implementing effective organisational structures for CDEM
1C: Improving community participation in CDEM	2C: Encouraging all CDEM stakeholders to reduce the risks from hazards to acceptable levels			5C: Ensuring agencies have funding for CDEM
1D: Encouraging and enabling wider community participation in hazard risk management decisions				5D: Ensuring agencies are able to function to the fullest possible extent during and after an emergency

For comparison the following two diagrams show the goals and objective scores of the highest-scoring CDEM Group, and the lowest-scoring CDEM Group. The highest-scoring Group has two goals and several indicators in the 'target environment' zone. The lowest-scoring Group has two goals in the 'requires attention' zone.

Figure 9: Highest Scoring CDEM Group

Goal One	Goal Two	Goal Three	Goal Four	Enabler One
Increasing community awareness, understanding, preparedness and participation in civil defence emergency management	Reducing the risks from hazards to New Zealand	Enhancing New Zealand's capability to manage civil defence emergencies	Enhancing New Zealand's capability to recover from civil defence emergencies	Ensuring all agencies have the structures and authorities to be able to reduce risks, be ready for, respond to and recover from civil defence emergencies
1A: Increasing the level of community awareness and understanding of the risks from hazards	2A: Improving the coordination, promotion and accessibility of CDEM research	3A: Promoting continuing and coordinated professional development in CDEM	4A: Implementing effective recovery planning and activities in communities and across the social, economic, natural and built envts	5A: Ensuring compliance with relevant legislative frameworks
1B: Improving individual and community preparedness	2B: Developing a comprehensive understanding of New Zealand's hazardscape	3B: Enhancing the ability of CDEM Groups to prepare for and manage emergencies	4B: Enhancing the ability of agencies to manage the recovery process	5B: Implementing effective organisational structures for CDEM
1C: Improving community participation in CDEM	2C: Encouraging all CDEM stakeholders to reduce the risks from hazards to acceptable levels			5C: Ensuring agencies have funding for CDEM
1D: Encouraging and enabling wider community participation in hazard risk management decisions				5D: Ensuring agencies are able to function to the fullest possible extent during and after an emergency

Figure 10: Lowest Scoring CDEM Group

Goal One	Goal Two	Goal Three	Goal Four	Enabler One
Increasing community awareness, understanding, preparedness and participation in civil defence emergency management	Reducing the risks from hazards to New Zealand	Enhancing New Zealand's capability to manage civil defence emergencies	Enhancing New Zealand's capability to recover from civil defence emergencies	Ensuring all agencies have the structures and authorities to be able to reduce risks, be ready for, respond to and recover from civil defence emergencies
1A: Increasing the level of community awareness and understanding of the risks from hazards	2A: Improving the coordination, promotion and accessibility of CDEM research	3A: Promoting continuing and coordinated professional development in CDEM	4A: Implementing effective recovery planning and activities in communities and across the social, economic, natural and built envts	5A: Ensuring compliance with relevant legislative frameworks
1B: Improving individual and community preparedness	2B: Developing a comprehensive understanding of New Zealand's hazardscape	3B: Enhancing the ability of CDEM Groups to prepare for and manage emergencies	4B: Enhancing the ability of agencies to manage the recovery process	5B: Implementing effective organisational structures for CDEM
1C: Improving community participation in CDEM	2C: Encouraging all CDEM stakeholders to reduce the risks from hazards to acceptable levels			5C: Ensuring agencies have funding for CDEM
1D: Encouraging and enabling wider community participation in hazard risk management decisions				5D: Ensuring agencies are able to function to the fullest possible extent during and after an emergency

2.3 Indicators and Measures: Results by Functional Area

At the indicator and measure level, the categories begin to fall into some of the functional areas within which CDEM commonly works (e.g. public education, volunteer management, planning, exercising, welfare, lifelines etc.). Results at this level form the 'bulk' of the data, as well as represent the areas that it is thought people would have most interest in reviewing. As such these results have been grouped into a standalone section of the report, 'Part 2'.

For each functional area relevant indicator scores are shown, there is a discussion of capability observed, best practice is highlighted, and in most cases, a case study given. Scores are shown as per Figure 11 below to enable organisations to compare their score against a backdrop of the national high, average, and low scores.

Figure 11: Indicator Scoring in Part 2, Showing National High, Average, and Low Scores



Indicator scores can also be grouped according to the achievement zone they fall into. Figure 12 shows an overview of this, illustrating high-level strengths and weaknesses amongst functional areas. Indicators falling in the 'target environment' zone are those relating to CDEM Group Plan, exercising, controllers, and compliance. At the other end of the scale, the lowest scoring indicators, and those falling in the 'requires attention' zone are those relating to recovery planning, recovery management, and business continuity management. This diagram illustrates some of the functional areas that will require more work in the future, both at a CDEM Group and central government level.

Figure 12: Overview of Indicators by National Average Score

Target Environment	Satisfactory (High)	Satisfactory (Low)	Requires Attention
CDEM Group Plan Exercising Controllers Compliance	Funding Public information mgt Planning Public education EOC facilities Research Warning systems Lifelines coordination Hazardscape Governance Resilience monitoring Welfare delivery	EOC staffing Professional devt Integrated planning Welfare coordination Risk reduction Inter-Group cooperation Hazard risk management Community participation Volunteer management Logistics Impact assessment	Recovery planning Recovery management Business continuity mgt

2.4 Discussion: High-Level National Themes

The preceding sections have described some of the quantitative results of the CDEM Monitoring and Evaluation Programme to date. These results are useful as a benchmark for future assessments, but it is only with the addition of the qualitative data that the true picture of the current 'state' of CDEM emerges. What follows are the broad themes observed as a result of the 16 CDEM Group assessments conducted over the course of 2009-2012.

Theme 1: The Challenges of Undertaking CDEM

The Profile of CDEM in Councils

There are many challenges associated with undertaking CDEM. Foremost amongst these is the priority that CDEM is afforded amongst council work programmes. During interviews it was not uncommon to hear CDEM described by Mayors, Chief Executives, or senior council management as the “23rd or 24th of 25 things we have to do”. CDEM is often still an afterthought, or falls into obscurity amongst the more immediate and tangible requirements councils have, such as roads, water, public facilities etc.

CDEM may never challenge those functions in importance or priority, but the crux of this issue is the image and profile of CDEM, and the false perceptions people have about what it is or isn't. Many outside of core CDEM circles still consider CDEM to be the civil defence of old – the civil defence officer sitting in the back room, maintaining some radios and an operations centre, with a few volunteers on hand to help out in an emergency: in all, a bit ‘*Dad's Army*’. CDEM is – at most – “training and operations centres” to these individuals, and no wonder, then, that it is given such low priority within the organisation.

As described in section 1.6, this is changing. But only in some quarters, and not to the degree that is preferable, or that will facilitate CDEM work programmes in the short term. The financial hardship and debt that some councils are currently facing may also exacerbate the issue, with potential rationalisation of services and reduced resources for all council functions. This could have a serious impact on the delivery of CDEM.

To counter (and preferably pre-empt) these issues, we must continue to raise awareness and educate at all levels about the importance of CDEM and CDEM-related work programmes. CDEM is ultimately about public safety, and the resilience of our communities; there is every reason why it should be afforded a higher priority within organisations. CDEM of post-2002 is also comprehensive and holistic of needs, and approaches risk management in a variety of ways to reduce, avoid, share, or prepare for the risks that organisations and communities face; CDEM should be considered multi-disciplinary, encompassing a variety of council functions working in collaboration towards the same goals. Some councils are additionally realising that CDEM is also about reputation management, that the inability to competently manage a response and recovery effort is unacceptable – now more than ever – and would ultimately damage the organisation as a whole. These messages need to be reinforced at the highest levels, and regularly, to improve the image and profile of CDEM, and the priority it is ultimately given.

The Problem of Small and Rural Councils

There are a number of very small and/or rural councils in New Zealand that particularly struggle to resource CDEM and CDEM work programmes. Such councils – often numbering an FTE of 40-50 or fewer – must resource all the same services as larger councils, but with a fraction of the staff, and a fraction of the rating base. Staff with CDEM responsibilities in these organisations often have three or four (or more) other portfolios to cover, and as such have minimal time to resource the broad range of topics required of CDEM. They additionally have all the same expectations of other agencies within CDEM Groups and often find it hard to participate to the extent expected of them.

There needs to be greater understanding of the pressures these organisations and individuals face – that some individuals are ‘less than part-time’ CDEM – and a greater attention given to supporting them, both at a CDEM Group and a national level. Councils, no matter the size, cannot absolve themselves of their responsibility to reduce hazard risks and prepare, respond and recover from emergencies, but there are ways to share the load, and ways in which the collective can make it easier for them.

Shared service arrangements are worth considering: there are a few examples around the country now, with a range of success. Shared service arrangements are not without their potential pitfalls: they need to be meticulously clear about roles, responsibilities, functions, and accountabilities; they need to recognise statutory obligations and requirements, and they need the ‘right’ individuals to service them. However there are two or three examples that are performing excellently, and – in the right circumstances – are models that could be successfully applied elsewhere.

Information and resource sharing is an area that could be improved in CDEM. Sharing of resources is usually common within a CDEM Group area, but less so between Groups and nationally. With all the excellent work going on around the country (some of which is highlighted in Part 2 of this report), there is usually no reason to ‘start from scratch’ in any particular area of work. There are existing resources that can make things quicker and easier for individuals.

The Role of Personality

Organisations and Groups that are successful in their pursuit of CDEM goals have often been reliant on a single enthusiastic and enormously committed individual. Over the course of the monitoring and evaluation programme there have been many examples given of individuals around the country who have single-handedly driven work programmes, incited interest and enthusiasm in others, and carried an organisation or Group forward. It could almost be considered a key feature of this sector.

While this is commendable, it does come with a concern about the capability and capacity of the organisation without this individual, not only were he or she to cease employment but also if they are unavailable for work at the time of an emergency. It is of course always important to ensure arrangements and knowledge are systemic within an organisation, and no organisation is unduly reliant on one individual.

Nevertheless, these individuals illustrate the importance of the role of personality, and of employing the right person for the job. Emergency Management Officers are key figures amongst this, and it is clear the most successful individuals are those picked for the job, rather than those who have it added to their existing responsibilities. Emergency Management Officers are all things to all people, and the position ideally requires a very special, multi-talented person to be able to tackle staff training one minute, and technical aspects of Operations Centre preparedness the next; from community engagement and development, to influencing at the highest levels of management and governance; to be able to write plans, strategies, and reports, and to be able to translate lengthy documents into concise, relevant-to-the-organisation statements; to be a project manager, risk manager, scientific advisor, liaison officer, and operational expert: it’s not something everyone can do. Of course an individual need not do all of these things personally, but they do need to know how to access these services, and to be a coordinator and facilitator of others.

Recruitment, professional development, and staff retention policies to ensure the appropriate mix of competencies and experience are crucial for building CDEM capability. The *CDEM Competency Framework* (MCDEM, 2009) is recommended to anyone who is in the process of employing and developing CDEM staff. Getting the right personnel supported by additional development opportunities has been shown to make a substantial difference to the achievement of outcomes.

See also: Part 2 *CDEM Group Joint Committee*
Part 2 *Coordinating Executive Group*
Part 2 *Capability Development*

Theme 2: Integrating Emergency Management in Councils

Use of Council Functions

A key feature of comprehensive CDEM is the breadth and depth of the discipline, and the range of activities, functions, and processes that need to be integrated in order to achieve outcomes. Too often Mayors, Chief Executives, and senior council managers do not fully appreciate this, and it is to the detriment of the programme – and progress – when it is not adequately embedded into organisational structure and activities.

Councils undertake a range of functions and provide a range of services that could be considered ‘CDEM-related’. Some of these are illustrated in Figure 13. In an ideal world these would all be linked and coordinated, so that each builds on the other, and there are efficiencies, synergies, and common shared goals.

The CDEM Group Plan is intended to provide one method of doing this, but it is often too high-level for individual councils, and in any case, is not usually contextualised for each of these functions, if it is even on their radar at all. Instead councils need to use their own strategic documents to do this – the Long-Term Plan, District Plan, and any other urban development, spatial, or asset management plans to ensure that CDEM philosophies, goals, and performance indicators are conveyed and incorporated in ways that implement CDEM Group Plan outputs in practical terms. There needs to be a conscious effort to bring these functions together to ensure they are working synergistically, or at very least, informing each other and taking any opportunities to work together. There are far too few examples of this happening around the country currently.

The monitoring and evaluation process uncovered many examples of excellent ‘CDEM-related’ work going on around councils. However rarely were they linked strategically to one another or to other areas of work that could benefit from them; often even the Emergency Management Officer had little knowledge of them, and senior managers hadn’t recognised or made the most of the connection.

Smaller or unitary authorities have a significant advantage when it comes to this kind of integrated planning and management, and there are examples of closer working relationships between some functions in these councils. At the same time, larger councils have greater numbers of staff, across more disciplines, and in more ‘dedicated’ roles, and should be able to spare time and resource to better integrate and share programmes of work.

Given current financial constraints, and needing to ‘work smarter’, organisations have every incentive to pay more attention to their related functions and to integrate common goals and coordinate work programmes.

Reduction as the ‘Poor Cousin’

As discussed in section 2.2, Goal 2 (risk management) and Goal 4 (recovery) were the lowest scoring goals across the country, and generally for most individual CDEM Groups. The interview process made it clear that most people were least comfortable with these aspects of CDEM, compared to the more readily accessible and tangible aspects of readiness and response.

Positions in Council That Can Contribute to CDEM:

- *Mayor*
- *Chief Executive*
- *Chief Financial Officer*
- *Emergency Mgt Officer*
- *Strategic planners (LTPs etc)*
- *District planners (District and Regional Plan, RPS, etc)*
- *Hazard monitoring*
- *Hazard analysts*
- *Regulatory enforcement and compliance/consents officers*
- *Asset planners and managers*
- *Community devt officers*
- *Procurement*
- *Democracy services and elected representatives*
- *Communications*
- *Risk managers*
- *Business continuity managers*
- *Contact centre managers*

Risk reduction is one of the most complex areas of emergency management, and often has the highest perceived cost compared with other '4Rs'. It can involve significant infrastructure programmes that are difficult to justify economically, especially in small population base areas. It can also cause considerable perceived disruption to the development aspirations of councils and businesses, and often fights at best reluctance and at worst, steadfast resistance.

It is unrealistic to expect progress in every aspect of risk reduction: capacities and resources are insufficient. Organisations have to make what are in effect 'investment decisions', choosing which aspects of risk reduction to invest in, and in what sequence. The greatest gains for risk reduction may be to consider the concept of 'invulnerable development' – development that incorporates reducing vulnerability to disasters as a by-product of capital investment, economic development and growth: development and risk reduction need not be mutually exclusive. Closer working relationships across the different functions of councils that can lead in an aspect of risk reduction, notably hazard risk management, asset management, land-use planning and consenting, and building regulatory compliance, will facilitate and inform this decision-making at all levels.

Well considered risk reduction represents an investment in loss avoidance and reduced disruption. Risk reduction requires a long-term outlook, but is crucial for reducing future impacts on councils' Long Term Plans, improving organisational resilience, and protecting businesses' future profit margins.

Recovery as the 'Poorer Cousin'

Goal 4 (recovery) was the lowest scoring of all goals, with five of sixteen CDEM Groups scoring in the 'requires attention' zone, and another five being less than 10% away from that zone.

Most interviewees understood the concept and principles of recovery, but admitted to the lack of attention and time their organisation had committed to it. Others were more resolute and stated a belief that you 'can't plan for recovery', and that they would deal with the issues as part of council business 'on the day'. Recovery managers were usually identified, but the vast majority played little role in day-to-day CDEM, had minimal knowledge of wider CDEM structures, processes and principles, and often confessed to feeling a little 'overwhelmed' by the role.

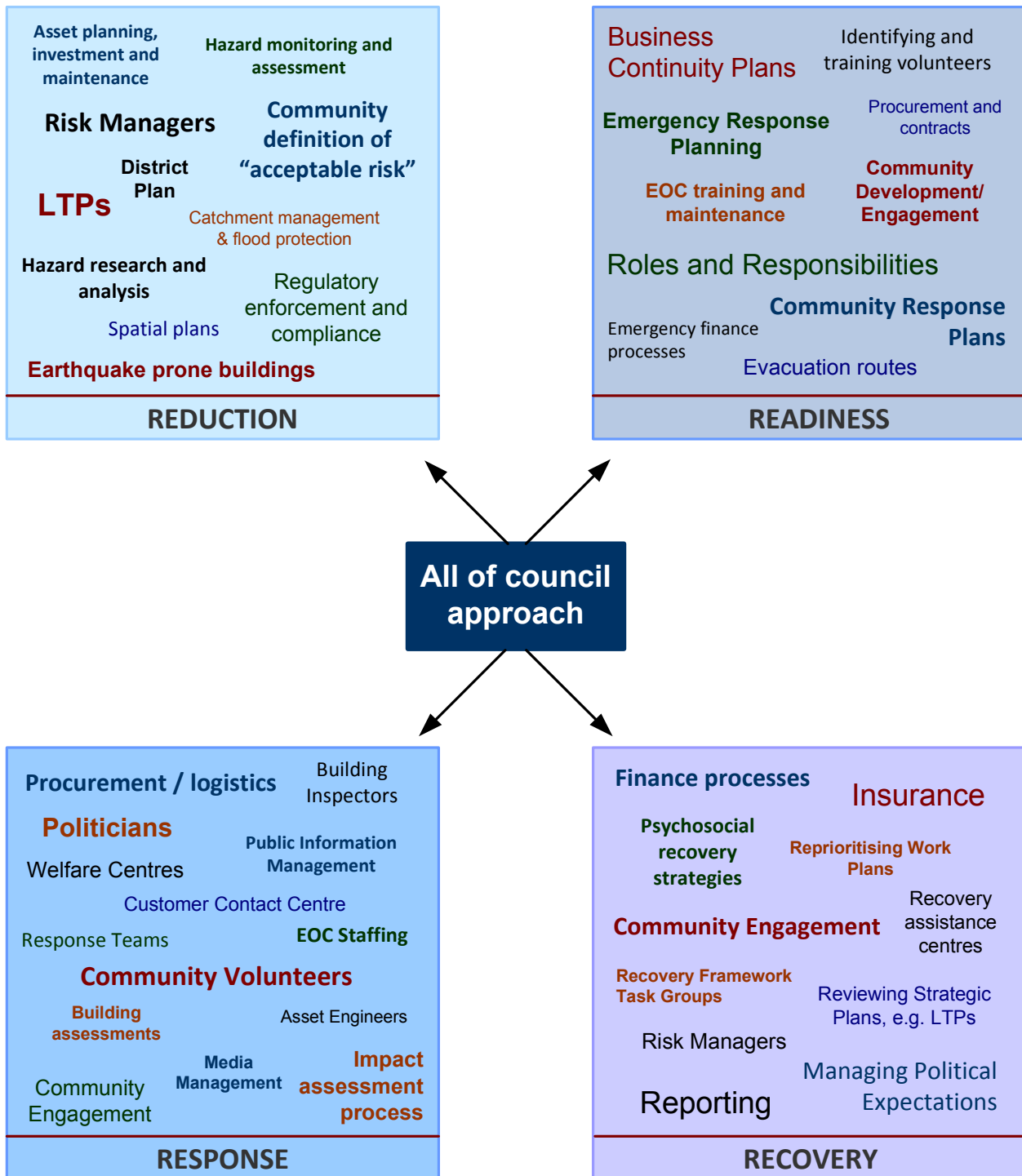
Recovery is still an intangible process for many, a task that seems so potentially vast and limitless in its possibilities as to be entirely daunting and unmanageable.

It is unfortunate that while the Christchurch earthquake event has provided lessons and momentum in many areas of CDEM – particularly readiness and response – the same cannot be said for recovery. And yet the most significant recovery effort (in terms of time, scope, scale, expense and likely duration) in New Zealand's history is currently unfolding. The reasons for this appear to be twofold: firstly, it has reinforced the fatalistic tendencies of some senior council leadership that you 'can't plan for that kind of event'; secondly, the establishment of the Canterbury Earthquake Recovery Authority ('CERA') has led many to believe that the Government will 'step in' to any significant recovery process, thus lessening the role that they would have to play. Both of these attitudes carry inherent risks, and illustrate an attitudinal problem to recovery that is still pervasive across much of the country.

Recovery planning and management are areas that will require a renewed effort and attention in the future – at all levels – especially as the lessons from the Christchurch earthquake become evident, and steps are taken to ensure councils are better prepared to deal with such events.

See also: Part 2 *Integrated Planning* Part 2 *Hazard Risk Management*
 Part 2 *Risk Reduction* Part 2 *Recovery Planning*
 Part 2 *Recovery Managers* Part 2 *Recovery Management*

Figure 13: CDEM-Related Functions of Council Business



Long Term Plans and the Importance of Including CDEM

A Long Term Plan is a strategic planning document describing the activities a local authority will fund and provide to achieve desired community outcomes over a 10-year period. A Long Term Plan includes:

1. A statement of the community's long term goals and priorities (community outcomes).
2. Information about the activities provided by the council including the level of service the community can expect and their contribution towards each of the community outcomes.
3. A long term financial strategy explaining what the council's programme will cost over the next 10 years and how it will be paid for.
4. Key performance targets so that ratepayers will know whether or not the plan has been achieved.

CDEM has relevance across each of these four aspects: it contributes to community long-term goals (particularly 'public safety' and/or 'community resilience'), there are a variety of council activities that directly contribute to CDEM goals, and each activity should be underpinned by a financial strategy and meaningful performance targets. CDEM goals as a driver for council activities is rarely recognised in any significant way so CDEM is mostly observed as discrete activities, predominantly focused on response.

It is critical that CDEM is contextualised within Long Term Plans in a variety of ways. Long Term Plans should:

- Describe the goals and vision of CDEM, i.e. 'Resilient New Zealand'.
- Acknowledge that the delivery of many council services contribute directly and indirectly to the improvement of community resilience and public safety.
- Outline the current state of CDEM both internally (organisationally) and externally (within the community) in terms of preparedness.
- Include an overview of local CDEM plans and work programmes.
- Describe the contribution and linkages with other legislation (e.g. Resource Management Act, building codes etc.)
- Describe wider CDEM arrangements across the region (i.e. CDEM Group arrangements), and refer to the CDEM Group Plan.
- Have a clear budget that describes any payment to the CDEM Group for Group Emergency Management Office services (as well as any other shared service arrangements), and detail the annual opex and capex funds for expenditure by the local authority.
- Describe the rationale for the rating method.
- Have a range of service-level key performance indicators that span the 4Rs.
- Consider using the CDEM Capability Assessment Tool as a holistic measure of CDEM performance.

Theme 3: Getting the Foundation Right – Leadership, Structure, Funding, and Culture

The Importance of Leadership, Structure, Funding, and Culture

Throughout the course of the monitoring and evaluation programme it became clear that the most successful CDEM Groups have engaged and active leadership who understand their roles and responsibilities, and who direct and manage CDEM accordingly.

Conversely, those Groups that are struggling usually do not have that leadership and management, and worse, often have leadership that is disinterested, disengaged, and who do not understand their responsibilities or accountabilities for CDEM.

Similarly, where there is a deliberate and understood organisational structure – based on principles and process – Groups tend to work well and make progress towards outcomes. Where structures have been organic and ad hoc, the reverse is often true, and Groups flounder with inadequate information flow, faltering relationships, and struggle to make the most out of opportunities.

Funding processes and arrangements were also found to make a large difference to the functioning of a CDEM Group. Some Groups have clearly laid out and equitable arrangements where there is true burden-sharing and accountability across organisations, as well as transparent financial procedures and budget reporting. In others there is constant disagreement about funding principles, disputes about ‘who pays’, and animosity where one party or other is seen to be shirking their responsibilities, hiding budgets, or benefitting from inequitable arrangements.

These three factors contribute enormously to the fourth significant factor: organisational culture. After spending a week or more with each CDEM Group, it was immediately clear that each Group had its own ‘culture’ and ‘way of doing things’. It was clear in attitudes, in outlook, and in working relationships. It was also clear that some cultures were entirely *enabling* of progress, while others were significantly holding Groups back.

In short, the Groups with engaged leadership, deliberate organisational structures, equitable and transparent funding, and positive working cultures are the Groups making great progress, and it is evident that these four elements are the significant factors that enable successful and comprehensive CDEM: get these right, and everything becomes easier.

The ‘Ideal’ CDEM Group

It is hoped that the regional capability assessments have made some progress towards highlighting some of these issues where they exist. Of particular concern for some CDEM Groups is the fundamental lack of understanding of their own arrangements, and certainly a lack of understanding of what ‘good’ CDEM Group process should be. The diagram in Figure 14 illustrates the functioning of the ‘ideal’ Group, which is to have:

1. **A CDEM Group Plan** that outlines who the key organisations in the Group are, how they will work together, and what they will achieve over the 5-year life of the Plan.
2. **A CDEM Group Joint Committee** of elected representatives that understands they *own* the CDEM Group Plan, that they are ultimately accountable for CDEM in the region, and who clearly direct the Coordinating Executive Group.
3. **A Coordinating Executive Group** who understands they sit at the table with a regional focus, who gives strategic advice to the Joint Committee, and who oversees the

implementation of the CDEM Group Plan via the Group Emergency Management Office and local CDEM arrangements.

4. **A Group Emergency Management Office** that is administered by the regional council / unitary authority but understands it is accountable to the Coordinating Executive Group. The Group Emergency Management Office maintains a Group work programme, derived from the Group Plan, and delivers regional CDEM outcomes and supports local programmes.
5. **Local CDEM arrangements** that have a local work programme, aligned to the Group work programme, and that delivers local CDEM outcomes.
6. **Monitoring and reporting** should take place at all levels to satisfy the higher level of the delivery of outcomes.

Elements of this 'ideal' Group were seen in part, but almost never in whole. Most Groups would benefit from a review of their roles, responsibilities, and processes, and an attempt to 'join the dots' where there is none.

The level of monitoring and reporting, in particular, does not usually take place in CDEM Groups – partly because of bad process, partly because of parties not understanding their accountability at the Coordinating Executive Group or Joint Committee tables. It is important that all Groups are monitoring their work programmes, their capability and capacity, and their progress towards their goals and objectives. While that discipline is evident in individual organisations – particularly within local authorities – it often seems to be forgotten in the Coordinating Executive Group and Joint Committee settings. A key reason for this is that there is little practical expression of the CDEM Act requirements and CDEM Group Plan objectives in most local authority Long-Term and Annual Plans, so there is no 'driver' to undertake formal monitoring – despite there being a clear need to do so for responsible governance and accountability reasons. Regional CDEM deserves the same level of monitoring that internal council business does.

Funding arrangements should be transparent, equitable, and aligned with the outcomes sought in the CDEM Group Plan. The funding debate is often confounded by who 'collects' it, the regional or territorial authority, as either council seeks to keep its costs to ratepayers down. Ultimately however whether a regional or local rate should not materially matter, as long as the arrangements between parties are clear, and budget reporting takes place². Funding also comes under pressure in that 'public safety' is more of a 'soft' rather than 'hard' services expenditure. Generally its services are invisible to ratepayers unlike, for example, the provision of physical amenities. As such, there are some indications that CDEM expenditure per household has been dropping disproportionately to other services within some councils. This is despite the fact that hazard risks are rising and councils can be called to account when events do occur.

It is important to address leadership and culture. It is evident that where the 'leaders' of organisations do not take CDEM seriously, others will not either. The level of gravity CDEM is given at the top filters down into the organisation, and it is for this reason – perhaps above all others – that it is important to engage our leaders in CDEM matters, and for those individuals to fully understand their organisational and personal roles and responsibilities.

A poor organisational culture is never easy change. Within an 'ideal' CDEM Group collaboration, cooperation, and coordination are at its heart, and collegial working relationships and a positive outlook follow as a state of mind. There should be a culture of continuous improvement, a willingness to examine performance and effectiveness, to embrace new trends, to overcome difficulties, to change the way things are done, if necessary, and to look to the future.

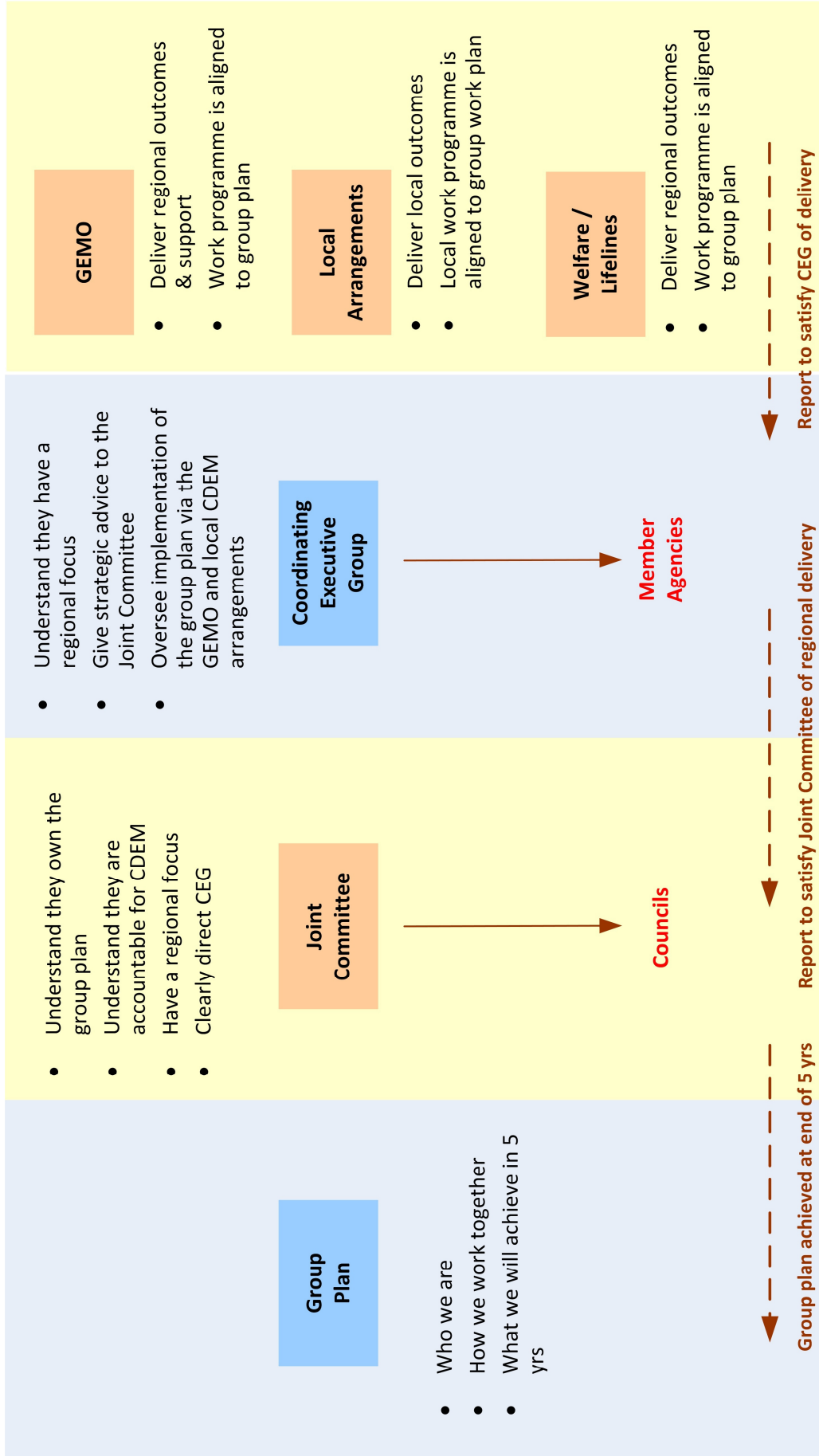
² For more detail on funding and rating issues, see Part 2, CDEM Group Funding.

Some Groups are not far from this ideal, and their scoring in the capability assessment process reflects that. For others, it is worth giving leadership, structure, funding, and culture some significant attention.

See also: Part 2 *CDEM Group Joint Committee*
Part 2 *Group Organisational Structures*

Part 2 *Coordinating Executive Group*
Part 2 *CDEM Group Funding*

Figure 14: The Functioning of an 'Ideal' CDEM Group



Theme 4: Partnerships in CDEM

The Maturity of Multi-Agency Partnerships

No single agency or organisation can address every aspect of emergency management. One of the key features of the CDEM Act 2002 was the requirement for agencies other than local authorities – notably government departments, emergency services, and lifeline utilities – to participate in CDEM. These agencies had participated in civil defence to varying degrees previously, but the new legislation formally brought them under the organisational umbrella of CDEM in a bid to encourage closer multi-agency cooperation and coordination on matters of emergency management.

While these new partnerships were reportedly slow to get going in some areas, nearly all interviewees noted the marked improvement in relationships between agencies over the last ten years, and particularly in the last five years. Sectors such as the health sector, while fairly remote from CDEM ten years ago, and only ‘peripheral’ partners in the early years, are now critical and fully integrated partners who contribute to the wider functioning of the CDEM Group. Other emergency services and lifeline utilities are also key partners, and there is a sense – in most cases – that ‘CDEM’ means ‘multi-agency emergency management’, not just ‘council civil defence’.

Emergency services are represented on every Coordinating Executive Group in the country, and are valued and respected for their contribution to those groups. There is still occasional tension between the funding (councils) and non-funding (emergency services and others) agencies on the group – where non-funding agencies can seemingly make recommendations or decisions, without due consideration for impact on individual council and Group budgets. Generally, however, these agencies understand funding pressures – being not immune to them themselves – and contribute in the spirit of the Group and with due consideration for what is feasible and realistic for the region.

Emergency services’ participation in Coordinating Executive Group meetings (and indeed CDEM more generally) is less successful in a handful of regions, and this seems to be for two reasons: firstly when the emergency service in question does not consider CDEM their ‘core business’ and participates only reluctantly, and; secondly, when local authority business dominates discussions and emergency services do not feel they have anything to contribute. In these cases there can be quite a ‘them’ and ‘us’ relationship and there is a way to go before the partnership approach is realised.

These cases notwithstanding, the general feeling is that multi-agency involvement in CDEM is on the upswing and that multi-agency partnerships are one of the key successes of the last 10 years. While legislation may have brought these agencies together, it is when relationships are forged, and the mutual benefits realised, that the value is evident.

Future Partners and Considerations

The most successful CDEM Groups reach far and wide for partners, even beyond those required by the CDEM Act. Non-governmental organisations and community groups are integral to the delivery of welfare-related services, and are taking on an increasing profile in CDEM welfare. Science agencies and academic institutes are also taking on a more direct role in applying their expertise to hazard risk management and event forecasting and warning systems, as well as researching evidence-based best practice for CDEM and community resilience. How to involve council businesses and contractors to best effect is also now being considered.

An as-yet largely untapped source of potential partners is the business sector, which includes both local and national corporate entities, small and medium-sized enterprises, professional institutes, and business associations. With the Canterbury earthquakes illustrating the impact of emergencies on businesses, and the level of interest some business associations and professional institutes have

in being involved in recovery (in particular), as well as organisational resilience more generally, indicates the potential for more CDEM involvement in the future.

Large corporate businesses usually also have ‘social responsibility’ aspects of their charters and some interviewees spoke of approaches from such organisations wanting to offer products or services, or to participate in CDEM activities. Local and central government is often unsure of how to deal with such approaches, however, and they have frequently gone unanswered or unreciprocated. Initiating and maintaining such relationships also requires resource, and it is clear that at the moment CDEM does not have the expertise or resource to follow up on these potential avenues of interest.

Nevertheless, it is an area of work that Coordinating Executive Groups – and indeed more central government departments – should consider deliberate steps towards in the future, utilising whatever wider staff resources they might have at their disposal. ‘Public and private partnerships’ (‘PPPs’) is still an advanced concept for this country, but there are starting to be successes, and there is a feeling that it will be a key component to the success of ‘Resilient New Zealand’ in the long term.

CDEM as a Support Agency

The concept of ‘lead’ and ‘support’ agencies is now reasonably well-embedded in New Zealand emergency management. A ‘lead agency’ for any particular emergency is one that is deemed to have the primary mandate for managing the operational response to that emergency, usually determined by the type of hazard and the consequences to be managed. The lead agency is generally responsible for planning for the event, monitoring and assessing the situation, coordinating the local, regional, or national response, situation reporting, and coordinating the dissemination of public information. A ‘support agency’ is any agency that has a role and responsibility to support the lead agency in readiness for, response to and assisting with recovery from an emergency.

The monitoring and evaluation programme has revealed that CDEM Groups are generally very comfortable with their lead role in managing ‘civil defence emergencies’. There are comprehensive plans in place that have been developed, in most cases, through thorough multi-agency planning processes and research-based assumptions about consequences to be managed. These events have also been well practised through training and exercising, and several ‘real’ emergencies. In all, there is confidence in the ability of CDEM Groups to respond to civil defence emergencies.

What is also clear – through several recent events, and the comments and concerns of many interviewed – is that CDEM Groups are far less comfortable with their role as a support agency to other lead agencies’ emergency events. Events such as the swine flu pandemic (2009), the Pike River coal mine explosion (2010), the Vector gas curtailment operation (2011), and the Rena container ship grounding (2011) have all demonstrated a lack of clarity around the role CDEM has to play in these types of events. This could be said to apply as much at the national level as does the local and regional levels.

Far more thought is required by CDEM Groups (and nationally) about the role CDEM has as a support agency. Is the role one of social/civil support? Or provision of a specific function, such as welfare delivery or coordination of lifelines? Or is it provision of general ‘emergency management expertise’ either in the form of advice, coordination processes, situation reporting, Emergency Operations Centres, or similar? All may be appropriate, but it is clear that far more planning must be undertaken with the relevant lead agencies for these events in order for likely roles and responsibilities to be worked through and clarified, and fast, effective response to take place.

See also: Part 2 Planning

Part 2 *Coordinating Executive Group*

Part 2 Response Arrangements

Theme 5: The New Way to Approach Community Engagement

The Maturity of CDEM Group Work Programmes

It was clear over the course of sixteen CDEM Group assessments, including interviews with representatives of most of the country's 78 local authorities, that CDEM work programmes generally followed a three-stage process of maturity:

1. **Developing** – being mostly concerned with organisational processes and issues. These councils/Groups are still concerned with the business of getting their internal 'housekeeping' in order (Emergency Operations Centre facilities, resourcing, and staffing; staff training; internal plans and procedures; response arrangements and equipment), and having little, if any, time to devote to public education and community engagement. Public information may be actively managed, but most information to communities is 'push' only.
2. **Advancing** – beginning to move into a combination of organisational issues and community education and engagement. These councils/Groups have well-established programmes for internal organisational resilience issues, but they still require a level of attention in order to be effective. Nevertheless, there is active public information, public education, and community engagement programmes, although the latter is largely reactive and limited to responding to requests.
3. **Mature** – being mostly concerned with community issues and resilience building. These councils/Groups need only a minimum of 'housekeeping' because their internal processes and procedures are so well embedded and 'owned' within the organisation that Emergency Management Officers do not need to engage in them on a day-to-day basis. Instead their attention is focused on community resilience building, which has become proactive, targeted, wide-ranging, and undertaken according to a defined strategy.

The majority of councils would place somewhere between 1 and 2; only a handful are at or close to 3; most describe 3 as where they aspire to be.

New Methods of Community Engagement

As the social and economic context in which CDEM operates evolves (as described in section 1.6), so the ways in which CDEM engages with communities must change and evolve. It is no longer acceptable to only 'communicate' with communities, or even 'do public education'. Building community resilience is a lot more than that, and requires increasing levels of engagement, meaningful conversations with communities, and new and innovative approaches in order to be effective.

The challenge is still to get people to understand what risks the hazards around them pose for them, and to do something to reduce those risks. Most New Zealanders understand the hazards that are prevalent in this country; far fewer translate that to possible risks and impacts to them, their household, and their community, and subsequently to what actions they need to take in order to improve their resilience to those events. Even after the Canterbury earthquakes, many have a 'it will never happen to us' attitude that make it hard to make in-roads into community resilience building.

Only in the last 2-3 years has there been significant progress in wider community participation in CDEM. This is largely a result of the shift from 'accidental' to 'deliberate' community engagement processes on the part of CDEM authorities, as well as from the community awareness generated by some of the high profile international disasters that have been prevalent in the last 10 years. Community response planning has been a focus in some regions, and is starting to make in-roads in terms of buy-in and coverage. Other areas have taken public education to a new level, and are

engaged in proactive and targeted campaigns that are designed more for 'active participation' than 'education'.

New channels of technology, information sharing and social engagement are making this possible, as well as the participation of 'professional' community development specialists and academic researchers. All bring new possibilities and approaches to engaging the community on matters of hazard and risk, and improving their overall resilience to threats.

The goal for community resilience is that it is community owned; that it responds to local problems and needs, capitalises on local knowledge and expertise, is cost-effective, improves the likelihood of sustainability through genuine 'ownership' of projects, and empowers people by enabling them to tackle these and other challenges. The challenge for CDEM is getting to that point: for the most part community resilience efforts still need to be facilitated and guided, and that is generally an extremely time and labour-intensive undertaking for most CDEM authorities, made more difficult in that the success of such endeavours may only become evident in the long term or in an emergency event. How to demonstrate their effectiveness and justify their resource requirements is an ongoing issue for councils. Community resilience is not something that is going to be 'fixed' in five minutes. Progress needs to be tracked and measured, the most successful methodologies determined, and commitment to the pursuit of resilience sustained.

See also: Part 2 *Public Education* Part 2 *Public Information Management*
 Part 2 *Building Community Resilience* Part 2 *Volunteer Management*
 Part 2 *Integrated Planning*

3 Future Opportunities for CDEM

3.1 Implementing Monitoring and Evaluation and the Way Forward

The CDEM Monitoring and Evaluation Programme – and capability assessments that comprise it – has for the most part been successful in helping CDEM Groups understand their own arrangements better, illustrate strengths and weaknesses, and show where their areas for improvement and greatest gains are. While not always a comfortable process for Groups to go through, it has hopefully allowed an objective review of the status of Group capability, and provided a basis for future planning.

For this process to have full value, CDEM Groups are encouraged to actively examine their capability assessment reports and use them as a lever for change in the Group (where needed). It would additionally be useful for all Groups to use their capability assessment report and scores as a benchmark upon which internal monitoring of capability and progress can take place. While future external assessments are planned, these are likely to be on a longer timescale (e.g. 4-5 years, or ahead of any CDEM Group Plan review), and it is important that Groups and individual members conduct more regular internal capability monitoring – to measure progress and for their own self-evaluation.

A suggested process for implementing monitoring and evaluation is:

1. CDEM Group Joint Committee and Coordinating Executive Group meet to review their Capability Assessment Report, particularly any issues raised and recommendations made, and agree on the areas for future work or attention. Of paramount importance here is the Joint Committee and Coordinating Executive Group acknowledgement of the issues and where things need to improve.
2. Working groups and/or workshops may be needed to review and analyse issues in more detail and to start to think about actions.
3. It is recommended that where serious issues exist, start on the foundations first: leadership, structure, funding, and culture. Everything else will fall into place if these are addressed.
4. It may be useful to break issues into roles and responsibilities, principles, and policies, and address them in that order.
5. Form a corrective action list and prioritise actions.
6. Incorporate actions into a work programme, and other strategic documents (e.g. Long-Term Plan), where relevant.
7. Agree a monitoring regime, i.e. how and when progress on action items and issues are to be reviewed.
8. Consider a full internal assessment via the CDEM Capability Assessment Tool at some time in the future to review overall progress.
9. Coordinating Executive Group incorporates monitoring and evaluation processes as part of their normal meeting process.

A case study is given on the following page.

Implementation of M&E in Waikato CDEM Group

Adam Munro, Programme Manager Regional Hazards & Emergency Management

Phase 1 – initial receipt

- The Waikato Capability Assessment Report was received in January 2010. Our score was lower than expected, and highlighted a number of weaknesses and areas for improvement.
- Special meetings of the Coordinating Executive Group and the CDEM Joint Committee were held to consider the key findings and implications of the report.
- Overall the report was well received with the Group largely taking it “on the chin”. The report sparked a long overdue change in the (somewhat negative) culture of the Group.
- There was a high level of goodwill and buy in from both the elected members and senior executives (re: accountability and ownership).
- Blame was shared and generally there was no finger pointing.

Phase 2 – action planning

- A number of subgroups (or working parties) were established by the Coordinating Executive Group and Joint Committee to specifically oversee the implementation of the assessment report recommendations.
- The need for additional resourcing and funding were quickly identified (for example the new Group Emergency Management Office (GEMO) Team Leader role was created to develop a new work programme in line with the assessment report recommendations).
- Within the GEMO considerable effort was put into identifying and then managing the multitude of projects required to address the Capability Assessment Report findings. In addition, it was clear that to ensure projects identified in the Group Plan were addressed on schedule and within budget any additional projects were firstly assessed for plan alignment then prioritised before insertion into the work programme. To this end the following tools and processes were developed:
 - Master Project Monitoring that encompasses a colour-coded excel sheet, providing general project status oversight, and a multitude of hyperlinked project plates providing more detail on each individual project and sub-project. These plates are regularly update by each individual project manager and can be interrogated at any time.
 - Project Prioritisation Tool and supporting process that enables each new proposed project to be evaluated as described and assigned a score. This score is then used in the decision process to firstly decide if the project is appropriate for insertion (Coordinating Executive Group subgroup decision) and then (at the Coordinating Executive Group level and on advisement of the GEMO) where to insert it in the programme.
- The Group has since embedded the actions/principles into its new (second generation) CDEM Group Plan with a number of ongoing projects which are now approved and appropriately funded.

Phase 3 – long term approach

- The future work programme has been designed to address the projects and operational capability/shortfalls.
- Capability Assessment Report monitoring and reporting is a standard item for subgroup and Coordinating Executive Group meetings to ensure progress is continually assessed so resources/funding and priorities are allocated accordingly.
- The monitoring and evaluation philosophy and progress reporting is now integrated into the scoring matrix as part of the project prioritisation tool for the future insertion of new projects into the work programme.

See also: Part 2 *CDEM Group Funding* for details of the Waikato CDEM Group funding review.

3.2 What Are We Aiming For? How to Have a Strong CDEM Group

Throughout the monitoring and evaluation process many theories were formed on 'formulas for success' and how to have a strong CDEM Group or successful CDEM programme within an individual council (or other organisation).

There are some factors that are external to the organisation and cannot (easily) be re-created. Councils'/Groups' enthusiasm for CDEM is often a result of having been through an event, for example. This experience seems to galvanise commitment; there is a sense that 'it can happen', a greater awareness of issues and impacts, and an increased recognition of actions that can be taken to improve their resilience and performance for next time.

Having a notable hazard on your doorstep also helps: it focuses the attention and acts as a constant reminder of 'what might happen'. Even if it is a singular hazard, for example a volcano, or tsunami-vulnerable coastline, resultant preparedness activities are usually transferable to other hazards, and the 'mindset' is there.

The reverse situation is also true, and those councils/Groups that have not had significant events in recent memory, and/or do not have any one 'big' hazard to focus on, often struggle to get the attention and interest of those outside of the immediate CDEM 'sphere': it is harder to demonstrate progress and value for money.

Nevertheless, this programme has observed some key characteristics of successful councils and Groups (outlined throughout both Part 1 and Part 2 of this report), including some deliberate actions that have been taken to engender commitment and success.

Theme 5 (section 2.4) introduced the concept of 'developing', 'advancing', and 'mature' organisations in the context of their approach to community engagement. That concept is developed further here to summarise observations on what makes a council or CDEM Group developing, advancing or mature across a range of aspects that constitute CDEM performance (Figure 15 on the next page). An organisation can look at these observations and decide for themselves where they stand on each aspect. By extension, if they are not at the level at which they would wish to be, the table also gives some suggestions on how to enhance performance and move to the next level.

Notes about Figure 15

1. These observations are indicative only, and are not an exhaustive list of CDEM activities and programmes organisations should be undertaking.
2. The activities under each suggested level are generally cumulative with the previous.
3. In terms of the CDEM Capability Assessment Tool scoring, 'developing' loosely translates to the lower satisfactory zone, 'advancing' translates to the upper satisfactory zone, and 'mature' translates to the target environment zone.
4. The 'developing' level is the minimum standard of CDEM performance expected. If a council or Group is not performing at the 'developing' level for any particular aspect, this translates to unacceptable CDEM performance.
5. If a council or Group is performing over and above the 'mature' level, this translates to national, if not international 'best practice'.
6. The aim of councils/Groups should be to move across the table into the right-hand column. If a council or Group in the 'developing' or 'advancing' column, they can look to the next column to the right for aspects to work on/achieve.

Figure 15: Description of Developing, Advancing, and Mature Organisations' CDEM Performance

	Developing	Advancing	Mature
Summary description of organisation	<p>Practices traditional 'civil defence', with a focus on facilities, staffing, equipment, and procedures; complies with the CDEM Act – minimally; relies on individuals; is reactive to needs; usually struggles for resources and priority. Key descriptors:</p> <ul style="list-style-type: none"> • <i>Informed</i> • <i>Planned</i> • <i>Trained/exercised</i> • <i>Functional</i> • <i>Reactive</i> • <i>Minimally-resourced</i> 	<p>Practices 'emergency management', with a mix of internal capability building, and externally facing programmes; comprehensively implements the requirements of the CDEM Act; programmes (becoming) coordinated within the organisation. Key descriptors:</p> <ul style="list-style-type: none"> • <i>Analytical</i> • <i>Prioritised</i> • <i>Formalised</i> • <i>Effective</i> • <i>Proactive</i> • <i>Fit for purpose</i> 	<p>Practices more holistic 'public safety', with a focus on strategic community resilience building; goes beyond the CDEM Act to acting for 'public good'; processes and procedures are systemic, and CDEM is integrated within and across organisations. Key descriptors:</p> <ul style="list-style-type: none"> • <i>Strategic</i> • <i>Targeted</i> • <i>Evaluated</i> • <i>Systemic</i> • <i>Outcomes-focused</i> • <i>Purpose built</i>
Plans, procedures, and strategies	<p>Has key plans, procedures, and work programmes in place, e.g.:</p> <ul style="list-style-type: none"> • <i>Group CDEM Plan</i> • <i>Formal Group/local work programme to give effect to the CDEM Group Plan</i> • <i>Welfare plan</i> • <i>Recovery plan</i> • <i>Business continuity plan</i> • <i>GECC/EOC SOPs</i> 	<p>Key CDEM work programme items have formalised, documented programmes in place that detail planned activities, e.g.:</p> <ul style="list-style-type: none"> • <i>Public education programme</i> • <i>Public information programme</i> • <i>Volunteer programme</i> • <i>Exercise programme</i> • <i>Capability/professional devt programme</i> 	<p>Programmes are undertaken according to a defined, documented strategy that allows several players to act in a coordinated manner, e.g.:</p> <ul style="list-style-type: none"> • <i>Public education strategy</i> • <i>Public information strategy</i> • <i>Volunteer strategy</i> • <i>Exercise strategy</i> • <i>Capability devt strategy</i> • <i>Community eng't strategy</i>
Governance, principles, and policies	<p>There are still misunderstandings about roles and responsibilities, and only a minimum of management and governance takes place, e.g.:</p> <ul style="list-style-type: none"> • <i>CEG and/or JC meetings are largely passive (receiving reports) and 'rubberstamping' in nature.</i> • <i>CEO takes minimal interest in CDEM, and/or considers it 'low priority'</i> • <i>Requirement to participate in CDEM in council staff job descriptions</i> • <i>Funding is at a minimum, and/or has poorly defined (or disagreement around) policies and processes</i> 	<p>Roles and responsibilities are explicitly understood and responsible management/governance takes place, e.g.:</p> <ul style="list-style-type: none"> • <i>CEG monitors work programmes</i> • <i>CEG considers resourcing when signing off/prioritising work programmes</i> • <i>CEG monitors capability</i> • <i>CEG reps analyse CEG meeting content for implications for their own organisations</i> • <i>CEOs are integrally involved, through CEG or other avenue</i> • <i>Funding is considered 'adequate' by CDEM personnel</i> • <i>Funding processes and policies are transparent and equitable</i> • <i>Budget reporting takes place</i> 	<p>There are discussed, agreed, and documented management and governance practices, and proactive management/governance takes place, e.g.:</p> <ul style="list-style-type: none"> • <i>CEG and JC have TOR</i> • <i>There is a SLA between the CEG and the regional council for GEMO services</i> • <i>CEG/JC members 'champion' CDEM in their organisations</i> • <i>CEG monitors progress on CDEMG Plan goals/objectives</i> • <i>CEG analyses capability and seeks to address gaps</i> • <i>Funding policies/processes are reviewed/re-confirmed regularly</i> • <i>CDEM issues are discussed at other local govt fora, e.g. Council meetings, CEOs Forum</i>
Integration of CDEM	<p>CDEM is a singular focus, is considered 'civil defence' only, and does not, or rarely, connects with other functions in council(s). Characteristics include:</p> <ul style="list-style-type: none"> • <i>Any reference to 'civil defence', 'emergency mgt' or 'CDEM' points to only one person/team</i> • <i>Council Long-Term Plan has only a minimal reference to CDEM/emergency management as an activity (and usually focused on training and EOC maintenance)</i> • <i>Items from CEG or JC meetings are rarely brought back into and implemented in the organisation</i> 	<p>CDEM is considered 'emergency management' by most, and encompasses 4Rs, and several 'CDEM-related' functions of council(s). Characteristics include:</p> <ul style="list-style-type: none"> • <i>CDEM does not belong to individuals; it is core business</i> • <i>Council Long-Term Plan connects hazard risk management, CDEM, and community outcomes.</i> • <i>Council Long-Term Plan has some meaningful performance measures for CDEM that go beyond response</i> • <i>A range of council functions are involved in CDEM work progs</i> 	<p>CDEM is considered part of 'public safety', and is championed in all strategic documents. Several functions of council(s) are coordinated and integrated in a holistic approach; including:</p> <ul style="list-style-type: none"> • <i>Council Long-Term Plan has detailed performance measures for CDEM that a) span the 4Rs, and b) look holistically at CDEM capability/performance</i> • <i>CDEM Group Plan is familiar to a range of council functions, and CDEM philosophies/ outcomes are embedded in their own work programmes and outcomes</i>

	Developing	Advancing	Mature
CDEM activities	<p>Activities are focused on internal 'housekeeping', e.g.:</p> <ul style="list-style-type: none"> • <i>EOC and alternate identified and maintained</i> • <i>A large proportion of time spent on EOC training/exercising</i> • <i>Public education and information is 'push' only, and/or focused on awareness building</i> • <i>Welfare committee/group meets at least twice per year</i> • <i>Lifelines group meets at least twice per year</i> • <i>Support structures (e.g. readiness and response/reduction committees, welfare/lifelines groups) typically meet 1-2 times per year.</i> 	<p>Activities are a mix of (advanced) internal programmes and external public education activities, e.g.:</p> <ul style="list-style-type: none"> • <i>Advanced inter-agency EOC training/exercising</i> • <i>Training is shared between organisations and/or across the Group</i> • <i>Trained backups at all key EOC and other CDEM positions</i> • <i>Impact assessment methodology/templates</i> • <i>Active public education programme</i> • <i>Community engagement opportunities undertaken, although largely still 'reactive' to requests</i> • <i>Support structures (e.g. readiness and response/reduction committees, welfare/lifelines groups) have a programme of work and undertake group-led projects</i> 	<p>Activities are focused on community resilience building, with only some maintenance of internal arrangements required, e.g.:</p> <ul style="list-style-type: none"> • <i>Proactive, targeted public education and community resilience building activities</i> • <i>Community response plans</i> • <i>Conversations with community about 'acceptable risk'</i> • <i>Participation in/facilitation to community-led activities</i> • <i>Internal 'housekeeping' arrangements are systemic in the organisation, and/or shared by a number of people</i> • <i>Professional development opportunities are sought for all key CDEM positions</i> • <i>Support structures (e.g. readiness and response/reduction committees, welfare/lifelines groups) are analytical of needs and strategic in their approach</i>
Workflow, process, and approach	<p>Research and new information informs work programmes, but only passively so, or as/when convenient, e.g.:</p> <ul style="list-style-type: none"> • <i>CDEM-related research (i.e. best practice or hazard/risk research) is sought/received</i> • <i>Research is used to inform planning and work programmes</i> 	<p>Research and new information is actively incorporated, e.g.:</p> <ul style="list-style-type: none"> • <i>CDEM-related research is analysed to better understand likely impacts</i> • <i>Research is analysed for implications for various parts of the organisation, and communicated as such</i> • <i>Data is made publicly available</i> • <i>Actions are devised and prioritised</i> • <i>Actions are incorporated into work programmes</i> 	<p>Research and new information is used to feed a process of continual improvement, e.g.:</p> <ul style="list-style-type: none"> • <i>Impacts are understood in the context of other research</i> • <i>Actions are costed and resourced and not 'left to chance'</i> • <i>Actions are monitored to ensure that progress is on track</i> • <i>Outputs are reported to the appropriate level</i> • <i>Actions are evaluated for their effectiveness and to identify any residual or consequential issues</i>
Behaviours, attitudes, and attributes (culture)	<p>Organisations within the Group cooperate on matters of CDEM; organisations are responsive to requests and key needs, e.g.:</p> <ul style="list-style-type: none"> • <i>Organisation(s) participate(s) to a minimal degree in the Group</i> • <i>Organisation(s) follow(s) their own path</i> • <i>EMOs within a Group meet regularly</i> 	<p>Organisations within the Group collaborate on matters of CDEM; organisations look for opportunity, e.g.:</p> <ul style="list-style-type: none"> • <i>Organisation(s) participate(s) willingly as part of the Group</i> • <i>PIMs within a Group meet regularly</i> • <i>Controller meetings/fora take place</i> • <i>Recovery managers meetings/fora take place</i> • <i>EMOs collectively determine the Group work programme</i> • <i>There are defined processes for information flow within and across organisations</i> 	<p>Organisations within the Group are considered true 'partners'; Organisations look beyond the normal for solutions, e.g.:</p> <ul style="list-style-type: none"> • <i>Regional feeling/team spirit</i> • <i>Regional assets</i> • <i>Regional branding</i> • <i>Regional programmes</i> • <i>Sharing of resource</i> • <i>Innovation</i>

Suggestion: for each aspect (row), circle the box that best describes your organisation/Group...

3.3 Building the Profile: ‘Civil Defence’ vs ‘Emergency Management’ vs ‘Public Safety’

This report has highlighted some of the issues and challenges facing CDEM in 2012 and beyond. In large part many of these issues come back to the profile of CDEM – the image that is portrayed by the civil defence brand, the perceptions the public and some critical parts of local and central government administration may have of it, and the resulting treatment it receives.

On the positive side the brand is well known and has a long history of providing support in local emergency events. On the negative side it may still encapsulate for some a lesser status than that of a professional, partnership-based comprehensive emergency management system as introduced by the CDEM Act. Irrespective, it is a matter of how CDEM markets itself, and there are some significant improvements to be made in how that is done.

CDEM is no longer the civil defence of old, and it must be made clear that it is not. ‘Civil defence’ implies a focus on response, and on single-agency processes, procedures, equipment, and facilities. CDEM is multi-agency and partnership-based comprehensive emergency management, with a clear focus on risk-based management, and community wellbeing. It encompasses a number of related disciplines and acts on a number of levels within organisations and nationally; it is ultimately about *public safety* and should be an integrated programme and high priority in all organisations with responsibilities under the CDEM Act.

It is only when these concepts are fully understood and accepted that CDEM will gain the attention and priority it deserves.

How to Improve the Profile of CDEM

1. All elected representatives (not just Mayors), and all Chief Executives should be actively courted on matters of CDEM – they have critical roles across all 4Rs, not just in response.
2. Individual, organisational, and regional roles, responsibilities, and accountabilities for CDEM should be highlighted early in a new role, and reinforced periodically thereafter.
3. It is important to stress the multi-disciplinary nature of CDEM – the functions and services that comprise comprehensive emergency management (*Figure 13 goes some way to illustrating this*).
4. It is important to promote, and practice, all 4Rs of emergency management – not by one individual, but by the organisation as a whole. The importance of risk reduction and recovery particularly needs to be stressed and reinforced. CDEM is not only about response.
5. CDEM is ‘multi-agency emergency management’, not ‘council civil defence’.
6. The key message is: CDEM is about *public safety*.
7. There must be greater emphasis on supporting communities, and efforts made to move away from organisational ‘housekeeping’.
8. We must demonstrate tangible progress and value for money, particularly in matters of public good.