A review of CDEM Group capability by functional area, including results of the CDEM Monitoring and Evaluation Programme 2009-2012, observations on nationwide themes and issues, best practice, and case studies.

CDEM Capability Assessment Report: Part 2

April 2012

Ministry of Civil Defence & Emergency Management
Te Rākau Whakamarumaru

Part 2: Results, Discussion, Best Practice and Case Studies by Functional Area

Introduction and Instructions

Part 2 of the National Capability Assessment Report contains results and discussion at the performance indicator and measure level, which translates loosely to the main 'functional areas' of CDEM within which most people work. 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.

How To Compare Your Results With The National Statistics

Scores for each indicator are shown as in Figure 1 to enable organisations to compare their score against a backdrop of the national high, average, and low scores.

Figure 1: Example Indicator Scoring Showing National High, Average, and Low Scores

Highest 90.0%			Natl Avg 58.0%		Lowest 16.8%

Where...

'**Highest**' means the highest single CDEM Group score for this indicator.
'**Natl Avg**' means the average of all 16 CDEM Group scores for this indicator.
'**Lowest**' means the lowest single CDEM Group score for this indicator.

The coloured bar shows where those scores sit against a backdrop of the capability assessment achievement zones, which are shown in Figure 2.

Figure 2: 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.

How To Find Your Indicator Scores

There are two sets of scores you can use to compare against the national statistics:

- Your self-assessment via the CDEM Capability Assessment Tool.
- Your collective CDEM Group scores, as assessed by the MCDEM panel, and presented in your region's Capability Assessment Report.

In the case of the former, you need only find the relevant indicator in your completed Capability Assessment Tool and compare the score to that presented here. In the case of the latter, you need to find the indicator on the relevant 'spider' diagram in the Report, and read off the score from the central axis (shown on Figure 3).

Figure 3: How to read indicator scores on spider diagrams
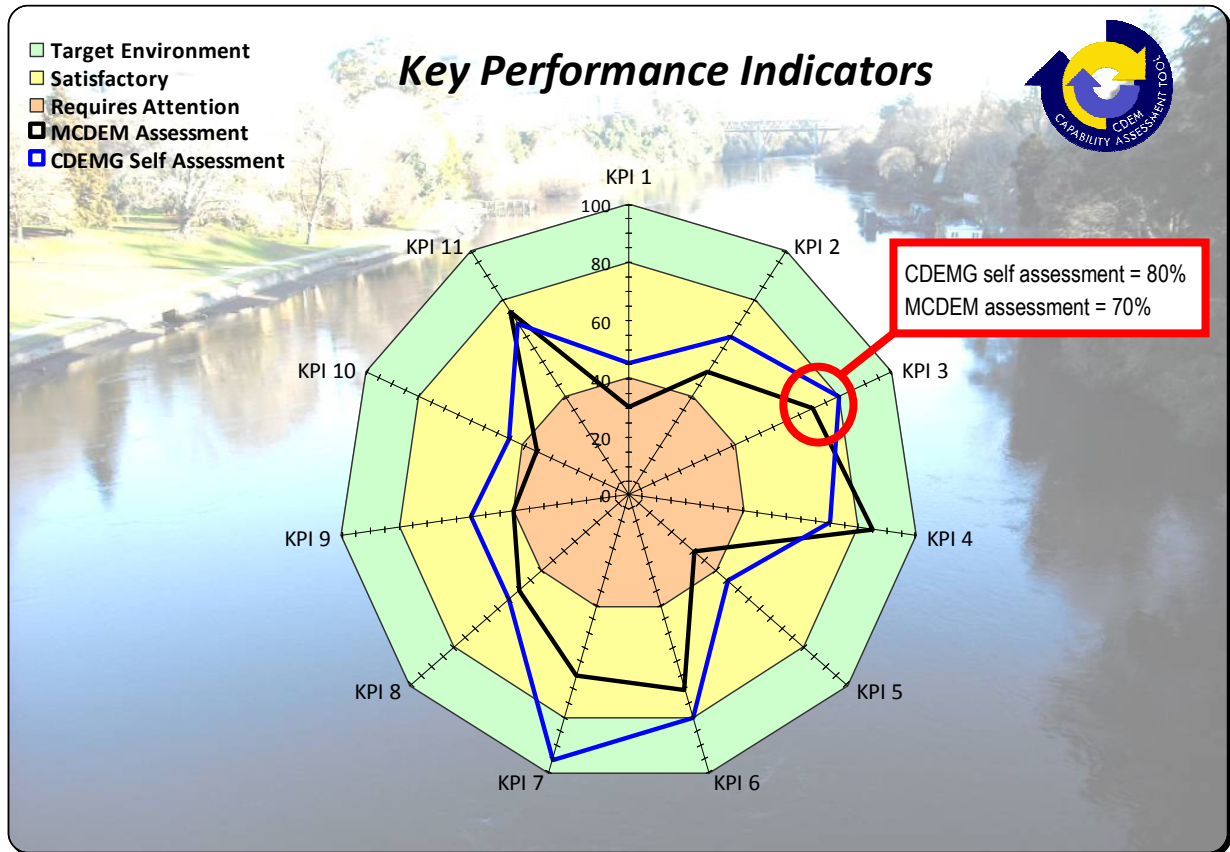
Important Note re. Self-Assessment Capability Assessment Tool Files...

It is important to check that the summary scoring on your assessment tool is accurate. If you have not scored 'N/A' for every measure that you do not believe is relevant to you (i.e. including all the tabs that are not relevant to you), it may not be. This is the first thing that is checked when a self-assessment is received at MCDEM; in most cases these were sent back to the author with the corrections made if the N/As were omitted. But it is worth checking that you are looking at a corrected version. If not, you may find your scores are several points higher once this task is completed!

1 Public Education

Public Education Programmes

Highest 90.0%		Natl Avg 58.0%		Lowest 16.8%

Goal 1, Objective A, Key Performance Indicator 1: Public education programme on hazards and risks is planned, coordinated and given priority by the organisation

1	Organisation has a public education programme or plan that has been signed off by senior management or Board level	48.8
2	Organisation has a specific budget allocated for public education	48.8
3	Organisation has a person tasked with the delivery of public education	66.3
4	Degree to which you are satisfied public education programme is given appropriate priority by the organisation	56.3
5	Organisation takes steps to stay informed of best practice public education methodology	61.3
6	Organisation participates in regional or national CDEM public education groups	87.5
7	Public education programme is reviewed and updated every year	53.8
		58.0

Awareness Building Activities

Highest 93.3%		Natl Avg 66.0%	Lowest 46.7%		
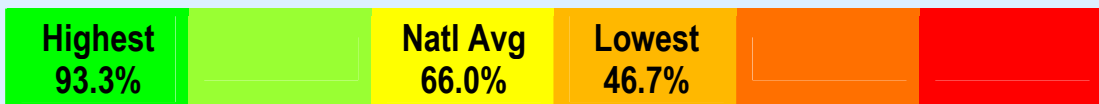
Goal 1, Objective A, Key Performance Indicator 2: Awareness-building opportunities are proactively pursued

1	Organisation collaborates with relevant science agencies on hazard/risk education	72.5
2	Organisation's website outlines hazards in their geographic area of responsibility	70.0
3	Organisation promotes and supports the use of 'What's the Plan Stan'	65.0
4	Degree to which organisation participates in Disaster Awareness Week	68.8
5	Organisation uses local/community events to promote civil defence emergency management	65.0
6	Organisations within the Group collaborate on public education opportunities	53.3
		66.0

RESULTS

- Public education is time and resource intensive, and many councils struggle to do enough, despite nearly all interviewees stating a belief that public education (and/or 'community engagement' more broadly) to be one of the most important aspects of CDEM.

- All councils/Groups do public education to some degree, but the extent to which they are formalised in strategies and plans, and targeted to need (prioritised and considered, rather than reactive to requests) is quite variable across the country. Clearly the former two approaches are preferable in order to maximise opportunities and make good use of the scarce time and resources available.

- As work programmes mature and response arrangements (e.g. training, EOC preparedness, warning systems, etc) are successfully embedded, organisations find themselves able to move away from internal preparedness and spend more time on community preparedness.

- Active public education and engagement often still relies on the goodwill and enthusiasm of Emergency Management Officers, who are often required to give up evenings and weekends to attend community events.

- Community awareness of hazards and risks is generally thought to be good, but many interviewees suspect communities are not that prepared (at the individual, household, and community level). The problem facing CDEM authorities is how to turn awareness into action.

- There is a tough balance between pushing the preparedness message and sometimes being seen to be 'crying wolf' or scaremongering, versus the need to get preparedness levels higher. A general feeling was expressed that the balance is still not quite right, and the public education 'formula' and approach could still be improved.

- Public education is an area that requires constant innovation in order to come up with new and interesting concepts and activities that will engage the public.

- The more mature public education programmes focus not just on information dissemination, but on changing and reinforcing behaviours.

- There is good use of nationally-produced resources and collateral (e.g. *Get Ready Get Thru* and *What's The Plan Stan*); some organisations have also invested in producing their own, tailored local material.

- Organisations are increasingly capitalising on national and international events to push CDEM messages, but this approach could be utilised more in order to take advantage of 'free' public education opportunities.

- There needs to be a wider recognition that the greatest asset of CDEM is personal and community preparedness, and investment in this asset will pay dividends in the event of an emergency.

BEST PRACTICE

- Roles and responsibilities for public education are clearly defined.
- CDEM Group has a public education strategy that aims for behaviour change, and provides the direction and mechanisms for targeting, delivery, and measurement of CDEM messaging to communities.
- There is an appropriately targeted and resourced work programme for public education.
- Vulnerable communities / communities of interest are identified.
- National public education campaigns and resources are supported and used to leverage local public education opportunities (i.e. *Get Ready Get Thru*, and *What's the Plan Stan* campaigns).
- CDEM Group member websites make best use of the internet as a public education resource.
- The CDEM Group public education representative participates in national public education forum.
- The Coordinating Executive Group regularly measures progress and monitors the effectiveness of public education efforts.

Public Education in the Chathams CDEM Group
Rana Solomon, Group Emergency Management Officer

Over a six week period I worked with a school on the northern part of the Chatham Islands. This community is extremely vulnerable to tsunami, the escape route also being exposed to the sea on one side and the lagoon on the other.

I worked with the children using *What's the Plan Stan*, and other tools showing how tsunamis are formed, how they move and what they can do to a community. The children set about teaching their parents about tsunami and getting them to help with evacuation plans and emergency kits. Meal times became a time to talk about tsunami and how it affected their community what they could do to be ready. At the end of the six weeks each child had put together a presentation on different aspects of tsunami and what it means to their community and invited the whole community to their evening of "tsunami awareness and preparedness".

It wasn't long before we got the call, "tsunami warning was confirmed" the call went out to Emergency Operations Centre personnel and all area coordinators were out letting their communities know and preparing to evacuate. The children from the northern area had got all their gear into the cars, pets and all, and were reminding parents what they needed to do. The community all met at the local school which is also the meeting place when a warning comes. The community had enough food, bedding etc., everyone was accounted for and just after 5am they all left and headed off to the Welfare Centre.

The community settled themselves in and started to think about food they would need, ever resourceful they killed a couple of sheep and started up the BBQ. There is no doubt that this is a resilient community. They always have been but with their children learning and passing on their knowledge to their community and parents, they now understand about hazards, the importance of being prepared and the need to evacuate.

The following day when the threat was over the Controller and I went out to the Welfare Centre, the feedback was good and that had the community as a whole not become so aware and prepared, they would have taken a lot longer to evacuate to safety.

2 Public Information Management

Public Information Management Programme

Highest 100.0%		Natl Avg 69.4%	Lowest 41.6%		
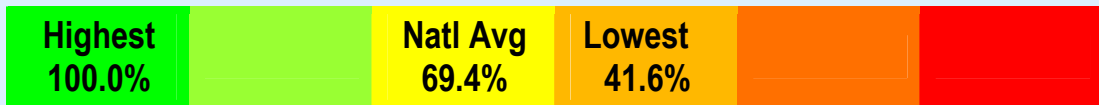
Goal 1, Objective A, Key Performance Indicator 3: Public information management is planned, coordinated and given priority by the organisation

1	Organisation has a PIM strategy or plan that aligns with the CDEM Group plan	62.5
2	A media spokesperson and alternate are identified for CDEM issues and are trained in speaking with the media	80.0
3	There is proactive engagement with the media on CDEM issues BEFORE an emergency happens - both sides know what to expect of each other	66.7
4	Pre-prepared media statement templates (for emergencies) are developed	69.3
5	Key messages are developed and agreed that are 1) generic to any emergency, 2) specific to certain types of emergency (e.g. tsunami, volcanic eruption, etc)	60.0
6	Organisation has arrangements in place to be able to provide up-to-date information online in the event of an emergency	76.3
7	Degree to which you are satisfied PIM is given appropriate priority by the organisation	71.3
		69.4

Public Information Manager

Highest 96.9%		Natl Avg 76.9%	Lowest 37.6%		

Goal 1, Objective A, Key Performance Indicator 4: Public information manager is appointed and resourced to be able to do the job

1	Organisation has an identified person who has explicit (preferably written) responsibility for PIM	85.0
2	PIM manager is resourced to be able to work outside of office hours (e.g. is contactable 24/7, has all the equipment necessary to be able to perform the job out of the office)	75.0
3	PIM manager is allocated space in the EOC	89.3
4	PIM manager contact details have been disseminated to all partner agencies - other agencies know who to call regarding PIM	81.4
5	PIM manager is an integral and early part of the notification chain when a new event occurs	84.0
6	PIM manager has a good working knowledge of the CDEM Group, partner agencies, and standard operating procedures	82.7
7	PIM manager has a good relationship with the Group/Local Controller	92.0
8	PIM manager has regular/frequent contact with the Group/Local CDEM Officer	84.0
9	Comms managers within a CDEM Group area meet regularly and discuss CDEM issues	50.0
10	Group PIM manager has good links with other CDEM Group PIM managers	57.3
		76.9

DISCUSSION

- The speed and reach of the media means media outlets have access to information and will demand answers from authorities almost immediately. Furthermore, communities expect comprehensive public information and comment from authorities, and will rapidly start to lose faith if that information is not forthcoming. An observer of the Christchurch earthquake PIM experience stated that "public information management isn't just about media releases, it's about reputation management, and civil defence as a brand". All of this means the PIM function is an increasingly vital part of any emergency management response, and there is a growing recognition of the emphasis that it requires.

- Some organisations struggle to fully resource the PIM function, especially where they do not have full-time communications staff.

- Even where organisations have full-time communications staff, the PIM function is usually an add-on to the 'day job' of communications staff members.

- The best prepared Groups recognise these limitations and have strong networks of PIM staff across the Group that are able to help and support each other, as well as liaise and ensure consistent messaging – in business as usual, not just in emergencies.

- They also utilise and involve *all* communications staff available to them, not just a single individual, which can result in a point of failure should that person be unavailable on the day. PIM should be an integral part of communications staff's job descriptions, and be considered a core component of council communications, as it relates not just to public safety, but to the council's reputation management.

- The best prepared PIM managers are prepared at home as well as at work, and are afforded the same continuity and contingency communications options as Controllers or Emergency Management Officers.

- Councils and CDEM Groups are making increasing use of new media, from real-time website updates, to social media and networking. There needs to be a greater recognition that people are sourcing their information in this way these days, while not forgetting the need for on-the-ground community-based PIM for sectors of the population who do not have access to electronic media, or who prefer to have face-to-face interactions. The good public information strategies set out all the mechanisms and channels available to them, and plan on using a mix of them in an emergency.

- Public information management was found to be on the upswing across the country – borne out in relatively national high scores – and in fact, is becoming a real strength in many areas.

BEST PRACTICE

- There is a Group-wide Public Information Management plan that outlines principles, strategies, and processes for public information management in the Group.

- The Coordinating Executive Group ensures an acceptable level of public information management expertise is retained to ensure consistent, accurate, and informed public information.

- Public information management is multi-agency and includes all partner agencies.

- The pool of public information managers meets regularly and undertakes specific CDEM activities including training, planning, preparedness, and exercising.

- The Group Public Information Manager takes a leadership role and coordinates and promotes CDEM activities amongst public information management officers in the Group.

- Public information managers are prepared at home, and are early in the notification list when a new event occurs.

- Public information managers have established relationships with the media prior to an emergency.

- There are pre-prepared templates for media and key messages.

- Separate public information management resource is identified for delivery of messages to the community, (push) and eliciting information from the community (pull), i.e., community engagement in emergencies.

- There is cognisance of the importance of using local politicians as part of the public information management process.

CASE STUDY

Public Education and Public Information Management in Hawkes Bay CDEM Group
Drew Broadley, Community Engagement & Communications Manager, HB Regional Council

Good information, consistent messages and strong relationships are the foundation for community engagement and education in Hawke's Bay. The CDEM Group has worked closely with Hawke's Bay Regional Council communication staff since 2008 to deliver a number of initiatives in support of clear consistent messages and strong relationships.

The CDEM Group has good, open interaction between its management layers from the Coordinating Executive Group to Emergency Management Officers and staff. It endeavours to share resources and work together to maximise CDEM awareness and preparedness throughout the region.

There are a number of local activities which have worked well for the CDEM Group in Hawke's Bay:

1. **InterComm** – the Hawke's Bay Inter-agency Communications Group
    InterComm comprises city, District and Regional Council, Police, Fire, Ambulance, DHB, MSD and utilities (electricity) communication staff, who meet twice each year to workshop and discuss emergency management issues. Current and continuing interaction is a valuable factor, particularly as staff changes occur. InterComm have also delivered useful documents to assist with local public information processes and messaging (see 2 and 3).

2. **Critical Incident Plan** – for inter-agency communications
    Developed in March 2010 and recently reviewed, this plan provides a simple and effective guide to consistent communication for a critical incident in Hawke's Bay. It was developed as a quick lead-in for new staff tasked in communication or a person who is unfamiliar with this area of work, to enable them to add value quickly within an emergency situation.

3. **Media Messages** – for broadcast during an emergency
    Following the release of *Working From The Same Page: Consistent Messages For CDEM* (MCDEM 2010), the InterComm reviewed existing Hawke's Bay media release templates and developed a regional Media Messages document, for use in particular by radio and print media immediately following a significant event.

4. **Go Bag** – for Hawke's Bay B CDEM Group
    The Hawke's Bay Public Information team each carry a 4GB flash drive containing media messages, contacts, logos, templates, checklists and support processes, in the event of a major emergency. Each PIM carries the Go Bag on a key ring.

5. **The Shortest Ever Disaster Movie**
    Hawke's Bay ran a movie-making competition in 2011 targeted at schools in the region. This was timed to conclude around Get Ready Week. The group received seven high-quality entries from primary and secondary schools. This successful initiative has received positive exposure, good regional support and will be held again in 2013.

6. **Resource Coordination**
    The group works with MCDEM and other councils to provide a consistent approach for brochures, posters, other design needs and events.
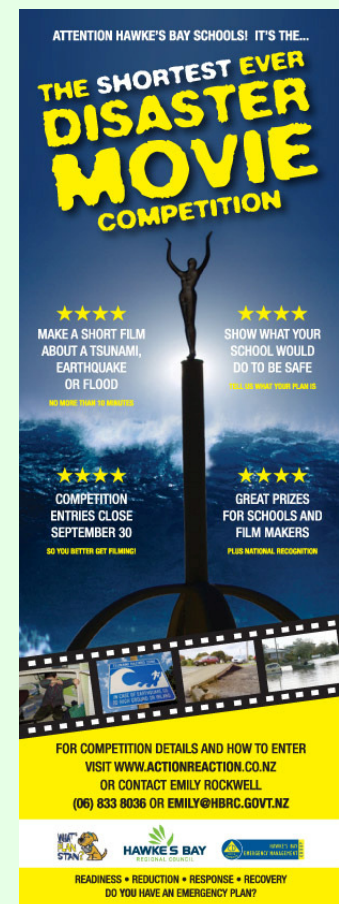
3 Building Community Resilience

Preparedness Message

Highest 92.5%		Natl Avg 72.7%		Lowest 32.5%	
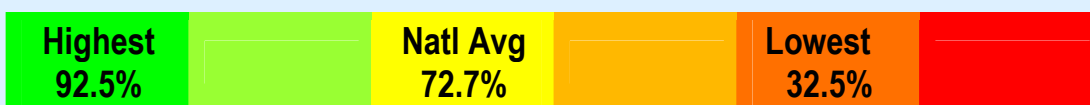
Goal 1, Objective B, Key Performance Indicator 1: The preparedness message is disseminated using multiple methods

1	Organisation's website has a page on preparing for emergencies that is actively used to promote the preparedness message	80.0
2	Organisation disseminates regional and national publications (e.g. Get Ready Get Thru material, Household checklist, etc)	87.5
3	Organisation produces it's own public education publications (brochures, leaflets, etc)	70.0
4	Organisation takes advantage of current events/issues to promote the preparedness message ('free promotional opportunities')	66.3
5	Organisation has used print advertising in the last year	67.5
6	Organisation has used radio advertising in the last year	62.7
7	Organisation has used other methodologies for disseminating the preparedness message	78.8
8	Organisation builds on regional or national initiatives as an opportunity to add their preparedness message	69.3
		72.7

Support to Community Activities

Highest 100.0%		Natl Avg 63.0%		Lowest 31.2%	
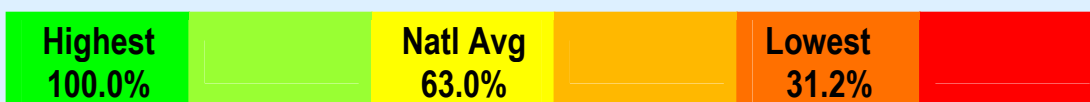
Goal 1, Objective C, Key Performance Indicator 2: Community organisations' CDEM initiatives are supported and encouraged

1	Organisation gives advice on civil defence preparedness or business continuity management to organisations	57.5
2	Organisation gives advice on civil defence preparedness or business continuity management to private businesses	47.1
3	Organisation undertakes specific activities aimed at hazard/risk awareness in schools	55.0
4	Organisation provides resources for community-level civil defence/preparedness activities	65.0
5	Organisation provides other support for community-level groups (e.g. arranges or undertakes speaking opportunities, face-to-face meetings etc)	72.5
6	Organisation proactively undertakes specific activities with 'vulnerable communities' identified in hazard/risk assessment (e.g. tsunami or flood-prone areas)	68.8
		63.0

RESULTS

DISCUSSION

- It is increasingly recognised that building community resilience means a lot more than public education and conveying information about hazards, risks, and preparedness. CDEM's contribution to increasing community resilience is about more thorough forms of community engagement, including participating in community events, facilitating community response planning, and generally encouraging community-led action, networks, and independence.

- Most interviewees could talk in general terms about the perceived level of resilience of their communities. It is clear, however, that there is minimal research or measuring of resilience (short of questions on awareness and preparedness in council surveys), and therefore no tracking of progress. This is a 'mature' concept in CDEM, and one that is yet to be fully developed at any level.

- Provincial and rural communities were generally believed to be 'more resilient' due to their closer community links and relationships, their relative lack of reliance on products and services, and their day-to-day need to be self-sufficient for longer periods of time. Urban populations, conversely, do not have such tight-knit community structures, are more transitional, and rely more on just-in-time products and services, making them vulnerable when those products and services are not available.

- Most local authorities have made an attempt to identify their vulnerable communities; these tend to focus more on geographic isolation and vulnerability, while other forms of vulnerability (e.g. social, cultural, special needs, seasonal workers, and tourists) have received less attention. Even where vulnerable populations have been identified, there is often minimal planning in place to engage with and assist these groups.

- At least three councils are known to have researched and documented not just their vulnerable groups, but all known vulnerable individuals within their area. They have engaged with all associated support organisations, and also had plans to contact these people in the event of an emergency. This should be an aim of councils, but clearly becomes an impossible task to undertake and manage in some of the larger urban areas.

- If public education is difficult to resource, this type of in-depth community engagement is even more so. Facilitating community response planning is a particularly time consuming undertaking that is hard for most to sustain, and near-impossible for some of the smaller councils. Most forms of community engagement are not about a single visit or action, they require sustained effort and regular maintenance in order to be effective and achieve outcomes.

- If community response planning is truly an aim of a Group, there may be a need to analyse resourcing, and examine cost-effective and burden-sharing arrangements in order to get the outcomes desired. Opportunities may exist to take advantage of projects delivered by other (non-CDEM) parts of local authorities that use community engagement as a vehicle. Potentially this could stretch to other community partners, the health sector, emergency services, non-government, and/or community organisations. This would reflect a more efficient and integrated approach allowing local authorities to achieve greater outcomes for the expenditure of their resource.

BEST PRACTICE

- Know your communities through statistical data, risk analysis and community surveys.
- Find community leaders and local champions.
- Undertake community education and preparedness activities, especially response (and other) planning.
- Allow the community to lead. Facilitate and encourage community ownership and leadership.
- Embed activities in community, preferably in conjunction with existing community structures or services, e.g. community policing or church groups, to ensure long-term sustainability.
- Allow for integration of community-led action in response situations (both planned and spontaneous action) and provide a mechanism to integrate that into Emergency Operations Centres.

Community Response Planning in Northland CDEM Group
Graeme MacDonald, Manager Group Emergency Management Office

In developing our first Group Plan in 2004, the Northland CDEM Group identified a goal of "Resilient Communities together", with four supporting objectives. Prior to developing the aim and objectives a comprehensive gap analysis was carried out across the region's CDEM arrangements. During this process significant shortcomings were identified in the arrangements that were in place for preparing for and responding to emergency events in Northland.

Community Response Plans were seen as an effective and efficient means of ensuring that at-risk communities in Northland had the capacity and capability to respond to any future emergency event. They also ensure a link between the community covered by the plan and the local authority's CDEM arrangements.

The focus has been on developing plans in coastal areas, although plans have focused on an all hazards approach, including communities such as Kaeo which suffers regular flooding. The process of developing plans has also been refined and now incorporates tsunami inundation maps and evacuation routes and tsunami alerting systems.

Community Response Plans have been a high ranking priority project undertaken by the Northland CDEM Group since 2004. Although the initial uptake in engaging with communities to develop plans was slow, momentum has increased over the past 3 years. 45 communities now have plans completed. Both contractors and CDEM personnel have been used to facilitate plan development with funding from the Resilience Fund in the past year assisting with plans for 12 communities.
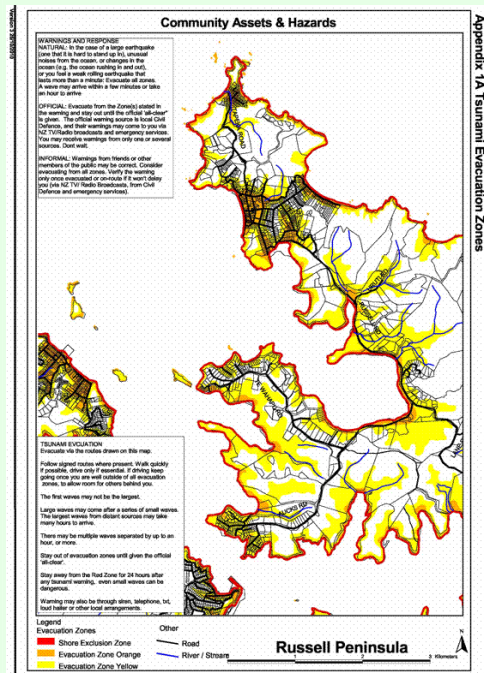
Amongst the real achievements has been the level of community engagement and cooperation. The Russell community's internet website http://russellcivildefence.org/ is a reflection of the commitment and engagement with the civil defence sector. The level of engagement from community leaders has been outstanding across the region and the true value of the Community Response Plans has been demonstrated with activations during recent tsunami alerts. There is now confidence that there are strong links and arrangements in place to communicate with communities when emergency events occur.

Recently the concept of Community Response Plans has been taken up by the local tourism sector that has identified a need to become involved in a similar process. Engagement with tourism sector is now well underway with a Visitor Action Plan template being developed and project plan being drafted.

We have found that community-based planning is a valuable tool to promote community resilience and individual preparedness. The process can take some time but the ongoing benefits, both for the community and for the local and regional authorities, far outweigh the costs. As we engage with communities in developing their own response plans, and involve them with risk reduction and readiness activities, we are enabling them to determine their own responses and path to community resilience.

4 Volunteer Management

RESULTS

Goal 1, Objective C, Key Performance Indicator 1: Volunteer participation in CDEM is supported and encouraged

1	Organisation has analysed its need for volunteer groups and individuals	57.5
2	Clear roles and responsibilities have been identified for volunteer groups and individuals	56.3
3	There are service level agreements in place with any volunteer group that fulfils a regular CDEM role	50.0
4	Organisation has policies and procedures for managing volunteers	44.0
5	Organisation has a structured training programme for volunteers	52.5
6	Organisation has enough volunteers to fulfil identified needs	40.0
7	Volunteer groups and individuals are effective when responding to CDEM events	64.0
		52.5

DISCUSSION

- Volunteers are used extensively in CDEM, most often in the welfare space, but also in response teams, community groups and sector posts, and sometimes in Emergency Operations Centres (over and above council staff). There are also 'spontaneous volunteers' who are members of the public who offer to help in the event of an emergency. Many councils and Groups acknowledged that during a sizable emergency, their volunteer force would be essential.

- With the increasing professionalisation of CDEM, there are also higher expectations of volunteers, but these do not often seem to be matched by the way in which we manage volunteers.

- If we are asking volunteers to act as professionals, they require support – in the form of resources, training, and organisational structures – to do so. Often these are lacking, and this risks disorganisation and/or a gradual attrition of volunteer numbers as individuals lose interest and patience.

- Volunteers need management processes and structures in order to treat them fairly, and for them to be put to best use. The most successful volunteer forces are those that have an organisational structure to work to, get regular contact with authorities, undertake some form of regular training throughout the year, and are given a modicum of resources to be able to do the job.

- Recruitment of new volunteers is also usually somewhat ad-hoc. It is rarely systematically planned or managed. Most Groups would benefit from a strategic review of their volunteer needs, an analysis of the roles, responsibilities, capabilities and capacities required, and having a planned approach to the recruitment and retention of volunteers.

- Few organisations had plans for dealing with large numbers of spontaneous volunteers. The Christchurch earthquake and Rena grounding events have shown that sectors of the population have a strong desire to help and be involved in emergency response. Having plans for dealing with these groups would greatly facilitate community participation in response, meet community expectations, save time on the day, and put volunteers to best use.

- These two events notwithstanding, interviewees reported a general decline in the level of volunteerism over recent years. Treating volunteers well will certainly help to an extent, but it is felt that this is likely to be a nationwide trend and issue, requiring national leadership and assistance.

- Define your requirement for volunteers, including roles, responsibilities, and skillsets.
- Have a strategy to ensure the recruitment, training, and retention of volunteers.
- Plan for spontaneous volunteer management.
- Research national, regional, and other local initiatives, resources and support mechanisms with regard to volunteering to learn from and adopt if required.
- Have a mechanism to regularly communicate with volunteers during readiness and emergencies.
- Consider ways to recognise volunteers to ensure continual buy-in.
- Identify mechanisms and capability to manage volunteer engagement projects during emergencies.
- Have a plan for the management of donated items (for use by volunteer effort).
- Consider the role of volunteers in the transition to recovery.

CASE STUDY 1

Volunteer Management in Waitaki District Council
Chris Raine, Emergency Services Manager

Community volunteerism has developed across the Waitaki District by hosting public community meetings and engaging in discussion with interested members of the community. It was observed that most people often had personal and altruistic reasons to participate and when being made aware of the challenges of keeping a community safe, became even more determined to assist in any way they could.

Three years later we now manage 21 sector posts. Working and communicating regularly with each community has significantly increased recruitment and retention of volunteers. Volunteer numbers are still climbing with over 100 volunteers in March 2012. Recruitment averages 30-40 per year.

Each year a training plan is developed and sent to all volunteers so that they know when, where and what they will be doing. This encourages attendance and enthusiasm. I encourage regular contact within the CD framework and have coordinator meetings and other meetings as deemed necessary by volunteers. Volunteers are not left to find their way in the wilderness.

The Waitaki CD arrangements are simply designed to allow the community to identify issues and come up with solutions particular to their community, supported with our knowledge and assistance. Our relationship with volunteers also gives them the tools and training to allow them to assist other more vulnerable community members, and provides them with predetermined locatable resources.

In return, Waitaki District asks that volunteers and their group can do five key tasks, namely: reconnaissance (soon to be upgraded to Rapid Impact Assessment), determine whether to safely evacuate or remain in situ, First Aid (as necessary), activate a welfare centre (with ability to register displaced community members), and operate a local EOC (as determined by local resources and functional tasks that require completion).

Each CD volunteer is supported and encouraged to obtain recognised First Aid qualifications, are issued with torches, individual First Aid Kits, safety vests, portable radios, and pre-printed stationery to complete reconnaissance or local operations centre work. The council provides statistical information and GIS hazard maps to attach to the community plan, which supports the fact finding information for the volunteers, and then finally prints the plan. Involving local communities in developing their own readiness and response plans has demonstrated positive spinoffs.

How do we treat volunteers? We value and respect our volunteers. We recognize their limitations, their strengths, and their family. Be enthusiastic with them and care for them, recognize and reward them. Volunteers can and do burn out.

Retention is encouraged by providing volunteers with recognition of their worth, supplying them with the tools to do their job, social interaction with like-minded people, generous encouragement with paid-for training, benefits that are aligned with paid staff at the council and their abilities and values are recognised and utilised. People like to be recognised for their worth, even if they don't admit it.

CASE STUDY 2

Community Response Structure in Gisborne CDEM Group
Richard Steele, Emergency Manager

To manage its response the Gisborne Group has a volunteer community response structure called Community Link. About 80% of volunteers have been with the organisation for 20 years or more. To enable communities to manage themselves the Group Emergency Operations Centre (GEOC) needs to support them, and be structured accordingly. The basic principals of Community Link are: 'Keep it simple', 'Owning it is best', and 'Don't over train'.

To cover the district the community link consists of around 330 volunteers, selected by head hunting specific skill sets, those that 'stick their heads up' in emergencies, and those that attend community meetings and are deemed suitable. Ideally you need people who don't mind a bit of pressure and display some leadership skills, are totally committed to the concept of being a team, have a variety of life skills, have their egos under control, don't join to get medals, and are comfortable with having a basic understanding of their role and don't need continual training.

The whole district is divided into 43 'Communities', based on communities of interest, geographical features, and population. Communities are then grouped into 'Areas' based on same criteria as above.
Each Community has a Community Emergency Manager (CEM), a team of wardens and rural communities have a welfare team. They provide the leadership in their communities and co-ordinate support to those that can't look after themselves.

Each Area has an Area Coordinator and a headquarters team capable of coordinating the needs of their group of communities. They coordinate the needs of their communities with the resources available to them in their respective area. Each community group is encouraged to have a team meeting once a year and we do a newsletter twice a year.

Both Area Coordinators and CEM have a standard operating procedure that outlines their function and role, plus some other info about CDEM. These documents form the basis of their training and once they are familiar with it, apart from the occasional exercise and yearly get together, that's all that is required (although we do hold some training for the Area HQs staff every couple of years). Many of them are also activated on regular basis to manage events.

Every community has a designated headquarters, usually a school, so the need for resources for managing events is minimal. Every community has at least 1 VHF radio and the Area HQs also have data over radio capabilities (although email is generally used as the first means of communicating). Each area has its own VHF repeater network plus access to the District wide network.

The structure of the GEOC is critical in allowing communities to manage themselves. Under the operations component there are positions called Area Managers. These entities are responsible for a specific area and receive every incoming message about that group of communities. They are then responsible for ensuring any actions/tasking that the message requires. They are also responsible for generating any outgoing information to their respective areas. In reality they 'own' them. The rest of the GEOC is structured to support the Area Managers and the Welfare Operations team in this role. The Controller's key requirement from Areas, to allow this level of self-management, is a regular SITREP so he can see that they are coping and have a good understanding of the impacts of the event.

All levels of the community link work in close partnerships with any emergency services in their 'patch'. If they don't have any then they just get on and manage by themselves or if necessary we manage the deployment of some resource through the GEOC.

5 Integrated Planning

RESULTS

Integrated of CDEM Planning

	Highest 82.5%	Natl Avg 57.2%	Lowest 20.0%	

Goal 1, Objective D, Key Performance Indicator 3: CDEM planning is integrated with other community-focused planning

1	Hazard risk mgt is a demonstrated part of the (local govt) community outcome process	67.5
2	Hazard risk mgt is a demonstrated part of the LTCCP process	67.5
3	CDEM goals, and the means by which the local hazards and riskscape may influence other community goals, are recognised in the LTCCP	60.0
4	LTCCP identifies vulnerable communities (location, demography, socio-economic, etc)	45.0
5	CDEM has effective linkages with the regional policy and plan development processes	56.0
6	CDEM has effective linkages with district plan processes	57.5
7	CDEM Group Plan is reflected in organisation's wider strategic plan and critical service delivery processes	53.8
8	Degree to which you are satisfied that hazard risk management and CDEM goals are well integrated into council(s) business	48.8
		57.2

Coordination of Risk

	Highest 80.0%	Natl Avg 56.4%	Lowest 36.0%	

Goal 2, Objective B, Key Performance Indicator 5: Approach to risk is coordinated within the wider organisation, and between organisations

1	Degree to which you believe there is an integrated, holistic approach to risk taken across the wider organisation (e.g. council, Group, department)	53.8
2	Degree to which hazard, vulnerability and risk information is used to inform policy, planning and regulatory processes	56.3
3	Engagement and partnerships with non-government, civil, and private sector agencies on hazard risk management has been fostered	63.8
4	Organisation identifies (and communicates) consequences of hazards and risks that they are not able to manage themselves (e.g., informs the CDEM Group, MCDEM, or other partner agencies, as relevant)	58.8
5	Cross-boundary risks are described with a view to regional cooperation on risk reduction	48.0
		56.4

DISCUSSION

- 'Integrated planning' is used to denote the integration of CDEM planning with other council and community-facing planning (e.g. Long Term Plans, Resource Management Act policy statements and plans, other urban development and spatial strategies, asset management plans, etc.) and is an indication of how well CDEM goals, principles and philosophies are aligned with other council business, and thus how systemic and holistic CDEM is in an organisation.

- Integrated planning is particularly important for a coordinated approach to the 4Rs of emergency management. Emergency Management Officers (and others charged with leading CDEM) can only contribute to some of the 4Rs; other parts of council lead other aspects (e.g. hazard and risk analysis, land-use management, risk reduction, community development, etc.), and it is imperative that these processes are coordinated in order to achieve the best outcomes for communities.

- Feedback suggests there are varying degrees of integration of planning across the country. Smaller councils and unitary authorities find it easier to ensure good coordination between different aspects of council, although this is by no means uniform. Some larger councils have made a concerted effort to align CDEM-related functions, but in others there is sparse evidence of collaboration, and further, not even any recognition that some other aspects of council business are 'CDEM-related'. This is missing a significant opportunity.

- CDEM usually has good links (although often only informal) with council hazard planners, but less so with land-use planners, and only in rare cases do they get to participate in either the consents process or asset planning, where there is a very real and direct way to reduce future risks.

- There are a lot of aspects of council core business that contribute to CDEM principles and goals (or are functions that emergency management practitioners would consider 'CDEM-related'), but most are not recognised this way, and thus opportunities are being missed to build on others' knowledge and expertise, identify and reduce risks, and work in a collaborative and effective manner. Improving this situation should be a major aim for future CDEM.

- **See also** Part 1, Theme 2: Integrating Emergency Management in Councils

BEST PRACTICE

- **Coordinating Executive Group** leadership should actively encourage and support member councils and partner agencies to undertake coordinated management of hazard risks, such that comprehensive emergency management is 'mainstreamed' across all activities.

- Individual **local authorities** should ensure that:
  - CDEM Group Plan goals and objectives are reflected in their own strategic documents (e.g. Annual Plan, Long Term Plan) in a meaningful and explicit way.
  - CDEM Group Plan goals and objectives (and community outcomes) are contextualised for a range of council functions, so that all are contributing to the overall vision and outcomes sought.
  - There is a good understanding of the council functions that contribute to hazard risk management and comprehensive emergency management.
  - There is a good understanding of the wider risk management framework and process, including all risk-related planning instruments.
  - Council functions are encouraged and enabled to work together on matters of hazard risk management and emergency management.
  - Any new projects or workstreams strategically identify their key partners and stakeholders in order to maximise outcomes.

Integrated Planning in Nelson-Tasman CDEM Group
Roger Ball, Executive Manager Community Services – Nelson City Council

The CDEM Group's planning function is driven by the staff of the Emergency Management Office but supported by staff from the two Councils (Nelson City and Tasman District). Broadly speaking, planning takes place at three levels described below.

Strategic Planning
This consists of the five yearly CDEM Group Plan cycle. In Nelson Tasman the approach taken for the last two plans has been to undertake a risk profile workshop using specialist Council staff and then to feed this into a first draft of the plan, utilising a consultant as the writer. The subsequent document was then fed through the Group's committee structure (described below) before being publicly consulted on. The most recent plan incorporated outcomes from the MCDEM Monitoring and Evaluation Review.

The CDEM Plan then becomes the basis of input into other significant Council planning cycles, notably the Long Term Plan and Annual Plan processes.

Management Planning
The CDEM Group had a five year work programme as part its first CDEM Plan (2005) and this will need to be updated with the completion in 2012 of the next CDEM Group Plan. An annual business plan produced by the Emergency Management Office provides more specific guidance to staff on their goals for the year.

Operational Planning
At an operational level there are various plans and Standard Operating Procedures that guide the CDEM Group's staff in the response phase in particular. In recent years the growth in Community Response Planning has been a notable development, involving emergency services, Welfare-related agencies and staff from government departments at a local level. The development of a plan for Golden Bay, for example, provided the basis for response to major floods in 2010 and 2011. Local exercises held in locations such as St Arnaud and Murchison under their new community plans were the first civil defence exercises held in those places for decades.

Current Issues
Among the challenges that arise in the planning area is the difficulty in ensuring that CDEM planning truly is integrated with other Council activity, bearing in mind the fact that the CDEM and RMA frameworks (for example) sit so separately. A further challenge has been meeting public expectations. The success of the model around Community Response Planning, and greater interest in civil defence resulting from recent earthquakes and tsunami responses, has provided excellent opportunities to engage with the public, however it has not always been possible to meet raised expectations.

6 CDEM Research

RESULTS

	Highest 76.7%	Natl Avg 62.3%	Lowest 44.2%		
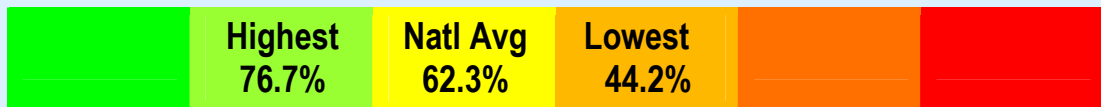
Goal 2, Objective A: Improve the coordination, promotion and accessibility of CDEM research

1	CDEM research is undertaken	63.1
2	CDEM research is assessed and analysed	73.3
3	CDEM research is applied	59.8
4	Technical advisory groups are utilised	58.1
		62.3

Note: these results represent the 'objective' rather than 'performance indicator' level

DISCUSSION

- CDEM research is taken to mean any research that is commissioned or used to inform CDEM planning and practice, including hazard research, social science, and emergency management practice. It also includes the use of advisory groups to directly inform CDEM activities.

- There is an abundance of natural hazards research undertaken and disseminated in New Zealand. The main issue for CDEM practitioners is their ability to analyse this research and translate it into useful advice, public education material, or for use as a planning basis. In most cases, emergency management practitioners will need help with this, and this is where it is important to have a good hazard analysis function (whether through council hazard planners, advisory groups, or close links with scientific advisors) available to them.

- Most CDEM Groups have a good evidence-based understanding of the hazards in their region, and in general the second generation CDEM Group plans have comprehensive hazard profiles, together with risk assessments, prioritisation, and management options.

- Social science is given less attention, although there is a growing recognition of the need to consider social vulnerabilities and human behaviours when undertaking response and recovery planning, and considering public education activities.

- The scientific advisory group concept is used to particularly good effect in the volcanic hazard arena, where the Auckland, Central Plateau, Taranaki, and (newly-formed) Caldera advisory groups meet regularly to discuss the latest scientific research, and the emergency management and communications approach to managing these hazards. These are multi-agency fora that generate discussion across a broad range of issues, and allow coordinated and integrated planning.

- The Wellington region additionally utilises the 'It's Our Fault' research forum to inform earthquake-related planning. This forum has been particularly effective in generating new research on the earthquake risk.

- Other CDEM Groups have generic natural hazards research platforms or groups, and these are generally utilised to good effect to analyse the latest relevant research, and provide feedback into CDEM and council planning circles.

- Another key source of information about a region's risks and vulnerabilities is usually provided by Lifelines Groups, which often have an explicit objective to support organisations in their efforts to identify and mitigate the effects of hazards.

- CDEM research and knowledge needs are identified and prioritised as part of Group planning processes.

- Research areas should cover improved understanding of local hazards, risks, emergency management practices (across the 4Rs) and relevant vulnerability and resilience factors within local communities across the four environments (natural, social, economic, and built)

- Research underpinning approaches to CDEM and related activities is readily available and effectively communicated to the public and partner agencies

- Research/new knowledge is consistently applied to policy development and practice

- Group members are actively involved in national strategic and local government collective research processes (e.g. Regional Council Research Strategy, Natural Hazards Research Platform, science/technical advisory groups)

CASE STUDY

CDEM Research in Hawkes Bay CDEM Group
Lisa Pearse, Emergency Management Coordinator Hazards, HB Regional Council

The Hawke's Bay Group considers hazard identification and risk assessment to be the essential steps in reducing the impacts of hazards on communities by providing robust information in CDEM and other local authority planning processes.

Hawke's Bay Group was well informed about its hazards when it was formed in 2003, as in a joint initiative in the 1990s local authorities undertook a programme of identifying and quantifying the more significant regional hazards, including earthquakes, tsunami and volcanic hazards. It has since established following initiatives around hazard risk management:

- A **10 Year Hazards Research Plan** to fund the necessary research to continue to advance understanding of each significant hazard as determined by the Council Long Term Plan, Regional Resource Management Plan, and CDEM Group Plan. The Group aims to commission at least one new research project each year. This plan is reviewed every 5 years and has proved very useful in partnering with the science and research community.

- Established an **online hazard database** (bibliographic resource) for hazard research, and continues to work to identify sources of hazards and ensure this information is collected, sorted, recorded, and stored in a relevant manner.

- Actively encourages **best practice on hazard avoidance and mitigation** by ensuring territorial authorities and professionals involved in land-use planning decision making, and lifeline utilities are informed of relevant hazards and risks. The challenge is presenting information in terms that are useful for decision-makers, so they can identify ways of minimising or avoiding hazard impacts. This has included hosting workshops, surveys, and advocating for improvements in risk management, e.g. a biennial email survey of all territorial authorities and planning professionals aims to determine the satisfaction with the quality, format and relevance of hazard information supplied and available.

- Actively reporting on the causes and consequences of hazards events in the Hawke's Bay region, using the national template for **Consistent Hazard Event Reporting,** which is proving valuable for providing detailed data for scientific research, and providing a record of hazard impacts. This allows a database of hazard impacts to be developed and integrated for future decision-making.

7 Hazard Risk Management

Identification of Hazards

	Highest 80.0%	Natl Avg 64.8%	Lowest 46.7%		
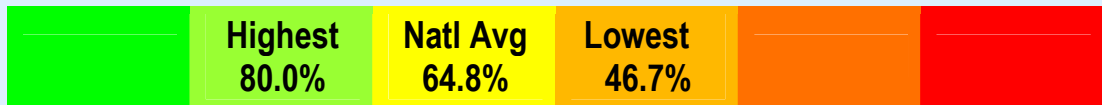
Goal 2, Objective B, Key Performance Indicator 1: Hazards, vulnerabilities and risks are identified and documented

1	Organisation has documented descriptions of the natural, social, built and economic environments of their jurisdiction or area of responsibility (e.g. region, district), including any trends and forecasts of how those environments may change in the future	68.1
2	All hazards potentially impacting the jurisdiction are described and understood, including a characterisation of the consequences and likelihood of risks associated with them	68.8
3	Vulnerabilities within the jurisdiction are described and understood (to communities, infrastructure, services etc), including any trends and forecasts of how these vulnerabilities might change over time	57.5
		64.8

Hazard Monitoring

		Highest 75.0%	Natl Avg 58.3%	Lowest 40.0%	
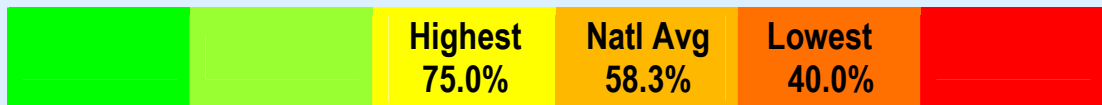
Goal 2, Objective B, Key Performance Indicator 4: Hazards, vulnerabilities and risks are monitored on an ongoing basis

1	Hazard monitoring systems are effective in providing early warning of changes in the environment that may lead to new hazards or changes the level of risk associated with existing hazards.	68.8
2	Risk assessments are regularly reviewed and updated to reflect changes to hazards and risks.	58.8
3	Shifts in communities' vulnerability to, perceptions of, and attitudes towards hazards and risk are evaluated as part of risk management reviews.	45.3
4	Hazard events and their impacts are researched and evaluated. Results are used to improve resilience.	60.0
		58.3

- Effective risk management requires that all CDEM Group members identify and acknowledge the roles and responsibilities they each have for hazard risk management, both in CDEM and in business-as-usual functions (outside of what might be considered conventional CDEM activities).

- Integrated hazard risk management is greatly facilitated where there is a proactive regional council that works in a collaborative manner. This was found to apply to a majority of, but by no means all, regional councils.

- Regional Policy Statements are an important tool for 'setting the scene' for comprehensive hazard risk management. As these documents are reviewed, it is important to ensure that hazard risk management is given adequate treatment. Not all currently provide that comprehensive platform for action, and given the longevity of the documents, it is vital for CDEM to have input (or at least provide feedback) when they are reviewed.

- Most regions appear to have a good evidence-based understanding of the hazards in their region, either through regional council-commissioned research, or via independent scientific research. CDEM Group plans all include a risk assessment and prioritisation, and in general, the hazard assessment side of hazard risk management is satisfactory.

- The more difficult question is whether this understanding of the hazardscape is being translated into effective hazard risk management and progress on risk reduction initiatives.

- Most regional councils now have advanced hazard monitoring systems, particularly in the area of river management, where rainfall, river level monitoring, telemetry and flood warning systems are the norm. CDEM authorities usually have good linkages with the MetService and GeoNet/GNS Science for other hazards, and there is confidence by almost all interviewees that hazards in their region are being monitored, and they will get early warning of unfolding events (where it is possible).

- Some councils maintain hazard databases. It would be beneficial for this to be a more widespread practice, and for databases to be publicly available (e.g. on council websites) in digestible, suitable-for-the-public formats (e.g. in configurable maps or historical event listings).

- Hazard information is usually included on Land Information Memoranda, but generally this relates to flooding hazards, and it would be useful to see councils expanding this to include other hazards in the future.

- Opinions varied around the integration of hazard risk management in Long Term Plans and other statutory and non-statutory planning processes. In general hazard risk management remains a relatively 'purist' discipline, and there are only limited examples of aligning hazard risk management with broader community goals.

- Community consultation on matters of hazard risk does occur, but usually only within the confines of specific engineering proposals.

- There has been relatively little attempt to directly engage communities on matters of 'acceptable risk', a concept central to hazard risk management in a CDEM/community-focused context (CDEM Act 2002, s3(b)). Communities that are aware of and understand the risks from hazards are better able to make decisions regarding the acceptability of the risks they face. While communities are being well informed about the hazards and risks they face in their local environment, rarely are they involved in the next level of discussion, the question of the acceptability of those risks, and the cost-benefit of mitigation options.

- Hazard risk management should not only be about natural hazards management. A goal of CDEM Groups should be to forge closer links not only with council hazard planners, but with risk managers in partner agencies (i.e. emergency services and lifeline utilities), and to reach out to the various science advisory groups to enable integration of hazards planning with CDEM planning, and a truly all-hazards approach. If all of these elements can be linked effectively, it will make for a powerful platform for hazard risk management in a CDEM context.

- The all hazards/all risks principle is applied to comprehensive emergency management consistently within the area.
- Hazard risk and vulnerability information is readily accessible across councils via shared databases.
- Hazard risk information is conveyed to partner organisations and communities in ways that aid their determining of acceptable levels of risk, and sustainable management options.
- Agreed methodologies are applied to hazard risk assessment and for establishing priorities for and preferred means of hazard risk management.
- There are explicit conversations with communities about 'acceptable risk'.
- Monitoring and modelling is undertaken to enable changes in risks and vulnerabilities over time to be identified.
- Hazard events and their impacts are documented and evaluated and the results used to improve resilience.
- CDEM Groups should have a regional hazard risk management forum to:
  - Coordinate and integrate planning and strategy development for hazard risk reduction across all members' activities.
  - Coordinate hazard risk research (across jurisdictional boundaries) so that information gathering is more effective and efficient.
  - Share hazard-risk information among Group members and partners in support of shared responsibility for risk management.
  - Develop strategies for communication of risk with partners and communities.

Hazard Risk Management in Horizons Regional Council
**Shane Bayley, Group Emergency Management Officer**

The functions of the Emergency Management Office at Horizons Regional Council is one of the factors that influences our approach to hazard risk management. The portfolio of the office includes Horizons response capability, funding of flood plain mapping and flood forecasting projects, purchasing of hydrology services for flood warnings and integration of that data for reduction and response outputs.

One of the senior roles at Horizons Regional Council is Manager District Liaison. This position reviews development and planning enquiries and brings together the consents, operations, planning and emergency management issues. Consistent advice on known hazards and development constraints ensures professionalism in this service whether this is provided to territorial authorities or other agencies. Monthly cross-department meetings are held and recorded to ensure that new research and issues are address in a considered manner and agreed by the subject matter experts.

The CDEM Group benefits from the integrated approach taken at Horizons Regional Council as CDEM issues identified during the cross-department meetings can be addressed at the contingency plan level. A number of examples of this work for flood response have been developed in partnership with territorial authorities and response agencies.

8   Risk Reduction

RESULTS

	Highest 77.5%	Natl Avg 53.9%	Lowest 25.5%	
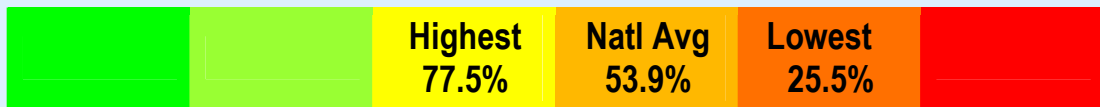
Goal 2, Objective C: Encourage all CDEM stakeholders to reduce the risks from hazards to acceptable levels

1	Guiding principles for risk reduction are established	50.0
2	Viable risk reduction options are identified and evaluated	55.9
3	Implementation of risk reduction programmes is inclusive, coordinated, and monitored for progress and effectiveness	46.6
4	Business, household and individual risk reduction is encouraged	62.5
		53.9

Note: these results represent the 'objective' rather than 'performance indicator' level

DISCUSSION

- Risk reduction (as with recovery) was generally found to be the 'poor cousin' of emergency management, and was one of the lowest scoring areas for most CDEM Groups.

- 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.

- Many of the biggest gains for hazard risk reduction occur outside of conventional CDEM functions, but are within other routine functions of local government CDEM Group members (such as Resource Management Act instruments, building control, asset management, community development, etc).

- In this regard, a particular priority for CDEM Groups should be improving linkages, coordination, and integration of policies, strategies and activities aimed at reducing risk, across the full range of member functions and services, as well as through statutory instruments such as district planning, land-use management, and Long Term Plans.

- CDEM has a role – particularly at the Joint Committee and Coordinating Executive Group levels – to advocate for risk reduction within their districts, especially where it is otherwise forgotten or given little priority.

- Only half of CDEM Groups have a risk reduction committee. Where they exist, they have proven useful for coordinating the risk reduction activities of member agencies, and/or have provided a platform for raising awareness about, and advocating for risk reduction.

- Councils seem more willing to address risk in some areas (e.g. flood management) than in others. The Earthquake Prone Building Policy, for example, was found to receive a wide variation in response and commitment from councils, with most putting it in the 'too hard' basket for the time being. While flood management is certainly a more 'year-in, year-out' risk for councils, the Christchurch earthquake has shown how crucial it is to address earthquake prone buildings, and it is hoped that this issue will get more serious attention and concerted effort in the future.

DISCUSSION (Contd)

- There are some examples of risk mitigation in council asset management. Most asset managers and Chief Executives will note, though, that there is not an open chequebook for this, and while it is possible to make incremental improvements to the resilience of their systems, it is usually prohibitively expensive to 'retrofit' systems or undertake extensive capital works aimed at reducing risk. New assets are generally built to appropriate engineering standards, and risk reduction is certainly considered more than it used to be.

- Risk reduction through land-use planning is also not as comprehensive as it should be. There are still examples of properties being built on flood plains or in other high-risk areas. Where this does occur, attempts must be made to reduce this kind of development or improve mitigation, if we are to reduce the hazard risk to communities.

- The most proactive councils have urban development strategies that incorporate hazard risk management as an integral component of the growth strategy. Risk reduction need not 'impede' development, but can be integrated into and enhance development. It is critical that hazards and risks, and risk reduction efforts, be considered in the planning phase in order for this to be a symbiotic – rather than a negative – relationship.

- 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.

BEST PRACTICE

- Economic costs and benefits of risk reduction are clearly established in developing and communicating options for avoiding and mitigating risks.

- Avoiding new risks, or adding to existing risks, are clearly considered in developing RMA policies and plans, and processing consents, for new development.

- Group members actively engage with their communities about unacceptable levels of existing risk, and adopt policies that support effective change. For example introducing an active Earthquake Prone Building Policy aimed at all buildings achieving a minimum of 2/3 of current building code standards if are to remain in use.

- Residual risks remaining after reduction measures are understood and, as far as practicable, readiness, response, and recovery arrangements are in place to address them.

9 Capability Development

Professional Development Strategy

		Highest 74.0%	Natl Avg 43.0%		Lowest 10.0%
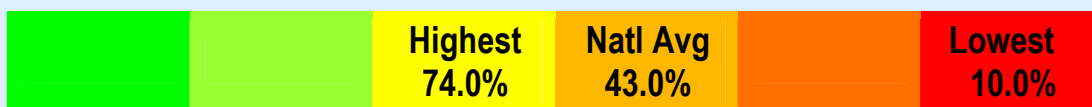
Goal 3, Objective A, Key Performance Indicator 1: Professional development strategy and programmes are developed according to organisational needs

1	Organisation has a professional development strategy based on organisational goals and objectives and aimed at improving CDEM knowledge and practice	51.3
2	Organisation has a specific budget allocated for professional development	56.3
3	A development needs analysis has been carried out to inform professional development programme requirements	31.3
4	Professional development programmes are developed to address identified needs [and are aligned with the CDEM Competency Framework]	40.0
5	Professional development programme is linked with, or has close association with organisation's exercise programme	40.0
		43.0

Professional Development Programmes

		Highest 72.5%	Natl Avg 57.0%	Lowest 37.5%	
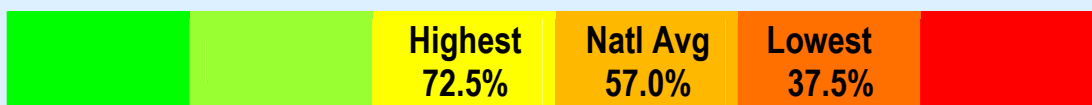
Goal 3, Objective A, Key Performance Indicator 2: Professional development programmes are comprehensively implemented and evaluated

1	Senior management demonstrates commitment to professional development programmes through allocation of resources and staff release time	61.3
2	Implementation of professional development programme activities is prioritised according to critical CDEM roles and functions	58.8
3	Partner organisations (e.g. Police, Fire, DHBs, councils) are included in the implementation of the professional development programme as required	55.0
4	Controllers and their alternates are trained and competent to meet current capability requirements	77.5
5	Percentage of CDEM staff in the organisation who are trained and competent	60.0
6	There is a process for monitoring gaps in individual/organisational capability	33.8
7	Professional development programmes are evaluated to ensure that they're effective in meeting the professional development strategy objectives and needs identified	41.3
8	Individual staff members are encouraged to develop personal and household/family preparedness plans	73.3
		57.0

- Capability development is the single biggest issue facing most Emergency Management Officers.

- The focus is most usually on in-house training of Emergency Operations Centre staff (generally council staff), where there is a constant struggle to maintain a team of willing, interested and trained personnel to staff 2-3 shifts of a response.

- This type of training, and maintaining a certain number of trained personnel, is often a key feature of Emergency Management Officers' performance measures, and – rightly or wrongly – the primary indicator by which the CDEM department is measured.

- Training is nearly always problematic for Emergency Management Officers, due to the time involved, the effort of providing new and engaging training programmes, the struggle with senior management and staff to get staff released for training, and the unwillingness of many staff to be involved.

- Emergency Management Officers are not necessarily 'trainers', either, meaning many are being asked to step outside their comfort zone.

- Where CDEM Groups have a training coordinator, the situation is usually immeasurably improved, with the ability to coordinate programmes and resources, share delivery responsibilities, reduce duplication, engage other partners, and ensure consistency and quality of training.

- Training is only one part of capability development, and there is a growing realisation that organisations need to look more thoroughly at the professional development of their staff, including anyone with a wider response role or responsibility (e.g. volunteers, key CDEM appointments, senior management, and elected representatives).

- Key CDEM appointments (e.g. Controllers, Recovery Managers, Welfare Managers, and PIM Managers) require particular attention in order for them to competently and confidently perform these roles in an emergency. These roles have significant responsibilities, and no-one should be asked to undertake them without the support of a comprehensive learning and development programme.

- There is a wide variation in how seriously CDEM Groups take capability development. Most take advantage of the MCDEM courses, but this should only be a start, and ideally similar courses and workshops (as well as other learning opportunities) would be provided at a regional level as well, in order that a wider group can be involved, and individuals get a chance to build relationships with and learn from their peers.

- Controllers were found to receive the most attention; Recovery Managers and Welfare Managers the least. This should be addressed as a matter of urgency given the responsibilities these roles have.

- Emergency Management Officers generally get good opportunities for development, via a number of different channels including conferences, workshops, courses, in-event experience in other districts or regions, and, increasingly, professional qualifications and emergency management degrees and diplomas. In fact, many interviewed observed an increasing 'professionalisation' of CDEM personnel that could be best described as the change from 'civil defence officers' to 'emergency management professionals'.

- Only half of CDEM Groups had a formal professional development strategy at the time of their assessment. A professional development strategy is crucial for a considered approach to analysing development needs, and developing programmes that are designed to meet those needs, are based on organisational goals and objectives, and aimed at improving CDEM knowledge and practice.

- Coordinating Executive Groups were found to have relatively little oversight of capability development, and capability levels within the Group. Most Groups were recommended to develop and implement mechanisms to address this, and it is thought that this is beginning to improve across the country.

- **Capability development** should be:
  - o Aligned with the outcomes of the *CDEM Competency Framework Technical Standard* [TS 02/09].
  - o Identified in the CDEM Group Plan goals.
  - o Directed by a professional development strategy that is integrated across the region and led by the Coordinating Executive Group.
- The professional development strategy should:
  - o Be region-wide and inclusive of all local authorities and partner agencies across the CDEM Group.
  - o Linked to capability development goals of Long Term council plans.
  - o State the levels of capability sought.
- The professional development strategy should be implemented through a structured annual development programme which is:
  - o Informed by comprehensive development needs analyses undertaken in accordance with *Development Needs Analysis. CDEM Best Practice Guide* [BPG 5/10].
  - o Supported by a pool of emergency response staff that understand the CDEM Group's expectations regarding participation, availability, frequency of attendance (training, emergencies and exercises) and performance.
- Capability levels should be monitored by the Coordinating Executive Group, through a mechanism that provides information on CDEM capability across a range of functions (e.g. EOC staff, Welfare, Lifelines, Response teams, Controllers, Recovery managers etc).

Capability Development in Waikato CDEM Group
Adam Munro, Programme Manager Regional Hazards & Emergency Management

The Waikato Group identified that capability development was needed to address both people and process issues. These are currently being addressed through multiple projects and initiatives.

Our **people** concerns surround all areas of professional development and staffing of our Group/Local Emergency Operations Centres with competent and trained personnel. The Integrated Training Project will identify training curriculum requirements across the board, establish minimum function staffing needs per Emergency Operations Centre and provide an implementation planning tool that is flexible enough to be easily adjusted for changes in council training budgets or priorities. In addition, the tool will provide training metrics for continuous monitoring and evaluation

We have addressed **process** development from two fronts - response efficiency and administrative excellence. A full-time dedicated Information Systems Coordinator has been employed to drive implementation, promotion and sustainment of EMIS for the entire Group. This will significantly enhance our response capabilities, drive standardisation and, where required, provide greater staffing resources through remote operations. This Coordinator will also facilitate tailored enhancements for localised needs, develop or research unique GIS applications and identify other supporting products that would optimise and ensure system relevance over time.

In the area of administrative excellence the Waikato Group Emergency Management Office has developed several new processes and administrative enhancements to ensure greater efficiency and capability. These include: reorganisation of Coordinating Executive Group subgroups and realignment of terms of reference across the board, creation of a more detailed, future proofed terms of reference for the Coordinating Executive Group, development of a Service Level Agreement between the Regional Council and the Coordinating Executive Group to address the intricacies of the employment relationship for the newly created full-time Group Controller/Manager position, and formulating a Controller Development Needs Analysis for both local and Group controllers.

10 Exercising

Effectiveness of Exercising

	Highest 82.2%	Natl Avg 69.2%	Lowest 42.2%		
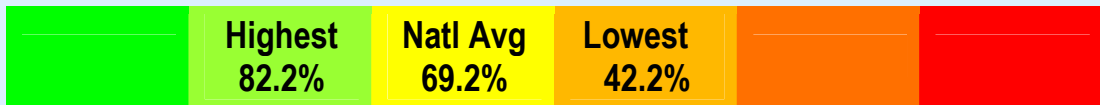
Goal 3, Objective A, Key Performance Indicator 3: Exercising is effective in improving capability

1	Organisation has an exercise plan or programme in place	70.0
2	Organisation has conducted a Tier 1 exercise (within an individual organisation) in the last year	88.0
3	Aims, objectives and functions of exercises are aligned with the wider development goals of the organisation or with the current CDEM work programme	63.8
4	Testing of critical standard operating procedures is regularly incorporated into exercising	70.0
5	Plans are exercised following development or significant revision	61.3
6	There is a formal process for identifying issues and opportunities for improvement arising from exercises/events	76.3
7	Organisation implements corrective action planning following exercises/events	73.8
8	Organisation implements corrective actions following exercises/events	65.3
9	Organisation monitors progress on corrective actions following exercises/events	55.0
		69.2

Integration of Exercises

Highest 100.0%	Natl Avg 83.3%	Lowest 63.0%			

Goal 3, Objective A, Key Performance Indicator 4: Exercising is integrated across organisations and levels

1	Planning for exercises is inclusive of all interested parties, organisations or groups	77.5
2	Organisation has participated in a Tier 2 (Group-wide) exercise in the last 2 years	93.8
3	Organisation has participated in a Tier 3 or 4 (inter-Group or national) exercise in the last 4 years	95.0
4	Organisation monitors any (generic) lessons learnt from national-level exercises	63.8
		83.3

RESULTS

- Exercise programmes provide opportunities to target specific outcomes and tie them to capability building and competence. They are useful for 'proving' plans and processes, practising procedures, and generally giving confidence in response arrangements. Exercises are especially important where regions or districts do not get regular practice at responding to events.

- 70% of organisations had an exercise programme in place. In some places these may be little more than an exercise schedule; in others they are more comprehensive, outlining a hierarchy of exercises and functions to be tested, describing aims and objectives, strategies, and providing alignment with other capability development activities.

- Most organisations run exercises as part of their Emergency Operations Centre training, and/or conduct other internal exercises; nearly all organisations had participated in a Group exercise in the last 2 years, and/or a national exercise in the last 4 years. This suggests organisations are getting good opportunities to interact with their local, regional, and national counterparts, and practice escalation of issues and receiving of support, where required.

- Exercises are usually quite inclusive in nature, and a range of agencies are involved in planning aims, objectives, and functions of exercises, as well as taking part on the day.

- Exercises are generally still seen as a 'major' undertaking, requiring a lot of thought, pre-planning, writing, and development – to say nothing of time and money. Region-wide exercises are especially so, and many Groups put off exercising because of this. There is a need to make smaller, simpler and/or targeted exercises the norm, including 'smart' ways of exercising that do not require the burden of major planning – and budget – to be effective.

- Exercise scenarios and design could also be shared more widely, e.g. across a Group or nationally, so that there is not duplication of effort and an exercise can be undertaken relatively simply and easily.

- Debriefs are usually held after exercises (as for events), and 'lessons learned', 'opportunities for improvement', and/or corrective actions captured. What appears less consistent is any formal monitoring of these debrief points, and ensuring all recommendations are implemented or transferred into work programmes. A consistent approach to debriefs and monitoring the implementation of action points is important for getting the most out of exercises.

- There is an exercise strategy and programme that is coordinated with any training and professional development programmes, and includes:
  - Principles, strategies, and approaches to exercising.
  - A needs analysis and rational for functions to be exercised.
  - Options for different types and levels of exercising.
  - An expected schedule of exercises.

- Exercise planning processes are followed (defining need, objectives, and appropriate resource to deliver).

- All CDEM partners are invited to participate (where relevant), and are involved in defining the goals, objectives, and any performance indicators for exercises.

- Debriefing and opportunities for improvement are identified, with ownership of action points

- Identified actions are implemented; outstanding actions are reviewed and followed up.

- The Coordinating Executive Group has a mechanism for strategic oversight of exercises in the Group.

11 Planning

CDEM Group Plan

Highest 100.0%	Natl Avg 83.1%	Lowest 60.0%			

CDEM Group Planning

Highest 96.7%		Natl Avg 74.6%	Lowest 48.0%		
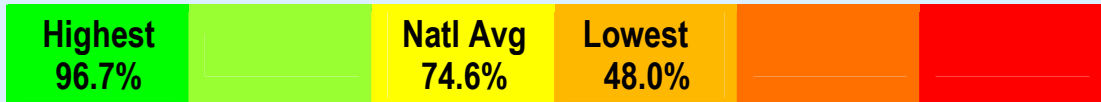
Goal 3, Objective B, Key Performance Indicator 1b: Planning is integrated and aligned across the CDEM Group

1	The planning process within the Group is inclusive of all partner organisations, and transparent as to process	78.8
2	Response principles have been developed cooperatively between all partners	68.8
3	Standard operating procedures are written for all major functions the Group carries out	66.3
4	There is an agreed rationale for the development of situation-specific plans	68.8
5	There is an agreed Group-wide format for or approach to situation reporting and action planning	72.9
6	The Group's plans and procedures demonstrate alignment with the national CDEM planning framework	90.0
		74.2

Multi-Agency Cooperation

Highest 93.0%		Natl Avg 70.7%		Lowest 29.5%	

Goal 3, Objective B, Key Performance Indicator 2: CDEM Group member agencies work together cooperatively and collaboratively

1	Routine, regular communication takes place between CDEM Group member organisations	86.3
2	Police, Fire and Health participate as equal partners, and have active involvement in emergency management discussions	80.0
3	Structures for multi-agency operational planning are in place and utilised	63.8
4	Planning takes place on how multi-agency resources are to be deployed and coordinated in the event of an emergency	58.8
5	The sharing of multi-agency capacity and capability in the locality/region is known, understood and pre-negotiated	56.0
		70.7

- The second generation of CDEM Group plans are generally of a high standard, meeting all requirements of them, and having a consistency of content across Groups. This is reflected in one of the highest indicator scores, with a national average of 83.1%.

- Organisations within CDEM Groups reported generally inclusive processes being used to develop the Group Plan – in most cases it seems to have a been a truly collaborative effort, with input and contribution from a range of agencies. This is pleasing to see, and more likely to engender organisations' buy-in to the Plan, and ensure elements of the Plan filter down into individual organisations and work programmes.

- It was less common to see all levels within Groups participating. In particular, CDEM Group Joint Committee members seem to have had relatively little participation in the process, and may only have seen a draft of the Plan at the time it was presented to the Joint Committee for sign off. While these representatives are not expected to write the plan, or be involved in developing the detail of it, it is very important for them to be part of, or at very least, be brought along with the process – from start to finish – if they are to feel the buy-in to the plan that they should. This level of engagement of the Joint Committee will give them context to future discussions about issues and projects, and may ease the way for questions about resourcing or funding. They are also the ultimate 'owners' of the Plan, and therefore should have a say in goals, objectives and general direction setting. In all, a greater level of engagement of Joint Committee members in the Group Plan process would greatly facilitate a sustained level of interest in the years that follow.

- Most CDEM Groups are now involved in the process of embedding their new Group Plan, and devising work programmes designed to implement the intent of the Plan. This is the really crucial stage, as the assessments showed that this was not necessarily done that rigorously with the first generation of plans. Only some Groups had region-wide work programmes designed to meet the objectives of the Plan; even fewer local authorities had work programmes explicitly designed to align with the Group work programme and meet the objectives of the Group Plan. If there is not this flow-on effect from Group Plan, to Group Office, to local authorities (and partners), it will make it all that harder to achieve the outcomes desired in the Plan. Nevertheless, there are signs with the early second generation Group Plans that this is being addressed more thoroughly this time around.

- Most Groups have also not actively examined the resourcing required to meet the objectives of the Plan, both in terms of staffing at a Group Office and local authority level, and in terms of funding. It is critical that questions of resourcing are considered during the making of Group Plans, and after during any discussions about work programmes, if the goals and objectives of Plans are to be realistic and achievable.

- Other types of planning are not necessarily as collaborative as the Group Plan process, although this is picking up in some areas, particularly with issues like tsunami risk management where the need for a multi-agency approach is evident.

- Some Groups and districts still lack fundamental multi-agency response principles, and it was noted frequently that agencies did not always have a good understanding of each other's response capabilities and capacities. Having these in place would obviously ease any issues when it comes to responding to events.

- Nevertheless, nearly all interviewees noted the marked improvement in relationships between agencies over the last 10 years. Sectors such as the health sector, while fairly remote from CDEM 10 years ago, are now critical and fully integrated partners. 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'.

- Joint Committee members should engage in the early development of CDEM Group Plans so that the strategic direction of the CDEM Group determines the development of the Plan, and so that buy-in is established.

- Coordinating Executive Group representatives should guide the development of the CDEM Group Plan at all stages.

- Any new plans or work programmes should be actively examined for resource implications (in terms of staffing and funding).

- There should be a process for monitoring progress towards the goals and objectives of the Group Plan.

- There should be an understanding of the breadth of plans that exist (CDEM and corporate) that give effect to the goals of the Group Plan.

- Effective plans are developed by CDEM subject matter experts and are not contracted out.

- All CDEM partners should be involved in the development of any Group-wide strategies, plans, or procedures.

- Plans are regularly updated as part of a plan review work programme.

CASE STUDY

Regional Inter-Agency Committee – Wellington CDEM Group
Rian van Schalkwyk, Manager Emergency Management and Mike Wright, NZ Police

The Wellington Regional Inter-Agency Committee had its origins in the Police-led planning for the cyanide threats a decade ago. It was formed at the request of the Wellington District Commander to provide a regional forum for agencies likely be working under the overall direction of the Police when dealing with incidents that wouldn't result in a CDEM declaration. Since then the relevance and membership of the committee has been affirmed by the Coordinating Executive Group.

The Wellington Regional Inter-Agency Committee comprises: the NZ Police, the NZ Fire Service, Wellington Free Ambulance, Capital & Coast, Hutt Valley, and Wairarapa DHBs, and Wellington CDEM Group Office. Co-opted members are decided by the Committee and are currently: the Wellington CDEM Group Lifelines Co-ordinator, a senior representative from the Ministry of Social Development (welfare) and a senior representative from Regional Public Health. All members, whether from local authorities or other organisations, are senior representatives of their organisation. This is to ensure a strategic overview and an ability to commit resources.

The Committee is clearly Police led and used as a tool for Coordinating Executive Group and the CDEM Group to build operational relationships at a regional level. Its value lies in being more of a regional emergency services coordinating committee than another group focused on implementing the Group Plan.

Membership on this Committee has allowed a platform at the strategic level which aids in greater understanding of emergency issues as they relate to the overall emergency management picture. Relationship building is the key aspect of this Committee which all members value. These relationships have allowed for greater flow and sharing of information, easier interactions during incidents, and have lead to a more holistic view when developing members' own internal response plans. All members strongly support the continuation of the Committee and value their involvement in it.

The Committee has responsibility for conducting at least two formal meetings each year (location to be rotated amongst the agencies along with secretarial services) with each meeting having a local exercise included. Exercises to-date include earthquake, chemical incident, terrorism, tsunami, flooding and pandemic scenarios. It also ensures one inter-regional exercise each alternative year - the intervening year being hosted by the neighbouring region.

The Committee reports to the CDEM Group through its Chairperson and any organisation represented on the Committee is able to prepare reports for consideration by the CDEM Group. The Chairperson of the Committee is responsible for approving all reports to be presented to meetings of the CDEM Group.

12 Emergency Operations Centres

Facilities

Highest 100.0%		Natl Avg 75.2%	Lowest 42.9%		
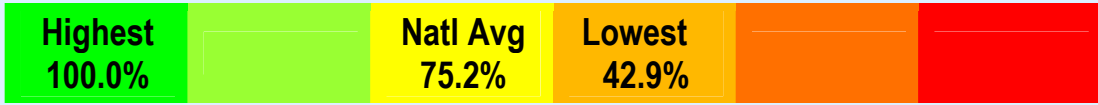
Goal 3, Objective B, Key Performance Indicator 4a: Emergency operating centres (EOC/ECC) have appropriate facilities

1	EOC/ECC location is appropriate to needs of the organisation	70.0
2	EOC/ECC design and layout is appropriate to functions to be undertaken	67.5
3	EOC/ECC equipment is appropriate to needs and functions	68.8
4	EOC/ECC functions reflect CIMS concepts	93.8
5	Support agencies are accommodated in the EOC/ECC	80.0
6	EOC/ECC has (or can acquire within 3 hours) a back-up generator and fuel sufficient to power all resources for at least 5 days (score as percentage of 5 days, i.e. 3 days supply = 60%)	76.3
7	Alternate EOC/ECC with the ability to operate has been identified	70.0
		75.2

Resourcing

Highest 93.3%		Natl Avg 70.3%	Lowest 35.6%	

Goal 3, Objective B, Key Performance Indicator 4c: Emergency operating centres (EOC/ECC) are resourced and operated efficiently

1	EOC/ECC has an agreed KPI for activation time	36.3
2	EOC/ECC activation is practised at least twice a year	56.3
3	Effective information collection, interpretation, display and dissemination takes place in the EOC/ECC	66.3
4	There is a process for managing enquiries from the public effectively	61.3
5	Public information management is coordinated between key response agencies	77.3
6	Standard Operating Procedures (SOPs) are available for all desk functions	77.5
7	Standardised templates/formats are in place where needed	78.8
8	Legislative and other reference documents are available	87.5
9	EOC/ECC has communication links with all key partner agency EOCs	92.5
		70.3

RESULTS

RESULTS (Contd)

Staffing

	Highest 82.9%	Natl Avg 59.7%	Lowest 37.1%	

Goal 3, Objective B, Key Performance Indicator 4b: Emergency operating centres (EOC/ECC) are staffed adequately

1	All EOC/ECC functions will be staffed adequately	58.8
2	There are plans for acquiring 'surge capacity' staffing, if needed	52.5
3	Key positional appointments are identified (Operations, PIM, Planning, Logistics etc)	91.3
4	Percentage of EOC staff that have undergone CIMS training	62.5
5	Organisation maintains a staff training/capabilities database (for EOC)	46.7
6	EOC staff can be activated in the event of a telecommunications outage	47.5
7	There is an established induction course in place for new staff coming into the EOC, that includes equipment, facilities and SOPs	57.5
		59.7

DISCUSSION

- There is a large range of Emergency Operations Centre facilities, with the majority only set up during an event, and only a few designated as full-time/permanent centres (and even fewer 'purpose built').

- Most centres are reasonably well resourced, although some of the smaller councils are challenged to fund the full complement of equipment that is ideally required.

- Nearly all councils noted the continual challenge of ensuring there is a pool of adequately trained staff available to run the operations centre. Difficulties particularly included:

  - Getting staff released for training – reluctance from some senior managers.
  - Resistance from some who do not see emergency response as part of their job.
  - The pressure to devise new, innovative, and engaging training materials that will keep the attention of participants.
  - The time required to administer all of the above.

- Nevertheless, the majority of interviewees showed confidence in the capability and capacity of their Emergency Operations Centres, and believed they are able to respond to any immediate needs during an emergency event. They further believed that their organisation could comfortably undertake a response to any small or medium-sized local event, but usually displayed doubt when asked about a prolonged or wider response.

- There is starting to be a good level of consistency of practice and resourcing between Emergency Operations Centres (within individual CDEM Groups and beyond), which is valuable as it would facilitate sharing of staff between centres (or short-term deployments of staff to other regions), should it be required.

- Most (70%) organisations have identified alternate or back-up Emergency Operations Centre facilities. The Christchurch earthquakes and Rena grounding events have shown the importance of having a range of Emergency Operations Centre facilities identified, including at least one that could accommodate an extremely large response. CDEM Groups are encouraged to review their back-up locations and facilities and ensure they have such a facility identified.

DISCUSSION

- The interface between Group and local operations centres is still an area of question for some Groups. While local Emergency Operations Centres are activated frequently, Group centres are activated much less so, and as a result there are not always plentiful opportunities to work as a hierarchy of centres within a region. This sometimes results in a blurring of roles and responsibilities, or confusion between them; local centres can be used to operating independently and do not easily transition into a new reporting/requesting mode; Group centres can sometimes go beyond their remit into delivery and management aspects, when their role is primarily coordination and support. Ultimately, this is what Group exercises are useful for – to iron out the details of response arrangements and ensure a good understanding of roles and responsibilities, and smooth operations on the day.

- Most Groups have undertaken a review of their Emergency Operations Centre capability and capacity across the region. Where this has not taken place, it is highly recommended as an exercise in understanding strengths and weaknesses, and to enable greater consistency between centres.

BEST PRACTICE

- Emergency Operations Centres are fit for purpose in terms of facilities, resources, processes, and staffing.
- The capability and capacity of Emergency Operations Centres are reviewed and evaluated regularly.
- Emergency Operations Centre staff are well trained and practised (see capability development).
- CIMS is used.
- There are standard operating procedures for all functions Emergency Operations Centres undertake.
- All key Emergency Operations Centre position appointments are identified, including several backups.
- Responsibility for elements of Emergency Operations Centre preparedness are shared across the organisation.
- Emergency Management Officers are available to act as 'principal advisors" to controllers during an emergency.
- The role of the Group Emergency Coordination Centre is understood by all.
- There are clear reporting and communication protocols in place between the Group Emergency Coordination Centre and local Emergency Operations Centres.
- There are clear reporting and communication protocols in place between the Group Emergency Coordination Centre and the National Crisis Management Centre.
- The CDEM Group has consistent approaches to Emergency Operations Centre processes and training so that capability can be shared in the event of an emergency.

The New Group Emergency Operations Centre – Southland CDEM Group
Neil Cruickshank, Manager Emergency Management Southland

One of the main leverage points of creating 'Emergency Management Southland' was the push by incumbent Emergency Management staff to establish a fully functioning Emergency Operations Centre that could cater for most major emergencies in Southland. There was a strong push for it to be located in close proximity to council infrastructure so it did not become an 'orphan' over time.

The result was the purchase of a relocateable building which had a large inner space and a number of adjoining offices on the outside of the building. The outer offices are occupied by Emergency Management Southland plus a Hazards Planner, the Harbourmaster and Biosecurity staff from the Southland Regional Council. The primary use of the inner space is training, either Emergency Operations Centre training or general council training with the arrangement that any training will be cancelled if the facility is required for an emergency. Management from the three councils based in Invercargill are encouraged to use the facility for computer/IT training.

Some technology features of the Emergency Operations Centre recognising the flexibility required in an emergency are:

- A separate radio room with Police, Fire, St John, Marine, Aviation, HF, DOC, Civil Defence Network and private network channels.
- Permanent satellite hook-up to meet EMIS requirements plus Sat Phones.
- 16 Standalone computers and phones in the Emergency Operations Centre plus data and phone connections pre fitted to the building to be able to at least double that capacity during an emergency.
- The room is configured to align with CIMS structure with 4 computers in each pod with a pod designated for Operations, Logistics, Planning/Intelligence and PIM.
- Wireless connectivity plus the ability to bypass normal council PC security requirements during an emergency.
- A boom type system hanging from the roof which runs multiple data projectors, TVs and sound systems. And can 'plug and play' further additions if required.
- The ability via switching software to display information/sound from any of the 16 PCs on to one/multiple data projectors/TVs for ease of information sharing.

The facility is offered as a joint Emergency Operations Centre in that if it not required by Civil Defence it can be used for Oil Spill, Search and Rescue, Rural Fire, or Biosecurity. One of the major benefits of such a facility is that it is ready to activate at very short notice plus its availability to be used for training and lower level activations such as storm events.

CASE STUDY 2

EOC Staffing in Rotorua District Council
Jean-Paul Gaston, Director Corporate Services, Rotorua District Council

Our approach
Like people elsewhere throughout the country, our Rotorua CDEM team saw the Christchurch earthquake not only as a major wake-up call, but one that provided some real opportunities. At chief executive and senior management level we re-examined how we support CDEM and how we staff our EOC with both council employees and volunteers. We identified the need to recognise that our Emergency Management Coordinator (EMC) could not, and should not, single-handedly manage all requirements for maintaining EOC staffing and associated resources. From this point we concluded that Rotorua District Council needed to:

- take a '*whole of council*' approach – leadership, resourcing, responsibilities and projects
- make Civil Defence part of every employee's day job – with amended job descriptions and tasks that reflect an ongoing requirement, not just for when needed in emergencies
- focus our EMC on essential tasks for engaging others in the organisation to provide the required professional support and back-up (e.g. IT department to source computers and develop information solutions).

What have we done?
Two of our three local controllers are also council Tier 2 group managers. This change has meant that CDEM is discussed regularly at the senior management level, and resourcing within the council is now allocated from across the council in support of Civil Defence.

Management of logistics, welfare and planning/intel in the EOC are now the direct responsibility of three 3rd tier managers in the council. These responsibilities reflect their professional expertise and experience; e.g. the logistics area is managed by Council's procurement manager. This has greatly improved processes, forms, databases and contact information available directly to the CDEM team in an emergency.

These managers are directly responsible for identifying, training and rostering their own staff to the EOC in an emergency. Modified key result areas (KRAs) have also been established, initially in the welfare section, to cover these new responsibilities. This has made CDEM very much part of everyone's regular day job.
The EMC now has more time to focus on improving community awareness and preparedness, including the training of our rescue team. Her interaction with the key managers is now more about advice, support and training.

Reflecting on how the Arts Centre in Christchurch operated after the Christchurch earthquake has highlighted a number of changes to technology needs in our EOC. Again, this project was placed with Council's solutions team (IT department). As a result, the council's EOC operation is now wireless (all computers on wifi), has specific generator backup, and our alternate EOC location has been fully tested. The EOC is now enjoying the same level of business continuity support that is applied to the rest of the organisation as a matter of regular business.

Conclusion
In summary, we realised that we needed to do things more systematically, and that simply adding more resources directly to CDEM would not necessarily achieve that. By embedding CDEM and integrating it across our daily operations and responsibilities, and specifically examining how each aspect could be best delivered, has significantly improved our organisation's preparedness and preparation for managing emergencies that will positively support our communities.

13 Controllers

Highest 96.0%	Natl Avg 82.8%	Lowest 64.0%			

RESULTS

Goal 3, Objective B, Key Performance Indicator 7: Controllers are able to provide effective leadership

1	There is a formal process for identifying, appointing and reviewing Controllers	65.0
2	There are sufficient Controllers appointed to ensure immediate response	91.3
3	Controllers have the authority, expertise and experience necessary to fulfil the role *[are "suitably qualified"]*	85.0
4	Group Controllers have the delegated authorities of the Group to be able to fulfil the role	95.0
5	Controllers have been fully briefed on their roles and responsibilities, the CDEM Group, key stakeholders and partner agencies	90.0
6	Controllers have a good understanding of their roles and responsibilities, and those of the CDEM Group, key stakeholders and partner agencies	86.3
7	Group and local controllers have frequent opportunities to interact (in 'peace time')	63.1
8	Controllers have a robust relationship with CEG	64.0
9	The process for declaration of a state of emergency is clear and understood by key members of the organisation	82.5
10	Group has appointed at least one person authorised to declare a state of local emergency for its area	100.0
		82.8

DISCUSSION

- All Groups have at least one Group Controller and alternate identified; many have several alternates and a 'pool' of controller experience at their disposal. Nearly all local authorities have local controllers (and alternates) identified, or were in the process of doing so at the time of assessment.

- There is a range of controller experience and confidence, with some of the 'untested' controllers expressing some unease at the prospect of being 'thrown in at the deep end'. In general, though, controllers seemed to have a good knowledge of CDEM, and displayed confidence both in their ability to do the job, and in the people that would support them doing so.

- Many did express a desire for more capability development opportunities, however; most would especially welcome any development of an 'experiential' nature, or other non-structured learning opportunities such as peer learning or mentoring.

- It was apparent that in many Groups the relationship between Group and local controllers was not as functional as it should be. In some there was even a 'them' and 'us' attitude between Group and local controllers that is not conducive to good relationships, and worse, may be detrimental to smooth response operations. These Groups were usually recommended to institute controller fora, meetings and/or training opportunities in order to facilitate both up-skilling and better relationships. It is understood that these relationships have improved in many cases, but these meetings should continue as a matter of course to facilitate ongoing relationship management.

- Despite the generally high quality of controller appointments, concern was frequently raised that some Groups and Group members do not give sufficient consideration to the selection of individuals for controller roles. There are some examples of 'inappropriate' selections, for example individuals appointed purely because of seniority in an organisation, or simply because they were willing. This perhaps highlights a lack of understanding of the gravity and authority of the controller role – especially in a declared emergency – and the powers that come with it. There are specific skills, competencies, and attributes a controller requires; more crucially, Chief Executives need to recognise that their organisation's reputation may rely on decisions made by that controller: a thorough selection, appointment, and review process for controllers is fundamental.

- The relationship between Group Controllers and the Coordinating Executive Group is also important. The Group Controller is the conduit and representative for the Group and local controller collective and having the Group Controller on the Coordinating Executive Group assists at a high level for the roles and responsibilities of the Controller to be understood by all involved. The relationship also allows the Group Controller an avenue to influence outcomes, which can support their ability to execute their duties. Furthermore, it provides a forum where the controllers can appreciate the elements of reduction, readiness, response, and recovery, and how these are managed by the Coordinating Executive Group. Most CDEM Groups now include the Group Controller in Coordinating Executive Group meetings and it is hoped that this is now the 'norm'.

- A controversial subject was the degree of involvement a controller should have in day-to-day CDEM. A recent controller development needs analysis process revealed that in order for the response phase to be effective from the outset, controllers ideally need to be engaged in readiness as well as response management.

- Most controllers have their role as an 'add on' to their usual business role, and little time is specifically allocated to effectively engage in CDEM activity. Some controllers expressed regret or even guilt that they were not able to devote more time to monitoring routine CDEM activity. Others do not believe it is their role to do so, that their role is in response only. Only 'professional controllers' (i.e. those employed to be full-time controllers/CDEM managers), or those who happen to be line managers of Emergency Management Officers really had much engagement in or knowledge of readiness activities. Others managed to maintain a peripheral knowledge of CDEM activities by reading Coordinating Executive Group meeting minutes, or meeting occasionally with CDEM personnel.

- It is preferable that controllers – particularly the 'primary' Group or local controllers – maintain at least some oversight of readiness activities, if only to satisfy him or herself that the capability and capacity is in place to be able to respond to emergencies that will be under their control. It will also greatly assist their knowledge and awareness of arrangements so that responding and making decisions is easier for them on the day. It would help if the controller role was specifically 'job-sized' by organisations, so that individuals know what is expected of them, and have the time to devote to readiness activities.

- Controllers are selected, appointed and reviewed through a formal process by the Joint Committee.
- Controllers demonstrate leadership.
- Controllers contribute to Emergency Operations Centre readiness.
- Controllers are well trained and are engaged in readiness activities.
- Controllers identify impacts of organisational strategic decision making on response capability.
- Controllers have full delegated authority for response priorities and expenditures, including an explicit understanding with their Chief Executives with regard to expenditure during an event.
- Local and Group controllers meet regularly.
- Controllers have a relationship with recovery managers.
- Group Controllers are a member of the Coordinating Executive Group.

Group Controller Meetings in Taranaki CDEM Group
Shane Briggs, Senior Emergency Management Officer

Led by the Taranaki Group Controller, David Lean; all Taranaki Controllers, CDEM Management Staff, Recovery Manager Louise McLay and MCDEM's Regional Emergency Management Advisor for Taranaki, meet regularly and informally to 'chew the fat' and get to know each other better. Meetings include guest speakers, training on the latest issue and feedback/update from any national issue or meeting held that was attended by one of the Controllers.

These regular meetings have resulted in an in-depth knowledge within the Controller group, understanding, consistent decision-making, mutual trust between group members, and a great team approach to any emergency that arises in our region. Issues are dealt with in a 'free and frank' discussion format. From an exercise or event questions, suggestions and observations are made to improve leadership skills when they are really needed by the community.

The Group Controller provides feedback to the Taranaki CDEM Group and the Coordinating Executive Group, especially around issues of essential resource needs. This highlights to all CDEM members the essential tools required for an effective emergency response.

Consistent, scheduled and informal meetings are the key to maintaining group interest and input. Based on the positives that have followed, we wouldn't have it any other way.

14 Response Arrangements

Warning Systems

Highest 94.0%		Natl Avg 71.3%	Lowest 28.0%	

Goal 3, Objective B, Key Performance Indicator 5: Warning systems are in place and are maintained and effective

1	Organisation has a functional, effective 24/7/365 duty system, tested regularly	77.5
2	The callout system for EOC/ECC staff has been tested in the last 12 months	67.5
3	The process for disseminating warnings to partner agencies and stakeholders is effective, tested regularly	76.3
4	There is a demonstrated capability to provide warnings to the public	72.5
5	Information on warning and alerting mechanisms are included in public education/awareness-raising material	62.5
		71.3

Communications

Highest 100.0%		Natl Avg 72.5%	Lowest 50.0%		
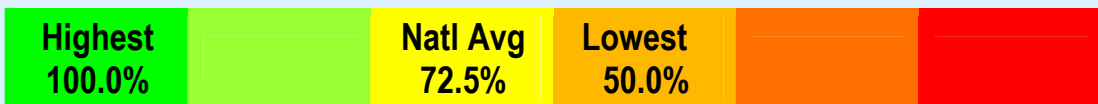
Goal 3, Objective B, Key Performance Indicator 6: Communication with partner agencies is able to be maintained in an emergency

1	Organisation has two methods of alternate communications (other than landlines / cellphones / email) with CEG member organisations	80.0
2	Organisation has the ability to rapidly source and deploy mobile/transportable communication systems in support of response to an event	55.0
3	Procedures and protocols for use of radios/radio frequencies have been developed between partner organisations, and are tested regularly	82.5
4	There are robust SOPs for the operational use of all communications methods	68.8
5	All communications **equipment** is tested on at least a monthly basis	82.5
6	All communications **processes** are tested on at least a quarterly basis	66.3
		72.5

Resources

Highest 85.7%	Natl Avg 49.8%	Lowest 10.0%

Goal 3, Objective B, Key Performance Indicator 8a: Critical resources can be sourced rapidly in response to an emergency

1	There is a standardised, pre-determined process for impact assessment during an emergency	35.0
2	Consequence-based planning is used to assess likely resources needed for response	55.0
3	Shortfalls in critical resources likely to be required for response are identified and documented	45.0
4	Organisation has a database of local/regional vendors able to supply resources in an emergency (e.g. generators, fuel, water, shelter etc)	60.0
5	A database of public and private transportation resources is kept and maintained	60.0
6	Organisation has MOUs in place with suppliers of critical resources required for response	40.0
7	Organisation has arrangements in place with engineers to conduct post-disaster building safety inspections	68.9
		49.8

Logistics

Highest 82.9%	Natl Avg 50.9%	Lowest 22.9%	

Goal 3, Objective B, Key Performance Indicator 8b: Logistics processes are in place to manage resources effectively in an emergency

1	There are locations identified for use as staging areas for the receipt and management of critical resources	34.3
2	There are established procedures for logistics management of staging areas, including an identified agency or individuals who will manage them	28.8
3	There are procedures in place for the deployment of local, reg'l and nat'l rescue resources	46.7
4	There are procedures for receiving, storing, sorting, inventorying & distributing donated goods	33.3
5	There is a financial facility and means to procure resources during an emergency	77.3
6	There is a robust management process for the accountability, use and return of resources that are procured	57.5
7	There is a transparent process for tracking costs and expenditure	72.5
		50.9

- All CDEM Groups now have reliable, tried and tested warning systems at their disposal. Where on-notification of warnings to member agencies has sometimes been 'messy' in the past, there is now an increasingly efficient and effective approach to the wide dissemination of warnings, and there is confidence by all in these.

- All Groups and the majority of local authorities have a 24/7 on-call or duty systems at their disposal, although some, especially at a local level, are still reliant on individuals as the all-hours point of contact.

- There is a range of public alerting systems across Groups and Group members, with mechanisms ranging from permanently-mounted sirens, to public address systems, to telephone trees, and door knocking. While there is still a push in some areas (by authorities and/or communities) for sirens as a 'fix all', most recognise that there is an element of 'fitness for purpose', and that a range of alerting mechanisms is necessary in order to reach the greatest proportion of the public. Public alerting remains an ongoing concern for some, especially as greater levels of community engagement takes place, and the public expectation that brings with it.

- Most Groups and Group members have good redundancy in their communication systems, with nearly all having radios, and most having some satellite phones. Some have advanced satellite broadband data systems such as BGAN.

- Multi-agency response principles – discussing and defining response roles, responsibilities, and principles so that all agencies' likely actions are known and there are no surprises on the day – are formalised in some Groups/Group members, but ad hoc in others. Where 'Readiness and Response' committees exist, relationships between response agencies tend to be better, and response principles discussed more. Emergency Services Coordinating Committees are also useful for such discussion, especially where they are expanded to include all responding agencies, not just emergency services.

- Emergency services are, in any case, now active and integral members of just about all CDEM Groups. They are respected for their response capability, and provide some critical operational discipline when it comes to response planning.

- In general there is a high level of confidence in the ability of Groups and individual Group members to respond to local events in the short term (e.g. 2-3 days). There are numerous examples of response to such events over the last few years that would support this.

- There is, however, a general concern regarding the ability of CDEM Groups to respond during a group-wide (regional) event, or an event of longer-term duration. These concerns span both capability and capacity issues, and reflect the limited resources that New Zealand has.

- Many CDEM Groups responded to the Christchurch earthquake event in support of the Canterbury CDEM Group, providing invaluable personnel resources to the response, and conducting welfare operations in their own districts. For many this was a full-scale activation, and provided many lessons they can take forward in their own planning.

- That said, there are numerous other wider lessons to be learned from the Christchurch earthquake experience. While most post-earthquake interviewees noted things they personally, their organisation, and their CDEM Group had learned from observations of the Christchurch response, there is a concern that these are not being recorded and taken advantage of to the fullest possible extent. If there is to be a silver lining to the Christchurch earthquake events, it is the learning and advancement potential for New Zealand civil defence emergency management, and all Groups should take advantage of that.

- Most Groups and group members lack a rigorous rapid impact assessment methodology, and sometimes any plan to do reconnaissance and information sourcing. This is an issue highlighted in the Christchurch earthquake response where it was sometimes hard to get on-the-ground intelligence about the situation in some parts of the city. A project is now underway at the national level looking at impact assessment methodologies, but individual authorities still need to give consideration to how they will proactively gather intelligence on impacts and issues in their district in the event of a significant emergency.

- Resource management (in terms of resources available to the response) appears to be variable across the country. The most advanced districts/Groups have conducted consequence-based response planning, and have documented lists of likely critical resource shortages, and plans for sourcing such resources (including MOUs with suppliers in some cases). For others this area is a lot more 'ad hoc' and relies on a belief that they would source what is needed 'on the day'.

- Logistics management was also something of an advanced concept for most, with few having any defined processes for, for example, requesting and receiving resources, identifying and managing staging areas, or receiving, storing, sorting, and distributing donated goods. Logistics was again a key component of the Christchurch earthquake response and it would pay for Groups to consider how they would manage such processes before an event happens.

- Although not in existence when most Groups undertook their capability assessment, the prospect of the new Emergency Management Information System (EMIS) is daunting for some, if not all Groups. Most see the eventual value in a coordinated information management system, including the potential benefits it would bring to a response. At the same time, many are concerned about the training requirement, and the time it will take to embed in their organisation. EMIS will need to be a focus of Groups (especially Group training) for the foreseeable future.

- Warning systems within and across organisations are coordinated and effective.

- Public alerting and community warning systems are coordinated and effective.

- Multi-agency response principles are developed.

- There is a clear distinction between the role of the Group Emergency Coordination Centre and local Emergency Operations Centres.

- There are templates and agreed processes for the development of situation reports and action plans.

- Impact assessment processes, procedures and capability are defined and tested.

- There are documented lists of likely critical resource shortages across the district or region, and plans for sourcing such resources.

- There are well defined processes for logistics management, including procurement, requesting and receiving resources, and identifying and managing staging and assembly areas.

- Council departments understand how they will procure and receive goods and services during a response, and how that will align with the Emergency Operation Centre processes and procedures.

- Council departments understand how they will prioritise remedial repair work (e.g. to roading, sewerage/water systems, etc) during a response, and how that will align with Emergency Operation Centre intel, priorities, processes and procedures.

- There are plans or procedures for receiving, storing, sorting, and distributing donated goods.

- There has been consideration of how to manage spontaneous volunteers, and how the Emergency Operations Centre would liaise with and make best use of volunteer groups.

- Emergency information management systems are operative, tested and effective.

- There has been an active consideration of strategies to embed EMIS across the Group.

15 Regional Welfare Coordination

	Highest **80.0%**		Natl Avg **55.2%**	Lowest **33.8%**	
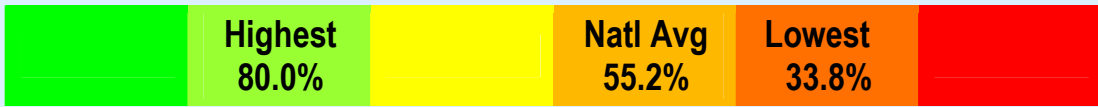
Goal 3, Objective B, Key Performance Indicator 9a: Group welfare planning is comprehensive and coordinated

1	Welfare Advisory Group (WAG) includes representatives from MSD, HNZ, IRD, Health, Red Cross, Salvation Army, SPCA, and others as appropriate, required or agreed	94.3
2	All agencies on the WAG know, understand and accept their roles	65.7
3	Group welfare plan or procedures are in place and signed off by member agencies	77.1
4	Likely (regional) welfare needs and issues are identified in the plan/procedures	58.6
5	Welfare reporting structures are documented and understood at all levels of the Group	55.7
6	Group welfare plan/procedures have been exercised in the last 2 years	44.3
7	WAG's relationship with the National Welfare Coordination Group is satisfactory	52.9
8	An appropriately-qualified Group Welfare Manager and alternate(s), is identified and appointed (or someone who fulfils those functions, however titled)	45.7
9	There is a programme of CDEM professional development for Group Welfare Managers	15.7
10	Group Welfare Manager has participated in a CDEM exercise in the last 2 years	57.1
11	Group Welfare Manager is supported sufficiently by the Group to be able to do the job	52.9
12	WAG is effective in tackling and coordinating regional welfare issues	57.1
13	WAG is effective in providing direction and advice to local welfare committees	43.6
		55.2

RESULTS

DISCUSSION

- All CDEM Groups have a regional Welfare Advisory Group or 'WAG'. These are generally chaired by the Regional Commissioner for Social Development or their deputy.

- The role of Chair of the WAG seems to vary considerably from region to region, with some taking a very active, involved role, while others limit their involvement to chairing meetings only. The day-to-day role of a Regional Commissioner is a busy one, and this is reflected in their sometimes limited participation.

- That being said, the Ministry of Social Development is taking an ever-increasing interest in the CDEM welfare space, and their leadership of WAGs is appreciated and welcomed.

- WAGs comprise representation from a range of social and welfare agencies, with most managing to get reasonably good attendance most of the time. Most WAGs have made repeated efforts to review their membership and ensure the right mix of agencies is present.

- Where attendance has not been so consistent, time spent defining or re-defining the purpose, function, roles and responsibilities of the group, maintaining a regular schedule of meetings, and having varied and interesting agendas seems to have helped.

- The role of the WAG has been an issue for many. While it is clear what needs to be done at a local level – in terms of welfare management and delivery (and planning thereof) – it is sometimes less clear what role the regional welfare group has. Some WAGs have descended into meetings were regional agency

representatives give round-table updates on their work programme, and there is little further value added. The overall result is little more than an exercise in compliance than a functioning advisory group; these groups are missing a significant opportunity to strategically examine region-wide welfare issues, discuss and develop solutions, processes, and plans, and to advise and support local welfare committees.

- If the role of the WAG in readiness is unclear to some, the role of the WAG in response is often even more clouded. Some have chosen to have a very operational role in response, meeting frequently during the course of a response, and actively participating in response operations. For others they have chosen a more passive role, with a stated intent that the role of their WAG is primarily in planning and preparedness, and not in response. Either approach may be appropriate for a particular region or group; the important factor is that it is discussed and agreed (and preferably documented) ahead of an emergency event.

- New members to WAG need some form of induction to the group that is both explicit and contextual. This rarely happens, and thus it is unsurprising if they flounder in their individual and collective roles on WAG.

- Most WAGs reported little to no relationship with the National Welfare Coordination Group (NWCG), the national equivalent of a regional WAG. This seems to be a missed opportunity for the NWCG – to provide more of a coordination and leadership role to the regional groups, as the regional groups are expected to provide the same to the local welfare committees in their area.

- At the time of their assessments only half of CDEM Groups had Group Welfare Managers appointed. For those without, it was a strong recommendation in their capability assessment report that this be addressed as soon as possible. It is thought that nearly all CDEM Groups now have Group Welfare Managers; most also have alternates, although there is usually still a strong reliance on the primary appointee.

- Group Welfare Manager is an extremely important role, ideally requiring significant investment of time in readiness as well as response. As with controllers, the Group Welfare Manager role is usually an 'add on' to their usual business role, and as such, they rarely have the time to devote to it that most know they should (and want to). Ideally Group Welfare Managers (and other key CDEM appointments) should have the role listed in their job descriptions, and time allowed for participation in readiness activities, including professional development. This is starting to happen, but needs to become consistent practice across the country.

- As described in capability development (see page 28) Group Welfare Managers (and indeed other welfare staff) are rarely afforded the capability development opportunities that controllers or other CDEM personnel are. There is a growing realisation that this needs to be addressed given the potential extent and importance of the role.

- Most (77%) of CDEM Groups had a Group Welfare Plan at the time of their assessment. These varied significantly in scope and quality, and in general it is believed that welfare planning, particularly at the regional level, is an area that could benefit from more attention.

- The **CDEM Group** develops, maintains and reviews a Group Welfare Plan and supporting plans, e.g.
  - o Mass Evacuation plan.
  - o Companion animal emergency welfare plan.
  - o Donated goods management plan.
  - o Volunteer management plan.
- There is a regional **Welfare Advisory Group** that meets regularly and:
  - o Has good participation from a range of welfare agencies, who are represented at a senior level, and who understand their roles and responsibilities in respect of the group and CDEM welfare.
  - o Examines strategic regional welfare issues.
  - o Has a work programme that is aligned to CDEM Group Plan.
  - o Undertakes exercises as a group.
  - o Has well-formed relationships with Local Welfare Committees and the National Welfare Coordination Group.
- The Regional Commissioner for the Ministry of Social Development is the Chair of the Welfare Advisory Group, and understands the role.
- The Welfare Advisory Group Chair attends Coordinating Executive Group meetings and advocates on behalf of welfare planning and management.
- A **Group Welfare Manager** is appointed who:
  - o Is responsible for regional coordination of welfare service delivery (by territorial authorities) during an emergency.
  - o Is the principal advisor to the Group Controller on welfare coordination during an emergency.
  - o Liaises with the Group Recovery Manager.
  - o Works closely with the CDEM Group Emergency Management Office.
  - o Supports Local Welfare Managers by meeting with them regularly, giving updates on CDEM Group activities, and advocating for welfare issues within the wider CDEM Group.
  - o Builds a strong relationship and works closely with the Chair of the Welfare Advisory Group.
  - o Works closely with regional welfare agency representatives.

Regional Welfare Coordination in Waikato CDEM Group
Adam Munro, Programme Manager Regional Hazards & Emergency Management

The Welfare Advisory Group was acknowledged in our Capability Assessment Report to be one of the higher performing aspects of the Waikato CDEM Group. Since then we have made additional efforts to further capitalise on its success.

The success of the Welfare Advisory Group is primarily down to participant engagement and CDEM Group support. This includes:

- An engaged Chairperson,
- Good representation by member agencies,
- An enthusiastic Welfare Manager,
- Consistent administrative support from the Group Emergency Management Office, and
- Project funding.

In addition to a sizeable Resilience Fund grant from MCDEM for its Mass Evacuation Plan project, the Coordinating Executive Group elected to grant the Welfare Advisory Group a $10,000 per annum project fund, as part of the overall Group Emergency Management Office budget. This is to be spent on smaller projects at their discretion (outside of the Group Emergency Management Office prioritisation process). This has been very well received by the Welfare Advisory Group membership and reinforces their importance to the overall CDEM Group activity.

The function of the Welfare Advisory Group is also an integral part of the second generation CDEM Group Plan and the Welfare Advisory Group Chairperson holds a seat on the Coordinating Executive Group.

16 Local Welfare Management

RESULTS

Local Welfare Planning

	Highest 80.0%	Natl Avg 58.5%	Lowest 40.0%		
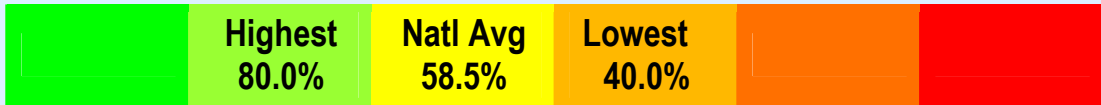
Goal 3, Objective B, Key Performance Indicator 9b: Local welfare planning is comprehensive and coordinated

1	A Local Welfare Committee (LWC) is in place, meets regularly	56.7
2	All agencies on the LWC know, understand and accept their roles	56.7
3	Local welfare plan or procedures are in place and signed off by member agencies	63.1
4	Likely (local) welfare needs and issues are identified in the plan/procedures	64.6
5	Realistic/appropriate response options are identified in the plan/procedures	61.5
6	Local welfare plan/procedures have been exercised	61.5
7	An appropriately-qualified Welfare Manager and alternate(s), is identified and appointed	64.6
8	Welfare Manager has undergone comprehensive training, has participated in exercises, and is ready to do the job	47.7
9	Welfare Manager is supported sufficiently by the council to be able to do the job	55.4
		58.5

Local Welfare Delivery

	Highest 87.5%	Natl Avg 65.1%	Lowest 52.5%		
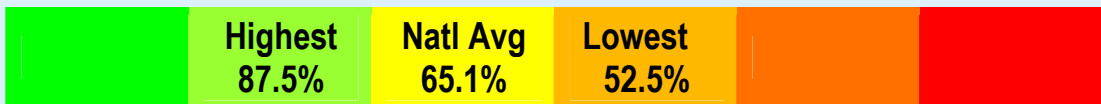
Goal 3, Objective B, Key Performance Indicator 9c: Welfare is provided to affected communities in a timely, effective manner

1	Sufficient welfare staff are identified to ensure immediate response	60.0
2	Organisation has a standard approach to needs assessment [individual and community] that transitions smoothly from the pre-event period to the response to the recovery phases, enabling comparisons of community needs at various times through the event	41.4
3	Possible sites for welfare centres are pre-identified; logistical requirements are considered (capacity, power, sewage, water, communications, catering, access etc)	81.3
4	Organisation has processes and procedures in place for registration	73.3
5	Processes in place for registration are considered effective	58.7
6	Formalised and documented arrangements (MOU or other) with welfare agencies are in place	68.6
7	Organisation has arrangements in place or plans for sourcing temporary or emergency housing in the event people are displaced from their homes	65.7
8	The effectiveness of the welfare response is evaluated after any exercise/event to ensure it meets the needs of the community	66.7
		65.1

- Local welfare management, like regional welfare coordination, is an evolving area of practice for CDEM Groups and their members. The indicator scores for welfare planning and delivery are not particularly high, but it is understood that strides are being made in this area, and most Groups are improving on the review they received at their capability assessment.

- The Christchurch earthquake event has been a significant learning opportunity for welfare agencies and CDEM Groups across the country. Even where CDEM Groups were not directly involved in the response, many sent representatives to help with welfare delivery; many more were involved in welfare operations in their own districts for incoming evacuees. In all, the event has been a significant wake-up call for authorities in terms of what they may be called on to provide in the event of an emergency in their districts.

- Approximately half of all local authorities had Local Welfare Committees formed at the time of their assessment. It is thought this figure would be higher now. These committees bring together representatives of local social and welfare agencies to plan for delivery of welfare in their area.

- Most authorities have appointed a Local Welfare Manager whose job it is to coordinate local welfare delivery. Like Group Welfare Managers, this role – where a council appointee – is often an add-on to their day job, and there is relatively little recognition of the time required in readiness to do the role justice. Local welfare managers can sometimes also be representatives from other welfare agencies, or even community volunteers. There are advantages and disadvantages to all of these; what matters is having someone who is able to devote time to planning and preparedness, and who has a close connection to routine social service activities in their community.

- Most local authorities have invested time in identifying and planning setup of welfare centres. Most have a range of facilities identified which is good to see as it allows flexibility of location depending on the type and magnitude of the event at hand.

- Most authorities also have processes in place for registration of individuals at welfare centres. Most acknowledged, however, that there were issues with registration that need to be addressed further.

- Needs assessment is also an area that requires attention, with few having a standard approach to assessing individual and community needs in an emergency. This is an issue that was highlighted in the Christchurch earthquake response, and it is thought that most local welfare committees are giving the issue more thought since then.

- If there was a common concern regarding welfare management at a local level, it is the reliance on community volunteers for welfare delivery. Authorities struggle to source and retain volunteers, and to train them where present. There was also a stated overreliance on retired people. It is clear there needs to be significant time and effort invested in recruiting, training, and maintaining the interest of volunteers (see page 15).

- Nevertheless, the general perception is that welfare at a local level is relatively well organised, with good support from the various agencies involved, and strong commitment from some very dedicated individuals. Most Chief Executives, elected representatives, and others engaged in CDEM expressed confidence that local welfare would be managed well in an emergency.

- **Local authorities** are responsible for the development, monitoring and implementation of a Local Welfare Plan and any supporting plans, e.g.:
  - Evacuation plan.
  - Companion animal emergency welfare plan.
  - Donated goods management plan.
  - Volunteer management plan.
- There is a **Local Welfare Committee** (or equivalent network) that meets regularly and:
  - Has good participation from a range of local welfare agencies, who understand their roles and responsibilities in respect of the committee and CDEM welfare.
  - Plans for, and examines welfare delivery issues.
  - Builds an understanding of the local community particularly vulnerable groups.
  - Undertakes impact/needs assessment of affected communities.
  - Undertakes training and exercises as a group.
  - Has a good relationship with the regional Welfare Advisory Group.
- There is a **Local Welfare Manager** identified who:
  - Convenes a Local Welfare Committee (or equivalent network) and makes arrangements for the delivery of CDEM welfare.
  - Is responsible for the management of local delivery of welfare services during an emergency, including the coordination and support of welfare centres.
  - Is the principal advisor to the Local Controller on welfare service delivery during an emergency.
  - Liaises with the Local Recovery Manager.
  - Works closely with the local CDEM personnel.
  - Manages the collection, analysis and reporting of emergency registration data.
  - Establishes a recovery centre in conjunction with the Local Recovery Manager and welfare agencies.
  - Builds strong relationships with welfare agencies, understanding local capacities to deliver welfare services during an emergency, and addressing gaps.
  - Liaises with the Group Welfare Manager and neighbouring Local Welfare Managers.
  - Facilitates welfare training and exercises.
  - Recruits, engages and manages welfare volunteers.

A Local Welfare Response – Waimakariri District Council, Canterbury CDEM Group
Sandra James, Social Recovery Manager

Many lessons were learned about how to deliver a safe and professional welfare response following the 4 September 2019 Darfield earthquake. Unfortunately the 22 February 2011 event provided a further opportunity to refine the process.

The communities immediate welfare needs were:
- Food and water
- Information about 'what to do now'
- Emergency financial support
- Vulnerable populations needing assistance
- Psychological support
- Physical assistance, e.g. liquefaction clean-up, repairs, shifting assistance etc.

How we met the communities welfare needs:

- Welfare Centres and sector posts.
- Developed a coordinated/integrated model that identified community leaders.
- 'Outreach' Services – targeted assistance to vulnerable populations.
- Provided support through existing social and community support services.
- Good, clear, relevant and up-to-date information distributed through multiple communication channels.
- Many communities helped each other – many, many spontaneous volunteering projects.

What did we learn?

- We needed a local inter-agency group with both operational and clinical practitioners who could provide advice on managing complex situations.
- We needed a leadership structure that had clear systems and processes with a strong strategic planning function, and clarity about operational, clinical and volunteer roles – so the right people were doing the right jobs.
- We needed a better needs assessment process and trained triage/case management workers to identify multiple needs and solutions.
- There needed to be a clearer understanding between EOC, welfare centres locally and regionally and understanding of national supports available.
- We needed better systems for sharing information between welfare centres regarding at risk residents
- Communication in and between teams on multiple shifts needed to be actively managed.
- Existing networks, groups, organisations and agencies are well placed to respond and have relationships with our most vulnerable citizens – they are best able to continue to support them.
- We needed processes and structures to support spontaneous volunteers and manage donations.
- Welfare is more than welfare centres - many people won't come to welfare centres – some will come that don't need to!
- Welfare centres can create dependency.

What worked well?

- Regular information updates to those most affected through multiple communication channels (radio, print, daily newsletters, welfare centres, sector posts, mobile information centres, phone line).
- The establishment of a leadership model that utilised community expertise and networks so there was a clear understanding of who was delivering what.
- Working in 'geographic' areas and working with local agencies and organisations – local people with local knowledge helping local people – and people can be referred to the relevant service.
- Existing relationships and community knowledge were invaluable.

17 Lifelines Coordination

	Highest 100.0%		Natl Avg 69.2%	Lowest 42.0%		
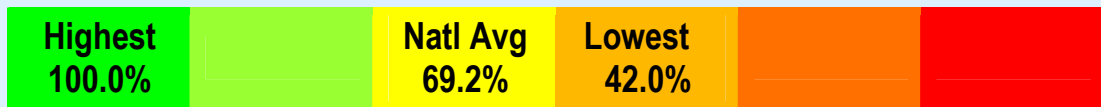
Goal 3, Objective B, Key Performance Indicator 10: Lifeline utilities are coordinated in response

1	Appropriately-qualified Lifeline Utility Coordinator is appointed, including alternates	60.0
2	Lifeline utility coordinator is trained; has participated in exercise(s) (as a lifeline utility coordinator)	60.0
3	Critical points of contact (lifelines) are pre-identified and maintained for accuracy and currency	83.8
4	A lifelines group is established and has adequate representation from lifeline utilities	81.3
5	There is a CDEM Group representative on the lifelines group	96.3
6	Lifelines group has an agreed work programme or targets	62.7
7	Lifelines group identifies threats to lifeline utility operation	73.8
8	Lifelines group communicates threats to lifeline utility operation, and promotes risk reduction	61.4
9	Threats are being mitigated against in council land use planning	48.0
10	Threats are being mitigated against in lifeline utility business continuity management	65.0
		69.2

DISCUSSION

- Most CDEM Groups have a Lifelines Advisory Group as a direct component of their structure, or an Engineering Lifelines Group that works in close association with them.

- Lifelines groups are comprised of local authority and commercial utility representatives, as well as other subject matter experts. There is a nominated (and usually revolving) Chair of the group from within its representatives, as well as, in most cases, a Project Manager that manages any work programmes of the group.

- Lifelines groups meet regularly (usually 1-4 times per year), and appear to be generally well attended. Funding of lifelines groups is variable, with some funded directly by the CDEM Group, and some by member contributions. No funding model is preferred over another; what is important is the participation of lifeline utilities and that members feel they 'own' the group, and the group provides benefit for them and the wider CDEM Group.

- The functioning and effectiveness of lifelines groups varies, with some groups being well-established, having stable representation, a comprehensive work programme, and delivering tangible project outcomes that are relevant to member utilities as well as to the wider CDEM Group. In comparison, other groups are in their relative infancy, and are working through purpose, function, roles and responsibilities.

- Like all committees or groups there is a risk of stagnation when meeting frequency drops off – there has been some examples of this. But generally lifelines groups are performing well, in some cases representing an absolute strength of the region.

- Having an agreed programme of work has helped many groups focus attention. At a minimum these work programmes have identified hazards and risks and threats to lifeline utility operation. More advanced projects have comprised identification of hotspots, critical resources, critical sites, asset vulnerability analysis, fuel contingency planning, and information sharing resources, e.g. GIS viewers. Lifelines groups generally also help advance members' thinking on risk and business continuity management, and promote better relationships amongst organisations and peers. Many individual members report value to them in this alone.

- Most Lifelines groups were previously not represented on the Coordinating Executive Group, but this was a consistent recommendation of regional capability assessment reports, and it is thought that nearly all groups now have this representation. This is useful because it provides the Coordinating Executive Group better awareness of and involvement in lifelines activities, and provides the Lifelines Group with a better understanding of its strategic purpose and context within the CDEM structure.

- In terms of response, approximately half of CDEM Groups had a Lifeline Utility Coordinator identified at the time of their assessment; the best prepared Groups have a pool of trained coordinators that gives them redundancy in the position and flexibility to deal with absences. Lifeline Utility Coordinators perform a vital role in an event, linking the Group Emergency Coordination Centre with the operational functioning of lifeline entities as they respond to an unfolding situation.

- The role of a Lifeline Utility Coordinator in a Group Emergency Coordination Centre is not always well defined however. Controllers, in particular, need to better understand what Lifeline Utility Coordinators can do for them in an event.

- Lifeline utility coordination protocols have been developed in some areas but this is by no means consistent and should perhaps be a priority area of work (for both lifelines and Group Emergency Coordination Centres).

BEST PRACTICE

Lifelines Groups

- All regional lifelines organisations should be members of, and attend, the Lifelines Group. This includes local council utilities (road and 3-waters).

- The Lifelines Group should:
  - coordinate vulnerability assessment, mitigation and preparation (especially engagement and relationships) with regional lifeline utilities.
  - engage in projects of regional significance, focusing on risk-reduction and mitigation issues affecting multiple lifelines.
  - have a defined project manager (separate to the chair) who can manage and steer projects as they are defined and perform secretary and treasurer roles for the group. (NB: this role is separate from the role of operational Lifelines Utility Coordinator, even if the same person performs both roles).

- The Chair of the Lifelines Group should be a senior manager of a represented lifeline, and a co-opted observer at Coordinating Executive Group meetings.

- If the Lifelines Group is a sub-group of the CDEM Group, it should have a Coordinating Executive Group-endorsed work-plan and budget.

- If the Lifelines Group is a separate organisation from the CDEM Group, then a CDEM Group Emergency Management Officer (or similar) should be actively involved in the Lifelines Group, and the Coordinating Executive Group regularly updated on Lifelines Group activities.

Lifeline Utility Coordination

- A CDEM Group Emergency Coordination Centre should have processes and procedures developed for a Lifeline Utility Coordination cell/function which are integrated with the Group Emergency Coordination Centre.

- The Group Emergency Coordination Centre should have a prepared Lifelines Co-ordination protocol detailing how regional lifelines should engage with the Group Emergency Coordination Centre during an event.

- Lifelines Utility Coordinator function should ideally consist of a Lifeline Utility Coordinator, team members, and lifeline liaison officers (where possible for key lifelines).

- The Group Emergency Coordination Centre should have prepared Lifelines utility Coordination standard operating procedures detailing how the Lifeline Utility Coordinate team will function within the Group Emergency Coordination Centre during an event.

- A CDEM Group should have a nominated and trained Lifeline Utility Coordinator (and designated and trained alternates) for response operations. The Lifeline Utility Coordinator should be:
  - actively involved in the regional lifelines group in order to become familiar with the issues affecting these lifelines and to develop relationships with points of contacts within regional lifelines.
  - familiar with the National Crisis Management Centre national sector coordination arrangements and plans.
  - involved in response and recovery planning.
- Group Controllers should be familiar with the role of Lifelines Utility Coordinator and what the role does/doesn't do.
- Local Emergency Operations Centre arrangements should include how council utilities (roads and 3-waters) report into the Emergency Operations Centre, and how they communicate with the Group Emergency Coordination Centre Lifeline Utility Coordinator.

West Coast Engineering Lifelines Group – West Coast CDEM Group
Nichola Costley, Group Emergency Management Officer

The West Coast Engineering Lifelines Group (WCELG) was formed in 2003. The purpose of the WCELG at that time was to strengthen relationships with those groups or organisations that the lifeline utility providers may have to depend on during an emergency and to ensure that key decision makers understood the utilities priorities and constraints. This purpose remains the same today.

For the past several years the WCELG has consistently met twice a year. The membership involves the traditional lifeline utilities but also includes Solid Energy as a major potential equipment provider as well as a local fuel transporter/distributor.

In 2006, a series of lifeline studies were completed in each district and for the region which detailed the effects of a M8 earthquake on the Alpine Fault. An outcome to the studies was identification of expected lifeline reinstatement priorities and detailed lists of tasks lifelines utilities could undertake to better improve their resilience. As a result, a standing item on the agenda of each meeting is an update of what organisations have done in the past 6 months towards enhancing resilience partly based on the areas identified through the studies as well as recognition of the effects of actual events. This has been particularly useful as a means to ensure action is taken. A review of the lifeline reports and the progress in implementing these actions is in the pipeline.

The WCELG does not have a budget to undertake specific projects as such. Instead, as projects of worth are identified funding is sourced through contributions of the member agencies, or as funding applications to EQC, Envirolink etc. Operating in this manner ensures that those projects determined to be of high importance are progressed. Some of this work has included the Fuel Storage Report, Fault Avoidance Zone, and Landslide Susceptibility Study.

Overall the WCELG has a pragmatic and practical approach to the work they do individually as organisations, and in regards to the wider group, which has stood them in good stead.

The Chair of the WCELG sits on the Coordinating Executive Group. This 'cross-pollination' approach has enabled better understanding of the purposes of, and the work that is being carried out by, the two separate groups.

18 Recovery Planning

RESULTS

	Highest 82.4%	Natl Avg 45.1%		Lowest 9.9%

Goal 4, Objective A: Implement effective recovery planning activities

1	Structures, roles and responsibilities for recovery are pre-determined and documented	40.6
2	Recovery Managers are identified, trained, supported and ready to perform the role	57.0
3	Recovery Plan outlines arrangements for holistic recovery management	48.8
4	Recovery planning is integrated with risk reduction and other community planning	32.5
5	Arrangements for the transition from response to recovery are pre-defined	46.8
		45.1

Note: these results represent the 'objective' rather than 'performance indicator' level

DISCUSSION

- Recovery is by far the weakest of the 4Rs according to the findings of this assessment programme.

- CDEM Groups consistently scored the lowest in this goal, in many cases reaching the 'requires attention' zone across much of their Goal 4 spider diagram. Most interviewees acknowledged that recovery was the 'poor cousin' of emergency management and needed to be more fully understood and embedded across their Group and/or district.

- 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. This is in spite of the most significant recovery effort (in terms of time, effort, scope, expense and likely duration) that New Zealand has ever seen. The reason for this is twofold: firstly, it has increased the fatalistic tendencies of some senior council leadership that you 'can't plan for that kind of event'; secondly, the establishment of CERA has led many to believe that the Government would 'step in' to any significant recovery event, thus lessening the role that they would have to play. Both of these attitudes have obvious flaws, but they illustrate some of the problem of attitudes to recovery that are still very much pervasive across the sector.

- Most interviewees do have a good understanding of the principles of recovery; the importance of it is even repeatedly stated. However this has not translated into much planning or action in most areas.

- Recovery plans exist in many places, but for the most part these are fairly basic in terms of content. Furthermore, little to no exercising of recovery processes takes place, meaning capability in this area is something of an unknown quantity.

- Business continuity planning is a key part of recovery planning as it forms the basis for the resilience of an organisation, and the speed at which an organisation is able to recovery from adverse events. As noted on page 82, business continuity was not found to be strong across local authorities and this will affect their ability to respond and recover.

- There is too little recognition by Chief Executives and other senior council management that recovery is the single largest aspect that could potentially sideswipe their Long Term Plan over the longer term. There is very little evidence that local authorities fully comprehend this risk. Generally it is deemed unlikely that the majority of Chief Executives and/or Mayors understand or have been briefed on the extent of resource and funding commitment that would likely be required in recovery from a 'typical' event. This may have improved 'post-Christchurch', but again, there is little evidence of anyone acting on that.

- Stronger engagement by Coordinating Executive Groups in recovery planning issues would help raise the profile of recovery and give more weight to the discipline.

- There is a Group Recovery Plan and local recovery plans that are reviewed regularly for currency.
- There are plans and procedures for the transition from response to recovery.
- There are plans for the establishment of a recovery office and subgroups, including likely members, tasks and actions.
- Chief Executives and Mayors understand the full extent of resourcing and funding that may be required for recovery after events.
- The Coordinating Executive Group proactively looks for opportunities to educate council departments on recovery issues.
- Recovery is promoted as a vital part of organisational resilience and comprehensive CDEM.
- Recovery issues are considered as part of exercising.

Recovery Planning and Management in Gisborne CDEM Group
John Clarke, Recovery Manager, Gisborne CDEM Group

Recovery Planning
Gisborne has a good understanding of the principles for recovery. The Group Recovery Plan includes robust systems and plans for the recovery process, including the transition from response to recovery, structures, agency roles and responsibilities, and task checklists. As the Recovery Manager I meet with respective council staff who will be involved with recovery to make them aware of possible requirements from them. Recovery is considered at the time of the response with solid links between welfare and recovery.

Recovery Managers
Recovery management is well serviced across the Group with myself and an Alternate Recovery Manager appointed and trained on the MCDEM Recovery Manager course. In my position as Recovery Manager, and also Alternate Controller, I also sit on the Coordinating Executive Group. This strengthens links pre-event and in particular during an event between response and recovery relating to the transition stage.

Having previously been Mayor, as the Recovery Manager I believe I have a level of credibility within the council and with response and recovery staff. I have a practical understanding of the economic, fiscal, societal, cultural and environmental vulnerabilities of the Group, and a clear understanding of recovery processes. Crucial experience was gained in recovery following the 2005 floods and the 2007 Gisborne earthquake. I appreciate the need for sound leadership and strong influencing skills, which are essential for this role.

Recovery Exercising
Gisborne CDEM Group undertakes recovery exercising, often carrying the response phase of the exercise on into recovery. I believe recovery exercising is important for keeping recovery managers current in their roles, integrating the role of recovery into the Emergency Operations Centre, and practising the transition from response to recovery.

Learning from Recovery
Gisborne CDEM Group learnt a lot from the experience we had during Cyclone Bola, the 2005 Floods and the Gisborne earthquake, and in this respect I believe the Group is well placed in respect to recovery. A good example of learning from recovery is work that has been done to strengthen buildings in the Gisborne region following the 2007 Gisborne earthquake.

19 Recovery Managers

Highest 100.0%		Natl Avg 57.0%	Lowest 21.3%	

RESULTS

Goal 4, Objective A, Key Performance Indicator 2: Recovery Managers are identified, trained, supported and ready to perform the role

1	The Recovery Manager role is defined (by terms of reference or job/role description that includes expected responsibilities and functions)	66.3
2	There is a formal/documented process for the selection and appt of Recovery Managers	48.8
3	An appropriately qualified Recovery Manager, and alternate(s), is identified and formally appointed	70.0
4	Recovery Managers have a good working knowledge of the organisation's CDEM roles and responsibilities, plans and procedures	70.0
5	There is a programme of CDEM professional development for Recovery Managers	45.0
6	Recovery Managers have participated in a CDEM exercise in the last 2 years	51.3
7	Recovery Managers have been delegated the power to make decisions and commit financial resources	46.3
8	Recovery Managers have the confidence to act, to the same degree as Controllers	52.5
9	Group and local recovery managers have frequent opportunities to interact (in 'peace time')	50.8
		57.0

DISCUSSION

- Most Groups and individual local authorities have appointed recovery managers. However this is often because 'they know they have to', and there has not been much development of the roles and responsibilities of the position.

- The selection of recovery managers does not always appear to be very logical, with many not reflecting the potential gravity of the role, and the responsibilities they will carry. It seems almost as if some are 'placeholders', and that if the situation is serious enough, the Chief Executive or other senior representative would step in. This strategy may be acceptable if only those senior representatives would take a more active interest in recovery planning before an event, and participate in capability development. A senior council manager or director (i.e. 2nd tier) is certainly where the role most appropriately sits given the impact a significant recovery effort would have on a range of council functions.

- Recovery managers have a role that is potentially commensurate with that of Controller. It is critical that the range of skills required to perform effectively in the recovery manager role are considered when appointing recovery managers.

- For any recovery to be successful, a recovery manager must have a good understanding of the economic, fiscal, societal, cultural, and environmental vulnerabilities of the district or region, and have a clear understanding of the processes that will enable recovery. Additionally, strong leadership and influencing skills are essential, along with the ability to manage complex situations and deal with ambiguity in fast-changing environments: While a few individuals fit this description, most do not.

- Most appointed recovery managers have at least attended the MCDEM recovery training. However this is usually where their capability development ends, and there is little in the way of regional recovery managers training or development.

- A handful of regions hold an annual recovery managers forum, and this is certainly useful for all recovery managers in the region to discuss issues and share peer learnings.

- Ideally recovery managers would receive training that includes planning and legislation awareness, particularly around the Resource Management Act, Building Act, Long Term Plans, and regional planning processes. Many of these instruments provide opportunities to advocate for risk reduction, which is a vital part of recovery and 'building back better'.

BEST PRACTICE

- **Recovery managers** are:
  - Selected according to a criteria to ensure candidates are appropriately qualified.
  - Appointed and reviewed through a formal process by the Joint Committee.
  - Sufficiently senior to allow them to take expenditure and planning authority.
  - Preferably not contractors to the Council.
- Recovery managers understand:
  - The structures, functions, and personnel of council.
  - The economic, fiscal, societal, cultural and environmental vulnerabilities of the district and/or region.
  - The processes that will enable recovery.
- Recovery managers meet regularly with relevant council staff that will be involved in recovery and ensure roles and responsibilities are understood.
- Response arrangements allow the Recovery Manager to step into that role as soon as an emergency response starts, with a view to taking control of the operation when the recovery phase officially starts.

CASE STUDY

Recovery Managers in Taranaki CDEM Group
**Louise McLay, Group Recovery Manager**

The core philosophy behind the Taranaki CDEM Group Recovery arrangements is that networking is paramount. The Recovery Manager attends Coordinating Executive Group meetings, as well as other advisory group meetings, workshops and training. This enables both an awareness of CDEM work programmes for the Recovery Manager, and allows for networks to be established and maintained. The Recovery Manager is based in north Taranaki with an alternate Recovery Manager based in south Taranaki.

It was found initially that most CDEM stakeholders had a limited understanding of the Recovery Plan. This was rectified by the Recovery Manager by providing presentations at meetings to all CDEM partners, and on an ongoing basis. This ensures that recovery is on the agenda, a 'current' subject, and that recovery projects are included in CDEM Work Plan.

When an event occurs and the Emergency Operations Centre is activated the Recovery Manager is included on the core call-up list. The Recovery Manager is required to participate in briefings and remain informed of events as the response develops. This has the advantage of the Recovery Manager having a demonstrable and visible transition to authority from the Controller and to inherit the relevant networks and communication lines. The Recovery Manager must know and have the confidence of the personnel in the Emergency Operations Centre and in the wider CDEM network. The Recovery Manager must be able to influence decisions and have the trust of the communities and political members within a territorial authority. It enables the Recovery Manager to pick up the phone and give key people a call and to develop plans around the Taranaki community's strengths. The Recovery Manager must be respected and be able to stand up for what he/she believes is the correct course of action in a recovery.

20 Recovery Management

RESULTS

	Highest 80.3%		Natl Avg 48.5%	Lowest 20.8%	
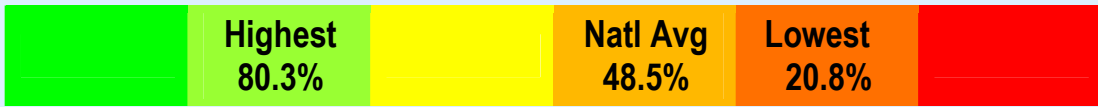
Goal 4, Objective B: Enhance the ability of agencies to manage the recovery process

1	Impact assessments are conducted before, during and after events in order to inform recovery planning and management	44.1
2	Plans and procedures for establishing a recovery centre or 'one-stop shop' are in place	39.0
3	The community is an integral part of recovery planning and management	45.6
4	Information management systems are effective in supporting recovery management	45.5
5	Processes for learning from emergencies are embedded in the organisation	68.4
		48.5

Note: these results represent the 'objective' rather than 'performance indicator' level

DISCUSSION

- There are a handful of Groups that have experienced an 'active' recovery process, and this has certainly helped shape their thinking. These Groups subsequently tend to take recovery planning and management a lot more seriously than other Groups.

- Pre- and post-impact needs assessments are particularly important for informing recovery processes and requirements. Ideally a pre-impact assessment would be conducted to inform recovery planning. Aspects such as deprivation rating of communities can be significant: areas with high deprivation ratings are likely to experience comparatively significant and prolonged hardship in terms of recovery, and this needs to be taken into account at the outset. Post-impact needs assessment can inform not just short-term welfare needs, but likely longer-term recovery needs. This is an area that has received too little attention from the majority of Groups/districts. It links in with resilience – if you have a good idea about the resilience of your communities and organisation, it will inform recovery requirements (as well as steps that can be taken to improve the level of resilience in the meantime).

- Some Groups do have plans with robust systems and functions in place for recovery, including the transition from response to recovery. Furthermore, there are some really useful initiatives in place when you look beyond what is labelled 'recovery', for example at least one council is known to have a building engineering team (including volunteer engineers from outside of council) that meets regularly, with an awareness of their requirements during the response and recovery phase of an emergency for processes like rapid building assessment. This is an excellent practical example of an initiative that could make a meaningful difference to a recovery effort.

- Some simple thought about the likely needs and requirements in recovery – across the four environments, social, built, economic, and natural – and coming up with practical ideas as above could make all the difference in a recovery event, where speed may be of the essence in providing confidence to the community.

- It is also critical to consider how you will involve the community in recovery decision-making, and this again is an area that is lacking in most cases. Examination of successful and less successful methods used during the Christchurch earthquake response/recovery would likely be beneficial to most authorities.

- While nearly all Groups and Group members have plans for operating welfare centres in periods of response, there has been relatively less thought about recovery centres. This, too, may be a crucial function in a long-term recovery effort and it is worth thinking through how such centres would function, where they would be located, and who would be involved.

- Taking lessons from recovery from events and feeding them back into risk reduction, readiness and response planning seems logical, but is too often neglected. Many interviewees could cite the impact of events they had experienced in their districts, but there was little evidence of those issues being incorporated into land-use or urban planning, or other risk management processes within individual councils. Most councils did not seem to have any deliberate processes for doing so.

- Even with the Christchurch earthquake event that could provide numerous lessons for response and recovery (as well as risk reduction and readiness), there is little evidence that other councils have actively examined those issues to see whether there is anything they can do to improve their own resilience to such events.

- It would be useful to see local authorities having more explicit conversations about incorporating lessons from events in their (and others') districts into their business processes so that risk can be reduced and resilience improved.

- Recovery may, in some cases, be the most significant impact a community can face – it may not be the most important of the 4Rs, but it is worth more time and effort than it is currently receiving.

BEST PRACTICE

- There are robust systems and functions in place for recovery, including the transition from response to recovery.
- There is a mechanism for impact and needs assessment in recovery.
- There are templates and procedures for developing a recovery action plan.
- There are procedures for the establishment of recovery centres or 'one-stop-shops'.
- There are plans for how to include the community as an integral part of recovery processes.
- There is pre-event planning for public information management in recovery.
- There is consideration of the psychosocial impacts of emergencies, and how they would be managed in recovery.
- There are mechanisms for actively incorporating lessons learned from the response to and recovery from events back into risk reduction planning and activities.
- Districts and Groups who have not experienced recovery from an event should actively seek to learn lessons from those that have.

CASE STUDY

Recovery Management in Waimakariri District Council
Simon Markham, Recovery Manager, and Sandra James, Social Recovery Manager

"We will not be measured by the kilometers of pipe and road that we replace, but by how our people come through this." Jim Palmer, CEO, Waimakariri District Council.

This statement framed our Recovery approach following the September 4th 2010 Earthquake. Our community faced severe land/house damage to a 1/3 of the housing stock in Kaiapoi, 60% in Pines Beach and all of Kairaki Beach. 40% of businesses were severely affected, and there was severe damage to roads, bridges, water mains and water supply pump stations, gravity sewer, and sewer pump stations.

Faced with a recovery effort that was far greater than we'd ever imagined, we adopted the following principles to guide our work:

- People and business first, engineering second.
- We will work with the community's strengths – its people and the existing networks.
- We will closely engage with our residents – not just deliver 'comms'.
- We will be accessible, available and visible in the community.
- Physical works is just one of the tools for achieving recovery.
- We will develop a partnership approach to deliver recovery.
- Integration and co-ordination are critical – the process of recovery is an important aspect of success.
- Working at the local scale is important –so we are close to the issues and having a sense of 'progress' is essential.

In the Recovery Assistance Centre a government/non-government partnership worked well to deliver the community's immediate recovery needs of food and water, financial assistance (both individual and business support), accommodation issues (housing and tenancy issues), building enquiries, psycho-social support. A 'case management' approach made sure that individuals' 'multiple' issues were identified by existing social service providers in the community who were best able to provide information and linkages to the right services. A local council staff member was a friendly face on reception and the local volunteer Red Cross provided a welcoming place to sit and chat and have a cup of tea. Leadership in priority areas was put in place so that informed decisions could be made by those who best understood the issues and were best able to deliver the solutions. It also meant there was consistency around service delivery. For example in the psycho-social area – every week there were new counsellors arriving from Australia to work in our community. Our psycho-social coordinator would brief them on arrival, provide maps and data collection forms and debrief at the end of the shift, and refer those who needed it onto community based services. That way we were able to ensure a 'wrap around' service was delivered.

We then established an Earthquake Hub which brought together the key players on one site to facilitate a coordinated, integrated approach. About 60 people work on site including the Support Coordination service (17 workers, working with affected households), the Earthquake Community Development team, the Business Support, Earthquake Communications, Earthquake Information and support service, CERA, EQC, Temporary Accommodation Service, Fletchers, Arrow and Insurance Companies.

There is an overarching strategic framework that plans and moves forward key recovery priorities with key stakeholders. Examples of priorities for 2012 are: Town Centre Plans, Red Zone Transition Management, Green Zone Re-build Programme, Community Facilities and Reserves, Growth and Development, and Community Support and Regeneration.

Lessons we have learned from recovery:

- Leadership, co-ordination and collaboration are vital – recovery is like a patchwork quilt – every patch has to fit together with the next – within and between public and private sector integration and co-ordination is crucial and requires constant attention.
- Recovery is about communities and people, not just rebuilding physical things.
- Communities must be involved in their recovery – this is about 'trusting' local wisdom and forming true partnerships.
- Recovery can take a long time – we need to work with what's in the community so it is sustainable and continually learn and review to do the best for our people.
- Pre-existing relationships are vital including a clear understanding of who does what – we do not necessarily need to bring in 'new' services – but rather build capacity within existing services so they can step up. Work with what's in the community.
- Knowledge and information are important to the community, community engagement and communication needs to be a priority.
- Economic recovery is vital.
- We need to be adaptable, flexible and responsive to meet changing needs.
- Recovery is relentless, unpredictable activity that clearly benefits from effective, established planning and management frameworks.
- Staff welfare is essential – in the short, medium and long term.
- "Ideas are easy. Implementation is everything".

21 CDEM Group Joint Committee

RESULTS

	Highest	Natl Avg			Lowest
	97.0%	**62.1%**			**15.0%**

Enabler, Objective B, KPI 1: CDEM Group Joint Committee includes appropriate level representation and has formalised procedures

1	Joint Committee representation is in accordance with section 13(4) of the CDEM Act (i.e. Chairpersons of local authorities, or by elected persons from local authorities who have delegated authority to act)	96.3
2	Joint Committee meets at least quarterly	62.5
3	Joint Committee representatives are briefed on their roles/responsibilities in respect of CDEM	56.0
4	Joint Committee representatives understand their roles/responsibilities in respect of CDEM	55.0
5	Joint Committee has procedures for collating, assessing, producing and distributing reports to agencies	70.7
6	Joint Committee representatives meet with their CEG representatives or emergency management personnel regularly and are well briefed on key issues	61.3
7	Joint Committee members take an active interest in CDEM matters	55.0
		62.1

DISCUSSION

- CDEM Group Joint Committees generally scored quite well on the Capability Assessment Tool, but were found to have some serious issues when discussed in more detail during interviews.

- It was not uncommon to hear Joint Committee meetings described by members as 'dull', 'boring', 'an exercise in rubber-stamping', and 'something we try to get through as quickly as possible'.

- Revealing performance measure scores were those for Joint Committee members being briefed on roles/responsibilities, understanding their roles/responsibilities, and taking an active interest in CDEM matters – scoring around 50%.

- For the most part, Joint Committees do not seem to understand the extent of their accountability for CDEM, or practice the leadership that they should. Governance is for the most part 'passive'. In general, it is fair to say that Joint Committees are not functioning quite as the CDEM Act 2002 intended they should.

- The main issue appears to be that Mayors (and other elected representatives) are not being fully or correctly briefed on their responsibilities in respect of CDEM, and are subsequently not getting the level of engagement during and outside of Joint Committee meetings that would engender greater buy-in to and investment in CDEM. As a result, they do not feel the personal and collective responsibility for CDEM that they should, and they do not consider it a priority for themselves or their organisation.

- Very few Joint Committee members are formally mandated by their organisations to make decisions that bind them. Where this arrangement exists, the Joint Committee becomes a powerful entity, entrusted by its Councils, that can rapidly effect CDEM for its communities across the CDEM Group.

- Many Mayors and elected representatives also fell into the trap of defining CDEM as 'civil defence' – in their minds, 'training, equipment, and Emergency Operations Centres' – and thus it is no wonder that they do not see this as particularly relevant to them.

- It is important that Mayors and elected representatives are engaged in, if not champions for CDEM – in its widest sense – for three main reasons:

  1. In an emergency <u>the community will look to the Mayor for leadership</u>; a Mayor needs to be up-to-speed, aware of the issues and any pitfalls, and be prepared to take a spokesperson role.

  2. Mayors and other elected representatives should be concerned for the continuity and reputation of their council, and the safety of their communities. Elected representatives who understand CDEM-related issues can advocate for issues, ensure those issues are addressed, and generally enable CDEM-related work programmes (inside and outside of their organisation).

  3. The CDEM Group Joint Committee is the avenue by which Mayors can <u>assure themselves that the collective (region) is working as it should</u>, is compliant with the CDEM Act, and their neighbouring authorities have the capability and capacity to work together before, during, and after events – as a support network, and to create efficiencies.

- Relatively few Joint Committee members seemed to 'get' this, and it is clear that in most cases, CDEM has not been sold to them in quite the right way.

- In the future there needs to be a concerted effort to craft Joint Committee agendas in ways that are interesting and engaging. Joint Committees need a chance to discuss issues and be part of the process, not just be the signature at the end of the process. There could also be greater attempts to 'contextualise' CDEM for members, e.g. by slideshows, expert talks, and site visits. These also need to span the range of activities and functions we consider 'CDEM-related'. CDEM can often seem like an intangible (especially compared to some other functions of councils); it needs to seem more tangible and 'real' to members.

- Joint Committees need to understand that they 'own' the CDEM Group Plan, and are accountable for the delivery of it on behalf of their communities. The Coordinating Executive Group will oversee delivery and day-to-day management, but the Joint Committee should monitor progress on it, and at all times be assured that activities are taking place that will enhance the resilience of their region.

- Representatives demonstrated a reasonable understanding of the concepts of readiness and response, and more readily embrace these aspects than the less tangible concepts of reduction and recovery. It appears that representatives have some knowledge of the concept of reduction, but not their role in it. Reduction and recovery are the areas of CDEM which rely on Joint Committee members advocating through their local authorities to have CDEM aspects incorporated into local processes and decision-making such as district plans, Long-Term Plans, and other community-focused planning.

- Mayoral representation at the Joint Committee is sometimes delegated to another elected representative. This is acceptable – especially if that representative has more time to offer – although not preferable; the Mayor must still be engaged in CDEM to the fullest possible extent as his/her individual, organisational, and regional responsibilities still stand.

- The Mayor and/or Joint Committee representative should not be the only elected representatives engaged on matters of CDEM, for two main reasons.

  1. The Mayor is only one vote on Council, and support will be required from across Council if CDEM is to be implemented thoroughly within the organisation.

  2. Experiences during the Christchurch earthquake demonstrated that all elected representatives will want to be involved in their community's reaction to a major emergency, and as such, it is important that those representatives have a good idea of roles and responsibilities, structures and processes.

- There is significant opportunity for all Councillors to understand the role that they have within CDEM across all 4Rs. Ideally all Councillors would have good awareness of hazards, risks, and actions necessary to address and mitigate them, as well as processes and procedures that enable response and recovery. Joint Committee representatives should shoulder a responsibility for ensuring their councillor colleagues are briefed and as up-to-date on issues as they are.

BEST PRACTICE

The **CDEM Group Joint Committee** (or Unitary Authority meeting as a committee of Council) should:

- Be comprised of Mayors (or Mayor and Councillors for a Unitary Authority).
- Have a regional focus.
- Practice governance and exhibit leadership.
- Understand its roles and responsibilities.
- Understand it owns the CDEM Group Plan.
- Understand it is ultimately accountable for the delivery of the outcomes of the CDEM Group Plan.
- Actively instruct the Coordinating Executive Group.
- Understand all members are equal (i.e. the regional council does not have a greater role).
- Meet no less than 4 times a year.
- Have an agenda that is structured around the 4Rs.
- Ensure its members report activity back to their individual councils.
- Ensure its members are prepared to undertake a community leadership role in an emergency.

22 Coordinating Executive Group

RESULTS

	Highest 98.4%	Natl Avg 72.4%	Lowest 37.6%	

Enabler, Objective B, Key Performance Indicator 2: Coordinating Executive Group includes appropriate level representation and has formalised procedures

1	CEG representation is in accordance with section 20(1) of the CDEM Act	86.3
2	CEG includes representatives from Police, Fire, Health and Lifelines Groups (and others as identified by the CDEM Group) at a rank/level that carries executive authority to participate effectively in the group	91.3
3	There is a good degree of continuity of representatives at CEG meetings	81.3
4	CEG meets at least quarterly	68.8
5	CEG representatives understand their roles and responsibilities, and act on them	61.3
6	CEG agendas cover Group-wide emergency management subjects and issues that permit multi-agency discussion	65.0
7	CEG has procedures for collating, assessing, producing and distributing reports to agencies	81.3
8	CEG representatives meet with their emergency management staff regularly and are well briefed on key issues	67.5
9	CEG members take an active interest in CDEM matters	68.0
		72.4

DISCUSSION

- Coordinating Executive Groups scored one of the highest of all indicators with an average of 72.4%. However, like the Joint Committee, on deeper questioning in interviews some issues were revealed and suggestions made that could improve the functioning of Coordinating Executive Groups.

- For the most part Coordinating Executive Groups comprise representation that is in accordance with the CDEM Act. There was a variation in meeting frequency across the country, but most met approximately quarterly. Some met more regularly, and/or as circumstances dictated, which had proved useful for them; conversely, some met two times per year or less, and this was deemed not very effective. Keeping a regular meeting schedule is important for keeping CDEM on the agenda, for monitoring activity, and for conducting business and making progress.

- Chief Executive representation at the Coordinating Executive Group is sometimes delegated to a senior manager in council. This is acceptable in some circumstances, although not preferable. If a Chief Executive is not present at Coordinating Executive Group meetings, there is a question of how much of a true mandate the delegated representative has – whether they can make decisions on behalf of their organisation, and/or sign the organisation up to region-wide initiatives. Even Chief Executives cannot make all decisions on the spot (e.g. if they involve significant additional spend), however delegated representatives appeared to have even less authority to commit, which was shown to be not conducive to the effective running of meetings. The absence of Chief Executives also means Coordinating Executive Group meetings carry less 'weight', which in turn often leads to the degradation of the profile and priority of CDEM, and the generally slow rate of progress on CDEM issues.

- If a Chief Executive does not attend Coordinating Executive Group, it is essential that individual is still engaged in CDEM to the fullest possible extent, as his/her individual, organisational, and regional responsibilities still stand. Furthermore, Chief Executives are the enabler of progress within their organisation; having a disinterested, disengaged Chief Executives was shown multiple times to have a detrimental effect on the progress of CDEM initiatives.

- In all, it is preferable that Chief Executives attend Coordinating Executive Group meetings, if at all possible.

- Coordinating Executive Group representatives need to ensure that issues raised, or decisions made at meetings are disseminated effectively into their organisations; this did not always happen. It is particularly important where the representative is not the Chief Executive. In general the links between the Coordinating Executive Group representative and his/her Chief Executive and Mayor/Joint Committee representative were not as strong as they could be; in many cases no conversations took place at all. It should be common practice for these parties to meet (briefly) before and after Coordinating Executive Group and Joint Committee meetings to discuss agenda items and agree actions. It would also be useful for Coordinating Executive Group minutes to be tabled at all individual member Council meetings to ensure the widest dissemination and awareness of issues.

- The functioning of Coordinating Executive Group meetings was deemed mostly acceptable, and certainly more so than Joint Committee meetings. In most cases representatives cited ways in which they could be improved however. Like Joint Committee meetings, Coordinating Executive Group meetings were sometimes reported to be long, 'dry' and 'boring', and a bit of an onerous, unwanted task. Agendas can become lengthy, with a lot of papers to read and digest. It is suggested that a greater meeting frequency would allow groups to have shorter, snappier meetings, with business being distributed more evenly through the year. In addition, like the Joint Committee, there is a need to make meetings and agendas as interesting as possible. It may be useful to consider things like visual presentations rather than lengthy written reports, and workshop-style participation rather than static receiving of reports. All agenda items should be carefully thought through and checked for relevance and necessity. The 'pitch' of the agenda needs to be right as well – somewhere between strategic and operational, without getting into too much operational detail. If a group is struggling, it is particularly important to make these changes.

- Coordinating Executive Group meetings should never be an exercise in 'rubber-stamping'. This group, more than the Joint Committee, has the crucial oversight and management role over all CDEM activity in the region. They are the leaders, the driver of progress, and have a responsibility to at all times set a good strategic direction and ensure there is adequate capability and capacity in place to be able to undertake readiness activities and respond to emergencies. They must also oversee and ensure implementation of the CDEM Group Plan, via regional and local initiatives.

- Not all Coordinating Executive Group representatives fully understood the role of the group, or their role as representative on it, and this was usually detrimental to the overall functioning of the group.

- There was a marked difference between Coordinating Executive Groups in terms of their outlook. For some it was very clear that – at these meetings at least – they were a 'regional team', and their scope was regional. For others it was clear that representatives largely brought an individual focus and were significantly overlooking the regional role of the group.

- Most Coordinating Executive Groups were not rigorous enough in their monitoring of progress. Local authorities, generally, are very good at project management, yet that discipline seems to fall over at Coordinating Executive Group meetings, and there is a distinct lack of executive rigour when it comes to management of CDEM work programmes. It was acknowledged by some representatives that members often abrogated their accountability at Coordinating Executive Group – that, in the collective, accountability wasn't so binding, and it was easier to forget the discipline that is so intrinsic to local authority work programmes. Clearly, this is an issue that needs to be addressed; all groups should have a comprehensive programme of monitoring goals, objectives, and milestones, and reporting on progress thereof.

DISC (Contd)

- It should be noted that a handful of Coordinating Executive Groups are functioning extremely effectively and performing at a level described above.

- There was some difference of opinion when it came to the participation of 'other agencies' in Coordinating Executive Group meetings. For some, the participation of emergency services representatives (in particular), is a bright point: while in the past this might have been patchy (in terms of attendance and participation), emergency services representatives are now considered key partners, have generally active participation in meetings, and are respected for their opinion and perspective they bring to the table. For other Groups, the relationship between the council members and the emergency service members is not quite as close yet, and participation in these meetings (and indeed CDEM generally) is more minimal.

- In summary, Coordinating Executive Groups are by no means 'broken', but most groups can be improved in their efficiency and effectiveness by participating in an active way rather than passively receiving briefings, by monitoring progress and capability, and by acting collectively and having an increased focus on providing leadership of CDEM across the region.

BEST PRACTICE

The **Coordinating Executive Group** should:

- Be comprised of Chief Executives, or delegate who has the mandate to act on behalf of their organisation.
- Have emergency services representatives who actively participate.
- Have a regional focus.
- Give strategic advice to the CDEM Group Joint Committee.
- Understand it is responsible for the effective resourcing and implementation of the CDEM Group Plan.
- Understand it is responsible for the management of the CDEM Group budget.
- Ensure accountability for Group and local CDEM delivery, and actively monitor progress on the Group Plan goals and objectives.
- Understand all members are equal (i.e. the regional council does not have a greater role).
- Have a clear service level agreement with the regional council for Group Emergency Management Office services, and separately for administering authority services.
- Participate in the recruitment process for Group Emergency Management Office staff.
- Direct the Group Emergency Management Office work programme, and have a managerial relationship with that Office.
- Review Group Emergency Management Office performance on an annual basis in conjunction with the regional council.
- Articulate expectations for local work programmes.
- Meet no less 4 times a year.
- Have an agenda that is structured around the 4Rs.
- Ensure its members report activity back to their individual councils/organisations, and that Coordinating Executive Group minutes are provided to Council and to CDEM staff.

23 Group Organisational Structures

Highest 93.3%		Natl Avg 63.3%		Lowest 33.3%	
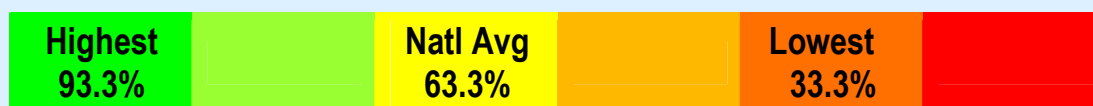
Enabler, Objective B, Key Performance Indicator 3: CDEM Group governance structures are effective in managing CDEM and meeting agreed objectives

1	Degree to which CDEM Group governance structures (Joint Committee and CEG) are effective in directing routine CDEM activity	57.5
2	Degree to which CDEM Group Emergency Management Office is effective in coordinating routine CDEM activity across the Group	72.5
3	The roles and expectations of all member agencies are clear (and understood by all agencies)	66.3
4	Information from CDEM Group and CEG is distributed within the organisation as necessary, and is effective in guiding and informing CDEM activities of the organisation	62.5
5	CDEM Group Plan is effective in guiding the CDEM activities and work programmes of individual members	56.3
6	Degree to which CDEM Group funding is effective in meeting the agreed targets and actions in the CDEM Group Plan	65.0
		63.3

DISCUSSION

- Consistent feedback suggests that Group organisational structures (i.e. Joint Committee, Coordinating Executive Group, Group Emergency Management Office, Regional Welfare Advisory Group, Lifelines Group, and other functional working committees) are in place for all Groups, represented mostly at an appropriate level, and functioning adequately.

- What is also evident from interviews is that while the basic structures are in place, there is still an opportunity to enhance these structures by ensuring roles and responsibilities are well understood by all participants, and that the connectivity (in terms of relationships and information flow) between structures is strengthened. Interviews indicated that in many cases connectivity relies on informal arrangements, often involving one or two key individuals, which represents a risk should those individuals be unavailable.

- It should be an aspiration for all CDEM Groups to ensure their arrangements are systemic, that is, ingrained in organisational systems and not reliant on individuals in order to function effectively.

- Representatives of Joint Committees and even Coordinating Executive Groups had a reasonable understanding of their role in CDEM – especially at a local level – but when presented with a diagram illustrating the various organisational structures within a CDEM Group and how they should (ideally) operate (see Part 1, Figure 14), representatives often acknowledged that they were falling short of their responsibilities.

- There was found to be a wide variety in what people think 'the Group' is. Jargon is a problem for many, especially those who are not involved in CDEM on a day-to-day basis.

- There is wide misunderstanding of the role of two bodies in particular: the Group Emergency Management Office, and the Regional Council as the administering authority for the Group.

- The Group Emergency Management Office is generally 'all things to all people', including the default leadership of the Group in cases where the Coordinating Executive Group and Joint Committee are ineffective. This should not be the case, and places undue emphasis on the nearly-always-stretched Office, as well as giving it a status, role, responsibility and accountability that it should not have. The Group Emergency Management Office is the technical advice, coordinating, planning, support, and facilitating body of the Group, it is not the governance or leadership of the Group.

- As CDEM has evolved since the passing of the CDEM Act, some regions have recognised the benefits of providing other functions centrally from the Group Office, such as training, lifelines, public education, or public information management coordination. If resource allows, this has provided enormous benefits to the Group and individual Group members, allowing specialists to provide specialist functions, providing a level of consistency of practice across the region, and ultimately achieving efficiencies by eliminating duplication of effort.

- All regional councils (or unitary authorities where they exist) act as the administering authority for their respective CDEM Group. An administering authority is responsible for the administrative, secretarial, accounting, technical, and other services, including the provision of staff, land, buildings, and equipment, as necessary. The cost for these functions should be shared on a basis agreed by all members.

- The regional council's role as administering authority is to provide administration, not governance. Being an administering authority does not confer any extra status on the regional council, it does not mean that organisation has any primacy over any other organisation in the Group, is the 'lead' agency for CDEM in the Group, or has sole control and oversight of the Group Emergency Management Office. It only means they provide specific administrative services on behalf of the Group. All CDEM Group member organisations – including regional councils – should be considered equal partners, as stipulated by the CDEM Act 2002.

- The administering authority's relationship to the Group Emergency Management is important, and where the greatest misunderstanding comes. The administering authority provides the facilities for the Group Emergency Management Office, and employs its staff. But it does so on behalf of the Group, and does not 'own' those staff, and should not be directing their work programmes or their time. The Group Emergency Management Office is owned by the CDEM Group, and their work programme should be directed by the CDEM Group, via the Joint Committee and the Coordinating Executive Group. In short, the regional council is not 'the Group', and the Group Emergency Management Office is not 'the regional council'.

- In terms of organisational structures, then, there are improvements most Groups could make to their wider functioning. Even where things are 'good, nearly everyone would benefit from a regular refresher in the CDEM framework, the structures of a CDEM Group, and a reinforcement of roles and responsibilities. Where there are fundamental misunderstandings, a Group should consider going back to basics and examine and agree all roles and responsibilities, forming terms of reference and service level agreements where necessary.

- The CDEM Group has appropriate structures that enable the best use of CDEM resources.

- The various elements of the CDEM organisational structure are linked by regular communication and information flow between them.

- The **Regional Council (or Unitary Authority)**:
  - o Understands its role as Administering Authority (i.e. provision of administrative, secretarial and related services).
  - o Does not confuse the role of Administering Authority with governance or assumed lead of Group Office provision.
  - o Has a clear service level agreement with the Coordinating Executive Group in its capacity as Administering Authority, outlining the services that will be provided (i.e. managing CDEM Group finances; contracting and administering CDEM Group staff on behalf of the Group; facilitating audit functions; providing routine administrative support such as convening meetings; providing secretarial support to CDEM Group functions such as project administration; convening forums, working parties and meetings; entering contractual arrangements on behalf of the CDEM Group).
  - o Understands its role (along with Territorial Authority partners) in the shared arrangements for contributing funding and technical expertise for the Group Emergency Management Office.
  - o Provides staff for functioning of the Group Emergency Coordination Centre.

- The **Group Emergency Management Office**:
  - o Has distinct autonomous identity (i.e. separate from regional council).
  - o Understands it reports to the Coordinating Executive Group.
  - o Understands the Coordinating Executive Group is responsible for the budget
  - o Has a work programme that is aligned to the Group Plan with effective project planning and budgeting processes.
  - o Is sufficiently resourced to deliver the objectives of the CDEM Group Plan.
  - o Supports capability and capacity building across the region and within agencies.
  - o Has a direct report relationship with the Chair of the Coordinating Executive Group.

Group Organisational Structure in Nelson-Tasman CDEM Group
Roger Ball, Executive Manager Community Services – Nelson City Council

The Group consists of two unitary authorities, Nelson City and Tasman District. With such a small membership, this greatly simplifies decision making and operational response. Coupled with strong working relationships, this is probably the most important factor in the CDEM Group's success since it reduces political and management "overheads".

How is the Group managed?
Like many other CDEM Groups there is a Joint Committee, in this case consisting of the two Councils who are represented by their Mayors and Deputy Mayors.

The meetings are timed to follow meetings of the Coordinating Executive Group, which comprises emergency services, the District Health Board and the Ministry of Social Development. The CEG is supported by a number of committees, most of which consist of a wide range local agencies and which meet at least three time a year (and some more often):

- Readiness and Response Committee
- Welfare Advisory Group, supported by a Welfare Operational Team
- Reduction Committee
- Public Education Public Information Committee
- Recovery Committee
- Lifelines Group
- GIS Committee

The CDEM Group's professional staff consists of three full time Emergency Management personnel. Because of the unitary nature of the CDEM Group's member Councils, the staff operate somewhat differently to EM staff in other CDEM Groups in that they deliver both Group and TA-level outputs. A typical day, for example, may easily consist of drafting words for the revised Group Plan, conducting a test on the office satellite communications unit, a meeting to review a community plan, and then setting up a public education stand at a local supermarket.

Current issues
The question arose as to whether a committee structure is the most effective or whether the Group should operate on a project basis. The reality is that we have a mixture of both, for example the cross-agency projects under way to implement EMIS, tsunami work or major exercises. But in our revised Group Plan we have decided to retain a committee structure since it provides a visible mechanism of accountability that is useful for keeping the CDEM agenda moving forward. Another current issue, arising out of recent emergency responses, is the need to bring iwi more into local CDEM decision making, potentially via membership on the CEG and/or WAG (this is currently being reviewed). Another trend is towards the greater involvement of our neighbours from Marlborough, for example in our PEPI and Welfare work. This is being driven in large part by joint projects under the Resilience Fund.

The governance and management structure outlined above does not always work perfectly but on the whole it provides a solid framework for the Group's work. When things work best however it is because of the close personal relationships that have been built up over many years and, most importantly, the commitment that all agencies involved have made to the notion of a coordinated and comprehensive approach to emergency management.

24 Group Work Programmes

RESULTS

Enabler 1, Objective B, Key Performance Indicator 4a: Group work programmes are planned, monitored, and effective in achieving CDEM objectives

1	There is an annual CDEM Group work programme	55.0
2	CDEM Group work programme demonstrates alignment with CDEM Group objectives, targets and actions	61.3
3	CDEM Group work programme demonstrates alignment with the National CDEM Strategy	68.8
4	CDEM Group work programme lists short and medium-term objectives, targets and actions	51.3
5	There is sufficient budget to be able to implement the CDEM Group work programme	54.7
6	CDEM Group work programme is monitored regularly for progress, and evaluated at the end of the year	58.5
7	There have been demonstrated advances in community resilience over the last two years as a result of the CDEM Group work programme	46.7
8	There have been demonstrated advances in organisational capability over the last two years as a result of the CDEM Group work programme	56.0
		55.8

DISCUSSION

- Most CDEM Groups, via the Group Emergency Management Office, maintain a Group work programme. These vary tremendously in scope and comprehensiveness, both in terms of the document itself, and the extent and ambitiousness of the programme of activities. Some are monitored for progress and are a driver of outcomes; others are not, and bear little resemblance to the day-to-day work programme of the Group.

- The Group work programme (sometimes also known as a Business Plan) should derive directly from the CDEM Group Plan, and provide a plan for the practical implementation of the goals and objectives of the Group Plan. This is especially important during this period where Groups are completing their second generation Group Plans.

- The Group work programme should include a rolling 3-5 year outline of intended programmes, together with a detailed plan for the coming year's business. The work programme should outline group-wide activities (i.e. that some or all members will undertake individually or in collaboration), and any Group Office-led or provided activities. Ideally the Group work programme would be developed in conjunction with a wide range of people involved in CDEM in the Group (e.g. Emergency Management Officers, welfare, recovery, lifelines, public education, public information, hazards, and other personnel) in order to ensure all needs and aspirations are met. The Coordinating Executive Group should be presented with costed options, and be involved in a prioritisation process to finalise the programme.

- Only some Groups could boast a work programme with all of these features; it should be a clear aim for others.

- At a minimum, it is important that Group Office personnel developing the Group work programme work closely with local authority Emergency Management Officers so that the greatest levels of coordination and collaboration – and efficiency – can be achieved. Herein lies the strength of working cooperatively.

- The Group work programme should have a programme of monitoring and evaluation attached to it, so that the Coordinating Executive Group can monitor activity and assure themselves that progress is being made.

- There is a Group work programme that derives from the goals and objectives of the CDEM Group Plan, and demonstrates how the outcomes sought in the Plan will be achieved.
- The Group work programme is developed with input from all CDEM partners and key positions, with the particular involvement of local Emergency Management Officers.
- The Group work programme is analysed for resource implications to ensure the feasibility of the programme.
- Any new projects are scoped and costed, and presented to the Coordinating Executive Group for prioritisation and approval.
- The Group work programme is monitored by the Coordinating Executive Group, in terms of progress on projects, and towards achievement of goals and objectives.
- The Group work programme outlines (or creates) opportunities for collaboration and cooperation between local authorities working on similar projects.
- Local work programmes align with the Group work programme, and are monitored by the Group Emergency Management Office for support/collaboration opportunities, and by the Coordinating Executive Group for progress.

Triennial Business Plan – Manawatu-Wanganui CDEM Group
Shane Bayley, Group Emergency Management Officer

It was agreed between the CDEM Groups that second generation Group Plans would not include work programmes. The aim was to separate standing arrangements from the routine work of the CDEM Group. To this end, as the Plan was developed, a list of initiatives was formulated to work alongside the administrative detail of the CDEM Group. A three year (triennial) business plan was developed on the basis that the Group Plan being developed at the time was a three year plan. It was our intention to align the Group Plan review with Council Long Term Plan review cycles. Unfortunately due to delays in the development of the planning guide the opportunity for this alignment passed.

The Triennial Business Plan is laid out in the same manner as the CDEM Group Plan and is cross referenced to the Group Plan where drivers for the work programme can be directly linked to the Plan. The Business Plan describes in broad terms the projects/activities of the CDEM Group and indicates which year these projects / activities will take place in. An Annual Business Plan is developed and approved by the Coordinating Executive Group for delivery in the current financial year.

The activities of the CDEM Group are a standing item on the Coordinating Executive Group and CDEM Group Joint Committee agendas. There are a number of challenges in coordinating a collaborative work programme that is funded and delivered by the members:

- Aligning the actual work of Emergency Management Officers with the business plan
- Ensuring consistency of programmes across the CDEM Group
- Balancing the autonomy of the members with the desired consistency of the Group
- Encouraging best practice
- Encouraging accountability but not being a slave to a plan… being sufficiently flexible to take advantage of opportunities.

Future versions of the CDEM Group's long term business plan will likely provide a more strategic/higher level description of the projects/activities of the CDEM Group. Detailed delivery of the programme is then negotiated annually between the Emergency Management Officers and Coordinating Executive Group members with regard to local priorities and budgets.

25 Local Work Programmes

Highest 86.0%	Natl Avg 60.6%	Lowest 32.6%

RESULTS

Enabler 1, Objective B, Key Performance Indicator 4b: Local authority work programmes are planned, monitored, and effective in achieving CDEM objectives

1	Organisation has an annual CDEM work programme	65.5
2	CDEM work progr. demonstrates alignment with CDEM Group objectives, targets and actions	58.2
3	CDEM work programme demonstrates alignment with the National CDEM Strategy	63.6
4	CDEM work programme lists internal objectives, targets and actions	60.0
5	There is sufficient budget to be able to implement the CDEM work programme	56.4
6	CDEM work progr. is monitored regularly for progress, and evaluated at the end of the year	61.8
7	Degree to which governance structures in place in your organisation are effective in managing routine CDEM activity	61.8
8	There have been demonstrated advances in community resilience over the last two years as a result of the CDEM work programme	58.2
9	There have been demonstrated advances in organisational capability over the last two years as a result of the CDEM work programme	61.8
		60.6

DISCUSSION

- Formal work programmes at a local level are relatively rare, with most local authorities having some performance targets of things they must achieve in the year, but are not formalised into a programme of work. Work at this level also tends to be reactive to requests and issues, rather than proactive and planned. In large part this reflects the scarce resource often present at the local level, the multi-role nature of some of the Emergency Management Officers, and the constant need to undertake core organisational readiness activities, like maintenance of Emergency Operations Centres and staff training.

- Local authorities would ideally have a planned work programme that aligned with the Group work programme, and with the objectives and desired outcomes of the CDEM Group Plan. Progress on it should be monitored by that organisation's Coordinating Executive Group representative. Without it, it is unlikely that the organisation will make progress on CDEM issues, and will not fulfil its requirements under the CDEM Group Plan.

- Some, but not many, local authorities have this level of programme management when it comes to CDEM work programmes.

- The scarce resource at the local level can sometimes lead to a conflict of priorities, where the Group Office is pushing to undertake collaborative programmes and the local Emergency Management Officer cannot spare the time to participate. Local and Group work programmes need to take this into account and try to be as realistic as possible about individual members' time commitments. At the same time, there needs to be a recognition in local authorities that this kind of collaborative work can only help them ultimately.

There is a **local CDEM work programme** that:

- derives from the goals and objectives of the CDEM Group Plan, and aligns with the Group work programme.
- is analysed for resource implications to ensure the feasibility of the programme.
- is monitored by the organisation's Coordinating Executive Group representative, in terms of progress on projects, and towards achievement of goals and objectives.
- outlines opportunities for collaboration and cooperation between local authorities and other partners working on similar projects.

Local authorities should:

- Understand CDEM is a core responsibility.
- Discuss CDEM as a function in its Annual Plans and Long Term Plans.
- Have standard management and accountability systems in place for milestone and budgetary reporting of CDEM progress.
- Have a direct relationship between the local Emergency Management Office and the organisation's Coordinating Executive Group representative.
- Work with communities on matters of community awareness, preparedness, and resilience.
- Have robust, tested local response and recovery arrangements.
- Release staff willingly for training and exercising.
- Understand the function of the Group Emergency Management Office.
- Understand the function of the Group Emergency Coordination Centre.

Local Work Programming in Grey District, West Coast CDEM Group
Allan Wilson, Emergency Management Officer

The work plan starts from the Long Term Community Outcomes Plan (LTOCP) and the Activity Management Plan (AMP). These set the high level goals and what the elected members think we should achieve as well as meeting our legislative obligations. The Emergency Management Officer's job is to find ways to achieve these aims and goals. The Ministry's CDEM Capability Assessment Tool is a valuable tool in identifying areas that require attention and is also built into the development of the work plan.

The long term work plan, 3 to 5 years, is spelled out in the CDEM Local Arrangements and these are drafted in consultation with the Group, taking into consideration the desired outcomes of the community, elected representatives, and other CDEM staff, and the capability assessment tool criteria. The work plan is also heavily influenced by what we have learned in the past about what works and what does not.

The short term work plan, 6 to 12 months, is generally developed from all of the above and the previous exercises and any other local, group or national training.

As we run more training and as the technology advances we are always modifying the short term work plan to meet the changing environment.

The work plan is varied and can be challenging. I spend quite a bit of time in the local schools, because I have a captive audience and I have found that the kids are quiet and will ask intelligent questions. I give them various hand-outs to take home. Normally several parents contact me following a presentation for further information. I also visit service clubs and community organisations and give them similar presentations.

Day to day various things take up my time, radios failing, wardens moving out of the district and the odd emergency all make for an interesting and challenging job.

26 CDEM Group Funding

	Highest 86.7%	Natl Avg 66.1%		Lowest 33.3%	
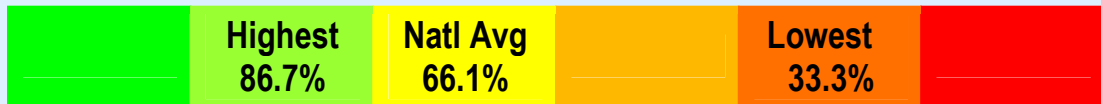
Enabler 1, Objective C: Ensure agencies have funding for civil defence emergency management

1	Funding arrangements are transparent and accounted for	77.3
2	Mechanisms are in place to be able to source emergency funding	77.2
3	Hazard reduction funding has transparent funding formulas and is prioritised to risk	48.8
		66.1

Note: these results represent the 'objective' rather than 'performance indicator' level

DISCUSSION

- There is a wide variation in how CDEM Groups are funded, reflecting the stipulation in the CDEM Act that CDEM Group funding be decided by local arrangements and agreement.

- Some funding arrangements were observed to be enabling of good organisational culture, while some were detrimental.

- The main point of difference is usually around the regional council contribution. Some regional councils are happy – in their role as administering authority – to provide the Group Emergency Management Office facilities and staff (as well as, sometimes, other hazard analysis functions or resources), and call that their contribution to the CDEM Group. Other regional councils recoup any costs from these services and functions from the CDEM Group budget (as is their right under the CDEM Act).

- Where regional councils recoup their costs from the Group budget, this has often been at the 'burdened rate', i.e. direct costs plus overheads. This has been a cause of friction in some Groups as it appears to many as if the regional council is making money from the Group, or at very least, is contributing to the Group and then recouping that entire cost back (which can subsequently be seen as making no contribution). It can also be seen as the regional council charging out 'their' staff, and/or create a reluctance to involve Group Emergency Management Office staff in Group activities, lest their involvement should incur a charge (while local authority staff participate for 'free').

- Ideally councils that administer Group Emergency Management Offices should not charge burdened rates to Group budgets – as a matter of faith, and as (part of) their contribution to the CDEM Group. At very least, a burdened rate should not include a governance component, since governance of the Group Emergency Management Office should come through the Coordinating Executive Group and Joint Committee, not the regional council.

- A handful of regional councils collect a regional general rate on behalf of the CDEM Group. This is a 'neater' solution in many ways, but is not acceptable to all regional councils or other Group partners. Those against it argue that a regional rate has the potential for individual territorial authorities to 'forget' some of their responsibility and accountability for CDEM, and/or that it runs the risk of the regional council having a perceived greater 'hold' and direction over the CDEM budget. However for some a single regional rate has been a successful way to fund regional CDEM outcomes: there is administrative

efficiency in collecting a single rate (rather than all local authorities collecting rates for the same purpose); it is a clearer, simpler funding mechanism, and is ultimately more equitable for the ratepayer. For Groups that have gone down this road, it also means all Group partners have actively examined their funding policies and rating mechanisms, and have a clearer idea of what they're doing, for what purpose.

- CDEM Groups which have a funding mechanism that sees the budget collected from a regional rate take, and are successful in delivery of integrated CDEM outcomes for their Group, understand that funding is tied to goals and objectives from the CDEM Group Plan, and that subsequent work programmes give effect to the Plan. They also understand that the Joint Committee and Coordinating Executive Group have management and governance responsibility and direction for that fund. In these instances success is also due in part to the regional council understanding that it collects the fund on behalf of the CDEM Group – and does not regard the fund as an internal budget area over which it has decision-making control. In summary: where roles and responsibilities are understood, the source of/collection of funds becomes irrelevant.

- There are some Groups who are close to this description, or who have agreed an amicable split of costs. For these Groups it is clear that funding being a 'non-issue' is greatly enabling of good working relationships and progress on work programmes.

- Once a budget exists, the transparency of CDEM Group expenditure is not always as clear as it could be, and this again can lead to friction. The Joint Committee and Coordinating Executive Groups of many CDEM Groups have almost no collective oversight of budgeting, expenditure and outcome delivery across their Group. As such, the Coordinating Executive Group has no real ownership or understanding of how the allocation of funding or setting of priorities for CDEM projects is contextualised. Where it exists, this creates serious problems for the management of the Group, and tends to reinforce a perception that CDEM is the responsibility of the regional council.

- There is also almost no financial reporting demonstrating 'value for money', a factor that will in time seriously limit the Group's ability to source additional funding, or even maintain current funding – especially in this era of budget constraint.

- At a minimum, funding arrangements and financial processes should always be clearly outlined in Terms of Reference documents, the CDEM Group Plan, and any service-level agreements, and confirmed and agreed by all partners regularly. Budgets should be tied to CDEM Group objectives and outcomes, and be agreed collectively. Expenditure should be reported and tracked at Coordinating Executive Group level.

- Costs associated with territorial authorities implementing CDEM arrangements within their organisation are borne by that member. Each territorial authority sets their own civil defence rate for the delivery of CDEM. The amount budgeted for the delivery of CDEM by local authorities is seen as a delicate issue, especially recently where most councils have restraints on spending. CDEM at a local level is almost universally seen as an area where costs can be cut to achieve other outcomes within a territorial authority bottom line. This will only be improved if collectively we are able to raise the profile and priority of CDEM. Allied with this must be the eventual shift from traditional civil defence – predominantly organisational-based preparedness (Emergency Operations Centres, training, and equipment), to more comprehensive emergency management – integration of risk-related programmes and community-based preparedness and resilience where 'value added' can be demonstrated.

- It is clear that the Joint Committee and Coordinating Executive Group have management and governance responsibility and direction for the CDEM Group budget – however collected.
- Funding is aligned to the outcomes required for delivery of the Group Plan.
- The funding model is understood by all group participants.
- The funding model is equitable for CDEM Group partners and ratepayers.
- Management of the Group budget is transparent, and there is collective oversight of budgeting, expenditure and outcome delivery across their Group.
- There is financial reporting that demonstrates 'value for money'.
- Funding arrangements and financial processes are clearly outlined in Terms of Reference documents, the CDEM Group Plan, and any service-level agreements, and confirmed and agreed by all partners regularly.

Review of Funding Arrangements in Waikato CDEM Group
Adam Munro, Programme Manager Regional Hazards & Emergency Management

Funding arrangements within the Waikato CDEM Group has been a long standing issue, and this was highlighted in our Capability Assessment Report.

It was recognised by members that funding/charging for CDEM activities was not well understood (or transparent) within the Group. The Coordinating Executive Group has since developed a Group funding model and policy which clarifies and confirms how costs are to be allocated across the Group. The new model covers the following elements:

- Expenditure during emergencies (both declared and undeclared).
- Expenditure during 'peacetime' operations.

This funding model was supported and approved by the CDEM Group Joint Committee and is now "codified" through the new CDEM Group Plan.

Due to the Waikato's unique structure, the funding policy applied across all operational levels including Emergency Operating Areas, Territorial Authorities, the Waikato Regional Council, and the Group Emergency Management Office to ensure consistency and fairness.

The new funding policy now recognises and acknowledges the compromises, concessions and the (somewhat) competitive charging regime now in place across the Group.

We researched what rating mechanism our members were using to collect rates to service CDEM. As a result we found that all councils were using a Uniform Annual General Charge (UAGC). This meant there was duplication across the region. Waikato Regional Council now collects 100% of the funding on behalf of the CDEM Group as a targeted rate. This removes the need for on charging members their share

The member district and city councils have agreed not to criticise the regional council should this new funding collection agreement result in significant increases in the regional rate.

27 Business Continuity Management

	Highest 69.4%	Natl Avg 37.9%	Lowest 5.0%
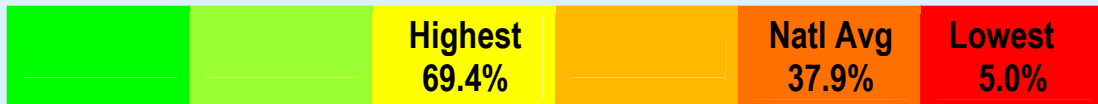
Enabler 1, Objective D: Ensure all agencies are able to function to the fullest possible extent during and after an emergency

1	Business Continuity Management programme is formalised and has high-level commitment	40.0
2	Critical business functions and processes, and potential impacts on them are defined	40.3
3	Strategies and principles for business continuity are determined	31.1
4	BCM arrangements are developed and implemented	52.7
5	BCM arrangements are exercised, maintained and reviewed	28.9
6	BCM is embedded in the organisation's culture	34.7
		37.9

Note: these results represent the 'objective' rather than 'performance indicator' level

DISCUSSION

- Business continuity management was the lowest scoring of all indicators and objectives – for nearly every local authority and CDEM Group, and was generally considered by all interviewees as an area that could be improved.

- Business continuity management is rarely the sole responsibility of the CDEM department or team, but was measured in this programme because of the importance of business continuity to an organisation's resilience, and their resulting ability to undertake effective response and recovery.

- Business continuity management is also a key component of the CDEM Act for local authorities, where it is stated that all local authorities should have plans to 'function to the fullest possible extent, during and after emergencies' (CDEM Act 2002, clause 64(2)).

- Only some Emergency Management Officers had direct responsibility for their organisation's business continuity management programme. For those that do not, it is important that they have good awareness of it, and advocate for it in their organisation at all opportunities as an allied programme of work and something that contributes to the holistic management of risk. It is also important for CDEM personnel to promote business continuity in the community as a key part of public education and community resilience.

- Individuals' understanding of business continuity management – at all levels – was generally found to be limited. Most cited efforts to shore up the robustness of their information technology systems as evidence of business continuity; some mentioned having done some thinking around alternate facilities. Few local authorities had undertaken work around threat and impact analysis, and analysis, prioritisation, and resilience of essential functions. Principles, strategies, arrangements and formal plans for business continuity were a relative rarity; where they did exist, many admitted they were either out-of-date, or of limited scope, and were generally for compliance purposes only. Only a handful could claim comprehensive business continuity plans and practice.

- In general it seems that local authorities do not take a rigorous approach to business continuity management within their organisations. There may be signs that this will improve in the future, as most of those interviewed post-Christchurch earthquakes said it had made them think more about the subject, and they were planning to do more formal work in the area. This is to be encouraged, and CDEM practitioners should do all they can to promote business continuity and advocate for practices becoming embedded in their organisations.
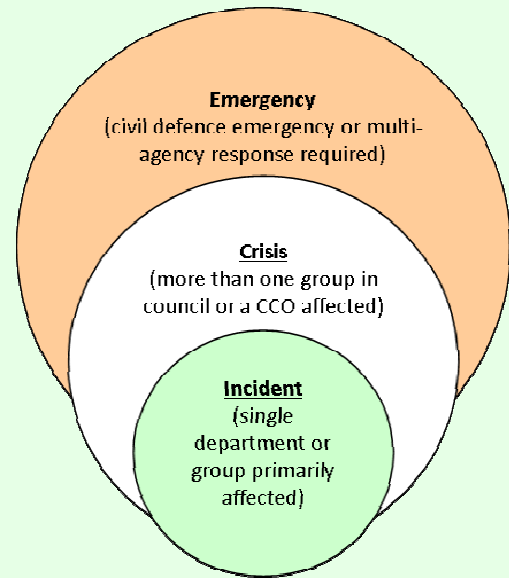
DISCUSSION (Contd)

- It should be noted that the emergency services are generally better prepared when it comes to business continuity, having more stringent statutory requirements to have business continuity plans in place. Lifeline utilities were also thought to have more planning in place, generally having performance targets in place around maximum tolerable outages.

- Business continuity management was seen to be more of an absolute requirement for these organisations, perhaps because of the essential services that they provide, and the relative unacceptability of outages. Still, there are things that their CDEM Group partners could learn from these organisations, and they could perhaps be utilised more to that end.

- In terms of community engagement on matters of business continuity, some Emergency Management Officers engaged in public education activities said they had given talks to businesses and supported businesses in their crisis management planning efforts. This tended to be more in the area of hazards and risks, and the contents of civil defence cabinets though, and most said they did not feel comfortable giving business continuity management advice (in terms of process and practice). There is also a relative dearth of user-friendly information on business continuity to support businesses, especially when it comes to the preparedness of small businesses. Weighty 'standards' documents are not appropriate in these cases.

- The Christchurch earthquake illustrated the severe impact an unexpected event can have on businesses, and the importance of businesses to the recovery of communities. Business preparedness needs to be a greater part of CDEM public education efforts in the future; now is the perfect time to take lessons from Christchurch businesses and address them in other parts of the country.

BEST PRACTICE

- A **comprehensive business continuity management programme** should include the phases of:
  1. Understanding the organisation.
  2. Determining business continuity strategies.
  3. Developing and implementing a business continuity response.
  4. Exercising, maintenance and review.

- The programme should comprise the following outputs:
  - a policy outlining the principles, scope, roles and responsibilities and any regulatory requirements for undertaking the programme;
  - a business impact analysis to identify critical products and services and the impacts over time that would result from loss or disruption of these products and services;
  - a risk assessment that considers a wide range of threats both internally and externally that could cause a disruption and assess their probability and impact;
  - development and implementation of continuity strategies and solutions to protect product and service capability and manage disruption;
  - a business continuity plan and action plans documenting the framework and processes to be employed to enable the continued delivery of products and services (particularly those in support of CDEM-critical activities);
  - exercising, maintenance and review of plans and the programme to evaluate and improve the organisation's business continuity competence.

- Business continuity programmes should cover all aspects of local authority business and should consider impacts on and continuity solutions for: facilities, staffing, finances, IT, procurement, delivery of services and functions (especially any 'essential services'), reputation management, and governance.

- Senior management should be involved in all phases of the business continuity programme. Chief Executives are ultimately accountable for business continuity management and should endorse and sign off all business continuity programmes and plans.

- CDEM personnel should take every opportunity to promote business continuity management practices within their organisation, and ensure there is alignment with their organisation's emergency response planning.

- CDEM personnel should encourage business continuity as part of their community engagement activities.

CASE STUDY 1

Business Continuity Management in the Auckland Council
Lisa Roberts, Project Manager Auckland CDEM Department

Following the amalgamation of Auckland Council in November 2010, work began in earnest on developing business continuity (BC) and 'crisis management' plans. This was a huge challenge for a complex organisation that was busy trying to establish core processes, let alone backup processes and arrangements. An important starting point was ensuring a consistent language was used – and the figure illustrates some key terms adopted.

Emergency
(civil defence emergency or multi-agency response required)

Crisis
(more than one group in council or a CCO affected)

Incident
(single department or group primarily affected)

Some of the key philosophies on which the BC and Crisis Management frameworks were based include:

o   Centralised coordination and de-centralised delivery of business continuity plans (each of the 30 Council departments and 7 Council Controlled Organisations was responsible for developing their own plans within an overall framework provided by the Crisis Management Coordinator).

o   A flexible approach depending on the criticality of the department – a 1 page plan for smaller, less operational teams, more complex for major functions such as IS and property.

o   A clear distinction made between the CDEM and Crisis Management frameworks – the Council crisis management team is 'inward looking' and focused on internal recovery of Council operations while the CDEM team in the ECC is focused on coordinating the wider community response (while of course recognising the linkages and inter-dependencies between the two). In effect, in a major event, the Council CMT become just another agency coordinating with, and receiving direction from, the CDEM ECC.

o   The CDEM team supports the Crisis Management Team when activated, and where its resources are available (but we have deliberately ensured there are 'non-CDEM' people that can take over Crisis Management Coordination and focus on Council operational recovery when the CDEM team is otherwise engaged with a wider community response.

o   The Crisis Management Team members are flexible depending on the type of event and which departments are impacted, and representatives are based on normal Council functions rather than the CIMS structure, to keep people operating in business-as-usual roles as much as possible.

BC Plans are now in place for the 90% of Council departments and the current focus is on 'socialising' the plans to ensure all staff are aware of how the arrangements work and their responsibilities. The Plans have been tested in real-time with the evacuation of some major Council buildings in recent months – one of which cannot be re-occupied for at least a year – and a major IS failure (luckily short term and over the weekend). The value of hard copy contact lists and understanding in advance of the event the priorities for re-locating staff and functions were well proven. The ability to quickly assemble a team that provided a coordinating point for the event was also critical to the success of the response.

Business Continuity Planning in the Greater East Tamaki Business Association
Lisa Roberts, Project Manager Auckland CDEM Department

In addition to internal Business Continuity and Crisis Management planning there has been a focus within the Auckland CDEM Department to enhance community resilience and local involvement in responding to emergencies through the Neighbourhood Response Plan (NRP) project. The NRP project provides a community with a framework to provide for warning of events and processes to provide support within a community in times of emergency. The majority of the NRP work to date has involved residential communities but work has started with business and industrial groups to provide appropriate response frameworks to this substantial sector of the community.

The pilot for resilience planning for the business sector has been the Emergency Response Plan for the Greater East Tamaki Business Association (GETBA). GETBA comprises approximately 4000 business and commercial properties generating over $3 billion in earnings and employing over 30 000 jobs in the Auckland economy. GETBA are an active Business Improvement District and operates with a committee of business representatives and an executive staff.

During 2011 CDEM staff worked with this community to better understand the threats and potential impacts to the community of natural and man-made disasters, developed effective communications and warning systems and formed an Emergency Response Group to coordinate an immediate local response until agency response can be mobilized to help.

The GETBA plan provides comprehensive information for the community to inform members of the nature and impact of an event. The plan provides for effective communication between GETBA, Auckland Council and Emergency Services and details useful local resources and short term welfare facilities that may be utilized to support the many people in the community that may be affected by a disaster.

The GETBA Emergency Response Plan is the framework for providing a rapid response to ensure the safety of people in an emergency. The next step for this community in building resilience is to work with the individual businesses to develop Business Continuity Plans and use the work done in the Emergency Response Plan on the impact of natural and man-made hazards to develop plans for continuing operations during and after an event. Planning for this work has begun and is expected to continue through 2012 and 2013.