Strategic Planning for Recovery

Director's Guideline for Civil Defence Emergency Management Groups [DGL 20/17]

Resilient New Zealand
Aotearoa Manahau

New Zealand Government

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Authority
This guideline has been issued by the Director Civil Defence & Emergency Management pursuant to s9(3) of the Civil Defence Emergency Management (CDEM) Act 2002. It provides assistance to CDEM Groups in strategic planning for recovery as required under s49 of the *Civil Defence Emergency Management Act 2002* (*CDEM Act 2002*). Section 53 of the CDEM Act 2002 specifies that CDEM Group plans must take account of Director's guidelines.

Foreword

These guidelines on strategic planning for recovery support the implementation of the amendment to the *Civil Defence Emergency Management Act 2002* that requires CDEM Group plans to provide for strategic planning for recovery from hazards and risks in their areas from 1 June 2018.

Strategic planning for recovery provides us with a real opportunity to draw on recent recovery experience to ensure that CDEM Groups and local authorities are well-placed and supported to manage recovery from future emergencies. Recovery is often difficult for communities, with significant and far reaching consequences for them, the CDEM sector and local authorities. For these reasons it's important to be well-prepared for recovering from emergencies.

Being well-prepared goes further than simply planning for the operational activities of recovery. This guideline sets out an approach that builds on what CDEM Groups already have in place by extending the thinking to longer term recovery. It describes how CDEM Groups and local authorities need to engage with their community about their values and priorities for recovery from hazards and risks they face prior to an emergency. CDEM Groups also need to identify strategic opportunities from emergencies and establish the right capacity and capability, collaborative relationships, and leadership prior to an emergency to enable these to be applied as necessary to a specific recovery. This guideline does not provide detailed requirements on how to manage a recovery and should be read in conjunction with other Ministry of Civil Defence Emergency Management publications that relate to recovery.

The importance of recovery within the CDEM framework needs to be acknowledged by CDEM Groups by making recovery preparedness a priority and resourcing it accordingly prior to an emergency occurring. CDEM Groups should also be champions for expanding the importance of recovery to local political leaders and other stakeholders, who will have leading roles to play in preparing for and delivering a strong recovery process.

Sarah Stuart-Black

Director, Civil Defence Emergency Management

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Section 1 Introduction

1.1 About this guideline

The **purpose** of this guideline is to help CDEM Groups meet requirements to state and provide for strategic planning for recovery specific to their hazards and risks in CDEM Group plans.

The **intended audience** of this guideline is

- CDEM Groups, and their members being the mayor or chairperson of the local authority or an elected person from the local authority who has delegated authority to act for the mayor or chairperson, and

- Chief Executives of local authorities

It also needs to be read by

- CDEM Coordinating Executive Groups, and

- Recovery Managers, CDEM Group Managers and Emergency Management Officers who may assist CDEM Groups with amending their CDEM Group plans and providing for strategic planning for recovery.

The *Civil Defence Emergency Management Act 2002* (*CDEM Act 2002*), section 53, specifies that CDEM Group plans must take account of Director's guidelines. This requirement applies to this document.

Structure

This guideline has the following main sections:

- Section 1 *Introduction* – an overview of recovery and changes to the legislative framework to increase the focus on recovery

- Section 2 *Requirements and responsibilities of the CDEM Group* – guidance on the key aspects of strategic planning for recovery.

- Section 3 *Approach to strategic planning for recovery* – guidance about how to approach strategic planning for recovery.

- Section 4 *Applying strategic planning for recovery* outcomes – guidance about how to apply strategic planning outcomes following an emergency.

- Section 5 *Key terms* – clarification of the key terms used.

Use of icons

The icon on the left indicates more information is available in another document or website.

1.2 What is recovery?

Recovery means the coordinated efforts and processes used to bring about the immediate, medium and long-term holistic regeneration and enhancement of a community following an emergency (*CDEM Act 2002*). Recovery encompasses the community and four environments: social, economic, natural and built environments. Recovery should:

- Support the cultural, emotional and physical well-being of individuals and communities

- Minimise the escalation of the consequences of emergencies

- Reduce future exposure to hazards and their associate risks – i.e. build resilience

- Take opportunities to regenerate and enhance communities in ways that will meet future needs (across the social, economic, natural and built environments).

Communities lie at the core of recovery. Every recovery vision, outcome, relationship and activity should have the community at the core of its purpose.

Following emergencies, the very fabric of society and the relationships within the affected communities depend on an effective and efficient process of recovery. Recovery is a complex social process and is best achieved when the affected community exercises a high degree of involvement in setting priorities for recovery.

In addition, recovery extends beyond just restoring physical assets or providing welfare services. Successful recovery recognises that both communities and individuals have a wide and variable range of recovery needs and that recovery is only successful where all are addressed in a coordinated way.

Recovery is a process that can last weeks or months but can also extend for years and possibly decades. Organisations involved in recovery need to recognise the commitment that will be required to ensure adequate human and physical resources for recovery, as well as the resumption of business-as-usual services during medium and long-term recovery.

The complexity of recovery

Recovery is a complex part of civil defence emergency management in terms of scale, range of activities, and duration. The impacts of recovery on CDEM Groups and local authorities can be significant, even from small emergencies. Experience shows that managing a recovery can significantly impact the business of local authorities, and fundamentally change the assumptions behind existing and future annual and long-term plans.

Recovery planning, management and delivery goes well beyond the 'business-as-usual' of local authorities, and involves collaboration of multiple stakeholders across the social, economic, built and natural environments.

Local authorities may be unaware of the level of resourcing and coordination that may be required during recovery, and the potential consequences this may have on their business.

The potential significant consequences on the social and economic wellbeing of people and communities from emergencies are well documented, and it is inevitable that supporting the community to recover from these emergencies will occur against a backdrop of distress and uncertainty, and will be highly dynamic in nature.

1.3 Why do we need strategic planning for recovery?

Strategic planning for recovery helps CDEM Groups and each member (i.e. local authorities) ensure their communities are well-placed to recover from any emergencies from the hazards and risks identified in the CDEM Group plan.

Strategic planning for recovery can identify actions that can be taken before an emergency to reduce the consequences of an emergency. For example providing resilient infrastructure.

One of the key functions of a CDEM Group and each member is to plan for recovery. Therefore, CDEM Groups and each member must consider how they meet these functions as part of their strategic planning for recovery. For example, there may be actions that need to be taken to ensure there are sufficient trained and competent recovery personnel.

All emergencies result in a need to recover. The scale and nature of recovery will vary for each emergency, but irrespective of this, the community will need support to adapt to any changes to their normal lives. This includes, for example, support to a community where, for whatever reason, their location is unviable to return to and they need support to establish themselves elsewhere.

Prioritising Recovery

Actions taken to prepare for and ultimately support the community to recover from emergencies are likely to reduce the consequences experienced by those affected; help the CDEM Group and local authorities to prepare for the complexity of issues likely to be faced; and build strong collaborative relationships and a wide range of partnerships involved in recovery.

Strategic planning for recovery will support local authorities by identifying and planning for the level of resourcing and coordination that may be required during recovery, and enable them to minimise the potential consequences this may have on their business and communities.

Recovery was the weakest scoring component of the National CDEM Capability Assessment Report 2015. The report highlighted a number of opportunities to improve strategic discussions about risk appetite, risk management, intergenerational investment through risk reduction, and resilience approaches such as 'build back better' or retreat.

Engagement with the community prior to emergencies can inform decisions and choices over the priority of essential community assets such as sports clubs, schools, religious or historic landmarks. It can help them prepare for the on-going stressors that people and communities inevitably face during recovery, including the stress of adjusting to changes or impacts to their normal life, and the resultant impacts on the normal business of local authorities.

The opportunities of strategic planning for recovery	Strategic planning for recovery presents an opportunity for CDEM Groups and local authorities to understand the likely consequences of specific hazards and risks on the communities in their area, and what is needed to prepare for recovery. It is an opportunity to build the correct foundations before an emergency so communities are well-placed and supported to recover.

Strategic planning should not only address the consequences of specific hazards and risks but also how the consequences of those hazards and risks are likely to change depending on the specific needs, values and interests of the people affected. It enables investment choices to be made, through engagement with the community, to maximise risk reduction opportunities. Strategic planning is implemented through long-term planning processes. Strategic planning will improve the ability of CDEM Groups and local authorities to manage recovery effectively and efficiently for the benefit of their communities.

Becoming better at recovery is more than simply planning for the operational activities of recovery. CDEM Groups, with their communities, need to identify and understand what they want to achieve in recovery, and set a path to achieve this. Putting in place the right capacity and capability, collaborative relationships, and leadership prior to an emergency enable these to be applied as necessary to the specific recovery.

The importance of recovery within the CDEM framework needs to be acknowledged by CDEM Groups by making recovery preparedness a priority and resourcing it accordingly prior to an emergency occurring. CDEM Groups should also be champions for expanding the importance of recovery to local political leaders and other strategic partners, who will have leading roles to play in preparing for and delivering a strong recovery process and services.

1.4 Strengthening the Recovery Framework

Recovery in New Zealand legislation

Prior to 2016, recovery planning was required under the *CDEM Act 2002* (see the section 1.5 below).

The *Civil Defence Emergency Management Amendment Act 2016 (Amendment Act 2016)* amends the *CDEM Act 2002* to strengthen this requirement, to help communities recover more efficiently and effectively from small to moderate scale emergencies[1]. These types of emergencies (such as severe weather resulting in flooding) remain our most frequent emergencies. The amendments can also be used for larger scale emergencies.

The *Amendment Act 2016* recognises that the focus to date has largely been on preparing for and responding to emergencies. It recognises the need to emphasise the importance of recovery preparedness. Considering recovery within all four Rs is important – reduction, readiness, response and recovery.

Recovery experience in New Zealand

There have been a number of emergencies in New Zealand since the enactment of the *CDEM Act 2002* that have required a managed recovery. These emergencies have advanced our understanding of:

- the types, scales and frequencies of emergencies that occur in New Zealand;

- the variation in community strengths, priorities, and vulnerabilities;

- the consequences for people, buildings and infrastructure, and the economic, natural, rural and cultural environments, as well as the interdependencies between environments;

- the role of, and importance of engaging/involving, iwi; and

- the measures that can be taken to reduce risks, manage consequences and enhance community wellbeing.

Strategic planning for recovery

Part of the changes under the *Amendment Act 2016* introduced a requirement on CDEM Groups to state and provide for strategic planning for recovery from the hazards and risks in the CDEM Group Plan by 1 June 2018. This is an ongoing requirement in CDEM Group plans.

The change to incorporate strategic planning for recovery into CDEM Group plans was to strengthen the requirements to plan for recovery and ensure that the planning recognised the specific hazard and risks, the recovery needs and strategic opportunities from emergencies within the CDEM Group area.

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[1] Section 19(2) of the *Amendment Act 2016* comes into force on 1 June 2018. This clause amends section 49 of the *CDEM Act 2002*, so that from 1 June 2018 section 49 of the *CDEM Act 2002* includes a requirement for strategic planning for recovery

The term 'strategic planning' was used in the *Amendment Act 2016* because this type of planning focuses on determining what the desired state is for preparedness, management and delivery of recovery, and sets a path to achieve this.

See section 2 for more information on the requirements and responsibilities for strategic planning for recovery.

1.5 Relevant legislative provisions

CDEM Groups and each local authority member must familiarise themselves with other parts of the *CDEM Act 2002, CDEM Amendment Act 2016,* and *National Civil Defence Emergency Management Plan Order 2015* requirements in relation to recovery before they undertake strategic planning for recovery. In particular, the following legislative definitions and requirements impact on them or their role in recovery and are relevant to CDEM Group responsibilities:

Legislative definitions

- Definition of **recovery** in section 4 of the *CDEM Act 2002*.

- Definitions of **civil defence emergency management** in section 4 of the *CDEM Act 2002*. It includes the application of knowledge, measures and practices that are designed to recover from, or overcome any hazard or loss that may be associated with any emergency, and planning, organisation, co-ordination, and implementation of those measures, knowledge and practices.

- Definition of **recovery activity** in section 4 of the *CDEM Act 2002*. For example, it includes matters such as 'measures to enable community participation in recovery planning'. The term is used in relation to the functions of CDEM Groups (section 17(1)(e)), functions of recovery managers (section 30A(1)) and tests for considering giving notice of a transition period or extending one (section 94B(4)).

- **Functions of CDEM Groups** in section 17 of the *CDEM Act 2002*. These functions include developing, approving, implementing and monitoring a CDEM Group plan, and regularly reviewing it, promoting and monitoring the delivery of functions under other Acts as these are relevant to achieving the purpose of the *CDEM Act 2002*, and includes recovery planning outcomes. Section 19(2) of the *CDEM Amendment Act 2016* which amends s49(2) to require that the CDEM Group plan must state and provide for "the strategic planning for recovery from the hazards and risks referred to in para 49(2)(b)".

- Appointment and functions of Civil Defence Emergency Management **Co-ordinating Executive Groups** in section 20 of the *CDEM Act 2002.*

- **Civil Defence Emergency Management Group plan** requirements in section 48 of the *CDEM Act 2002.*

- **Proposed CDEM Group plan to be sent to Minister** in section 49 of the *CDEM Act 2002*.

- **Duties of local authorities** in section 64 of the *CDEM Act 2002*.

- **Transition period provisions** in Parts 5A and 5B of the *CDEM Act 2002*.

- Roles and responsibilities of **national agencies** in the National Civil Defence Emergency Management Plan Order 2015.

- Part 9 Recovery of *the National Civil Defence Emergency Management Plan Order 2015* relating to **emergencies requiring coordination and support at the central government level**.

Section 2 Requirements and responsibilities of the CDEM Group

2.1 The requirement for strategic planning for recovery

From 1 June 2018 CDEM Groups (the Joint Committee) have responsibility for ensuring that their CDEM Group plan states and provides for strategic planning for recovery from the hazards and risks in their area.

Section 19(2) of the *Amendment Act 2016* comes into force on 1 June 2018. This clause amends section 49 of the *CDEM Act 2002*, so that from 1 June 2018 section 49 of the *CDEM Act 2002* will state:

"*The plan must state and provide for—*

the strategic planning for recovery from the hazards and risks [2]*…*"

Record in the CDEM Group plan

From 1 June 2018, the CDEM Group plan needs to record four elements for strategic planning for recovery:

- the Group's strategic actions to support recovery preparedness and recovery management;
- the Group's priorities for action;
- the timeline for implementation; and
- how the Group will monitor and evaluate progress and improvement.

Refer to section 3.7 Prioritise and implement strategic recovery actions for more information on prioritising strategic recovery actions.

Implications for CDEM Groups and their members

Section 17(1)(i) of the *CDEM Act 2002* provides that it is a function of a <u>CDEM Group</u>, and of <u>each member</u>, '*to develop, approve, implement, and monitor a civil defence emergency management group plan and regularly review the plan*'

Section 20(2)(c) of the *CDEM Act 2002* provides that the Coordinating Executive Group (CEG) is responsible to the CDEM Group for "overseeing the implementation, development, maintenance, monitoring, and evaluation" of the CDEM Group plan – including strategic planning for recovery.

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[2] Section 19(2) of the *Amendment Act 2016* refers to section 49(2)(b) of the *CDEM Act 2002* which specifies these as the hazards and risks to be managed by the Group

2.2 What is strategic planning for recovery?

Strategic planning for recovery focuses on determining what CDEM Groups and each member need to do to ensure their communities are well-placed and supported to recover from any emergencies resulting from the hazards and risks identified in the CDEM Group plan. CDEM Groups must take an all hazards approach to strategic planning for recovery, as they do for other elements of emergency management (reduction, readiness, response and recovery – the 4Rs). All hazards means identifying all the hazards and risks that the CDEM Group plan should cover.

Strategic planning aims to achieve a set of outcomes in five strategic areas that focus on the community's recovery (refer to section 2.3). It requires a whole-of-local authority approach, including the CDEM Group and partnering agencies, planners, building officials, finance and infrastructure managers etc. All have a part to play and can influence the extent to which the CDEM Group and local authorities are prepared for, and can manage the recovery from, an emergency. It is important that all are involved in conversations about the hazards and risks, potential consequences of an emergency, what recovery might involve, and what can be done prior to and following an emergency.

2.3 Aims of strategic planning for recovery

The purpose of strategic planning for recovery is to determine what CDEM Groups and each member need to do to ensure their communities are well-placed and supported to recover from any emergencies from the hazards and risks identified in the CDEM Group plan. Strategic planning for recovery focuses on five strategic areas and aims to achieve the following outcomes:

- Comprehensive understanding of: what is needed to support communities to overcome the consequences from specific hazards and risks, and to build on the opportunities to reduce risk and strengthen resilience;

- Communities are engaged, have an enhanced ability to adapt, and decision-makers understand what is important to the communities;

- Immediate, medium-term and long-term recovery outcomes, and a community recovery vision, are defined;

- Recovery risks are identified and managed through additional reduction, readiness, response and recovery measures;

- Local and regional capacity and capability to prepare for, manage and deliver recovery (across a range of emergencies) is readily accessible, with a clear understanding of the local, regional and central government roles and responsibilities;

- Collaborative relationships and processes are established, managed and maintained at local, regional and central government level;

- Performance frameworks are developed to monitor and evaluate the progress and effectiveness of recovery preparedness and the management of recovery, which in turn prompts improvements to be implemented; and

- Local authorities engage business, iwi and community leaders to: allow a two-way exchange of information about the risks, and encourage leaders to actively demonstrate leadership in the management of risk and community preparedness.

2.4 Distinct responsibilities for strategic planning for recovery

The Joint Committee (CDEM Group) are responsible for strategic planning for recovery and must ensure that their CDEM Group plan states and provides for strategic planning for recovery. The CDEM Group office, under the direction of the Joint Committee and with support from the CEG, may assist the CDEM Group meet their responsibilities.

CDEM Group and its members

The legal responsibility for strategic planning for recovery rests with members of the CDEM Group (Joint Committee). As such, they must ensure that the requirements of the CDEM legislation are met, and provide direction to the CEG, CDEM Group office and their council.

Members of the CDEM Group should ensure:

- strategic actions across the CDEM Group area are collated and prioritised,

- strategic actions, responsibilities and timeframes that are recorded in the CDEM Group plan are delivered,

- measures are established to monitor and evaluate progress in implementing the strategic actions, and

- a priority is given to recovery and enable the integration of recovery-focussed work across relevant council business units.

The CDEM Group needs to examine hazards and risks that are common across more than one local authority area within their Group's area or adjoining CDEM Groups. CDEM Groups should then consider what joint initiatives or actions can be taken for the collective benefit of the local authorities.

Local authority Chief Executives

To support the CDEM Group in this process, local authority Chief Executives (as members of the CEG) need to:

- examine and understand the specific hazards and risks within their local authority area and the likely consequences on their community, from a recovery perspective;

- examine and understand the specific hazards and risks within their local authority's boundaries and which they share with other local authorities within their CDEM Group area or adjoining CDEM Groups, bring together the hazards and risks across the CDEM Group area into the CDEM Group plan and consider joint initiatives to prepare for recovery;

- Identify additional measures that can be taken across reduction, readiness, response and recovery, to ensure the community is well-placed to recover, and ensure funding for any resulting proposals is considered through long-term and annual planning processes;

- Where additional resources or proposals are likely to be required for recovery activities, confirm contingency funding in business-as-usual plans and processes such as long-term plans;

- Identify and resource what capacity and capability is needed within the local authority and the CDEM Group; and working with partners and stakeholders to identify capability and capacity needed in other non-government agencies, businesses and the broader community to support recovery preparedness and the management of recovery;

- Identify leaders in their community and work collaboratively with groups, stakeholders and organisations to ensure roles and responsibilities in recovery are understood;

- Take steps to understand what is important to their community, define recovery outcomes and develop priorities and processes collaboratively with their community;

- Understand the role and capability of the local authorities in terms of recovery governance arrangements and the types of decisions that councillors might be expected to take in a recovery situation;

- Understand the role of their local authority in a recovery, including the circumstances where you may need to request assistance from other local authorities, other CDEM Groups and central government.

This information should be collated to inform the CDEM Groups' considerations of strategic planning for recovery, and also the local authorities' programme of work to meet its duties under the *CDEM Act 2002*, section 64.

2.5 The need for a whole-of-local authority approach

It is critical that local authorities take a 'whole of local authority' approach to strategic planning for recovery because many roles within a local authority can influence the effectiveness of recovery (such as planners, engineers, and community engagement). Related to this, strategic planning for recovery should align with, not duplicate, existing local government processes, such as community engagement and development of long-term and annual plans. Council business-as-usual policies, procedures and plans should be leveraged to assist in achieving the outcomes of strategic planning for recovery, as should existing roles, functions and resources. The whole-of-local authority approach includes, but is not limited to:

- Policy planners developing spatial plans, catchment management plans and undertaking *Resource Management Act 1991* functions, such as regional and district planning, can consider adaptive policies and contingencies, including the avoidance of hazardous areas to minimise consequences when they do occur. This not only assists with recovery when needed, but also makes the most of opportunities for improved environmental outcomes that the recovery process may provide for;

- *Local Government Act 2002* and *Local Government Act 1974* functions as well as long-term and annual plan activities such as asset management, management of local roads, priorities for infrastructure expenditures, e.g. requirement for resilience planning for strategic assets such as Ports;

- *Building Act 2004* – procedures after an emergency, surge staffing procedures, building consent requirements;

- Economic and community engagement encouraging businesses and communities to consider resilience and business continuity, together with priority actions post emergency from their perspective;

- Improving hazard awareness in the community through mechanisms such as notes on land information memorandum about hazards, to help homeowners and prospective buyers make informed decisions;

- Insurance coverage for, and maintenance of, local authority assets;

- Programme of community and infrastructure resilience work to ensure the community are prepared and that key assets can function after an emergency, e.g. access to drinking water.

- Any council controlled organisations that are lifeline utilities for the purposes of the *CDEM Act 2002* to help ensure they meet the requirements of section 60 of that Act.

Section 3 Approach to strategic planning for recovery

3.1 Approach

Before commencing strategic planning for recovery, local authorities and CDEM Groups, together with their Recovery Managers, should consider what current activities are being done across the local authorities within their CDEM Group area in terms of strategic planning and engagement (refer section 2.5) and what information is held in relation to (but not limited to):

- community values, priorities, demographics, strengths, vulnerabilities and needs (these could be geographic communities based on physical location or communities of interest such as farming or academic communities);

- community visions and outcomes;

- specific hazards and risks;

- different environments (built, social, economic, natural), e.g. buildings and infrastructure in the local authority areas;

- the likely impact of the hazards on different environments, e.g. modelling;

- lifeline utilities and critical functions;

- future development proposals, and social and economic drivers.

Strategic planning for recovery must build on what is already in place or underway (such as that listed above), and extend its thinking and application to recovery aspects (both immediate and longer term recovery). It is not intended that separate recovery activities are initiated where there are existing activities that can be leveraged off for recovery purposes e.g. ongoing community engagement or resilience work.

However, generic recovery planning will not meet the intentions of strategic planning for recovery from the hazards and risks in the CDEM Group area. CDEM Groups need to consider the specific hazards and risks in their CDEM Group plans and the consequences for recovery.

The following approach is intended to focus CDEM Groups on five key strategic recovery areas, which should form the foundations for any recovery (steps 1-5). It steps CDEM Groups through the five areas, doing a gap analysis of what is currently being done and what could be done to improve the CDEM Group's ability to prepare for, manage and deliver a recovery from an emergency. It is aimed at identifying possible strategic actions that could be done, which are then prioritised and agreed at Step 6. The considerations, agreements and priorities identified then form the basis of what is included in the CDEM Group plan.

It is recommended that CDEM Groups consider what else can be done to:

1: Understand the variety of communities in their area and their communities' values and priorities to inform strategic planning for recovery;

2: Develop a desired recovery vision and outcomes through engagement with the communities;

3: Using existing hazard identification and risk assessment information, engage the communities to understand the following by local authority area:

> a) the consequences from the specific hazards and risk that will need to be addressed to support the community to recover; and

> b) strategic opportunities that may arise from the specific hazards and risks to allow future risk management options and decisions to be taken;

4: Identify and build the capability, capacity, collaboration, and leadership needed to recover from emergencies resulting from the identified hazards and risks;

5: Develop performance frameworks to monitor and evaluate recovery preparedness and management, and

6: Prioritise and implement strategic actions to prepare for, manage and deliver recovery.
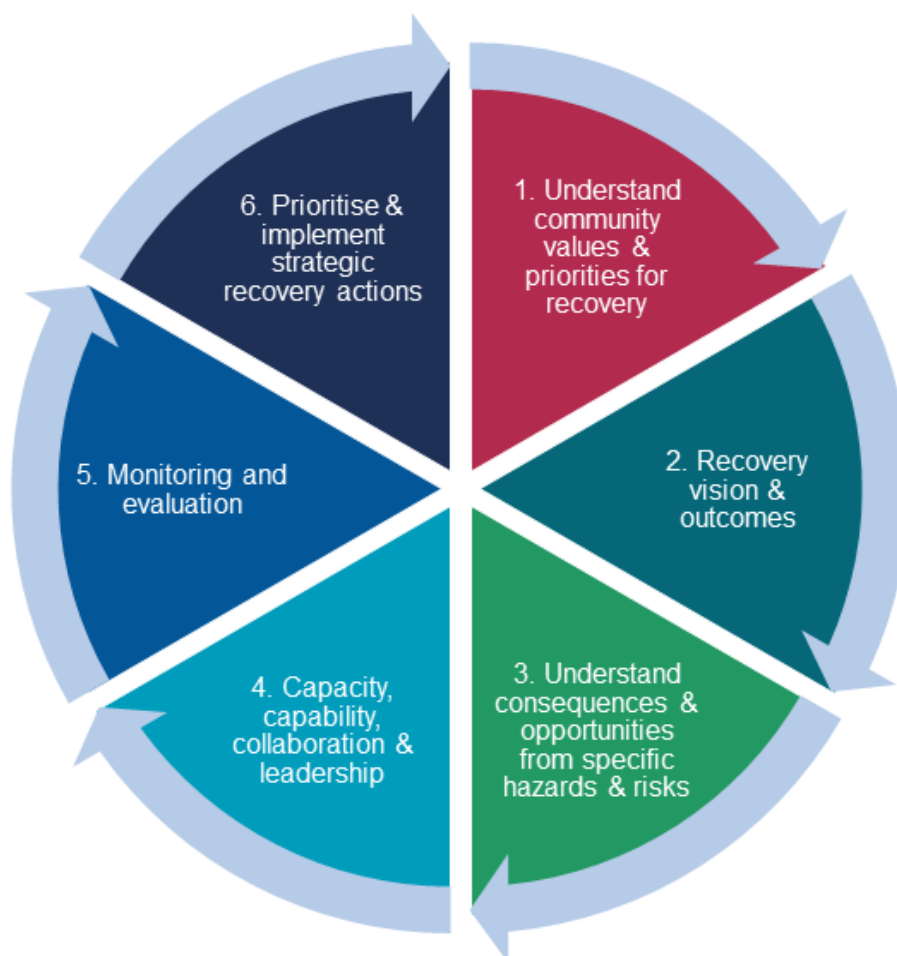

Figure 1 Approach to strategic planning for recovery

3.2 Understanding the communities' values and priorities for recovery

The importance of community engagement

Local authorities must know and understand their communities prior to an event so that recovery preparedness and management decisions can be informed by what is important to their communities, and what their understanding and tolerance of risk is.

Community engagement is critical to:

- Understand the strengths, vulnerabilities, needs, and priorities of those that will be, or have been, affected by an emergency;

- Understand what is critical to the function of the communities to enable choices and priorities regarding risk reduction and community enhancement to be made and embedded into local authority plans and investments;

1. Understand community values & priorities for recovery

- Identify and understand how best to use or apply community assets, groups, leaders, and other community strengths to support the community's recovery;

- Improve the preparedness of the communities.

Within communities could be different groups, such as geographic communities (e.g. based on physical location) or communities of interest (e.g. a cultural or business community). Community values and priorities can also change over time and with changes in the community.

Understanding the makeup of local communities prior to any emergency not only assists in identifying those potentially most vulnerable, and the services or assistance that may be needed during a recovery, but enables the community assets, leaders and general strengths to be channelled to recovery.

Understanding needs to go beyond simply demographics. CDEM Groups need to understand what the communities' values and priorities are and why. For example, a sports club may be a valuable asset for the community, not only because it provides a recreational facility but also because it is a regular social meeting place and community group venue.

They also need to understand the strengths within the community and how to make best use of them. For example, community leaders aren't always immediately obvious; there may be individuals who are great influencers amongst the community but who don't have an authoritative position. Could these individuals facilitate difficult conversations with the community when faced with critical decisions that will determine the future for those affected?

Engaging with communities

Engagement strategies need to be bespoke to the specific communities (e.g. geographical or cultural communities). It is also important to have ongoing community engagement to identify any community changes. Further information on how to engage communities can be found in *Community Engagement in the CDEM Context, Best Practice Guide [BPG 4/10]*.

It can be challenging for affected communities to engage in strategic recovery conversations after an event, as their priority is their individual or family and whānau immediate needs. The CDEM Group and local authorities need to build collaborative relationships with iwi, the different sub-groups and community leaders. Communication channels and processes for engagement need to be established pre-emergency and continue post-emergency in the immediate, medium and long-term.

Following an emergency, some previously unidentified community members may take on a leadership role where others are not able to. The CDEM Group must maintain appropriate flexibility to work with such people without neglecting existing relationships.

Communicating Risk

Another aspect of community engagement concerns understanding and communicating the risks the community faces. Communities need to be involved in decisions regarding the acceptability of risks relevant to them. To do this, they require good information about the risks, presented in a way that can be easily understood. For example, modelling tools can create a visual representation of the consequences that the community can understand, or other channels such as house sales, insurance policies, and property information can be used.

The community also require an opportunity to enable them to share their local knowledge and understanding of the risks they face. More guidance on understanding the opportunities and consequences of the community's hazardscape is provided in section 3.4.1.

Communicating risk to the community will likely build upon current processes and methods used in local planning processes, plans and strategies. Communicating risk should not be seen as a separate engagement process but one where CDEM Groups and local authorities leverage off engagement that is already occurring locally to extend thinking and incorporate recovery.

The challenge for technical experts is to communicate and engage with the communities in a way that recognises the factors that are important to individuals and communities, provides them with the information that they are looking for to assist in their personal decision-making, and increases their understanding of the hazard and the risks present.

The local authority has a leading role in communicating risks. However, they should identify other, more indirect, channels of communications to reach communities, for example, through existing key community leaders and those that come forward during a recovery.

Risk Tolerance

In addition, local authorities need to consider communities' perceptions and tolerance of risks. They should also recognise that these factors may not be considered by experts making technical assessments of the same risks. For example, a community that is prone to flooding may not have the same perception and tolerance of the flooding risk as the local authority does.

Understanding the communities' level of risk tolerance will assist the CDEM Group make informed decisions about risk management and engage communities in managing risks prior to emergencies.

The tolerance of risk within communities will vary both due to the differing views of individuals, but also over time and as a result of recent or previous events. For example, an individual's tolerance for risk may not be acceptable to the community and vice versa.

Incorporating community values and priorities into risk management

The assessment of hazards and risks for the purpose of strategic planning for recovery should build on the CDEM Group and local authorities' current assessment of hazards and risks, but expand it to consider the consequences from a recovery perspective. More guidance on this, in the context of strategic planning, is set out in section 3.4.1

To assess the hazards and risks, and truly understand the consequences for the communities, as well as the opportunities to strengthen resilience, it is critical that the local authorities know and understand the values, priorities and risk tolerance of their communities prior to an emergency.

Key considerations for CDEM Groups to improve their understanding of community values and priorities for recovery	- What are the strengths, vulnerabilities, needs, and priorities of those (communities, family, whānau) that will be affected by an emergency? How might these change following an emergency? - What is critical to the functioning of the community? What can the community not live without? How does this change over the area, for different groups of people? - Do we have a collaborative relationship with community leaders? Do they understand the risks to the community and their role in an emergency and recovery? How can they help us understand the community and communicate with the community? - What do we know about community preferences through other council processes e.g. long-term plans, hazard assessments? - What is the community's level of understanding of risk? What methods have we used, or do we need to use to communicate the risks to the community? What methods have we used, or do we need to use, to enable communities to communicate their understanding of risk to us? - What is the level of risk tolerance within our community? Are the risks that have been identified tolerable? - What community leaders and influencers do we collaborate with to communicate risks? For example, emergency services, iwi, community groups. What others can we work with?

More information

Welfare Services in an Emergency, Director's Guideline for CDEM Groups and agencies with responsibilities for welfare services in an emergency [DGL 11/15], Section 3, Reduction and readiness.

CDEM Group Planning Director's Guideline [DGL09/15]

MCDEM Community Engagement in the CDEM Context, Best Practice Guide [BPG 4/10]

For examples of possible approaches for engaging with communities about risk tolerance see GNS Science publication Risk-based land use planning for natural hazard risk reduction.

3.3 Recovery vision and outcomes

Developing a vision and outcomes prior to emergencies allows people to focus on long-term, strategic thinking while not being distracted by dealing with urgent 'here and now' issues after an emergency. It enables recovery activities to begin earlier and happen more seamlessly, with a better likelihood of achieving the outcomes.

Through engaging with communities to understand their values and priorities, the desired recovery vision and outcomes also need to be developed.

Vision

Developing a vision of what communities want their environments to look and feel like in the long-term following an emergency is a key step in strategic planning for recovery. It allows recovery activities to be quickly focused towards achieving the vision. For example, would the communities want to have different infrastructure? How might they want to approach restoring livelihoods and prosperity? How would they increase resilience across the built, economic, natural and social environments?

The vision will likely build upon, or could draw together, other community visions developed in local planning processes, plans and strategies, such as community development plans, long-term plans and economic development strategies. Development of the vision should not be seen as a separate engagement process but one where CDEM Groups and local authorities leverage off engagement that is already occurring locally to extend thinking and incorporate recovery.

CDEM Groups should recognise that the communities' vision may be challenged during a recovery as community needs and aspirations change. It may also change over time as a result of other factors such as resource limitations, land damage and future risk. As a result, recovery outcomes and activities may need to adapt in response to these changes to reflect the new or revised vision. These adaptions should be done through ongoing engagement with communities.

Immediate, medium and long-term outcomes

Immediate, medium and long-term outcomes should be pre-determined, based on the CDEM Group's and local authorities' understanding of their risks and communities. They should be clearly articulated and developed through engagement with the community, iwi and wider stakeholders who will have a critical part in delivering the recovery.

The outcomes are likely to be targeted to deal with consequences of emergencies. They should provide a head start in the management of recovery, enabling the needs of the affected community to be addressed as early as possible. For example, an outcome could focus on ensuring the resilience of key transport corridors. This can then guide recovery activities to deal with the specific consequences of the emergency.

It is critical that any proposed outcomes are realistic, to minimise frustration associated with unrealistic expectations.

Taking a strategic approach to developing these outcomes will support decision-making during a recovery, and will ensure recovery activities collectively are aligned to, and contribute towards, realising the community vision.

Key considerations for CDEM Groups when developing a recovery vision and outcomes	- What does the community want to be like in the future? - Does the vision represent views, values and priorities of all the community? Were all parts of the community involved in its development? - Is it a strategic vision that is applicable no matter what the emergency, or are there hazards or risks with unique consequences that require a tailored vision? - How does this vision link to other community plans, strategies and processes? Does the local authority need to think about its current and future long-term plans in a new way to enable the recovery vision to be achieved during recovery? - Do the immediate, medium and long-term outcomes cover all recovery environments? Are these outcomes applicable to most emergencies and consequences? - Will achieving these outcomes contribute to achieving the community vision? - Will achieving the vision and outcomes build community resilience?

More information

For more information on the benefits of taking a strategic approach to developing recovery outcomes see Benefits of a strategic approach to recovery: CERA's lessons on the journey from emergency to regeneration.

The report states that a more strategic approach to recovery and deeper understanding of the recovery phases better informs the development and adaptation of solutions during the recovery as well as assists in gaining support of other agencies, ensures work is prioritised, interdependencies between recovery environments and work streams are understood and addressed and assists in developing monitoring and reporting strategies.

3.4 Managing consequences and opportunities from specific hazards and risks

3.4.1 Understanding consequences and opportunities from specific hazards and risks

The *CDEM Group Planning Director's Guidelines* describes how CDEM Groups need to assess and treat all hazards and risks in their area.

The process involves:

3. Understand consequences & opportunities from specific hazards & risks

- Risk identification: gathering information from a variety of sources including quantitative modelling, hazard maps, building and infrastructure maps, and asset plans. Information should not be limited to that held by CDEM Group members.

- Risk analysis: analysing the risk in terms of likelihood and consequences on the affected community and evaluating how they would potentially impact on the four recovery environments (social, economic, natural and built) by using methods compatible with the international risk management standard (AS/NZS ISO 31000:2009).

- Risk evaluation: prioritising risks that need to be further managed.

- Risk treatment: setting out the means by which the risks will be managed.

An all hazards approach must be used to understand the specific hazards and risks that could impact the CDEM Group area. This could range from natural hazards such as earthquakes and snow, to animal pests and diseases, infectious human disease pandemics, infrastructure failure and terrorism.

Building an understanding of hazards and risks

For strategic planning for recovery, the CDEM Group and each member of the CDEM Group (e.g. Mayor / Chairperson) along with their respective local authorities need to build on their current hazard and risk understanding and, where necessary, expand their thinking to the immediate, medium and long-term recovery perspectives. This can be done by:

- Grouping hazards and risks according to their type, scale and likely consequences. This involves understanding all risks from those that cause small scale, frequent events through to the maximum credible event (as depicted in Figure 2) and possible multiple or cascading events if relevant.

- Exploring the consequences on each of the recovery environments (and communities of interest within them) and how the consequences are connected. CDEM Groups may also choose to adopt other environments that reflect the unique nature of their communities, for example, rural or cultural environments.

- Identifying and planning for all hazards and risks at both a Group and local authority level, to ensure planning is tailored, considers the diverse needs and values of different communities (geographically located and communities of interest) and opportunities to improve the 4Rs are identified.

- Collaborating with communities, iwi, experts and specialist agencies, and specialist teams from local authorities to fully understand the consequences and opportunities for the community.
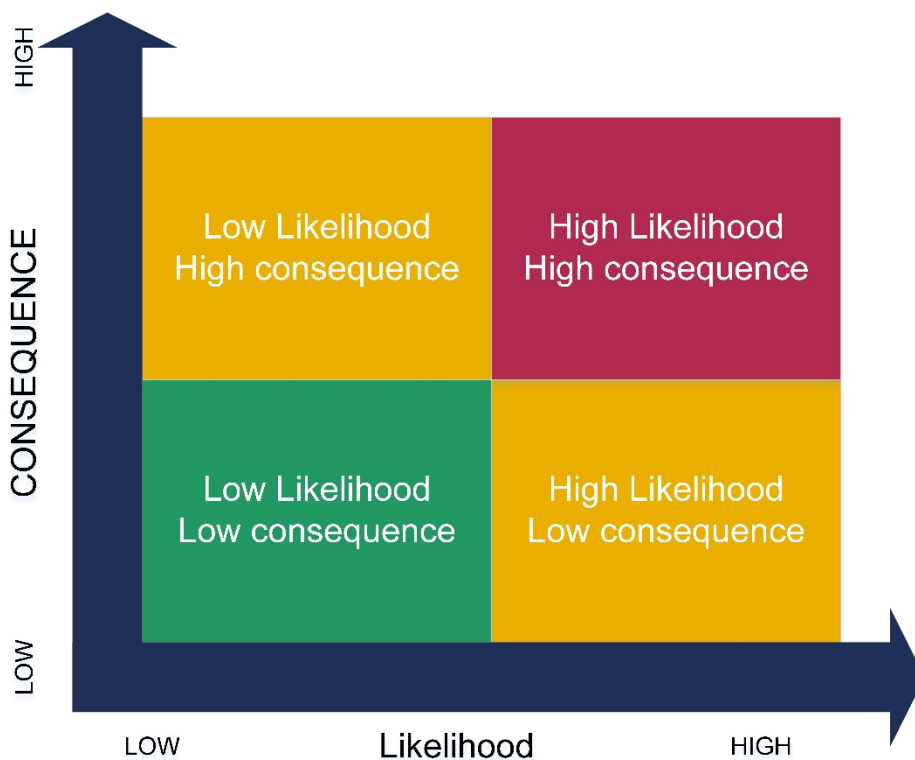
Figure 2 Various level of risk shown in relation to likelihood and consequence

Built environment

In the built environment, it is important to identify and understand the risks associated with critically important built assets, infrastructure, lifelines and resources including strategically important national and regional assets. This includes understanding why they are critical, e.g. what community need is met by this asset, what the consequences for the community would be if they were compromised or lost, and if there are alternative assets, infrastructure or resources that could meet the needs of the community. What business or community assets would be the highest priority for recovery? CDEM Groups should also understand the level of resilience in the built environment. CDEM Groups need to engage with different communities of interest in the built environment, for example building developers and owners, lifeline utilities, engineers, transport operators and insurance sector.

Economic environment

In the economic environment, it is essential to understand what is critical to maintaining local incomes, businesses, primary production and industry, e.g. telecommunications, tourists, road infrastructure, and what the likely immediate, medium and long-term consequences would be on the community if these critical assets or resources were lost or disrupted?

CDEM Groups should engage with the different communities of interest within the economic environment, for example small to medium enterprise, large companies, economic development agencies and business forums.

They may do this directly or leverage pre-existing groups and engagement channels within local authorities. CDEM Groups need to engage with local businesses critical to the local economy to understand their business continuity plans, the resources they have available to support their own recovery and that of the communities, but also their limitations.

Natural environment

In understanding the consequences to the natural environment, CDEM Groups need to consider the impacts from an emergency itself on the environment, and the damage that could be caused from any recovery activity e.g. rebuild or clean up. This includes understanding what natural resources, biodiversity, ecosystems, assets and access to them are critical and valuable to the community, e.g. a regional park or coastal marine area, and why they are valuable e.g. local industry is dependent on the fishery. What are the consequences on the community if these were lost or disrupted? For example, if a fishery was destroyed by a pest or disease or as part of a biosecurity response, this would have an impact on employment and the economy of the area. This could then lead to national economic consequences as a result of reduced seafood exports from New Zealand. CDEM Groups also need to consider the consequences of land damage on housing and business including possible mitigation options but also options such as managed retreat.

There may also be recovery actions that could support adaption to, or mitigation from, rising sea levels or climate change, resulting in greater future resilience of the community.

CDEM Groups need to engage with different groups within the natural environment, for example Department of Conservation, local and regional park rangers and managers and scientists and natural hazards experts.

Social environment

When considering the social environment, CDEM Groups need to recognise the diverse needs of different communities within their area such as rural compared to urban populations, iwi, high or low socio-economic groups and groups with cultural or belief systems diversity.

CDEM Groups also need to recognise that community connections and networks may be severely affected, social activities may be disrupted and some in the community may become mobile into or out of the area, as they relocate to other areas. These may cause psychosocial consequences for the community or consequences for the economic environment.

Any consequences across the built, economic or natural environments are likely to have a direct or cascading consequence on the social environment (e.g. having a secondary effect, such as on psychosocial health and wellbeing), and so the collective social consequences need to be considered.

CDEM Groups need to engage with different groups within the social environment, for example District Health Board, iwi, education and housing.

Other environments	CDEM Groups may consider additional environments depending on the characteristics of their area. These environments could include for example, culture or heritage (e.g. built environment for a unique style or age of buildings, or archaeological sites), or rural, if there is a large proportion of primary producers reliant on the land. Consideration should be given to whether a separate rural environment focuses solely on primary production or also includes other land uses such as lifestyle blocks and Māori land, as well as the unique situation of remote or island communities.
Cumulative and Cascading Consequences	The speed at which recovery progresses in one environment will influence recovery in other environments. Therefore to understand all the consequences on the community, consequences in one environment should not be considered in isolation. For instance, failure of water systems is a consequence on the built environment but will also have consequences on the social environment as it will impact the health and psychological well-being of the community. It is essential that the focus is not solely on reinstating the water supply but also providing for the well-being of the community.

Some realities of recovery also need to be considered, for example, aftershock sequences following an earthquake can continue to significantly alter the hazardscape, and insurance processes can take time, involve delays and possibly disputes. Displaced individuals, families and whānau may have to move multiple times between emergency and temporary accommodation until they are able to return home or move to a new permanent residence. Businesses may also be affected by the same level of disruption. Land damage can affect the long-term viability of some buildings and infrastructure if it creates new hazard risks e.g. rockfall, and decision making on mitigations can be complex and lengthy. These aspects and disruption also significantly impact the social and economic wellbeing of individuals, families, whanau and the community, and need to be factored into understanding the consequences.

Similarly, consequences that affect other communities should be considered. For example, the loss of Tauranga Port would have a significant regional and local impact as it is a main gateway for the economic community in the Bay of Plenty, but would also have a national economic impact as it is also the gateway for many North Island regional communities.

Key considerations for CDEM Groups when understanding the consequences and opportunities from specific hazards and risks	• What is critical to the successful recovery of each environment? • Are communities (geographical and, of interest) within each environment engaged? • What actions could we undertake now within each environment to enable improved outcomes during recovery? For example, relocate infrastructure to reduce future risks? • What collaborative relationships do we need to develop and maintain across the environments? Do these people and groups understand their role in recovery planning and management? • Are local and regional planning policies, rules and arrangements agile and flexible enough to allow innovative and sustainable actions across the 4Rs, and particularly during recovery? • What would be the cumulative and cascading consequences on the community in the immediate, medium and long-term from any loss or damage to the built, economic, natural and social environments? i.e. what are the collective consequences for the community? • What are the consequences on an environment caused by any loss or damage to any other environment, e.g. what are the consequences on other recovery environments from any loss or damage to the economic environment?

3.4.2 Hazard and risk management

Managing hazards and risks	CDEM Groups and local authorities, in collaboration with businesses, and government agencies, need to ensure that they embed strategic planning for recovery across the other Rs of emergency management to identify opportunities and actions that can be taken prior to an emergency to reduce the consequences of the emergency and the burden of recovery.

To do this, CDEM Groups and local authorities must identify and make long-term investment decisions that:

- reduce risks, including considering hazard avoidance and adaption mechanisms and improving decision-making for land use planning;

- improve readiness;

- incorporate recovery focused actions into response

- prepare for recovery.

In making risk management decisions, the Group and local authorities should consider the impact of increasing risks that, at some point in the future, can no longer be tolerated e.g. more severe weather due to climate change. This will also encourage conversations with vulnerable populations, for example, coastal communities, to better understand the risks, make personal decisions whether to accept the risk, and also how they might prepare themselves to adapt to a changed future hazardscape.

The CDEM Group and local authorities should also influence and discuss risks with lifeline utilities, to consider: whether particular assets should be strengthened (because they will be required during a response or to sustain the local economy in the immediate term); and whether it is more appropriate to insure and repair an asset regularly, or to accept the risk of the asset being damaged or destroyed in an emergency.

As risk reduction measures take effect, or as other risks increase e.g. climate change, or the community changes with the passing of time, the CDEM Group need to monitor and evaluate how this impacts the strategic planning for recovery. For example, at which point will the risk to the community become intolerable? Have the needs and priorities of the community changed due to a changing population?

Following an emergency the hazardscape is likely to have changed, or it will result in a greater level of understanding of the risks. This will trigger the need to re-examine strategic planning for recovery in relation to the changed hazards and risks, effectively 're-entering' the strategic planning cycle, to establish whether there are further risk reduction measures that can be taken, or whether more can be done to manage these risks and prepare for recovery.

Similarly, as risk reduction measures take effect, or as other risks increase e.g. climate change, or the community changes with the passing of time, the CDEM Group need to monitor and evaluate how this impacts the strategic planning for recovery. For example, at which point will the risk to the community become intolerable? Have the needs and priorities of the community changed due to a changing population?

Examples of risk reduction

There are many examples across New Zealand where risk reduction measures have been taken that have resulted in positive recovery implications. Examples include:

- Risk-based land use planning that supports smarter development in higher risk areas including land use planning rule changes.

- An alternative access road was built to support the sustainability of a meat processing plant in Taranaki after multiple emergencies damaged a main access bridge which had been a single point of failure.

- Land use management changes to plant native vegetation in catchments to reduce sediment loads and therefore flood risks, but also creating opportunities to support emerging manuka honey production businesses.

- Installation of multiple plastic water tanks with flexible attachments following the Kaikoura earthquake in 2016 to reduce the likelihood of damage, rather than fewer, rigid concrete tanks.

- Planting of low fuel plants to prevent or minimise the risk of rural bush fires.

Key considerations for CDEM Groups for hazard and risk management	• What risk mitigation is currently in place to reduce the consequences of an emergency on the four environments? What more can be done to reduce these risks?
	• What more can be done to manage these risks through readiness, response or recovery measures?
	• What opportunities are there to invest in long-term resilience?
	• What opportunities are there to improve the preparedness of the community to recover?

More information	The Guide to the National Civil Defence Emergency Management Plan 2015: Section 17 (Reduction); Section 18 (Readiness); Section 24 (Response); Section 32 (Recovery).
	More information about reduction in the welfare context is available in the Welfare Services in an Emergency Director's Guideline [DGL 11/15] on the MCDEM website www.civildefence.govt.nz.
	More information about levels of risk is available in GNS Science General Natural Hazard Guidance, Acceptable Risk.
	More information about pre-emergency recovery planning for land-use is available in GNS Science publication: Pre-event recovery planning for land-use in New Zealand: An updated methodology.
	More information about groups and agencies who could assist in understanding consequences in different environments as they are involved in recovery management is available in Recovery Management Director's Guidelines [DGL 4/05] on the MCDEM website www.civildefence.govt.nz.

3.5 Capacity, capability, collaboration and leadership

3.5.1 Capacity and capability

As the likely consequences from specific hazards and risks, and therefore the potential recovery needs for the community, are better understood, a CDEM Group and its represented local authorities must identify the resources, capacity and capabilities that may be needed to strategically plan for and support recovery activities. This process will help to build the critical relationships needed, identify how regional and central government support can be accessed, and support collaborative work in developing relevant capabilities, processes and arrangements.

4. Capacity, capability, collaboration & leadership

| Factors that influence the scale of recovery | When planning strategically for recovery, there are a number of factors that will influence the consequences of emergencies, including: |

- Type of event e.g. earthquake, tsunami, flood, pandemic, animal pest or disease

- Severity of the emergency

- Community affected

- The geographical area affected

- Multiple or cascading emergencies

Each emergency will require a tailored approach to manage and deliver the recovery.

Every recovery will require a different level and composition of resources, and whilst the CDEM Group may primarily plan for emergencies that will have more localised, small-medium scale consequences, they must also identify the resources, capacity and capability that would be needed should the emergency be larger either geographically or in the severity of consequence, or both, so that arrangements can be put in place to access these resources if and when they are needed for a recovery.

For example, an emergency that has severe consequences on the community over a number of districts is likely to need regional, and often central government, support compared to an emergency that results in localised consequences that can be managed by a local authority.

Resources, roles and responsibilities

Experience has shown that recovery structures are not easily 'scaled up', as often the agencies involved, or support needed for a large-scale emergency is well beyond what would be needed for a small-scale locally managed recovery.

Therefore it is better to take a modular approach when planning and devising recovery structures that focus on the components that may be required for different types and scales of recovery, and what skills and resources may be needed. These modules can then be combined after an emergency based on the specific recovery needs; this also allows flexibility to adapt to the changing needs of the community as the recovery progresses.

The roles and responsibilities of key government agencies, non-government agencies, the private sector, iwi and other key stakeholders in supporting both the preparedness and the management of recovery, should be defined and pre-determined. This will allow their capacity and capability to support recovery planning and activities to be identified, established and demonstrated; it will also assist the CDEM Group to understand the scope and limitations of groups and agencies. This process may be done by working with established groups such as a Welfare Coordination Group, recovery task groups, Rural Support Trust and government agency local representatives.

Recovery requires pre-determined protocols and arrangements to be established between agencies (e.g. local representatives of agencies), iwi and other key stakeholders before an emergency if they are to be activated quickly and effectively. Consideration needs to also be given to how unexpected offers of local assistance will be managed.

It is important to understand the nuances between the recovery requirements for different hazards and risks. For example, recovery from pandemic flu would require different agencies, or a different level of support from agencies, than recovery from a tsunami. CDEM Groups may decide to develop an individual recovery plan for a specific hazard or risk if they consider this is appropriate. For example, wanting to document in one place how recovery is managed for a specific hazard. The CDEM Group plan could note that these plans will be developed.

Key considerations for CDEM Groups when identifying capability and capacity for recovery	- Are you confident that the planning done to date for recovery has sufficiently identified the capabilities and capacity that is needed to prepare for and manage recoveries of varying scale? - Has this included local and regional support? Could central government support be needed? Non-government agency support? Support from other CDEM Groups? Support from iwi, the private sector, community groups and the community itself? - Do you have a mutual understanding of their roles and responsibilities? Do you have the necessary protocols and procedures in place to activate their support and for them to work together? - Do they have the capacity and capability to provide the level of support needed? Are they able to access resources as quickly as you might need them to? - Is there any additional training that you need to provide to any individuals or agencies? Can you collaborate with other CDEM Groups to raise capability? - Do you have a plan to deal with unexpected offers of assistance?

3.5.2 Collaboration and leadership

Role of the CDEM Group | The CDEM Group is responsible for promoting and raising awareness of the 4Rs within their area. By educating, influencing and collaborating with the broad range of leaders and decision-makers and promoting a 'whole of local authority' approach, they will enable collective input to prepare for, manage and deliver recovery, reduce and manage risks, and grow community resilience.

For strategic planning for recovery and recovery processes to be effective,
they need to be pre-planned through the collective effort of people across the
CDEM sector, including individuals, groups and agencies within:

- Community;

- Government Agencies, both central and regional;

- Health sector;

- Iwi;

- Lifeline Utilities;

- Local authorities;

- Private Sector (including insurance sector and business);

- Science and Research;

- Non-government organisations; and

- Welfare Services.

These individuals, groups and agencies have important perspectives on the
communities they live and work in and can assist CDEM Groups increase
their understanding of these communities. Strong communication and
collaborative planning is a key element of these relationships.

For example, infrastructure and financial strategies within local authorities will
have a major influence over any risk reduction investment decisions. Also,
policies regarding land use falls under the responsibility of the local authority
planning teams, but it is essential for the CDEM Group to have input into, or
influence over, the development of district plans. This concept is
underpinned by the whole-of-local authority approach (refer to section 2.5).

Likewise, lifeline utilities and central government have a significant part to
play in managing risk through investment in public infrastructure.

Similarly, iwi management plans are a key tool to assist in the management
of natural hazards and risks, and present an opportunity for CDEM Groups to
take account of and collaborate on these plans.

Recovery preparedness must include clarification of roles and responsibilities
in the recovery context and promote an understanding of multi-agency
interdependencies.

Effective coordination of recovery preparedness and management is then
based on long-term collaboration, coordination and communication between
agencies. Integrated plans and relationships should enable a quick and
efficient activation for recovery as required, including local and regional, and
seeking central government support arrangements, whilst dovetailing with
other related plans, such as business continuity plans.

| Key considerations for CDEM Groups when establishing collaboration and leadership for recovery	• Having considered the hazards and risks from a recovery perspective, are you confident that you have strong relationships with all of the relevant leaders whose decisions or influence contribute to risk management, recovery preparedness or management of recovery? e.g. Planning Managers, Chief Finance Officer, Chief Executive of local large employer, local community groups, Chamber of Commerce, iwi leaders and central government agency local representatives. • Do they have sufficient knowledge of the risks to understand the impact of their decisions and the level of support needed to implement those decisions? • What more can the CDEM Group and local authorities do to inform, influence and collaborate with these leaders? • What arrangements and processes have already been prepared? What more could be done prior to an emergency to prepare for recovery?

More information

For more information on the roles and responsibilities of various agencies and organisations see The Guide to the National Civil Defence Emergency Management Plan 2015.

3.6 Monitoring and Evaluation

3.6.1 Performance frameworks

The CEG is responsible for overseeing the monitoring and evaluation of the CDEM Group plan (section 20(2)(c) of the *CDEM Act 2002*). For the plan to be effective, it requires the strategic planning for recovery to be monitored and assessed. As part of a monitoring and evaluation process, the effectiveness of strategic planning for recovery will

5. Monitoring and evaluation

be assessed e.g. how well has the CDEM Group performed in meeting the requirements for strategic planning for recovery?
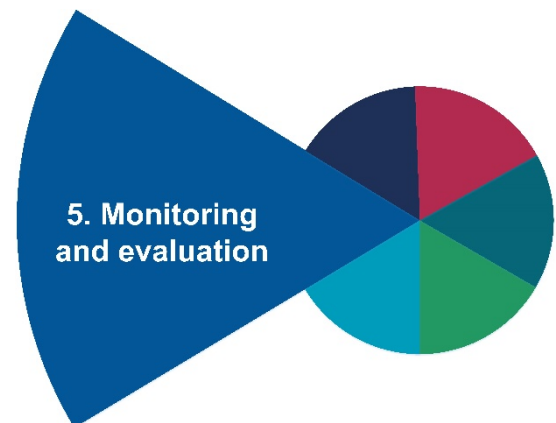
This assessment will help the CDEM Group to ensure its strategic planning for recovery is robust, fit-for-purpose and the process and results of strategic planning for recovery are strengthened over time.

The CDEM Group and CEG need to ensure that performance frameworks that provide clear indicators, baselines and targets, are developed and implemented to monitor and evaluate:

- Recovery preparedness; and

- Management and delivery of recovery

These performance frameworks need to measure and evaluate both *progress* of all parties in delivering recovery activities and the *effectiveness* of these activities in achieving the desired outcomes.

The performance framework needs to identify what results are acceptable; identify trends that indicate emerging or changing risks or issues; and include trigger points where action is required.

Some performance measures will need to apply qualitative information while quantitative data will be available for others. Measures may require baselines to be established on which to measure progress and the resultant impact of improvement actions.

Recovery preparedness performance framework

There are a range of options to monitor and evaluate the effectiveness of strategic recovery planning and recovery preparedness, including:

- Recovery exercises, particularly those that test the limitations of recovery preparedness to maximise learning

- Peer review by other CDEM Groups to share ideas, promote learning and encourage consistency

- Independent review by a third party with relevant recovery experience

- Testing individual components of recovery preparedness, for instance, an assessment of the level of community understanding of risks can be an indication of effective community engagement. Testing individual components can give assurance that all components will come together effectively when applied during a recovery.

- Assurance through structured reporting from infrastructure providers, lifeline utilities, local authorities, emergency services and others who will provide recovery services or support on their ability to recovery from emergencies and deliver services or support at pre-determined levels, based on their performance to other emergencies and recoveries, and business continuity plans.

- Community participation in activities such as exercises or events that focus on recovery, and the need to think about what recovery could be like.

Key considerations for CDEM Groups for a recovery preparedness performance framework	• Does your current monitoring and evaluation sufficiently indicate areas for improvement in your recovery preparedness? Does it provide the CDEM Group the necessary assurance that recovery preparedness is robust? • What areas of recovery preparedness do you need to improve, and how can you measure improvement? • What is your process for monitoring your changing hazardscape, and any changes in the needs and priorities of your communities? What improvements are needed?

Performance framework for managing recovery

Performance frameworks are also needed during a recovery to measure and evaluate progress with recovery action plans and delivery of immediate, medium and long-term recovery outcomes. Performance measures need to consider each of the recovery environments; social, built, economic and natural, and any others environments that the CDEM Group decides are appropriate. CDEM Groups should consider how performance measures that are collected and managed by other groups and agencies may be used in the performance framework to reduce duplication of, or inconsistencies in, data collection and analysis.

The performance framework for managing recovery should be developed pre-emergency, and refined post-emergency to reflect the specific circumstances. The framework should include thresholds for what results are unacceptable and therefore will trigger corrective action. For example, if participation in community events is an indicator of social recovery, what level of participation indicates that social recovery is progressing well? Performance frameworks during recovery should also consider emerging risks that may become apparent in the longer-term, for example, increased stress on the primary industries as a recovery moves into a crucial season such as spring.

Key considerations for CDEM Groups for a managing recovery performance framework	• What do you want to achieve during recovery? Therefore what might you need to monitor across the recovery environments to ensure both progress and delivery of your immediate, medium and long-term recovery outcomes? • What lead and lag indicators could you use to monitor and evaluate these aspects of your recovery management? What information is likely to be available, or could you establish, to provide either quantitative or qualitative measures? • Do you need to establish baselines for any of these measures? What baselines can be established pre-emergency? • What will these measures tell you? What results would be acceptable? What would be unacceptable, and how can these trigger corrective action?

More information

For more information on the roles and responsibilities of various agencies and organisations in monitoring and evaluation see The Guide to the National Civil Defence Emergency Management Plan 2015, Section 22 Monitoring and Evaluation

For more information on monitoring and evaluation see the 'About Monitoring and Evaluation' page at www.civildefence.govt.nz where there is a number of resources.

3.7 Prioritise and implement strategic recovery actions

Identify areas for improvement or progression

At this stage of the process, each of the other five key recovery aspects will have been covered, and this will have allowed the CDEM Group to compare what is already being done across its area against what is needed to improve its ability to manage a recovery from an emergency. From this, the CDEM Group should have identified areas for improvement or progression across each of the following areas:

6. Prioritise & implement strategic actions

- **Understand hazards and risks** - for example, the CDEM Group may already have processes in place to engage the community on risk reduction measures, but these conversations may need to be extended to consider from a recovery perspective what the consequences on the community would be; and to understand what would be required to recover from these emergencies;

- **Recovery vision and outcomes** – for example, the CDEM Group are likely to already have a vision and outcomes in place, but there may be other opportunities to engage the community to develop these further and ensure they are based on the values and priorities of the community;

- **Enabling recovery** – for example, the CDEM Group will have identified a number of leaders and stakeholders, but there may be others identified when the hazards and risks are considered from a recovery perspective; there may be additional protocols and procedures that need to be developed pre-emergency; and there may be a need for additional recovery training for CDEM staff;

- **Monitoring and Evaluation** – for example, the CDEM Group will already monitor a number of areas such as response preparedness, but the performance frameworks may need to be extended to monitor and evaluate the effectiveness of recovery preparedness and the management of recovery. There may also be additional measures needed to monitor the changing hazardscape and how these will impact on community needs, to ensure that recovery planning and activities continue to align with, and deliver, the long-term aspirations of the community.

Develop an approach to address gaps

Achieving effective strategic planning for recovery will be an iterative change process, and that there may be a number of actions to undertake over time. Recognising this, CDEM Groups may need to prioritise their actions for improvement or progression in their CDEM Group plan, taking into account factors such as:

- Actions that would result in the greatest reduction in negative consequences on the community, and therefore enhance their ability to recover e.g. risk reduction measures;

- Actions that result in the greatest reduction in cumulative risk from recurring events e.g. planning for recurring floods;

- Actions that address areas for improvement that cover multiple hazards, and therefore benefits community recovery overall e.g. if retreat was a viable option, it would reduce the risks to the community in that particular location;

- Timing of investment and planning decisions e.g. long-term plans, district plans (focusing on new development or redevelopment that might be proposed in high risk areas), and annual plans;

- Opportunities to work jointly with other agencies or groups and implement actions through other mechanisms in addition to the CDEM Group plan, e.g. long-term plan, district plan, community development plans or asset management plans; and

- Potential risk of not taking action to prepare for recovery or undertake risk reduction measures.

A timeframe for implementing these actions must be developed, and the necessary funding and resources must be secured, for instance, through the long-term planning process or other appropriate local authority processes. All the actions will most likely not be implemented through the CDEM Group plan alone.

Implement

To ensure delivery of these actions, the CDEM Group needs to ensure a work programme is developed and implemented that details how these actions will be delivered, including who is responsible for delivery and a date by which these actions will be delivered.

Monitoring and Evaluation	The CDEM Group need to monitor and evaluate progress of these strategic actions, and whether these actions are achieving the desired outcomes.

This requires the CDEM Group to ensure a performance framework is developed and implemented to monitor and evaluate:

- Progress of actions against the defined work programme;

- Risks or issues that could impact the work programme, and how these will be managed;

- Whether the actions are effective in achieving the desired outcomes, and if not, have mechanisms in place to better address any areas for improvement.

Section 4 Applying strategic planning for recovery outcomes to a specific emergency

Strategic planning for recovery recognises that there are a range of emergencies for which the consequences will vary both in scale and in geographical area, or population affected, and each will require a tailored approach to manage the recovery.

Common components of recovery such as capacity, capability, leadership, and recovery outcomes are developed during the strategic planning process before an emergency happens. These should then be applied, and tailored, as needed to manage a specific recovery.

For example, strategic planning for recovery should achieve the recovery outcomes described in section 2.3 and shown in the left-hand column in the table below. Each outcome should then be applied, and tailored as needed to manage a specific recovery. Examples of considerations that could be made immediately following an emergency to determine how outcomes achieved pre-emergency can be applied and tailored are described below.

Strategic Planning Outcome	Questions to be considered when applying and tailoring pre-emergency recovery outcomes and planning
Comprehensive understanding of what is needed to support the communities overcome the consequences from specific hazards and risks, and the opportunities to reduce risk and strengthen resilience	• Can any opportunities for investment identified in strategic planning now be realised given the consequences of the emergency, for example, renew or relocation of infrastructure or a change in land use for a particular area? • Has the emergency created opportunities that weren't identified in strategic planning that can be realised now? • Can we utilise the alternative assets, infrastructure or resources identified in strategic planning to meet the needs of the community in the immediate, medium or long-term? • How are consequences on critical assets, infrastructure or resources affecting all areas of the community and recovery environments? For example, how is damage to the national port affecting economy activity and community wellbeing now and how will it affect it in the medium to long-term? • Has the emergency changed our understanding of the likely consequences?

Strategic Planning Outcome	Questions to be considered when applying and tailoring pre-emergency recovery outcomes and planning
Communities are engaged, have an enhanced ability to adapt, and decision-makers understand what is important to the communities	• How will we work with the community to ensure they are contributing to the recovery? • Have community values, strengths, vulnerabilities, needs, and priorities changed as a result of the emergency? • Has the emergency presented an opportunity to build on or start conversations with the community, for example, should we begin a community retreat process? Has the community's level of risk tolerance changed? • How have the things identified as critical to the functioning of the community been affected? How are the actual consequences affecting the community?
Immediate, medium-term and long-term recovery outcomes and a community recovery vision are defined	• Are the immediate, medium and long-term recovery outcomes still appropriate and realistic given the actual consequences of the emergency and community affected? • Is the strategic recovery vision developed in strategic planning still appropriate given the actual consequences of the emergency? Is it still the vision the community want to achieve in the long-term?
Recovery risks are identified and managed through additional reduction, readiness, response and recovery measures	• Have the consequences of the emergency changed the hazardscape? Does this change our understanding of our risks? • Do we need to implement additional or different risk management measures given what we now know about the actual consequences?
Local and regional capacity and capability to prepare for, manage and deliver recovery (across a range of emergencies) is readily accessible, with a clear understanding of the local, regional and central government roles and responsibilities	• What capabilities do we need to draw on for this recovery? • Are the pre-defined roles and responsibilities being fulfilled or do we need to prompt individuals/groups/organisations? • Are there any services or needs that require resources and action that were not identified earlier? Who has responsibility for these? • Are there capabilities that we need that were not identified earlier? Where can we request these from?
Collaborative relationships and processes are established, managed and maintained at local, regional and central government level	• What pre-established relationships do we need to draw on for this recovery, for example, direct connections into central agencies, community development groups, iwi? • Who is the best person to retain these relationships throughout the recovery? e.g. Recovery Manager, Mayor, Chief Executive? • What new relationships do we need to develop and manage now?

Strategic Planning Outcome	Questions to be considered when applying and tailoring pre-emergency recovery outcomes and planning
Performance frameworks are developed to monitor and evaluate the progress and effectiveness of recovery preparedness and the management of recovery, which in turn prompts improvement actions to be implemented	• What measures will be used for this specific recovery based on the performance framework that has been developed? • What information will trigger us to adapt our activities to respond to the changing nature of the recovery? • What has been learned from this recovery so far that alters what we are measuring?
Local authorities engage business, iwi and community leaders to allow a two-way exchange of information about the risks and actively demonstrate leadership in the management of risk and community preparedness	• What community leaders need to stand up and be visible in this recovery? How can we leverage off their leadership? • What messages do we want them to deliver? What actions do we want them to take? • How can we identify, work with, and appropriately support newly emerged leaders in the community?

Section 5 Key terms

Refer to *CDEM Act 2002* and *The Guide to the National Civil Defence Emergency Management Plan 2015* for other definitions and terms including, business continuity, capability, capacity, CDEM Group plan, CDEM sector, emergency services, Group area, hazard, hazardscape, and lifeline utility.

Civil Defence Emergency Management

Civil defence emergency management –

(a) means the application of knowledge, measures, and practices that—

  (i) are necessary or desirable for the safety of the public or property; and

  (ii) are designed to guard against, prevent, reduce, recover from, or overcome any hazard or harm or loss that may be associated with any emergency; and

(b) includes, without limitation, the planning, organisation, co-ordination, and implementation of those measures, knowledge, and practices

Civil Defence Emergency Management Act 2002, s4

Civil Defence Emergency Management Group or CDEM Group

Civil Defence Emergency Management Group means a Group established under section 12 or established or re-established under section 22

Civil Defence Emergency Management Act 2002, s4

When used in this document, it refers specifically to the Joint Committee.

Engagement

Engagement is a process where people come together to participate in decision making on an issue that affects them and their community.

Evaluation

Evaluation is about measuring effectiveness. It compares what is happening against what was intended (goals, objectives and targets) and interpreting the reasons for any differences.

Local authority

Local authority means a territorial authority, a regional council, or a unitary authority.

The Guide to the National Civil Defence Emergency Management Plan 2015

Monitoring

Monitoring is a continual process that aims to provide governance leaders and stakeholders of an ongoing intervention with early indications of compliance with responsibilities, and progress, or lack thereof, in the achievement of results.

Recovery

Recovery involves the co-ordinated efforts and processes used to bring about the immediate, medium-term, and long-term holistic regeneration and enhancement of a community following an emergency

Civil Defence Emergency Management Act 2002, s4

Recovery activity	**Recovery activity** means an activity carried out under this Act or any civil defence emergency management plan to deal with the consequences of an emergency, including, without limitation,—

(a) the assessment and ongoing monitoring of the needs of a community affected by the emergency; and

(b) the co-ordination and integration of planning, decisions, actions, and resources; and

(c) measures to support—

    (i) the regeneration, restoration, and enhancement of communities across the 4 environments (built, natural, social, and economic); and

    (ii) the cultural and physical well-being of individuals and their communities; and

    (iii) government and non-government organisations and entities working together; and

(d) measures to enable community participation in recovery planning; and

(e) new measures—

    (i) to reduce risks from hazards; and

    (ii) to build resilience

Civil Defence Emergency Management Act 2002, s4

4Rs	**4Rs** of emergency management are reduction, readiness, response, and recovery.

Reduction involves identifying and analysing risks to life and property from hazards, taking steps to eliminate those risks if practicable, and, if not, reducing the magnitude of their impact and the likelihood of their occurrence to an acceptable level.

Readiness involves developing operational systems and capabilities before an emergency happens, including self-help and response programmes for the general public and specific programmes for emergency services, lifeline utilities, and other agencies.

Response involves actions taken immediately before, during, or directly after an emergency to save lives and property, and to help communities recover.

Recovery involves the coordinated efforts and processes used to bring about the immediate, medium-term, and long-term holistic regeneration and enhancement of a community following an emergency

National CDEM Plan 2015 and Civil Defence Emergency Management Act 2002, s4 (recovery)