Recovery Preparedness and Management

Director's Guideline for Civil Defence Emergency Management Groups [DGL 24/20]

Part B

CIVIL DEFENCE

**Resilient New Zealand
Aotearoa Manahau**

New Zealand Government

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 preparing for and managing recovery.

Contents

Introduction

Considerable work is required prior to emergencies to ensure that CDEM Groups, territorial authorities, partner agencies and communities are ready for recovery. Part B of the Recovery Preparedness and Management Director's Guideline provides guidance on how CDEM Groups and local authorities need to prepare for recovery. This Part describes what CDEM Groups and local authorities need to do before an emergency when preparing for recovery and provides guidance on operational recovery planning. It also explains how operational recovery planning relates to the requirements for Strategic Planning for Recovery.

The purpose of Part B is to provide guidance on how to prepare for recovery.

It is recommended that Part B is read in conjunction with Parts A and C of the Recovery Preparedness and Management Director's Guideline. Parts A and C provide foundational information on recovery in New Zealand and guidance on how to manage recovery.

Section 8 Preparing for Recovery

This section explains why CDEM Groups, territorial authorities and partner agencies must prepare for recovery and why it is essential to understand community values and priorities while preparing. It describes what CDEM Groups and local authorities need to do before an emergency when preparing for recovery, including operational recovery planning, establishing governance, coordination, information management and financial arrangements, building and maintaining relationships, and investing in professional and capability development. This section also describes the scope of a pre-emergency operational recovery planning and how operational recovery planning relates to the requirements for Strategic Planning for Recovery.

8.1 Why do we need to prepare for recovery?

Emergencies often result in a need to recover, with the scale and nature of recovery varying for each emergency. Irrespective of this, communities will often need support to adapt to any changes to their pre-emergency lives. Because of the profound, life-changing and long-lasting consequences emergencies can have for individuals and communities, recovery can be a long and complex process involving many individuals, agencies, organisations and groups.

In the same way that CDEM Groups, territorial authorities and partner agencies prepare for response (which, although initially can be very complex and fast moving, is shorter than recovery), they must also prepare for recovery, enabling them to support individuals and communities to recover and navigate this complexity. Preparing for recovery by establishing processes, procedures and protocols before an emergency for coordinated post-emergency recovery planning and implementation greatly enhances the speed and success of recovery[1].

Preparing for recovery:

- helps to ensure **efficient and effective support and services** that meet community needs are available as soon as possible after an emergency

- enables recovery activities to be started immediately after an emergency to **support individuals and communities regain a quality of life as quickly as possible**

- assists in **managing the complexity** of recovery

- **clarifies roles and responsibilities** in recovery

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[1] Federal Emergency Management Agency. 2016. *National Disaster Recovery Framework*, 2nd ed.

- **encourages communities, agencies, organisations and groups to collaborat**e in recovery

- **increases understanding of the hazards and risks** present in a community, the **possible consequences** that could result from an emergency, **and the support the community may need**

- **empowers the community** to exercise a high degree of self-determination and enables them to actively contribute to planning

- **provides assurance to the community** that they are adequately prepared to recover from an emergency

- **provides assurance to CDEM Groups and Government** that the community is adequately prepared to support and manage a recovery

- **helps to manage expectations** of potentially affected communities and individuals and organisations involved

- **ensures recovery processes, procedures and agreements are in place and ready to be used** such as financial, funding, reporting and personnel, and

- establishes pre-emergency **societal measures** that can be used post-emergency to identify risks, impacts and consequences and measures against them to determine the effectiveness of recovery activities.

Understanding community values and priorities for recovery

Knowing and understanding what drives communities is essential and is a crucial part of preparing for recovery. Engagement with a community before emergencies can inform decisions and choices over the priority of essential community assets such as sports clubs, schools, or religious or historic landmarks. It can help communities prepare for the ongoing stressors that people and communities inevitably face during recovery.

Pre-emergency conversations should be had between emergency managers, community development staff, planners, local authorities, CDEM Groups, and community leaders and their communities. These should cover what the community values, what is critical to the functioning of the community, the community's strengths and vulnerabilities, needs and priorities and how to best apply community assets.

It can be challenging for affected communities to engage in strategic planning conversations after an emergency as their priority is the immediate needs of individuals or family/whānau. Communities are more likely to engage with these conversations when they are not dealing with the impacts of an emergency.

Community values may change once an emergency occurs. Values, functions, strengths, vulnerabilities, needs and priorities identified before an emergency should be revisited after the emergency.

Knowing what is important

As well as understanding a community's values and priorities for recovery, organisations that lead recovery need to understand the potential consequences and opportunities; capability; capacity and leadership needs; specific hazards and risks; the critical success factors for recovery; and how recovery activities will be managed, prioritised, communicated, monitored and evaluated.

More information

More information on understanding community values and priorities and what is important prior to emergencies is available in the *Strategic Planning for Recovery Director's Guideline [20/17]* at www.civildefence.govt.nz.

8.2 Strategic planning for recovery

Legislative requirement for strategic planning for recovery

Under the *CDEM Act 2002*, CDEM Groups are required to state and provide for strategic planning for recovery from the hazards and risks in their Group Plan. 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.

Strategic planning for recovery identifies actions that can be taken before an emergency to reduce the consequences of an emergency. It is also an opportunity to engage with communities and build the correct foundations before an emergency so communities are well-placed and supported to recover. These foundations allow for recovery to be supported and managed effectively when an emergency occurs.

The actions required in strategic planning for recovery prior to emergencies are[2]:

- understanding community values

- establishing community visions, goals and priorities

- understanding the nature of communities across the four environments

- understanding hazards, risks and consequences

- linking recovery planning to existing and future reduction programmes

- improving recovery management capability, capacity, collaboration and leadership

- developing a performance framework for monitoring and evaluation, and

- implementing strategic recovery actions.

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[2] Ministry of Civil Defence & Emergency Management. 2017. *Strategic Planning for Recovery Director's Guideline [20/17]* at www.civildefence.govt.nz.

Preparing for operational recovery management

While the above actions are required for strategic planning for recovery, planning is also required to ensure preparedness for the operational management of recovery following emergencies. This planning is complementary to the requirements of strategic planning for recovery and is explained in more detail in *Section 8.3*.

Linking recovery to risk reduction

One element of strategic planning for recovery is determining how recovery risks can be managed through additional reduction, readiness, response and recovery measures.

By building recovery considerations into existing planning documents, such as District Plans and Long-term Plans, it is possible for local authorities to minimise the recovery effort needed after emergencies by allocating resources and investment across the 4Rs prior to emergencies.

Link between strategic planning for recovery and operational recovery planning

Figure 6 illustrates the linkages and differences between strategic planning for recovery and operational recovery planning (the focus of this guideline). The figure shows how the two types of planning focus on different elements of recovery and the feedback loops between the two.

More information

More information about strategic planning for recovery including how strategic planning for recovery outcomes can be applied to a specific emergency is available in the *Strategic Planning for Recovery Director's Guideline [DGL 20/17]* at www.civildefence.govt.nz.

Strategic Planning for Recovery
"Where we are, where we want to be, and how we'll get there"

Operational Recovery Planning and Management

BEFORE
Emergency
"How we'll manage recovery"

Incident /
Emergency

AFTER
Emergency
"How we'll manage this recovery"

Strategic Planning for Recovery DGL

Recovery Preparedness and Management DGL

provides

Strategic Planning for Recovery Process

provides guidance to do

provides guidance to develop

Strategic Actions and Priorities
"What we'll focus on to get better at recovery"

is outlined in

Operational Planning

CDEM Group Plan

resulting in

is operationalised through

Recovery Plan
"How we'll do it"

provides basis for

Emergency-specific Recovery Plan
"How we'll manage / support this recovery"

Recovery Work Programme

may include

Operational Planning

Training/Capability Development

form building blocks for

Community Engagement

Relationship Building

Recovery Action Plan #1

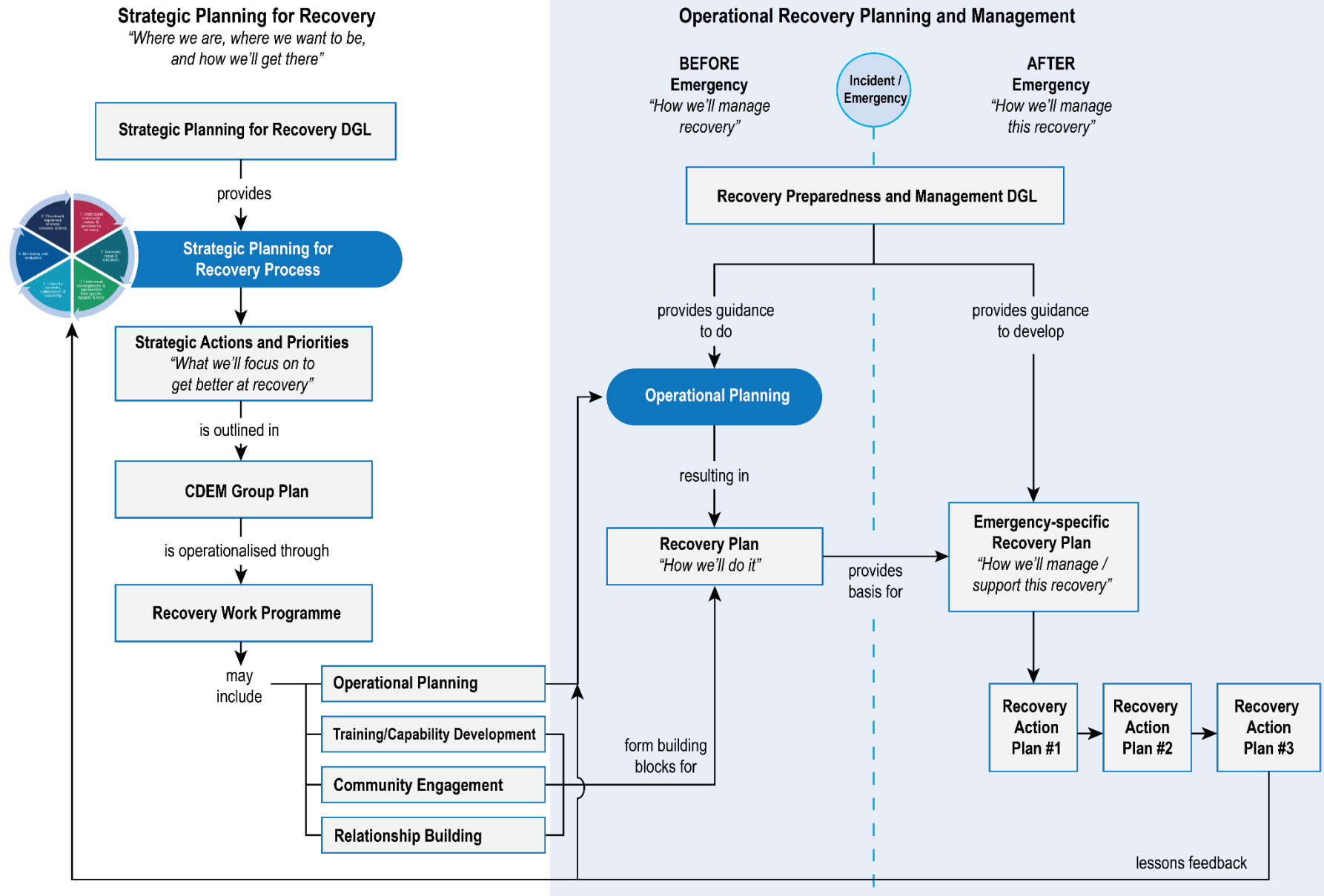Recovery Action Plan #2

Recovery Action Plan #3

lessons feedback

Figure 6: Link between strategic planning for recovery and operational recovery planning

8.3 Operational recovery planning

Purpose of operational recovery planning

Operational recovery planning ensures that:

- scalable, flexible and adaptable procedures, processes and ways of working during recovery are agreed upon and established

- training is provided so procedures and processes for recovery management are understood and that recovery personnel are able to apply them (refer to *Section 8.1*)

- governance and coordination arrangements and structures can be implemented quickly to ensure timely and efficient support to affected communities

- information is collected, collated and protected

- the consequences of the emergency are minimised

- duplication of effort or inefficiencies are minimised, and

- communities and wider stakeholders have confidence in the ability of recovery leaders and agencies to manage recovery activities.

Scope of operational recovery planning

In addition to building recovery foundations during strategic planning for recovery, CDEM Groups and local authorities need to plan for how recovery will be managed and supported at an operational level. This pre-emergency operational recovery planning needs to consider:

- recovery governance

- relationship building and management

- coordination arrangements

- professional development and training

- information management

- financial arrangements

- monitoring, reporting and review, and

- the processes for starting recovery in response, and moving from response to recovery (refer to Section 10 in Part C for more information).

CDEM Groups also need to establish other key arrangements. The Recovery Manager, or the person delegated the function to plan for recovery by the CDEM Group, needs to take the lead on confirming these arrangements with support from the local authority Chief Executive and Chief Financial Officer, Coordinating Executive Group, Joint Committee and CDEM Group Manager.

These arrangements include the following:

- **streamlining processes** to be used in recovery including processes that determine the arrangements and efficient recruitment of a Recovery Team

- **emergency business transaction arrangements** with contractors. This may involve preparing Memorandums of Understanding or pre-preparing contracts

- **knowing how to 'activate' recovery** (refer to Section 10 in Part C) including knowing the initial steps and actions to take, where to seek relevant information and support, and how to fill out appropriate forms such as for giving notice of a local transition period. This includes planning how the Recovery Manager will be supported during response including how they can be supported to understand requirements, responsibilities and implications of other legislation and regulations (other than the *CDEM Act 2002*)

- **building management processes** including requirements for building assessments, resources, how demolitions will be handled, where waste will be stored and how hazardous substances will be identified and dealt with, including working with Building Control Managers

- the process for **determining when the scale of recovery is larger than can be dealt with locally** and what additional support may be required and where it will be sourced from. This includes considering how arrangements for locally manageable recoveries can be bolstered and supported by other CDEM Groups or national agencies

- establish **systems and processes for impact assessment and welfare needs assessment** including the collection and collation of assessment information, including working with Welfare Managers, and

- knowing who will be **the face or spokesperson for recovery**. Different leadership skills may be needed for different phases of the recovery, which may alter who leads or is the spokesperson for recovery.

Pre-emergency Recovery Plan

The result of operational recovery planning and established arrangements should be recorded in a pre-emergency Recovery Plan. This Recovery Plan should describe "how we'll do recovery" and will form the basis for managing and supporting recoveries and developing emergency-specific Recovery Plans.

The scope of the pre-emergency Recovery Plan should include the considerations and arrangements listed in *Scope of operational recovery planning* above.

Refer to Section 12.5.1 in Part C for more information on emergency-specific Recovery Plans.

Scenario-based planning

Scenario-based planning is a tool that can be used to assist pre-emergency operational recovery planning. It can be used to better understand the potential consequences from different hazards and risks in the area so that local authorities and CDEM Groups can ensure they are prepared to deal with the consequences. Existing hazard contingency plans could include a specific recovery section, outlining what forecast recovery consequences for

specific hazards may be. This can provide an indication of the scale and consequences required to be managed post-emergency.

The use of scenarios can help to identify areas where additional planning is needed or where arrangements and processes need to be established. It can also be beneficial in building recovery awareness and capability.

8.3.1 Monitoring, evaluating and reporting

Pre-emergency

CDEM Groups are responsible for ensuring that CDEM Group Plans are implemented, including planning for recovery and arrangements. This means that recovery planning and arrangements must be regularly monitored and evaluated to ensure that:

- recovery preparedness objectives are being met, and
- arrangements based on the assessed risks are current and relevant.

Recovery capability and capacity needs to be continually monitored and evaluated to ensure that CDEM Groups, local authorities and agencies have the ability to support recovery activities.

For CDEM Groups to meet their requirements, CDEM Group Recovery Managers and local Recovery Managers, alongside Emergency Management Officers, will monitor and evaluate CDEM Group and local recovery arrangements and work programmes.

More information

More information about monitoring and evaluation (including the CDEM Monitoring and Evaluation Programme) is available at www.civildefence.govt.nz.

8.4 Recovery governance

Recovery governance focuses on strategic decisions, rather than the day-to-day delivery of recovery activities. Governance ensures that recovery objectives, and ultimately community outcomes, are not lost in the day-to-day activities of recovery.

It is crucial that the CDEM Group and local authorities establish recovery governance arrangements prior to an emergency to confirm and assign roles, responsibilities, accountabilities, functions and decision-making processes during recovery. An important element of this is agreeing on the difference between strategic decision-making and operational decision-making.

In doing so, recovery personnel and organisations understand their roles and responsibilities, and are capable of supporting the recovery from day one.

Good governance

Good governance is[3,4]:

- participatory
- equitable and inclusive
- transparent, open and effective
- responsive, and
- effective and efficient.

Good governance in recovery:

- improves performance and community outcomes
- has a defined vision for the future of the community
- takes a big picture view of recovery and understands the impact of decisions on others
- ensures there is accountability and oversight of operations
- manages risk, and
- finds the right balance between making short-term gains and building long-term outcomes.

Effective governance provides visible and strong leadership to ensure all decisions contribute to the achievement of recovery objectives.

What is recovery governance?

Recovery governance is the process by which affected communities, agencies and organisations:

- determine what is to be done, how it is to be done and who it is to benefit, and
- apply themselves to implementing these decisions.

In other words, it is about how recovery is collectively managed and overseen at the highest level and considers where recovery is now, where it is going and what is needed to get there. It can be simply defined as the process of joined-up thinking and decision-making, and the process by which decisions are implemented (or not implemented)[5].

There are many layers of governance, including[6]:

- local authorities
- CDEM Groups
- central government

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[3] United Nations Economic and Social Commission for Asia and the Pacific. 2009. *What is Good Governance?* https://www.unescap.org/sites/default/files/good-governance.pdf
[4] http://www.localcouncils.govt.nz/lgip.nsf/wpg_url/About-Local-Government-Local-Government-In-New-Zealand-How-councils-should-make-decisions
[5] Modified from United Nations Economic and Social Commission for Asia and the Pacific. 2009. *What is Good Governance?* https://www.unescap.org/sites/default/files/good-governance.pdf
[6] Modified from United Nations Economic and Social Commission for Asia and the Pacific. 2009. *What is Good Governance?* https://www.unescap.org/sites/default/files/good-governance.pdf

- iwi

- non-government organisations

- community groups

- community leaders

- the private sector, and

- politicians.

Each agency, organisation or group will have its own internal governance arrangements, focusing on their particular priorities. However, they also need to come together and have responsibility for recovery outcomes — this is recovery governance.

In the recovery context, there are two layers of governance: strategic governance and operational management.

Leveraging and fitting with business-as-usual structures

Recovery governance should build on, rather than replace, existing local arrangements, where appropriate. Existing arrangements that could be leveraged include Council committees, Coordinating Executive Group, Joint Committee and Recovery Committees.

As the Joint Committee and each member is responsible for planning and carrying out recovery activities, regardless of the scale of recovery, the Joint Committee needs to be kept informed of recovery progress, priorities and risks.

Who is responsible for governance?

Both CDEM Groups and local authorities are responsible for governance at the local level.

Recovery management experience in New Zealand shows that, in general, Territorial Authorities play the primary governance role for their area, usually via the full Council or a Council Recovery Subcommittee delegated by Council. CDEM Group Joint Committees generally provide oversight and support to Territorial Authorities, especially where recovery crosses more than one Territorial Authority area. This Council Recovery subcommittee may consist of the Mayor, Chief Executive, Local Recovery Manager, Chief Financial Officer and iwi. The CDEM Group Recovery Manager may also sit in the group in an advisory / subject matter expert role.

Governance at the local level is complemented by any national governance arrangements that are in place.

Other individuals, agencies or groups may need to inform the strategic governance group. For example:

- key community leaders

- agency representatives, e.g. the New Zealand Transport Agency if there is considerable damage to a state highway, and

- subject matter experts for local knowledge, service delivery or advice.

The exact makeup of the strategic governance group may vary for each recovery depending on the scale and consequences of the emergency. However, people that are likely to be involved need to be aware before an

emergency of their roles, responsibilities, accountabilities and functions, and the process for decision-making during recovery.

Governance responsibilities

A governance group is able to remove barriers impeding recovery, provide visible and strong leadership and ensure all decisions contribute to the achievement of recovery objectives.

A governance group is responsible for:

- setting priorities and objectives and managing competing priorities
- ensuring recovery objectives are being met
- ensuring adequate supply and distribution of resources for recovery management
- promoting community self-determination and supporting community-led initiatives
- ensuring the community is involved in the development of objectives and is engaged and informed
- ensuring the views of those impacted by their decisions are taken into account, and
- ensuring recovery is in line with best practice and national guidance.

Real world example

In January 2017, the National Recovery Manager, delegated after the November 2016 earthquakes and tsunami, convened a Chief Executives' Forum, with membership including the affected South Island local authorities and Ngāi Tahu. Key central government agencies attended, including the Department of Internal Affairs; the Ministry for Business, Innovation, and Employment; the Ministry for Primary Industries; the New Zealand Transport Agency; and District Health Boards.

In 2015, a Future Planning Working Group was established in Franz Josef / Waiau. Members included representatives from Westland District Council, West Coast Regional Council, Te Runanga o Makaawhio, the Department of Conservation and the Community Development Officer, as well as eight community-elected representatives. The Working Group developed a broad list of projects to improve resilience of Franz Josef / Waiau, and built trust between the community and agencies. When part of Franz Josef / Waiau flooded in 2016, the group provided a useful forum, with the input of community members and agencies, to discuss and begin jointly planning the recovery, future and development of the town. This ensured town planning reflected community knowledge, wishes and aspirations, and agencies ensured the planning was feasible in terms of legislative, technical and financial restrictions.

Operational recovery management

Operational management focuses on coordinating the delivery of recovery activities and associated decisions and actions. People responsible for management implement decisions of the strategic governance group by coordinating, managing and directing activities.

Management is responsible for:

- implementing decisions of the strategic governance group

- identifying, understanding and taking action on priorities

- developing recovery objectives, a Recovery Plan/Strategy, a Recovery Action Plan and an Exit Strategy

- coordinating and managing recovery activities

- identifying, obtaining and distributing resources

- promoting community self-determination and supporting community-led initiatives

- engaging and communicating with the community

- monitoring and reporting on recovery, particularly to the strategic governance group, and

- controlling expenditure and maintaining accountability.

Who is responsible for operational recovery management?

Recovery Managers at both the CDEM Group and local level are responsible for recovery management, if delegated authority by the CDEM Group or authorised under the *CDEM Act 2002* during a transition period. Recovery Managers are usually supported by Recovery Teams and recovery environment sector groups.

The exact management arrangements may vary for each recovery depending on the scale and consequences of the emergency. However, people need to be aware of their roles, responsibilities and accountabilities and the process for decision-making during recovery before an emergency.

Decision-making processes

Alongside defining the roles and responsibilities of strategic governance groups and operational recovery management groups, and planning for the groups' establishment following an emergency, the process for decision-making needs to be confirmed. This includes how decisions will be made, who will make them, how decision-makers will be supported to make these decisions and how conflicts will be resolved. Business-as-usual processes may be used as a basis for these processes but they need to be assessed to determine if they will be appropriate for use during recovery.

8.5 Relationship building and management

Importance of relationship building and management

Relationship building and management underpins all aspects of recovery, and developing effective working relationships prior to emergencies can significantly enhance the effectiveness of the recovery process.

Effective relationship management builds an understanding of roles, responsibilities and the strengths of partner agencies, and builds trust and credibility between agencies and communities over time. It also assists with speeding up the establishment of a Recovery Team following an emergency.

Recovery leaders and managers at both the local and regional levels have responsibilities for encouraging effective relationship management prior to recovery.

Benefits of relationship building and management

There is evidence that forging effective links and relationships between people and agencies prior to recovery leads to further improvement during recovery management. The use of existing networks is the preferred way to build relationships; however, recovery leaders and managers need to evaluate what other relationships may need to be developed to deliver recovery effectively.

Primary relationships required at the local level

The primary relationships required for a Recovery Manager at the local level are with[7]:

- Territorial Authority staff and Councillors; Chief Executives and senior management teams; Mayor and Councillors; and senior managers, especially those responsible for infrastructure, building consents, community development, communications and information management

- the Local Controller, Local Welfare Manager and Public Information Manager

- the CDEM Group Recovery Manager

- the National Emergency Management Agency Regional Emergency Management Advisor

- emergency management officers and Local Recovery Team staff

- iwi leaders

- local recovery environment sector group representatives and Chairs

- local community leaders and contacts, and

- business leaders and business groups.

Primary relationships required at the CDEM Group level

The primary relationships required for a CDEM Group Recovery Manager are with[8]:

- the CDEM Group Joint Committee, CEG and CDEM Group Manager

- the National Emergency Management Agency Regional Emergency Management Advisor

- the National Recovery Manager (if delegated) and the National Emergency Management Agency Recovery Team

- representatives (may be regional or national) of Government agencies and organisations

- the Group Controller, Group Welfare Manager and Public Information Manager

- Local Recovery Managers

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[7] This is not an exhaustive list. A Recovery Manager at a local level should have relationships with many additional organisations, agencies and groups.
[8] This is not an exhaustive list. A CDEM Group Recovery Manager should have relationships with many additional organisations, agencies and groups.

- iwi leaders

- recovery environment sector group Chairs and representatives, and

- Group Recovery Team managers and staff, particularly those in planning and intelligence, information management and public information management.

More information

See the *CDEM Competency Framework Role Map: Recovery Manager* under Key Area 1: Relationship Management (p. 10) for more information on relationship building and management, available at www.civildefence.govt.nz.

8.6 Recovery coordination arrangements

If collaboration fails, recovery efforts can be hampered, causing delays and – in the end – poor outcomes for affected communities[9].

Clear recovery coordination arrangements provide a solid foundation for recovery management. Coordination arrangements enable recovery issues to be assessed and evaluated, priorities determined, agencies and organisations engaged, and key resources identified and coordinated.

A key lesson learned from recent recoveries, including the November 2016 earthquake and tsunami, is the importance of establishing recovery coordination arrangements prior to an emergency including determining individuals and functions that may be needed and the roles and responsibilities of those functions.

Coordination arrangements

Recovery coordination arrangements need to be based on arrangements that have proven to be effective over the long-term and that are complementary to existing CDEM arrangements and best practice (as described in this guideline).

Recovery coordination arrangements are unlikely to be 'one-size-fits-all', as they need to be flexible and adaptable based on the actual consequences of each emergency.

Planning for coordination arrangements before an emergency and having arrangements that are flexible and adaptable may appear to be at odds. However they reflect a need to have both clarity prior to emergencies and considerable flexibility to reflect the uncertain nature of recovery management over time.

An example fundamental recovery management arrangement is shown in *Figure 7*. It provides a more detailed view of the local and regional level in Figure 4 in Part A. Note that Figure 7 does not show the connections with the CDEM Group (when applied at a local level) and national level. Refer to

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[9] Office of the Auditor-General. 2012. Roles, responsibilities, and funding of public entities after the Canterbury earthquakes, 9.

Accountability and communication lines in this Section for more information on accountability and communication lines between the layers.
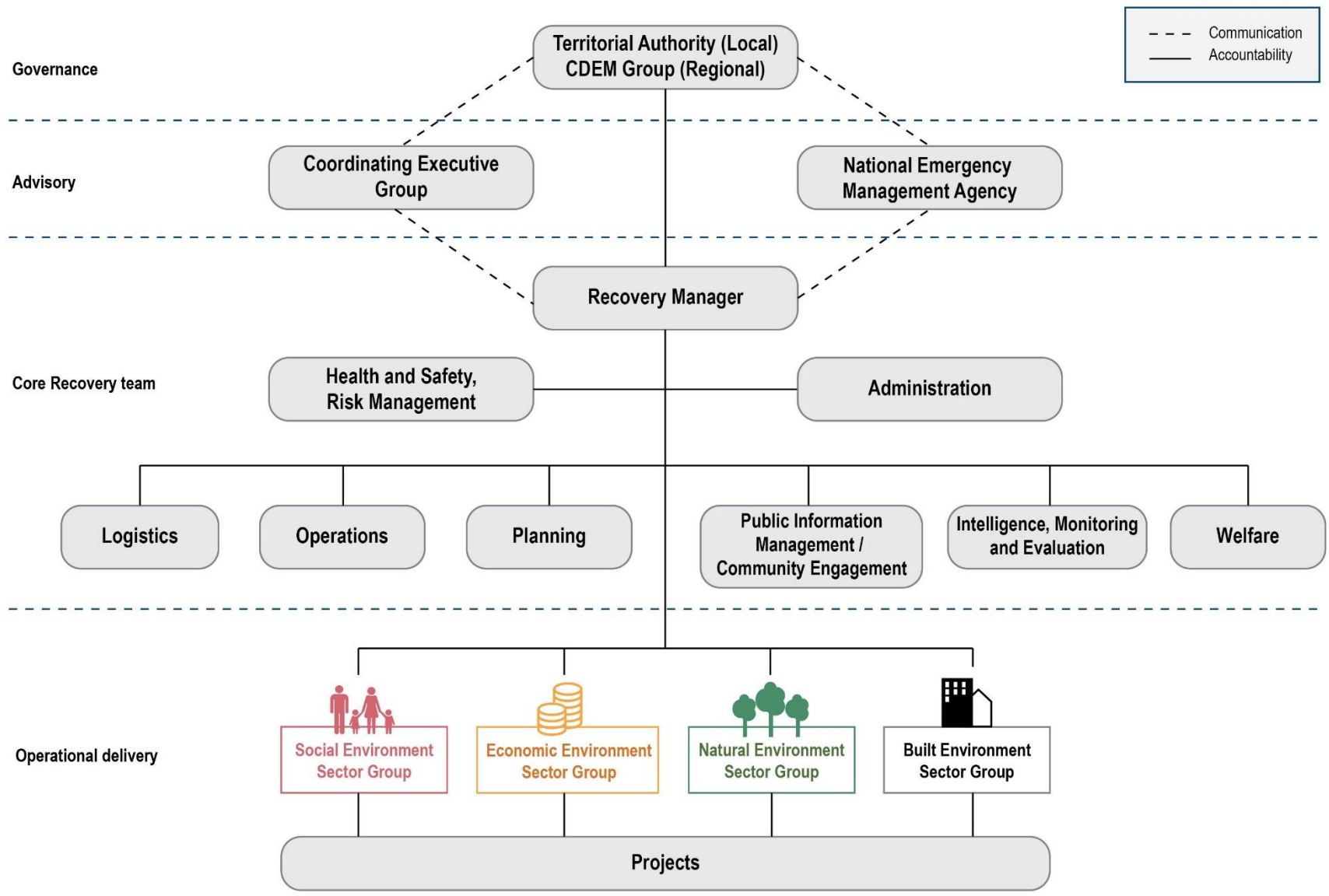
Figure 7: Fundamental local and regional recovery management arrangements

Recovery offices

A recovery office is a facility that may be established to consolidate the recovery arrangements and to provide a centralised location for the Recovery Manager, the Recovery Team and others supporting recovery to work from. Recovery offices at the CDEM Group and local level should be set up using the recovery management arrangement outlined above and the considerations in Section 12.4 Part C.

For small- to moderate-scale emergencies, if recovery offices are set up, they will likely be established at either the local or CDEM Group level.

For large-scale emergencies, a National Recovery Office may be established alongside either the CDEM Group or Local Recovery office.

Before an emergency, the following factors need to be considered for the physical set-up and location of the office:

- *Location*: Recovery offices need to be located appropriately to service the area, district or region affected. Consideration should be given to where an office could be located in different scenarios. This could extend as far as pre-establishing arrangements for utilising particular buildings.

- *Space and amenities* such as workspaces and meeting rooms: Depending on the scale of the emergency, a Recovery office will need to support permanent staff members and visitors, and be flexible enough to allow for these numbers and required space to evolve over the course of a recovery.

- *Equipment and supplies:* Consideration should be given to what equipment and supplies will be needed to support recovery office activities (e.g. computers, phones, photocopiers) and where they can be sourced from at short notice. It can take time to source and set up a facility with the appropriate equipment, so thought should be given to pre-arranged agreements to avoid delays caused by lack of equipment and supplies.

- *Staffing:* How a Recovery Team/office is staffed needs to be considered pre-emergency. For example, will staff be seconded to the Team and their business-as-usual roles backfilled? Refer to Section 12.4 in Part C for more information.

Accountability and communication lines

A key factor that the CDEM Group needs to determine in pre-emergency operational planning is reporting and communication lines. *Figure 7* provides an example of these in the fundamental local and regional recovery management arrangement.

Accountability lines are lines of management or, in other words, who someone reports to. For example, the Local Recovery Manager is likely to be accountable to the local authority Chief Executive[10].

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[10] This doesn't exclude a Local Recovery Manager needing to follow any direction given by the Group Recovery Manager during a transition period. Refer to *Following direction during a local transition notice* in Section 5.7 in Part A for more information.

Communication lines are where information flows. For example, the Recovery Manager needs to keep the Chief Executive, the Mayor, the CDEM Group Manager, the Joint Committee and the National Emergency Management Agency informed about progress, risks and issues. This includes reporting to the National Emergency Management Agency so they are able to inform the Minister of Civil Defence (refer to Section 5.1 in Part A for further information on the National Emergency Management Agency's reporting role in recovery).

There is a clear distinction between accountability and communication lines and they need to be understood before an emergency to remove any confusion during recovery.

Link to starting recovery and moving from response to recovery

Clear coordination arrangements will assist management of the initial stages of recovery and the process for moving from response to recovery. Recovery Managers must be familiar with the arrangements during the response phase that lead into recovery management (refer to Section 10 and Section 11 in Part C).

8.7 Professional and capability development

Overview

Professional and capability development for recovery refers to the advancement and maintenance of skills, knowledge and attributes for effective recovery management. It includes all formal and informal learning experiences that can improve an individual's performance, including training and exercising.

The aim of professional and capability development is to ensure that staff with recovery responsibilities can perform their roles effectively.

Professional and capability development for recovery needs to occur across all staff and agencies with recovery responsibilities, especially those with leadership positions. Capability development and exercising helps to build relationships among agencies, and can assist efforts to improve community awareness and resilience.

The role of Recovery Managers[11]

CDEM Group and Local Recovery Managers, where appointed, have a role in helping to ensure that local recovery capability is maintained and enhanced via professional development and training. CDEM Group Recovery Managers also have a role in helping to ensure that professional development and training for recovery is coordinated across the CDEM Group.

Recovery capability and capacity

The capability and capacity needed to support recovery activities needs to be identified as part of strategic planning for recovery. This will help identify where these skills can be sourced from within local agencies and

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[11] Refer to Sections 5.4-5.7 in Part A

organisations, and how regional and central government support can be accessed and support collaborative work in developing relevant capabilities.

8.7.1 Capability development and exercising

Capability development

Both CDEM Group Recovery Managers and Local Recovery Managers, in conjunction with Emergency Management Officers responsible for training and exercising, may facilitate training and exercises that involve recovery stakeholders. Capability development and exercise topics of particular relevance to recovery include:

- CDEM fundamentals
- Recovery Team roles and activities
- agency roles and expectations
- communication and engagement
- welfare management, and
- building and infrastructure management.

Exercise programmes

Recovery exercise programmes should be appropriate to staff development needs, ensure regular training opportunities and, where practicable, be conducted in conjunction with response exercises.

Regular testing of recovery plans through exercising is an appropriate way to ensure that arrangements are up to date and workable.

8.7.2 Professional development and training for Recovery Managers

The following professional development and training is recommended for Recovery Managers (Group, Local, and their alternates).

Core understanding

It is essential that all Recovery Managers have a core understanding of:

- the principles of CDEM and recovery, including psychosocial support
- the CIMS
- recovery roles and responsibilities, including CDEM Group Joint Committees, CEGs, Territorial Authorities, recovery sector environment groups and Government
- CDEM Group Plans; CDEM Group Recovery Plans; and Local Recovery Plans, Annual Plan and Long-term Plan processes, and
- the Recovery Preparedness and Management Director's Guidelines (this document).

Core training requirement

The core training requirement for all Recovery Managers (Group, Local, and their alternates) is to meet training standards set by the National Emergency Management Agency and relevant regulations for training if developed in the future.

Capability Framework	The Emergency Management People Capability Framework[12] defines the essential and desirable attributes of Recovery Managers. These are:

- setting direction
- leading people
- managing self
- managing relationships
- engaging and partnering with Māori, and
- delivering results.

Leadership	A Recovery Manager needs to be able to facilitate the development and articulation of a recovery vision, creating an environment that empowers others to act and succeed. They also need to develop and embed personal and organisational resilience. Recovery Manager leadership is demonstrated through strategic decision-making via empathy, realism, consistency and communication. Leadership skill development for a Recovery Manager is critical.
	Refer to Section 10.1 in Part C for further information about *Leading in Recovery Management*.
More information	More information on the Response and Recovery Leadership Capability Development Programme is available at https://dpmc.govt.nz.

8.7.3 Controllers, recovery environment sector group Chairs and Recovery Team personnel

Professional development for other recovery staff	Controllers, recovery environment sector group Chairs and Recovery Team personnel should develop an understanding of recovery management via an induction or targeted training.
	Professional development and training methods for all recovery personnel can include:

- participation in local training programmes covering CDEM and recovery fundamentals
- attendance at recovery forums, conferences or workshops
- completion of the Integrated Training Framework course Introduction to Recovery and others, when available
- brief exercises at regular meetings

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[12] Currently under development. Refer to the National Emergency Management Agency website in the future for more information.

- having recovery roles and responsibilities in job descriptions and succession planning, and

- cross-CDEM-Group collaboration.

More information

More information on capability development, including the *Introduction to Recovery* course on takatū is available at www.civildefence.govt.nz.

8.8 Information management

Information management is a critical element of recovery management as it enables decisions to be made to ensure that the needs of the community are met. Information management is a challenge during recovery due to the need to bring together information from a wide variety of sources, collate information in a way that informs decision-making, and maintain the integrity and security of the information.

It is critical that systems and processes for information management are prepared before an emergency. Information management needs to be considered at both the CDEM Group and local level before an emergency. It should include processes for collection; management of information; and how the information will be collated, disseminated and reported upon at the CDEM Group and local level. These systems and processes should be based on those used during business-as-usual and/or response, where appropriate as information collection and management during recovery relies heavily on the information collected and managed during the response. Using the same systems and processes before, during and after an emergency, allow for ease of integration and information sharing. If existing processes and systems are not fit-for-purpose, new ones will need to be developed.

Information requirements during recovery usually comprise, but are not limited to:

- welfare needs and residential building assessments at a property scale

- public and commercial building impact assessments

- lifelines utilities impact assessments, which often apply to multiple infrastructure providers

- environmental impact assessments, and

- community engagement results.

Privacy

There may be privacy concerns with sharing information, particularly personal information. See Section 12.9 in Part C for more information about the *Privacy Act 1993*.

Considerations pre-emergency

In preparing systems and processes for information management pre-emergency, the following actions need to be considered to minimise delays and frustration in recovery:

- having standardised data and information management on a shared platform

- establishing information management protocols based on business-as-usual and/or response protocols

- ensuring availability and capability of geospatial teams in local authorities or determining if additional capability or capacity will be needed

- determining why information will be needed in recovery, what information is needed and how to collect information via information/data collection plans. For example, number of dwellings impacted gives early indication of potential need for temporary accommodation and welfare services delivery in support of displaced people, including psychosocial support needs, lifeline utilities services delivery. This should inform what and how information is collected in response, and

- establishing arrangements and agreements for accessing and understanding key baseline data where possible before emergencies, such as school attendance records, numbers of people with critical medical dependencies, or economic activity. In some cases, this information will be confidential so it will be important pre-emergency to establish processes for information sharing to avoid delays when the information may be needed in recovery.

8.9 Financial arrangements

Recovery can be expensive. Pre-emergency operational planning needs to consider how recovery will be funded including how recovery staff will be funded, and local funding mechanisms and processes, as well as understanding the criteria, systems and processes for central government financial support. Planning also needs to consider the financial impact on business-as-usual work.

CDEM Groups, agencies and organisations need to financially plan for recovery so that funding arrangements are in place to allow for quick access to funding, particularly in the early phases of recovery. This includes CDEM Groups and each member establishing local funding structures, processes and delegations as well as understanding central government funding support and reporting requirements before an emergency.

While the basic financial arrangements for recovery are outlined within CDEM Group Plans, there is often insufficient detail for use during recovery hence more detailed planning for recovery is needed.

Local funding arrangements

Pre-emergency, local funding arrangements and processes need to be established and formalised. To do this, recovery operational planning needs to involve Chief Financial Officers for advice on how to financially prepare.

The following arrangements need to be planned for and understood by Recovery Managers, Chief Executives and Chief Financial Officers:

- funding arrangements for Recovery Managers, staff and offices at both the CDEM Group and local level during recovery management, including the ability to backfill business-as-usual positions

- Territorial Authority funding processes, mechanisms and arrangements for recovery management, and how these relate to CDEM Group funding arrangements

- processes for establishing and managing regional or local relief funds, including governance and disbursement arrangements. It is recommended that these funds are established prior to an emergency with a terms of reference and scope clearly articulated, the trustees identified, and the processes for application clarified

- the level of insurance of assets that may be damaged in an emergency, including the cost of replacement versus insurance

- Council insurance policies, including what they do and do not cover, for example do they allow for backfill of business-as-usual staff if they are seconded to the Recovery Team, and

- the threshold to be met by the local authority before government financial support is applicable.

Financial assistance for affected communities

Financial assistance involves providing information about, and access to, the range of financial assistance available to people affected by an emergency. It is a function that sits under Welfare in a response.

Recovery Managers and teams need to become familiar with financial assistance arrangements, particularly via the Group Welfare Manager.

Refer to Section 12.13.3 in Part C for more information.

Government financial support to local authorities

The Guide to the National CDEM Plan 2015 provides information on the specific government financial support that may be available under certain circumstances and the eligibility criteria to support local authorities after an emergency.

It is important that Recovery Managers, local authority Chief Executives, Council Financial Officers, asset managers and operational staff understand Government funding mechanisms for supporting local authorities. This includes the financial support available for aspects of response and recovery such as eligible essential infrastructure recovery repairs, recovery management and how to access this support.

More information

More information about government financial support to local authorities is available in section 33 of *The Guide to the National CDEM Plan 2015* and in supporting Government financial support factsheets at www.civildefence.govt.nz.

More information about financial assistance is available in Section 13 of the *Welfare Services in an Emergency Director's Guideline [DGL 11/15]* and section 14.13 *Financial assistance sub-function* of *The Guide to the National Plan 2015* at www.civildefence.govt.nz.

More information about the requirements and procedures for local authorities when requesting government financial assistance for response and recovery costs for civil defence emergencies is available in the *Logistics in CDEM Director's Guideline [DGL17/15]* at www.civildefence.govt.nz.

More information about Government financial support is available in factsheets at www.civildefence.govt.nz (search 'funding').

Appendix A Referenced Resources

This appendix provides the online location of documents and resources referred to in this document for easy reference. They are listed in alphabetical order by the document name.

C *CDEM Competency Framework Role Map: Recovery Manager*

http://www.civildefence.govt.nz/assets/Uploads/publications/CDEM-rolemap-recovery-manager.pdf

Civil Defence Emergency Management Act 2002

http://www.legislation.govt.nz/   search: emergency management

Coordinated Incident Management System (CIMS), 3rd edition.

Officials' Committee for Domestic and External Security Coordination

https://www.civildefence.govt.nz/resources/coordinated-incident-management-system-cims-third-edition

H *How councils should make decisions*

Department of Internal Affairs

http://www.localcouncils.govt.nz/lgip.nsf/wpg_url/About-Local-Government-Local-Government-In-New-Zealand-How-councils-should-make-decisions

I Introduction to Recovery course on takatū

https://takatu.civildefence.govt.nz/

L *Logistics in CDEM Director's Guideline [DGL17/15]*

National Emergency Management Agency

https://www.civildefence.govt.nz/assets/Uploads/logistics-dgl/DGL-17-15-Logistics.pdf

N National Civil Defence Emergency Management Plan Order 2015

http://www.legislation.govt.nz/   search terms: emergency management

National Disaster Recovery Framework, Second edition

Federal Emergency Management Agency

https://www.fema.gov/media-library-data/1466014998123-4bec8550930f774269e0c5968b120ba2/National_Disaster_Recovery_Framework2nd.pdf

P   *Post-emergency resources*

Ministry of Business, Innovation & Employment

https://www.building.govt.nz/managing-buildings/post-emergency-building-assessment/post-emergency-resources/

Privacy Act 1993

http://www.legislation.govt.nz/   search terms: privacy

R   *The Canterbury rebuild five years on from the Christchurch earthquake*

Reserve Bank of New Zealand

https://www.rbnz.govt.nz/-/media/ReserveBank/Files/Publications/Bulletins/2016/2016feb79-3.pdf

Response and Recovery Leadership Capability Development Programme
https://dpmc.govt.nz/our-programmes/national-security-and-intelligence/national-security-workforce/response

Roles, responsibilities, and funding of public entities after the Canterbury earthquakes

Office of the Auditor-General

https://www.oag.govt.nz/2012/canterbury/docs/canterbury.pdf

S   *Strategic Planning for Recovery Director's Guideline [20/17]*

National Emergency Management Agency

https://www.civildefence.govt.nz/assets/Uploads/publications/Strategic-Planning-for-Recovery/Strategic-Planning-for-Recovery-DGL-20-17.pdf

T   *The Guide to the National Civil Defence Emergency Management Plan 2015*

Department of the Prime Minister and Cabinet

https://www.civildefence.govt.nz/assets/guide-to-the-national-cdem-plan/Guide-to-the-National-CDEM-Plan-2015.pdf

W   *Welfare Services in an Emergency Director's Guideline [DGL 11/15]*

National Emergency Management Agency

https://www.civildefence.govt.nz/assets/Welfare-Services-in-an-Emergency/Welfare-Services-in-an-Emergency-Directors-Guideline.pdf

Appendix A Referenced Resources

What is Good Governance?

United Nations Economic and Social Commission for Asia and the Pacific

https://www.unescap.org/sites/default/files/good-governance.pdf