

CDEM Group Planning

**Director's Guidelines for Civil Defence
Emergency Management Groups [DGL 09/18]**

**Resilient New Zealand
Aotearoa Manahau**

New Zealand Government

CDEM Group Planning

Director's Guideline for Civil Defence Emergency Management Groups [DGL 09/18]

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Authority

This guideline has been issued by the Director of the Ministry of Civil Defence & Emergency Management pursuant to s9(3) of the Civil Defence Emergency Management (CDEM) Act 2002. It provides assistance to CDEM Groups in reviewing their Civil Defence Emergency Management Group Plans under s56 of the Civil Defence Emergency Management Act 2002.

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Foreword

As New Zealand enters its next round of Civil Defence Emergency Management Group planning under the 2002 Act, we can reflect on the maturing of the approaches across the 4R's of risk reduction, readiness, response and recovery by member and partner agencies including local government, emergency services, government agencies, lifeline utilities and non governmental organisations.

The CDEM Group Plan acts as the strategic guiding document outlining the goals set by the CDEM Group to give effect to the National CDEM Strategy, and describes the arrangements in place that will build on our CDEM performance. The collaborative intentions and efforts from each of the 16 CDEM Groups will strengthen further our national capability to plan for, respond to and recover from emergencies.



This guideline is intended to support CDEM Groups in the development of their CDEM Group Plans. It has been updated to include strategic planning for recovery requirements which must be included in CDEM Group Plans after 1 June 2018. It provides structure and prompts that will result in a clear strategic direction informing ongoing multi agency work planning. The CDEM Group Plan is required by the CDEM Act 2002, and should be regarded by CDEM agencies as a key instrument in strengthening our resilience efforts. It is important that it be recognised and afforded a similar status to other key regional or agency policies and strategies. Having a shared responsibility in its development allows member agencies to leverage outcomes and synergies through organisational planning.

Our collective CDEM arrangements across New Zealand have evolved considerably over time through exercises and emergencies since the CDEM Act came into force in 2002. It is imperative that we continue to shape a culture of learning; embedding the lessons identified into our CDEM Group planning across risk reduction, readiness, response and recovery.

By doing so we will continuously strengthen our arrangements as we gain a deeper understanding of how best to support our communities.

A handwritten signature in black ink, appearing to read "Sarah Stuart-Black".

Sarah Stuart-Black

Director of Civil Defence Emergency Management

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Section 1 Introduction

Fundamental to any successful undertaking is attention to planning and preparation. The more complex that undertaking, the more thorough the planning and preparation needs to be. With the national vision being a ‘resilient New Zealand: communities understanding and managing their hazards’ it is reasonable to expect the planning requirements to be significant.

Whilst we pay attention to the plans that are produced, the process of planning is important to ensure that the plans developed meet the needs of the people affected.

The broad purpose of the Civil Defence Emergency Management Act 2002 ('the CDEM Act 2002') is to:

- improve the sustainable management of hazards to positively contribute to the social, economic, cultural and environmental wellbeing and safety of the public
- encourage and enable communities to achieve acceptable levels of risk
- provide for planning and preparations that enable effective response and recovery from emergencies
- require local authorities and CDEM Groups to coordinate planning, programmes and activities relating to CDEM across the 4Rs by encouraging cooperation and joint activity
- provide a basis for the integration of national and local planning through the alignment of local CDEM planning and activities with the *National CDEM Strategy* and *National Plan*
- encourage a coordinated approach to emergency management planning across the wide range of agencies and organisations with emergency management responsibilities, and
- require local authorities and CDEM Groups to do strategic planning for recovery with their communities based on the specific hazards and risks within their group area.

It is important at the outset of the CDEM Group Planning process that CDEM Groups consider how the CDEM Group Plan will form a critical component of their governance by articulating arrangements, determining priorities and providing the basis for CDEM performance monitoring across the range of member agencies, stakeholders and communities.

1.1 About this guideline

The purpose of this guideline is to ensure a nationally consistent approach to CDEM Group planning which supports integration with national CDEM policy, planning, and monitoring and evaluation arrangements.

It is intended to promote ‘comprehensive emergency management’ through risk reduction, readiness, response, and recovery, and a strategic approach that is underpinned by purposeful management and governance of CDEM activity.

Target audience The target audience of this guideline is CDEM Group personnel responsible for reviewing and developing CDEM Group Plans.

Structure This guideline has the following main sections:

- Section 1 [Introduction](#) - an overview of this guideline, clarification of terms, background to CDEM Group planning, and strategic framework.
- Section 2 [How to develop a CDEM Group Plan](#) – accountabilities, deciding on content, and who to involve and when.
- Section 3 [Understanding and managing your risk](#) – an explanation of the processes required to understand your risks.
- Section 4 [What goes into the CDEM Group Plan](#) – states what sections are required to be contained in a Group Plan.
- Section 5 [Getting the best out of your CDEM Group Plan](#) – putting a plan into action.
- Section 6 [Appendices](#) – additional information.

Use of icons



This icon is used in this guideline to indicate more information is available in another document or website.

1.2 Clarification of terms



This section defines some of the key terms used in this guideline.

A full glossary of terms and abbreviations used in CDEM is provided in the *Guide to the National CDEM Plan*, available at www.civildefence.govt.nz on the publications page.

Plan

In this guideline, ‘Plan’ (with an uppercase ‘P’) refers to a CDEM Group Plan; ‘plan’ (with a lower case ‘p’) refers to plans in general, or other regional or local level plans, such as a CDEM Group welfare or evacuation plan.

The *National CDEM Plan* refers to New Zealand’s national level plan for CDEM, as required under the Section 39 of the *CDEM Act 2002*.

Risk template

The ‘risk template’ is a customisable spreadsheet designed to help CDEM Groups analyse their areas and communities in terms of hazards and risk. It is available for download at www.civildefence.govt.nz.

Extract from the *CDEM Act 2002*

emergency means a situation that -

- a) is the result of any happening, whether natural or otherwise, including, without limitation, any explosion, earthquake, eruption, tsunami, land movement, flood, storm, tornado, cyclone, serious fire, leakage or spillage of any dangerous gas or substance, technological failure, infestation, plague, epidemic, failure of or disruption to an emergency service or a lifeline utility, or actual or imminent attack or warlike act; and
- b) causes or may cause loss of life or injury or illness or distress or in any way endangers the safety of the public or property in New Zealand or any part of New Zealand; and
- c) cannot be dealt with by emergency services, or otherwise requires a significant and co-ordinated response under this Act

Different terms are used by CDEM Groups for the places where CDEM functions are carried out. For consistency, in this guideline:

- Before an emergency, the:
 - **GEMO** (Group Emergency Management Office) is the regional office where CDEM functions are carried out on behalf of the CDEM Group before an emergency occurs. It is managed by the GEMO Manager.
 - **EMO** (Emergency Management Office) is the office(s) where CDEM functions are carried out at a local level before an emergency occurs. A person who carries out CDEM functions is an EM Officer.
- During and following an emergency, the:
 - **NCMC** (National Crisis Management Centre) is either the secure all-of-government facility maintained in a state of readiness in which the national response to emergencies can be managed, or the team that operates from this facility,
 - **ECC** (Emergency Coordination Centre) is a facility that operates at the CDEM Group level to coordinate and support one or more activated EOCs,
 - **EOC** (Emergency Operations Centre) is a facility that operates at a local level to manage the response, and
 - **CDC** (Civil Defence Centre) is a facility in a community that is set up during an emergency to support individuals, families/whānau, and the community. The CDC is open to members of the public, and may be used for any purpose including public information, shelter, welfare, or recovery depending on the needs of the community. CDCs may be operated by CDEM trained volunteers, members of the community, and/or CDEM organisations.

1.3 Why have a CDEM Group Plan?

The CDEM Group Plan should be a living document that is used regularly by the CDEM Group and its member agencies to inform discussion and guide planning. It is comprised of:

- principles that guide behaviour and practice
- goals and objectives that set direction and inform work planning
- policy that guides decision making
- coordinating arrangements that inform local plans, and
- arrangements that oversee CDEM management and delivery.

A CDEM Group Plan forms an important part of the CDEM framework in New Zealand as it states and provides for the hazards and risks to be managed by the Group and the CDEM arrangements necessary to give effect to the Plan. CDEM Group Plans should be considered on a par with Regional Policy Statements in terms of the hierarchy of planning documents.

Group planning draws together the *National CDEM Strategy* and supporting doctrine and gives effect to these in a local context. Monitoring and evaluation underpins delivery ensuring that activities are informed by gap analysis, and that CDEM delivery is monitored for quality. The objectives of a CDEM Group Plan should be aligned to the objectives of the *National CDEM Strategy* (found at www.civildefence.govt.nz).

The National CDEM Strategy



The *National CDEM Strategy* sets out the vision and strategic direction for CDEM in New Zealand. The vision will only be achieved if there is participation and commitment from all levels of the CDEM sector.

The *National CDEM Strategy* is supported by a range of regulatory tools and is implemented at a national level through the *National CDEM Plan*, the *Guide to the National CDEM Plan*, and any supporting plans and guidelines, and at a local level by CDEM Group Plans. It is important to consider the CDEM Group Plan within the context of other national and local level planning documents.

The four goals and associated objectives in the *National CDEM Strategy* give effect to the vision of the *Strategy*, and reflect the 4Rs (risk reduction, readiness, response, and recovery) and the provisions of the *CDEM Act 2002*.



Figure 1 Goals of the *National CDEM Strategy*¹

1.4 Purpose of a CDEM Group Plan

The purpose of a CDEM Group Plan is to enable effective, efficient and coordinated CDEM delivery at a Group level. CDEM Group Plans are required in order to address the requirements of section 49 (2) of the *CDEM Act 2002*. CDEM Group Plans must state and provide for the—

- local authorities' membership of the CDEM Group
- hazards and risks to be managed by the CDEM Group
- CDEM measures necessary to manage the hazards and risks
- objectives of the CDEM Group Plan and the relationship to the National CDEM Strategy
- the cost and resource sharing arrangements among member councils for the CDEM Group and its activities
- arrangements for declaring states of emergency and giving notice of a local transition period.
- arrangements for cooperation and coordination between CDEM Groups, and
- the period for which the CDEM Group Plan remains in force.
- , and
- outline the monitoring and evaluation arrangements.

¹ Note that the National CDEM Strategy will be reviewed in 2018.

In addition, CDEM Group Plans should:

- define the vision and goals of the CDEM Group
- identify all relevant hazards and the risks related to them, how the risks are prioritised, and how they will be managed
- define the principles and objectives of the 4Rs (risk reduction, readiness, response and recovery) along with roles and responsibilities, associated issues and actions, and any agreed arrangements, for example ‘response arrangements’
- define strategic actions, priorities for action, and timeline to support recovery preparedness and recovery management
- outline the management and governance arrangements.

1.5 Background to CDEM Group planning

Legislative background



The *CDEM Act 2002* provides the legislative basis for preparing and reviewing comprehensive, publicly-consulted CDEM Group Plans.

The *CDEM Act 2002* is available on the MCDEM website www.civildefence.govt.nz under the ‘For the CDEM Sector’

See Appendix A [Legislative background](#) on page 61 for more detail on:

- the requirements of the CDEM Act 2002
- the National CDEM Plan, and
- other relevant legislation.

CDEM Monitoring and Evaluation Programme

The CDEM Monitoring and Evaluation Programme aims to address the monitoring and evaluation requirements of the *CDEM Act 2002*, namely to monitor the *National CDEM Strategy*, the *National CDEM Plan*, and the performance of CDEM Groups.

For CDEM Groups, this is carried out through a programme of periodic capability assessments. The capability assessment process comprises of a tool (for self-assessment), and series of qualitative interviews with key stakeholders. The end product from this process is a report for each CDEM Group, and a national summary report that comments on progress of the CDEM sector and highlights areas of strength and areas for improvement.

CDEM Groups are actively encouraged to examine their capability assessment reports and use them to inform the development of CDEM Group Plans.

Other supporting CDEM doctrine

Various Directors Guidelines also support the development of the CDEM Group Plan.

Section 2 How to develop a CDEM Group Plan

Effective CDEM planning requires a team effort through collaborative, multi-agency engagement. This section includes:

- accountabilities
- how to decide what goes into the Plan – ‘looking backwards’
- who to talk to and when – ‘looking forwards’

2.1 Accountabilities

Principles perspective

CDEM Groups and agencies are expected to routinely incorporate CDEM arrangements into their business planning and risk management processes, and to regularly monitor and report on their progress as appropriate. This is an important role to play in making progress towards the vision of a ‘Resilient New Zealand’.

The National CDEM Plan states that the objective of a CDEM Group is to provide leadership in the provision of co-ordinated and collaborative arrangements for CDEM among local authorities and partner agencies within its group area.

Each member of the CDEM Group has a responsibility to support and promote the principles underlying the *CDEM Act 2002*. These principles include:

- promoting the sustainable management of hazards
- encouraging and enabling communities to achieve acceptable levels of risk
- providing for planning and preparation for response to, and recovery from, emergencies
- co-ordinating programmes and activities, and encouraging co-operation and joint action, among agencies across the areas of reduction, readiness, response, and recovery, and
- providing the basis for the integration of local with national CDEM policies, processes, and operations.

CDEM Group members must take ownership of the principles so it is important to have a clear mutual understanding of the responsibilities among parties.

Roles and responsibilities

Ensuring collective ownership of the CDEM Group Plan is essential for its effective implementation. The following table suggests opportunities during Plan development that can strengthen engagement and ownership of the CDEM Group Plan.

Table 1 Roles and responsibilities in respect of the CDEM Group Plan

Role	Responsibility in Respect of the CDEM Group Plan
CEG (local authority) and the Chief Executive	CEG members are either Chief Executives or a person acting on the CE's behalf. As such the local authority is committed to local delivery of the outcomes as stated in the CDEM Group Plan. CEs need to ensure that their local authority as an entity understands what needs to be delivered to fulfil those outcomes.
CEG (unitary authority) and wider council	CEG members are senior members of a local authority and collectively represent CDEM outcomes for a unitary authority. CEG members have individual areas of responsibility within a unitary authority and staff within their business units. CEG members in a unitary authority need to ensure that unitary council staff are aware of the CDEM Group Plan and the outcomes that they need to deliver to fulfil those outcomes.
CEG (emergency services) and their staff	CEG members are senior members of an emergency service. They represent their agency at a regional level. Their agency supports the delivery of outcomes in the CDEM Group Plan and as such the staff of that agency need to understand the role of the CDEM Group Plan and what support is required from staff of that agency to assist with the delivery of those outcomes.
CEG and the Welfare Coordination Group (WCG)	CEG members who are Chairs of Welfare Coordination Groups (WCGs) are responsible for stewarding the welfare delivery outcomes and arrangements as described in the CDEM Group Plan. WCG members need to understand the role of the CDEM Group Plan and how their agencies are required to give effect to welfare outcomes in the Plan.
CEG (Chair Lifelines) and the Lifelines Group	CEG members who are Chairs of Lifelines Groups are responsible for stewarding the lifelines delivery outcomes and arrangements as described in the CDEM Group Plan. Lifelines members need to understand the role of the CDEM Group Plan and how their members are required to give effect to lifelines outcomes in the Plan.
Joint Committee members and their respective councils	Joint Committee members are either Mayors/Chairperson of member local authorities or the delegated person to act for the Mayor/Chairperson. The CDEM Group Plan must be approved by the Joint Committee, therefore final accountability for the content of the Plan rests with the Joint Committee. As representatives of their local authority, Joint Committee members must ensure that their elected colleagues understand what arrangements are in place and how their local authority must give effect to the Plan.
Committee members (Unitary) and their respective council	Committee members are the Mayor or the delegated person to act for the Mayor and elected representatives of the council. In practical terms, the unitary authority may choose to operate the CDEM Group as a committee or sub-committee of council, or the full council meeting as the CDEM Group. The CDEM Group Plan must be approved by the Committee, therefore final accountability for the content of the Plan rests with the Committee. Members must ensure that their elected colleagues understand what arrangements are in place and how their local authority must give effect to the Plan
CDEM professional staff	CDEM professional staff are facilitators of the delivery of outcomes required by the CDEM Group Plan in their areas of expertise (note, often outcomes required in the Plan must be delivered by other subject matter experts within organisations). CDEM professional staff have work programmes that must reflect the outcomes described in the Plan.

CDEM Group planning process

The CDEM Group planning process should ensure that an appropriate level of engagement is provided throughout the process. This includes governance, management, CDEM professional staff and subject matter experts.

Figure 2 provides a suggested high-level engagement map for the process and outlines the role that each should fulfil during Group Plan development.

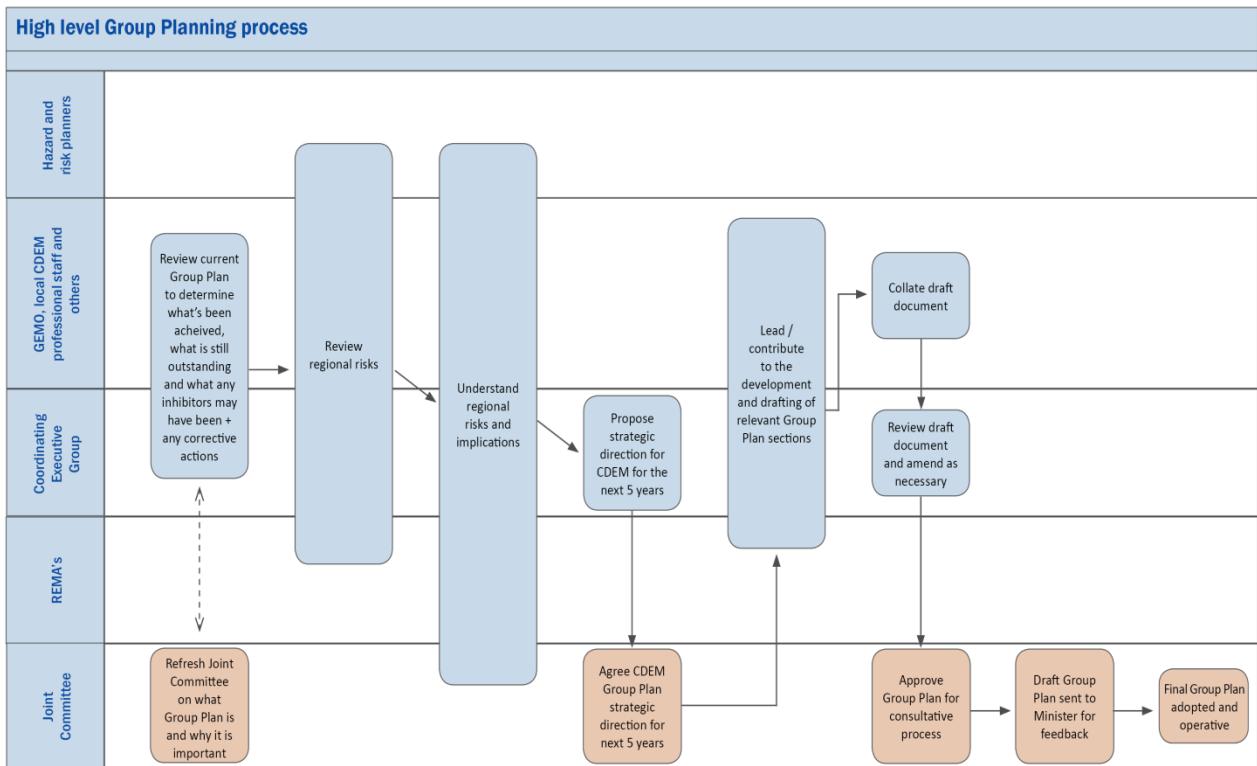


Figure 2 High-level engagement in the CDEM Group planning process

Establish a review team

CDEM Groups should consider establishing a review team that may include representatives from:

- the CDEM Group Joint Committee (or Committee of Council in the case of unitary authorities)
- the Coordinating Executive Group
- other departments or functions of regional or local councils (including hazard analysts and planners)
- the Welfare Coordination Group (WCG)
- the Lifeline Group(s)
- partner agencies (such as Fire, Police, and health services)
- MCDEM and other government departments,
- other relevant local agencies, and
- the community.

MCDEM and Ministerial engagement

In addition understanding who would be involved at a group level in the development of the Plan, it is helpful to have an oversight of where MCDEM will support the process.

MCDEM fulfils three main functions during the development of a Group Plan:

- as an informal supporter of the CDEM Group Plan review team
- as a technical reviewer of the Plan's content, and
- to provide advice on whether the process and content of the Plan meets legislative requirements.

MCDEM supports the CDEM Group Plan review team through ongoing engagement by Regional Emergency Management Advisors (REMAS). REMAs can provide support and facilitate advice on the CDEM Act and on this supporting Directors Guideline.

Once CDEM Group Plans are in their first draft and the Group is seeking public feedback, MCDEM staff subject matter experts provide a technical review of the draft plan to support alignment with the CDEM Act and relevant supporting Directors Guidelines. This process takes approximately 4 – 6 weeks. Collated feedback will be provided to the CDEM Group which alongside public feedback will inform a further draft of the CDEM Group Plan.

Prior to formal consideration and adoption by the CDEM Group, MCDEM fulfils the function of the Minister's policy staff and conducts a final review of the draft plan. This process takes 20 working days from receipt by the Ministers office (see S49 of the CDEM Act).

Figure 3 on the next page outlines the engagement by MCDEM within the CDEM Group Planning process.

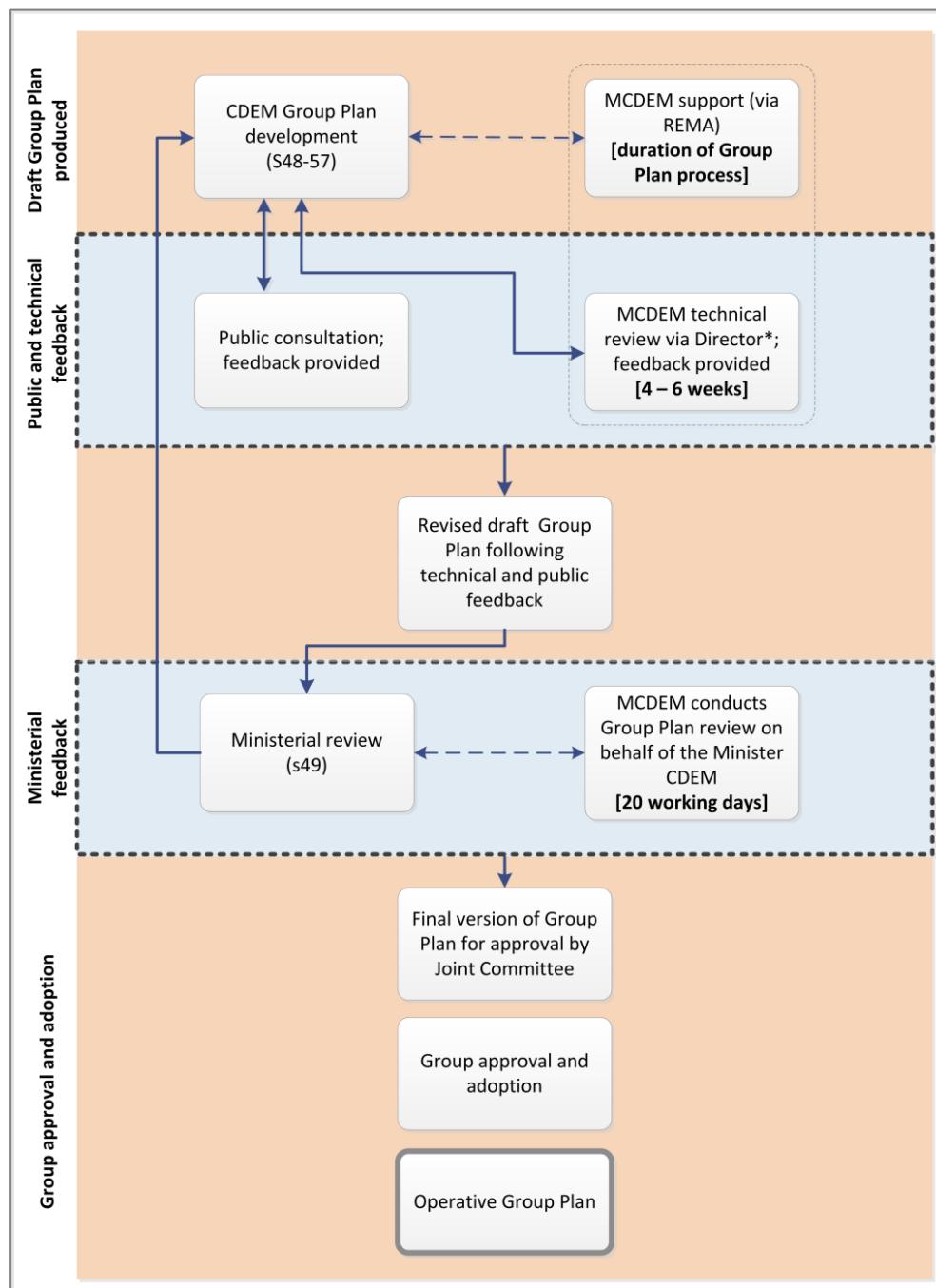


Figure 3 Engagement by MCDEM within CDEM Group Planning

2.2 How to decide what goes into the plan – ‘looking backwards’

Evaluate existing CDEM Group Plan	<p>Before the review begins, CDEM Groups should assess their current CDEM Group Plan. This will involve:</p> <ul style="list-style-type: none">• determining what has been achieved and what may still be outstanding• determining which objectives may need to be sustained, and• examining policy components for currency (i.e. legislative changes, adoption or amendment of regional or local CDEM or other policy) <p>Assessing the current Plan may include the generation of a ‘review of progress’ report that informs the development of the new CDEM Group Plan.</p>
Review doctrine	<p>A review team will need to gather and become familiar with current versions of:</p> <ul style="list-style-type: none">• regional or local council long term plans, policy statements, or growth strategies• environmental or hazard reports• Lifeline Group projects and reports• plans and arrangements of:<ul style="list-style-type: none">◦ other CDEM Groups◦ other functions such as welfare services, lifeline utilities• plans and arrangements of other agencies, and• relevant MCDEM guidance
	<p>The <i>CDEM Act 2002</i> is an essential reference document for CDEM Group Plan review. It is available to view or download at www.civildefence.govt.nz.</p>
Review corrective actions	<p>Following any evaluation process (capability assessment, other CDEM reviews, exercises or emergencies), any corrective actions should be collated and considered as part of the review process to determine whether any actions are outstanding.</p>

2.3 Who to talk to and when – ‘looking forwards’

As part of the CDEM Group Plan development, it will be necessary to have ongoing dialogue with a range of stakeholders. To do this effectively, CDEM Groups should ensure they:

- clearly identify the audiences for the Plan
- deliberately consider how and when consultation will occur
- engage with management and governance in developing the Plan’s vision, and
- work with subject matter experts across a range of agencies in determining objectives.

Identifying the audience	<p>The main audiences for CDEM Group Plans are:</p> <ul style="list-style-type: none"> • the CDEM Group • member and partner agencies, and • the community. <p>CDEM Groups may also identify more specific audiences for their area. The CDEM Group Plan is also a means of informing communities of the hazards and risks present in their area. The range of audiences should be considered when preparing the Plan to ensure that concepts and arrangements are clearly articulated so as to ensure maximum uptake.</p>
Consultation	<p>In order to ensure collective ownership by CDEM partners and stakeholders, it is important to ensure that there are regular opportunities for input during the Plan development. Reference to this is made in <u>Figure 2 High-level engagement in the CDEM</u> Group planning process. There are likely to be opportunities throughout the process to have sections of the Plan reviewed by others (e.g. subject matter experts, the Coordinating Executive Group etc. In addition to more informal levels of consultation, there is a procedure for developing CDEM Group Plans outlined in Part 3, Section 52 of the <i>CDEM Act 2002</i>.</p>
Developing a strategic vision	<p>The purpose of the <i>National CDEM Strategy</i> is to outline the vision, values, principles and goals for CDEM within New Zealand. Central to this is the view that an all-hazards, all risks, multi-agency, integrated and community focused approach is taken. The vision underpinning this is of a “<i>Resilient New Zealand – communities understanding and managing their hazards</i>” which guides all national level CDEM activity. The <i>National CDEM Strategy</i> principles are defined as:</p> <p>Principle 1: Individual and community responsibility and self-reliance</p> <p>Principle 2: A transparent and systematic approach to managing the risk from hazards</p> <p>Principle 3: Comprehensive and integrated hazard risk management</p> <p>Principle 4: Addressing the consequences of hazards</p> <p>Principle 5: Making the best use of information, expertise and structures.</p> <p>CDEM Groups should consider what an appropriate vision for their Group should be and how principles that would underpin this will support in its delivery.</p>

Setting goals and objectives

The current *National CDEM Strategy* has four goals with associated objectives that have been developed to endure over time.

Goal One: Increasing community awareness, understanding, preparedness and participation in civil defence emergency management

Goal Two: Reducing the risks from hazards to New Zealand

Goal Three: Enhancing New Zealand's capability to manage civil defence emergencies, and

Goal Four: Enhancing New Zealand's capability to recover from civil defence emergencies.

Progress towards these goals and objectives is monitored through the CDEM Monitoring and Evaluation Programme.

CDEM Groups should consider how the setting of local goals and objectives will give effect to those set out in the *National CDEM Strategy* while meeting the need of local communities.

Section 3 Understanding and managing your risk

For a CDEM Group to contribute to effective risk management, it is essential to understand the risk management context within the CDEM Group's area, to know what could happen, what hazards and risks are most important, where these could create the greatest vulnerability to society and the economy, what hazard and risk management plans and processes are already operating in the area and what risks should be managed as a matter of priority for CDEM. Developing a clear understanding of the CDEM Group's risk is fundamental to guiding the appropriate application of activities and resources across the 4Rs.

The process of understanding risk should build on local knowledge and any emergencies that have occurred over the life of the previous Plan; should address the changing hazard environment; and consider any changes (or planned changes) to local communities. Risk is not static. Hazard risks, and the communities' awareness of and tolerance for them, may vary over time and location. CDEM takes an all hazards approach. Many hazards are co-managed by other agencies (e.g. air traffic, biological hazards to human health), therefore it is important for CDEM to consider which other agencies are contributing to hazard risk management in their area, and how this involvement influences the risk and CDEM responsibilities.

The level, type and consequences of identified risk will inform and should contextualise the subsequent CDEM Group Plan sections of risk reduction, readiness, response and recovery. The fundamental purpose of undertaking risk profiling is so that CDEM Groups can understand which elements are contributing to creating the risk: the hazard, the exposure of people and the built environment, and the vulnerabilities. An understanding of what is creating risk allows CDEM Groups to plan for how their planning and activities can align with the 4Rs. While the process provides a snapshot in time of the risks for an area, what is critical is not merely listing and ranking hazards and risks but using the process of profiling to identify which risk management options CDEM should apply to risks and how they can support risk management undertaken by other agencies.

A CDEM Group's approach to establishing a risk should encompass a wide variety of subject matter expertise, existing information and CDEM stakeholder engagement.

Section content

This section describes how you go about understanding your risks.

The aim is to:

- have a collective understanding of the hazards and risks that could impact the CDEM Group area
- identify where hazards impact on communities to create vulnerability
- identify where existing controls, plans and practices are effectively managing hazard risks and where gaps may exist, and
- assess whether risks are reducing, staying constant or are likely to increase over time.

Undertaking risk profiling will involve:

- collating information and expertise which can be widely dispersed across CDEM Group members and partner agencies – this is best done collectively
- analysing the risks in terms of likelihood and consequences to affected communities
- evaluating the risks using methods compatible with the international risk management standard (AS/NZS ISO 31000:2009) and how they would potentially impact across the built, social, economic, and natural environments
- prioritising the risks in order to manage them effectively, with emphasis on those aspects where current management may fall well short of communities' expectations now and into the future, and
- describing how risks will be monitored to determine if priorities should change and work programmes reconsidered during the term of the CDEM Group Plan.

3.1 Understanding your risks

AS/NZS ISO 31000:2009

It is essential that those who are responsible for the determination of the risk are familiar with the risk management standard process. The risk management process is set out in the AS/NZS ISO 31000:2009 standard. Its key steps are used to outline the risk profiling process in the following sub-sections. Those who participate in the process of understanding risks should familiarise themselves with the approach and terminology.

Risk expertise exists within CDEM Groups in the form of council staff (as subject matter experts), who perform this function across a range of areas on behalf of their councils. Regional partners have similar requirements and have relationships with science agencies who undertake research in a variety of related fields.

Whilst the GEMO is the mechanism for stewarding the risk understanding process, it is essential that the range of expertise that exists within the wider CDEM Group participate in the determination of the risks.

Consideration should be given to establishing a risk panel that can ensure understanding of the CDEM Group's risk drivers and current understanding of risk as it relates to hazards that affect the CDEM Group. The risk panel should determine a process and timeline before commencing the next steps to ensure that all relevant personnel can contribute and due diligence is applied to the process.

Risk panel

Depending on arrangements within a CDEM Group, this could be an existing management / expert group, or one that has been established for this purpose. Representation could include:

- Risk managers
- Hazard analysts
- Research and science agencies, including social scientists
- Planners (spatial and strategic)
- Community development or welfare specialists
- Emergency management professionals
- CEG representatives, and
- Any others as deemed necessary or useful.

3.2 Establishing the risk context

Risk is defined in the *CDEM Act 2002*, and considers both likelihood and consequence. Without a societal or economic consequence, vulnerability remains low. It is important to understand when undertaking this process that risk is not an abstract concept; it is evidentially based and considers any impacts. Where hazard risk coincides with communities, then vulnerability is created. Until the risk that any hazard poses is fully understood, a discussion about acceptable risk cannot take place. The impact that a hazard may place on a community must be considered to inform an approach to risk, and the level of risk that can be tolerated.

In order to establish the context for the risk management process, the first step is to understand the key external and internal parameters that will have a bearing on what may be achieved through the CDEM Group's planning and delivery processes.

There is no set way to establish context for risk management. Common methodologies for planning, such as a Strengths, Weaknesses, Opportunities, Threats (SWOT) analysis, may be useful.

Internal factors

Factors internal to the CDEM Group to consider are:

- engaging governance and organisation leadership to provide direction with regard to risk considerations
- making use of risk expertise that exists across the CDEM Group
- means, timing and appetite to enable integration across other policy-making, planning and delivery processes, and
- the formal mandates, requirements and processes to be followed.

- | | |
|------------------|---|
| External factors | <p>Factors external to the CDEM Group to consider are:</p> <ul style="list-style-type: none">• the essential make-up of the CDEM Group's area in terms of its four environments (social, built, natural and economic), and the goals and aspirations of its communities across them• key drivers and trends within the CDEM Group's area, nationally and internationally, and• important relationships, perceptions and values within the community and of the key organisations and supporting agencies. |
|------------------|---|

The risk management process can involve a lot of information. The CDEM Group will need to decide what information is useful to include in the CDEM Group Plan (and how best to present it), and what material is best used to inform the Plan development stages. Most readers of the Plan will not be hazard experts. Content which assists readers to contextualise hazards across the CDEM Group's area; what communities may face in terms of risk; and what factors may influence the management of them, may be useful to include.

3.3 Risk assessment process – quantifying the risk

This process involves three steps:

- risk identification
- risk analysis, and
- risk evaluation.

Risk identification

Risk identification is about finding, recognising and describing the hazards and risks for the area. It can involve current research, historical data and community knowledge, theoretical analysis, informed and expert opinions, findings from previous / historical events, and stakeholder needs and concerns.

The risk panel should consider how it might most effectively collect, verify and contextualise the information, and form the data sources for the next steps that involve structured thinking about what these risks mean, and how the CDEM Group intends to address them.

Data and opinion may vary in quality and fit for purpose. It is therefore important that data is analysed and presented in ways that the underlying assumptions or qualifiers are not lost sight of. Credibility of this data is essential in order for the judgements and decisions that follow to be justified.

Sources of information can include quantitative modelling, impact reports, hazard maps, buildings and infrastructure maps, demographic information, and expert opinion. Information may be held outside of CDEM Group members so collation of all available information on hazards and risks across agencies is essential.

Risk analysis

Risk analysis is about developing an understanding of each risk through considering the cause, its attributes, what influences it, and how it may change over time. It is the stage where the components of risk – likelihood and consequence – are broken down, and different scenarios are explored.

Interdependencies of risks, and how risks may become cumulative and cascading, should also be considered. The components of risk should be identified and considered. These include:

- the hazard; extent, magnitude, frequency, duration, intensity
- the elements-at-risk: people, buildings, infrastructure, businesses, the natural environment
- the exposure: where are the elements-at-risk, how many are there, what is the replacement cost?
- the vulnerability of elements-at-risk: what construction materials are used, what vulnerable communities are present?

Risk analysis can be undertaken using a range of methods. APPENDIX C provides a risk matrix and template-based process for risk analysis. This may be useful for some CDEM Groups. Quantitative consequence modelling tools (e.g. RiskScape) provide another method for analysing risks. Some CDEM Groups have developed their own analysis methods. The importance of the analysis is that CDEM Groups understand the factors that contribute to the risk from each hazard and record all assumptions and methods used for determining hazard risks.

Risk evaluation Risk evaluation is the crucial aspect that decides what risks need to be further managed, and the priorities for doing so. The evaluation provides the opportunity for CDEM Groups to strategically consider which risks are already managed or partially managed, and where the responsibility of CDEM lies. CDEM can identify existing plans, practices and processes for reduction, readiness and response and where CDEM should focus effort to address gaps or assist other agencies.

The evaluation should take into account how these risks are regarded by communities in the context of the goals and aspirations that have previously been articulated for the Plan and within other core planning processes. The terms acceptability, tolerability and ALARP (As Low As Reasonably Practicable) are often applied here, recognising that most risks cannot be entirely avoided, or managed to minimal levels, without foregoing many benefits or imposing undue costs.

The risk panel will need to give specific consideration to its understanding of how these risks are regarded by communities. This could be an opportunity for a facilitated conversation between CDEM and the community, which contributes to Goal One of the National CDEM Strategy.

3.4 Risk treatment

The last step in the risk management standard process is risk treatment. This involves setting out all the means by which risks will be managed. The most desirable option is taking opportunities to reduce risk that is considered to be unacceptable wherever practicable to do so. Most often this requires making links to, and undertaking follow up actions, within other planning and policy processes and the service delivery functions of CDEM Group members and partner agencies.

Risk treatment can be undertaken by CDEM Group members, partner agencies or other agencies within a Group area so it is crucial to recognise and monitor all risk treatment activities to ensure CDEM effort is appropriately targeted.

Risk treatment can take the following forms:

- Reduce or modify the hazard (e.g. construct stopbanks to control flood waters, dune nourishment and planting to reduce coastal inundation)
- Modify behaviour (e.g. land use planning rules to avoid risk zones)
- Reduce or modify vulnerability (e.g. minimum floor heights, building strengthening, replacing brittle pipe networks)
- Risk transfer (accept some assets will be damaged and take out insurance)
- Accept risk and plan for response and recovery (e.g. public alerting, planning for evacuation, welfare and recovery).

Risk treatment objectives, issues and actions in the reduction section of the Plan should directly link to the risks and the issues raised during the risk evaluation process.

Having the appropriate levels of emergency management in place (readiness, response and recovery arrangements) are also valid means to treat risk. The Plan sections relating to these ‘Rs’ are the primary means for outlining these arrangements for that area; these arrangements should be supported by individual agency plans.

Where having appropriate levels of emergency management in place are identified as the means to treat risk that is not otherwise reduced (avoided, mitigated or transferred), this should be directly referenced under those sections.

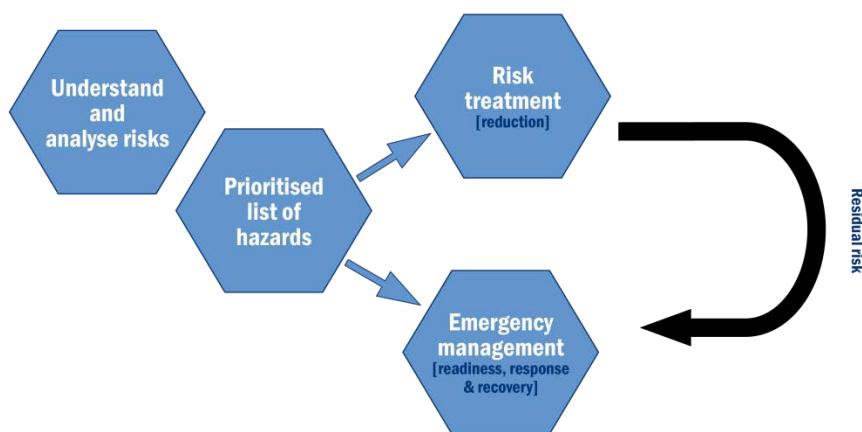


Figure 4 Relationship between risk treatment and emergency management

Residual risk

It is important to acknowledge that residual risk will exist. These are aspects of risk left untreated because they are too difficult or rare to manage, or will provide no significant benefit in doing so.

A factor to consider in deciding upon options for treating one or more risks, and what residual risk will remain, is the level and form of resilience within the affected communities. What impacts they may absorb and bounce back from links back to the findings in establishing the context, notably what are their strengths and vulnerabilities to the hazards and risks they face and the community tolerance of risk.

Undertaking further research

At times throughout the risk assessment and treatment development processes, plan developers and decision-makers may determine that they have inadequate information about a risk or how to manage it. In these cases, an action could be to undertake more research or further develop options, and should include identifying accountabilities and timeframes for doing so. This approach recognises that, while the CDEM Group Plan development process is time bound, the risk management of each hazard and risk can involve ongoing and evermore detailed levels of understanding and management. It could be enough to document the next steps in the Plan, and accepting that the CDEM Group or individual members may make further decisions on the way forward in implementing the Plan.

3.5 Other considerations

Understanding communities in the context of vulnerability	<p>Local authorities, central government agencies and other regional partners engage with communities at all levels across a range of issues as part of their normal business. Components of this activity will have an impact on CDEM.</p> <p>As signatories to the CDEM Group Plan, each will be best placed in differing ways to assist communities in understanding and addressing various aspects of vulnerability to different hazard risks. As such, the CDEM Group planning process provides a mechanism for collaborative efforts that link each of the partners' broader work with communities, resulting in a more efficient and effective means to address individual and community-wide vulnerabilities to hazards</p> <p>For example: many local authorities have community development teams or equivalents, Fire and Emergency New Zealand engages the community regarding fire risk reduction, the Ministry of Social Development engages with a cross-section of the community (often those who for a variety of reasons are less resilient).</p>
Communicate and consult	<p>The Risk Management Standard process, like any other sound policy and planning process, requires end to end communication and consultation. Consultation and communication strategies should be tailored to build ownership and buy-in of key stakeholder groups at the key points, and to enable the core developers to test their thinking.</p>
Monitoring and reviewing risks	<p>A cycle of periodic monitoring and review enables progress to be tracked against objectives, outcomes against goals. Changes and trends in hazards and risks can be captured and factored into further work. Monitoring and review can involve both continuous and periodic processes, and linking back to different stages in the risk management process, and thereby supporting iterative refinements of it.</p>

Section 4 What goes into the CDEM Group Plan

CDEM Group Plans may differ in structure, presentation, and specific content. However, in order to be comprehensive, user friendly, and meet the requirements of the *CDEM Act 2002*, the CDEM Group Plan needs to include:

- executive summary
- introduction
- risk template and context
- risk reduction
- readiness
- response
- recovery
- monitoring and evaluation
- management and governance
- summary of proposed plan actions

By incorporating each of the above sections, it is intended that a common foundation can be laid for all CDEM Groups to have similar and compatible structures. This approach will make it easier for people, organisations, and agencies working across CDEM Group boundaries.

The previous two sections of this Guideline outlined processes to develop the basis for the CDEM Group Plan. Following these processes should provide content for the Introduction and Understanding and Managing Your Risk and Context parts of the Plan. The remainder of this section outlines suggested content for the remaining parts of the Plan.

A summary checklist of suggested content is included as Appendix E [Checklist of suggested content of a CDEM Group Plan](#) on page 79.

4.1 Risk reduction

4.1.1 Introduction

Risk reduction involves analysing long term risks to human life and property from hazards, taking steps to eliminate these risks if practicable and if not, reducing the magnitude of their impact and the likelihood of their occurrence.

This section of the CDEM Group Plan should outline the reduction-related activities of the CDEM Group and its local authority members and partners - some of which may be given effect through other legislative requirements (e.g. the Resource Management Act 1991, the Building Act 2004 etc.). The Reduction section within a CDEM Group Plan should relate to Goal Two of the National CDEM Strategy.

Steps to avoid or mitigate risk are usually undertaken as part of member councils' and partner agencies 'business as usual' functions and practices. They can offer the best means for enabling communities to manage risks to acceptable levels. While risk reduction may involve higher costs in the short term, it can provide higher and more sustainable net benefits over the long term.

Reducing the risks of hazards (either the likelihood or severity of consequences), will also mean that the impacts of emergencies are less severe, and therefore more easily managed by agencies and affected communities. Taking into account what risk reduction controls are in place also enables the targeting of readiness and response planning and operations, in order that they are more effective.

The rate of recovery will be expedited if the risks have been reduced, and the likely impacts lessened, beforehand. Recovery processes often provide opportunities to undertake further risk reduction, while infrastructure is repaired and communities have a heightened awareness of what can happen again in the future.

Engagement

As the legislative framework for hazard risk reduction at the CDEM Group level is broadly based, this requires a CDEM Group to engage across all areas of its member councils in developing risk reduction priorities, and a meaningful programme of activities. Some hazards and risks will be confined to one district, and therefore jurisdiction to manage them is limited to some agencies only.

In contrast, managing other hazard risks may require an integrated approach across two or more districts and different operational roles. This is complicated by the fact that councils could be at different stages in their understanding of the hazards risks. However, concurrent activities may offer immediate opportunities for improved outcomes, for example, revising natural hazard management policies and methods during a Resource Management Act plan review.

In other cases, there could be particular gaps, weaknesses or inconsistencies in current activities across member councils that are limiting progress of the CDEM Group overall. In these cases, individual and CDEM Group commitments to address them, including how they may support each other to do so, might be the key outcome of a CDEM Group Plan review process.

4.1.2 Components of the section

The following information should be provided:

- a clear and concise statement of principles or criteria for risk reduction within the CDEM Group
- a description of how risk reduction is managed and how reduction challenges are addressed within the CDEM Group
- a statement of the outcomes sought from CDEM Group reduction activities and descriptions of specific, measurable and achievable risk reduction objectives, and
- descriptions of specific policies, methods and/or tools for delivery of the desired outcomes.

4.1.3 Identifying reduction principles, issues, objectives and actions

Reduction principles, issues, objectives and proposed actions should be clearly presented in the CDEM Group Plan. Any arrangements that the CDEM Group has in place or that it plans to adopt to achieve or steward the objectives should be described.

Principles should be overarching statements that refer to the behaviours or practices that the CDEM Group intends to adopt when conducting its business in this area.

Issues are gaps, weaknesses, or new or ongoing issues that have been identified as needing to be addressed.

Objectives should describe the outcomes and outputs that will be achieved as a result of actions undertaken at a CDEM Group and local level.

Proposed actions outline some activities that the CDEM Group may undertake to reach the desired outcome, but these may change over time and would most likely be captured as part of the work planning process.

The CDEM Group's reduction principles and objectives must not be inconsistent with the *National CDEM Strategy*. The revised *National CDEM Plan* outlines the national principles underlying risk reduction activity.

CDEM Groups may wish to consider presenting their issues, objectives and proposed actions in a table that aligns issues with proposed actions.

Principles

Example risk reduction principles:

- achieving acceptable levels of hazard risk through cost- effective risk reduction measures to provide the best, long-term solutions
- reducing the risks to communities from hazards, including a combination of the following measures:
 - modifying the likelihood of a hazard event occurring where practicable to do so; and
 - modifying exposure and vulnerability to damage and loss from an event; and
 - minimising consequences through rapid and effective interventions during and following an event; and
- recognising that every person, community, organisation, and agency has a role to play in risk reduction
- providing for shared understanding about who benefits from, and pays for, risk exposure to improve decision-making throughout society in determining acceptable levels of risk
- reviewing reduction policies and programmes regularly to reflect changes in community goals and their hazard risk and vulnerability factors
- taking a cautious approach to reducing risk where there is scientific and technical uncertainty about those risks.

Identifying issues and developing objectives

The risk evaluation for the CDEM Group area provides the basis for the development of risk reduction objectives that the CDEM Group and its local authority members and partner organisations will work towards under the CDEM Group Plan. The reduction objectives should be written as statements that will endure over the life of the Plan, and against which progress and outcomes can be measured. It is likely that addressing a mix of hazard risks and management needs may underlie each objective. For this reason, it is reasonable to assume that there would be no more than four or five objectives for reduction.

Issues identification should be informed from:

- the outputs of the risk analysis process
- reviewing the existing CDEM Group Plan reduction objectives to see if anything should carry forward
- the CDEM Group's Capability Assessment Report and associated corrective action plan
- national practice, as outlined in the *National CDEM Plan, Guide to the National CDEM Plan*, and associated supporting plans and guidelines, and
- discussion exercises to specifically review past performance in this area.

Issues

Example risk reduction issues:

- no stream-lined process for coordinating and collating all hazard information related to the area
- lack of priorities and coordinated means for the undertaking and sharing hazard research across organisations
- lack of a comprehensive and consistent risk-based approach to hazard management across council plans and policies, and
- need for more wide-reaching, comprehensive strategies and collective arrangements for reducing the risks of hazard X,Y and Z that are proving particularly challenging or create inefficiencies for councils and agencies to address individually.

Objectives

Objectives are measurable goals that contribute to the planning outcomes sought through the life of the Plan. They are a statement of conditions to be met or a situation to be achieved. Objectives must be set by the CDEM Group and should be clear, achievable and measurable.

Example themes to inform the development of reduction objectives:

- hazard risks to be looked at in context of other hazard risks and not in isolation
- establish a common approach to hazard risk reduction across CDEM organisations and key agencies
- undertake an audit of existing risk reduction policies and methods across member councils and key partner organisations to identify gaps, inconsistencies and overlaps
- develop a hazard risk reduction strategy to guide member councils and partner organisations across all roles and responsibilities for managing hazards and risks

- establish a common research strategy and hazard knowledge database to improve understanding and accessibility of hazard risk information within all decision making processes
- improve understanding amongst decision makers and the public about where the costs and benefits of hazard risk exposure fall in developing and funding risk reduction policies and programmes
- develop a risk reduction monitoring and evaluation programme, and
- develop the CDEM Group's capability to educate and train personnel and community members in pro-active CDEM-related risk management.

Actions

The actions decided upon should describe the processes and resources necessary to achieve each of the stated objectives and assist with actioning the identified issues.

Example actions to address the identified issues:

- establish cross-boundary groups and/or working parties and programmes, with other CDEM Groups, to address risk reduction
- provide input into and influence resource consent, district plan reviews and growth management strategy processes where these relate to hazards and emergency management
- actively participate in developing community outcomes to ensure that the importance of risk management is recognised as a core component within community safety outcomes and community resilience
- establish guidelines and processes for working across business units or functional areas of councils to reduce risk, particularly in the management of the built and natural environments (for example, some regions have established an inter-council hazard risk reduction group to share issues and experiences, and plan joint activities, on an ongoing basis)
- establishing means to integrate the findings of the risk template and assessments into key policies, strategies, or plans across the CDEM Group's area
- prioritise needs and coordinate actions for risk treatment, including research and hazard information management, notably for:
 - RMA policies and planning,
 - councils' long term plans,
 - infrastructure and asset management plans, and
 - growth and community development strategies,
- provide a reduction advocacy role across the CDEM Group
- ensure effective communication with stakeholders including all relevant forms of media, in particular, the use of participatory processes such as workshops and meetings with key stakeholders and the community using multi-media or similar interactive techniques to raise risk awareness
- establish relationships with relevant central government agencies or organisations
- align CDEM plans with national sustainable development or growth strategies as relevant to the CDEM Group's area

- conduct stakeholder surveys to identify gaps and opportunities
- develop monitoring and reporting frameworks that are aligned with the annual reporting of outcomes from key stakeholders
- facilitate adequate research and implementation
- provide targeted and coordinated education and training as part of a professional development programme, and
- contribute to general infrastructure and community resilience-building as appropriate.

Example table

The table below is an example of how reduction issues, associated objective/s and proposed actions can be presented.

Issue	Objective	Proposed actions
Lack of a coordinated regional approach to risk reduction.	Improved practices and processes which facilitate a coordinated approach to risk reduction.	Develop a risk reduction monitoring programme identifying key reduction activities across all legislative drivers by all CDEM Group members and partners agencies.
		Establish a pool of reduction advocates to champion consistency of risk reduction activity across the CDEM Group and its members.
		Establish guidelines and processes for working across business units or functional areas of councils to reduce risk.

4.1.4 Arrangements

CDEM Groups will most likely have existing arrangements, tools, plans or processes that give effect to reduction objectives and actions. As part of the development of proposed actions for the CDEM Group Plan, the CDEM Group may like to review these arrangements to ensure they are still fit for purpose and that they will continue to support growing capability. New processes may need to be developed, or membership to projects enhanced in order to facilitate achieving reduction objectives.

Examples of the processes or arrangements CDEM Groups may already have in place include:

- strategies and plans: local authority hazard management, asset / infrastructure management, emergency management and long term plans; regional and local risk-related programmes such as regional policy statements, regional development strategies, regional plans, district plans; emergency services reduction programmes such as fire safety and health programmes and lifeline utility group work programmes to identify and reduce risk
- tools: compliance activities to reduce specific risks e.g. earthquake prone buildings, catchment management
- forums: cross-boundary risk reduction groups such as volcanic advisory groups; Coordinating Executive Group subgroups for risk and reduction, and natural hazard forums.

4.1.5 References



References for the development of the reduction section:

- **Legislation** (available at www.legislation.govt.nz)
 - *CDEM Act 2002*, section 17(1)(a)
 - Other legislation that may have implications for CDEM Groups:
 - *Building Act 2004* and *Building Code* (also see www.building.govt.nz)
 - *Local Government Act 2002*
 - *Resource Management Act 1991*
 - *Soil Conservation and Rivers Control Act 1941*
 - *Land Drainage Act 1908*
 - *Biosecurity Act 1993*
- **CDEM framework documents** (available at www.civildefence.govt.nz)
 - *National CDEM Strategy* (specifically Goal Two, page 11)
 - Previous CDEM Group Plans
- **Other documents and resources**
 - *National Hazardscape Report* (2007), ODESC, (available at www.civildefence.govt.nz)
 - *Natural Hazards Quality Planning Guidelines* (available at www.qualityplanning.org.nz)
 - Long Term Plans (LTPs)
 - Frequently asked questions on LTPs (available at <http://library.lgnz.co.nz/cgi-bin/koha/opac-detail.pl?bib=3526>)
 - Regional plans
 - Regional policy statements

4.2 Readiness

4.2.1 Introduction

Readiness comprises two distinct but related aspects: organisational readiness and community readiness.

Organisational readiness	Organisational readiness focuses on the pre-planning activities of CDEM Group members and partner agencies that position them to respond well to emergencies. This is usually achieved through planning, developing capability, exercising and testing of arrangements, alongside monitoring and evaluation processes to demonstrate improving capability and capacity. Additionally for agencies, the requirement to function to the fullest possible extent following an emergency will drive planning; the maintenance of necessary equipment and operational systems, and general business continuity for critical services.
Community readiness	<p>Community readiness focuses on the ability of individuals, families and communities (including businesses, visitors or other relevant communities) to be able to meet their own needs during and after emergencies. Enhancing community readiness ensures that communities are informed of hazard risk (through public education), have the ability to understand when emergencies are unfolding (through public alerting) and are appropriately prepared (through personal and community level response planning).</p> <p>This section of the CDEM Group Plan should outline the readiness-related activities of the CDEM Group, its local authority members and partners. The Readiness section within a CDEM Group Plan should relate to Goal One and Goal Three of the <i>National CDEM Strategy</i>.</p>

4.2.2 Components of the section

The following information should be included in this section:

- a description of the current levels of both organisational and community readiness
- a description of the readiness issues that have been identified
- readiness objectives for both community and organisational readiness that relate to the maintenance or enhancement of capability across the CDEM Group
- a description of any existing arrangements (tools, processes or plans) that the CDEM Group has for giving effect to the planning and delivery of readiness activities
- an outline of any additional arrangements, methods or resources required to achieve readiness objectives, and
- a clear statement of the expectations the CDEM Group has of its individual members and partners in respect of readiness levels and activities.

4.2.3 Identifying readiness principles, issues, objectives and actions

Readiness principles, issues, objectives and proposed actions² should be clearly presented in the CDEM Group Plan and cover both ‘community readiness’ and ‘organisational readiness’. Any arrangements that the CDEM Group already has in place, or that it plans to adopt to achieve the objectives should also be described.

CDEM Group’s readiness principles and objectives must not be inconsistent with the *National CDEM Strategy*. The revised *National CDEM Plan* outlines the national principles underlying readiness activity.

CDEM Groups may wish to consider presenting their issues, objectives and proposed actions in a table that aligns issues with proposed actions.

Identifying issues and developing objectives

Readiness issues should form the basis for the development of readiness objectives that the CDEM Group and its local authority members and partner organisations will work towards in the Plan. The development of readiness objectives are static outcome statements that can be measured over the life of the Plan. It is likely that several issues will inform the development of one objective. It is reasonable to assume that there would be no more than 4 or 5 objectives for readiness.

Readiness-related issues and opportunities may be identified through a range of sources such as:

- the outputs of the risk analysis process
- reviewing the existing CDEM Group Plan readiness objectives to see if anything should carry forward
- the CDEM Group’s Capability Assessment Report and associated corrective action plan
- national practice, as outlined in the *National CDEM Plan, Guide to the National CDEM Plan*, and associated supporting plans and guidelines
- reviewing any corrective actions from previous CDEM Group exercises or emergency events, and
- discussion exercises to specifically review past performance in this area.

² For a definition of principles, issues, objectives or proposed actions see section 4.1.3

Issues

Example readiness issues:

- the level of community awareness of (specific) hazards is not sufficient for effective community readiness, and public education is not targeted to vulnerability
- the ability of the community to respond appropriately to warnings (formal, informal, and natural) needs to be improved
- key indicators of community readiness are missing
- involvement of key community-based groups and organisations is low
- only a small proportion of businesses in the CDEM Group area are prepared for business disruption and few have business continuity plans
- there are insufficient numbers of adequately trained and competent personnel to staff key CDEM response and recovery roles or functions
- opportunities to regularly exercise are poorly coordinated, infrequent and lessons are not captured to inform future planning
- information and coordination systems do not currently meet the needs of the CDEM Group, its member authorities, and partner organisations
- the number of CDEM-trained volunteers is declining and systems are weak
- lack of knowledge of potentially required resources and critical assets, and how to procure and deploy them, and
- some key stakeholders are not being included in emergency management plans in the CDEM Group area.

Objectives

Example themes to inform the development of readiness objectives:

- improve public education so that vulnerable communities can receive consistent messages about their individual, family and community roles and responsibilities in emergency management
- develop and utilise a range of alerting tools and mechanisms that allow communities to be advised of unfolding emergency events
- develop mechanisms that can periodically gauge the level of community preparedness over the life of the Plan
- develop processes and create opportunities that allow communities and / or businesses to engage with CDEM, and lead in the development of community/business based preparedness
- develop / enhance / monitor training and exercising opportunities for emergency management personnel that builds Group-wide capability
- develop information sharing and coordination opportunities that facilitate consistency between member local authority and partner organisation emergency management planning
- develop plans and processes that support volunteer engagement
- streamline communication systems
- develop plans and processes that build capability for the management of resources and critical assets in emergencies, and
- establish and maintain mechanisms for engaging with emergency services and other agencies as appropriate.

Actions

The actions decided upon should describe the processes and resources necessary to achieve each of the stated objectives and assist with actioning the identified issues.

Example readiness actions:

- conducting needs assessments
- developing or using technical systems, such as an emergency management information system (EMIS)
- exercising and testing activities
- enhancing information accessibility, and accessibility for the built environment
- creating or developing a community engagement strategy, with a focus on potential vulnerable communities
- expanding the volunteer involvement programme across the CDEM Group,
- enhancing the public education programme
- strengthening linkages with established community groups
- creating or developing community response planning
- defining links between key response and recovery organisations, to identify and address gaps and weaknesses, and
- outlining business continuity planning.

Example table

The table below is an example of how readiness issues, associated objective/s and proposed actions can be presented.

Issue	Objective	Proposed actions
There is limited community awareness of the range of hazards within the CDEM Group and their potential effects. Current public education is not targeted to vulnerability.	Strengthen opportunities for communities to understand local hazard risks, and what they should do when an emergency occurs.	Develop and implement a Public Education Strategy that provides for the range of communities within the CDEM Group.
		Develop and agree aligned annual CDEM Group and local work streams that improve the quality, consistency and reach of hazard information to the community.
The ability of the community to respond appropriately to warnings (formal, informal, and natural) needs to be improved.		Develop mechanisms that allow the community to understand what they should do when an emergency unfolds.
		Provide for community based exercising within the CDEM Group's exercise plan.

4.2.4 Arrangements

CDEM Groups will most likely have existing arrangements, tools, plans or processes that give effect to readiness objectives and actions. As part of the development of proposed actions for the Plan, the CDEM Group may like to review these arrangements to ensure they are still fit for purpose and that they will continue to support growing capability. New processes may need to be developed, or membership to projects enhanced in order to facilitate achieving some readiness objectives.

Examples of the processes or arrangements CDEM Groups may already have in place include:

- strategies and plans: public education, public information management, community and business engagement/resilience, volunteer management, emergency management capability development, exercising, warning systems, mass evacuation, information management etc.
- tools: warning systems and public alerting, social media, preparedness key performance indicators, information management systems, training courses and materials, standard operating procedure reviews etc.
- forums: Emergency Services Coordinating Committees (ESCCs), controllers, recovery managers, public education, public information, Welfare Coordination Groups, Lifeline Groups, capability development groups.

4.2.5 References



References for the development of the readiness section:

- **Legislation** (available at www.legislation.govt.nz)
 - *CDEM Act 2002*, sections 17(1)(b),(c),(g) and 18
- **CDEM framework documents** (available at www.civildefence.govt.nz)
 - *National CDEM Strategy* (specifically Goal One, page 10, and Goal Three, pages 12–13)
 - *Guide to the National CDEM Plan* (specifically sections 18-23, incorporating sections 51–58 of the *National CDEM Plan*)
 - Previous CDEM Group Plans
- **Other documents and resources** (available at www.civildefence.govt.nz)
 - *CDEM Competency Framework* [TS02/09] (2009), MCDEM
 - *CDEM Exercises* [DGL 10/09] (2009), MCDEM
 - *Public Information Management* [DGL 14/13] (2013), MCDEM
 - *Working From The Same Page: Consistent Messages for CDEM* (2010), MCDEM
 - *Community Engagement in the CDEM Context* [BPG 4/10], (2010), MCDEM
 - *Welfare Services in an Emergency* [DGL 11/15] (2015), MCDEM
 - *Volunteer Coordination in CDEM* [DGL 15/13] (2013), MCDEM
 - *Including People With Disabilities* [IS 13/13] (2013), MCDEM
 - *Lifeline Utilities and CDEM Groups* [DGL 16/14] (2014), MCDEM
 - *Building Safety Evaluation Guidelines* (2009), New Zealand Society of Earthquake Engineers (www.nzsee.org.nz)

4.3 Response

4.3.1 Introduction

Response describes the actions taken immediately before, during or directly after an emergency that saves lives, protects property, and supports communities to recover.

This section of the CDEM Group Plan should outline the operational arrangements, structures, processes and responsibilities that are to be deployed during emergencies by the CDEM Group, its local authority members and partners. The Response section of a CDEM Group Plan should relate to Goal Three of the *National CDEM Strategy*.

4.3.2 Components of the section

The following information should be provided:

- a clear and concise statement of principles or criteria for response within the CDEM Group
- a description of the response issues that have been identified
- objectives for response developed from the issues identified that seek to develop or enhance current arrangements across the CDEM Group
- a description of any existing arrangements (tools, policy, processes or plans) that the CDEM Group has for giving effect to the delivery of response activities; such as
 - a clear organisational framework for all organisations to work within at CDEM Group level and, where relevant, local levels in emergency response
 - a clear description of roles, functions and responsibilities for response to prevent duplication of effort and to ensure a coordinated response
 - clearly stated information protocols so that information relating to the emergency and its consequences is effectively collected, collated, analysed and shared
 - a description of the transition process between different levels of emergency response, and
 - the process relating to declarations of states of emergency,
- an outline of any additional arrangements, methods or resources required to achieve readiness objectives
- an outline of the relationships the CDEM Group has with national support agencies and other CDEM Groups during emergencies
- an outline of the process for the transition from response to recovery, and
- a clear statement of the expectations the CDEM Group has of its individual members and partners in respect of response capacity, capability, and arrangements.

4.3.3 Identifying response principles, issues, objectives and actions

Response principles, issues, objectives and proposed actions³ should be clearly presented in the Plan. Any arrangements that the CDEM Group already has in place, or that it plans to adopt to achieve the objectives should also be described. For the purposes of this section, and given that the focus is on response activity, the CDEM Group Plan is likely to have a strong emphasis on the arrangements component.

The CDEM Group's response principles and objectives must not be inconsistent with the *National CDEM Strategy*. The revised *National CDEM Plan* outlines the national principles underlying response activity (including those relating specifically to national warnings and advisories, the use of the National Crisis Management Centre, emergency information management, public information management, logistics, mass evacuation and international assistance).

CDEM Groups may wish to consider presenting their issues, objectives and proposed actions in a table that aligns issues with proposed actions.

Identifying issues and developing objectives

Response issues should form the basis for the development of objectives that will improve response functionality that the CDEM Group and its local authority members and partner organisations will work towards in the CDEM Group Plan.

Response-related issues and opportunities may be identified through a range of sources such as:

- the findings of the risk analysis process
- reviewing the existing CDEM Group Plan response objectives to see if anything should carry forward
- reviewing any corrective actions from previous CDEM Group exercises or emergency events
- reviewing any national corrective actions from national-led exercises, or significant events
- the CDEM Group's Capability Assessment Report and associated corrective action plan
- national practice, as outlined in the *National CDEM Plan, Guide to the National CDEM Plan*, and associated supporting plans and guidelines, and
- discussion exercises to specifically review past performance in this area.

³ For a definition of principles, issues, objectives or proposed actions see section 4.1.3

Issues	<p>Example response issues:</p> <ul style="list-style-type: none"> • There is opportunity to strengthen response planning ensuring effective engagement from all agencies • Ensure timely support to communities through the coordination and integration of response between agencies, communities and the CDEM Group • CIMS model is adopted consistently to allow for seamless transition of EOC staff • Concepts of lead and supporting agencies are clearly articulated, and • Agencies have pre-planned coordination arrangements that enable each organisation to fulfil its function in an integrated manner, whilst retaining capacity to manage non-emergency functions.
Objectives	<p>Example themes to inform the development of response objectives:</p> <ul style="list-style-type: none"> • Response roles and functions are articulated and understood • Response activation and coordination arrangements are articulated and understood (including modes of CDEM operation) • Warning and advisory systems are identified and information can be readily promulgated • The process to consider and manage declarations is articulated and understood • The management of information in emergencies is described and understood • Key response functions are described and understood (including public information management, welfare arrangements, lifeline utility coordination, community engagement etc.), and • Process for managing impact assessment, building safety evaluation and other key response functions are articulated and understood. <p>These statements may also include the ‘response objectives’ as outlined in the revised <i>National CDEM Plan</i> as a reminder of priority during the coordination of emergencies.</p>
Actions	<p>The actions decided on should describe the processes and resources necessary to achieve each of the stated objectives and assist with actioning the identified issues.</p> <p>Example response actions:</p> <ul style="list-style-type: none"> • describing the levels of response adopted by the CDEM Group • outlining the response roles, functions and capabilities of all emergency response organisations within the CDEM Group area • describing the arrangements for cooperation and coordination with other CDEM Groups • describing the CDEM Group warning system and its respective functions, roles and responsibilities • describing the financial, coordination and direction delegations made to, and by, the CDEM Group and others, to give effect to the emergency management arrangements described in the Plan

- describing the structure, functions and roles of the ECC for effective coordination in support of local events and in response to regionally significant events
- stating the activation process for the ECC and the role of the CDEM Group Emergency Management Office prior to any activation
- providing links to plans to describe predetermined responses by agencies to specific consequences
- outlining the telecommunications and information management systems used by emergency response organisations in the CDEM Group area
- describing the arrangements within the CDEM Group for making declarations under the *CDEM Act 2002*
- providing the common response principles for all organisations involved in responses under the Plan
- describing types of national support likely to be available, and how to request it, and
- describing the process for building safety evaluation following a damage-causing event.

4.3.4 Arrangements

CDEM Groups will most likely have existing arrangements, tools, plans or processes that give effect to response objectives and actions. As part of the development of proposed actions for the Plan, the CDEM Group may like to review these arrangements to ensure they are still fit for purpose and that they will continue to support growing capability. New processes may need to be developed, or membership to projects enhanced in order to facilitate achieving some response objectives.

Additionally, this section should describe the CDEM Group's response arrangements, roles and responsibilities and modes of operation. These attributes are likely to be referred to regularly and clarity around response arrangements may be supplemented by additional policy or process (e.g. controller policy, duty processes, escalation processes, triggers and thresholds).

Examples of the arrangements CDEM Groups may already have in place include:

- response activation and coordination structures: EOC/ECC/NCMC environments; levels of response coordination; response roles; welfare arrangements; lifeline utility coordination; volunteer management
- plans and procedures: public information management, volunteer management, welfare services, lifelines coordination, warning systems, mass evacuation, information management; planning, intelligence, operations and logistics functions via SOPs etc.
- tools: warning systems and public alerting; social media; information management systems; volunteer management systems.

Additional plans

CDEM Groups should have additional specific plans that describe some of the response arrangements, such as:

- site-specific emergency plans prepared for particular sites such as industrial plants, airports, etc. including on-site and off-site considerations (as developed by the organisation)
- event-specific/scenario-specific plans which address planned or unplanned events, and
- function-specific planning that addresses functional units in the response (e.g. media centres)

4.3.5 References



References for the development of the response section:

- **Legislation** (available at www.legislation.govt.nz)
 - *CDEM Act 2002*, sections 17(1)(d),(f), and 18
- **CDEM framework documents** (available at www.civildefence.govt.nz)
 - *National CDEM Strategy* (specifically Goal Three, pages 12–13)
 - *Guide to the National CDEM Plan* (specifically sections 24–31, incorporating sections 59–82 of the *National CDEM Plan*)
- **Other documents and resources** (available at www.civildefence.govt.nz)
 - *Declarations: Director's Guideline for the CDEM Sector* [DGL 13/12] (2012), MCDEM
 - *Response Management, Director's Guideline for CDEM Group and Local Controllers* [DGL 06/08] (2008, revised October 2014), MCDEM
 - *New Zealand Coordinated Incident Management System (CIMS), 2nd Edition* (2014), ODESC
 - *Public Information Management* [DGL 14/13] (2013), MCDEM
 - *Welfare Services in an Emergency* [DGL 11/15] (2015), MCDEM
 - *Volunteer Coordination in CDEM* [DGL 15/13] (2013), MCDEM

4.4 Recovery

4.4.1 Introduction

Recovery means 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.

This section of the CDEM Group Plan should outline the CDEM Group's approach to strategic planning for recovery, and provide an overview of the operational recovery arrangements, structures, processes and responsibilities that will be implemented to prepare for and assist the community to recover from an emergency.

The recovery section of a CDEM Group Plan should relate to Goal Four of the *National CDEM Strategy*.

4.4.2 Components of the section

Strategic Planning for Recovery	When developing the strategic planning for recovery content, refer to the Strategic Planning for Recovery Director's Guideline [20/17] . The following information needs to be provided:
Recovery preparedness and management	When developing the recovery preparedness and management content, refer to the <i>Recovery Management Director's Guideline [4/05]</i> . The following information needs to be provided:

- clear and concise objectives for strategic planning for recovery
- a description of the recovery issues that have been identified through the gap analysis process described in the Strategic Planning for Recovery Director's Guideline
- the Group's strategic actions to support recovery preparedness and recovery management to achieve the objectives specified;
- the Group's priorities for action and the timeline for implementation
- how the Group will monitor and evaluate progress and improvement.

- a description of current arrangements and structures in place
- a description of methods and resources required to help in preparing for and managing recovery
- clearly stated recovery monitoring, evaluation and reporting requirements
- clearly stated financial arrangements for recovery at both CDEM Group and local authority level, and
- an outline of the recovery exit strategy.

4.4.3 Identifying recovery principles, issues, objectives and actions

Recovery principles, issues, objectives and proposed actions⁴ should be clearly presented in the CDEM Group Plan. Any arrangements that the CDEM Group already has in place, or that it plans to adopt to achieve the objectives should also be described.

CDEM Group's recovery principles and objectives must not be inconsistent with the *National CDEM Strategy*. The *National CDEM Plan* outlines the national principles underlying recovery, most of which should be reflected in the CDEM Group Plan.

CDEM Groups may wish to consider presenting their issues, objectives and proposed actions in a table that aligns issues with proposed actions.

Identifying issues and developing actions

Recovery-related issues and opportunities must be identified through a range of sources such as:

- the outputs of the risk analysis process
- engagement with communities to understand their values and priorities for recovery
- reviewing the existing CDEM Group Plan recovery objectives to see if anything should carry forward
- reviewing any corrective actions from previous CDEM Group exercises or emergency events
- reviewing any national corrective actions from national-led exercises, or significant events
- the CDEM Group's Capability Assessment Report and associated corrective action plan
- national practice, as outlined in the *National CDEM Plan, Guide to the National CDEM Plan*, and associated Supporting Plans and guidelines, and
- discussion exercises to specifically review past performance in this area.

Issues

Any identified or potential issues associated with the CDEM Group Plan should be clearly defined, with concise reasoning and best practice methods for addressing the issues.

Examples recovery issues:

- the complexity of recovery issues are not well understood
- a lack of understanding across local authority teams of their role in preparing for and managing recovery
- relating regional risks, identified through a robust risk assessment to managing potential, associated recovery processes
- preparations during readiness are focused on response arrangements, resulting in a lack of emphasis put on developing recovery structures and arrangements.

⁴ For a definition of principles, issues, objectives or proposed actions see section 4.1.3

- the transition from response to recovery is not clearly understood or planned for
- lack of consideration and understanding for short, medium and long-term recovery and how this will affect communities
- lack of availability of personnel
- lack of understanding of recovery
- poor community awareness of the risks they face and lack of education
- how to include the community in the planning process
- poor co-ordination of agencies and stewards
- poor preparation for the psychosocial aspect of an emergency and the process of recovery
- the CDEM Group's long-term recovery strategy needs strengthening and broadening
- lack of integration between the recovery strategies and activities of CDEM organisations and other agencies, particularly community service organisations, and
- the recovery exit strategy needs enhancement or is misunderstood.

Objectives

Example themes to inform the development of recovery objectives and actions:

- greater engagement with the community to understand the potential consequences of specific emergencies and their priorities for recovery
- greater understanding of what support the community may need to recovery from specific emergencies
- education and training of personnel for recovery roles
- planning for and participation in recovery exercises
- building networks with agencies and Non-Government Organisations (NGOs) that will assist in the recovery phase
- developing a pre-emergency recovery plan for land use planning and co-ordination, and
- understanding land-use planning and local council recovery plans.

Actions	<p>The actions decided upon should describe the processes and resources necessary to achieve each of the stated objectives and assist with actioning the identified issues.</p> <p>Example recovery actions:</p> <ul style="list-style-type: none"> • engage with certain high risk communities or communities of interest to develop pre-emergency community recovery plans • actions for developing a community focused approach • assess the potential consequences across the four recovery environments (social, built, economic and natural) to understand the likely services and support needed to help the community recover from specific hazards and risks • increase the CDEM Group's capacity to facilitate the psychosocial aspect of community recovery following an emergency • establish appropriate and flexible recovery structures • educate and train personnel for recovery roles • creating a professional development programme that includes opportunities to learn from other CDEM Group recovery experiences, as well as international experiences, • plan for, and participate in, recovery exercises • build capacity and capability with the local authority to manage future recoveries • build networks with agencies and non-government organisations (NGOs) that will assist in the recovery phase, including any service level agreements or Memoranda of Understanding • clearly defining the responsibilities of CDEM personnel and other key agencies • develop outcome frameworks to monitor key indicators that inform the CDEM Group whether recovery actions are being progressed and are achieving the desired objectives • develop processes to ensure timely reporting during recovery to appropriate agencies (local authority and key stakeholders including MCDEM),
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4.4.4 Arrangements

CDEM Groups will most likely have existing arrangements, tools, plans or processes that give effect to recovery objectives and actions. As part of the development of proposed actions for the Plan, the CDEM Group may like to review these arrangements to ensure they are still fit for purpose and that they will continue to support growing capability. New processes may need to be developed, or membership to projects enhanced in order to facilitate achieving some recovery objectives.

Recovery Plan

Every CDEM Group should have a Recovery Plan which is likely to be a standalone document incorporated into the CDEM Group Plan by reference. Where this is the case, the CDEM Group Plan should still provide high-level information on recovery arrangements and should identify areas that may require further development to reflect national best practice.

4.4.5 References



References for the development of the recovery section:

- **Legislation** (available at www.legislation.govt.nz)
 - *CDEM Act 2002, s25, s29, s30, s30A, s49, s68, s69, Part 5A, Part 5B*
- **CDEM framework documents** (available at www.civildefence.govt.nz)
 - *National CDEM Strategy* (specifically Goal Four, page 14)
 - *Guide to the National CDEM Plan* (specifically section 32, incorporating sections 84–87 of the *National CDEM Plan*)
 - *Strategic Planning for Recovery Director's Guideline*
 - *Giving Notice of a Local Transition Period Factsheet* and associated *Quick Guide and Forms*
 - Previous CDEM Group Plans
- **Other recovery documents and resources**

<https://www.civildefence.govt.nz/cdem-sector/recovery>

4.5 Monitoring and evaluation

4.5.1 Introduction

It is important for CDEM Groups and their members to monitor and measure progress in order to know when they have successfully reached their goals and objectives and to ensure they have the capacity and capability necessary to be able to perform their CDEM roles and responsibilities. This requires a programme of monitoring and evaluation.

Though often referred to together, monitoring and evaluation involve distinctly different aims and processes:

- **monitoring** is a continual process that aims to provide management and stakeholders an early indication of compliance with responsibilities, and progress, or lack thereof, in the achievement of results, and
- **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.

The main objectives of monitoring and evaluation are to:

- enhance organisational oversight
- ensure informed decision-making
- support substantive accountability, and
- build capacity and capability.

These objectives are linked together in a continuous process. Learning from experience results in more informed decision-making; better decisions lead to greater accountability to stakeholders; all three elements working together make a positive contribution to overall effectiveness.

CDEM Group Plans should have a section on monitoring and evaluation that outlines the monitoring and evaluation-related activities and requirements of the CDEM Group, its local authority members and partners.

4.5.2 Components of the section

The following information should be provided:

- a clear and concise statement of principles or criteria for monitoring and evaluation within the CDEM Group
- a description of the monitoring and evaluation issues that have been identified
- a description of the objectives the CDEM Group has in respect of monitoring and evaluation
- a description of the process for monitoring and evaluation of the CDEM Group and CDEM Group activities (in terms of monitoring and evaluating capability and performance, and measuring progress)
- a description of the process to ensure that the CDEM Group is complying with all relevant legislation, and
- a description of the process for reviewing the CDEM Group Plan, and a clear statement of the expectations the CDEM Group has of its individual members and partners in respect of monitoring and evaluation activities.

4.5.3 Identifying principles, issues, objectives and actions

Monitoring and evaluation principles, issues, objectives, and proposed actions⁵ should be clearly presented in the Plan. Any arrangements that the CDEM Group already has in place, or that it plans to adopt to achieve the objectives should also be described.

CDEM Groups may wish to consider presenting their issues, objectives and proposed actions in a table that aligns issues with proposed actions.

Principles

Example monitoring and evaluation principles:

- the CDEM Group's activity is planned, monitored, and effective in achieving objectives
- each local authority's CDEM activity is planned, aligned, monitored, and effective in achieving objectives
- the CDEM Group practices corrective action planning, prioritises actions, and monitors progress on achievement of actions
- capacity and capability to perform CDEM roles and responsibilities is monitored and periodically evaluated for effectiveness, and
- monitoring and reporting of compliance with the *CDEM Act 2002* is a continuous process.

⁵ For a definition of principles, issues, objectives or proposed actions see section 4.1.3

Identifying issues and developing actions	<p>Monitoring and evaluation related issues may be identified from:</p> <ul style="list-style-type: none"> • the CDEM Group's Capability Assessment Report and associated corrective action plan • the most recent national CDEM Capability Assessment Report (can be found at www.civildefence.govt.nz) • national practice, as outlined in the <i>National CDEM Plan and Guide to the National CDEM Plan</i> • reviewing any corrective actions from previous CDEM Group exercises or emergency events • reviewing any national corrective actions from national-led exercises, or significant events, and • discussion exercises to specifically review past performance in this area.
Issues	<p>Monitoring and evaluation issues should form the basis for the objectives that the CDEM Group and its local authority members and partner organisations will work towards in the Plan.</p> <p>Example monitoring and evaluation issues:</p> <ul style="list-style-type: none"> • monitoring of performance does not take place in CDEM settings to the degree it does in other local authority business • capacity and capability are not quantified or tracked • findings from exercises and events are not being implemented • there is not a culture of continual improvement, and • there is not a culture of accountability.
Objectives	<p>Example themes to inform the development of monitoring and evaluation objectives:</p> <ul style="list-style-type: none"> • a monitoring regime is agreed and implemented, i.e. how and when progress on action items, issues, and work programmes are reviewed • Coordinating Executive Group incorporates monitoring and evaluation processes into part of their normal meeting process • progress towards the CDEM Group Plan objectives and outcomes is monitored, both at a Group-wide and local authority level • a corrective action plan is maintained; actions are regularly reviewed and prioritised, and progress on the achievement of actions monitored, and • the CDEM Group understands its capacity and capability.

Actions

The actions decided upon should describe the processes and resources necessary to achieve each of the stated objectives and assist with actioning the identified issues.

Example actions may include:

- form working groups / workshops to review and analyse issues in more detail and start to develop actions
- develop a short-term and/or long-term work programme to assist with delivering the monitoring and evaluation objectives
- develop a monitoring programme to assess performance against objectives, and
- develop capabilities and provide resources to assist with delivery of the monitoring and evaluation objectives.

4.5.4 Arrangements

CDEM Groups will most likely have existing arrangements, tools, plans or processes that give effect to monitoring and evaluation objectives and actions. As part of the development of proposed actions for the Plan, the CDEM Group may like to review these arrangements to ensure they are still fit for purpose and that they will continue to support growing capability. New processes may need to be developed, or membership to projects enhanced in order to facilitate achieving some response objectives.

4.5.5 References



References for the development of the monitoring and evaluation section:

- **Legislation** (available at www.legislation.govt.nz)
 - *CDEM Act 2002*, sections 17(1)(h) and 37(1)
 - Other legislation that may have implications for CDEM Groups (see section 17(3) of the *CDEM Act 2002*):
 - *Biosecurity Act 1993*
 - *Building Act 2004*
 - *Fire and Emergency Act NZ 2017*
 - *repealed*
 - *Hazardous Substances and New Organisms Act 1996*
 - *Health Act 1956*
 - *Health and Safety Work Act 2015*
 - *Local Government Act 2002*
 - *Maritime Transport Act 1994*
 - *Resource Management Act 1991*

- **CDEM framework documents** (available at www.civildefence.govt.nz)
 - *National CDEM Strategy*
- **Other documents and resources**
 - Previous CDEM Group Plans
 - (national) *CDEM Capability Assessment Report 2012*
 - CDEM Group capability assessment reports
 - LTPs

4.6 Management and governance

4.6.1 Introduction

One of the clearest findings of the first national capability assessment (2012) was that a successful CDEM Group is one that:

- has engaged and active leadership
- understands their roles and responsibilities, and
- can direct and manage CDEM accordingly.

CDEM Groups, that have these in place, work together cooperatively and collaboratively, have a vision for the future, a sense of collective purpose, undertake effective CDEM, and make good progress towards outcomes.

The CDEM Group Plan is the primary document for establishing the management and governance arrangements of the CDEM Group. It should clearly and unambiguously outline roles, responsibilities, and accountabilities, and the expectations of each management structure and individual representatives on them. It should set the 'rules' that will foster good organisational culture, for coordination, cooperation , and collaboration, and generally lay the foundation that will facilitate achievement of objectives and progress towards outcomes.

4.6.2 Components of the section

The following information should be provided:

- a clear statement of the general principles and objectives for management and governance within the CDEM Group
- the management and governance arrangements for the CDEM Group, including:
 - identification of the members of the CDEM Group Joint Committee (or committee of council for a unitary authority), and a description of their role and responsibility and established arrangements
 - identification of the members of the Coordinating Executive Group (CEG), and a description of their role, responsibility and established arrangements
 - a clear description of the administrating authority's functions and arrangements
 - a description of the functions, roles and responsibilities of the Group Emergency Management Office
 - a description of any relevant shared service arrangements for CDEM and the expected management principles in respect of the shared CDEM activity
 - the name of the CDEM Group Controller and at least one alternative and the names of any local controllers where this has been determined by the Group
 - a statement of the delegated authorities, functions and powers, including any key appointments (in addition to controllers), persons authorised to declare, Recovery Manager and Welfare Manager

- the process for declaring a state of local emergency affecting one or more districts or wards within a Group, including:
 - A hierarchy of persons authorised to declare a state of local emergency i.e. clarification of whether the person(s) appointed under s25(1) of the CDEM Act 2002 will, in the first instance, declare on behalf of affected districts or wards or whether the Mayors will under s25(5) of the CDEM Act 2002).
 - Any agreed consultation or coordination requirements prior to declaring or giving notice (e.g. consultation with relevant Mayors, MCDEM, CDEM Group Controller, senior members of emergency services etc).
- the process for giving notice of a local transition period affecting one or more districts or wards within a Group, including:
 - a hierarchy of persons authorised to give notice of a local transition period i.e. clarification of whether the person(s) appointed under s25(1) of the CDEM Act 2002 will, in the first instance, declare on behalf of affected districts or wards or whether the Mayors will under s25(5) of the CDEM Act 2002).
 - any agreed consultation or coordination requirements prior to giving notice (e.g. consultation with relevant Mayors, CDEM Group Controller, MCDEM, senior members of emergency services etc).
- The process for declaring or giving notice during a local election period i.e. the Minister will declare a state of local emergency for the period between local authority elections and the swearing in of new elected representatives (s69).
- a description of the cooperative arrangements with other CDEM Groups
- a description of the financial arrangements for the CDEM Group and its members, and
- a reference to the work programme for the CDEM Group and its linkages to the work programmes of members and partner organisations.

4.6.3 Identifying principles, issues, objectives and actions

Management and governance principles, issues, objectives, and actions should be clearly presented in the Plan.

Principles should be overarching statements that refer to the behaviours or practices that the CDEM Group intends to adopt when conducting its business in this area. Objectives should describe the outcomes that will be achieved as a result of actions undertaken at a CDEM Group and local level. Proposed actions outline some activities that the CDEM Group may undertake to reach the desired outcome, but these may change over time and would most likely be captured as part of annual work planning.

Principles

Example management and governance principles:

- a **CDEM Group Joint Committee** of elected representatives that understands they own the CDEM Group Plan, that they are ultimately accountable for CDEM in the region, and who clearly directs the Coordinating Executive Group
- a **Coordinating Executive Group** that understands they have a regional focus, who gives strategic advice to the Joint Committee, and who oversees the implementation of the CDEM Group Plan via the Group Emergency Management Office and local CDEM arrangements
- an **administering authority** that understands it provides administration and other related services to the CDEM Group, but not governance of the Group, nor assumed lead of the Group Emergency Management Office
- a **Group Emergency Management Office** that is administered by the regional council or a unitary authority but understands it is accountable to the Coordinating Executive Group. The Group Emergency Management Office maintains a Group work programme, derived from the CDEM Group Plan, and delivers regional CDEM outcomes and supports local arrangements and outcomes
- **local CDEM arrangements** that have a local work programme, aligned to the CDEM Group work programme that delivers local CDEM outcomes,
- **funding** that is clearly laid out and equitable, with accountability across organisations and transparent financial procedures and budget reporting, and
- **monitoring and reporting** that takes place at all levels to satisfy the higher level of the delivery of outcomes.

Identifying issues and developing actions

Management and governance related issues may be identified from:

- the CDEM Group's Capability Assessment Report and associated corrective action plan
- the most recent national CDEM Capability Assessment Report (can be found at www.civildefence.govt.nz)
- national practice, as outlined in the *National CDEM Plan, Guide to the National CDEM Plan* and any relevant Director's Guidelines
- reviewing any corrective actions from previous CDEM Group exercises or emergency events
- reviewing any national corrective actions from national-led exercises, or significant events, and
- discussion exercises to specifically review past performance in this area.

Issues	CDEM Group Plans should state the issues CDEM Groups face in relation to management and governance. Example management and governance issues:
	<ul style="list-style-type: none"> • management and governance discipline does not take place in CDEM settings to the degree it does in other local authority business • a degree of 'rubber stamping' has been identified • some individuals in management or governance positions are not fully engaged and/or do not display leadership • roles, responsibilities, and accountabilities are not clear • progress towards objectives and outcomes is not being made • capacity and capability are not quantified or tracked • poor performance or lack of progress is not addressed • organisational culture with CDEM settings is poor • there is not a culture of continual improvement • there is not a culture of accountability, and • there is a lack of coordination and cooperation between CDEM Group members and partners.
Objectives	Example management and governance objectives: <ul style="list-style-type: none"> • Effective organisational structures for CDEM are implemented, and • CDEM Group culture positively influences the effective delivery of CDEM.
Actions	The actions decided upon should describe the processes and resources necessary to achieve each of the stated objectives and assist with actioning the identified issues. Example management and governance actions: <ul style="list-style-type: none"> • ensure roles and responsibilities are periodically reinforced through briefings and presentations. This should include the collective role/responsibilities of groups and committees, and the individual role/responsibilities of each individual member or representative thereof, how the various organisational structures link together and the nature of the relationship between important links (e.g. the direction-advice flow between Joint Committee and the Coordinating Executive Group), and • ensure every management structure (group or committee) has terms of reference that includes roles, responsibilities, links to other organisational structures, and management discipline that is expected of the group/committee and each member.

4.6.4 Arrangements

CDEM Groups will have existing arrangements, tools, or processes that give effect to management and governance objectives and actions. As part of the development of proposed actions for the Plan, the CDEM Group may like to review these arrangements to ensure they are still fit for purpose and that they will continue to support growing capability. New processes may need to be developed, or membership to projects enhanced in order to facilitate achieving some response objectives.

The arrangements subsection of the management and governance section should be one of the most comprehensive parts of the Plan. The Plan should be the primary location of the 'rules' for management and governance in the CDEM Group, and it is imperative that the Plan unequivocally sets out roles, responsibilities, and management discipline for each group, committee, or organisational structure within the CDEM Group, and of individual representatives therein.

This section should describe the roles and responsibilities of the:

- CDEM Group Joint Committee (or committee of council in the case of a unitary authority)
- Coordinating Executive Group
- administering authority, and
- Group Emergency Management Office.

And set the management discipline and expectations for:

- Any local authority shared service arrangements
- Delegated authorities, functions, and powers
- Cooperation and support arrangements, and
- Financial arrangements.

Appendix D [Management and governance roles and responsibilities](#) on page 72 outlines some suggested principles, roles and responsibilities that should underlie CDEM Group management and governance.

4.6.5 References



References for the development of the management and governance section:

- **Legislation** (available at www.legislation.govt.nz)
 - *CDEM Act 2002*, sections 12–30
- **CDEM framework documents** (available at www.civildefence.govt.nz)
 - Previous CDEM Group Plans
 - *Working Together: The Formation of CDEM Groups* [DGL 1/02], MCDEM.
 - *Response Management, Director's Guideline for CDEM Group and Local Controllers* [DGL 06/08], MCDEM

Section 5 Getting the best out of your CDEM Group Plan

5.1 Introduction

In order to gain the best outcomes for the CDEM Group Plan, it is important that CDEM Groups consider how to engage stakeholders in the use of the final document. The CDEM Group Plan should be considered a strategic document that informs the development of local authority plans and strategies across a range of subjects. The CDEM Group Plan should also guide the development of organisational policy and be regarded as a regulatory tool in the implementation of other processes (i.e. supporting district planning restrictions).

5.2 Socialisation

In order to facilitate good uptake and understanding of the CDEM Group Plan, it is helpful to consider developing an associated socialisation plan. As a minimum, this should include member agencies (all local authorities, Police, Fire and health services) to ensure each is aware of the goals, objectives and principles within each of the sections and their respective roles in ensuring delivery. Other avenues to consider when socialising the CDEM Group Plan include:

- Welfare Coordinating Groups
- Lifeline Groups
- Chief Executive forums
- Recovery manager / controller forums
- Local elected representative arrangements (e.g. community boards),
- the community
- communities of special interest (e.g. migrant communities, people with disabilities and their support networks, faith based communities etc.), and
- iwi and hapū.

5.3 Informing decision making

Informing other council unit work plans

When a CDEM Group Plan is approved it binds its member agencies to deliver CDEM outcomes to its communities. CDEM spans a significant range of activity and the outcomes desired in the Plan will need to be delivered through the spectrum of activity that a council undertakes. Therefore it is incumbent upon the management and governance representatives of those local authorities to ensure that the Plan, its activities and how the local authority will give effect to delivery of the outcomes are promulgated through their organisations. This is illustrated in Figure 5.

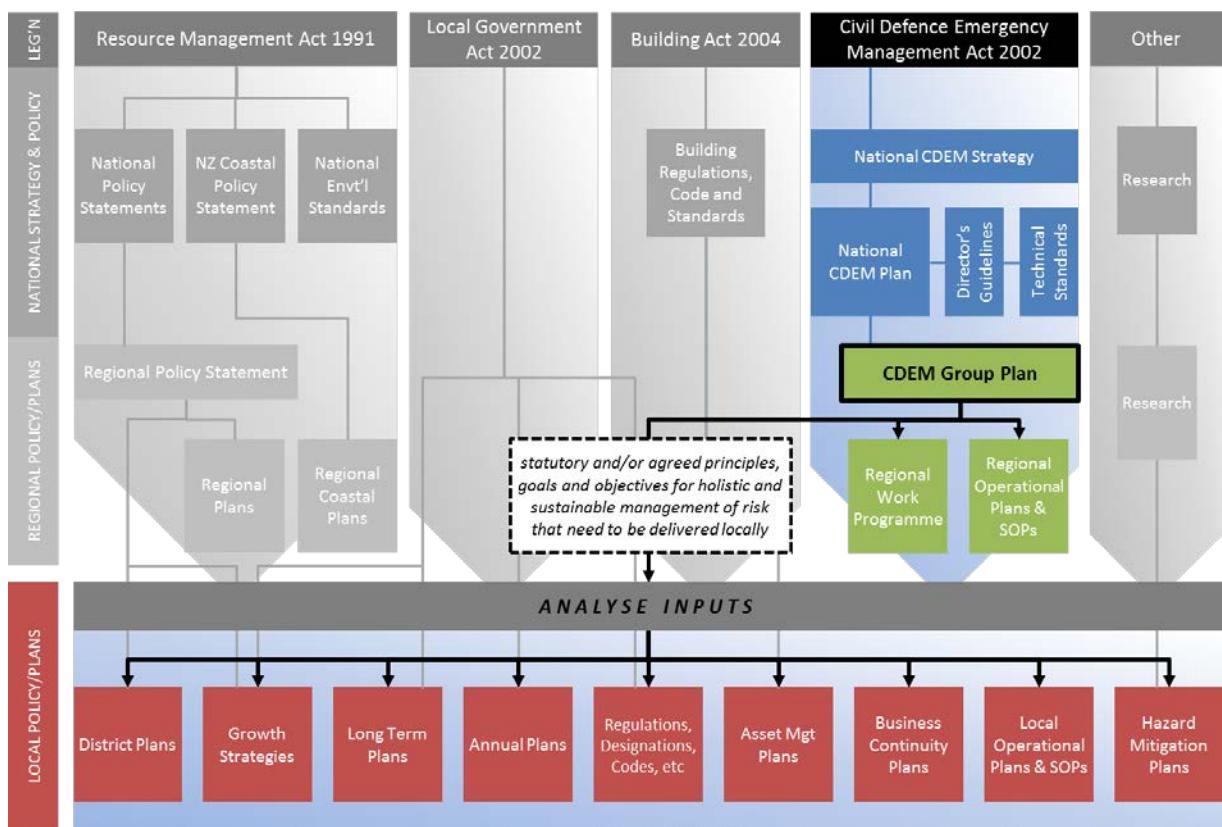


Figure 5 How local authority policy and plans should give effect to the CDEM Group Plan

Long Term Plans (LTPs)	<p>The Long Term Plan process is the key planning tool for councils. Its purpose is to:</p> <ul style="list-style-type: none"> • describe the council's activities and the outcomes it aims to achieve • provide integrated decision-making and coordination of the resources, as set out in section 93(6)(c) of the Local Government Act 2002 • provide a long-term focus • show accountability to the community, and • provide an opportunity for participation by the public in council decision-making processes. <p>The LTP must include information on activities, goods or services provided by a council, and specific funding and financial management policies and information. LTPs outline all the things a council does and how they fit together. They show what will be done over the plan's 10-year period, why the council is doing various programmes, and their costs.</p> <p>It is critical that CDEM is contextualised within LTPs in a variety of ways. LTPs should:</p> <ul style="list-style-type: none"> • describe the vision and goals of CDEM • acknowledge that the delivery of many council services contribute directly and indirectly to the improvement of community resilience and public safety • include an overview of local CDEM plans and work programmes • describe the contribution and linkages with other legislation (e.g. Resource Management Act 1991, building codes etc.) • describe wider CDEM arrangements across the region (i.e. CDEM Group arrangements), and refer to the CDEM Group Plan, and • have a range of service-level key performance indicators that span the 4Rs.
CE's organisational commitments	Chief executives of local authorities have the mandate to manage and allocate staff time and resources to deliver local authority outcomes. CEs or their representative should participate in CEG meetings and therefore have an understanding of the staff time and resources that they will be required to commit to delivering CDEM Group outcomes at their local level.
Informing other partners work plans	The effective delivery of CDEM to communities is achieved through a multi-agency approach. CEG member and advisory group member agencies have a role to play in the delivery of CDEM outcomes through their organisation's business as usual activity. Individuals who represent their agencies in participating in CDEM activity should ensure that their organisation's work plans are cognisant of the delivery of CDEM outcomes within their areas of influence.

5.4 Living document

Ensuring its currency	CDEM Group Plans are intended to be living documents. They should be referred to often for accuracy of understanding of arrangements and for checking progress against described delivery outcomes. It is reasonable to expect that content may need to change during the lifespan of the Plan. For that reason, deliberate timings should be determined to review the Plan for accuracy and relevance. However minor amendments should not hold up any review process.
Minor amendments	<p>Section 57 of the <i>CDEM Act 2002</i> states that CDEM Groups may make minor changes to their Plans without formally reviewing it, as long as the proposed amendment will have:</p> <ul style="list-style-type: none">• no effect or no likely effect on the rights of any person, or• no significant effect on the obligations of any person. <p>It is strongly recommended that CDEM Groups consult with relevant emergency management advisors, partner agencies, stakeholders, and community organisations or groups before any minor changes are made. This will encourage participation and promote a collaborative, multi-agency approach to CDEM planning.</p>

5.5 Work planning

Determine ownership of actions	The CDEM Group Plan should be regarded as a high-level strategic document and while it will contain some indicative actions, it should be substantiated with a more detailed work plan. Work planning should be an annual process with detailed actions and resources assigned in the first 12 months, with indications for the outward years.
Prioritise actions	Local authorities and member agencies should use their business as usual practices to prioritise actions which will deliver CDEM Group Plan actions. This will ensure that the right individuals are given the time and resources they need to achieve the Plan's outcomes.
Connecting local and regional work plans	The successful delivery of the Plan relies on a collaborative approach to delivery. The CDEM Group work plan (stewarded by the Group Emergency Management Office) will require input from a range of agencies and organisations to affect delivery. Also important in ensuring that objectives are delivered consistently at a local level is the integration of Group-wide focused and locally focused work plans.

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Appendix A Legislative background



The *Civil Defence Emergency Management Act 2002* ('CDEM Act 2002') provides the legislative basis for preparing and reviewing comprehensive, publicly-consulted CDEM Group Plans.

The *CDEM Act 2002* is available on the MCDEM website www.civildefence.govt.nz, under the 'For the CDEM Sector'.

Requirements of the CDEM Act 2002

A CDEM Group Plan must address the requirements of **section 49 (2)** of the *CDEM Act 2002*, to state and provide for:

- local authorities' membership of the CDEM Group,
- hazards and risks to be managed by the CDEM Group,
- CDEM measures necessary to manage the hazards and risks,
- objectives of the CDEM Group Plan and the relationship to the National CDEM Strategy,
- the area of the Group,
- the cost and resource sharing arrangements among member councils for the CDEM Group and its activities,
- strategic planning for recovery from the hazards and risks,
- arrangements for declaring states of emergency,
- arrangements for giving notice of a local transition period,
- arrangements for cooperation and coordination between CDEM Groups, and
- the period for which the CDEM Group Plan remains in force.

Section 53(2) of the *CDEM Act 2002* states that a CDEM Group Plan must also take into account guidelines, codes, or technical standards issued by the Director of CDEM.

The National CDEM Plan



Along with the *CDEM Act 2002*, the *National CDEM Plan* outlines the roles and responsibilities of MCDEM, CDEM Groups, and other agencies (as defined in the *National CDEM Plan*) before, during, and following a civil defence emergency.

The CDEM Group planning team should use the *Guide to the National CDEM Plan* as a key reference. It is available on the MCDEM website www.civildefence.govt.nz on the publications page.

Other relevant legislation



Other legislation relevant to CDEM Groups and the review of CDEM Group Plans includes (but is not limited to):

- **Resource Management Act 1991** – restrictions, duties, and provisions related to the management of resources, including land, coastal and marine areas, rivers and lake beds, and water. Specific sections of this Act relate to adverse effects (section 17) and emergencies (section 18).
- **Local Government Act 2002** – roles and responsibilities of local government, including organisational structure, and policies and processes related to public consultation.
- **Building Act 2004** – key information such as building codes, and provisions and restrictions for building consents.
- **Health and Safety at Work Act 2015** – a framework to secure the health and safety of workers and workplaces, including CDEM organisations.
- **Privacy Act 1993** – rights and responsibilities related to the disclosure or withholding of private information, either personal or organisational. This Act includes provisions relevant to information sharing agreements between agencies.
- **Human Rights Act 1993** – outlaws discrimination on a number of grounds, including disability, ethnic or national origins, colour, race, and religious beliefs. CDEM Groups have a responsibility to endeavour to make their facilities, services, and information inclusive and accessible.

All legislation is available to view or download on the New Zealand Legislation website, www.legislation.govt.nz.

Appendix B Review and consultation process

A CDEM Group Plan must be reviewed and updated to ensure that:

- new knowledge about hazards and risks, including changes in their form or scale are addressed
- the CDEM Group's objectives as stated in the previous Plan, and the methods for achieving them, are still current, revised or superseded
- the content of the Plan is consistent with the *CDEM Act 2002*, and the current guidelines, codes and standards issued by the Director of CDEM, and
- other relevant changes in the attributes of communities within the Group area, and the CDEM sector, are accurately reflected and provided for

A CDEM Group may decide to amend, revoke and replace, or leave the Plan unchanged during the review period.

B.1 Relevant sections of the CDEM Act 2002

Sections of the *CDEM Act 2002* relevant to the review and consultation process include:

- Section 56(1) – states that CDEM Group Plans remain operative for five years, after which time a formal review must be initiated (note that section 55(b) states that while the review takes place, the current plan remains operative)
- Section 56(4) – states that a formal review needs to follow the requirements for consultation outlined in section 52 of the Act (see Consultation on page 66), and
- Section 49 (1) – states that the Minister of Civil Defence must be allowed 20 working days to comment on the revised Plan before it is approved by the CDEM Group's Joint Committee.

Provisions for more frequent review and amendment

Section 56 (2) of the *CDEM Act 2002* states that a CDEM Group may review their CDEM Group Plan at any time, within five years, however if older than 5 years it must be reviewed (s.56(1)).

CDEM Groups are encouraged to review their CDEM Group Plan as frequently as necessary, to incorporate new experiences, information, and ideas as they evolve. Situations arising within the five year timeframe that may merit a formal review of the Plan include:

- information collected from national or regional exercises
- information and experience gained from emergencies
- changes in key regional or local authority documents or policies, or
- changes to legislation, or national level policies, strategies, or guidance.

Minor changes	<p>Section 57 of the <i>CDEM Act 2002</i> states that CDEM Groups may make minor changes to their Plans without formally reviewing them, as long as the proposed amendment will have:</p> <ul style="list-style-type: none"> • no effect or no likely effect on the rights of any person, or • no significant effect on the obligations of any person <p>It is strongly recommended that CDEM Groups consult with relevant emergency management advisors, partner agencies, stakeholders, and community organisations or groups before any minor changes are made. This will encourage participation and promote a collaborative, multi-agency approach to CDEM planning.</p>
Incorporation by reference	<p>Section 51 (1) of the <i>CDEM Act 2002</i> states that any written material or document the CDEM Group deems too large to be printed in full as part of the CDEM Group Plan may be incorporated by reference.</p> <p>Section 51 (3) states that any material incorporated by reference is then considered part of the CDEM Group Plan, and subject to the same requirements for amendment and review.</p> <p>Key plans and policies that require more frequent updating, or would otherwise be impractical to incorporate by reference, may be listed as supporting documents or plans.</p>

B.2 Review criteria

Table 2 below describes the criteria that need to be assessed during a review of the CDEM Group Plan.

Table 2 Review criteria

Criterion	Achieved when...
Accuracy	<ul style="list-style-type: none"> • supporting documents and plans referred to in the CDEM Group Plan exist, and are relevant, complete, and up-to-date • references to organisations, specific locations, functions, and resources are complete and up-to-date, and • the CDEM Group is structured in the manner described in the CDEM Group Plan
Practicality	<ul style="list-style-type: none"> • the CDEM Group, its local authority members, and partner organisations are capable of carrying out the functions described in the Plan, and • the CDEM Group and its member organisations have access to resources needed to be able to carry out the functions described in the Plan
Coverage	<ul style="list-style-type: none"> • risk management mechanisms and arrangements described in the Plan are realistic • linkages between the plans of participating organisations are illustrated, and • an integrated monitoring and review process that crosses the <i>CDEM Act 2002</i> and the <i>Resource Management Act 1991</i> frameworks is identified and used

Criterion	Achieved when...
Coordination	<ul style="list-style-type: none"> • roles and responsibilities are clearly defined • the description of how agencies will work together in an emergency is unequivocal • functions in the Plan are described adequately • the goals and objectives of the Plan and work programmes are aligned with the goals and objectives of the <i>National CDEM Strategy</i>, and • the arrangements in the Plan align with those in the <i>National CDEM Plan and Guide</i>

B.3 Consultation



Section 52 of the *CDEM Act 2002* states that, before approving a CDEM Group Plan, the CDEM Group must:

- give public notice,
- allow a period of time for submissions (no less than one month, and no greater than three months, unless the CDEM Group otherwise directs),
- provide a reasonable opportunity for submissions to be heard,
- make written submissions available to the public, and
- adopt the final plan at a meeting of the CDEM Group Committee (Joint Committee or Committee of Council).

Consultation can be undertaken through a process similar to the special consultative procedure used by local government as defined in section 83 of the *Local Government Act 2002*. This Act is available on the New Zealand Legislation website, www.legislation.govt.nz.

Appendix C Using the risk template



The *risk template* is provided to support the development of a risk. The *risk template* is available on the MCDEM website www.civildefence.govt.nz, under ‘For the CDEM Sector’, ‘Publications’.

Elements of the risk template

There are two versions of the *risk template*:

- simplified – includes a list of general hazards (such as tsunami, earthquake, extreme temperatures, or lifeline utility failure), and
- detailed – includes a breakdown of each general hazard into sub-hazards (such as, under ‘lifeline utility failure’: water supply failure, electricity failure, or telecommunications failure)

Both versions include a pre-populated list of common hazards or sub-hazards identified by CDEM Groups across New Zealand. The hazard list is designed to be modified as required.

The *risk template* allows CDEM Groups to evaluate the risks according to the four environments (social, built, economic, and natural) and the 4Rs.

A completed *risk template* automatically assigns each hazard a total value out of 20. This value indicates the magnitude of the risk (the higher the value, the greater the risk), and serves as a basis for risk prioritisation.

The following is a description of how CDEM Groups can use the risk template to identify, analyse, evaluate, and prioritise risks.

C.1 Step 1: Summarising the environment

CDEM Groups need to summarise the following aspects of their environment:

- **social**: population, social structures, vulnerable groups, ethnic diversity, and tangata whenua
- **natural**: geography, geology, and climate
- **built**: residential, commercial, key lifelines utilities, and industrial and agricultural infrastructure, and
- **economic**: regional economy, growth, employment, income, tourism and resources.

Much of this information may already be recorded in the current Plan, and will only require updating.

Include environmental summaries in the Understanding and managing Your Risk of the Plan.

C.2 Step 2: Hazard identification

Identify and list the hazards that are relevant. It is recommended that hazards are categorised into natural, technological, or biological hazards.

Use the list of identified hazards to populate **column A** of the risk template.

C.3 Step 3: Describing the risks

Describe risks that are related to each hazard.

Any risk descriptions in current CDEM Group Plan may require rewriting, validating, or updating. CDEM Groups may need to add new risk descriptions, or delete ones that are no longer relevant.

Include risk descriptions in the risk section of the CDEM Group Plan.

C.4 Step 4: Risk analysis

Hazard identification and risk descriptions will inform **risk analysis**. Risk analysis involves considering the likelihood and consequences of each type of hazard.

Use Table B 1 below to measure the **likelihood** of a hazard, and enter the results into **column B** of the risk template.

Level	Descriptor	Detail
A	Almost certain	Is expected to occur in most circumstances.
B	Likely	Will probably occur in most circumstances.
C	Possible	Might occur at some time.
D	Unlikely	Could occur at some time.
E	Rare	May occur only in exceptional circumstances.

Table B 1 Measure of likelihood

Use Table B 2 below to measure the **consequences** of a hazard, and enter the results into **column C** of the risk template.

Level	Descriptor	Detail
1	Insignificant	No injuries, little or no damage, low financial loss.
2	Minor	First aid treatment, minor building damage, medium financial loss.
3	Moderate	Medical treatment required, moderate building and infrastructure damage, high financial loss.
4	Major	Extensive injuries, high level of building and infrastructure damage, major financial loss.
5	Catastrophic	Deaths, most buildings extensively damaged and major infrastructural failure, huge financial loss.

Table B 2 Measure of consequences

Once the likelihood and consequences of a hazard have been determined, use Table B 3 below to assign each hazard with a **risk rating**, and enter the results into **column D** of the risk template.

Likelihood	Consequences				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
A	Moderate	High	Very high	Extreme	Extreme
B	Low	Moderate	High	Very high	Extreme
C	Low	Moderate	Moderate	High	Very high
D	Very low	Low	Moderate	High	Very high
E	Very low	Very low	Low	Moderate	High

Table B 3 Risk ratings

Once each hazard has been rated for risk, the CDEM Group needs to choose which hazards to evaluate; for example, hazards with risk ratings of high, very high, or extreme.

C.5 Step 5: Detailed risk analysis

CDEM Groups can further analyse the risks related to each of their identified hazards in terms of seriousness, manageability, and growth. The risk template uses the following weightings:

- seriousness – worth 50% of the hazard's total score,
- manageability – worth 40% of the hazard's total score, and
- growth – worth 10% of the hazard's total score.

Seriousness

The risk template uses the following weightings for **seriousness**:

- social – worth 50% of the seriousness subtotal,
- built – worth 25% of the seriousness subtotal,
- economic – worth 15% of the seriousness subtotal, and
- natural – worth 10% of the seriousness subtotal.

Assign a consequence rating (number from 1-5) to each of the **four environments** within seriousness using the measures of consequence in Table B 4.

Level	Descriptor	Detail description
1	Insignificant	No injuries, little or no damage, low financial loss.
2	Minor	First aid treatment, minor building damage, medium financial loss.
3	Moderate	Medical treatment required, moderate building and infrastructure damage, high financial loss.
4	Major	Extensive injuries, high level of building and infrastructure damage, major financial loss.
5	Catastrophic	Deaths, most buildings extensively damaged and major infrastructural failure, huge financial loss.

Table B 4 Seriousness

Enter the results into **columns E, F, G, and H** of the risk template.

Once complete, the risk template assigns a seriousness value in the sub-total column (**column I**). The minimum possible value is 2, and the maximum possible value is 10.

The seriousness sub-total represents half the total maximum possible value of 20.

Manageability

The manageability rating is shown in Table B 5. A rating is from 1 to 5 based on the combination of management difficulty and current level of effort being applied. The rating is assigned and entered on the template for each of the 4Rs.

The sub-total represents an average manageability value in **column N** and has a minimum value of 1 and a maximum value of 5.

Management difficulty	Current effort (4Rs)	Rating
Low	High	1
Low	Medium	2
Medium	High	
Medium	Medium	3
High	High	
Low	Low	4
Medium	Low	
High	Medium	
High	Low	5

Table B 5 Manageability

Enter the results into **columns J, K, L, and M** of the risk template.

Growth

The growth rating is shown in Table B 6 below. A rating is from 1 to 5 based on the combination of the probability of occurrence of the event arising and the changes in community exposure to the event.

Event occurrence probability rise	Changing community exposure	Rating
Low	Low	1
Low	Medium	2
Medium	Low	
Medium	Medium	3
Low	High	
Medium	High	4
High	Low	
High	Medium	
High	High	5

Table B 6 Growth

Enter the results into **column O** of the risk template.

C.6 Step 6: Risk evaluation

Once all the rating values have been completed, the template will provide a risk total in **column P** for each hazard identified. The template can then be sorted via column P to give a list of hazards and risks by risk total. This list can then be used to help inform the review and development of the CDEM Group Plan.

The evaluation process should include the following considerations by the CDEM Group:

- How are agencies within the CDEM Group area currently managing the risks? (e.g. reducing vulnerability through strengthening earthquake prone buildings or replacing pipe networks, coastal avoidance zones for infrastructure, updating public alerting systems and evacuation plans, etc)
- What is different from the last risk assessment in the previous CDEM Group Plan? Why?
- Where are the gaps? Which risks should the CDEM Group strategically focus on?
- Where does CDEM sit, in relation to other hazard risk management activities?
- How will the CDEM Group know when there are changes in hazards (e.g. stopbanks constructed), changes in exposure (e.g. new subdivision in flood plains) or changes in vulnerability (e.g. planning rule change for mandatory floor heights), and how will that influence CDEM work programmes?

Risks to be given priority

CDEM Groups should assess the current risk management treatments for all high priority risks and where CDEM is responsible or can support risk management, develop work programmes that strategically address these priorities:

Considerations for CDEM when developing work programmes should include risks that:

- have the potential to cause a significant number of deaths or injuries
- have the potential to cause severe economic losses, substantial damage to buildings, infrastructure, or lifeline utilities
- are readily manageable and are of most concern to local communities
- can be readily addressed by improving coordination and cooperation between emergency management agencies, and
- have a high likelihood and/or high consequence rating.

Hazard risks that are not the highest priority should also be considered by CDEM for planning purposes. An all-hazards approach to managing the vulnerability to hazards or the impacts of hazards may provide benefits across more than one hazard risk.

Appendix D Management and governance roles and responsibilities

The CDEM Group Plan is the primary document for establishing the management and governance arrangements of the CDEM Group. It should clearly and unambiguously outline roles, responsibilities, and accountabilities. It should also state the expectations of each management structure and individual representatives. It should set the ‘rules’ that will foster good organisational culture, for coordination, cooperation , and collaboration, and generally lay the foundation that will facilitate achievement of objectives and progress towards outcomes.

This Appendix outlines some suggested principles, roles and responsibilities that should underlie CDEM Group management and governance.

D.1 CDEM Group Joint Committee

The Plan should describe the membership, functions, and collective and individual roles and responsibilities of Joint Committee members.

The Joint Committee (or unitary authority meeting as a committee of council) should:

- be comprised of Mayors, or delegates (or Mayor and Councillors for a unitary authority),
- have a regional focus,
- practice governance and exhibit leadership in CDEM,
- understand it owns the CDEM Group Plan, and is ultimately accountable for the delivery of the outcomes of the CDEM Group Plan on behalf of communities,
- actively instruct the Coordinating Executive Group,
- meet regularly, preferably no less than 4 times a year,
- have an agenda that encompasses the 4Rs,
- seek to understand CDEM-related issues, and act as a champion for them
- ensure its members report activity back to their individual councils (and that their elected representative colleagues are kept up-to-date on issues), and
- ensure its members are prepared to undertake a community leadership role in an emergency.

D.2 Coordinating Executive Group

The Plan should describe the membership, functions, and collective and individual roles and responsibilities of Coordinating Executive Group members.

The Coordinating Executive Group should:

- be comprised of Chief Executives of all member authorities (or delegate who has the mandate to act),
- have senior representation from key partner agencies or organisations, including district health boards, New Zealand Police, Fire and Emergency New Zealand, Ambulance service and advisory groups (such as the Welfare Coordination Group or Lifelines Advisory Group),
- have a regional focus,
- give strategic advice to the Joint Committee,
- understand it is responsible for the effective resourcing and implementation of the Plan,
- understand it is responsible for the management of the CDEM Group budget,
- ensure accountability for Group and local CDEM delivery, and actively monitor progress on the Plan goals and objectives,
- have a clear service level agreement with the regional council for Group Emergency Management Office services, and separately for administering authority services,
- participate in the recruitment process for Group Emergency Management Office staff,
- direct the Group Emergency Management Office work programme, and have a managerial relationship with that Office,
- review Group Emergency Management Office performance on an annual basis in conjunction with the regional council,
- articulate expectations for local work programmes,
- meet regularly, preferably no less than 4 times a year,
- have an agenda that encompasses the 4Rs,
- seek to understand CDEM-related issues, and advocate for them (inside and outside of their organisations),
- ensure its members report activity back to their individual councils/organisations, and that Coordinating Executive Group minutes are provided to Council and to CDEM staff, and
- if a Chief Executive does not attend Coordinating Executive Group, ensure that individual is still engaged in CDEM to the fullest possible extent, as his/her individual, organisational, and regional responsibilities to CDEM still stand.

D.3 Administering authority

The administering authority is a support mechanism that provides administrative or related services to the CDEM Group, if required. The administering authority is generally the constituent regional council of the CDEM Group.

A CDEM Group Plan should describe the functions and scope of the administering authority.

The administering authority should:

- provide administration services, not governance, nor direct the work of the Group Emergency Management Office,
- understand its role (along with other local authority partners) in the shared arrangements for contributing funding and technical expertise for the Group Emergency Management Office, and
- have a clear service level agreement with the Coordinating Executive Group outlining the services that will be provided, which may include:
 - managing CDEM Group finances,
 - providing facilities for the Group Emergency Management Office,
 - contracting and administering Group Emergency Management Office staff on behalf of the CDEM Group,
 - providing routine administrative support such as convening meetings
 - providing secretarial support to CDEM Group functions such as project administration,
 - convening forums, working parties and meetings,
 - facilitating audit functions,
 - entering contractual arrangements on behalf of the CDEM Group, and
 - providing staff for the functioning of the Group Emergency Coordination Centre, when needed.

D.4 Group Emergency Management Office

The Plan should include a description of the functions, roles and responsibilities of the Group Emergency Management Office, and what is expected from a Group work programme.

The Group Emergency Management Office should:

- have a distinct autonomous identity (i.e. separate from the administering authority or regional council),
- report to the Coordinating Executive Group, including a direct report relationship with the Chair of the Coordinating Executive Group,
- have a Group work programme (as below),
- have effective project planning and budgeting processes,
- coordinate CDEM Group programmes and activities,
- support capability and capacity building across the region and within agencies,

- coordinate emergency responses at a regional level (as an Emergency Coordination Centre), and
- be a point of contact for, and represent the CDEM Group on national bodies and projects.

The CDEM Group work programme should:

- derive from the goals and objectives of the Plan, and demonstrate how the outcomes sought in the Plan will be achieved,
- be developed with input from all CDEM partners and key positions, with the particular involvement of local Emergency Management Officers,
- be analysed for resource implications to ensure the feasibility of the programme,
- be monitored by the Coordinating Executive Group, in terms of progress on projects, and towards achievement of goals and objectives, and
- outline opportunities for collaboration and cooperation between local authorities working on similar projects.

D.5 Local authority shared service arrangements for CDEM

The Plan should include a description of any relevant shared service arrangements for CDEM, and what the expected management principles are in respect of the shared CDEM activity.

Local authority shared service arrangements for CDEM should:

- have a comprehensive service level agreement documented between all affected parties that:
 - outlines clear principles about how the shared arrangements will function,
 - provides a detailed breakdown of the services – across the 4Rs – that will be undertaken by each party,
 - specifically details what will happen – who will do what, when, and where – in response to emergencies,
 - outlines management and governance arrangements,
 - outlines financial agreements and arrangements,
 - shows how the arrangement will be monitored for performance and periodically reviewed for effectiveness, and
 - sets a date for the review of the service level agreement.
- exhibit shared management and governance, for example:
 - respective CEG representatives meet regularly to discuss work programme, performance, and progress,
 - respective controllers work with Emergency Management Officers on readiness and response activities, and
 - respective recovery managers meet about recovery planning and management.

- not mean any party to the agreement gives up their accountabilities under the *CDEM Act 2002*, and
- ensure the agreement is focused around *shared arrangements* and does not become a purely *transactional service agreement*.

D.6 Delegated authorities, functions, and powers

There are statutorily defined roles providing authorities to act that require assigning to identified persons or positions within the CDEM Group management structure.

These roles include those elected representatives of councils that are given authority to declare a state of emergency or give notice of a local transition period within their district or the Group area.

Other roles that should be assigned are:

- CDEM Group and Local Controllers
- CDEM Group and Local Recovery Managers
- CDEM Group and local Welfare Managers,
- CDEM Group and local Public Information Managers,
- Lifeline Utility Coordinator(s), and
- Any others, as deemed necessary by the CDEM Group.

Also consider defining the role and responsibilities of the GEMO Manager. Note that while this is not a statutory position, the role of GEMO Manager is central to CDEM Group management.

Some functions and powers to act on behalf of a CDEM Group or a statutory role can be delegated to other persons. Formal understanding about who, when and how this may happen can be recorded in the Plan and supporting documents.

D.7 Cooperation and support arrangements

CDEM Group Plans need to state how and when the CDEM Group intends to:

- collaborate with other CDEM Groups during reduction and readiness, and
- share resources with or request resources from other CDEM Groups during response and recovery.

This collaboration and sharing is particularly important where:

- the CDEM Group shares a common hazard with neighbouring CDEM Groups
- an emergency response within outlying parts of the Group's area is likely to be more easily managed with support of a neighbouring Group's emergency structures, and
- response to a significant and prolonged emergency will require external resources coordinated through the *National CDEM Plan* and National Crisis Management Centre.

The Plan needs to describe how the CDEM Group will collaborate during reduction and readiness. This will include all actions or activities related to planning, testing, and monitoring and evaluation, including:

- regular consultation,
- sharing plans and procedures,
- collaborative hazard or risk identification and analysis,
- collaborative training or professional development programmes, and
- informing other CDEM Groups of scheduled exercises, and encouraging participation in or observation of exercises.

The resources that one CDEM Group can provide another will depend on circumstances, particularly during response or recovery. Similarly the resources that other Groups' can offer without compromising their readiness and response needs, may also vary.

The Plan needs to describe:

- known gaps in its capability and how it may seek support to overcome them, and
- how requests for assistance from other CDEM Groups, while maintaining its readiness capability, will be managed.

Resourcing needs to consider:

- personnel:
 - people trained in ECC/EOC operations
 - evacuation, welfare, volunteer, or lifeline utility coordination personnel
 - response teams
 - media liaison officers and public information managers, and
 - technical specialists,
- facilities, and
- equipment, materials, and supplies.

While developing these arrangements the benefits of building relationships and giving key personnel relevant emergency experience should also be factored in.

D.8 Financial arrangements

There is a wide variation in how CDEM Groups are funded, reflecting the stipulation in the *CDEM Act 2002* that CDEM Group funding be decided by local arrangements and agreement.

The Plan needs to include an outline of the CDEM Group's agreed funding arrangements and financial processes.

Principles around CDEM Group funding are that:

- the Joint Committee and Coordinating Executive Group have management and governance responsibility and direction for the CDEM Group budget – however collected,
- funding should be aligned to the outcomes required for delivery of the CDEM Group Plan,
- the funding model should be agreed and understood by all Group participants,
- the funding model should be equitable for CDEM Group partners and ratepayers,
- management of the CDEM Group budget is transparent, and there is collective oversight of budgeting, expenditure and outcome delivery across the CDEM Group, and
- there is financial reporting that demonstrates ‘value for money’.

The Plan also needs to state the arrangements for funding response and recovery. It should be clearly outlined how:

- the funding structure may incorporate the cost of response and recovery
- expenditure will be reported during response and recovery, and
- funding structures will transition from response to recovery in business as usual.

A CDEM Group is expected to operate a funding model that can account for and absorb the initial cost of local emergencies. Government assistance may be available for large-scale emergencies. During the review of a CDEM Group Plan, CDEM Groups are encouraged to assess their financial capability to respond to and recover from emergencies.

Financial delegations against roles such as controllers should be stated in the CDEM Group Plan and recorded in the appropriate local authority delegations register. The financial delegation should be commensurate with the role and anticipated operational need.

Appendix E Checklist of suggested content of a CDEM Group Plan

Content	✓
Executive summary	
Introduction	
<ul style="list-style-type: none"> • The purpose of the CDEM Group Plan • The vision and goals of the CDEM Group • A description of the geographical area the Plan covers • A definition of the target audience (who the Plan is for) • A description of the Plan structure and how to use it • An explanation of the relationship of the CDEM Group Plan to <i>the National CDEM Strategy and National CDEM Plan and Guide</i> • A description of the processes used in developing the Plan 	
Risk understanding context	
<ul style="list-style-type: none"> • A comprehensive summary of the natural, social, built, and economic environments of the CDEM Group area • Descriptions of hazards that could impact upon the CDEM Group and characterisation of their likelihood and consequences • A qualitative assessment of the risks in the CDEM Group area, through risk analysis and evaluation • An evaluation of the current and potential decisions and actions across the 4Rs in relation to the CDEM Group's prioritised risks 	
Risk reduction	
<ul style="list-style-type: none"> • A clear and concise statement of principles or criteria for risk reduction within the CDEM Group • A description of how risk reduction is managed and how reduction challenges are addressed within the CDEM Group • A statement of the outcomes sought from CDEM Group reduction activities and descriptions of specific, measurable and achievable risk reduction objectives • Descriptions of specific policies, methods and/or tools for delivery of the desired outcomes • A clear statement of the expectations the CDEM Group has of its individual members and partners in respect of risk reduction activities. 	
Readiness	
<ul style="list-style-type: none"> • A description of the current levels of both organisational and community readiness • A description of the readiness issues that have been identified • Readiness objectives for both community and organisational readiness that relate to the maintenance or enhancement of capability across the CDEM Group • A description of any existing arrangements (tools, processes or plans) that the CDEM Group has for giving effect to the planning and delivery of readiness activities • An outline of any additional arrangements, methods or resources required to achieve readiness objectives • A clear statement of the expectations the CDEM Group has of its individual members and partners in respect of readiness levels and activities. 	

Content	✓
Response	
<ul style="list-style-type: none"> • A clear and concise statement of principles or criteria for response within the CDEM Group • A description of the response issues that have been identified • Objectives for response developed from the issues identified that seek to develop or enhance current arrangements across the CDEM Group • A description of any existing arrangements (tools, policy, processes or plans) that the CDEM Group has for giving effect to the delivery of response activities • An outline of any additional arrangements, methods or resources required to achieve readiness objectives and outline of the relationships the CDEM Group has with national support agencies and other CDEM Groups during emergencies • An outline of the process for the transition from response to recovery, and • A clear statement of the expectations the CDEM Group has of its individual members and partners in respect of response capacity, capability, and arrangements. 	
Recovery	
<ul style="list-style-type: none"> • Clear and concise objectives for recovery within the CDEM Group • Reference to the CDEM Group Recovery Plan • A description of current arrangements and structures in place • Stated objectives relating to the maintenance and enhancement of recovery across the CDEM Group, including planning, training and education • A description of methods and resources required to help in the recovery objectives • Clearly stated reporting requirements of the Recovery Manager • A description of the process for the CDEM Group to provide Recovery reports • Clearly stated financial arrangements for recovery at both CDEM Group and local authority level • An outline of the recovery exit strategy • A clear statement of the expectations the CDEM Group has of its individual members and partners in respect of recovery activities. 	
Monitoring and evaluation	
<ul style="list-style-type: none"> • A clear and concise statement of principles or criteria for monitoring and evaluation within the CDEM Group • A description of the monitoring and evaluation issues that have been identified • A description of the objectives the CDEM Group has in respect of monitoring and evaluation • A description of the process for monitoring and evaluation of the CDEM Group and CDEM Group activities (in terms of monitoring and evaluating capability and performance, and measuring progress) • A description of the process to ensure that the CDEM Group is complying with all relevant legislation • A description of the process for reviewing the CDEM Group Plan, and a clear statement of the expectations the CDEM Group has of its individual members and partners in respect of monitoring and evaluation activities. 	
Management and governance	
<ul style="list-style-type: none"> • A clear statement of the general principles and objectives for management and governance within the CDEM Group, including any expected management and governance behaviours 	

Content	✓
<ul style="list-style-type: none"> • Identification of the members of the CDEM Group Joint Committee (or committee of council for a unitary authority), and a description of their role, responsibilities and any established arrangements • Identification of the members of the Coordinating Executive Group (CEG), and a description of their role, responsibilities and any established arrangements • A clear description of the administrating authority's functions and arrangements • A description of the functions, roles and responsibilities of the Group Emergency Management Office • A description of any relevant shared service arrangements for CDEM and the expected management principles in respect of the shared CDEM activity • A statement of the delegated authorities, functions and powers, including any key appointments, persons authorised to declare, Group Controller, Local Controllers, Recovery Manager and Welfare Manager • A description of the cooperative arrangements with other CDEM Groups • A description of the financial arrangements for the CDEM Group and its members • A reference to the work programme for the CDEM Group and its linkages to the work programmes of members and partner organisations. 	
Summary of proposed actions	
<ul style="list-style-type: none"> • A summary of all the proposed actions in the Plan, that <ul style="list-style-type: none"> ○ will be taken forward into a CDEM Group work programme, and/or ○ that member authorities and partners should action in their respective organisations. 	

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