ATTACHMENTS

UNDER SEPARATE COVER

Emergency Management Committee Meeting

9 September 2019

Table of Contents

Recovery Preparedness and Management

Director's Guideline for Civil Defence Emergency Management Groups [DGL xx/19]

Draft for Consultation

Resilient New Zealand
Aotearoa Manahau

New Zealand Government

Recovery Preparedness and Management
Director's Guideline for Civil Defence Emergency Management Groups [DGL xx/19]

Authority
This guideline has been issued by the Director Civil Defence & Emergency Management pursuant to s9(3) of the Civil Defence Emergency Management (CDEM) Act 2002. It provides assistance to CDEM Groups in preparing for and managing recovery.

Cover images

DRAFT ONLY, IN CONFIDENCE

Foreword

[inserted prior to publication]

DRAFT ONLY, IN CONFIDENCE

Contents

DRAFT ONLY, IN CONFIDENCE

DRAFT ONLY, IN CONFIDENCE

[Intentionally blank]

DRAFT ONLY, IN CONFIDENCE

Section 1 Introduction

This section provides an introduction to this guideline and clarification of some of the key terms.

1.1 About this guideline

Purpose

The **purpose** of this document is to provide contextual information and practical guidance on preparing for and managing recovery. The document provides information that Recovery Managers, Civil Defence Emergency Management (CDEM) Groups and local authorities need to understand about recovery, and outlines arrangements to have in place, before and after an emergency.

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

Desired outcome

This guidance will **help you**:

- understand the types of consequences for communities that need to be managed following emergencies
- understand the roles and responsibilities in relation to recovery under the *CDEM Act 2002* and *National Civil Defence Emergency Management Plan 2015 (National CDEM Plan 2015)*
- identify and build the necessary capacity and capability needed to plan for and manage recovery activities, and
- develop and implement the necessary recovery processes, procedures and arrangements both before and after an emergency.

Intended audience

The **intended audience** of this document is Recovery Managers, CDEM Groups and local authorities.

This document may also be informative for others involved in preparing for and managing recovery, such as non-government organisations, the private sector and central government agencies.

Structure

This guideline is split into three Parts to help readers navigate the document, especially following an emergency.

- Part A: About Recovery
  This Part provides the context of recovery in New Zealand, including the criticality of the community, legislative framework and roles and responsibilities. It outlines what Recovery Managers need to know and consider before an emergency. The context in this Part is also crucial to strategic planning for recovery.

- Part B: Preparing for Recovery
  This Part provides guidance on how CDEM Groups and local authorities need to prepare for recovery.

DRAFT ONLY, IN CONFIDENCE

- Part C: Managing Recovery
This Part provides guidance on how to support communities recovery following an emergency by managing recovery activities.

Under each Part, the document has the following main sections.

- Section 1 *Introduction* — an introduction to this guideline, clarification for some of the key terms used and a brief overview of CDEM intended for people who have not been involved in CDEM before.

Part A: About Recovery

- Section 2 *Defining Recovery* — the definition and context for recovery in New Zealand, including why we need to prepare for recovery and the characteristics of recovery.

- Section 3 *Communities and Recovery*— an overview of how and why communities lie at the centre of recovery, including community involvement in recovery, how communities are impacted and the importance of engaging and communicating with them.

- Section 4 *Legislative Provisions* — an overview of the framework for recovery in New Zealand including relevant legislative provisions.

- *Section 5 Recovery framework* — an overview of the recovery framework in New Zealand including strategic and operational responsibilities at the local, CDEM Group and national level to manage, coordinate and deliver the recovery activities needed to support the community.

- Section 6 *Roles, responsibilities and functions* — a description of the responsibilities and functions of different roles in relation to managing a recovery, both pre-emergency and during recovery.

- Section 7 *Recovery* — a description of recovery environments and their intent, as well as more detailed information and examples of consequences in the recovery environments.

Part B: Preparing for Recovery

- Section 8 *Preparing for Recovery* — a description of the factors CDEM Groups and local authorities need to consider when preparing for recovery before an emergency.

Part C: Managing Recovery

- Section 9 *Starting recovery after an emergency* — a description of the initial actions that a Recovery Manager needs to take following an emergency.

- Section 10 *Moving from response to recovery* — an outline of how a transition from response to recovery following an emergency needs to be planned and managed.

- Section 11 *Managing Recovery* — an outline of considerations and activities that need to be taken when managing and supporting a recovery following an emergency.

- Section 12 *Winding down recovery arrangements* — an outline of how recovery arrangements need to be wound down once recovery

activities no longer require arrangements to oversee and support activity.

Use of icons	The following icons are used in this guideline.

	Indicates a template is available in another document or website		Indicates more information is available in another document or website

Use of coloured boxes	A blue box indicates a quote, key fact or content.	An orange box indicates an example or case study from a recovery.

1.2 Key terms

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

All terms used in this guideline have the same meaning as defined in the *CDEM Act 2002*, unless otherwise stated below. Refer to the *CDEM Act 2002* and *The Guide to the National CDEM Plan 2015* for other definitions and terms including business continuity, capability, capacity, CDEM Group plan, CDEM sector, emergency services, Group area, hazard, hazardscape and lifeline utility.

Asset

Asset refers to an element of a community or environment that may be affected by an emergency. Assets include:

- buildings and properties (residential, community or commercial)
- infrastructure (roads, rail, bridges, sea ports and airports), and
- other lifeline utilities (power, fuel, water, telecommunications, and sewerage and wastewater).

Agencies

Agencies are government agencies (including public service departments, non-public service departments, Crown entities and Offices of Parliament), non-governmental organisations, local government bodies, emergency services and lifeline utilities.

CDC

A **Civil Defence Centre (CDC)** is a facility that is established and managed by CDEM during an emergency to support individuals, families/whānau and the community. CDCs are open to members of the public and may be used for any purpose including public information, evacuation, welfare or recovery, depending on the needs of the community.

CDCs are operated by CDEM-led teams (including CDEM-trained volunteers) or by other agencies as defined in CDEM Group Plans or local level arrangements.

CEG

The **Coordinating Executive Group (CEG)** is part of a CDEM Group's structure. It is made up of chief executives (or their delegates) of the local authorities, representatives of emergency services, and others.

| CIMS | The **Coordinated Incident Management System (CIMS)** is the primary reference for incident management in New Zealand. The purpose of CIMS is to achieve effective coordinated incident management across responding agencies for all emergencies regardless of size, hazard or complexity. |

Coordinated Incident Management System 3rd edition

| Civil Defence Emergency Management | **Civil defence emergency management** means the activities that guard against, prevent, overcome or recover from any hazard, harm or loss that may be associated with an emergency[1]. Refer to the *CDEM Act 2002, s4* for a comprehensive definition. |

| Civil Defence Emergency Management Group or CDEM Group | **Civil Defence Emergency Management Group** means a Group established under section 12 or established or re-established under section 22 of the *CDEM Act 2002, s4.* |

CDEM Groups are required under the *CDEM Act 2002* and are made up of elected representatives of member authorities, such as mayors, chairpersons or their delegates. Every local authority is required to be a member of a CDEM Group. This Group is also known as the Joint Committee and are accountable for CDEM in their area, including:

- identifying and managing hazards and risks
- providing the organisational structure and resources necessary (including suitably trained personnel) for the effective delivery of CDEM
- undertaking CDEM readiness activities, including raising public awareness about CDEM and preparing a CDEM Group Plan
- coordinating or undertaking CDEM response and recovery activities; and
- providing support and assistance to other CDEM Groups, if required.

| Community | **Community** means a group of people who: |

- live in a particular area of place (geographic or place-based communities)
- are similar in some way (relational or population-based communities), or
- have friendships or a sense of having something in common (community of interest).

People can belong to more than one community and communities can be any size. Communities can also be virtual.

National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā

---

[1] CIMS 3rd Edition

Controller	A **Controller** is the person in charge of a response element who directs response activities and fulfils management functions and responsibilities. They are the person exercising control.
	Coordinated Incident Management System 3rd edition

Coordinated Incident Management System 3rd edition

Coordination Centre

A **Coordination Centre** is the location from which a Controller and Incident Management Team (IMT) manages a response. There are four types of coordination centre.

- Incident Control Points (ICPs) operate at an incident level.

- Emergency Operations Centres (EOCs) operate at a local level.

- Emergency Coordination Centres (ECCs) operate at a CDEM Group or regional level and coordinate and support one or more activated EOCs.

- National Coordination Centres (NCCs) operate at the national level.

Emergency

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.

Civil Defence Emergency Management Act 2002, s4

Engagement

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

Evaluation

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

Geospatial

Geospatial is a collective term for data and technology with a spatial component (geographic or locational). Geospatial technology refers to all of the technology used to acquire, manipulate and store geographic information. These are a subset of technologies used for information management.

Geospatial enhances data management and analysis capability and this is where the value lies for emergency management, particularly in larger emergencies handling diverse forms and large volumes of data. Geospatial products include tables, graphs, infographics, paper maps and web maps.

GIS is one form of geospatial technology and GIS data is a type of geospatial data. Geospatial data can originate from other sources such as GPS data and satellite imagery.

Incident Management Team (IMT)	An **Incident Management Team** (IMT) is the group of incident management personnel that supports the Controller. It includes the Controller and the managers of Planning, Intelligence, Operations, Logistics, Public Information Management (PIM) and Welfare. It could also include a Response Manager, a Recovery Manager, Risk and Legal Advisors, and Technical and Science Advisors. *Coordinated Incident Management System 3rd edition*
Incident	An **incident** is an event that needs a response from one or more agencies. It may or may not be an emergency. *Coordinated Incident Management System 3rd edition*
Information management	**Information management** encompasses policy, processes, practices and technology underpinning the creation and use of information.
Joint committee	Refer to Civil Defence Emergency Management Group or CDEM Group
Lifeline utilities	**Lifeline utility** means an entity named or described in Part A, or that carries on a business described in Part B, of Schedule 1 of the *Civil Defence Emergency Management Act 2002*. They are entities that provide essential infrastructure services to the community such as water, wastewater, transport, energy or telecommunications.
Local authority	**Local authority** means a territorial authority, a regional council or a unitary authority.
MCDEM	**Ministry of Civil Defence & Emergency Management (MCDEM)** is the central government agency responsible for providing leadership, strategic guidance, national coordination, and the facilitation and promotion of various key activities across the 4Rs. It is the lead agency at a national level responsible for coordinating the management of emergencies listed in Appendix 1 of the *National CDEM Plan 2015*. MCDEM may act as a support agency by coordinating the CDEM response to any incident managed by another lead agency.
Recovery activities	**Recovery activity** means an activity carried out under the *Civil Defence Emergency Management Act 2002* or any civil defence emergency management plan to deal with the consequences of an emergency, including, without limitation,— (a) the assessment and ongoing monitoring of the needs of a community affected by the emergency; and (b) the co-ordination and integration of planning, decisions, actions, and resources; and (c) measures to support—

DRAFT ONLY, IN CONFIDENCE

> (i) the regeneration, restoration, and enhancement of communities across the 4 environments (built, natural, social, and economic);and
>
> (ii) the cultural and physical well-being of individuals and their communities; and
>
> (iii) government and non-government organisations and entities working together; and
>
> (d) measures to enable community participation in recovery planning; and
>
> (e) new measures—
>
> (i) to reduce risks from hazards; and
>
> (ii) to build resilience

Civil Defence Emergency Management Act 2002, s4

Recovery Manager

Recovery Manager means the National Recovery Manager, a Group Recovery Manager or a Local Recovery Manager, and includes any person acting under the authority of the National Recovery Manager, a Group Recovery Manager or a Local Recovery Manager

Civil Defence Emergency Management Act 2002, s4

Resilience

Resilience means the ability to anticipate and resist the effects of a disruptive event, minimise adverse impacts, respond effectively post-event, maintain or recover functionality, and adapt in a way that allows for learning and thriving.

National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā

Situational awareness

Situational awareness is the understanding and appreciation of the complexities of an incident, including an understanding of the environment, the situation, likely developments and implications[2]. Shared situational awareness is achieved when the right level of intelligence is shared by and between all involved in an emergency to enable informed decision-making and consolidated planning.

Territorial authority

A **territorial authority (TA)** is a city or district council or unitary authority that provides public services and regulates land use, buildings, public nuisances and environmental health.

4Rs

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

Reduction means identifying and analysing long-term risks to human life and property from natural or non-natural hazards, taking steps to eliminate these risks if practicable, and, if not, reducing the magnitude of their impact and the likelihood of their occurring.

---

[2] CIMS 3rd Edition

DRAFT ONLY, IN CONFIDENCE

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

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

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

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

Welfare services   **Welfare services** support individuals, families/whānau and communities in being ready for, responding to and recovering from emergencies. It includes welfare service sub-functions such as needs assessment, care and protection services for children and young people, psychosocial support, household goods and services, shelter and accommodation, financial assistance and animal welfare.

1.3 About CDEM

Understanding CDEM, its business as usual and response concepts, structures and arrangements is important to effectively and efficiently work in recovery.

Refer to the *Guide to the National CDEM Plan 2015*, *Response Management Director's Guideline [DGL06/08]* and *Coordinated Incident Management System 3rd edition* available at www.civildefence.govt.nz for more information.

Key CDEM documents relevant to recovery

CDEM Act 2002   The *Civil Defence Emergency Management Act 2002* (*CDEM Act 2002*) provides the legislative framework for CDEM in New Zealand across the 4Rs. It describes the functions and responsibilities of the Director CDEM, as well as those of government departments, local authorities, emergency services and lifeline utilities.

The *CDEM Act 2002* sets the requirements for CDEM Groups and defines their statutory functions, duties and responsibilities. It also provides for local authority elected representatives, mayors or the Minister of Civil Defence to declare a state of local emergency or a local transition period (the Minister may also declare a state of national emergency or national transition period) and defines the powers that Controllers may exercise during a state of emergency and Recovery Managers may exercise during a transition period.

DRAFT ONLY, IN CONFIDENCE

The *CDEM Act 2002* requires there to be a National CDEM Strategy and a National CDEM Plan and enables the Director CDEM to issue Director's Guidelines.

National Disaster Resilience Strategy

The *National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā* outlines the vision and long-term goals for civil defence emergency management in New Zealand and the objectives to be pursued to meet those goals. It sets out what is expected in respect of a resilient New Zealand and should be achieved over the next 10 years.

National CDEM Plan

The *National CDEM Plan Order 2015* is a regulation that sets out the roles and responsibilities of all agencies involved in reducing risks from hazards, and preparing for, responding to and recovering from emergencies.

The Guide to the National CDEM Plan

The *Guide to the National CDEM Plan* explains and supports the *National CDEM Plan Order 2015* with further detail, diagrams and operational information.

Director's Guidelines

Director's Guidelines are documents developed by MCDEM to provide guidance to CDEM Groups and other agencies regarding CDEM. They are issued by the Director CDEM under the *CDEM Act 2002*. Section 53(2) of the *CDEM Act 2002* requires a CDEM Group Plan to take account of Director's Guidelines.

CDEM Group Plan

Each CDEM Group is required under the *CDEM Act 2002* to have a CDEM Group Plan, which is regularly reviewed.

The CDEM Group Plan sets the strategic direction for the CDEM Group. It describes and prioritises the hazards and risks particular to the CDEM Group's area and provides objectives and a framework for activities across the 4Rs.

CIMS 3rd Edition

Coordinated Incident Management System (CIMS) 3rd Edition[3] is the primary reference for coordinated incident management across responding agencies for all emergencies regardless of the size, hazard or complexity.

Although it is not a solely CDEM document, it contains important detail on how CDEM responses are structured and coordinated, including recovery activities during a response phase.

---

[3] CIMS 3rd Edition is available on the MCDEM website
https://www.civildefence.govt.nz/resources/coordinated-incident-management-system-cims-third-edition

DRAFT ONLY, IN CONFIDENCE

[Intentionally blank]

10 Recovery Management Director's Guideline [DGL 04/16] 4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

PART A: About Recovery

DRAFT ONLY, IN CONFIDENCE

Part A of the Recovery Preparedness and Management Director's Guideline provides the context of recovery in New Zealand, including the criticality of the community, legislative framework, and roles and responsibilities. It outlines what Recovery Managers and those involved in recovery need to know and consider before an emergency. It also explains how recovery management and planning links to strategic planning for recovery.

The purpose of Part A is to provide foundational information on recovery in New Zealand.

It is recommended that this Part is read in conjunction with Parts B and C of the Recovery Preparedness and Management Director's Guideline, which provide guidance on how to prepare for recovery and managing recovery.

DRAFT ONLY, IN CONFIDENCE

Section 2 Defining Recovery

This section outlines the definition and context for recovery in New Zealand and the characteristics of recovery.

2.1 What is Recovery?

Recovery means the coordinated efforts and processes used to bring about the immediate, medium- and long-term holistic regeneration and enhancement of a community following an emergency (*CDEM Act 2002*).

The recovery process concerns the rebuilding of people's lives, more so than simply building back infrastructure. It involves restoring people's emotional, social, economic and physical wellbeing.

In practice, recovery from emergencies is comprehensive, participatory and inclusive of all peoples and organisations, having had discussions about priorities, processes and desired outcomes before emergencies happen. It brings together the collective efforts of communities; local, regional and central government; lifeline utilities; health providers; the private sector; and many others to enable, empower and support the affected individuals and communities.

Recovery involves many interdependent and concurrent activities that need to be managed and coordinated to[4]:

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

- minimise the escalation of the consequences of emergencies

- reduce future exposure to hazards and their associate risks — i.e. build resilience; and

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

Figure 1 depicts how recovery activities in different timeframes are interconnected and overlap from pre-emergency readiness activities through to long-term recovery activities and community development. The recovery journey may also be interrupted by additional shocks that reset where a community is on the continuum, e.g. aftershocks.

---

[4] *National CDEM Plan 2015,* section 153

4148230_4.docx   Recovery Management Director's Guideline [DGL 04/16] **13**

DRAFT ONLY, IN CONFIDENCE
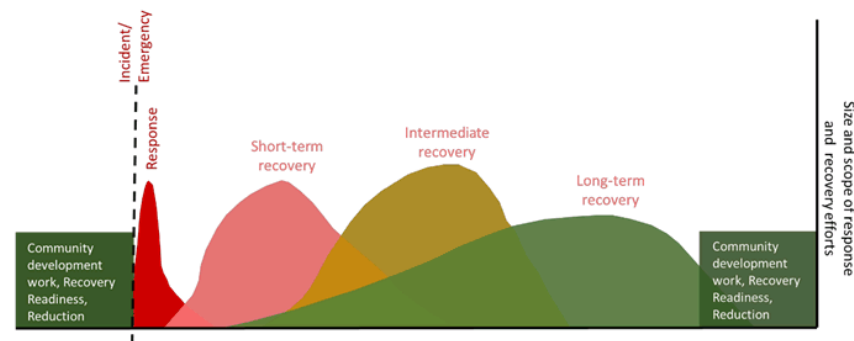
Figure 1[5]: The Recovery Continuum

Community at the centre

Communities lie at the centre of recovery. Every recovery vision, outcome, relationship and activity should have the health and well-being, safety and security, and prosperity of communities at the core of its purpose.

Communities are groups of people who:

- live in a particular area of place (geographic or place-based communities),
- are similar in some way (relational or population-based communities), or
- have friendships or a sense of having something in common (community of interest)[6].

People can belong to more than one community and communities can be any size. Communities can also be virtual.

Communities and individuals affected by an emergency will not be left unchanged by the experience. The very fabric of society and the relationships within these communities can be significantly impacted, including the foundations that support a community to function and thrive.

These foundations can be grouped into four key environments.

- Social networks and interactions (the **social** environment).
- Built assets (the **built** environment).
- Economic activity (the **economic** environment).
- The **natural** environment.

The combination of and interaction between these four environments underpin community sustainability.

_____

[5] Adapted from Federal Emergency Management Agency 2016. *National Disaster Recovery Framework Second Edition.*
[6] National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā

14 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE
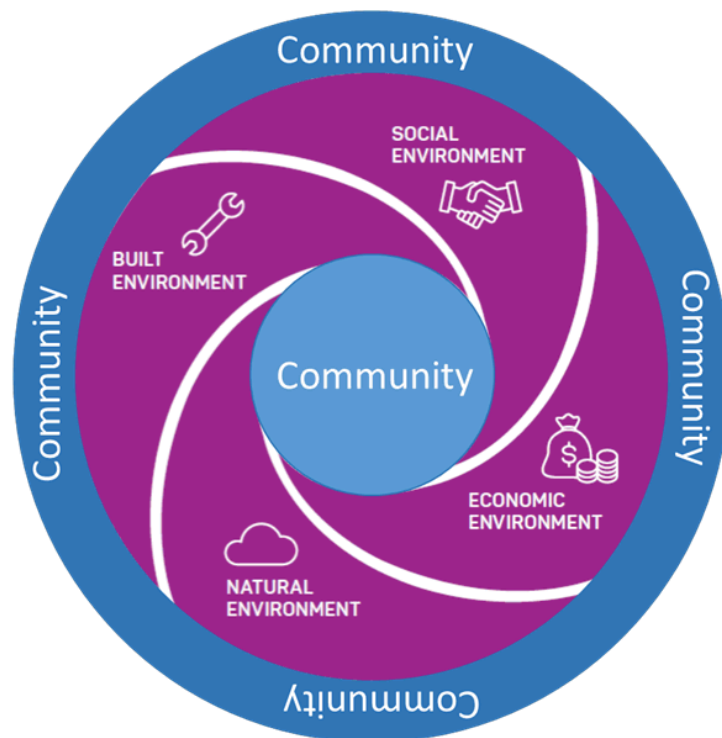
Figure 2: The foundations that interact and connect to support a community to function and thrive

Regardless of the scale of a recovery, successful recovery for a community is best achieved when the affected community is empowered and supported to exercise a high degree of involvement in setting priorities and a vision for recovery and leading community-led initiatives.

Māori and recovery[7]

Any comprehensive framework for recovery in New Zealand needs to consider both the resilience of Māori and Māori concepts of resilience. This reflects the status of Māori as the indigenous population of New Zealand and the principles of the Treaty of Waitangi.

When an emergency occurs, the responsibility of caring for others and Te Ao Tūroa (the natural world) falls to whānau, hapū and iwi with historical ties to the areas impacted by the emergency. Whakapapa creates a kinship-based form of capital understood by Māori as whanaungatanga (close relationships) that may be drawn on to aid whānau, hapū and wider communities during times of adversity. Whānau, hapū and iwi respond quickly and collectively to provide support and to address the immediate needs of their communities as well as to institute practices that will aid the recovery.

---

[7] Excerpt from National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā

Māori/iwi capability for recovery includes strong local networks, an understanding of local geography and sites of significance, an ability to identify specific needs and connect with resources, and capacity to offer physical resources such as marae where this is appropriate.

This process is considered whakaoranga[8] — the rescue, recovery and restoration of sustainable wellbeing — and may be applied to whānau, hapū and iwi tribal homelands as well as all communities and parts of New Zealand impacted by emergencies. The whakaoranga process is underpinned by kaupapa Māori (cultural values), informed by mātauranga Māori (cultural knowledge and science) and carried out as tikanga Māori (cultural practices).

Māori facilitated the effective response and significant community support in the aftermath of the 2010–2011 Canterbury earthquake sequence, the November 2016 earthquake and tsunami, the Whakatāne District floods, and other emergencies. Māori moral and relational attributes applied to creating community resilience promote a collaborative response to disaster recovery, commitment to environmental restoration, and the extension of hospitality to others experiencing adversity. Māori also have assets and places that support community wellbeing in the aftermath of emergencies. It is important to note that while many Māori may share a similar worldview, there is still a need to recognise different dynamics both within and between iwi, hapū and marae, and to engage with each on an individual basis. There is also a need to recognise that different iwi, hapū and marae have different resource constraints and asset bases and their ability to respond is dependent on this; not all iwi, hapū and marae will have the same resilience or capacity to respond.

Strong trust-based relationships need to be in place with Māori pre-emergency[9] and Māori need to be part of the recovery, through all environments and phases of recovery.

When engaging with Māori, the CDEM sector should be realistic about expectations, being cognisant of capacity constraints, while still ensuring Māori are given full opportunity to participate.

More information	Refer to the *National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā* for further information on resilience and Te Ao Māori and the national priorities and objectives to improve the effective response to and recovery from emergencies, which is available on the MCDEM website www.civildefence.govt.nz.
Need for coordination	Recovery involves many people, organisations and communities, both those that are affected and those that support affected communities to recover. Given the range of people and interdependent and concurrent activities occurring, it is crucial that everyone works together to effectively meet the needs of the affected community.

---

[8] Acknowledgement: The concept and application of the term whakaoranga to disaster resilience were developed in the National Science Challenge Resilience to Nature's Challenges' research project: Whakaoranga marae, led by Dr Christine Kenney.

[9] Work is ongoing to provide guidance and expectations around how this can occur. Prior to publication, as this work evolves, this section may be updated to reflect it work.

16 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Accepting complexity and change	Recovery is dynamic, with high degrees of complexity, uncertainty and changeability.
	The needs of communities, political dynamics, financial constraints, level of coordination needed and competing demands placed on decision makers from diverse parts of a community will change over time and recovery activities will need to adapt in response to these changes.
	When this complexity and changing environment is understood, it can begin to be addressed by:
	• being flexible when managing and coordinating recovery activities; and
	• anticipating, monitoring and responding to change.
Immediate, medium-, and long-term	Recovery is a process that can last weeks or months, but can also often extend for years and possibly decades depending on the significance of the consequences. Because of this, recovery needs to be considered through a long-term lens (at least 50+ years) and built on continually monitoring and addressing the evolving needs of communities.
	Individuals and organisations involved in recovery need to recognise the long-term commitment that will be required and leaders need to be clear from the outset that it will be a long journey. This is to ensure adequate human and physical resources are planned for to support recovery, as well as take into account the resumption of business-as-usual services as part of medium- and long-term recovery.
Holistic regeneration and enhancement	Holistic recovery places the community at the heart of planning and decision making. It considers how each decision will achieve goals across all foundations of that community, acknowledging the connections between different aspects of recovery and the community.
	Holistic recovery also recognises that recovery extends beyond just restoring physical assets or providing welfare services. While recovery may involve restoring communities to as close to their 'as before' states as possible, it must also address changes in the community and explore opportunities for further positive change and enhancement.
Recovery objectives	The *National CDEM Plan 2015* outlines recovery objectives in New Zealand. These objectives are a set of attainable intentions that enable the immediate, medium- and long-term holistic regeneration and enhancement of a community. The objectives enable this by leveraging the opportunities that an emergency can provide to improve aspects of pre-emergency conditions and increase community resilience.

Recovery Management Director's Guideline [DGL 04/16] **17**

153 Objectives

Recovery objectives include—

(a) **minimising the escalation of the consequences** of the emergency; and
(b) **regeneration and enhancement** of—
    (i) the **social, psychological, economic, cultural, and physical wellbeing** of individuals and communities; and
    (ii) the **economic, built, and natural environments** that support that wellbeing; and
(c) taking practicable opportunities to **adapt to meet the future needs** of the community; and
(d) **reducing future exposure** to hazards and their associated risks; and

(e) supporting the **resumption of essential community functions**.

National CDEM Plan 2015

Recovery principles

The principles of recovery in New Zealand are outlined in the *National CDEM Plan 2015*. These principles are fundamental to supporting a community recover and therefore need to be integrated through all strategic planning for recovery, recovery preparedness planning and recovery management.

154 Principles

1. Recovery consists of **co-ordinated** efforts and process to effect the immediate, medium-term, and long-term holistic regeneration and enhancement of a community following an emergency and requires that agencies and CDEM Groups **work together** in establishing **shared goals, priorities, strategies, and information needs**.
2. Recovery involves the community and activities across the following 4 environments:
    (a) social
    (b) economic
    (c) natural
    (d) built.
3. Recovery should be **flexible and scalable** in accordance with meeting the needs of the community.
4. Recovery measures should be **pre-planned and implemented** (with necessary modifications) **from the first day of the response** (or as soon as practicable) and should be **co-ordinated and integrated with response actions**.
5. The aim of immediate recovery activity is to **enable individuals to continue functioning** as part of the wider community.
6. **A return to past normality may be impossible** (for example, continued exposure to unacceptable levels of risk from hazards may necessitate the relocation of people and property at risk).
7. Depending on the nature, scale, and complexity of the emergency, **recovery may take a short time or many years, possibly decades**.
National CDEM Plan 2015

18 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

In addition to the principles in the *National CDEM Plan 2015*, the Christchurch Earthquake Recovery Learning and Legacy (CERLL) programme developed five themes of recovery. These themes are common ideas or messages that relate to all aspects of recovery planning and management and have been reinforced by the experience gained throughout New Zealand.

The themes have been incorporated throughout this document to enable recovery leaders to be well placed to facilitate community recovery by applying them to both preparedness for recovery and the management of recovery.

The five themes are:

- understanding the recovery context including the constant change and uncertainty present during recovery and the many characteristics of recovery (described in more detail in section 2.2)
- leadership and governance
- communication and community engagement
- resource allocation, and
- conditions for innovation.

What is successful recovery?

> *"Our success will not be measured by the kilometres of pipe and road that we replace, but by how the people come through this"*
>
> Jim Palmer, Chief Executive, Waimakariri District Council

Successful recovery from an emergency will look and be defined differently for each community based on their situation, challenges, vision and priorities. It is difficult and unhelpful to have one single definition of success. However, communities that have, in their eyes, successfully recovered will have elements in common. These elements include instances where:

- the community overcomes the physical, emotional and environmental impacts of the emergency

- the community re-establishes an economic and social base that instils confidence in individuals and businesses about the communities' viability

- the community incorporates the needs of all its members in its rebuild and in doing so reduces the future exposure to hazards and their associated risk

- individuals and the community demonstrate they can deal with the consequences of future emergencies through the ability to be prepared, responsive and resilient

- the community exercises a high degree of self-determination, and community-led initiatives are enabled

DRAFT ONLY, IN CONFIDENCE

- individuals lead a life that they value living, even if it is different to their life before the emergency; and

- the wide and diverse range of recovery needs of communities and individuals are all addressed in a coordinated way.

2.2 The Characteristics of Recovery

Recovery differs from Response and business as usual in many ways.

The complexity of recovery

Recovery is a complex part of civil defence emergency management in terms of scale, range of activities, and duration.

The potential significant consequences on the social and economic wellbeing of people and communities from emergencies are well documented. Supporting the community to recover from emergencies will occur against a backdrop of distress and uncertainty, and will be highly dynamic in nature. There may also be a spectrum of heavily affected to unaffected people within the same community, which can present a challenge to managing the difference in needs. Recovery will also often require both decisive action and careful assessment, but also sensitive and pragmatic trade-offs.

Characteristics of Recovery

Recovery has a range of characteristics that need to be accounted for.

- Recovery leadership is about courage, honesty, collaboration, influence and coordination.
- Recovery is longer and slower paced than response. It could take many years to achieve recovery objectives.
- Recovery needs to maintain a strategic focus on the immediate, medium- and long term objectives rather than serving the immediate needs only.
- The recovery process provides a window of opportunity for major change and betterment in a community, however this often requires trade-offs to be made.
- Inequities and pre-emergency trends are exacerbated during recovery.
- Individuals and communities are more likely to be actively involved in recovery, compared to business as usual because they have been affected by the emergency, their daily life interrupted or they appreciate the potential for significant change.
- Grief and psychosocial impacts on people over time are almost always the biggest and most challenging issues as they can be complex, change over time and can vary considerably between people.

Impact on local authorities

The impacts of even small emergencies and their subsequent recovery on CDEM Groups and local authorities can be significant. Experience shows that managing a recovery can significantly impact the business as usual focus of local authorities and fundamentally change the assumptions behind existing and future annual and long-term plans. This can also lead

20 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

to changing planning priorities, budgets and financial arrangements, and new political concerns.

Recovery planning, management and delivery go well beyond the business-as-usual activities of local authorities, and can involve shifting priorities and resources, and collaboration with multiple stakeholders across the social, economic, built and natural environments.

Local authorities may be unaware of the level of resourcing and coordination required during recovery and the potential consequences this may have on their business-as-usual activities.

The internal business impacts on local authorities are seen in:

- large increases in demand on staff time at all levels for planning, managing, coordinating, delivering and reporting on recovery activities

- staff psychological impacts, either from an inability to cope with recovery management stress or from suffering personal loss from the event

- a drop off in the momentum and enthusiasm of staff following the response phase either because they are tired from the response, or because they need to return to their business-as-usual roles

- the need to continue to function to the fullest possible extent, even though this may be at a reduced level[10], while also managing recovery efforts; and

- innovative solutions or simplified processes used in recovery being incorporated into business-as-usual activities.

Real world example

Staff from Nelson City Council working on the Pidgeon Valley fire in February 2019 (particularly in governance, administration and communities) worked for a total of 530 hours / 66 days. The extra work generated from the response and recovery to the fires and corresponding accumulated leave put business-as-usual operations behind schedule and the City Council only caught up with the backlog of work four months after the fire began. This also impacted on planning for the Council's Long-term Plan[11].

More information

More information about the impact of recovery on local authorities and critical success factors in recovery is available in the *Learning from Regional Recovery Events A Practical Guide for Territorial Authorities and Local Recovery Managers* on the MCDEM website www.civildefence.govt.nz.

---

[10] Refer to s64, *CDEM Act 2002*, for the duties of local authorities
[11] Nelson Mail. 15 June 2019. *Business as usual for NCC after wildfire disruption*

2.3 Recovery Environments

In the recovery context, each community is viewed as a complex whole. As described in Section 2.2, the foundations that support these communities to function and thrive are grouped into four interdependent environments. These are:

- social
- built
- economic, and
- natural.

Prior to an emergency, the state of these environments and the interaction between them will determine the wellbeing, sustainability and resilience of the community. Emergencies impact these environments in different ways and to varying degrees, and upset the balance between them.

The definition of recovery activities[12] in the *CDEM Act 2002* includes these four recovery environments.

Intent of the recovery environments

The intent of the recovery environments is to provide a framework to identify and consider all possible and actual, and direct and indirect consequences of an emergency so that these can be addressed during recovery. Consequences affecting whānau, hapū and iwi must be considered across all recovery environments.

The recovery environments may also be used as a basis for organising the management of a recovery; for example, by having projects based on the consequences in different environments. Refer to Section 11 for more information on organising and managing recovery.

Refer to Section 7 for definitions of the environments and more detailed information and examples of consequences that can occur in the recovery environments.

---

[12] Refer to s4 of the *CDEM Act 2002*

22 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Section 3 Communities and Recovery

This section describes how and why communities sit at the centre of recovery. It includes community involvement in recovery and the importance of engaging and communicating with communities.

3.1 Community involvement in recovery

Community at the centre

Recovery involves regenerating and enhancing a community's functions, social structures and systems following an emergency, so communities lie at the centre of recovery.

Every recovery vision, outcome, relationship and activity should have community at the centre of its purpose. Community includes individuals and groups in that community, as well as the foundations (i.e. recovery environments) that support a community to function and thrive. Refer to *Community at the centre* in Section 2.1.

The ability of a community to recover involves the holistic interaction between the community and the social, economic, natural and built environments, as these environments interact to support communities. This interaction involves members of the community, so it is critical to consider the consequences of an emergency in relation to the community and to support communities by delivering local, regional and national recovery activities as required.

Recovery management is not possible without community involvement. Under the *CDEM Act*, CDEM Groups are responsible for planning and carrying out recovery activities. This includes enabling community participation in recovery planning, both pre- and post-emergency. Recovery leaders need to promote joint ownership of community recovery by all stakeholders and empower communities to drive options, progress, pace, and the services that are provided to support them. Community involvement is a core mechanism that drives recovery planning and management.

Community involvement in recovery management is an important means of contributing to the empowerment of individuals and communities to manage their own recovery and encouraging innovation. Supporting and enhancing the resources, capacity and resilience already present within individuals and communities is the key to a successful recovery[13].

Engaging with communities

Engaging with communities can be a balancing act between taking the time to consult, maintaining progress and making decisions that require quick action. Communities will be highly motivated following an emergency; however, they may have difficulty accessing or understanding the messages delivered or engaging in strategic recovery conversations.

---

[13] Adapted from EMA 2014.

4148230_4.docx   Recovery Management Director's Guideline [DGL 04/16] **23**

DRAFT ONLY, IN CONFIDENCE

There is increasing recognition that the processes used by recovery agencies to interact with communities are critical and can impact on the capacity and willingness of individuals and groups to manage their own recovery process.

When developing recovery plans and managing recovery, recovery leaders and teams need to consider what forms of community engagement and participation are appropriate for different phases, aspects of recovery and communities (as communities are diverse). This could range from informing the community to help them understand a decision, to enabling them to make a decision about their future[14]. Regardless of the form of engagement and participation, empowering the community should always be an aim.

There may be some decisions that have to be made by particular agencies that are not supported or understood by the affected community. In these circumstances, communication about the decision is crucial. In recovery, traditional communication is not enough. The foundation for open and honest partnerships with communities comes from engagement and honest, meaningful and regular communication.

Refer to section 11.11 for more information.

Who is affected?

Emergencies can have far reaching consequences, even for people who are not directly and obviously affected. Individuals and communities are often affected indirectly through secondary impacts that are not always tangible.

Recovery leaders and teams need to understand the potential (pre-emergency) or actual (post-emergency) full extent of an emergency to ensure all individuals and communities affected by the emergency are supported. Refer to Section 9 for more information.

Community-led initiatives

Successful recovery for a community is best achieved and most effective when the affected community are empowered and supported to lead the direction of their own recovery and their own initiatives.

Communities spontaneously begin their own recovery initiatives from the start of an emergency. The role of recovery leaders is to recognise these initiatives and provide structured support, coordination and communication to facilitate community recovery efforts. This may be by providing land for pop-up villages or space for community-run events.

The ability of communities to lead their own initiatives will depend on the pre-existing environment, the scale and complexity of recovery needs, the capacity of community members to participate and the level of trust in recovery leaders. All of which may change over time.

As recovery progresses in the long-term, the majority of initiatives may move from predominantly agency-led initiatives to predominantly community-led initiatives.

---

[14] Refer to the International Association for Public Participation's Public Participation Spectrum.

24 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

Real world example of supporting community-led initiatives

Following the 2013 Seddon earthquake, Marlborough District Council (MDC) facilitated and supported the Awatere Community Trust (an existing trust that provides community-based programmes and an information kiosk) to deliver recovery services. Initially the Trust engaged with welfare services, agencies and other organisations, and MDC provided support, advice and information. The Trust supported recovery agencies, managed regular information bulletins for the community, supported people in their engagement with the Earthquake Commission and the insurance claims process, and coordinated trade capacity to assist people to get property repairs done[15].

Engagement challenges in recovery

There are various challenges that may hinder individual and community involvement and engagement in recovery that need to be considered and addressed when planning and delivering engagement activities.

For an individual, the emergency may affect their ability and willingness to participate. For example:

- individuals or families may find that existing stressors have been exacerbated by the emergency, leading to further disconnection from their community
- individuals that have suffered loss or trauma may struggle with what they consider bureaucratic processes
- affected individuals will use their energy for daily living, which can become more complex and time consuming
- some people may be physically dislocated from their original community while they live in alternative accommodation
- some people may be isolated due to age, disability or culture, which could be exacerbated by the emergency.

For a community, challenges can include[16]:

- individuals who do not necessarily represent the views of the community seeking a disproportionate influence on decisions by standing up as a community spokesperson to media and political leaders
- new groups emerging who claim ownership of aspects of recovery with or without broader community support
- different views that are largely quiet before an emergency coming to a head as groups blame each other for elements of the emergency, or

---

[15] https://www.civildefence.govt.nz/assets/Uploads/CDEM-Resilience-Fund/Learning-from-regional-recovery-events.pdf

[16] *Social Recovery 101 A Guide for Local Social Recovery* on the *Waimakariri District Council's social recovery framework and lessons learnt from the Greater Christchurch Earthquakes* available on the Waimakariri District Council website https://www.waimakariri.govt.nz

4148230_4.docx   Recovery Management Director's Guideline [DGL 04/16] **25**

- new divisions emerging as people make judgements about what they think is fair for them and not fair for others.

Councils feeling less willing to tackle contentious issues in a highly emotive post-emergency environment.

Benefits of good community engagement[17]

In spite of these challenges, well managed community engagement can:

- reduce the helplessness and isolation some people will feel

- create goodwill and trust between the community and the local authority (which can be hard to restore if damaged)

- realise opportunities to fully understand community challenges and discover potential solutions

- minimise divisions in the community and support the spread of reliable information, and

- help the community to understand the breadth of the issues that need to be addressed during recovery and the need to balance competing needs and expectations to achieve a pragmatic outcome.

---

[17] *Social Recovery 101 A Guide for Local Social Recovery* on the *Waimakariri District Council's social recovery framework and lessons learnt from the Greater Christchurch Earthquakes* available on the Waimakariri District Council website https://www.waimakariri.govt.nz

Section 4 Legislative Provisions

This section provides an overview of the relevant CDEM legislative provisions in New Zealand.

The ability to fulfil CDEM functions and carry out responsibilities, including recovery, is a key requirement of the *CDEM Act 2002*. CDEM Groups, each local authority member and Recovery Managers must familiarise themselves with the *CDEM Act 2002* and the *National CDEM Plan 2015* requirements to effectively support recovery and meet their statutory obligations.

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

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

- Definition of **recovery activity** in section 4 of the *CDEM Act 2002* describes activities that deal with the consequences of an emergency. It includes matters such as 'measures to enable community participation in recovery planning' as well as "new measures that reduce risks from hazards and build resilience'. The term is used in relation to the functions of CDEM Groups (section 17(1)(e)), functions of recovery managers (section 30A(1)) and tests for considering giving notice of a transition period or extending one (section 94B(4)).

- **Functions of CDEM Groups** including planning and carrying out recovery activities in section 17 of the *CDEM Act 2002*. It includes the application of knowledge, measures and practices that are designed to recover from, or overcome any hazard or loss that may be associated with any emergency, and planning, organisation, co-ordination, and implementation of those measures, knowledge and practices.

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

- **Civil Defence Emergency Management Group plan requirements in relation to recovery** in section 48 and 49 of the *CDEM Act 2002*.

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

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

- **Appointment of Group Recovery Manager and Local Recovery Managers** in sections 29 and 30 of the *CDEM Act 2002*.

- **Functions of Recovery Managers** in section 30A of the *CDEM Act 2002*.

- **Persons authorised to give notice of local transition period** in section 24 of the *CDEM Act 2002*.

- Roles & responsibilities of **Lifeline Utility coordination** for CDEM Groups in clause 61 of the *National CDEM Plan 2015*.

- **Transition to recovery** in clause 116 of the *National CDEM Plan 2015*.

- Roles and responsibilities of **national agencies** in Part 5 of the *National CDEM Plan 2015*.

- Part 9 Recovery of the *National CDEM Plan 2015* relating to recovery objectives, principles, transition from response to recovery, transition periods, recovery activities and exit strategy.

The *CDEM Act 2002* is not however a guide to recovery. It requires local authorities and CDEM Groups to carry out recovery activities and empowers them to do so, by allowing flexibility in how recovery is undertaken. This is so that recovery activities can be suited to local needs and can change as best practice develops.

Section 5 Recovery framework

This section describes the national recovery framework in New Zealand at a local, CDEM Group and national level.

The recovery framework should be applied for emergencies where MCDEM or CDEM Groups / local authorities are:

- the lead agency, or
- supporting another lead agency.

5.1 The national framework

The national recovery framework describes the arrangements for managing recovery at the local, CDEM Group and national level and is illustrated in Figure 3.

Figure 3 shows the common arrangements, connections and interactions between the three levels of government and the community. These interactions are shown by the blue arrows, while the red/green horizontal arrows depict responsibilities that vary depending on the scale and specific circumstances.

DRAFT ONLY, IN CONFIDENCE
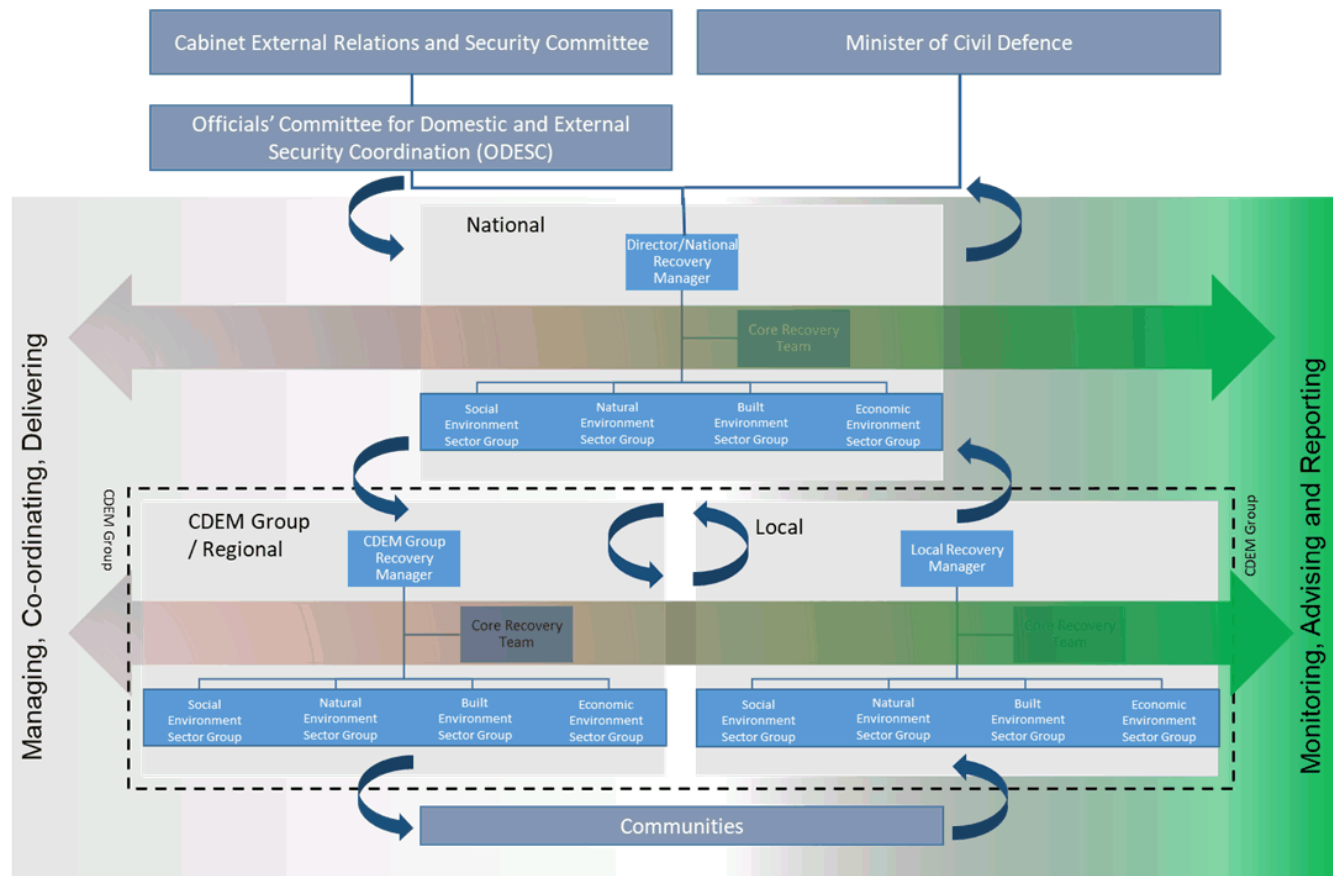
Figure 3: The national recovery framework

30   Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Flexibility and Scalability

All levels of the framework — ranging between the community to the Government — have a role in recovery, no matter the scale of emergency.

The role of each level varies depending on factors specific to the circumstances. These factors include:

- complexity of the consequences of the emergency
- the geographical extent and nature of the consequences
- whether there are multiple recoveries across a local area/region/country
- the indirect regional or national consequences (for example national economic impacts from interrupted tourism)
- capacity and capability to manage and/or coordinate recovery activities
- knowledge and experience of key recovery personnel
- strength of relationships
- political risks or interests, and
- funding streams.

These factors require a recovery framework that is flexible and scalable.

Responsibilities across the framework

The key responsibilities across the framework are:

- monitoring, advising and reporting; and
- managing, coordinating and delivering activites to support the community.

The extent to which each level (local, CDEM Group / regional and national) activates these responsibilities for a specific recovery will depend on the factors outlined above. For example, for a smaller, local-scale emergency, the local level will manage, coordinate and deliver recovery activities, but because of their capacity, the CDEM Group may provide additional support by managing or co-ordinating a particular activity and monitoring and advising on others. The national level will also have a role in monitoring and reporting through to the Minister of Civil Defence and may provide advice and guidance to the local level where necessary. This scalability of responsiblities is represented in Figure 3**Error! Reference source not found.** by the sliding red/green scale which depicts that individual levels may move between managing, coordinating and delivering, and monitoring, advising and reporting.

For any recovery, there are strategic and operational responsibilities that need to be defined and established across the levels to manage, coordinate and deliver the recovery activities needed to support the community. Some of these responsibilities sit at all levels in the framework, but some can only be fulfilled by central government. Refer to Section 5.4 for examples.

DRAFT ONLY, IN CONFIDENCE

Strategic responsibilities

Strategic responsibilities across the framework include:

- setting, and reviewing, the strategic vision, objectives, outcomes and priorities for the recovery
- directing the development of strategic plans and reviewing and approving these plans
- establishing governance and decision-making groups
- directing and compelling actions to be taken
- public-facing leadership, strategic coordination of communications and political engagement
- high-level coordination of funding disbursement, audit and accountability
- decision-making on reconstruction and design
- decision-making on land remediation and hazard risk mitigation
- managing significant existing, new and cascading risks and intervention when needed
- directing exit strategy development, review and approval; and
- influencing change to increase recovery preparedness and commissioning recovery reviews.

Operational responsibilities

Operational responsibilities across the framework include:

- **Coordination**
  - Establishing and coordinating operational governance arrangements, including project leads, forums, etc.
  - Determining operating principles to guide how recovery activities are managed, coordinated and delivered.
  - Coordinating recovery activities, including recovery team and office, community hubs and use of navigators.
  - Volunteer coordination.
- **Planning**
  - Developing, implementing, reviewing and updating the Recovery plan.
  - Developing and implementing a monitoring and evaluation framework for the specific recovery.
  - Planning and managing programmes across recovery projects.
  - Project planning.
  - Developing and implementing an exit strategy.
  - Community planning.
- **Funding**
  - Controlling special funding policy and establishing priorities.
  - Managing contracts, procurement and purchases.
  - Mobilising funding resources and logistics.
  - Liaising with insurers.
  - Application and management of claims.
  - Managing donations.
  - Disbursing relief funds.
- **Information management**
  - Directing the provision of information.

32 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

- o Analysing information to inform decision-making and priorities.
- o Commissioning reviews, reports and investigations.
- o Implementing processes to examine, record and maintain information management systems or databases.
- o Coordinating information gathering, including needs assessments and impact assessments.
- o Ensuring information systems enable real-time reporting.
- **Engagement and liaison**
  - o Developing and implementing an engagement strategy and plan.
  - o Determining the most appropriate engagement approach, channels and methodologies.
  - o Undertaking community engagement.
  - o Developing community recovery plans where appropriate.
- **Communications**
  - o Undertaking communications needs assessment.
  - o Identifying relationships and responsibilities for maintaining them.
  - o Developing and implementing a coordinated communications strategy and plan.
- **Monitoring and evaluation**
  - o Establishing an evaluation approach, including key performance indicators and processes for data collection and analysis.
  - o Monitoring and evaluating performance indicators to evaluate progress and identify emerging risks and issues.
  - o Reporting on progress against recovery outcomes and advise on risks and issues, including any mitigation that may be needed.

Common responsibilities

There are a common responsibilities that sit across all levels of the framework, including:

- relationship management
- reporting
- risk identification and management
- corporate functions, e.g. IT, HR and finance
- reviewing outcomes and practice to inform future recovery preparedness; and
- advising on and sharing practices to foster a learning culture.

Scalability of the national framework

The framework depicted in **Figure 3Error! Reference source not found.** is the full extent of the national recovery framework, showing all levels within it. For the majority of recoveries in New Zealand, only the local level will be fully activated, with various regional and national components established when needed to support the local recovery.

Within the national framework, a programme approach is taken with recovery projects.

Real world examples of scalability	For the recovery from the flooding in Rotorua in 2018, the CDEM Group Recovery Manager supported and advised the Local Recovery Manager on recovery practices, and monitored the provision of services and support. Given the CDEM Group structure, MCDEM interacted with both the Local Recovery Manager and the CDEM Group Recovery Manager to provide guidance and to monitor the provision of services and support.
	For the Tasman Fires in 2019, MCDEM interacted directly with both the CDEM Group and Local Recovery Managers who all worked as a collective.
	In the November 2016 earthquake and tsunami, the National Recovery Manager and National Recovery Office, established by MCDEM, interacted directly with the local authority due to the regional and national consequences caused by damage to State Highway 1 and the Main North Rail Line, political interest, and the geographic extent of consequences.

5.2 At the local level

Key role	Recovery at the local level focuses on working alongside and supporting individuals, communities and groups. It also involves coordinating activities across local-level agencies and organisations involved in the recovery.
	The key recovery role at this level is the Local Recovery Manager, who manages, coordinates, monitors and reports at the local level. The Local Recovery Manager is appointed by the CDEM group and will work with local and regional stakeholders and coordinate across local recovery programmes and recovery environment sector groups. Refer to 6.7 for more information on a Local Recovery Manager's relationship with their Group Recovery Manager.
Responsibilities	No matter the scale or scope of recovery activities, the local level will always be active to some degree following an emergency. Responsibilities at the local level will span the strategic and operational responsibilities outlined in Section 5.1, depending on the specific circumstances.
	Dependent on the factors outlined under *Flexibility and Scalability* in section 5.1, the recovery activities may be delivered by business as usual local authority teams and be overseen by the Local Recovery Manager. However, for more complex or significant recoveries, a dedicated local recovery team may need to be established. See Section 11.4 for further guidance on deciding the most appropriate approach.

5.3 At the CDEM Group level

Key role

At the CDEM Group level, the focus is on supporting and, where necessary, coordinating local-level recovery.

The key recovery role at this level is the CDEM Group Recovery Manager, who supports and provides advice or direction to the Local Recovery Manager/s. The CDEM Group Recovery Manager also works with and coordinates across regional-level recovery programmes and recovery environment sector groups.

Refer to Section 6.6 for more information on a CDEM Group Recovery Manager's relationship with the National Recovery Manager.

Monitoring, advising and reporting

No matter the scale of the recovery, the CDEM Group Recovery Manager, with support from across the CDEM Group, will:

- advise the Local Recovery Manager on relevant legislative provisions, recovery arrangements within the CDEM Group area and any other recovery matters
- provide for additional resources as required by the local recovery team
- facilitate connections and coordinate where necessary with agencies, organisations and other recovery stakeholders
- advise on recovery practices, sharing relevant regional lessons learned
- monitor any emerging risks or issues pertaining to the recovery, and advise the Local Recovery Manager and CDEM Group accordingly; and
- report progress to MCDEM, including any risks or issues arising.

Management, coordination and delivery

The CDEM Group may take responsibility for aspects of the strategic or operational recovery responsibilities depending on the factors outlined in Section 5.1. This will particularly be the case when:

- more than one local authority area is impacted;
- the local authority does not have sufficient capacity or capability;
- the local authority is a unitary authority
- there have been multiple emergencies across the region from different events, or
- there are regional implications or risks arising from the emergency that need to be managed.

In taking responsibility, the CDEM Group will coordinate across local authorities and work with nationally and regionally based agencies and organisations involved in the recovery.

They may also need to manage certain recovery activities at a regional level to ensure consistency and equity of services and support across the region. An example of this is the provision of winter warmer care packages to affected home owners, where the same supplies and services need to be offered across the region.

DRAFT ONLY, IN CONFIDENCE

5.4 At the National level

Key roles

The key recovery role at this level is either the:

- Director Civil Defence Emergency Management; or
- National Recovery Manager, if delegated by the Director Civil Defence Emergency Management.

Management, coordination and delivery

Depending on the scale and consequences of the emergency, the focus at the national level may be on:

- coordinating recovery activities across central government agencies and national recovery programme and recovery environment sector groups where necessary
- providing support or facilitation to the CDEM Group or local authority, as necessary or requested, or
- managing and delivering any responsibilities that can only be done by central government as necessary to support the recovery.

Where the scale or consequences of the emergency, or where there are multiple recoveries across the country that collectively need national level management or coordination, the Minister of Civil Defence may decide to either:

- establish a National Recovery Office, i.e. a dedicated national recovery team; or
- establish a national agency (as provided for in the *National CDEM Plan 2015*) to manage and coordinate the central government's interests in the recovery.

The National Recovery Office or a national agency will act in partnership with the affected local authorities and CDEM Groups and may be given specific roles, responsibilities and powers[18].

Monitoring, advising and reporting

No matter the scale of the recovery, the Director CDEM (or National Recovery Manager if delegated), with the support of MCDEM operational teams, will:

- advise the CDEM Group Recovery Manager and the Local Recovery Manager on any recovery matters, as required
- advise on recovery practices, sharing relevant national or international lessons learned
- monitor the provision of services and support being provided across central government agencies to ensure the needs of the community are met; and
- monitor the progress and effectiveness of recovery activities, identify any emerging risks or issues, and report to the Minster of Civil Defence accordingly (and support the Officials' Committee for

---

[18] Section 156(3) of *National CDEM Plan Order 2015*

36 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Domestic and External Security Coordination (ODESC), as required).

Central Government- only responsibilities

There are a range of responsibilities, or functions, that only central government are able to deliver, including:

- supporting Ministerial oversight and reporting to Parliament
- determining the need for Government's financial support and overseeing expenditure
- advising on new Government policy or revising existing policy, including the revision of legislation or regulation
- advising on appointments to national reference groups and establishing new national institutional structures to facilitate recovery
- coordinating state sector agencies' recovery activities
- enforcing many aspects of regulation and addressing non-performance of statutory roles
- receiving and considering offers of assistance from foreign governments, and
- managing claims for response- and recovery-related costs incurred by a local authority.

Interactions across the framework

As well as interacting with the Minister of Civil Defence and ODESC, the national level may interact with both the CDEM Group and the local level within the framework. The factors listed in Section 5.1 will influence these interactions and inform whether there is a direct interaction between the national and local levels or whether interaction is through the CDEM Group level.

Similar to the factors that influence the role of the CDEM Group, the national level may interact directly with the local level when:

- the CDEM Group does not have sufficient capability or capacity
- the local authority is a unitary authority;
- there are multiple emergencies across the country requiring national distribution and equity of resources to be considered; or
- there are national, international, political or reputational implications or risks arising from the emergency that need to be managed.

Real world example

An example of this was the November 2016 earthquake and tsunami where the national level was coordinating and supporting nationally significant transport activities and interacting directly with the local level.

5.5 Recovery environment sector groups

Recovery environment sector groups

At an operational level, the national framework is applied through the recovery environment sector groups (Figure 4). While the recovery environments (see Section 7) are a means of understanding the community and categorising recovery needs, sector groups are the structures through which recovery across environments is managed and progressed.

Recovery environment sector groups are collectives of agencies and organisations who focus on a particular aspect of the recovery. They are based on the four recovery environments and coordinate and oversee implementation of related recovery activities and projects. All recovery environment sector groups report to the Recovery Manager.

Recovery environment sector groups are similar to clusters, as described in section 7 of *The Guide to the CDEM Plan,* and have similar objectives and principles. They may also incorporate currently formed clusters listed in *The Guide to the CDEM Plan.*

Recovery environment sector groups need to take a programme management approach to ensure that the work and thinking needed about the direction of recovery and outcomes related to particular environments, activities needed to deliver them, resources, monitoring and oversight and coordination with other programmes is considered in a holistic way.

Recovery environment sector groups provide a mechanism for:

- sharing information, planning, and integrating arrangements for carrying out recovery activity related to their focus area through establishing and maintaining inter-group communications; and

- ensuring that each member agency or organisation operates as part of a coordinated collective that supports the delivery of the overall recovery objectives, sharing resources and avoiding duplication.

For more information on recovery projects refer to section 11.4.2.
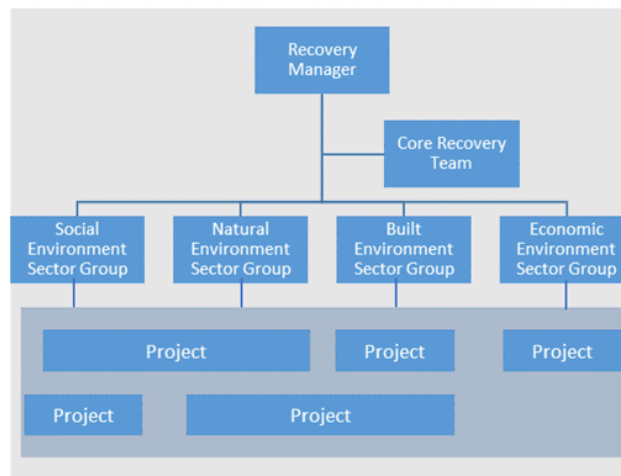
Figure 4: The recovery framework at an operational level

Recovery environment sector group formation

Recovery environment sector groups should be identified, formed and developed in readiness, and be active in recovery. Recovery Leaders and Managers (at both the CDEM Group and the local level) need to consider:

- if recovery environment sector groups will be established at both the CDEM Group and local level — pure duplication should be minimised; however, careful consideration needs to be given to how these groups will plan and operate in recovery and what level relationships are needed; this may be influenced by the structure of the CDEM Group and local arrangements; and

- whether other groups already exist that have a similar focus or could have their scope broadened to incorporate the role of environment groups (for example, the Welfare Coordination Group broadening their scope to social recovery) — if there are existing groups, all agencies, organisations and groups that are part of that environment need to be part of the group.

During readiness, recovery environment groups operate as cooperative networks. In readiness the groups should convene (either in person or remotely) to:

- carry out collaborative strategic and operational planning including arrangements for how they will operate during readiness and recovery

- appoint a Chair (see Recovery environment sector group Chair below)

- develop terms of reference

- develop relationships

- share information, planning, and arrangements for carrying out recovery activities; and

- ensure each member agency or organisation operates as part of a coordinated collective.

DRAFT ONLY, IN CONFIDENCE

| Recovery environment sector group activation | Depending on the unique consequences of a particular emergency, not all recovery environment sector groups formed in readiness may need to be activated for each emergency. Similarly, additional recovery environment sector groups may need to be set up. The matrix approach described in Section 11.3 may assist in identifying these.

During recovery, recovery environment sector groups convene regularly (as appropriate for the scale and consequences of the emergency) to coordinate their recovery-related activities to ensure recovery objectives are being achieved. |
|---|---|

5.5.1 Recovery environment sector group key roles

Recovery Manager	Recovery Managers are responsible for overall coordination of the recovery environment sector groups. Recovery Managers ensure that recovery environment sector groups:

- have the support and facilities they need to operate and deliver their recovery objectives
- input into recovery action planning, and other key strategic activities, and
- have a comprehensive understanding of the overall recovery objectives.

All recovery environment sector group Chairs report to the Recovery Manager.

Refer to section 6.4–6.7 for more information on the role of Recovery Managers.

Recovery Environment Sector Group Chair	Each recovery environment sector group needs to appoint a Chair, who manages their recovery environment programme of work, including:

- leading and coordinating agencies, organisations and groups in the recovery environment sector group, planning, recovery activities and projects that sit within their recovery environment sector group
- facilitating recovery environment sector group meetings
- coordinating and communicating with other recovery environment sector group Chairs
- coordinating, with other recovery environment sector group Chairs, projects that span multiple environments;
- reporting activity, progress and risks to the Recovery Manager
- passing on information from the Recovery Manager and other recovery environment sector groups to their recovery environment sector group members, and
- assessing and identifying needs and issues arising, and working with the Recovery Manager and other recovery environment sector group Chairs to manage these.

Flexibility and scalability

The person appointed as the recovery environment sector group Chair can be one of the agency or organisation representatives on an environment sector group. However, if the scale and consequences of a particular recovery are significant, the Recovery Manager may decide to appoint a dedicated programme manager as the Chair to allow agencies and organisations in the recovery environment sector group to focus on the delivery of activities and projects.

5.5.2 Recovery environment sector group examples

Recovery Environment Sector Group membership

Figure 5 shows an example of four environment sector groups and their membership, based on the four recovery environments. It illustrates how environment sector group representation may be scaled up according to the scale and complexity of an emergency.

Agencies and groups listed are **examples only and do not represent an exhaustive list**. Actual environment sector group representation needs to be determined by Group and Local Recovery Managers and is subject to the particular circumstances and priorities of each recovery. This example should not be used as the 'one-size-fits-all' rule for all recoveries. It must be tailored to local and regional areas and to specific recoveries.

DRAFT ONLY, IN CONFIDENCE
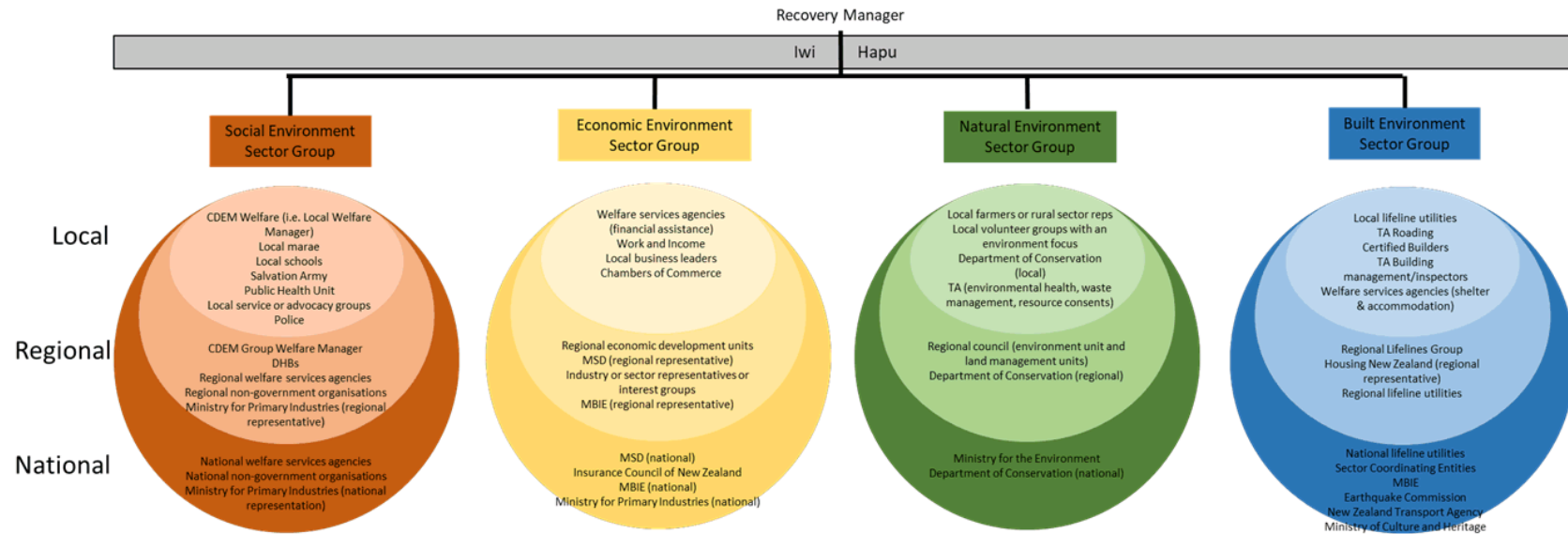
Figure 5: Example of environment sector group membership – the four environments[19]

---

[19] 'Local iwi/hapu need to be represented/involved across all recovery environment sector groups.

DRAFT ONLY, IN CONFIDENCE

Additional Recovery Environment Sector Groups

In addition to the four key recovery environments sector groups (built, social, natural and economic), additional recovery environment sector groups may be adopted by CDEM Groups or local authorities to reflect the unique nature of their communities and the possible or actual consequences of emergencies. However, special consideration needs to be given as to whether this will silo a community. For example, the primary sector community has needs that may need to be considered by the social, natural, economic and built recovery environment sector groups. If key stakeholders are only within a rural recovery environment sector group, some of their recovery needs may not be considered by other recovery environment sector groups, or there could be a duplication of effort.

Refer to Sections 9.4 and 11.3 for more information on how these other environment groups could be determined. These sections describe how a consequence matrix can be used to identify specific projects that may need to be targeted for particular communities but are considered by one or more of the four standard recovery environment sector groups.

Figure 6 shows an example of a rural recovery environment sector group.
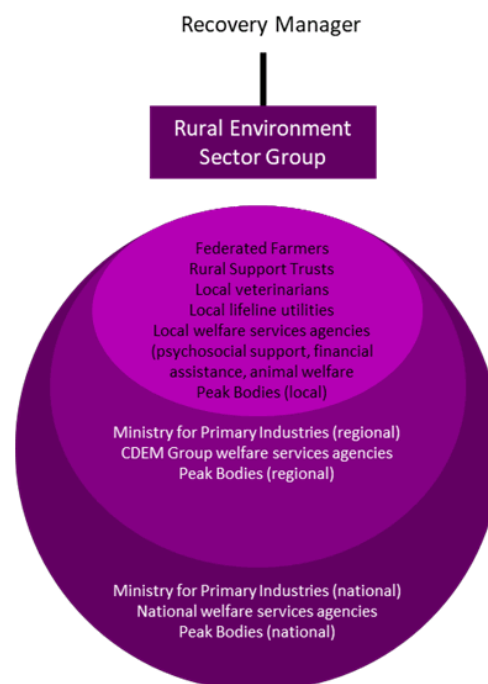
Figure 6: Example of rural environment group

5.5.3 Environment group flexibility and scalability

Although pre-emergency recovery planning will include recovery arrangements, pre-determined recovery arrangements need to be flexible and scalable so they can be tailored to the consequences of a particular emergency. Pre-determined 'one-size-fits-all' arrangements should not dictate the way a recovery is managed. The scale and consequences of the recovery will determine how arrangements prepared in readiness need to be adjusted or adapted.

The flexibility and scalability of recovery environment sector groups must be considered before emergencies occur. This involves developing:

- a flexible approach to membership
- building on and augmenting local capability; and
- using adaptable, modular arrangements.

Flexible membership

Developing recovery environment sector group membership includes identifying:

- core members — those whose input is essential in many types of emergencies, and
- wider members — those whose input can be called on if the recovery is larger in scale or complexity or for a specific hazard.

Where possible, members should be identified by their role, job title, or expertise rather than by name. In addition, multiple potential recovery environment sector group members from the same agency, organisation or community group should be identified to enable recovery environment sector groups to scale up as necessary.

All members must be able to:

- actively represent and make, or at least facilitate, decisions on behalf of the agency, organisation or group they represent
- provide information and expertise; and
- participate fully in environment group meetings and activities.

Where possible, representatives should be from the senior management level of their agency, organisation or group.

An adaptable, modular structure

Recovery environment sector groups should be adaptable and modular, similar to the principles of the Coordinated Incident Management System (CIMS).

Recovery environment sector groups identified in readiness may be activated according to the scale and consequences of the emergency. Some recovery environment sector groups may:

- not be needed at all during recovery
- be activated early on to be stood down later, or
- only be needed in medium- or long-term recovery.

Identifying recovery priorities early on in the planning phase and re-evaluating them as recovery progresses must determine and inform the continuing activity of environment groups.

5.5.4 Continuity of coordination arrangements between response and recovery

Coordination arrangements established in readiness and response may be continued (where appropriate) in recovery.

Coordination, experience and continuity of planning from response to recovery may be achieved through:

- building environment groups around local/community networks or collectives established before or during response
- ensuring that key people involved in the response have the opportunity to participate in recovery environment sector groups, and
- ensuring (where possible/appropriate) the continuation of key response functions into recovery, for example:
  - Welfare Managers and WCG or local welfare committee members agencies in the social environment, and
  - Public Information Management personnel.

Refer to Sections 8.6 and 11.4 for more information about coordination arrangements.

Section 6 Roles, responsibilities and functions

This section describes the roles, responsibilities and functions of key agencies, positions and groups in relation to managing a recovery, both pre-emergency and during recovery.

The *CDEM Act 2002*, *National CDEM Plan Order 2015* and *Guide to the National CDEM Plan* set out roles and responsibilities of public and private sector agencies and organisations. The roles and responsibilities described in this section must be read in conjunction with these documents.

A key learning from past recoveries is the need for clarity and understanding of who does what in recovery. This section provides that clarity.

Refer to Figure 3 and

 for more information on the links between roles.

6.1 Ministry of Civil Defence & Emergency Management

The Ministry of Civil Defence & Emergency Management (MCDEM) provides leadership, strategic guidance, national coordination and the facilitation and promotion of various key activities across the 4Rs of reduction, readiness, response and recovery to achieve the purpose of the *CDEM Act 2002*[20]. MCDEM is responsible for administering the *CDEM Act 2002*.

MCDEM supports the Director CDEM and, if delegated by the Director CDEM, the National Recovery Manager, to carry out recovery activities as required under the *CDEM Act*[21].

Pre-emergency
In supporting the Director CDEM pre-emergency, MCDEM's role in recovery includes:

- contributing to the development of research, policy, regulation, frameworks and guidance that facilitate understanding of risk and the 4Rs;
- planning for recovery, as well as managing, developing, and maintaining appropriate national recovery capability including, where necessary, the appointment of a National Recovery Manager
- delegating functions and powers to key personnel (such as a National Recovery Manager), as appropriate
- supporting agencies and CDEM Groups to undertake their roles and responsibilities

---

[20] Refer s22 of the *National CDEM Plan Order 2015*
[21] Refer s24 and s25 of the *National CDEM Plan Order 2015*

46 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- providing for recovery capability development; and
- monitoring and evaluating recovery preparedness and performance.

During recovery   No matter the scale or complexity of the recovery, MCDEM supports the Director CDEM and, if delegated by the Director CDEM, the National Recovery Manager by:

- supporting CDEM Group recovery activities; and
- reporting to the Minister of Civil Defence and the ODESC, as required.

In practice, this means MCDEM provides advice, support and guidance to CDEM Groups and Recovery Managers as needed, sharing lessons from national and international recovery practices.

MCDEM also monitors recovery activities across New Zealand and routinely reports progress and any emerging risks or issues to the Minister of Civil Defence, and the ODESC if necessary.

This will be done by operational teams in MCDEM where possible.

MCDEM also supports the Director CDEM and, if delegated, the National Recovery Manager by:

- activating and coordinating national-level recovery activities
- issuing national recovery action plans, and
- issuing public information.

For larger, complex or multiple recoveries, MCDEM may establish a National Recovery Office (NRO) to coordinate national recovery activities. The makeup, structure and size of the NRO will be determined by the nature, scale and complexity of the recovery or recoveries, and the level of any type of national support needed.

For larger, complex or nationally significant emergencies an All-of-Government Recovery Group may be activated to monitor, report and coordinate recovery activities across multiple central government agencies involved in the recovery.

6.2 CDEM Group (Joint Committee)

CDEM Act 2002   The *CDEM Act* 2002 provides several functions to CDEM Groups (s17). CDEM Group functions include the need to plan, organise, coordinate and implement any knowledge, measures or practices to ensure the safety of public and property, and to guard against, prevent, reduce, recover from or overcome any hazard, harm or loss. In relation to recovery, this includes:

- maintaining and providing suitably trained and competent personnel, including volunteers, and an appropriate organisational structure
- maintaining and providing materials, services, information and any other resources;

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   47

- managing the effects of emergencies in a CDEM Group's area
- planning and carrying out recovery activities
- assisting other CDEM Groups when requested
- monitoring and reporting on compliance with the *CDEM Act 2002; and*
- developing, approving, implementing, monitoring and regularly reviewing the CDEM Group plan including the strategic planning for recovery included in the Group Plan.

The *CDEM Act 2002* allows the CDEM Group to delegate any of their functions to its members, the Group Controller or any other persons (s18).

The CDEM Group functions relate to both pre- and post-emergency recovery activities.

The CDEM Group Recovery Manager also has functions under the *CDEM Act 2002*, but these are only applicable during a transition period. The CDEM Group needs to consider who will fulfil the functions in relation to recovery, both pre-emergency and post-emergency when a transition period is not in place and put in place any necessary delegations.

There are a range of actions and decisions that the CDEM Group need to make to meet their responsibilities under the *CDEM Act 2002*.

Pre-emergency

Before an emergency, CDEM Groups need to do the following.

- Understand their functions, duties and authority in relation to recovery under the *CDEM Act 2002*, including how they will meet their requirements, who will support them in doing so and ensuring any delegations are in place.
- Appoint a Group Recovery Manager, and an alternate, and ensure they are adequately trained. They also may appoint Local Recovery Managers.
- Delegate any functions as appropriate to ensure recovery is adequately prepared for. This may or may not be the Recovery Manager as appointed under section 29 of the *CDEM Act 2002*.
- Decide who is authorised to give notice of a transition period for the Group's area, in what hierarchy and if there are any limitations on their authority.
- Ensure strategic planning for recovery is in the CDEM Group plan, the subsequent work programme delivers against this, and progress is monitored and action taken where needed.
- Ensure operational recovery planning is included and delivered in their work programme.
- Identify collective capability across the Group area and agree arrangements between other CDEM Groups and local authorities. This includes the capability needed to manage recovery activities, recognising that much of the work will be done by local authority staff. This could involve agreeing on Memorandums of Understanding and Service Level Agreements.
- Understand the needs of other CDEM Groups and agree what support can be offered.

- Ensure on an ongoing basis those that have responsibilities to plan or support recovery activities are suitably trained and competent.
- Agree and understand their governance role before and during a recovery, and identify what information, advice or reporting is needed from the Recovery Manager and/or others.

During recovery   CDEM Groups have a function to carry out recovery activities. In practice, this means they need to do the following.

- Delegate suitably trained and competent persons to carry out recovery activities. If a transition period is in place, the Group Recovery Manager has specific functions and powers to deliver this. However, if no transition period is in place, the CDEM Group needs to determine who will carry out this function on the Groups behalf.
- Determine priorities for recovery and oversee the activities to ensure these priorities and the needs of the community are met. This would generally be done through regular reporting to the Joint Committee and is likely to include specific performance indicators against the desired recovery outcomes.
- Provide suitably trained and competent staff to support the Recovery Manager. This is likely to include staff from across the local authorities.
- Implement organisational arrangements / a structure for recovery and the associated recovery team and office if necessary.
- Make available information to support the recovery.
- Ensure recovery activities adapt over time in recognition of the changing needs of the recovery and the community.
- Make decisions regarding the gradual transition back to business-as-usual activities and disestablishment of the recovery arrangements and recovery team/office in a managed and coordinated way.
- Consider the wider regional or national consequences beyond the geographical area impacted by the emergency and put in place any necessary measures to mitigate the consequences.
- Coordinate funding decisions across the area to meet the wider regional needs.
- Make staff available from across the area to support a recovery in another CDEM Group.

6.3 Coordinating Executive Group (CEG)

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   49

DRAFT ONLY, IN CONFIDENCE

The Coordinating Executive Group (CEG) has an important leadership role in coordinating planning and implementation of work programmes within a CDEM Group. The functions of the CEG include[22]:

- providing advice to the Joint Committee
- implementing, as appropriate, the decisions of the Joint Committee; and
- overseeing the implementation, development, maintenance, monitoring and evaluation of the CDEM Group Plan.

In practice, this means overseeing the annual work programme required to implement the CDEM Group plan and advising the Joint Committee accordingly of, including (but not limited to):

- the adequacy of resources, facilities, information and arrangements to plan for and manage recovery activities, including the level of community engagement in planning
- the associated budget requirements
- progress against the annual business plan and the effectiveness of any actions in achieving defined recovery priorities and objectives stated in the CDEM Group plan, including strategic planning for recovery activities
- any emerging or actual risks or issues and the necessary mitigation measures needed
- the capability of anyone with direct or delegated responsibilities under the *CDEM Act 2002* under the governance of the CDEM Group; and
- the level of compliance with the *CDEM Act 2002* and its associated regulations.

Pre-emergency	The CEG provides advice to a CDEM Group on the activities needed to prepare for recovery and implements decisions of the CDEM Group related to pre-emergency recovery planning.
During recovery	The CEG provides senior executive oversight, management support and advice to the Group Recovery Manager and the CDEM Group during recovery management, including during transition periods.

6.4 Recovery Managers

Overview	Recovery Manager means the National Recovery Manager, a Group Recovery Manager or a Local Recovery Manager and includes any person acting under the authority of the National Recovery Manager, a Group Recovery Manager or a Local Recovery Manager[23].

In relation to Recovery Managers, the *CDEM Act 2002*:

---

[22] Refer *CDEM Act 2002*, section 20(2)
[23] Refer to *CDEM Act 2002*, section 4.

50 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- requires Group Recovery Managers, and Alternate Group Recovery Managers be appointed
- states that Local Recovery Managers may be appointed
- provides functions to Group Recovery Managers during transition periods
- allows the Director CDEM to delegate specific functions and powers to a National Recovery Manager
- allows the CDEM Group to delegate functions to Group Recovery Managers and Local Recovery Managers; and
- provides powers to all Recovery Managers, no matter their level, during transition periods.

The provisions are summarised in Table 1, and this section explains what this means in practice.

The functions and powers provided for Recovery Managers under the *CDEM Act 2002* are only applicable when a notice of transition period is in effect. This section also considers responsibilities when a transition period is not in effect.

Table 1: *CDEM Act 2002* provisions for the appointment, functions and powers of Recovery Managers

	Appointment	Functions	Powers
National Recovery Manager	By delegation from Director CDEM under s11A(1), otherwise remains with the Director CDEM	s8(2)(h)	s9(2)(a) and s94H, 94I and 94K - 94N
CDEM Group Recovery Manager & Alternate	CDEM Group *must* appoint under s29(1) and s29(2)	s30A(1) and s30A(2) if CDEM Group delegates any functions	s94H, 94I and 94K - 94N
Local Recovery Manager	CDEM Group *may* appoint under s30(1)	s30(A)(1) if directed to perform functions of CDEM Group Recovery Manager (including those delegated) by CDEM Group	s94H, 94I and 94K - 94N

Recovery Manager skills

The Recovery Manager role is pivotal and requires advanced leadership skills due to the wide range of stakeholder liaison and management required. Recovery Managers at all levels need to be:

- empathetic and realistic
- consistent in their approach to dealing with people

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]

51

DRAFT ONLY, IN CONFIDENCE

- strong and assertive — and be comfortable saying no when required
- actively communicating with Councils, recovery team members, the recovery environment sector groups and other agencies, and ensuring ongoing communications with communities
- wiling to have straight and honest conversations, especially with senior executives and political representatives, including Mayors and Councillors, central Government Ministers and the affected community
- able to manage and navigate strong personalities
- appointed at a senior level that allows recovery matters to be managed with an adequate level of resourcing and urgency
- able to get on the ground and understand what the issues are[24]; and
- be proactive and think strategically across all areas of recovery, making links between projects.

6.5 National Recovery Manager / Director CDEM

National recovery activities[25]

If the Minister of Civil Defence gives notice of a national transition period, the Director CDEM is responsible for coordinating, directing and controlling resources made available for CDEM (section 8(2)(h) and 9(2)(a) of the *CDEM Act 2002*). MCDEM supports the Director CDEM to do this, but the Director CDEM may also delegate certain functions and powers to a National Recovery Manager in sections 8(2)(h) and 9(2)(a) of the *CDEM Act 2002*, for the purposes of dealing with a national transition period, and where necessary, establish a National Recovery Office.

These functions and powers available to the Director (and National Recovery Manager if a delegation is in place) are, during a national transition period, to:

- direct and control for the purposes of the *Act* the resources available for CDEM (section 8(2)(h)); and
- coordinate the use of and use for the purposes of the *Act*, personnel, material, information, services and any other resources made available by departments, CDEM Groups, emergency services, New Zealand Defence Force (as provided in the *Defence Act 1990*) and other persons (section 9(2)(a)).

While the delegation is in force, the delegated person is the National Recovery Manager and has all the powers of the National Recovery

---

[24] Learning from Regional Recovery Events A Practical Guide for Territorial Authorities and Local Recovery Managers (2015), p. 15.
[25] Refer to s156 in the *National CDEM Plan Order 2015*

52 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Manager in the CDEM Act 2002. If no delegation has been made under the CDEM Act 2002, the Director CDEM is the National Recovery Manager.

In a large-scale recovery, the Government may establish an agency to manage and coordinate the Government's interest in the recovery. This agency will partner with the affected local authorities and CDEM Groups and may be given specific roles, responsibilities and powers.

In smaller scale recoveries, where the scale of coordination is beyond the resources of the CDEM Group or the consequences of the emergency are nationally significant, the Director CDEM may coordinate national recovery activities through a National Recovery Manager and, where necessary, a National Recovery Office.

Role during a national recovery transition period

In addition to the functions and powers provided by the *CDEM Act 2002*, the role of the National Recovery Manager is set out in clause 156 of the *National CDEM Plan 2015*:

- coordinate the establishment of, and planning for, recovery activity in the short, medium, and long term;
- implement appropriate reporting and tracking mechanisms;
- activate and coordinate the agencies involved in recovery;
- chair and coordinate meetings of representatives from recovery environment sector groups;
- assist with the provision of advice to the Minister and to Cabinet on recovery activities, as required;
- work with the National Controller and the Public Information Manager to ensure a smooth transition between response and recovery;
- coordinate the recovery activity of the relevant CDEM Groups, lifeline utilities, agencies, and international assistance following the transition from response to recovery and during the short, medium, and long term;
- if necessary, establish a National Recovery Office to ensure that recovery activity is co-ordinated and the recovery function is implemented;
- liaise with CDEM Group Recovery Managers;
- determine and prioritise major areas of recovery;
- develop recovery policies;
- develop a national recovery plan and national action plan, to establish time frames for the implementation of recovery activities;
- coordinate advice on government assistance; and
- provide national-level co-ordination of public information related to recovery.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   53

DRAFT ONLY, IN CONFIDENCE

6.6 Group Recovery Manager

Pre-emergency	During readiness, it is recommended CDEM Groups delegate their function to plan for recovery activities to either the Group Recovery Manager (as delegated under section 29 *CDEM Act 2002*) or to another suitably qualified and experienced person (for example, the recovery portfolio holder).

In delivering this function, the readiness activities include:

- Planning
    - Provide advice and assistance on planning and preparation activities to Local Recovery Managers (if appointed) and other agencies with potential recovery roles.
    - Help ensure that arrangements and procedures for local and CDEM Group-level recovery are in place, are being put in place or are being improved.
    - Plan with other CDEM roles, CIMS functions and Local Authority teams.
    - Establish recovery environment sector groups and appoint Chairs.
    - Ensure strategic planning for recovery is completed.
- Developing recovery capability
    - Determine recovery capability needs across the CDEM Group area.
    - Ensure capability is grown through training courses, on-the-job learning and assessment, and wider development programmes;
    - Participate in workshops, forums and conferences.
    - Collaborate within and across CDEM Groups and agencies.
    - Assist with building and maintaining relationships with and among local- and regional-level agencies, organisations and stakeholders.
    - Work with CDEM Group personnel and the CEG to elevate the status of recovery at the governance level.
- Exercising and testing
    - Exercise and test recovery arrangements to evaluate capability, identify gaps and issues, practice roles and responsibilities and implement lessons learned to continually improve recovery preparedness.
- Monitoring, evaluation and reporting
    - Monitor and report to the CEG and the Joint Committee on the capacity and capability across the CDEM Group in meeting their legislative requirements in relation to recovery.
    - Regularly report to the CEG and the Joint Committee on progress and outcomes.
    - Ensure post-recovery debriefs and/or reviews are carried out and lessons are incorporated into recovery arrangements.
- Public education and community engagement
    - Ensure local authorities engage with their communities to understand the likely consequences from specific emergencies, and their recovery priorities.

- o Support local authorities in education programmes to build public awareness of the likely consequences of emergencies and how to prepare for recovery.
- o Work with regional and/or local-level decision-makers and leaders to enhance the understanding of recovery and to promote its importance.

Refer to Section 8 *Preparing for Recovery* for detailed activities.

During response   Refer to Sections 9.3 and 9.4 for guidance on what a Recovery Manager, if delegated authority by the CDEM Group, should do during the response to an emergency.

During recovery   **Group Recovery Managers** and **Local Recovery Managers** are responsible for managing recovery at their respective levels and areas of appointment during transition periods. During transition periods, Group Recovery Managers and Local Recovery Managers must *'direct and co-ordinate the use of the personnel, material, information, services, and other resources made available by departments, Civil Defence Emergency Management Groups, and other persons for the purpose of carrying out recovery activities'.*[26]

During recovery management (whether a transition period is in place or not), the responsibilities of CDEM Group Recovery Managers are to[27]:

- undertake planning, and manage, direct and coordinate activities for the recovery throughout its duration and, if necessary, establish a CDEM Group Recovery Team and Office to manage the recovery function

- oversee and maintain an awareness of ongoing impacts and needs assessment, and review recovery activity and priorities according to information gathered

- liaise with, and adequately brief, the National Recovery Manager (where delegated) or MCDEM and, at the local level, a Local Recovery Manager or Managers where these are appointed by the CDEM Group

- lead the development of the CDEM Group recovery action plan to establish time-frames for the implementation of recovery activities

- facilitate communication between agencies and organisations undertaking recovery activities

- ensure implementation of appropriate reporting and tracking mechanisms and monitor the progress of recovery against the objectives and arrangements identified in the CDEM Group recovery action plan

---

[26] Refer to *CDEM Act 2002*, section 30A(1).
[27] Built on the *Guide to the National CDEM Plan* Section 32.8, p.9.

DRAFT ONLY, IN CONFIDENCE

- coordinate recovery activity of the relevant recovery sector groups/programmes, territorial authorities, lifeline utilities and agencies
- determine and prioritise major areas of recovery, and coordinate advice on regional assistance
- provide regional coordination of public information related to recovery
- ensure that, where possible, new measures are undertaken to reduce risks; and
- work with the recovery team, sector group / programme representatives, communities, and local authorities to develop a recovery exit strategy, and oversee the implementation of recovery exit arrangements to ensure that communities continue to receive the support they need.

More information

More information on the responsibilities of CDEM Group Recovery Managers during a transition period, including taking direction from National Recovery Manger and reporting after transition periods is in

- *Factsheet: Local Transition Periods,*
- *Factsheet: Powers of a Recovery Manager during transition*
- *Factsheet: Reporting on use of powers during a transition period*

on the MCDEM website www.civildefence.govt.nz.

Acting as Local Recovery Manager

A CDEM Group may appoint a suitably qualified and experienced person or persons to perform the function of a Local Recovery Manager. Where a Local Recovery Manager is not delegated authority by the CDEM Group, a CDEM Group Recovery Manager, with support from the affected Council, may fulfil the role.

6.7 Local Recovery Manager

Pre-emergency

During readiness, the Local Recovery Manager should:

- understand their role, responsibilities and powers available during a transition period
- help build relationships with (and among) community leaders, groups and local agencies and stakeholders
- ensure that arrangements and procedures for community and local recovery are in place, are being put in place or are being improved
- work with local decision-makers, leaders, Council and senior executives to enhance the understanding of recovery and the potential impacts of recovery management on the Council, and promote the importance and elevate the status of recovery
- work with other Local Recovery Managers and the CDEM Group Recovery Manager on planning (including strategic planning for recovery) and other preparation activities in the local or CDEM Group area; and

- contribute to and champion territorial authority strategic planning for recovery.

During response   Refer to Sections 9.3 and 9.4 for guidance on what a Recovery Manager, if delegated authority by the CDEM Group, should do during the response to an emergency.

During recovery   **Group Recovery Managers** and **Local Recovery Managers** are responsible for managing recovery at their respective levels and areas of appointment during transition periods. During transition periods, Group Recovery Managers and Local Recovery Managers must *'direct and co-ordinate the use of the personnel, material, information, services, and other resources made available by departments, Civil Defence Emergency Management Groups, and other persons for the purpose of carrying out recovery activities'.*[28]

During recovery management — regardless of whether a transition period is in place or not — the Local Recover Manager:

- leads the development of a local recovery action plan, ensuring that recovery environment sector groups and community input is sought and provided
- leads, facilitates and enables community engagement
- is the primary interface with territorial authority management and governance functions
- is responsible and accountable for financial processes, arrangements and budgets
- coordinates the ongoing activity of local recovery environment sector groups / programmes
- oversees or maintains an awareness of continued local impact and needs assessment, and reviews recovery activity and priorities according to information gathered
- facilitates communication between community leaders, groups and organisations undertaking recovery activities
- works with staff of centres for community recovery, if activated, to ensure that recovery-related services and information are available to the public, as appropriate
- liaises with other Local Recovery Managers and ensures information flows / is reported to the CDEM Group Recovery Manager, as required
- liaises with, and adequately briefs, the National Recovery Manager, where delegated, or MCDEM and the CDEM Group Recovery Manager
- monitors the progress of recovery against the objectives and arrangements identified in the local recovery action plan; and

---

[28] Refer to *CDEM Act 2002*, section 30A(1).

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16] 57

- works with the recovery team, recovery environment sector group / programme representatives, communities and the local authority to develop a recovery exit strategy, and oversees the implementation of local recovery exit arrangements to ensure that communities continue to receive the support they need.

Local Recovery Managers should regularly communicate with Council leadership and staff, and engage the whole organisation in recovery. This will help to ensure that:

- an appropriate level of resources are applied to recovery

- a 'drop-off' of interest and awareness of the event does not occur, and

- recovery staff are adequately supported.

Greater Council and senior executive awareness usually leads to greater organisational support for recovery management.

Following direction during a local transition notice

During a local transition period, the Local Recovery Manager may perform any of the functions and duties of, or delegated to, the Group Recovery Manager. The Local Recovery Manager may also exercise the powers of the Group Recovery Manager in the area the Group Recovery Manager is appointed[29].

If the Group Recovery Manager needs to direct the Local Recovery Manager during a transition period, the direction must be followed[30].

The Minister of Civil Defence may also direct the CDEM Group, Director CDEM or a person — notably a Recovery Manager or constable — to perform any functions or duties or exercise powers during a transition period[31].

6.8 CDEM Group Office / CDEM Staff

Group Emergency Management Offices (GEMOs), where established, or CDEM staff embedded in Territorial Authorities, support and/or manage the delivery of strategy and work programmes on behalf of the Joint Committee and the CEG. They usually coordinate day-to-day planning and project work prior to emergencies, and respond to advisories, warnings and emergency events as required. The involvement of GEMOs in recovery varies according to the delegations of each CDEM Group, and may include the pre- and post-emergency roles below.

Pre-emergency

Pre-emergency, as required by the CDEM Group, GEMOs and CDEM staff may:

---

[29] Section 30(1) *CDEM Act 2002*
[30] Section 30(2) *CDEM Act 2002*
[31] Section 94J *CDEM Act 2002*

58 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

- coordinate, manage and facilitate recovery planning and preparation activities
- provide recovery advice and assistance to recovery managers, local authorities, support agencies and recovery project teams
- assist with building and maintaining relationships with stakeholders who have or may have roles in recovery management; and
- work with recovery managers and the CEG to raise awareness of recovery among stakeholders.

During recovery   During recovery, as required by the CDEM Group, GEMOs and CDEM staff may:

- support the Group Recovery Manager in recovery planning and coordination activities
- establish a CDEM Group Recovery Team, including leadership of functions and support staff, as required
- support the development of the CDEM Group recovery action plan, and monitoring and reporting of progress; and
- support and advise Local Recovery Managers, as required.

6.9 Local Authorities

As members of a CDEM Group, individual local authorities have the same functions as the CDEM Group to '*plan and carry out recovery activities*'[32].

Local authorities must also ensure they are able to function to the fullest possible extent, even though this may be at a reduced level, during and after an emergency[33]. Recovery activities needed to support communities after an emergency rely heavily on the local authority's core business. For example, housing, infrastructure, funding, land use, community engagement and community development. These will significantly impact on local authorities and needs to be prepared for.

Local authorities need to understand the likely impacts on their core business and plan accordingly. They must ensure they have the capability, arrangements and protocols in place for recovery, and that they have a business continuity plan to ensure their core business is able to function following an emergency, taking into account the additional recovery activities.

Other roles of particular relevance to recovery include the roles of Territorial Authorities as lifelines utilities owners and operators, and the responsibilities of all local authorities for strategic planning for recovery as members of CDEM Groups.

_____

[32] *CDEM Act 2002* section 17(1)(e).
[33] *CDEM Act 2002* section 64.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   59

DRAFT ONLY, IN CONFIDENCE

| Territorial authorities (city and district councils) | Territorial authorities are at the forefront of recovery delivery and coordination. Territorial authorities represent their communities and are almost always first port of call for communities in need. |

Territorial authorities (city and district councils)

Territorial authorities are at the forefront of recovery delivery and coordination. Territorial authorities represent their communities and are almost always first port of call for communities in need.

The roles of territorial authorities in recovery are to:

- lead, promote and champion city-/district-wide investment in resilience including tackling gaps in hazard risk management policy, pursuing resilient urban development, increasing infrastructure resilience, safeguarding natural buffers, strengthening financial and societal capacity and investing in organisational resilience[34]
- lead and manage pre- and post-emergency recovery activities at the local level to bring about regeneration and enhancement of communities
- prepare for recovery prior to emergencies by ensuring that appropriate people, structures, planning and resources are not just fit-for-purpose but future-ready and adaptable; and
- provide a coordination point for recovery management at the local level, support for a local recovery manager, if appointed, and a local recovery team if required, including managing recovery claims and Mayoral Funds.

Regional Councils

Regional councils have an important role to play in supporting recovery preparation and management, often as a part of recovery arrangements at the CDEM Group level.

The roles of regional councils in recovery, depending on CDEM Group requirements and delegation, are:

- to provide support to CDEM Groups and/or territorial authorities in preparing for and managing recovery — this may be through the provision of staff to boost capacity or specialised skills, and planning and carrying out specific recovery activities in relation to their business-as-usual functions, i.e. river management; and
- to contribute to regional recovery management by providing agreed services to other CDEM Groups, local territorial authorities and their communities, as required.

Unitary Authorities

Unitary authorities have the responsibilities of both territorial authorities and regional councils

---

[34] From the National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā

60 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

6.10 Local Politicians (Mayors, Councillors and Regional Council Chairs)

Pre-emergency	As members of the CDEM Group, Mayors have functions under the *CDEM Act 2002* to plan for and carry out recovery activities. In planning for recovery, they need to:

- ensure sufficient resources are made available to enable coordinated recovery planning and implementation;
- ensure they understand their role and responsibilities under the *CDEM Act 2002* with respect to recovery, and how to undertake their role in accordance with the legislation
- ensure they understand the hazards and risks within their area, including the risk management measures in place to enable them to make informed decisions
- understand their communities, and build trusted relationships within their communities, to ensure they are well connected and able to represent them and support them should the need arise; and
- build relationships with leaders in their area across the private sector, lifeline utilities, iwi and government agencies.

During recovery	Governance leadership sets the whole tone and approach towards recovery management, and this shapes how recovery activities are managed to support communities. Experience from recovery events show that the following factors will greatly enhance recovery effectiveness.

- Highly engaged Mayors are the public 'face and voice' of recovery and are the primary political link between local authorities and communities.
- Mayors play an oversight role by understanding issues first, and providing linkages and liaison with local and central Government.
- Councillors, Chairs and Community Board members understand their roles and responsibilities during recovery, and actively engage in recovery. Active involvement of Councillors and Community Boards in recovery will allow community leaders or champions to step forward and utilise existing community networks and strengths.

In supporting their communities following an emergency, Mayors, Councillors and Chairs will:

- liaise with the Recovery Manager on recovery matters during response and recovery to keep up to date on the situation
- attend and participate in community meetings to provide information and support to affected communities
- act as spokesperson, providing information or statements to the media and Government officials on recovery activities
- communicate information to the affected communities, and act as a conduit between the communities and the Recovery Team, ensuring their issues, needs and concerns are raised and acted upon; and

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   61

- advocate to central government and the private sector for support, where necessary.

Mayors are also authorised to give, extend or terminate a notice of a local transition period for their district under the *CDEM Act 2002*[35]. They need to understand the legal tests that need to be met in order to do so, and familiarise themselves with the related guidance and forms that must be used.

The MCDEM Factsheet: Local transition periods and the MCDEM Quick Guide to giving notice of a transition period is available on the MCDEM website www.civildefence.govt.nz.

The forms for giving, extending or terminating a local transition period are in Schedule 2 of the CDEM Regulations 2003 and also available on the MCDEM website

6.11 Agencies, non-government organisations or clusters

Many agencies, non-government organisations or clusters[36] have roles to play in CDEM, including during recovery management. A comprehensive list of agencies, non-government organisations or clusters with roles and responsibilities in CDEM is provided in Appendix 3 of the *Guide to the National CDEM Plan*.

Additional information on the role and support that agencies and organisations can provide during recovery can be found on the MCDEM website www.civildefence.govt.nz.

6.12 Community Leaders and Influencers

Pre-emergency

The role community leaders and influencers have prior to an emergency is similar to the aspects of the roles of Mayors and Councillors. Community leaders have a role to play in:

- understanding their communities, and building trusted relationships within their communities, to ensure they are well connected and able to represent and support them should the need arise;
- raising the awareness and understanding of hazards and recovery in their communities
- building relationships with other leaders in their community including across the private sector and with iwi and local authorities; and
- contributing to shape their communities' visions and values by participating in community planning with their local authorities, iwi

---

[35] Refer to s25(5) of the CDEM Act 2002
[36] Cluster means a group of agencies that interact to achieve common CDEM outcomes.

62 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

or community groups, and encouraging others in the community to do the same.

During recovery

Following an emergency, new community leaders and influencers are likely to emerge.

In practice, community leaders and influencers will support their communities following an emergency. This may include:

- liaising with the Recovery Manager to inform them about the consequences for the community and the recovery progress
- attending and participating in community meetings, sometimes as a community spokesperson, to provide information and support to affected communities
- communicating information to the affected community and acting as a conduit between the community and the Recovery Team, ensuring community issues, needs and concerns are raised and acted upon; and
- advocating for support, where necessary.

6.13 Individuals and whānau

Pre-emergency

Prior to an emergency, individuals and whānau have a role in improving their own resilience and preparedness. This may include:

- understanding their risks
- reducing their risk factors, which could include insuring personal assets
- preparing family/whānau emergency plans
- helping to shape their communities vision and values and identifying collective resources by participating in community planning with their local authorities, iwi or community groups; and
- participating in community response and recovery planning.

During recovery

Recovery management is not possible without community involvement. Communities and individuals spontaneously begin their own recovery activities from the start of an emergency. During recovery, individuals and whānau may:

- participate in recovery planning, including contributing to the development of recovery objectives and priorities
- participate in the delivery of recovery activities
- lead community recovery activities/projects
- support friends, whānau and neighbours to recover
- make financial transactions to support economic recovery of a community; and

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]

63

DRAFT ONLY, IN CONFIDENCE

- rebuild personal assets/property.

6.14 Private Sector

Pre-emergency[37]

Pre-emergency private sector organisations and businesses can:

- *Understand their risks and invest in resilience* — make resilience a strategic objective and embed it in appropriate actions, plans and strategies. The continuity of their business, and the wellbeing of the people who rely on their products/services, depends on it. They need to include all aspects of their businesses, including employees, customers, suppliers and distribution channels, assets, information and any other factors influencing an organisation's prosperity or survival. Developing an understanding of all risks and associated consequences, will enable organisations to identify the appropriate actions to reduce risk and prepare for recovery.
- *Learn about and plan for recovery* — taking a holistic view of the likely consequences will enable organisations to understand the critical functions and actions that will be needed, and plan accordingly. The act of planning will allow roles to be clearly established, inform employees, suppliers and customers of steps the business will take to recover and will place organisations in a stronger, more agile, position.
- *Invest in organisational resilience and recovery arrangements* — plans need to be sufficiently practiced to enable organisations to become more agile and confident in managing their risks and able to adapt to unforeseen circumstances. It will enable gaps in arrangements to be identified and corrective actions to be taken to further strengthen their recovery preparedness.
- *Collaborate with others and build networks* — Organisations need to build broad networks with other organisations, central and local government and NGOs with similar objectives for risk, resilience and recovery. They need to identify and enable the contributions they can make to community recovery and to support other organisations to do the same.

During recovery

The private sector plays an important role during recovery. It supports:

- recovery activities by providing goods and services and specialist expertise;
- social recovery by providing employment and a sense of normality to employees
- economic recovery by enabling, encouraging or making economic transactions

---

[37] Adapted from *Contribution More – Improving the Role of Business in Recovery*, Resilient New Zealand

64 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- built recovery by rebuilding infrastructure that has been damaged; and

- natural recovery by regenerating and enhancing land that has been damaged.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   65

Section 7 Recovery Environments

This section describes the intent of recovery environments and information and examples of consequences in the recovery environments. This section should be read in conjunction with Section 2.3.

7.1 Intrinsic links and interconnections

Intrinsically linked and interconnected

It is important to understand that the features, activities and consequences within each recovery environment cannot be isolated from the other environments and are often difficult to separate.

Because of these linkages and dependencies between the different environments, disruptions within one environment will likely have a flow on effect to one or more of the others. In particular, any disruption to the built, economic or natural environments will impact the social environment. Recovery in one environment can be highly dependent on recovery in another, and a holistic approach to recovery planning and management is needed.

Community-centred

As described in Section 3, the community sits at the centre of recovery. All impacts across each environment need to be described in terms of the consequences for the community.

See Section 9 for examples of how impacts on the recovery environments can lead to consequences for the community.

Culture

The culture of a community, or social capital, should be considered within all environments. Culture/social capital includes the communities' norms, values and beliefs; how a community functions; and the communities' ways of life. It also includes things like trust, the rule of law, cultural identity and the connections between people and communities[38]. These characteristics need to be understood and should assist in understanding recovery environments and influence recovery activities and projects.

7.2 Cumulative and cascading consequences

Recovery environments are intrinsically linked with many interdependencies between them. There is also the potential for cumulative and cascading consequences from an emergency. When identifying the consequences of an emergency (refer to Sections 9.4 and 11.3 for more information), cumulative and cascading consequences need to be considered to ensure all possible consequences (and unintended consequences from recovery activities) are identified and addressed.

---

[38] National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā

66 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

Cumulative consequences	Cumulative consequences occur when individual impacts to a single component of an environment combine to form a significantly larger consequence than the individual impacts on their own. This combination may occur over time. For example, aftershock sequences following an earthquake can continue to significantly alter the hazardscape, and insurance processes can take time and involve delays and possibly disputes. Displaced individuals, families and whānau may have to move multiple times between emergency and temporary accommodation until they are able to return home or move to a new permanent residence. Businesses may also be affected by the same level of disruption. Land damage can affect the long-term viability of some buildings and infrastructure if it creates new hazard risks, e.g. rockfall, and decision making on mitigations can be complex and lengthy. These aspects and disruptions also significantly impact the social and economic wellbeing of individuals, families, whānau and the community, and need to be factored into understanding the consequences of the emergency.
Cascading consequences	Cascading consequences occur when consequences in one environment have a flow-on effect or consequence in another environment or location. Cascading consequences can be positive or negative. Cascading consequences can cross jurisdictional and geographic boundaries. An example of cascading consequences is a severe weather event causing partial or full disruption to the national power grid, which then has cascading consequences on business continuity and critical infrastructure[39].
Real world examples	A consequence of opening the transport corridor between Kaikōura and Hurunui following the 2016 earthquake and tsunami was improved community connections to social and economic opportunities, and hence social and economic recovery. The loss of the Port of Tauranga would have a significant regional and local impact as it is a main gateway for the economic community in the Bay of Plenty, but would also have a national economic impact as it is also the gateway for many North Island regional communities. Land zone changes following the 2010–2011 Canterbury earthquake sequence had cascading and cumulative consequences on the future shape of Christchurch City.

_____

[39] United Nations Office for Disaster Risk Reduction. 2019. Global Assessment Report on Disaster Risk Reduction Distilled. https://gar.unisdr.org/sites/default/files/gar19distilled.pdf

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   67

7.3 Social Environment

Impacts in the social environment are often difficult to measure and can therefore be difficult to identify and describe. Effective social recovery however is critical for enabling recovery in all aspects of a community.

What is the social environment

The social environment incorporates individuals, whānau and common-interest groups, and the relationships, communication and networks between them[40]. Key elements of the social environment include:

- safety and security
- health
- education
- welfare, and
- psychosocial.

A strong social environment is dependent on healthy built, economic and natural environments.

Influencing factors

The characteristics and experience of a community (or its social and human capital[41]) can, in part, determine the way a community reacts to an emergency. These characteristics include the:

- diversity of the community
- culture and values of the community
- the population makeup or characteristics
- belief systems
- individual and community experiences of previous emergencies, and
- community outlook.

The combination of these factors in the community can alter the way a community reacts to consequences in the built, economic and natural environments (refer to Sections 7.4 to 7.7 for more information).

Recovery in the social environment

Recovery of the social environment can mean different things to different people. For an individual, social recovery may mean returning to a meaningful life that they want to lead. Whereas for a community, social recovery may mean when people and the community have established a relatively stable pattern of functioning, regained a sense of control and are focused on their future[42].

Effective social recovery is essential for building community resilience and sustainability and recovery in other environments.

---

[40] Adapted from Australian Disaster Resiliency Community Recovery Handbook (AIDR 2018)
[41] Refer to the National Disaster Resilience Strategy Rautaki ā-Motu Manawaroa Aituā
[42] Canterbury Earthquake Recovery Authority 2016 Understanding Social Recovery

Recovery across the economic, natural and built environments hinges on:

- understanding the complexity and diversity of communities
- developing and strengthening partnerships between communities and national agencies
- working with communities to support the development of community connections and infrastructure
- continually assessing and monitoring needs, and adapting to these as they change; and
- integrating the activities of groups, organisations, and agencies providing health and welfare services to communities.

Evidence shows that community participation in recovery enhances the wellbeing and sense of belonging of people in those communities. This effect has been observed in those giving community support and those receiving support from their community.

Recovery of the social environment occurs across response and recovery activities in all environments. It is not something that is achieved solely through recovery activities in the social environment. Refer to Sections 7.1 and 7.2 for information related to the links and connections between different environments. However, there is a hierarchy when addressing consequences in the social environment. For example, safety needs and health needs are core and are a top priority, with other basic welfare needs coming after.

Community networks

Individuals, groups and communities compose networks and connections that are a part of the social environment. These networks or connections are both between people in the same community and between different communities and can be seen as the glue that binds different individuals and groups together. They can assist with bridging the gap created by an emergency as a community transitions from pre-emergency normality to a new post-emergency norm.

These networks can be formal or informal. Formal networks include work places or living in the same rating district. Informal networks include school pickup/drop-off points, shops, supermarkets, parks where people walk their dogs, livestock sale yards, sports fields and venues and cafés.

Social environment consequences

An emergency can disrupt the normal social interactions and activities of a community and can impact on the social environment.

Examples of consequences on the social environment include:

- psychosocial trauma, grief and stress from bereavement, injury or direct threat to life, personal health and safety
- loss of things that individuals value
- isolation or dislocation from home, school, family (including family separation) and support networks
- loss of pets, companion animals or livestock
- physical isolation from transport infrastructure damage and public transport closure
- financial hardship and an inability to maintain income-generating activities
- escalation of pre-existing social issues such as poverty, family violence, alcohol abuse and mental health
- loss or disruption of routines, relationships, social interactions, communication and familiar patterns of daily life
- reduced quality, access and timelessness in providing education, health, childcare and government and non-government services
- changes in recreational activities including community activities such as through Rotary, Lions or parent groups
- loss of future plans, hopes and aspirations; and
- loss, damage or threat to homes, property, assets, livestock, businesses, sources of income and social infrastructure including historical and spiritual places.

Safety and security consequences

The first priority in any recovery is ensuring the safety of people, particularly when:

- keeping people out of unsafe areas and/or buildings
- implementing emergency movement control measures (i.e. road blocks, checkpoints and cordons), and
- supporting people displaced by emergencies or those sheltering in place.

The security of people's homes and assets also needs to be protected. If people have been evacuated quickly, they may not have been able to secure their property before leaving. Unoccupied property can also attract criminal activity such as theft or vandalism. If properties need to be inspected for any reason, they need to be treated with respect, and even when forced entry is required, this should be done in a way that minimises damage.

Ensuring the safety and security of people remaining in the area may include:

- demolishing damaged buildings
- restricting access to damaged buildings

70 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- repairing sanitation and hygiene facilities or providing temporary facilities to allow people to return home
- evacuating people from the affected area;
- securing property, or
- increasing police presence to ward off criminal activity.

A range of agencies and organisations work together to ensure a community's sense of safety and security, including local authorities, CDEM Groups, health and disability services, police, emergency services and welfare services agencies.

Health consequences

During recovery, coordination between the CDEM and health sectors is crucial for minimising the consequences for individual and community health.

Health consequences from an emergency can include deaths and injuries, exposure to diseases and environmental hazards or individuals or groups being traumatised by their experiences.

Other health consequences can include:

- people being disconnected from their usual health care providers, medication and personal support systems due to being evacuated or isolated;
- damage or failure of medical infrastructure
- inaccessible case notes; or
- lack of medical staff due to personal impacts.

As well as providing health services, emergency medical facilities, and support to directly affected individuals, existing health services need to be maintained for pre-existing health needs. This can be difficult if health professionals are personally impacted by the emergency or health facilities and infrastructure is damaged.

The Ministry of Health and all other health and disability providers plan and coordinate to provide health and disability services in emergencies to ensure continuity of care and the ability to manage increased demand. Health sector agencies include district health boards (DHBs), Public Health Units (PHUs), Land and Air Ambulance providers and other health or disability service providers.

More information

More information is available at www.health.govt.nz.

Education consequences

Disruption to schools and early childhood centres can affect childrens' sense of normality and routine as well as their education. Disruption to the education system can also have consequences for family/whānau and communities as closure can stop parents returning to work and networking within their community.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   71

In response, schools can provide valuable shelter to displaced people; however, during recovery the focus needs to be on getting children and students back into classrooms.

Schools, with support from Ministry of Education when required, have plans in place for returning to normal operations.

Welfare arrangement consequences

An emergency can impact on people's welfare as they may have to leave their homes as a result of an emergency. Although sheltering in-situ (remaining in their usual place of residence or home) is best practice, it may not always be possible or safe to do so. If they are able to remain in-situ, their household services may be disrupted or impaired.

Impacts on an individual's shelter and accommodation can be short-term but may also be for many weeks, months or years. Finance, insurance, rebuilding or relocating compound the complexity on impacts on people.

Protecting people's welfare includes:

- providing shelter and accommodation
- providing household goods and services including food, water, clothing, bedding and other items or services necessary for warmth, cleaning, preparing food or general health and hygiene; and
- financial assistance.

Providing welfare services involves identifying and adapting to the changing needs of individuals and communities as time goes on, and ensuring that these needs are met in an integrated way.

Welfare needs may be identified at any time during recovery. This requires registration and needs assessment services to be continually available.

A critical first step in social recovery is to forge links with the CDEM Group or local authority welfare structure, especially with personnel (such as Welfare Managers) who may have been appointed to the Welfare function during response.

Welfare Coordination Groups (WCGs) or local welfare committees are made up of representatives of welfare services agencies, organisations and community groups. The input of WCGs will be essential for any planning or activity related to social recovery. WCGs will form a core part of any sector or project group supporting the social recovery activities.

Psychosocial consequences

Most people will experience some psychosocial reaction in an emergency, usually within a manageable range. A smaller number may exhibit more extreme reactions in the short-, medium-, or long-term and may require more in-depth support.

Irrespective of the duration of the recovery, psychosocial support is about easing physical, psychological and social difficulties for individuals, families/whānau and communities, as well as

72 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

enhancing wellbeing to support community recovery. With effective psychosocial support, other aspects of recovery will not further harm individuals or their communities[43].

Planning and early action is essential to effectively reducing and managing psychosocial consequences, and psychosocial support providers should be involved in pre- and post-emergency recovery planning[44]. Psychosocial support is one of the nine welfare services sub functions. The Ministry of Health and District Health Boards (DHBs) are the agencies responsible for coordinating psychosocial support to communities during and after an emergency.

Refer to *Community networks* in this section, *Community is the core* in Section 2.1 and Section 3 for more information on the psychosocial context.

More information

More information about psychosocial support in emergencies, how emergencies affect people, and delivering psychosocial support is available in the *Framework for Psychosocial Support in Emergencies 2016* on the Ministry of Health website www.health.govt.nz.

More information about welfare services, including psychosocial support is available in the *Welfare Services in an Emergency Director's Guideline [DGL 11/15]* on the MCDEM website www.civildefence.govt.nz.

More information about social recovery and the lessons Waimakariri District Council learnt from the Greater Christchurch earthquakes is available in the report *Social Recovery 101 A Guide for Local Social Recovery* on the Waimakariri District Council website www.waimakariri.govt.nz.

Who is involved

Some examples of the partners, agencies, organisations and groups in the social environment include the following.

- Iwi
- Local Authorities and CDEM Groups
- Ministry of Social Development
- Ministry of Education
- Ministry of Business, Innovation and Employment
- Ministry for Primary Industries
- Housing New Zealand
- Ministry of Health and District Health Boards

---

[43] Ministry of Health. 2016. Framework for Psychosocial Support in Emergencies 2016. https://www.health.govt.nz/system/files/documents/publications/framework-psychosocial-support-emergencies-dec16-v2.pdf
[44] Ibid.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   73

DRAFT ONLY, IN CONFIDENCE

- NGOs such as New Zealand Red Cross, the Salvation Army and Victim Support
- Community support groups
- Faith-based organisations
- Industry organisations.

7.4 Built Environment

Communities are highly dependent on services supported by the built environment. Recovery of built infrastructure is essential for recovery in the social, economic and natural environments, but it should not become the main focus of a recovery as it is likely to lead to imbalances in the recovery of the other environments.

What is the built environment

The built environment refers to the physical setting for human activity, including buildings and their supporting infrastructure. It includes physical assets that have a direct role in supporting incomes and material living conditions[45] such as:

- residential housing, including apartments
- commercial and industrial property
- essential services infrastructure that supports health and community services and education
- rural infrastructure
- public buildings and assets; and
- lifeline utilities.

It supports many services that communities rely on such as[46]:

- water supply, wastewater removal, power, gas and communications
- food production and distribution systems
- supply chains, which move goods around including food, construction material, fuel and fast-moving consumer goods
- public transport
- the building sector
- the health care sector
- education
- employment
- recreation
- tourism; and
- financial systems.

---

[45] Incorporating elements of physical capital. Refer to New Zealand Treasury. 2018. The Treasury Approach to the Living Standards Framework. https://treasury.govt.nz/sites/default/files/2018-02/tp-approach-to-lsf.pdf

[46] Adapted from Australian Disaster Resiliency Community Recovery Handbook (AIDR 2018)

74 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

Disruption of built infrastructure and services inhibit recovery operations and the capacity of a community to recover.

Residential housing

Residential housing can include houses, apartments, aged-care facilities, hostels and permanently occupied caravan parks.

Residential housing can be impacted in a variety of ways including direct destruction or damage or indirect causes such as lack of access or damage to lifeline utilities, such as sewerage, water or electricity.

Consequences of impacts on residential housing are significant. For example, it can result in:

- individuals and whānau having to relocate, disrupting access to their usual employment, education services and support networks
- displaced and dispersed communities
- difficulties in coordinating recovery as displaced people may not be able to access community recovery services
- housing and rental market fluctuations due to decreased housing stock and increased housing demand; or
- increase in premiums or a moratorium on insurance policies.

In an emergency where people are displaced from their homes, housing and associated services will be a priority. A collaborative effort between affected residents, insurers, local government, central government agencies developers and the construction sector (including builders and tradespeople) is required.

Residential housing strongly overlaps with the social environment, as it is fundamental to people's wellbeing, safety, security, self-sufficiency and ability to focus on other basic necessities.

It also overlaps significantly with the economic environment, as it will impact the affected residents' financial security. For example, ongoing payment of mortgages plus payment of additional rent for temporary accommodation where financial assistance is no longer available, increases or loss of insurance, or the cost of replacing furniture or other assets.

More information

More information about shelter and accommodation arrangements following emergencies, including temporary accommodation is available in the *Welfare Services in an Emergency Director's Guideline [DGL 11/15]* on the MCDEM website www.civildefence.govt.nz.

Commercial and industry property

Commercial property includes any building where natural resources, goods, services or money are either developed, sold, exchanged or stored[47]. Examples include banks, carparks, fire stations, libraries, offices, restaurants, storage facilities. Industrial property includes any building where people use material and physical effort to extract or convert natural

---

[47] *Building Regulations 1992*, Schedule 1 The building code, clause A1-Classifed Uses, section 5.0.1

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16] 75

DRAFT ONLY, IN CONFIDENCE

resources, produce goods or energy from natural or converted resources, repair goods or store goods[48]. Examples include agricultural buildings, factories, power stations, or warehouses.

Emergencies can impact the ability of businesses to operate from their premises; for example, due to destruction or damage to the property itself, contaminated debris (e.g. asbestos), health hazards (e.g. biochemical contamination) or loss of access or essential services.

This not only has consequences for the affected businesses, but also for the communities that are reliant on them. For example:

- employment
- banking and finance
- supply chains such as food and fuel
- waste management
- tourism or passing trade; and
- the service sector, e.g. cafes, supermarkets, restaurants.

Emergencies can have consequences for the local economy as businesses may not be able to operate out of their premises and may need to relocate, either temporarily or permanently. Or, if they are a large employer in the area, reduced operations or closure will have consequences for individuals and families that are reliant on regular income.

Some businesses may contribute to the wider New Zealand economy, for instance, a major manufacturing or processing plant or distribution centre. Any impacts on their ability to operate will have far wider economic consequences than the area directly affected by the event.

Recovery efforts will need collaboration between local authorities, central government, CDEM Groups, businesses, industries, insurers and construction sector to support rebuilding or repair of commercial and industrial property.

Essential services
Essential services infrastructure supports health and community services and education. It includes infrastructure and property of hospitals, health care facilities, childcare, schools, polytechnics and universities.

Infrastructure and property could be impacted through loss of buildings or access, or damage to supporting infrastructure (e.g. infrastructure that delivers lifeline utilities into the building), meaning the services that are provided from them can no longer operate.

Consequences of these impacts can include:
- the need to relocate people residing in facilities, some of which may have special or complex needs (e.g. hospital patients or aged persons)
- severely restricted services (e.g. urgent hospital care only); and

---

[48] *Building Regulations 1992*, Schedule 1 The building code, clause A1-Classifed Uses, section 6.0.1

- disruption of education with the potential cascading consequence of caregivers not able to work due to children being out of school or needing to travel greater distances to education facilities.

Addressing the consequences of damage to essential services is a collaborative effort between the local authorities, businesses, industries, insurers, lifeline utilities, health providers, education providers, the Ministry of Health and, potentially, developers. Consideration also needs to be given to building future resilience into these services to mitigate future risk as well as allowing for changes to the community that rely on these services; for example, changes in population density or demographic.

Rural infrastructure

Rural infrastructure supports daily lives and businesses in rural communities. It can include water infrastructure, farm buildings, productive land, factory and storage infrastructure, fencing, tracks, housing for seasonal staff, pasture and crops, machinery and horticulture, tourism, and aquaculture structures.

Rural infrastructure could be impacted by loss or damage. Impacted buildings or land may also pose a health and safety risk.

Consequences of these impacts can include:
- loss income or a reduced income — damage to infrastructure directly affects income; however, given the generally large investment, seasonal nature and delay in return for the primary sectors, often the impact is significant and long lasting
- disruption to operations (e.g. inability to milk dairy cows due to loss of power to milking sheds)
- damage to essential machinery or plant (e.g. damaged machinery may cause loss or disrupt harvesting of crops, forestry and aquaculture)
- loss of internal access tracks (e.g. animals may not be able to access grazing water, milking sheds or yards — they may have to walk further causing animal welfare issues such as lameness
- loss of power causing outages in fences — damaged fences can cause wandering stock, animal welfare and biosecurity concerns, and potential road accidents; and
- disruption to roads and lifelines, which can disrupt ease of daily life, and social networks (e.g. loss of access to schools, doctors, other services).

Public buildings and assets

Public buildings and assets and marae are an important contributor to community wellbeing and can include public libraries, sport or cultural club buildings, swimming pools, marae, community halls, war memorials, landmark sites, heritage-listed buildings, places of worship, entertainment venues or other significant community sites.

These provide spaces for the community to come together and feel a sense of social connectedness. This may be through arts, sports, dance or other social activities.

DRAFT ONLY, IN CONFIDENCE

Heritage buildings and structures, with a legacy of historic significance, help provide the link with the past and are likely to hold special meaning to the community; therefore, they are considered a high priority in recovery. During response or early stages of recovery there may be a need or desire to demolish these buildings as they may present a life-safety risk. However, the social value the community places on these sites means it may be more appropriate to isolate the sites, protecting the public while addressing the damage to the building or buildings.

Consequences of impacts to these facilities can include:

- loss of social and community group gathering places (e.g. communities group that used a hall are no longer able to meet or caregivers are no longer able to meet when their children are having swimming lessons)
- loss of education facilities (e.g. no children's swimming lessons due to a damaged pool), or
- loss of sense of community, culture or heritage.

Lifeline utilities

Lifeline utilities are critical for supporting recovery efforts.

Lifeline utilities include infrastructure and network operators in:

- energy (including electricity, gas and petroleum)
- transport (including road, rail, ports and airports)
- water (including potable, waste and storm water), and
- telecommunications (including broadcasting).

Lifeline utilities could be impacted in many ways such as loss of infrastructure (e.g. destruction of a power plant or downed power lines), damage (e.g. slip over a railway line), being severed (e.g. destruction of a bridge) or from lack of personnel to operate them due to personal disruption.

Consequences of impacts to lifeline utilities can include:

- sanitation systems not operating leading to health issues
- loss of water reticulation impacting humans, livestock, and processing facilities relying on clean water to continue operations
- firefighting being compromised due to lack of water
- businesses dependent on a lifeline will not be able to operate
- recovery activities being stalled or disrupted
- loss or reduced availability of goods, including perishable goods
- difficulties accessing communities, both for individuals wanting to leave an area but also for recovery workers getting into an area due to loss of transport infrastructure
- difficulties evacuating livestock and consequently livestock owners
- difficulties delivering services and supplies
- difficulties accessing health services and education
- disruption to fast-moving consumer goods or raw materials
- disruption of communication and information technology systems; and

DRAFT ONLY, IN CONFIDENCE

- decreased security and safety (e.g. lack of lighting, security systems or traffic signals).

More information

More information about lifeline utilities is available in the *Lifeline Utilities and Civil Defence Emergency Management Groups Director's Guideline [DGL 16/14]* on the MCDEM website www.civildefence.govt.nz.

Other considerations in the built environment

Other considerations for recovery in the built environment include:

- significant demand on land use planning, consent and infrastructure delivery (e.g. Waimakariri District Council experienced the equivalent of nine years of growth in three years following the 2010–2011 Canterbury Earthquake Sequences)
- waste management of building debris (e.g. Whakatāne District Council established a new waste management process for dealing with the waste caused by the 2017 floods)
- providing temporary services while permanent solutions are found
- potentially complex insurance claim processes or limited insurance coverage, slowing rebuild and repair
- complex remediation issues such as land damage not foreseen before the emergency, leading to delays in reinstating buildings and infrastructure
- public health concerns such as sewerage, sewage-contaminated ground and asbestos contamination
- health and safety of people working and accessing buildings, including home owners gathering belongings and volunteers assisting with clean-up
- providing services for feeding and housing companion animals.
- rural communities and businesses, including rural residential, and lifestyler.

Who is involved

As the built environment incorporates a broad range of human-made assets, there are a wide variety of individuals, agencies and organisations that can be involved in the recovery. Some examples include the following.

- Local authority Building Inspectors, Environmental Health Officers, Animal Control Officers, Land Use Planning, Urban Designers, Three Waters and Roading teams
- Engineers, architects, and tradespeople
- Ministry of Business, Innovation and Employment
- Ministry for Primary Industries
- Ministry of Education
- Housing New Zealand
- Ministry of Health and District Health Boards
- Fonterra
- New Zealand Transport Agency
- Telephone/communication operators
- Insurance Council, EQC, insurers and reinsurers

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   79

DRAFT ONLY, IN CONFIDENCE

- Lifeline utilities
- Rural Support Trust
- Local Business and Property Councils.

7.5 Economic Environment

A vibrant economy is vital to a sustainable community. However, when there are economic impacts from an emergency, economic recovery often relies on recovery of other environments, as well as being a driver of recovery in other environments. This is because economic drivers are often elements of other environments such as tourism, roading, infrastructure and a capable community able to return to work. Economic consequences are also often the result of impacts in other environments, such as infrastructure damage in the built environment, psychosocial impacts in the social environment or damage to the natural environment (e.g. leading to a reduction in tourism or farming), demonstrating how all areas of a community and environments are interconnected.

What is the economic environment

The economic environment broadly includes the production, distribution and consumption of goods and services, and financial assets that have a direct role in supporting incomes and material living conditions[49]. It incorporates individuals and households, businesses and enterprises of all sizes, infrastructure, and government. It also incorporates economic activity in the primary sector.

These can be categorised as:

- individuals and households
- business and enterprise, and
- Government.

When considering consequences on the economic environment, it is important to consider tangible and intangible impacts as well as direct and indirect impacts.

Tangible impacts

Tangible impacts are the loss of things that have a monetary or replacement value such as buildings or landfills.

Intangible impacts

Intangible impacts are the loss of things that cannot be bought or sold but which still have an economic consequence.

For example, ill-health caused by stress following an emergency is not something that can be bought or sold, but economic consequences of ill-health can include loss of income or medical costs for the government.

---

[49] Incorporating elements of financial capital. Refer to New Zealand Treasury. 2018. The Treasury Approach to the Living Standards Framework. https://treasury.govt.nz/sites/default/files/2018-02/tp-approach-to-lsf.pdf

For businesses, there may be a loss of confidence, affecting investment, or an inability to retain or attract experienced and skilled staff.

Direct economic impacts

Direct economic impacts result from physical destruction or damage caused by the emergency itself[50].

Direct economic impacts are often the easiest to plan for and identify after an emergency.

Indirect economic impacts

Indirect economic impacts are due to the consequences of the damage or destruction[51]. During recovery, attention is often focused on the more visible, easily identified direct impacts of an emergency. However, this can lead to indirect economic impacts being overlooked. For example, transport disruption can lead to business closure due to a lack of trade, or the loss of childcare meaning employees are unable to go to work.

Donated goods after an emergency can also cause indirect economic impact on local businesses. For example, if a large amount of clothing is donated, business may be taken away from local clothing and second-hand businesses or there may be disposal costs.

Positive impacts

Not all economic consequences caused by an emergency are negative. Some economic impacts may create an opportunity for new businesses to emerge or for some businesses to grow to meet demand.

Following the Canterbury earthquake sequence in 2010–2011, building activity increased by 150 percent in 2016 from its pre-quake levels, compared to an increase of about 20 percent for the rest of New Zealand[52].

New activity or businesses may fill a gap left by businesses or activity that has been impacted or closed due to emergency. New activity needs to be monitored to identify if any unintended consequences arise that impact on other environments. An example is an increase in people coming into an area to support a rebuild. These additional people can place extra demand on local housing, potentially driving up housing rental costs, which may affect local families who were already struggling with the cost of living. This could lead to higher demand for assistance from agencies supporting social environment recovery.

Individuals and households

Direct costs to individuals and households are through the loss or damage to property and assets, including:

- structures (roofs, walls, entire buildings)
- contents (furniture, floor coverings), and
- external structures (swimming pools, gardens).

---

[50] Australian Disaster Resiliency Community Recovery Handbook (AIDR 2018)
[51] Australian Disaster Resiliency Community Recovery Handbook (AIDR 2018)
[52] Reserve Bank of New Zealand https://www.rbnz.govt.nz/-/media/ReserveBank/Files/Publications/Bulletins/2016/2016feb79-3.pdf

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   81

Indirect costs include:

- additional costs (e.g. alternative accommodation, transport, drying-out, storage, medical, childcare)
- clean-up and debris removal costs
- insurance excesses
- planning and building consent fees, and
- loss of income.

At the microeconomic level, recovery involves restoring and/or protecting the incomes of individuals and families/whānau. This will mean finding ways to maintain employment security, salary and wage payments, access to bank accounts, and insurance and benefit payments. It may also mean:

- exploring opportunities for improving the livelihoods of community members in an altered economic environment
- providing ongoing advice and support to community members who must change (or choose to change) their livelihoods as a result of the emergency, and
- financial assistance, where applicable e.g. emergency accommodation subsidy from the Ministry of Social Development

Business and enterprise

Shocks and stressors, including emergencies, can have an effect on the presence or operation of industries or sectors in local communities and regions. Primary industries are particularly vulnerable to hazards such as high winds, flooding, wildfire, biosecurity incursions (including the need to de-stock), snow and drought. All industries and sectors rely on transport, power, water, communications networks and supply chains, which may be disrupted by emergencies.

Businesses — particularly small businesses — can be vulnerable after an emergency. This can then affect the local, regional or national economy. Businesses can suffer direct costs associated with:

- infrastructure loss or damage (e.g. structural damage to shops, factories, plant, sheds, warehouses, hotels), and
- asset loss or damage (e.g. farm equipment, food, product stock, crops, pasture, livestock, forestry, motor vehicles, fences, fixtures and fittings, furniture, office equipment).

Indirect costs that can affect businesses include:

- costs associated with the loss of production in manufacturing, agriculture and service sectors
- impacts on income/trade/sales/value added;
- increased costs, e.g. freight and input costs
- loss or disruption of supply chain networks
- increased work/demand
- virtual business interruption
- associated costs of traffic delays and extra transport operating costs
- loss of computer-controlled systems and data; and
- loss of lifeline utilities.

Businesses also play a key role in supporting recovery, as they are the vehicle of many recovery activities such as rebuilding. A vibrant economic environment is not just necessary for economic recovery but also for recovery in other environments. Recovery involves retaining, restoring and/or enhancing optimum trading conditions, and leveraging or building on local business capacity to renew and revitalise the local and regional economies.

This will mean:

- prioritising business interests across recovery activities
- prioritising the restoration of systems that support business operations (e.g. mobile networks, internet, roads) or finding alternative solutions for businesses while outages persist
- involving local businesses in the delivery of welfare services to the community, such as providing accommodation and household goods and services; and
- connecting businesses to expert and ongoing assistance, such as financial and technical advice and support.

In readiness, all businesses should be encouraged and supported to develop business continuity plans and review these regularly.

More information

See *Contributing More: Improving the role of business in recovery* published by Resilient New Zealand for lessons on business resilience.

Government

There are likely to be significant financial consequences for local, regional and central government. This can particularly be a burden for small local authorities, and needs to be prepared for during readiness.

Direct costs for local and regional government include:

- costs associated with damage to roads, bridges, public facilities, schools, parks, recreational areas and waterways
- loss of ratepayer base; and
- project management and maintenance costs of infrastructure rebuilding

There are many indirect costs for central government that are hard to quantify, but also need to be recognised. These include:

- increased demand on government services, e.g. health and welfare services
- loss of tax/rate revenue
- loss or reduction in exports due to supply disruption
- loss of business continuity and, in some cases, permanent loss of local industry
- costs of engaging extra resources and/or backfilling positions; and
- costs of commissioning inquiries and implementing recommendations.

DRAFT ONLY, IN CONFIDENCE

Who is involved	Economic recovery involves leveraging local, regional and sector-wide expertise (e.g. industry leaders, interest groups, employee representatives, and economic development teams or departments in local authorities). It also involves exploring opportunities for innovation and new partnerships both within and between sectors.

7.6 Natural Environment

The natural environment helps sustain community and individual health and wellbeing, the primary sector, and industry, and is central to many amenity and cultural values. Recovery of the built and economic environments rely heavily on the natural environment (e.g. for suitable land to rebuild and for physical and natural resources). Recovery of the natural environment is also critical for social recovery given peoples' connection to it.

Recovery activities themselves can impact the natural environment; for example, burning wood debris following a large flood releases particulates into the air. These need to be taken into account alongside other priorities when considering recovery options.

Rebuilding during a recovery will invariably have an impact on the natural environment. The need to fast-track the regeneration of the built environment should be balanced with allowing time to properly assess environmental impacts. Considerations may also need to give effect to environmental legislation (e.g. the *Resource Management Act 1991*) and may include emergency works.

It is important that the right balance is found for each community — this discussion can be started during pre-emergency planning. There may also be benefits and opportunities that can come from finding ecologically-friendly, innovative and sustainable solutions.

Real world example	An Australian study into bushfire recovery found that people who reported feeling connected to the natural environment had better psychosocial outcomes[53].
What is the natural environment	The natural environment incorporates ecosystems and their constituent parts that support life and human activity, including natural and physical resources, the qualities and characteristics of areas and features, and their amenity values. It includes natural ecosystems such as estuaries and marine habitats, and also man-made natural spaces such as parks and reserves and recreational tracks.
Amenity Value	Many elements of the natural environment have great significance or amenity value for communities. Amenity value describes aspects of our

---

[53] https://beyondbushfires.org.au/__data/assets/pdf_file/0003/2183511/Web_Beyond-Bushfires-Final-Report-2016-copy.pdf

84 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

physical environment that have some form of recreational, cultural or social importance. Places with an amenity value include:

- parks, public gardens, waterways, ecological reserves, Māori Customary and Māori Freehold land, Māori land[54], and scenic tracks and lookouts; and
- swimming pools, sports grounds, bike or skate parks and other places for recreation.

The amenity value of something may be in addition to the physical or ecological value it has. This could be for a variety of reasons, including:

- there is an association with a community's collective identity, history or tīpuna
- it provides a way of getting exercise, socialising or enjoying the outdoors
- it provides protection to vulnerable landscapes, e.g. sand dunes or wetlands
- it provides an educational resource; or
- it contributes to the local economy via employment or tourism.

When considering consequences to the natural environment, it is important to consider components that might have an amenity value that supports the overall resilience of the community.

Natural environment consequences

To describe consequences in the natural environment following an emergency, it is helpful to break down the natural environment into four elements.

- Air
- Water
- Land and soil
- Plants and animals —animal welfare and companion animals are commonly considered as part of the social environment.

Air

Impacts to air quality can be as a result of particulates, chemicals or biological aerosols.

Consequences can include:

- immediate health effects (e.g. asthma)
- long-term health effects (residual pollution)
- wind erosion denuding landscapes
- death from reduced air quality (e.g. smoke); and
- contamination of waterways, crops and livestock.

---

[54] Including Customary and Māori Freehold Land, General Land Owned by Māori, Crown Land Reserved for Māori, treaty settlement reserves, mahingā kai and fishing rights areas.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   85

DRAFT ONLY, IN CONFIDENCE

Further air contamination (or secondary contamination as a result of air contamination) and exposure of people and animals should be minimised where possible.

Water including surface, ground, marine and artificial storage

Emergencies can impact water resources both in terms of the quality of the water and the quantity available.

Water quality can be affected by biological, particulate or chemical contamination, and water quantity can be affected by changes in water flows or storage capacity.

Consequences as a result of impacts on water quality or quantity include:

- loss of drinking water, leading to health effects
- loss of livestock and crops from lack of water
- loss of recreational water areas
- reduced production and manufacturing; and
- loss of useable land from a changed water course.

Planning and management of water use has increasingly been focused on sustainability by safeguarding water quality and ecosystems while meeting the social and economic needs of communities.

Real world example

Following the Whakatāne flooding in 2017, the Local Authority Recovery Office undertook an analysis of erosion that had occurred around waterways. This analysis quantified the extent of erosion and was used to determine the economic impact on the primary sector, as well as inform future planning of housing and land survey activity.

Land and soil including rocks, soil, landscapes

Land and soil can be impacted in many ways, including:

- erosion
- deposition
- contamination
- compaction, and
- damaged landforms and landscapes.

This can result in consequences that include:

- reduced productivity of farmland
- loss of land from erosion
- loss of aquatic habitats
- increased risk to future events (e.g. flooding and rockfall)
- loss of geographically significant areas or landforms, and
- loss of recreational areas (e.g. walking tracks and infrastructure).

Recovery provides an opportunity to consider how land use can support reduction of risk from future hazards and build resilience, particularly around coastlines and in areas prone to flooding.

Managing land use is a central function of local authorities, and an equally critical element of recovery planning. Making development ecologically sustainable and resilient is a key priority in both business-as-usual and recovery contexts.

Plants and animals	Biodiverse environments are those where variety exists and thrives — within species, between species and between ecosystems. As the impacts of human development are examined, both globally and locally, more emphasis is being placed on biodiversity as a cornerstone of sustainability and resilience.

Plants and animals can be impacted in many ways, including:

- biosecurity incursion
- loss of habitat
- disease
- pollination, and
- loss of species and populations.

The resultant consequences can include:

- disturbed, destruction or contamination of marine habitats reducing species population and affecting fisheries (e.g. sea-grass damage from sediment deposition or uplifted seabed exposing sub-tidal habitat)
- loss of habitats for bird life reducing horticulture productivity due to reduced pollination.
- loss of nationally significant species
- reduced horticultural productivity due to increased concentration of pests; and
- damage to forestry plantations causing downstream damage or the need for immediate processing.

Recovery involves considering interactions within and between whole ecosystems, rather than focusing on a single species. While action is often needed to protect vulnerable species (such as New Zealand's native birds), a holistic suite of measures may be necessary to:

- maintain and improve air, water, soil and landscape quality; and
- actively support various species to recover and thrive.

Wāhi tapu	Wāhi tapu are places or sites sacred to Māori in the traditional, spiritual, religious, ritual or mythological sense[55]. A wide range of places may be considered wāhi tapu, including urupā (burial grounds) or places associated with ancestors, tīpuna, or traditional or historic activity. Wāhi tapu often include features of the natural environment, such as particular streams, hills or tracts of forest.

A participatory approach is essential for evaluating the importance of particlar places and deciding how measures for wāhi tapu can be incorporated into recovery planning and management.

---

[55] Section 6 *Heritage New Zealand Pouhere Taonga Act 2014*

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16] 87

DRAFT ONLY, IN CONFIDENCE

Waste Management	Waste management must also be considered in the natural environment. Waste can be created from the emergency itself, such as silt deposition during flooding, or can be the result of recovery activities such as building demolition.
	Activities in the early stages of recovery must address the immediate and long-term adverse consequences of the emergency on waste systems and sources of contamination or pollution.
	Also any action taken across all of the recovery environments must consider long-term implications for the health of communities and the environment.
	Regarding waste management, the actions to consider include:

- Assessment of damage to waste systems, and identifying sources of contamination or pollution;
- Avoidance or limitation of exposure of people, animals, ecosystems, or the landscape to contamination or pollution;
- Examination of environmental impacts for planned recovery activities, or those that are already being undertaken;
- Maintaining or finding alternative solutions for waste systems, while minimising further impact on the environment;
- In the regeneration of the built environment, consideration of ways to :
    - make waste systems more ecologically friendly; and
    - find practical solutions for reducing contamination or harmful emissions from industry.

Real world example	Following the Whakatāne floods of 2017, Whakatāne District Council had to design new processes for desposing of waste produced by clearing out flood-affected houses. The existing business-as-usual process was not robust enough to deal with the quantities of waste in an efficient manner.
	A severe weather event in March 2019 caused erosion along the Fox River on the West Cost of the South Island, which resulted in rubbish from an old landfill being deposited in the river and along the coast. A substantial clean-up effort was needed to remove the rubbish and, in July 2019, options for permanently securing the landfill are still being considered, including complete removal of all the rubbish to another site.
Who is involved	Recovery in the natural environment is the result of collaboration between communities, iwi, environmental experts and specialist agencies, and environmental teams or departments from local authorities.

7.7 Other Environments

The four recovery environments incorporate all aspects of a community, ensuring aspects are considered when identifying consequences of an emergency. Depending on the desires of the community, additional environments may be adopted to highlight or focus on particular aspects of

the community and ensure consequences in these areas are not overlooked. Examples of these environments include cultural and rural.

Cultural   The cultural environment can incorporate aspects of a community that have cultural, social or amenity values. It could be the character of a suburb (e.g. the Art Deco character of Napier's central business district); the arts; historical buildings and places; and cultural, community and sport events and activities. Cultural aspects should also be considered in other environments. e.g. historical buildings in the built environment, and sport activities and the facilities that allow for them in the social, natural and built environment.

Rural   The rural environment is predominantly focused on the primary industries sector. It incorporates elements of the social, built, economic and natural environments but from a primary industries perspective.

Careful consideration needs to be given as to whether consequences for lifestyle blocks, Māori land and households living in remote areas are incorporated in this environment or if they are considered to be in another.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   89

PART B: Preparing for Recovery

90 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Part B of the Recovery Preparedness and Management Director's Guideline provides guidance on how CDEM Groups and local authorities need to prepare for recovery. It makes links to strategic planning for recovery and provides guidance on operational recovery planning and setting the foundations to be better ready to manage recovery.

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

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

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   **91**

Section 8 Preparing for Recovery

Considerable work is required prior to emergencies to ensure that CDEM Groups, territorial authorities, partner agencies and communities are ready for recovery.

It may not always be possible for additional staff to assist the Recovery Manager during response because of the high demand response has for resources. This is especially if the local authority affected by the emergency is a small authority. Recovery Managers need to consider how they will access the needed support and expertise during response and factor this into pre-planning.

This section describes what CDEM Groups and local authorities need to do before an emergency when preparing for recovery, and how this relates to the requirements for Strategic Planning for Recovery.

8.1 Why do we need to prepare for recovery?

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

In the same way that we prepare for response (which is shorter and less complex than recovery), we must also prepare for recovery, enabling us to support individuals and communities recover and navigate this complexity. Preparing for recovery by establishing processes, procedures and protocols before an emergency for coordinated post-emergency recovery planning and implementation greatly enhances the speed and success of recovery[56].

Preparing for recovery:

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

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

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

---

[56] FEMA 2016 National Disaster Recovery Framework, Second Edition

92 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- **clarifies roles and responsibilities** in recovery

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

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

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

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

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

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

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

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

Understanding community values and priorities for recovery

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

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

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

Knowing what is important	As well as understanding a community's values and priorities for recovery, organisations that lead recovery need to understand the potential consequences and opportunities from capability; capacity and leadership needs; specific hazards and risks; the critical success factors for recovery; and how recovery activities will be managed, prioritised, communicated and monitored, and evaluated.
More information	More information about understanding community values and priorities and what is important prior to emergencies is available in the *Strategic Planning for Recovery Director's Guideline* on the MCDEM website www.civildefence.govt.nz.

8.2 Strategic Planning for Recovery

Legislative requirement for strategic planning for recovery	Under the *CDEM Act 2002*, CDEM Groups are required to state and provide for strategic planning for recovery from the hazards and risks in their Group plan. Strategic planning for recovery focuses on determining what CDEM Groups and each member need to do to ensure their communities are well-placed and supported to recover from any emergencies resulting from the hazards and risks identified in the CDEM Group plan.
	Strategic planning for recovery identifies actions that can be taken before an emergency to reduce the consequences of an emergency. It is also an opportunity to build the correct foundations before an emergency so communities are well-placed and supported to recover. These foundations allow for recovery to be supported and managed effectively when an emergency occurs.
	The actions required in strategic planning for recovery prior to emergencies are:

- understand community values
- establish community visions, goals and priorities
- understand the nature of communities across the four environments
- understand hazards, risks and consequences
- link recovery planning to existing and future reduction programmes
- improve recovery management capability, capacity, collaboration and leadership
- develop a performance framework for monitoring and evaluation; and
- implement strategic recovery actions.

Preparing for operational recovery management	While the above actions are required for strategic planning for recovery, planning is also required to ensure preparedness for the operational management of recovery following emergencies. This planning is complementary to the requirements of strategic planning

DRAFT ONLY, IN CONFIDENCE

for recovery and are explained in more detail in the following sub-sections.

Linking recovery to risk reduction

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

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

More information

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

8.3 Operational Recovery Planning

Purpose of operational recovery planning

Operational recovery planning ensures that:

- scalable, flexible and adaptable procedures, processes and ways of working during recovery are agreed and established
- training is provided to ensure that procedures and processes for recovery management are well understood and that recovery personnel are able to apply them (refer to Section 8.1)
- governance and coordination arrangements and structures can be implemented quickly to ensure timely and efficient support to affected communities
- information is collected, collated and protected
- the consequences of the emergency are minimised
- duplication of effort or inefficiencies are minimised; and
- confidence in the ability to manage recovery activities is gained by the communities and wider stakeholders.

Considerations

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

- recovery governance
- relationship building and management
- coordination arrangements
- professional development and training
- information management

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   95

- financial arrangements

- monitoring, reporting and review; and

- the processes for starting recovery, and moving from response to recovery (refer to Section 9 for more information).

Other key arrangements

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

These arrangements include the following.

- **Streamlining processes** to be used in recovery including processes that determine the arrangements and efficient recruitment of a Recovery Team.
- **Emergency business transaction arrangements** with contractors. This may involve preparing Memorandums of Understanding or pre-preparing contracts.
- **Knowing how to 'activate' recovery** (refer to Section 9) including knowing the initial steps and actions to take, where to seek relevant information and support, and how to fill out appropriate forms like transition notices.
- **Building management processes** including requirements for building assessments, resources, how demolitions will be handled, where waste will be stored and how hazardous substances will be identified and dealt with, including working with Building Control Managers;
- The process for **determining when the scale of recovery is larger than can be dealt with locally** and what additional support may be required and where it will be sourced from. This includes considering how arrangements for locally manageable recoveries can be bolstered and supported by other CDEM Groups or national agencies.
- Establish **systems and processes for damage assessment and welfare needs assessment** including the collection and collation of assessment information, including working with Welfare Managers.
- Knowing who will be **the face or spokesperson for recovery**. Different leadership skills may be needed for different phases of the recovery, which may alter who leads or is the spokesperson for recovery.

Scenario-based planning

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

indication of the scale and recovery consequences required to be managed post-emergency.

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

8.3.1 Monitoring, Evaluation and Reporting

Pre-emergency

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

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

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

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

More information

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

8.4 Recovery Governance

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

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

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

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   97

DRAFT ONLY, IN CONFIDENCE

Good governance	Good governance is[57,58]:

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

Good governance in recovery:

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

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

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

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

In other words, it is about how recovery is collectively managed and overseen at the highest level and considers where recovery is now, where it is going and what is needed to get there. It can be simply defined as the process of joined-up thinking and decision-making, and the process by which decisions are implemented (or not implemented)[59].

There are many layers of governance, including[60]:

- local authorities
- CDEM Groups
- central government
- iwi
- non-government organisations

---

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

98 Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- community groups
- community leaders
- the private sector, and
- politicians.

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

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

Who is responsible for governance?

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

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

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

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

- key community leaders
- iwi representatives
- agency representatives, e.g. the New Zealand Transport Agency if there is considerable damage to a state highway; and
- subject matter experts for local knowledge, service delivery or advice.

The exact makeup of the strategic governance group may vary for each recovery depending on the scale and consequences of the emergency. However, people that are likely to be involved need to be aware before an emergency of their roles, responsibilities, accountabilities and functions, and the process for decision-making during recovery.

Governance responsibilities

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

A governance group is responsible for:

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

Real world example

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

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

Operational recovery management

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

Management is responsible for:

- implementing decisions of the strategic governance group
- identifying, understanding and taking action on priorities

- developing recovery objectives, a Recovery Action Plan, a recovery plan/strategy and an exit strategy
- coordinating and managing recovery activities
- identifying, obtaining and distributing resources
- promoting community self-determination and supporting community-led initiatives
- engaging and communicating with the community
- monitoring and reporting on recovery, particularly to the strategic governance group; and
- controlling expenditure and maintaining accountability.

Who is responsible for operational recovery management?

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

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

Fitting with business-as-usual structures

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

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

Decision-making processes

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

8.5 Relationship building and management

Importance of relationship building and management

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

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

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

Benefits of relationship building and management

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

Primary relationships required at the local level

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

- Territorial Authority staff and Councillors: Chief Executives and senior management teams; Mayor and Councillors; senior managers, especially those responsible for infrastructure, building consents, community development, communications and information management
- the Local Controller and Local Welfare Manager
- the CDEM Group Recovery Manager
- the MCDEM Regional Emergency Management Advisor
- emergency management officers and local recovery office staff;
- local recovery environment sector group representatives and Chairs across the environments
- iwi leaders
- local community leaders and contacts; and
- business leaders and business groups.

Primary relationships required at the CDEM Group level

The primary relationships required for a Recovery Manager at the CDEM Group level are with:

- the CDEM Group Joint Committee, CEG and CDEM Group Manager
- the MCDEM Regional Emergency Management Advisor
- the National Recovery Manager (if delegated) and the MCDEM Recovery Team
- regional representatives of Government agencies and organisations
- the Group Controller and Group Welfare Manager

102

Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- Local Recovery Managers
- recovery environment sector group Chairs and representatives
- iwi leaders; and
- Group Recovery Office managers and staff, particularly those in planning and intelligence, information management and public information management.

More information

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

8.6 Recovery coordination arrangements

If collaboration fails, recovery efforts can be hampered, causing delays and – in the end – poor outcomes for affected communities[61].

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

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

Coordination arrangements

Recovery coordination arrangements need to be based on arrangements that have proven to be effective over the long-term and that are complementary to existing CDEM arrangements and best practice.

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

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

A fundamental recovery management arrangement is shown in

---

[61] Office of the Auditor-General (2012), *Roles, responsibilities, and funding of public entities after the Canterbury earthquakes*, page 9

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]

103

. It is a more detailed view of the local and regional level in Section 5.5. There are connections with the CDEM Group (when applied at a local level) and national level that are not shown in

. Refer to *Accountability and communication lines* below for more information on accountability and communication lines between the layers.

104
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE
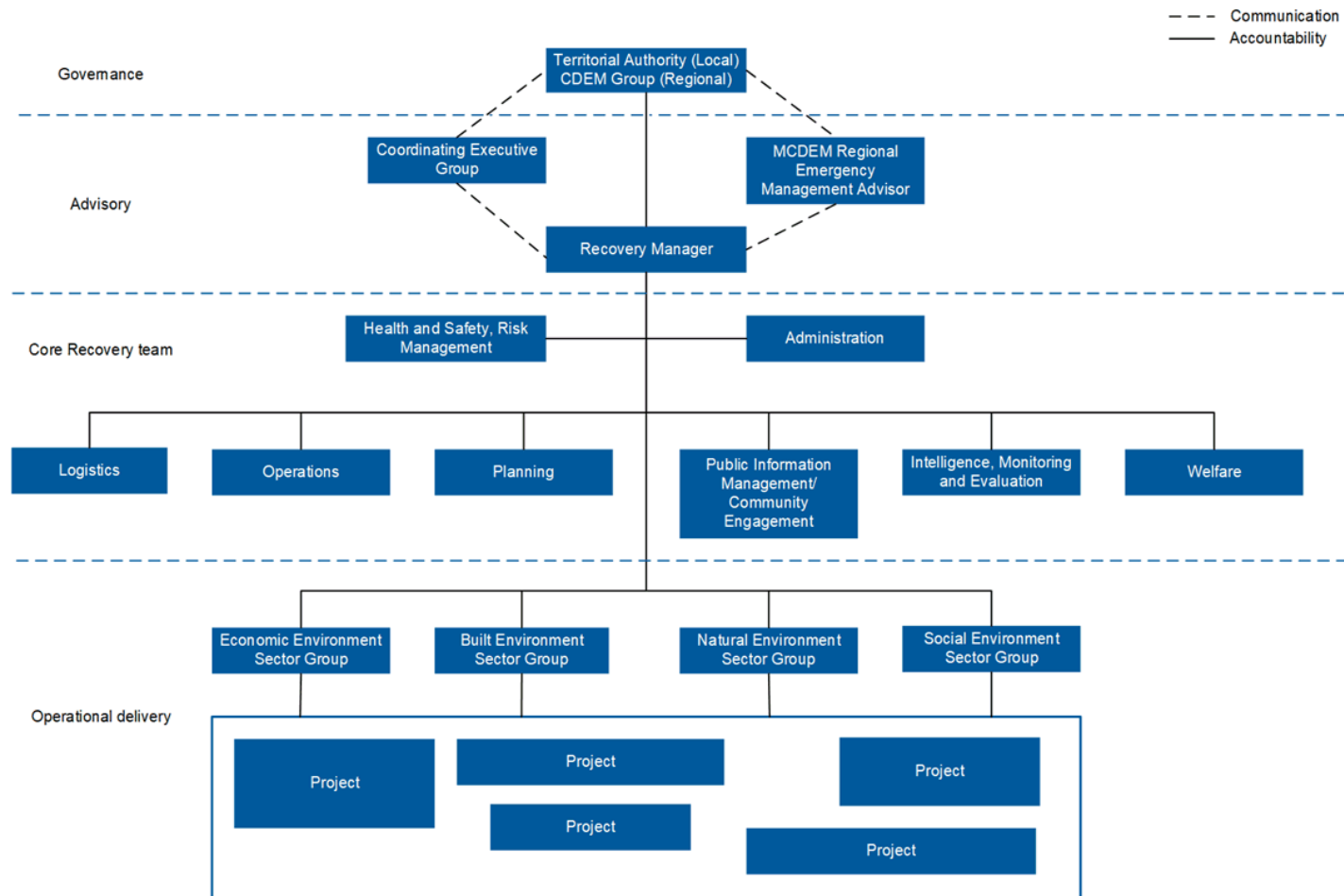
Figure 7: Fundamental local and regional recovery management arrangements

DRAFT ONLY, IN CONFIDENCE

Recovery offices

A recovery office is a facility that may be established to consolidate the recovery arrangements and to provide a centralised location for the Recovery Manager, the Recovery Team and others supporting recovery to work from. Recovery offices at the CDEM Group and local level should be set up using the recovery management arrangement outlined above and the considerations in Section 11.4.

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

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

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

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

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

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

- *Staffing:* How a Recovery Team/Office is staffed needs to be considered pre-emergency. For example, will staff be seconded to the Team and their business-as-usual roles backfilled? Refer to Section 11.4 for more information.

Accountability and communication lines

A key factor that the CDEM Group needs to determine in pre-emergency operational planning is reporting and communication lines.

 provides an example of these in the fundamental local and regional recovery management arrangement.

Accountability lines are lines of management or, in other words, who someone is accountable to. For example, the Local Recovery Manager is likely to be accountable to the local authority Chief Executive[62].

Communication lines are where information flows. For example, the Recovery Manager needs to keep the Chief Executive, Mayor, CDEM Group Manager, Joint Committee and MCDEM informed about progress, risks and issues. This includes reporting to MCDEM so they are able to inform the Minister of Civil Defence (refer to Section 6.1 for further information on MCDEM's reporting role in recovery).

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

Link to starting recovery and moving from response to recovery

Clear coordination arrangements will assist management of the initial stages of recovery and the process for moving from response to recovery. Recovery Managers must be familiar with the arrangements during the response phase that lead into recovery management (refer to Sections Section 9 and Section 10).

8.7 Professional and Capability development

Overview

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

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

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

The role of Recovery Managers[63]

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

---

[62] This doesn't exclude a Local Recovery Manager needing to follow any direction given by the Group Recovery Manager during a transition period. Refer to *Following direction during a local transition notice* in section 6.7 for more information.
[63] Refer to sections 0 and 0

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   107

Recovery capability and capacity	The capability and capacity needed to support recovery activities needs to be identified as part of strategic planning for recovery. This will help identify where these skills can be sourced from within local agencies and organisations, and how regional and central government support can be accessed and support collaborative work in developing relevant capabilities.

8.7.1 Capability development and exercising

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

- CDEM fundamentals
- Recovery team roles and activities
- agency roles and expectations
- welfare management, and
- building and infrastructure management.

Exercise programmes	Recovery exercise programmes should be appropriate to staff development needs, ensure regular training opportunities and, where practicable, be conducted in conjunction with response exercises.
	Regular testing of recovery plans through exercising is an appropriate way to ensure that arrangements are up to date and workable.

8.7.2 Professional development and training for Recovery Managers

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

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

- The principles of CDEM and recovery
- Coordinated Incident Management System (CIMS)
- recovery roles and responsibilities, including CDEM Group Joint Committees, Coordinating Executive Groups, Territorial Authorities, recovery sector environment groups and Government
- CDEM Group Plans, CDEM Group Recovery Plans and Local Recovery Plans, Annual Plan and Long-term Plan process; and
- the MCDEM Recovery Preparedness and Management Director's Guidelines (this document).

DRAFT ONLY, IN CONFIDENCE

Core training requirement	The core training requirement for all Recovery Managers (Group, Local, and their alternates) is completion of the Response and Recovery Leadership Programme and relevant regulations for training if developed in the future.
Capability Framework	The Response and Recovery Leadership Capability Framework defines the essential and desirable attributes of Recovery Managers across six capability domains: • self • influence • relationships • strategic ability • people, and • values.
Leadership	A Recovery Manager needs to be able to facilitate the development and articulation of a recovery vision, creating an environment that empowers others to act and succeed. They also need to develop and embed personal and organisational resilience. Recovery Manager leadership is demonstrated through strategic decision-making via empathy, realism, consistency and communication. Leadership skill development for a Recovery Manager is critical. Refer to Section 9.1 for further information about *Leading in Recovery Management*.
More information	More information on the Response and Recovery Leadership Capability Development Programme is available on the Department of the Prime Minister and Cabinet website https://dpmc.govt.nz.

8.7.3 Controllers, recovery environment sector group chairs and recovery team/office personnel

Professional development for other recovery staff	Controllers, recovery sector group chairs and recovery team personnel should develop an understanding of recovery management via an induction or targeted training. Professional development and training methods for all recovery personnel can include: • Participating in local training programmes covering CDEM and recovery fundamentals • attendance at recovery forums • completion of the Integrated Training Framework course Introduction to Recovery and others when available

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   109

- brief exercises at regular meetings
- including recovery roles and responsibilities in job descriptions and succession planning, and
- cross-CDEM Group collaboration.

More information

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

8.8 Information Management

Information management is a critical element of recovery management as it enables decisions to be made to ensure that the needs of the community are met.

It is critical that systems and processes for information management are prepared in advance of an emergency. Information management needs to be considered at both the CDEM Group and local levels prior to an emergency, including processes for collection; management of information; and how the information will be collated, disseminated and reported upon at the CDEM Group and local level. These systems and processes should be based on those used during business-as-usual and/or response, where appropriate. If existing processes and systems are not fit-for-purpose, new ones will need to be developed.

Information management is a challenge during recovery due to the need to bring together information from a wide variety of sources, collate information in a way that informs decision-making, and maintain the integrity and security of the information.

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

- welfare needs and residential building assessments at a property scale
- public and commercial building damage assessments
- lifelines utilities damage assessments, which often apply to multiple infrastructure providers;
- environmental damage assessments; and
- community engagement results.

Privacy

There may be privacy concerns with sharing information, particularly personal information. See Section 11.9 for more information about the *Privacy Act 1993*.

Considerations pre-emergency

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

- Standardised data and information management on a shared platform.

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

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

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

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

8.9 Financial arrangements

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

CDEM Groups, agencies and organisations need to financially plan for recovery so that funding mechanisms are in place to allow for quick access to funding, particularly in the early phases of recovery.

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

Pre-emergency, CDEM Groups and each member need to establish local funding structures and processes, (including establishment of delegations) as well as understand central government funding support and reporting requirements.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   111

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

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

- Funding arrangements for Recovery Managers, staff and offices at both the CDEM Group and local level during recovery management, including the ability to back-fill business-as-usual positions.
- Territorial Authority funding processes, mechanisms and arrangements for recovery management, and how these relate to CDEM Group funding arrangements.
- Processes for establishing and managing regional or local relief funds, including governance and disbursement arrangements. It is recommended that these funds are established prior to an emergency with a terms of reference and scope clearly articulated, the trustees identified, and the processes for application clarified.
- The level of insurance of assets that may be damaged in an emergency, including the cost of replacement versus insurance.
- Council insurance policies, including what they do and do not cover, for example do they allow for backfill of business-as-usual staff if they are seconded to the recovery team.
- The threshold to be met by the local authority before government financial support is applicable.

Financial assistance for affected communities

Financial assistance is a Welfare services sub-function that involves providing information about, and access to, the range of financial assistance available to people affected by an emergency.

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

Refer to Section 11.13.3 for more information.

Government financial support to local authorities

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

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

More information

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

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

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

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   **113**

DRAFT ONLY, IN CONFIDENCE

[Intentionally blank]

114
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

DRAFT ONLY, IN CONFIDENCE

PART C: Managing Recovery

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   **115**

In the recovery principles stated in the *National CDEM Plan 2015*, there are four principles that reflect how a recovery needs to be managed.

- Recovery consists of coordinated efforts and processes to effect the immediate, medium- and long-term holistic regeneration and enhancement of a community following an emergency and requires agencies and CDEM Groups to work together in establishing shared goals, priorities, strategies and information needs.
- Recovery involves the community and activities across the four recovery environments — social, economic, natural and built.
- Recovery should be flexible and scalable in accordance with meeting the needs of the community.
- Recovery measures should be pre-planned and implemented (with necessary modifications) from the first day of the response (or as soon as practicable) and should be coordinated and integrated with response actions.

The purpose of Part C of the Recovery Preparedness and Management Director's Guideline **is to provide guidance on managing recovery** in accordance with these principles.

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

Stages of recovery management

The management of recovery has four stages.

1. Starting recovery after an emergency

2. Moving from response to recovery

3. Recovery management including planning, activities, community engagement and monitoring and evaluating

4. Winding down recovery arrangements

The four stages are illustrated in Figure 8.

Stages 1 and 2 occur during response. Stages 3 and 4 occur following response and continue until the need for a formal recovery management process is over.

116
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx
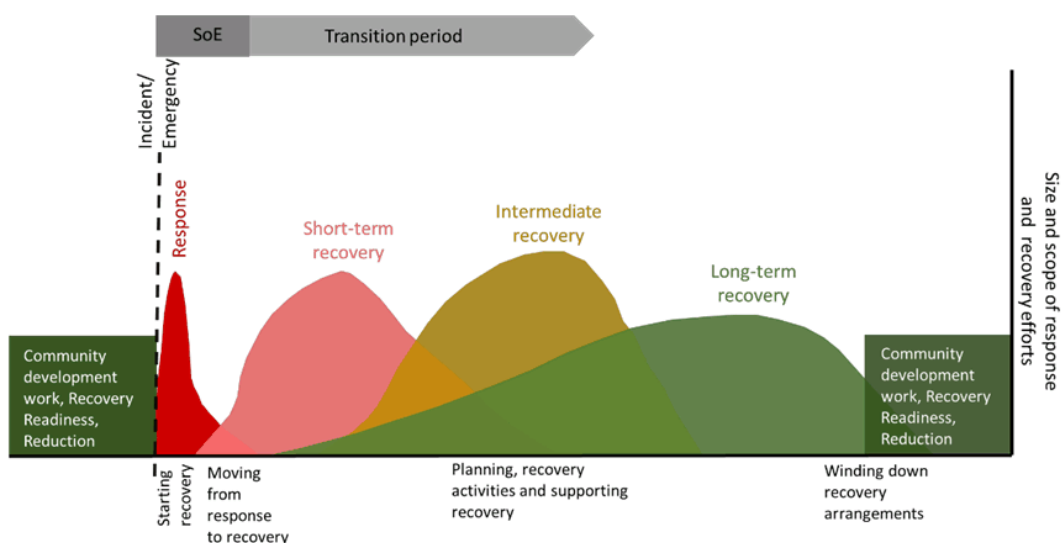
Figure 8: Four stages of recovery management

Moving between stages

Depending on the nature of the emergency, the experiences of communities between response and recovery may not be as smooth as the four stages appear. Communities may also move very quickly into recovery if the response to an incident was short, meaning that there will be very little response activity to be transitioned, and Recovery Managers should be prepared to undertake any damage or welfare needs assessments that may be required to inform recovery.

Similarly, efforts could move back and forth between response and recovery if secondary events occur such as flooding, aftershocks or erosion.

Controllers and Recovery Managers need to work together to maintain clarity of roles and responsibilities, and identify when it is appropriate to formally transition to recovery.

Recovery management success factors

Experience has shown that the presence of the following factors can help ensure a more effective recovery[64].

Comprehensive scope: Recovery activities are planned and delivered to support people, their culture and their place. Recovery efforts must address a continuum that includes individual needs as well as the needs of the community and surrounding environment.

Effective decision-making and coordination: This includes characteristics such as defining stakeholder roles and responsibilities; coordinating response activities with corresponding recovery functions; examining recovery alternatives, addressing conflicts, and making informed and timely

---

[64] Adapted from Federal Emergency Management Agency 2016. *National Disaster Recovery Framework Second Edition.*

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]

117

decisions; and establishing ways to measure and track progress, ensure accountability, make adjustments, and reinforce realistic expectations.

Integration of community recovery planning processes: Recovery planning should be linked to other planning efforts and processes occurring in the community such as long-term planning and community-led planning, and criteria should be developed for identifying and prioritising key recovery actions and projects.

Well-managed recovery: Pre-emergency partnerships should be developed at all levels of government, with the private sector and with non-government organisations; effectively leveraging resources; seeking out and successfully using outside resources; establishing guidance for moving from response to recovery; and planning for surging personnel demands post-emergency.

Proactive community engagement, public participation and public awareness: Stakeholders work together to maximise the use of available resources; creating post-emergency recovery plans that can be implemented quickly; and making sure public information is actionable, effective and accessible to keep everyone informed throughout the recovery process.

Effective financial and programme management: Funding sources that can finance recovery are understood, external funding can be accessed, systems for internal financial and procurement are in place and the use of local businesses to support recovery of the local economy is maximised.

Organisational flexibility: Recovery arrangements at all government levels that can evolve, adapt and develop new skills and capacities to address changing recovery needs are in place; and facilitate compliance with laws, regulations, and policies; and ensure flexible staffing and management arrangements.

Resilient rebuilding: Taking into account ecological, environmental and local capacity; adopts sustainable and inclusive building techniques, building codes and land use practices; and incorporates risk reduction strategies into local governance and decision making.

Health integration: Health and well-being considerations and implications are included in recovery decision making.

Section 9 Starting recovery after an emergency

This section describes the initial recovery actions that should be taken following an emergency.

9.1 Leading in Recovery Management

Effective leadership and good governance are essential for providing clarity and for setting the direction for the future.

Leadership during recovery is highly demanding of individuals and requires different leadership skills compared to other processes and times. The strategic nature of leadership in recovery can be summarised as:[65]

> 'Leadership in recovery is different. It is chaotic, where black and white becomes many shades of grey. It will require more from you as a leader than any other role you've ever had. It's a horrible opportunity.
>
> You will think harder and faster. You will do more, feel more, learn more than ever before. It will require all the skills you have and all the skills you don't yet have. Recovery is not business as usual. It is challenging on every level and deserves superb leadership'.

Factors that influence recovery leadership

The following factors illustrate the complexity, scale and long-term nature of recovery leadership. [66]

- **Uncertainty**: Recovery leaders need to try to imagine the future when they are in an environment that is uncertain and rapidly changing. They have to make important decisions with limited evidence and do it with confidence.
- **Scale**: The size and complexity of what needs to be done can be overwhelming. Every aspect of life changes. Recovery leaders need to super-size their thinking, energy and vision.
- **Time**: Recovery leaders have to constantly make decisions between competing priorities, all of which are important but cannot be done simultaneously. Trying to find creative solutions under great pressure to deliver. Budgets diminish without reductions in expectation.
- **Psychology**: Impacted populations work differently. Chronic stress negatively impacts relationships, problem-solving, creative thinking and the ability to take on information. As people get worn down, trust, cohesion and niceties can be lost.

---

[65] Leading in Disaster Recovery A companion through the chaos, NZ Red Cross, p. 4.
[66] Leading in Disaster Recovery A companion through the chaos, NZ Red Cross

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   119

- **Endurance**: Demands and expectations are unrealistically high. It is difficult to maintain high velocity and high performance over many years.

> *"Recovery is about your community; it's about the people in your communities; it's about empowering them to positively adapt to their changing environments. It takes, energy, strength and commitment, It won't be easy, but it will be worth it. It's about your people, your community and getting them what they need. Look after yourself amongst it all, as you can't give from an empty cup".*
>
> Experienced Recovery Manager

Tailoring leadership

Recovery leadership and the arrangements that are put in place need to be appropriate to the scale and size of the event, as well as appropriate to support a community recover. Structures that come in over the top of established community structures seldom gain the buy-in and support of the community that is needed for recovery. Recovery leadership and the arrangements that support it need to be cognisant of the scale of the event and the community that is recovering.

Leading in recovery involves collaborating with and sometimes leading alongside other leaders; for example, community leaders. Recovery leaders need to be cognisant of their leadership style and may need to tailor their style depending on the situation.

Maintaining a strategic focus

Recovery requires leaders to be able to have strategic oversight. Governance arrangements should support a Local Recovery Manager to maintain strategic oversight so that they are able to prioritise and make decisions that will support long-term recovery.

Roles, responsibilities, accountability

It is critical to be clear about the roles and responsibilities of those governing and leading a recovery. When roles are clear, a recovery is able to operate at its most effective.

Recovery leaders should have accountability measures in place to demonstrate performance in recovery. Recovery can be expensive, and public entities managing recovery need to be accountable to communities for performance and public funding spent.

Living the recovery

People leading recovery, as well as people working in or supporting recovery, experience the consequences of an emergency alongside the community. It is important that recovery leaders are prepared to look after themselves and their teams.

Leading with empathy

The importance of leading with empathy cannot be underestimated.

Frustration and loss will inevitably be part of the challenges faced by recovering communities, which can create different behaviours. Recovery Managers need to be prepared for intense public scrutiny. Empathy fosters understanding and cohesion between individuals and groups, both within and between communities.

120

Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Empathy is key to making leadership decisions that reflect what is important to communities and what makes them thrive.

More information

See the New Zealand Red Cross', *Leading in Disaster Recovery: A companion through the chaos* for more information on recovery leadership, available at preparecenter.org/resources/leading-in-disaster-recovery.

9.2 Coordinating and integrating recovery with response

For affected communities, the process of recovering and regaining a sense of normalcy starts on the first day of an emergency. Although in the initial stages of an official response the focus will be on protecting life and property and minimising further escalation of the emergency, considerations to how the community can be supported to recover from the emergency need to be incorporated. There may also be decisions or actions (or lack of) during response that could have implications for recovery. It is important to have resources focused on recovery alongside the official response.

'Activating' recovery

Recovery is 'activated' when an emergency or event impacts on a community or part of a community. This includes communities that may be indirectly affected; for example, damage to roading in a remote area where no-one is directly affected, but where the route may be a main artery for goods, services or tourism to a neighbouring community.

Activating recovery is likely to happen on day one of an emergency as the impacts of the event become apparent.

Coordinating and integrating recovery with response

Coordinating and integrating the Recovery Manager, and the core recovery team where applicable, with response will enable:

- the consequences for the community in the immediate, medium- and long-term to be better understood
- the Recovery Manager to work alongside the Controller to ensure recovery management considerations are integrated in response decisions and actions, minimising the negative impact response can have on recovery
- management and allocation of staff resources
- a planned, managed and coordinated transition from the response phase to recovery management arrangements
- recovery activities and priorities to be identified and aligned with response priorities
- recovery planning and coordination to be initiated as early as possible and response and recovery organisational arrangements aligned where possible

- an early briefing for senior executives and elected representatives on recovery needs and approach; and
- engagement with key stakeholders and community members across the affected area to be initiated as early as possible.

9.3 Initial recovery activities following an emergency

Immediately following an emergency, the Recovery Manager needs to:

- start the recovery management process during the initial response phase, and
- ensure the recovery process is integrated, informing decisions and activities, with the response phase.

Considerations for Recovery Managers

Recovery Managers should keep the following considerations in mind when starting recovery.

- There is a need to step back from the immediate response priorities and urgency, think strategically, and feed this perspective into the response process to ease the transition to recovery management.
- Define and articulate the desired outcomes from or 'end-state' of recovery as soon as possible, even though this may change over time.
- Define the size and scale of the event early, and keep in mind the potential need to scale up or down recovery activities through time. Greater size and extent means greater management complexity.
- Response and recovery processes are often 'two sides of the same coin', especially at the local level. Where resources at the local level are limited, consistency must be maintained between the response and recovery arrangements, processes, personnel and networks.
- Set up the recovery management arrangements based on the needs of the emergency, rather than trying to fit pre-existing arrangements to the emergency. Allow flexibility in the way the recovery is coordinated, as coordination needs may change throughout the recovery.
- Engage support for back-filling business-as-usual roles to allow for an appropriate focus on recovery.

Initial Actions of the Recovery Manager

The initial activities of the Recovery Manager are to:

- establish core recovery team roles (if appropriate and possible given resources)
- attend and participate, where appropriate, in Incident Management Team meetings and other key response function

122

meetings in the Coordination Centre to gain an understanding of the situation and consequences and align to response and recovery priorities

- collate information to understand the impacts of the emergency (refer to Sections 9.4 and 11.1 for further information)

- begin initial recovery planning, including identifying what information is needed (refer to Section 9.4 for further information) and how the transition from response to recovery will be planned and managed

- discuss key response and recovery messages with the Public Information Manager to ensure they are aware that public information management will need to continue into the recovery phase;

- make contact with key agencies, organisations and community leaders in affected areas (drawing on existing relationships and plans developed prior to the emergency)

- hold daily briefings with the core recovery team, if established, to discuss consequences, including new information and current gaps; risks; response decisions and activities; and core recovery team tasks; and

- begin planning to establish a recovery team and office, if necessary.

Core recovery team   The Recovery Manager should pull together a core recovery team early to support them to complete recovery actions following an emergency. One key benefit of establishing this core team early is that the team is wholly focused on recovery, whereas other function teams in the Coordination Centre will be focused on response priorities and may struggle to consider recovery or to complete recovery tasks simultaneously.

Section 11.4 contains further details on the skills the Core Recovery Team should have.

9.4 Beginning to understand the consequences

Understanding the consequences an emergency has had on communities is critical to meeting the needs of communities. Gaining this understanding is a priority after an emergency.

Information sources   To understand the consequences, the Recovery Manager and core recovery team need to first appreciate what information on impacts has been collected by response functions in the Coordination Centre.

Recovery Managers can do this by:

- reading Situation Reports and attending Incident Management Team meetings
- talking to the Planning and Intelligence functions in the Coordination Centre to understand the level and extent of impacts
- seeking advice from the Welfare and Intelligence functions on what information has been sourced from damage assessments[67], welfare needs assessment and welfare service delivery response activities (refer to Section 11.1 for more information)
- talking to key community leaders (by leveraging relationships built pre-emergency) to hear their perspective on consequences and community needs; and
- gaining information from agencies and organisations.

Recovery lens

Once Recovery Managers know what information has been collected, they need to look at it through a recovery lens to consider the immediate, medium- and long-term consequences on the community and their recovery needs.

One way of thinking about the consequences is to use a consequence matrix approach. This approach helps Recovery Managers think about consequences in relation to all recovery environments and all potentially impacted communities (both geographical and communities of interest), and what might be needed to meet community needs.

Refer to Section 11.3 for further information about using a consequence matrix approach. The example below illustrates how a consequence matrix can be used as a way of thinking about consequences in the initial phase following an emergency. Using this approach could be as simple as having a permanent whiteboard where the consequence matrix is drawn and added to over time as new information becomes available.

---

[67] During the response phase, rapid impact assessments are carried out within the first 8 to 48 hours. They provide a quick, broad picture of the extent of damage suffered, in order to determine initial response activities, direct the initial distribution of resources, and serve as a precursor to more detailed assessments, such as needs assessments or in-depth structural assessments.

124

Table 2: Consequence Matrix example

	Exampletown (urban community)	Farmland in Exampletown area (rural community)	Lifestyle blocks in Exampletown area (rural community)	Māori-owned land
Social environment	Schools closed	Loss of community meeting place	Isolation	Isolation
Built environment	Damaged horizontal infrstructure Loss of culturally significant buildings	Damaged farm infrstructure		
Economic environment	CBD closed due to building damage Loss of customers	Damage to / loss of productive land		
Natural environment		Significant pasture damage	Pasture damage	Significant native vegetation damage

More information

A consequence matrix template is available on the MCDEM website www.civildefence.govt.nz.

Section 10 Moving from response to recovery

This section outlines how a transition from response to recovery following an emergency needs to be planned and managed.

Recovery management activities start on day one of an emergency and ramp up while response activities are still in progress. Moving from response to the recovery phase following an emergency signals a shift in priorities.

The move must be careful planned during response (s116(1) *National CDEM Plan 2015*) and managed (s155(2) *National CDEM Plan 2015*) as it formally transitions the coordination and accountability from response to recovery leadership and wraps up the response phase.

The move also needs to be well communicated, as an effective transition from response to recovery depends on understanding and agreement between the Controller and Recovery Manager (s155(4)) *National CDEM Plan 2015*). A well-managed transition aligns response and recovery and ensures clarity of roles and responsibilities.

Transition versus Transition Period

Often the shift from response to recovery is referred to as a transition. This should not be confused with a transition period, which is a legislative provision that ensures a timely and effective recovery by making extraordinary powers available to a Recovery Manager to exercise (refer to Section 10.3 for more information). Transitioning or moving from response to recovery is a process.

When to move to recovery

A shift in priorities from response to recovery is the key trigger for moving to recovery. This is when the focus of activities is expanding to consider medium- and long-term priorities. Other considerations may include:

- when the threat to life has passed
- rescue activities have been completed
- community safety is assured, and
- when a state of emergency is about to expire or be terminated.

Subsequent emergencies or re-escalation of the original emergency may cause the focus of activities to shift back to response to deal with the immediate needs of the community.

Who decides when to move to recovery

The decision to move from response to recovery is made by the Mayor and Council of the affected local authority with support from the Controller and Recovery Manager.

When deciding, the Mayor, Controller and Recovery Manager should discuss the decision with:

- the Group Controller
- the Group Recovery Manager
- the MCDEM Regional Emergency Management Advisor
- Chief Executives of affected local authorities
- the Incident Management Team

126
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- the Recovery Team
- the Joint Committee, and
- the Coordinating Executive Group.

Considerations before moving to recovery

When deciding when to move from response to recovery, the Controller and Recovery Manager need to consider the following.

- What are the priorities at the moment and what benefits will be delivered by moving to recovery? Is it too early to move to recovery?
- If a state of emergency is in place, when does it expire?
- Is a transition period notice required?
- Are recovery personnel resources and a recovery organisational arrangements in place?
- Are links with the affected community and key leaders established?
- Are links with agencies that will be involved in recovery established?
- Is an impact assessment process underway or complete?
- What is the community mood — how will they perceive moving to recovery now?
- What is the political interest — how will Politicians (local and national) perceive moving to recovery now?
- What functions in the Coordination Centres are shifting their priorities to recovery?
- Do response staff need to be retained for a period of time to ensure a thorough transfer of information and consequence management?

The process

Moving from response to recovery is a formal process and the transfer of coordination and accountability for recovery-related activities needs to be formally acknowledged by the Controller and the Recovery Manager.

People involved in response and recovery, including internal staff and external agencies and groups need to be informed when and how the formal transfer from response to recovery will occur.

The formal transfer occurs through five key steps.

- Completing a Response Transition Report.
- Confirming the need for and arrangements for a local transition period (if required).
- Completing the Recovery Action Plan.
- Holding a transition briefing.
- Holding media briefings and managing communications.

These actions are described in more detail in Sections 10.1 to 10.5.

Responsibilities of Controllers and Recovery Managers

Both the Controller and Recovery Manager have leadership responsibilities during the move from response to recovery to ensure that the process is seamless both from an internal organisational perspective and for the affected community.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   127

DRAFT ONLY, IN CONFIDENCE

Table 3 provides a summary of the actions needed during the shift, and identifies who leads this action and who supports it.

Table 3: Responsibilities of the Controller and Recovery Manager during the shift from response to recovery

Action required	Lead	Support
Complete a Response to Recovery Transition Report.	Controller	Recovery Manager
Ensure that agencies, organisations and groups with a role in recovery are committed to their continuing role.	Recovery Manager	Controller
Prepare a Recovery Action Plan.	Recovery Manager	Controller
Prepare for and conduct a Transition Briefing.	Controller	Recovery Manager
Ensure the Controller is aware of recovery requirements and tasks prior to transition.	Recovery Manager	—
Work with the Public Information Manager to prepare and hold media briefings and communications, and ensure messages are consistent and accurate across all agencies.	Controller	Recovery Manager

10.1 Response to Recovery Transition Report

A Response to Recovery Transition Report (sometimes called a Transition Report) is a document written as response priorities shift to recovery priorities.

The Controller is responsible for overseeing the preparation of the Response to Recovery Transition Report. The Planning function in the Coordination Centre is likely to write the report after gathering information from other Coordination Centre functions.

Purpose

The purpose of the Response Transition Report is to capture the end-state of response and to provide a basis for further recovery planning. It should provide the Recovery Manager with a good situational awareness of the consequences of the emergency, outstanding actions, risks and issues, resources currently in place and key contacts established in the community.

Content of a Response Transition Report

The Response to Recovery Transition Report must provide information and guidance on[68]:

- the Response Action Plan in place at the time of transition, emphasising intended actions that are incomplete

- the nature and state of all assigned resources

_____

[68] Section 32.4 *Guide to the CDEM Plan*

128

Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

- the nature and extent of consequences, and the condition of the community affected by the emergency, focusing on the four environments and their inter-relationships (noting specifically any areas or situations with the potential to re-escalate the emergency, and any impact assessments underway):

  - social environment: estimates of the extent of impacts on people and communities, the type of impacts and probable future needs

  - built environment: outline of damage and risks to residential and commercial buildings and lifelines utilities infrastructure in both urban and rural areas

  - economic environment: economic impact information, if available, and an estimate of future cost priorities and risks; and

  - natural environment: damage to ecosystems, rural and urban landscapes, and potential implications for recovery

- expected recovery outcomes; and

- activities to be continued/started in the recovery phase.

The Response Transition Report also needs to provide information on:

- key community contacts established in the affected community;

- current and potential future risk and issues; and

- actions taken to finalise the calculation of emergency expenditure.

More information

A Response to Recovery Transition Report template is available in *CIMS 3rd edition*[69], available on the MCDEM website https://www.civildefence.govt.nz/resources/coordinated-incident-management-system-cims-third-edition.

10.2 Recovery Action Plan

Information received and gathered in response should be used as a basis for developing the first Recovery Action Plan (s155(1) *National CDEM Plan 2015*).

Before formally moving from response to recovery, the first Recovery Action Plan needs to be drafted.

Purpose

The purpose of a Recovery Action Plan is to establish and plan for effective recovery arrangements based on the specific consequences of the emergency. Actions Plans describe the

---

[69] *As the responsibility for a response transition report lies with the Controller it has be incorporated into CIMS 3rd edition.*

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16] 129

DRAFT ONLY, IN CONFIDENCE

recovery objectives, tasks, and measures and resources needed to manage the recovery and address community needs.

The principal aspects of the transition from response to recovery need to be outlined in the first Recovery Action Plan (s155(5) *National CDEM Plan 2015*).

First and subsequent Recovery Action Plans and alignment with the Response Action Plan

The first Recovery Action Plan needs to be strongly aligned with the last Response Action Plan. There should not be a time gap between the last Response Action Plan and the first Recovery Action Plan. To achieve this alignment, it is recommended that the last Response Action Plan covers the first few days after the formal transition to recovery.

During the initial stages of recovery, the Recovery Action Plan will be a simple plan that can be communicated concisely. As the recovery progresses and community needs evolve, additional lead time, staff, information systems and technologies will allow for more detailed planning. Subsequent plans need to build on the first Recovery Action Plan but should reflect the time period they cover. Refer to Section 11.5 for further information. Recovery Action Plans should be developed alongside an Exit Strategy to ensure alignment (refer to *Content of the first Recovery Action Plan* and Section 12.1 for further information on exit strategies).

Content of the first Recovery Action Plan

Recovery Action Plans will include:

- immediate, medium- and long-term recovery objectives and priorities

- recovery activities and actions including any outstanding activities and actions from the response phase

- a comprehensive list of the tactics, resources and support required to achieve each recovery objective and action; and

- a description of the end-point for recovery, and how recovery will return to business-as-usual (refer to Section 12).

The first Recovery Action Plan also needs to include:

- a formal record of the transition arrangements, including the principal aspects and the date of the formal shift from response to recovery; and

- arrangements established in the response phase that will continue in recovery.

Living Plan

A Recovery Action Plan is a living document that is based on the best available information at the time it is produced. As the recovery progresses, situational awareness improves and community needs change, the Recovery Action Plan needs to be

130
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

reviewed and updated. Producing a Recovery Action Plan should not be delayed in anticipation of future information.

More information

More information on the action planning process and action plans is available in CIMS 3rd Edition available on the MCDEM website https://www.civildefence.govt.nz/resources/coordinated-incident-management-system-cims-third-edition. Although this document is largely response focused, the action planning process contained in the document provides useful guidance that can be applied to Recovery Action Plans.

A Recovery Action Plan template is available in the Recovery Toolkit on the MCDEM website www.civildefence.govt.nz.

10.3 Local Transition Period

When moving from response to recovery, a decision needs to be made as to whether a transition period notice is required. A transition period notice is a legislative mechanism that allows extraordinary powers to be available to Recovery Managers for a given period of time. Just because a transition period notice is not deemed necessary, does not mean a recovery or recovery activities are not needed.

The purpose of a transition period notice is to aid recovery by providing powers to manage, coordinate or direct recovery activities. A transition period notice can be given whether a state of local emergency has been declared or not.

Who decides?

The decision to give a transition period notice lies with the Mayor, or an elected member of a territorial authority if the Mayor is absent, or the person or persons appointed by the CDEM Group to give notice. All these people are known as authorised persons.

Who is consulted

The authorised person should discuss giving a local transition period notice with:

- The Group Recovery Manager and/or Local Recovery Manager
- The Group Controller and local Controller
- The MCDEM Regional Emergency Management Advisor, and
- local authority teams/departments involved in response and recovery (e.g. building control, asset management, community engagement).

They should also consult with other people as appropriate to make an informed decision including:

- Fire and Emergency New Zealand
- New Zealand Police
- providers of health and disability services, and

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16] 131

- other agencies involved in the recovery.

Providing advice and assistance

Both Local and Group Recovery Managers need to support the decision-making process for issuing a local transition period notice, and the arrangements for giving notice. The Recovery Managers need to:

- provide advice and assistance to the person who is authorised to give notice of a local transition period
- guide decision-making about whether invoking the powers to manage, coordinate or direct recovery activities is in the public interest and is necessary or desirable to ensure a timely and effective recovery
- seek legal advice (if necessary) on the necessity of a transition period notice, how the powers may be exercised, and the correct use and content of transition period notice forms
- ensure the purpose of giving notice of a transition period is clear to help identify an endpoint when the notice can be lifted
- ensure the reasoning for giving notice is very clearly thought through; and
- advise on the process of giving notice, including publishing the notice and communicating with stakeholders and communities.

The Group Recovery Manager can advise the Local Recovery Manager if needed, and can also seek advice from MCDEM. The Group Recovery Manager may have other experience from working in multiple local areas that they can then share with the Local Recovery Manager to boost their capability.

The Recovery Manager must also ensure that any relevant CDEM Group and the Director CDEM (and, in turn, the Minister and ODESC) are adequately briefed on the situation during the transition period (155B((2)(c)) *National CDEM Plan 2015*).

More information

More information about transition period notices, including who can give notice and the legal tests that need to be met to give notice of a transition period, as well as the powers available to Recovery Managers is in the following documents, which are available on the MCDEM website www.civildefence.govt.nz.

- *Factsheet: Local Transition Periods, Quick Guide Giving Notice of a Local Transition Period; and*
- *Factsheet: Powers of a Recovery Manager during transition*

Templates of the forms to use when giving, extending and terminating notice are also on the MCDEM website www.civildefence.govt.nz.

More information on exercising powers during a local transition period is available in Section 11.10.

10.4 Transition Briefing

Purpose

The purpose of a transition briefing is to ensure the shift from response to recovery is as smooth as possible. The end of the briefing also represents the formal move from response to recovery, where coordination and accountability for recovery-related activities are transferred to the Recovery Manager.

The briefing does not result in a local transition period notice. Refer to Section 10.3 for further information on transition periods.

Who is responsible?

The Controller is responsible for leading the transition briefing.

Briefing Attendees and Process

Members of the response Incident Management Team and members of the Recovery Team need to present at the briefing.

The transition briefing should be based on the Response Transition Report and Recovery Action Plan. The Response Incident Management Team cover actions currently being undertaken within their span of control and give a forecast of expected outcomes and proposals for activities to be continued in the recovery phase.

Minutes of the briefing should be taken.

Briefing Agenda

The briefing agenda may include:

- the nature, scope and impacts of the event
- a summary of the current situation
- a summary of activities undertaken during the response phase
- outstanding and ongoing response activities, particularly where these are associated with a need for welfare service
- a summary of ongoing issues, limitations and potential for further or re-escalation of the emergency
- Recovery Team staff (including staff within Territorial Authority business-as-usual teams) and governance arrangements
- recovery priorities and an overview of the Recovery Action Plan, including a local transition period (if required); and
- formal handover and close of the response phase.

10.5 Communicating the move from response to recovery

Moving from response to recovery can often be a time when the affected community feels a sudden shift in support. They often notice a change in the number of people 'on the ground' and the information available. This can lead to them feeling abandoned and that the people responsible (the local authority and CDEM) have 'shut up shop'.

Communicating with the community and stakeholders during this time is crucial to assuring them that their needs remain the focus of activities, and

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   133

that moving from response to recovery signals a positive step to regaining their quality of life.

Communication plan	The Public Information Manager should ensure that a Communications Plan is developed and finalised so that there is continuity of communications from response to recovery. It is recommended this is developed in collaboration with key community members/representatives and that consideration is given to the information needs of communities, including culturally and linguistically diverse (CALD) communities.
	Refer to Sections 11.11 and 11.12 for guidance on communicating with the public.
Communicating with internal and external stakeholders	Immediately following the Transition Briefing, people involved in response and recovery, including internal staff and external agencies and groups, need to be informed that the formal transition has occurred and what arrangements are in place going forward. There may also be a need to communicate key messages with them.
Communicating with the community through media briefing	A media briefing should be arranged by the Public Information Manager to be held immediately after the Transition Briefing.
	The briefing is fronted by the outgoing Controller and the incoming Recovery Manager.
	The purpose of this media briefing is to:

- reflect on the positive aspects of the emergency response
- provide assurance to communities affected by the emergency;
- outline the scope and current priorities for recovery
- clearly describe the purpose of a transition period notice (if in place)
- reinforce selected key messages to communities, and
- provide new/updated contacts for the Recovery Team.

More information	More information about public information and community engagement is available in Public Information Management Director's Guideline [DGL 14/13] and Community Engagement in the CDEM context Best Practice Guide [BPG 4/10] on the MCDEM website www.civildefence.govt.nz.

DRAFT ONLY, IN CONFIDENCE

Section 11 Managing Recovery

This section outlines planning and activities that need to take place when managing and supporting a recovery following an emergency.

11.1 Communities impacted by emergencies

Determining who is impacted?

Emergencies have far reaching consequences for people beyond those that are directly and obviously affected.

Individuals and communities are often affected indirectly through secondary impacts that are not always tangible.

This section gives an overview of the types of direct and indirect consequences that need to be considered when planning impact and welfare needs assessments and when determining the recovery activities needed.

Consequences also often fall disproportionately across different parts of a community as communities are not homogeneous.

Directly affected

Directly affected individuals, organisations and groups are affected by an emergency in many ways; for example:
- injury, death or loss of significant others
- loss or damage to possessions or accommodation
- those evacuated or displaced experiencing disconnectedness from their community
- financial instability due to loss or disruption to employment or livelihood
- disruption to education due to school closures
- breakdown in social cohesion due to roading or telecommunications damage
- exposure to biological hazards due to contaminated land; or
- the administrative load of seeking support or compensation from various organisations.

Directly affected people could be from the same physical locality such as a retirement village, suburb or area, or they could be part of a community of interest such as a sports club or employees of a business.

Indirectly affected

Indirectly affected individuals, organisations and groups are those that suffer the secondary effects of an emergency. They may not appear to be obviously affected but may experience consequences from the emergency.

These could include friends, family/whānau or neighbours of those directly affected, or people who have witnessed the emergency, helped affected people, or were distressed by hearing about or felt that they were at potential risk because of the emergency.

4148230_4.docx

Often the information needs of indirectly affected people are as great as those directly affected.

People involved in response and recovery efforts can also be indirectly impacted by the work.

Consequences can be felt beyond the geographical reach of the emergency. For instance, economic impacts can have far reaching consequences if the emergency inhibits movement of people, products or services regionally, nationally or internationally.

11.2 Damage and welfare needs assessment

Damage and welfare needs assessments provide a situational overview of the emergency, aiding understanding of the ongoing consequences and the changing needs of people over time. Intelligence gathered during assessments informs operational recovery decisions and actions. It is a priority for Recovery Managers to understand these assessments and use the information to understand consequences and to plan for recovery.

Damage and welfare needs assessment during recovery

Following an emergency, the requirements for damage and welfare needs assessment evolves from a 'simple, broad and quick' approach (wide area impact assessments) to a 'detailed, specific and long-term' approach (specialist detailed assessments). Specialist detailed assessments of the social, economic, built and natural environments often continue into recovery for the purpose of:

- determining the requirement for, and prioritisation of, recovery activities, and services; and
- beginning to build a picture of the cost of the emergency[70].

During recovery, the most commonly required assessments are:

- welfare registration and needs assessments, which involve the collection of personal information and the process of understanding the needs of people affected by an emergency, and provides the basis for welfare services delivery

- building assessments, which involve an in-depth engineering assessment focused on determining the extent and nature of structural damage suffered by a building

- lifeline utilities (infrastructure services to the community such as water, waste-water, transport, energy, and telecommunications), which will conduct assessments based on their specific incident management, emergency management and/or business continuity plans to ascertain the continuity of operations and supply of services to affected communities

---

[70] Ministry of Civil Defence and Emergency Management. 2019, *Damage Assessment [DGL 22/19]*

DRAFT ONLY, IN CONFIDENCE

- rural damage and repair; and
- environmental damage.

Common assessment systems and processes

Rather than adopting new systems and processes, damage and needs assessments should use the same systems as in response and build upon and enhance the information gathered and the processes developed during response.

During recovery, the services provided as a result of damage and welfare needs assessments will often be carried out by individual agencies using their own systems. There need to be clear reporting structures within project teams and sector groups, along with a process to follow up on delivery of services.

Collection and collation of assessment information should be carried out according to processes defined before recovery at both the local and CDEM Group level.

Principles for detailed damage and welfare needs assessments

Recovery experience shows that the following principles are crucial for damage and welfare needs assessment.

- Be clear on why information is being collected.
- Use robust systems for storing personal information and for sharing information between agencies.
- Use geospatial capability for electronic data capture whenever and wherever practicable.
- Be proactive in welfare needs assessment. Find out what is needed quickly, and follow up as needed over time. Silence does not mean that people are okay.
- Make sure all CDEM Groups and agencies conducting damage and needs assessments use common forms (paper-based and electronic) to increase operational effectiveness, and common data schema to ensure data comparability. Test processes and forms for information collection pre-emergency.
- Make sure the local community, who may have detailed knowledge of local people and areas of potential vulnerability during an emergency, are engaged and community assets utilised.
- Ensure agencies and organisations conducting damage and needs assessment are doing so in a collaborative and coordinated manner, minimising the number of people/organisations door-knocking the same homes asking the same questions.
- Ensure the needs of rural people (including lifestyle block owners, isolated communities, communities living in rural areas and primary industry producers) and rural damage are assessed if required, and coordinate with Rural Support Trusts.
- Look for 'hidden' welfare needs that may develop over time. Vulnerable people may need support but not seek it.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   137

DRAFT ONLY, IN CONFIDENCE

- Ensure the needs of culturally and linguistically diverse communities are met.

- Base prioritisation of recovery support on the hierarchy of needs.

More information

More information about the welfare needs assessment process and damage assessment is available in the *Welfare Services in an Emergency Director's Guideline [DGL 11/15]* and in *Damage Assessment [DGL 22/19][71]* on the MCDEM website www.civildefence.govt.nz.

More information about post-emergency building assessments, including guidelines and tools is available on the Ministry of Business, Innovation and Employment website www.building.govt.nz.

11.3 Assessing the consequences to inform planning

The Consequence Matrix Approach

To inform recovery planning, the Recovery Manager and core recovery team need to build a more comprehensive picture of consequences than that developed immediately following an emergency.

To do this, it is recommended that the information gathered in impact and welfare needs assessments as well as from revisiting other information sources is fed into the consequence matrix used during the response phase (refer to Section 9.4). The Recovery Manager and core recovery team also need to work with the recovery environment sector group Chairs (and members where appropriate) to gain and validate information and understanding.

The consequence matrix approach will ensure that all components of a community are considered. It also provides a simple way of thinking about the consequences that could exist across a wide geographical area or that could be very complex in nature.

A living process

Gaining a comprehensive understanding of the full range of consequences from an emergency is a priority. However, it is a process that will continue to be built on and evolve throughout the recovery. The consequence matrix should form a picture of the known consequences at a given point in time.

The Recovery Team should be receptive to change, regularly evaluating and updating the consequence matrix as new information comes to light or as things change. The team should be able to respond to new and emerging impacts, changing community expectations and needs.

Communicating and discussing the consequences

As the assessment of consequences forms the basis for recovery planning, it is important to share and discuss this with others so they are able to provide feedback, add to the consequences and improve the common understanding of community needs that need to be addressed through recovery activities.

---

[71] Currently out for consultation but will be published prior to publication of this DGL

138

Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

This can be done in a formal or informal way. To do this, the Consequence Matrix needs to be shared and discussed with:

- the Core Recovery Team
- the CDEM Group Recovery Manager
- the Local and/or CDEM Group Controller (depending on the scale of the emergency)
- recovery environment sector group Chairs and members
- agencies and organisations involved in the recovery (via recovery environment sector groups, where appropriate)
- team or business units in local authorities delivering or assisting recovery activities
- the Local and/or Group Welfare Manager and Local Welfare Committee and/or Welfare Coordination Group
- iwi
- key community leaders in affected areas
- the Territorial Authority Chief Executive and Mayor (if a single district is impacted) or Coordinating Executive Group and Joint Committee (if multiple districts are impacted), and
- the Ministry of Civil Defence & Emergency Management.

11.4 Establishing a Recovery Team

Purpose of a Recovery Team

A Recovery Team supports the Recovery Manager in planning, coordinating, managing and delivering recovery activities, and establishing arrangements for recovery and decision-making.

The Recovery Team includes the core recovery team, recovery environment sector group Chairs and project leads.

The core recovery team supports the Recovery Manager with activities such as administration, logistics, intelligence and recovery arrangements.

Recovery environment sector group Chairs manage their recovery environment programme of work while projects lead, manage and deliver specific recovery activities focused on specific recovery outcomes (refer to Section 5.5 for further information). Project leads are operational and use project management principals to manage their work. Depending on the scale of the consequences, the projects may be delivered by and utilise skills within the core recovery team or be delivered by dedicated teams.

The core recovery team is more likely to be made up of local authority staff, while projects are likely to include other agencies and organisations that deliver recovery activities[72].

Determining the scale of a recovery team

The composition of a Recovery Team will depend on:

- the scale, consequences and complexity of the emergency; and
- the resources and personnel available.

In using a consequence matrix approach to understand the consequences of an emergency, the Recovery Manager will have gained an appreciation of the likely ongoing scope of the recovery effort required and the scale of the recovery team required to meet community needs.

The Recovery Manager may find it useful to also consider the following questions alongside the consequence matrix to determine the scale of recovery team needed.

- To what degree have impact assessments shown that damage, impacts and needs identified in response are likely to continue into recovery, and that without substantially scaled-up intervention the community's recovery is very likely to be compromised?
- How much risk, ambiguity and uncertainty is there about the consequences of the emergency and/or the path of recovery?
- What key pieces of infrastructure (local, regional or national) and/or geographical areas require significant focus of resources? Do temporary or new service level provisions need to be considered?
- Is a return to business-as-usual possible or do conversations need to be had about adaptation? Is there a window of opportunity to introduce beneficial but significant transformations?
- What are the priorities and goals for recovery?
- How long might the recovery take, both in terms of a work programme and community recovery?
- How effective will existing local recovery management arrangements and relationships be to provide leadership and coordination?
- What level of assurance is there that resources are sufficiently available to deliver services in a timely and effective manner?
- Will there need to be significant coordination of resources, which is much more scaled up from the status quo?
- Are there any significant political factors present (e.g. leadership, accountability or concerns about risk or precedence)? Are there any reputational risks?

---

[72] Where the term Recovery Team is used, it refers to the entire team working on the recovery, i.e. the core recovery team, Recovery Environment Sector Group Chairs and any recovery project teams.

140
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- Were there any significant existing vulnerabilities in the community?
- Has the emergency created new hazards or risks that make the community more vulnerable than before?
- Are there significant events or situations in the same region that will impinge on, or be impacted by, the emergency or the recovery?

Augmenting local capability

If the emergency or the recovery is of a larger scale or complexity than available resources can manage, capability may be augmented. This applies to both local and CDEM Group capability, which could be augmented by:

- personnel from the CDEM Group recovery team or Group office (for local augmentation)
- neighbouring local authorities or other CDEM Group personnel, or
- regional and national representatives from national agencies and organisations.

Recovery planning in readiness needs to consider how these resources will be used. For example, will they fill a specific capability gap in a larger-scale recovery, will they provide surge capacity, act in a guidance/support capacity or will they be 'hands-on'?

Be flexible and agile

The structure and size of a Recovery Team needs to be built on the needs of the affected communities. These needs will change over time, so the Recovery Team needs to be able to adapt, downsize, merge, grow and reorganise when and where needed to maintain effective and efficient recovery support.

11.4.1 Core Recovery Team

Core recovery team skills and experience

To support the Recovery Manager, recovery environment sector group Chairs and recovery project teams, it is crucial to select the right people with the right skills and to have people with knowledge of the affected community who can be supplemented by objective subject matter experts.

Key skills needed in the core recovery team are:

- community engagement, including iwi engagement
- administration, technical or office support
- monitoring and evaluation
- health and safety
- welfare
- project management
- public information management
- short-, medium- and long-term planning, including community development

- strategic thinking; and
- intelligence gathering and analysis.

Depending on the projects and available resources, suitably experienced people with the following skills may also be needed in the core recovery team or available to support the recovery when necessary.

- Policy advice
- Urban design
- Liaising with cultural or community (e.g. iwi, representatives of CALD communities or people with disabilities)
- Building and infrastructure assessment and management
- Medical Officer of Health and Public Health Officers
- Volunteer coordination
- Specific subject matter experts depending on the recovery.

The skills needed in the core recovery team may be provided by one person or by a team of people depending on the scale of the recovery and availability of resources.

11.4.2 Recovery Projects

Managing recovery activities	If the scale or complexity of recovery is significant, it may be appropriate to use a project-based approach to manage operational activity delivery.
A project-based approach	Managing and coordinating the delivery of recovery activities around projects ensures that: • all affected communities are supported through recovery • interdependencies between consequences are identified and addressed • duplication of effort is minimised and the risk of communities or individuals being overlooked is reduced • who is responsible for achieving outcomes is clearly defined, and • there is clarity on reporting across all aspects of the recovery project plan.
Leading recovery projects	Recovery projects are led by a project lead who: • coordinates people working on the project • coordinates with other projects and project leads; • monitors and evaluates progress of the project (in conjunction with the core recovery team and recovery environment sector groups) • is responsible for delivering the outcomes of the project; and

- reports progress, risks and issues to the Recovery Manager and recovery environment sector group Chairs.

Delivering recovery projects

There is no defined arrangment for delivering recovery projects. Depending on the scale or complexity, recovery projects may be delivered by individuals within local authorities, recovery environment sector groups and the core recovery team or by dedicated project teams.

Arrangement of recovery projects

The consequence matrix used to assess the consequences of the recovery can be used to inform the size, scope and arrangement of recovery projects.

The example Consequence Matrix in Table 4 shows how consequences across different recovery environments and communities can be addressed by grouping the delivery of recovery activities into a recovery project focused on particular areas. In this example, the recovery projects are focused on delivering activities to address consequences related to the following.

- School closure, loss of the community meeting place for the rural community and isolation of the lifestyle blocks and Māori-owned land (Project Team blue). The Project Team will have members from and strong connections with Project Team purple to address the consequences of damage to the school and Project Team red to address consequences of loss of community meeting place.

- Building and infrastructure damage in Exampletown (Project Team purple). The Project Team will have members from and strong connections with Project Team blue and Project Team yellow to address the consequences of the school closure on the community of Exampletown and the closure of the CBD and loss of customer due to building damage.

- Economic consequences of closure of the CBD, loss of customer due to building damage and damage to productive land (Project Team yellow). The Project Team will have members from and strong connections with Project Team purple and Project Team red to address the social consequences of the closure of the CBD, loss of customers and productive land on Exampletown and rural community.

- Damage to farm infrastructure and pasture damage to both farmland and lifestyle blocks (Project Team red). The Project Team will have members from and strong connections with Project Team purple to address economic consequences of damage to productive land and Project Team blue to address social consequences of the loss of the community meeting place.

- Damage to the native vegetation on Māori-owned land (Project Team green). The Project Team will have members from and strong connections with Project Team red due to the potential for pasture damaged on lifestyle blocks and farmland to be replanted in native vegetation.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   **143**

Table 4: Using a Consequence Matrix to organise recovery projects[73]

	Exampletown (urban community)	Farmland around Exampletown (primary industries)	Lifestyle blocks around Exampletown (rural community)	Māori-owned land	
Social environment	Schools closed	Loss of community meeting place	Isolation	Isolation	PROJECT TEAM BLUE
Built environment	Damaged horizontal infrastructure Loss of culturally significant buildings	Damaged farm infrastructure			
Economic environment	CBD closed due to building damage Loss of customers **PROJECT TEAM PURPLE**	Damage to / loss of production land **PROJECT TEAM RED**	**PROJECT TEAM YELLOW**		
Natural environment		Significant pasture damage	Pasture damage	Significant native vegetation damage	PROJECT TEAM GREEN

11.4.3 Other considerations in establishing a Recovery Team

Making a decision, recommendations and identifying gaps

Once the Recovery Manager has assessed the likely ongoing scope of the recovery effort required, decisions need to be made, including the following.

- Does a dedicated Recovery Team need to be established? Should the individuals remain in their business-as-usual teams or is a separate team required, possibly located in a stand-alone Recovery Office?

- How will we seek support for the gaps in skills or functions we have? Will we ask for support from other local authorities, the CDEM Group or nationally. These gaps need to be identified early and requests for support need to be specific about what is wanted and the estimated duration; for example, is support needed in a particular area (e.g. a subject matter expert) or is someone needed to lead an area/project for the duration of that project?

---

[73] 'Damage/loss to productive land' to be added to Māori-owned land/Economic environment

DRAFT ONLY, IN CONFIDENCE

Format of the Recovery Team	The size of the Recovery Team will be dependent on the consequences of the emergency and the projects needed to support the community's recovery.
	The scale of the recovery will also determine whether the Recovery Team is a dedicated team with connections back to business-as-usual teams within the affected local authority, or if staff of the Recovery Team remain in business-as-usual teams in their organisation and are overseen by the Recovery Manager.
	There are two downsides of locating Recovery Team staff in business-as-usual teams (and not having a dedicated, separate Recovery Team). One is that business-as-usual reporting structures and processes may hinder progress and decrease effectiveness of recovery activities. The other is that Recovery Team staff that remain in business-as-usual teams may find it difficult to balance the need to focus on recovery work with business-as-usual work demands.
	Another consideration for the Recovery Manager and affected local authority Chief Executive is whether Recovery Team staff are seconded to the Team and their business-as-usual roles backfilled. (This should be considered and planned in pre-emergency planning. Refer to *Local Funding Arrangements* in section 8.9). This may depend on the scale of the recovery. Asking staff to work in a Recovery Team and continue with their business-as-usual roles will likely have negative impacts on the progress of recovery, and not backfilling their roles may lead to a significant impact on of the local authority.
	Personnel or teams involved in the response may also continue their roles in recovery (for example planning, intelligence, public information management) subject to appropriate rostering arrangements that ensure staff wellbeing. Alternatively, response personnel may hand their duties over to other suitably trained and experienced personnel.
Gaining support	Once the Recovery Manager has determined the level of support and coordination needed, it is crucial to get support from the affected local authority Chief Executive or Executives for the approach, including expected timeframes and confirming a mandate to get things done. This might be supporting establishing a dedicated Recovery Team or office located in a different location, or ensuring a percentage of business-as-usual teams' time is dedicated to recovery activities and funding.
	The Recovery Manager will draw on conversations, plans and agreements made prior to the event to gain this support.
Working with others	The Recovery Team needs to work with and alongside other agencies, organisations and community members during recovery.
	This could be by working with, attending meetings or being a member of recovery environment sector groups or recovery project teams. Working with these groups can be a useful way to discover issues and find solutions. Examples include the All-of-Government Coordination Group, the Chief Executives' Forum (such as was established following the

4148230_4.docx

November 2016 earthquake and tsunami), Business Groups, Restoration Liaison Group, the Welfare Coordination Group or the Rural Advisory Group.

Several Recovery Teams established to support recent recoveries have found it particularly useful to have people from other agencies and organisations be physically present and part of the Recovery Team, as it has allowed for quicker resolution of queries and greater understanding between the Recovery Team and agency/organisation.

Physical location

Careful consideration needs to be given as early as possible to the physical location of the Recovery Team. Potential facilities need to be assessed according to:

- location in relation to supporting organisations and affected communities
- space for the projected size of the Recovery Team and amenities
- anticipated time-span of recovery
- resources required (e.g. telephones, WIFI, computers), and
- the ability to focus on the recovery.

Real world example

The Recovery Team for the Whakatāne District Flooding in 2017 found being based in a location separate from the local authority worked well as it gave them the space to be able to wholly focus on the recovery while staying connected to business-as-usual teams that were likely to pick work up in the long-term, such as accounts payable and customer service.

Branding

The Recovery Manager along with the affected local authority Chief Executive need to consider the branding of the Recovery Team. For example, in communicating with the public, will the Recovery Team be known as an independent group such as Exampletown Recovery Team, or will it carry the affected local authorities branding?

Real world example

The Recovery Team for the Whakatāne District Flooding in 2017 did not include the branding of the Whakatāne District Council in their publications and communications. This inadvertently led to a perception that the Whakatāne District Council had little involvement with the recovery effort.

11.5 Recovery Plan

Recovery can be long and hard. It can be easy to get stuck into doing and activity. But the nature of recovery will require decision makers to maintain a strategic focus to ensure that recovery activity is supporting the long-term recovery goals.

To do this, a Recovery Plan can be developed. This Plan sets the strategic direction of recovery. It provides the recovery objectives (desired future state), outcome statements (what success will look like) and success factors or milestones (how we will know if we

are achieving the objective within the expected timeframes). In a hierarchy, it sits above Recovery Action Plans (Recovery Action Plans give effect to the Recovery Plan). It should be developed alongside an Exit Strategy to ensure alignment (refer to Section 12.1 for further information on Exit Strategies).

The Plan is based on the consequences of the emergency and the vision of the community. It defines the common language for everyone involved in the recovery and ensures that these people, agencies, organisations and groups have buy-in on the recovery direction.

Lessons from many recoveries have emphasised the need to have a Plan in place early, for it to be thorough, and for it to be agreed to and signed off by key stakeholders, including affected communities, as soon as possible.

Community Recovery Vision

Community visions developed during the strategic planning for recovery process (refer to section 8.2) need to be used as the basis for the recovery vision in the Plan. These visions developed prior to the emergency will have been shaped by the communities and will be based on their strengths, vulnerabilities and values. They provide a strong foundation that should then be revisited with the community so that the community is involved in tailoring it to the specific consequences of the recovery.

Expectation Management

During the development of a Recovery Plan, it is important to manage the expectations of those involved and the community. Managing expectations will assist in minimising any frustrations with the development process and the communities level of influence of its outcomes. This may include, but is not limited to, setting expectations around:

- areas or decisions the community can influence / have a say in and areas/decisions that will be made by others
- the process and timeframes for finalising the plan/strategy
- the degree of enhancement the local authority is able to support, and
- the scope of recovery activities.

Engagement during development

It is crucial to involve and gain buy-in from the community and key recovery stakeholders as these are the people who will implement the Recovery Plan. This includes:

- the affected community (through community leaders)
- iwi
- Mayor or Mayors of the affected communities
- agencies and groups who will make decisions in recovery
- agencies and groups who coordinate, deliver or support recovery services
- recovery environment sector group Chairs, members and project leads

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   147

DRAFT ONLY, IN CONFIDENCE

- local authority business units and teams who will deliver recovery activities
- the Joint Committee
- the Coordinating Executive Group; and
- the Ministry of Civil Defence & Emergency Management.

Evolution

As the recovery progresses and formal recovery arrangements start to wind down, the Recovery Plan may be superseded by a plan or strategy led and delivered by the community. The Recovery Team and local authority community development teams may support the community to develop this plan, for example facilitating workshops with the community to help identify priorities going forward.

Real world example

The Recovery Team following the Whakatāne District floods held a workshop with the Edgecumbe community to support them to develop an Edgecumbe Community Plan, which followed on from the Whakatāne Recovery Action Programme. Representatives from community groups and organisations attended the workshop, which also helped people connect and see where they could be working collaboratively.

11.5.1 Content and Considerations

Recovery Plan content

As the Recovery Plan sets out the strategic direction of the recovery, it needs to contain, as a minimum the following.

- **Community recovery vision**: what the community will look and feel like in the future.
- **Recovery goals**: the high level results the recovery aims to achieve.
- **Recovery objectives**: the measurable steps to achieve each goal.
- **Recovery priorities**: the order that recovery objectives will be focused on.

Considerations

When developing a Recovery Plan, the following points need to be considered.

- Engagement and contributions from affected communities are crucial when developing the Recovery Plan and will take time. Ensure adequate time is allowed for engagement, multiple engagement techniques are used and two-way conversation is enabled.
  - How can the community participate? Will events be held, for example, the Share An Idea workshops following the 2010–2011 Canterbury earthquake sequence or the economic environment workshops

148
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

facilitated by Kaikōura District Council following the November 2016 earthquake and tsunami.

- Purposefully plan for changing recovery 'phases'; for example moving from immediate recovery to long-term rebuild, which may involve changes of roles, responsibilities, policies, priorities and outcomes. Funding, how to manage relationships and tensions, and how to communicate the changes of roles and responsibilities also need to be planned.

- Are District Plans still applicable/relevant given the changed environment? Will they need to be reviewed and replaced?

- Does the Long-term Plan need to change because of the consequences and recovery vision?

- If appropriate, can district re-valuations be completed in the required timeframes?

- Recovery goals and objectives can be based on the recovery objectives and principles in the *National CDEM Plan 2015*. However they must be tailored to the affected community and consequences of the emergency. Make them relevant.

- Objectives need to be based on needs. These will be identified in impact and welfare needs assessments. Activities need to developed to achieve objectives, and then all actions need to be prioritised.

  - How can the necessary activities be prioritised over the urgent ones?

  - How can long-term issues be considered from day one?

  - Will activities be prioritised by recovery phase, location or by some other means?

- The local recovery team, local Council and community leaders will know what the needs are. Ensure they are engaged in the development of the Plan.

- How will the Recovery Plan be reported on, to who and how frequently?

More information

An example of a Recovery Plan is available on the MCDEM website www.civildefence.govt.nz.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   149

11.6 Linking to risk reduction and resilience

While it is essential to consider risk and resilience when preparing for recovery, recovery management presents further opportunities to reduce risk and improve resilience. These opportunities need to be identified during recovery management.

Understanding risks and hazards

Reducing future risk does not mean that all communities should adopt a policy of 'building back better' without first understanding what that strategy would achieve. Assessing appropriate reduction strategies requires an in-depth understanding of the future hazards and risks faced by a community and how these can managed or mitigated.

Working with experts

Recovery Managers need to work with engineers, community development specialists, planners and other specialists to identify opportunities for reducing the risks from future hazards. Recovery environment sector groups should be encouraged to consider reduction, particularly in the built and natural recovery environments. Recovery managers should identify where additional expertise is required and ensure this is available to support the recovery.

Reduction across the recovery environments

While the built and natural environments will play an important part of reduction, it is important that recovery managers identify opportunities for reduction across the recovery environments. Recovery may present opportunities for creating increased resilience in a local economy, or communities may put in place initiatives that promote connectedness and resilience.

Community engagment

Understanding how recovery activities can support risk reduction should begin in preparing for recovery and should canvas the views of the community. It is likely that affected communities will be highly engaged in how they can avoid or be protected from future events.

Conversations about hazard avoidance and mitigation can be difficult, particularly when communities may be advised that relocation is considered the best option.

See Section 3, 11.1 and 11.2 for more information.

11.7 Monitoring, Evaluation and Reporting

Recovery should always be strongly aligned to the needs of the community, which change and develop over time. To do this effectively, it is important to both understand and monitor the needs of the community through the use of key indicators and measures.[74]

Monitoring and evaluating progress

Following an emergency, there is a need to monitor and evaluate the progress of recovery activities and the effect these activities are having in achieving the recovery outcomes as well as any unintended consequences.

The regular and planned monitoring of recovery activities against the outcomes sought helps to ensure that:

- projects are adapted to emerging needs
- resources can be redirected to meet other outcomes as early outcomes are achieved
- an early warning system is in place to identify outcomes that are not responding to recovery efforts and any unintended consequences of recovery efforts
- progress towards successful recovery is communicated to the community and other relevant stakeholders
- all groups involved in the delivery of recovery programmes are accountable for their respective performance[75], and
- the appropriate time for winding down formal recovery arrangements is identified.

The objective of a recovery is to assist affected communities in reaching a point where they are able to manage their own recovery. By monitoring outcomes, it can be more easily determined when this point has been reached and when the formal recovery process can wind down[76].

Monitoring and evaluation frameworks should be developed alongside an Exit Strategy to ensure alignment (refer to Section 12.1 for further information on Exit Strategies).

Monitoring and reporting risks and issues

In addition to progress, risks and issues also need to be identified, monitored and reported. Risks and issues could relate to (but are not limited to):

- progress of the recovery
- health and safety of individuals supporting the recovery, including volunteers; and

---

[74]Whatakane District Recovery Debrief April 2017 – ex cyclones Debbie and Cook.
https://www.whakatane.govt.nz/sites/www.whakatane.govt.nz/files/documents/residents/recovery/Whakatane%20District%20Recovery%20Debrief%20April%202017%20-%20Part%20A%20and%20Part%20B.pdf
[75] Argyrous, G. and Rahman, S. 2016. *A Monitoring and Evaluation Framework for Disaster Recovery Programs*. The Australia and New Zealand School of Government Ltd, page 30
[76]Argyrous, G. and Rahman, S. 2016. *A Monitoring and Evaluation Framework for Disaster Recovery Programs*. The Australia and New Zealand School of Government Ltd, page 6

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   151

DRAFT ONLY, IN CONFIDENCE

- unintended consequences.

Business-as-usual and/or response processes can be used to identify and monitor risks and issues.

More information

A risks and opportunities register template is available on the MCDEM website www.civildefence.govt.nz.

11.7.1 Recovery Outcomes Framework

Defining Recovery Outcomes

In planning recovery activities and projects, it is essential to have clear, agreed recovery outcomes and indicators that set the direction for the recovery.

These are generally developed with input from the key stakeholders who will contribute to recovery activities, as well as from the affected community.

Some key steps for developing recovery outcome statements are:

- use the collective knowledge, information and experience to understand the consequences of the emergency and the problems to be overcome
- translate problem statements into positive outcome statements[77]
- identify the appropriate recovery environments for monitoring recovery progress; and
- reach consensus on a small number of critical outcomes — the outcomes do not necessarily need to cover all four recovery environments. For example, recovery efforts from past acts of terrorism or criminal activity (such as the Oklahoma bombing in 1995) have focused on the social and built environments.

It is important to consider:

- whether some outcomes are more critical than others
- how the outcomes might be effectively measured, and
- who is best suited to achieve the outcomes.

It is also important to review and update outcomes regularly to incorporate changing recovery needs, new data sources and agreements.

Recovery Indicators

An indicator is a measure (either quantitatively or qualitatively) of progress towards, or achievement of, a recovery outcome. For example, an indicator reporting the number of businesses in operation could be associated with

---

[77] Kusek, J., & Rist, R. 2004. *Ten steps to a results-based monitoring and evaluation system*. Washington: The International Bank for Reconstruction and Development/The World Bank

152
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

the outcomes statement of returning the business environment to a pre-emergency state.

Indicator selection will subsequently determine the data collection and sources and how they are analysed and reported, and can highlight political and methodological considerations to work through. It is important to be cognisant of data availability when developing indicators. The Canterbury Earthquake Recovery Authority for example, found it particularly difficult to monitor environmental indicators because of the lack of data availability.

Tracking progress using outcome indicators also provides an opportunity to encourage collaboration between stakeholders (e.g. across central and local government agencies and iwi) and data-sharing across potentially isolated functions.

In an ideal scenario, indicators should have a universal definition, be readily available, and be standardised, allowing comparison across recoveries in order to learn or identify national risks or issues. It is also important to consider the availability of data to measure an indicator.

A lesson from the 2010–2011 Canterbury earthquake sequence recovery is that indicators should show progress (or non-progress) in the critical recovery areas. A test of an indictor may be that without progress against it, recovery would not happen[78].

It is recommended that there are no more than 10 to 15 indicators for each recovery environment or project, and each indicator can be either quantitative or qualitative.

More information

An example from Australia of how recovery programs can be evaluated for their effectiveness is available in *A Monitoring and Evaluation Framework for Disaster Recovery Programs* at https://knowledge.aidr.org.au/media/5967/a-monitoring-and-evaluation-framework-for-disaster-recovery-programs-v2.pdf

Examples of recovery outcomes and indicators is available in the Australian National Disaster Recovery Monitoring and Evaluation Database at https://knowledge.aidr.org.au/me-recovery-outcomes-search/.

Data sources

Once you have your list of indicators there are a range of methodological factors to consider.

When assigning data sources to indicators:

- identify the data sources that could be used to measure desired changes

---

[78] Canterbury Earthquake Recovery Authority. 2016. Benefits of a strategic approach to recovery: CERA's lessons on the journey from emergency to regeneration, page 8. https://www.eqrecoverylearning.org/assets/downloads/res0028-benefits-of-a-strategic-approach-to-recovery1.pdf

4148230_4.docx

- identify gaps in the availability of necessary data and information, and
- where necessary, develop proxy measures to measure progress against indicators.

Assess whether data sources based on existing administrative and survey data from government departments are fit for purpose before making the final selection of the indicators. The following list provides an example of criteria for selecting recovery indicators based on data assessment.

- Reliability: data that are frequently updated and nationally comparable.
- Consistency: data that are collected in a stable and consistent manner across collection points and across time.
- Relevance: data that have a constant relationship to the total population.
- Timeliness: data that are available within a few weeks of collection.
- Accessibility: barriers to data access, including privacy restrictions, cost and complexity are minimal[79].

Quantitative and qualitative data both have limitations. Quantitative data provides limited insights into qualitative changes and the process and causes of such changes. Therefore, a mix of both quantitative and qualitative methods is required.

- Quantitative measures to monitor recovery progress and to identify problem areas for more in-depth study.
- Qualitative measures to provide further insights into underlying factors driving trends[80].

Monitoring performance

Once the indicators and data sources have been determined, the Recovery Outcomes Framework can be implemented. A monitoring plan is required and needs to detail:

- the baseline and target values that will measure progress against an indicator
- the data sources and methods for data collection
- the person responsible for collecting or providing the data
- the intervals at which the data will be collected or provided, and
- any assumptions and risks associated with the indicators or data being collected.

Management of data will also need to be considered (refer to Section 11.9).

Communicating performance

Finally, consider how progress, including any risks or issues, will be communicated.

---

[79] Canterbury Earthquake Recovery Authority (2016). *Monitoring social recovery*. Page 5..
[80] Chang, S. (2010). Urban disaster recovery: a measurement framework and its application to the 1995 Kobe earthquake. *Disasters, 34*(2), 303-327.

154
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Dashboards are a common method, summarising the key information and an indication of any areas that need attention, but more detailed reports may be needed depending on the audience.

Real world example

The Canterbury Earthquake Recovery Authority developed an approach to monitoring social recovery. A description of the approach, including the development of evidence, which was nationally comparable and included pre-earthquake baseline data and lessons and tips is available on the EQ Recovery Learning website. Please note however the scale of recovery this approach was developed for.
http://eqrecoverylearning.org/environments/social/resource/5534.

11.7.2 Recovery Team Support

An important element of monitoring recovery is monitoring the health and wellbeing of the recovery team. The recovery team may have been impacted by the emergencies themselves and will be working in extraordinary circumstances to support the recovery of the community. This may take a toll on individuals in the team and it is important that the Recovery Manager is monitoring this.

Also consider how the team are celebrating success and milestones and if they are embracing new staff that bring new perspectives.

11.7.3 Reporting during recovery

The purpose of reporting is to maintain recovery management accountability and transparency, to keep the wider community and stakeholders informed, to gain support and assistance, and to record an account of recovery efforts including lessons identified.

Flexibility and simplicity

Reporting needs to cover the emergency from its beginning through to the winding down of recovery arrangements. Reporting throughout recovery must be flexible, simple and succinct, and have the necessary administrative assistance when required.

Targeted reporting

The level and type of reporting required is based on the size and scale of the emergency, and the target audience. Generally, reporting will be necessary for the following audiences.

- Central government Ministers
- MCDEM and other Central Government agencies
- Local authority politicians, senior executives and staff
- The Joint Committee and Coordinating Executive Group
- Recovery environment sector group chairs and agencies
- The community affected by the emergency

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16] 155

- Media
- The general public.

When targeting reporting to the audience, ask them what they need to know.

Elements to reporting on

Depending on the size and scale of the recovery, reporting could be a simple overview and summary or more detailed larger events.

Reporting may include some or all of the following elements.

- Event overview and current status: geographical area affected, nature of event, statistics, summary impact assessment.
- Transition arrangements (handover from response phase, ongoing responsibilities, meetings schedule etc.
- Recovery management overview, including governance, recovery offices and recovery environment sector groups.
- Actions outstanding from response, including any critical issues / recovery management considerations.
- Recovery status / actions planned across the environments:
  - social environment (welfare including numbers of people affected and needs, safety and security, health)
  - built environment (residential housing, commercial and industrial property, public buildings/assets, rural farmland, lifelines utilities)
  - economic environment (individuals, businesses, infrastructure), and
  - natural environment (ecosystems, waste/pollution, amenities).
- Recovery management issues/priorities:
  - information management
  - public information management
  - financial management (cost tracking and reporting, Government financial support, management of relief funds)
  - rural sector (Enhanced Task Force Green)
  - community recovery programmes and management, and
  - recovery team arrangements.
- Exit strategy (definition of what constitutes the end of recovery management and how transition will be made to business-as-usual).

Status report

A Status Report is a short, regular report that reports progress against the Recovery Action Plan. It contains:

- overall status of recovery
- highlights and milestones for the reporting period

156
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

- current or emerging issues or risks
- progress against the Recovery Action Plan, and
- key indicators.

It should be distributed to:

- the Ministry of Civil Defence & Emergency Management
- the Group Recovery Manager (if it's a local level recovery)
- the Coordinating Executive Group and Joint Committee
- local authority senior executives and key staff/teams involved, and
- recovery environment sector group Chairs and agencies.

More information

A Status Report template is available on the MCDEM website www.civildefence.govt.nz.

Reporting responsibility of Recovery Managers

Recovery Managers are responsible for ensuring that regular reporting is undertaken by:

- defining the types of reports required for the event
- ensuring that reporting is compatible with reporting developed during the response and aligns with the Recovery Plan and Action Plans
- developing a reporting timetable
- ensuring that regular finance reports are completed, and
- ensuring that recovery environment sector groups report on a regular basis.

Reporting responsibility of Public Information Managers

Public Information Managers are responsible for ensuring that reporting is appropriately tailored towards the community affected by the emergency, the media and the general public.

11.8 Governance, Accountability and Decision-making

> *Understand that recovery is a balancing act. Don't be afraid to think, pause, reflect, collaborate, reconsider/refresh as appropriate. But, most of all, don't be afraid to make decisions when they are needed.*
>
> *Benesia Smith, former Deputy Chief Executive, Canterbury Earthquake Recovery Authority*

It is important to activate, tailor and clarify, if necessary, recovery governance, accountability and decision-making early in recovery to avoid misunderstandings or confusion as to who is doing what and to ensure there is no delay in decision-making.

Activating recovery governance

Governance arrangements established prior to the emergency (refer to Section 8.4) need to be activated once response has moved to recovery. This can include bringing together:

- members of a strategic governance group (this may be the Territorial Authority Council or a Council Recovery sub-committee), and
- the core recovery team who are responsible for and support operational recovery management.

The purpose of bringing these people together is to:

- confirm (and clarify or tailor if necessary) their responsibilities
- share and develop situational awareness
- identify, discuss and secure resources needed to support the recovery, including what agencies, organisations and groups will be members of the recovery environment sector groups; and (these should have been identified pre-emergency);
- develop and gain approval of the Recovery Plan.

Confirm accountability, roles and responsibilities

Confirming and, if necessary, tailoring accountability and roles and responsibilities early is crucial. This includes accountability in terms of line management as well as communication flows.

For example, the Local Recovery Manager will be accountable to the Territorial Authority Chief Executive Officer and Mayor but must also ensure there is an information flow/report to the Group Recovery Manager, Coordinating Executive Group and Joint Committee (this may be done for the latter two through the Group Recovery Manager).

Accountability for information flows and reporting also needs to be confirmed for others involved in recovery. This includes setting the clear expectation that agencies and organisations supporting the recovery need to operate within the recovery coordination arrangements. This should be done through activating recovery environment sector groups and appointing recovery environment sector group chairs.

DRAFT ONLY, IN CONFIDENCE

Principles to guide decision-making	To guide decision making, the following principles should be considered by both a strategic governance group and the recovery team.

- **Conditions for innovation:** Recovery creates a unique set of circumstances that supports new thinking and ways of doing things.
- **Innovation in the recovery context:** During recovery, there will be a need to think outside the box. Recovery is an opportunity to embrace innovative solutions to achieve better recovery outcomes for communities. By focusing on communities' strengths during recovery, innovative solutions can be enhanced.
- **Adapting or designing processes for recovery:** Recovery is often about looking for the simplest way to get things done. Sometimes practices will emerge that lead to innovative change and, consequently, improved future practices. Other simplified processes may need to return to business-as-usual.

11.9 Managing Information

The objective of information management is to manage and exchange timely, relevant, consistent and reliable information to aid and support decision making to enable effective and integrated recovery management (refer to 27.2 of the *The Guide to the National CDEM Plan*). The objective is the same in response and recovery, meaning that as response moves to recovery, information needs to be captured and reported in a consistent manner (Refer to 27.5 of the *The Guide to the National CDEM Plan*).

A key information management activity during recovery is the management of information systems and processes. This allows for information gathered (for example through impact and welfare needs assessments. Refer to 11.1) to be appropriately managed and utilised to inform decision-making.

Purpose of collecting information	Information is collected in recovery to:

- determine priorities by understanding the needs of a community through needs analysis
- convey information to people
- build situation awareness so an action can be taken
- manage performance and progress
- identify and manage risks
- inform and make decisions, and
- identify lessons learned.

DRAFT ONLY, IN CONFIDENCE

Principles of information management in recovery

The following principles apply to information management after an emergency[81].

- Use, where practicable, systems that allow for multi-agency use and visibility.

- Use business-as-usual information supplied from and maintained by the responsible agencies.

- Augment business-as-usual information with information for the emergency that is exchanged between the responding agencies.

- Use normal communication methods and additional emergency communication methods in the order of their availability and effectiveness at the time.

- Conform, where practicable, to equivalent business-as-usual practices and national standard specifications.

Information collection, collation, and distribution considerations

Lessons learnt from past recoveries have highlighted the most important considerations for information collection, collation and distribution. The following lessons need to be addressed early.

- **Be aware of privacy concerns with sharing information**, particularly personal information. Recovery Managers and those in a recovery team need to be aware of these privacy concerns and information sharing obligations. In some instances, information may not be able to be shared.

- **Ask for data or formats that agencies and organisations normally collect, collate or provide**. For example, insurance companies may only collate and monitor claims on a nationwide basis and may find it difficult and burdensome to easily share information for specific local areas. Requesting data that is not normally collected or in a form that is not normally collated could lead to frustrations, delays in receiving the information or not receiving the information at all.

- **Use information gathered during response** and continue to verify, amend and enhance it as recovery progresses. Datasets built during response to hold information on the impacts of the emergency must be managed and updated with new information.

- **Collect high quality, verified information** to enable recovery decision-making.

- **Collect task-specific detailed information on priority areas** — normally welfare needs and building/infrastructure damage.

---

[81] The Guide to the National CDEM Plan Section 27.3 Principles (a) – (e), which apply to response and recovery.

- Use Geographic Information Systems (GIS) to **develop spatial information** to maintain situational awareness and underpin planning.

- **Establish efficient collection methods** to gather information from multiple sources and utilise all available sources.

- **Ensure good records are kept**. Information will continue to be collected throughout recovery and good records will improve situational awareness and are needed for monitoring, evaluation and reporting (refer to Section 11.6).

- **Develop privacy protocols for information-sharing**. Information may need to be shared between agencies and organisations to ensure recovery activities are coordinated and unnecessary duplication is avoided. Information management **systems need to allow sharing to happen easily and quickly.** Agencies should confirm early how they will share information, drawing on arrangements and agreements established during pre-emergency recovery operational planning (refer to Section 8.8). This may include confirming confidential information-sharing protocols with insurance companies and the Earthquake Commission.

Privacy and information sharing

After an emergency, information may need to be shared with agencies contributing to the coordination and delivery of recovery support, particularly for welfare services.

Recovery Managers need to understand and abide by the *Privacy Act 1993*. This Act controls how agencies collect, store, use, disclose and give access to personal information. People have the right to request any information gathered about them under this Act.

See Section 6 in Part 2 of the *Privacy Act 1993*, which features 12 information privacy principles.

The *Privacy Act 1993* is available on the New Zealand Legislation website www.legislation.govt.nz. For more information refer to the Privacy Commissioner's website www.privacy.org.nz.

Resourcing

The most important factor in ensuring effective information management during recovery is ensuring that the activity is recognised as a core activity and is resourced adequately.

Recovery experience from both large and small to medium events in New Zealand shows that information management demands can be huge, even for small events. Data matching and validating also requires considerable time and resources and can often be underestimated. Matching and validation is important to ensure that support and activities are focused on real community needs.

Ensuring adequate skilled resourcing for the information management function is the responsibility of the Recovery Manager.

Utilising the Intelligence function

Ongoing management of information systems is required throughout recovery as it is the basis for capturing and collating information to inform recovery decision-making.

During response, the Intelligence function has four key questions to answer[82].

- What is happening now?
- Why is it happening?
- So what, i.e. what does it mean?
- What may happen next / in the future?

It is recommended that some form of Intelligence capability be retained and tailored to recovery activities during recovery management. Maintaining this capability into recovery will help to underpin decision-making.

11.10 Exercising Transition Period Powers

If a transition period is in place, Group Recovery Managers have access to the powers in Part 5B of the *CDEM Act 2002*.

CDEM Groups may appoint one or more Local Recovery Managers and delegate the functions, duties and powers of the Group Recovery Manager to the Local Recovery Managers to exercise in the area that the Group Recovery Manager is appointed (s30(1)).

Some of the powers are also available to a constable, as defined by the Act and s4 of the Policing Act 2008.

Transition Period Powers

The powers available reflect the activities that CDEM Groups, councils and communities may require Recovery Managers to exercise to aid recovery once a state of emergency has ended.

These powers are contained in section 94 of the *CDEM Act 2002* and the *Factsheet: Powers of a Recovery Manager during transition* on the MCDEM website (refer to more information below).

Legal tests

Recovery Managers can only exercise powers under a Transition Period if they meet three legal tests. The action must, in the Recovery Manager's opinion, be 'in the public interest', 'necessary or desirable to ensure a timely and effective recovery' AND 'proportionate in the circumstances' (s94G(3)).

---

[82] From CIMS 3rd Edition

162

DRAFT ONLY, IN CONFIDENCE

Reporting

There are specific reporting requirements if any power is used during transition periods[83]. Reporting requirements include:

- a written report from the Recovery Manager to the Director CDEM and a copy to the CDEM Group within seven days of the transition period ending
- detail on the powers used, by who and the reasons for use; and
- making the report public — as the CDEM Group must put it on its website.

More information

More information about transition period notices, including the powers made available to Recovery Managers is available in the following documents.

- *Factsheet: Powers of a Recovery Manager during transition*
- *Factsheet: Local Transition Periods*
- *Quick Guide Giving Notice of a Local Transition Period.*

on the MCDEM website www.civildefence.govt.nz.

Templates for recording and reporting the use of powers as well as Transition Period Forms that can be used when giving, extending and terminating notice are available on the MCDEM website www.civildefence.govt.nz.

11.11 Community Involvement and Engagement

Recovery management is not possible without community involvement. Communities spontaneously begin their own recovery from the start of an emergency, and the role of recovery leaders is to provide structured support, coordination and communication to facilitate community recovery efforts. There is also increasing recognition that the processes used by agencies involved in recovery to interact with communities are critical and can impact, either positively or negatively, the capacity of individuals and groups to manage their own recovery process.

Community involvement in recovery management is an important means of contributing to the empowerment of individuals and communities to manage their own recovery, and to encourage innovation. It is also a core mechanism that drives recovery planning and management. Engaging with communities can be a balancing act between taking the time to consult and maintaining progress, and making decisions that require quick action. Communities will be highly motivated following an emergency; however, they may have difficulty accessing or understanding messages being delivered or engaging in strategic recovery conversations.

---

[83] It is not necessary to provide a report to the Director CDEM if no transition period powers were exercised during the Transition Period.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   163

Supporting and enhancing the resources, capacity and resiliency already present within individuals and communities is the key to successful recovery[84]. Recovery Leaders and teams need to carefully consider what form of community participation is appropriate for different phases and aspects of recovery. This could range from informing the community to help them understand a decision, to empowering them to make a decision about their future[85].

Recovery Leaders need to foster two-way engagement and collaboration with communities to hear their priorities, needs and wants as these will drive recovery planning and management. They also need to support communities to inform or determine options, progress, pace and the services they need.

Engagement with communities can take many forms from community meetings, social media, recovery centres, workshops, community forum and community events. These forums provide a face-to-face chance to meet recovery leaders, share stories and connect with others. They also create opportunities to test recovery planning assumptions with the community. Refer to Section 11.11 for further information on community engagement during recovery.

Communication, involvement, collaboration and empowerment

It is crucial for recovery leaders to understand the difference between communication, involvement, collaboration and empowerment so they can use them when most appropriate.

Refer to *Engaging with communities* in section 3.1, and the IAP2's Public Participation Spectrum for more information about the difference between communication/informing, involvement, collaboration and empowerment.

Communication

Communication is vital, both within and between groups, organisations, agencies, decision-makers, politicians and other stakeholders involved in supporting the community to recover. Communication involves not only sharing information, but also leveraging information networks and systems to inform recovery planning and decision-making, and enables recovery activities and resources to be activated in response to feedback from all involved.

Regular communication with the community is essential in recovery and will be different from how day-to-day communications are managed. The community will want to know how recovery is progressing, even when there is little progress to report. They will also want to know what Recovery Leaders know and don't know.

Where good communication practises exist, effective coordination and engagement will naturally follow.

Refer to Sections 11.11 and 11.12 for further information on communication with the community during recovery.

---

[84] Adapted from EMA 2014

[85] Refer to the *International Association for Public Participation's Public Participation Spectrum*.

164
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

Encouraging meaningful community involvement	National and international recovery experience shows that the following factors are important to address in order to ensure meaningful community involvement in recovery.

- **Involve communities early and in a meaningful way**. The type of engagement required will depend on the consequences of the emergency. Develop engagement strategies based on the International Association for Public Participation (IAP2) Spectrum of Public Participation (inform – consult – involve – collaborate - empower)[86] and seek advice and support from local community engagement and development subject matter experts and Public Information Managers.

- **The more empowered an individual or community, the more effective the recovery**. Careful consideration needs to be given to ways to empower the community, as greater efforts to ensure empowerment means greater investment in agency time and resources. Be proactive and reach out to affected people.

- **Manage public expectations by being honest** about the difficulties faced and by setting realistic but achievable goals. Some decisions will be based on extensive consultation, whereas others will need to be made quickly in the interest of safety. Explain this to the community. Use transparent processes and clarify the basis for decision-making.

- Engagement with communities needs to be **continual and two-way** throughout recovery. Listen and respond to community concerns, suggestions and local knowledge. 'Walk alongside' the community through recovery and make sure that communities can see themselves represented in recovery coordination arrangements.

- Establish and maintain a **local presence** that is accessible, available and visible in the communities affected. This could be by establishing a centre for community recovery (refer to Section 11.11.2 for more information).

- **Listen for community 'silence'** as well as 'noise', as both can be good indicators of potential issues.

- Look for **local community leaders, champions and influencers**. Use their knowledge and networks and seek a collaborative approach, working alongside them to develop and deliver community-led projects. Validate the views and inputs of interest groups with the broader community.

- **Keep people genuinely engaged** as much as possible over time, recognising that recovery issues drop off the radar quickly. This

---

[86] IAP2's Public Participation Spectrum is used to describe how different types of engagement have a greater or lesser impact on the community.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   **165**

> could be through tailored engagement techniques that alter over time (and from those used in business-as-usual engagement).

- Recovery activities should **build upon the inherent strengths and capabilities** of affected communities, be based on pre-emergency planning and work through existing networks (refer to Section 8.1). Work with existing community groups and support and bolster them to deliver activities for the community. Base engagement on the capacity and needs of the impacted community, rather than the process and timeframe needs of local authorities and agencies.

Real world example

See the *Engaging with communities in a recovery context* for lessons on community engagement and communication in the Canterbury earthquake recovery, available at eqrecoverylearning.org.

More information

More information about community involvement in recovery is available in the *Australian Emergency Management Handbook Series Community Recovery Handbook 2, Australian Emergency Management Institute (2011)* on www.emknowledge.org.au/.

See *Engaging with communities in a recovery context* for lessons on community engagement and communication in the Canterbury earthquake recovery, available at eqrecoverylearning.org.

More information on the spectrum of public participation and the message that can be given to the community to manage expectations is available in the *International Association for Public Participation's Public Participation Spectrum* at https://www.iap2.org.au/Tenant/C0000004/00000001/files/IAP2_Public_Participation_Spectrum.pdf and in Section 3 of the *Community Engagement in the CDEM context Best Practice Guide [BPG4/10]* available on the MCDEM website www.civildefence.govt.nz.

More information on community engagement including templates for profiling, planning and evaluating community engagement approaches is available in the *Community Engagement in the CDEM Context Best Practice Guide [BPG 4/10].*

11.11.1 Community engagement and events

There are many community engagement mechanisms and tools that can be used in recovery. Recovery provides an opportunity to use innovative approaches as well as commonly used approaches such as community meetings, forums, committees and events.

The key factor to consider when deciding on the most appropriate mechanism is to understand the characteristics of the community so approaches can be tailored to them. Other factors include:

- considering ways to overcome any engagement barriers for different groups in the community (for example age, culture or

166

language) by using different mechanisms and tools for different groups

- giving people time to reflect on information and be involved at their pace — pressure to respond to unrealistic deadlines can create additional anxiety and stress that can exacerbate personal issues
- considering the whole community when deciding on engagement mechanisms, acknowledging different parts of the community may want to engage at different times, and gaining a balanced view on community needs; and
- knowing any pre-existing engagement mechanisms that could be used.

Community meetings

Community meetings are a key engagement tool during recovery. Experience from previous events shows that demand for face-to-face engagement with communities is often high and public information management must be closely aligned with community engagement.

The following points should be considered when planning for and delivering public meetings during recovery.

- **Start holding community meetings early** in the recovery process and hold them in locations based on community priorities and demand.

- **Use as many existing and new communication channels** (i.e. radio, letter drops, community hub notice boards, local papers, etc.) to provide information about the meetings to ensure people know where and when they are being held.

- **Provide as much information as possible at the meeting,** including what you know, what you are doing and what you want the community to do — the who, what, where, when and why of Councils, Government and recovery partners.

- **Allow people to express their frustration first**, and accept this as a normal part of dealing with recovery. It should be understood that people may not be in a calm state of mind and that some people will looking for someone to listen and hear their concerns.

- **Facilitate meetings with honesty, empathy and realism**. Meetings should be chaired by the Recovery Manager, and attended by Mayors / CDEM Group Chairs, and local authority senior executives and representatives. Be a part of the meeting not apart from the meeting.

- Ensure **participation and support at meetings from recovery partner agencies** such as the Earthquake Commission, the Ministry of Social Development and technical specialists such as GNS Science and engineers. Give people the opportunity to talk to those who have the answers to their questions.

- **Commit to and hold follow-up meetings** at each stage of the recovery.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   **167**

Community forums and recovery committees

Community forums or recovery committees can be used as a formal way to engage with a community, provide an opportunity for the community's voice to be heard and build a holistic picture of needs and issues. They provide an opportunity for Recovery Teams, agencies, community leaders and representatives to discuss progress and issues, and share knowledge, and provide a means of making informed decisions.

Depending on the scale of recovery, different forums or recovery committees can be established. The key consideration is whether these groups are Council- or Government- led, or if they are community-led.

Groups may use or build on existing organisations or be purpose-built. For example, an existing Residents Association could hold regular meetings that provide an opportunity for community residents to share their experiences and also for Council staff and elected officials to attend to provide up-to-date information and hear concerns. Or a new group of Council, agency and iwi representatives could be brought together to share information and address issues.

Real world examples

Following the 2010–2011 Canterbury earthquake sequence, Waimakariri District Council outlined the key roles of community-led recovery committees[87]. These include:

- representing the needs of the community
- providing legitimate and recognised leadership
- acting as a community advocate
- communicating and listening to the community
- informing and engaging the community on recovery, and
- providing a strong communication channel between the community and council, and other organisations and government agencies involved in recovery.

In previous recoveries, forums established by central government have had useful community representative participation, particularly from iwi. Examples of community and government forums from previous recoveries include the following.

- The Chief Executives' Forum for the November 2016 earthquake and tsunami, which included chief executives from affected councils and Ngāi Tahu.
- The Coastal Route Transport Infrastructure Restoration Liaison Group, chaired by the New Zealand Transport Agency, which included communities and iwi interested in the rebuild of the Kaikōura to Blenheim transport corridor after the November 2016 earthquake and tsunami.

---

[87] *Social Recovery 101 A Guide for Local Social Recovery* on the *Waimakariri District Council's social recovery framework and lessons learnt from the Greater Christchurch Earthquakes* available on the Waimakariri District Council website https://www.waimakariri.govt.nz

168
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

> - The Whakatāne Leaders' Forum, which included councils affected by the 2017 flooding, central government agencies and local iwi Chief Executives. It provided a forum to update and share information between parties and discuss issues.
> - The Canterbury Earthquake Recovery Authority (CERA) Community forum, which provided the CERA Minister with information and advice on recovery matters. The forum consisted of members who represented a wide cross-section of the Canterbury community, including residents associations and groups.

Community events

Organising community events during recovery is a good way to keep people connected and encouraged, as well as thinking and working as a community. Community events may include both practical and socially oriented events. Examples include:

- recovery expos (the 'how-to' related to all aspects of recovery) and DIY workshops on landscaping and fencing, and providing assistance to people needing support with everyday activities such as lawn mowing
- community social events including school holiday programmes, Secret Santa, Kaumatua groups, community barbecues and children's play events; and
- 'welcome home packs' for people as they return to their home — these packs can contain basic household items such as cleaning products and linen.

The Recovery Manager and Team should link to community leaders to ensure the needs of the community are understood, and work closely alongside community groups to hold these events. For example, an existing community group may plan an event with logistical or financial support from the local authority.

More information

More information and examples of community forums and recovery committees is available in:

Whakatane District Recovery Debrief – April 2017 – ex-cyclones Debbie and Cook available on the Whakatāne District Council website https://www.whakatane.govt.nz/recovery-debrief%2Btoolbox.

Social Recovery 101 A Guide for Local Social Recovery on the *Waimakariri District Council's social recovery framework and lessons learnt from the Greater Christchurch Earthquakes* available on the Waimakariri District Council website https://www.waimakariri.govt.nz.

11.11.2 Centre for Community Recovery

Purpose of centres for

A centre for community recovery provides a central meeting place for people and a single point for general advice and assistance. Communities often relate best to local people on-site within their community and these centres allow individuals to have ready access to recovery services and to

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   169

community recovery

connect with agencies providing social services, building/housing services and insurance advice.

The facilities provide an opportunity for two-way communication and facilitate community involvement in recovery as they are a place for people to meet and connect, read books, use computers and have a coffee and a chat. They are also a visible sign of recovery efforts.

They can help Recovery Managers, Recovery Teams and other agencies involved:

- understand needs and issues arising
- understand community dynamics, relationships and how the communities are coping; and
- coordinate delivery of some welfare goods and services.

Considerations in setting up centres for community recovery

The crucial element of establishing a place where the community can access support and information is determining what the right type of facility to address community needs.

The right facility might be a continuation of a Civil Defence Centre (CDC) that was set up and managed by CDEM in response or it might be a new place.

To determine what the right facility is, the Recovery Manager needs to consider the following.

- Is the facility **based in the affected community and is it visible and accessible**?
- Is the facility able to **provide a space for people to meet**, access information, use computers, have private meetings with agencies and have a coffee and a chat?
- Is there space for **agencies providing services (including navigators and residential advisory service) to be located at the centre**? Will agencies and support be available at the centre during the weekdays or at the same time and place each week, or will agencies need to hot-desk on different days?
- Is there **space to hold community meetings**?
- **How long will the centre need to remain open**? The longer the timeline for recovery, the more important a centre will be for providing support and services. The length of time may also influence the facility used. For example, if it is in a school, it will stop the school opening and children returning to school and there will be health and safety considerations of having people on the premises.
- Is the centre **separate from any Recovery Office** (if set up) so the Recovery Office can be unencumbered by walk-ins?
- Are there enough **resources to staff and manage** a centre?

Centre name	The name used for centres for community recovery vary between communities and emergencies. Some examples used for past recoveries include Recovery Centre, Civil Defence Centre, Information Hub, Community Service Hub, Recovery Assistance Centre and Recovery One-stop Shop.
	The important consideration is to use a name that is acceptable and recognisable to the community and reflects the purpose of the centre.
Regular review of centres purpose	The purpose of the centre should be reviewed as recovery progresses to ensure that the services and support offered through the centre are meeting the needs of the community. This could include whether agency presence in the centre is appropriate, both in terms of what agencies are present but also the amount of time they are present. Reviewing the purpose of the centre will also help to identify when the centre is no longer needed by the community and could transition to another facility or close.
More information for setting up and managing centres	Guidance provided in the *Welfare Services in an Emergency Director's Guideline [DGL 11/15]* for setting up and managing a Civil Defence Centre may be useful to refer to when establishing centres for community recovery. The *Welfare Services in an Emergency Director's Guideline [DGL 11/15]* is available on the MCDEM website www.civildefence.govt.nz.

11.11.3 Recovery Navigators

In recent events, one-on-one support to help people navigate through new processes, systems and agencies has proven to be highly effective in helping individuals and communities recover. These roles are commonly known as Navigators.

Navigators aim to provide the right support at the right time to affected family/whānau and strengthen individuals and family/whānau so they can move forward with their lives. They contribute to the wellbeing of affected individuals and family/whānau by supporting their access to services needed to enable their recovery.

A Navigator has a good understanding of the community they are supporting and leverages off existing relationships with iwi, non-government organisations, communities, local government and government agencies, and links affected residents to existing support services. The role complements and should work with other support services facilitators (such as rural support facilitators).

The benefits of providing the right support at the right time include[88]:

---

[88] Based on Whakatāne District Recovery Project 'Case for Navigators', June 2017

4148230_4.docx

- easing the physical, psychological and social difficulties being experienced
- negating the need for individuals/family/whānau to deal with responding agencies separately
- connecting and coordinating access to all support and resources
- support is individualised and relationship-based and supporting, empowering and strengthening individual capacity
- support is proactive (mobile) and responsive to identified needs, delivered by local professionals providing essential support to vulnerable people
- providing relevant context within which whānau can explore ways to address continued disruption and uncertainty, and
- building on psychosocial recovery plan objectives with the aim of minimising the number of affected people requiring specialised services.

More information

Examples of how Recovery Navigators were used in different recoveries is available on the MCDEM website www.civildefence.govt.nz (search Navigators) for the November 2016 earthquake and tsunami, on the Whakatāne District Recovery Debrief and Toolbox on the Whakatane District Council website https://www.whakatane.govt.nz, and in Social Recovery 101 A Guide for Local Social Recovery on the Waimakariri District Council's social recovery framework and lessons learnt from the Greater Christchurch Earthquakes available on the Waimakariri District Council website https://www.waimakariri.govt.nz.

11.12 Communicating with the public

Purpose of PIM

During recovery, Public Information Managers play an important strategic and leadership role alongside Recovery Managers.

Public Information Management (PIM) during recovery is critical for people and communities to understand what is happening and where to seek assistance throughout the recovery process, and to facilitate community involvement in recovery. The PIM function[89]:

- engages people and communities in long-term community regeneration; and

- provides timely, accurate and clear practical information about the overall state of recovery and progress made and issues such as public health, utilities, welfare, mayoral relief funds, grants and assistance from government agencies.

The goal of the PIM function during recovery is the same as in response — to provide information that:

---

[89] Refer to CIMS 3rd Edition

172
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- creates strong public confidence
- provides effective advice to the public on what to do and where to go for assistance
- manages public expectations, and
- informs the public not affected by the emergency.

PIM responsibilities during recovery

The PIM function during recovery is usually a continuation of arrangements that are in place following response. The functions include[90]:

- working with and monitoring the media
- issuing public information to the community and managing community relations
- monitoring social media and overseeing effective information flows from communities with the recovery team
- advising the Recovery Manager and attending meetings
- liaising with the Territorial Authority Mayor and Councillors and/or the CDEM Coordinating Executive Group / Joint Committee members
- collaborating with public information management personnel from other agencies
- preparing and leading media conferences
- working closely with recovery spokespeople, including briefing them before interviews; and
- ensuring information points and helplines are kept updated, and liaising with the people managing site visits for VIPs and media.

Who to communicate with

It is crucial to ensure that all people that need to be communicated with in recovery are identified. This can be done through stakeholder mapping and through developing a communications strategy. Examples of individuals and groups that are likely to need to be communicated with include, but are not limited to:

- affected individuals and community (this may include families of affected individuals overseas)
- iwi
- the wider community (who are unaffected)
- stakeholders and partners assisting with the recovery
- decision-makers
- elected members, and
- central government agencies involved in the recovery.

---

[90] Adapted from Public Information Management Director's Guideline for Civil Defence Emergency Management Groups [DGL14/13]

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   173

Communication principles	PIM messaging during recovery should[91]:

- be a single source of information that is authoritative, trustworthy and consistent; and be down-to-earth (especially for rural communities), honest and give the 'hard' facts

- keep issues in front of the community and give an holistic view

- help people understand what happened during the event, and why

- project that Council is engaged, cares about communities, will support communities and is in control

- be simple and practical, and state the obvious

- be clear, accurate, relevant and timely

- be proactive, regular and consistent, even when there is nothing new to update — people won't always hear the message the first time so repeat and repeat again

- utilise a combination of channels — status sheets, newsletters, social media, billboards, handouts, emails, and website updates, depending on what will work best for the local community

- be linked to welfare and targeted to those most vulnerable; and

- quickly manage misinformation.

Key messages

Key messages communicated throughout recovery will differ depending on the emergency, the scale of consequences, the phase of recovery and who is being communicated with.

In the short term, messaging will focus on:

- how to get information
- how people can update their details
- where people can get help, and
- who is 'in charge' of what information.

Long-term messaging provides reassurance by providing information on the background and science of the emergency, breaking the recovery into stages and communicating what has been achieved and what is coming up next. It focuses on the key issues along with the big picture, holistic view.

Common key messages from past recoveries that should be communicated to everyone include the following.

- What we know
    - The recovery process will be lengthy and most likely costly.
    - It will be frustrating, but together we can make sure the process is of benefit to the affected community (for example better and more resilient).

---

[91] Adapted from 'Learning from regional recovery events' report (November, 2015), p. 17.

174
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- ○ We are doing everything we can to ensure there is as little disruption as possible, but there will be some disruption.
- ○ The community is the most important part of the recovery.
- What we don't know and what we are doing about what we don't know
  - ○ We don't have an exact timeline for completion of the project, we do however have a staged timeline / schedule of works which we aim to work within.
- What are we doing
  - ○ Timeline of work schedule.
  - ○ Timeline of community engagement.
- What we need you to do
  - ○ Here is where you can find the latest updates.
  - ○ Share updates and information with vulnerable members of your community — elderly, children etc.

Communication channels

Multiple communication channels need to be used to maximise the likelihood that messages are received by the intended audience. Existing channels will vary in each community and some new channels may need to be developed to reach key audiences. Also, the channels used during response will already have an audience, so use these rather than attempting to re-engage. Some examples to consider include:

- local media/news outlets; for example paper, radio, or community group communication channels

- existing iwi communication channels;

- social media for pushing messaging and monitoring/receiving feedback from communities — this includes social media of local authorities as well as runanga, supporting agencies and community organisations

- regular newsletters — printed and digital including existing newsletters such as community/school newsletters

- community open days or workshops, community hui/meetings

- existing forums and groups

- visual products, including posters/maps/flyers/brochures, sharing where to get information
- videos sharing community stories / rebuild stories, and

- a page for recovery updates on the local authority website.

Local authorities and Recovery Managers should partner with community organisations and non-government organisations as a way of increasing the reach of messages and listen to the community to improve communication and learn from mistakes.

Use social media to push messaging and monitor/receive feedback from communities. Don't underestimate the ability of disaffected individuals to derail recovery processes via the media.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   175

Liaise with and keep local media in the loop, and use media accreditation for larger events if required.

Communication tools

Communication tools should be used to help all members of a community understand key messages. Examples include:

- visual tools such as diagrams, maps, plans, pictures, photos and videos
- experiential and interactive tools
- onsite visits to impacted areas
- electronic and paper surveys
- supporting resources such as brochures
- social media
- translated information; and
- sign language.

Continue communicating

Wider public interest and awareness of an emergency often drops following response, which can lead to affected communities feeling isolated. This needs to be managed, which can be done by keeping the wider population informed of progressing and ongoing issues.

Other considerations

The effectiveness of PIM during recovery depends on PIM during response. It is important for the Recovery Manager to have a close working relationship with the Public Information Manager in response.

Do not underestimate the level of demand for information or resources required, even for small events.

Public information management must be resourced adequately. Nobody will criticise leaders for 'communicating too well' with their communities.

Careful consideration should be given to whether any public information message informs and advises people or whether it engages and empowers them.

Make a list of audiences and stakeholders and the information they need and provide a timeline for providing that information.

Talk to local media about doing a series of features on the recovery process with preparedness messaging (information and education). Get them involved to tell community stories.

More information

More information about Public Information Management is available in the *Public Information Management Director's Guideline for Civil Defence Emergency Management Groups [DGL14/13]* on the MCDEM website www.civildefence.govt.nz.

Information about including and engaging with culturally and linguistically diverse (CALD) communities is available in *Including culturally and linguistically diverse (CALD) communities [IS 12/13]* on the MCDEM website www.civildefence.govt.nz and *Best Practice Guidelines Engaging with Culturally and Linguistically Diverse (CALD) Communities in Times of*

Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

Disaster on the Christchurch City Council website
https://ccc.govt.nz/assets/Documents/Services/Civil-
Defence/BestPracticeGuidelinesofDiverseCommunitiesDisasterMarch2012.p
df.

Further information on communicating in recovery, including case studies is
available in *Social Recovery 101 A Guide for Local Social Recovery* on the
*Waimakariri District Council's social recovery framework and lessons learnt
from the Greater Christchurch Earthquakes* available on the Waimakariri
District Council website https://www.waimakariri.govt.nz.

11.13 Activating financial arrangements

The need for financial management	Sound financial management and systems are required throughout the recovery process at both the local and CDEM Group level.
	Local authorities and CDEM Groups should activate their pre-emergency financial arrangements for recovery. Generally, this involves setting up event-specific cost centres using existing financial systems and processes, and maintaining robust financial records.
Working with government agencies	Government agencies play an important role in supporting recovery management. Government agencies have mandated responsibilities that will be undertaken in recovery. When establishing recovery environment sector groups, recovery managers at both the local and Group levels will need to work with recovery environment sector group chairs to identify the agencies that will be involved and at what level they will be involved.
	Some national agencies will have regional offices (or structures) that will have established relationships at the regional and local levels, normally via established groups such as welfare coordination and lifelines. The National Recovery Manager is responsible for coordinating support at the national level and can provide advice to group and local recovery managers in accessing support.
Government financial support to local authorities and financial assistance	Government financial support to local authorities is provided during recovery under section 33 of the *Guide to the National CDEM Plan*. Financial assistance to people affected by an emergency is a Welfare sub-function during recovery.
	Recovery managers need to ensure that access to financial assistance during recovery is coordinated via recovery environment sector groups, and that processes for accessing financial support to local authorities are activated and completed.

11.13.1 Local financial arrangements

Territorial authorities	Local recovery managers are responsible for ensuring that within territorial authorities:

4148230_4.docx

- financial systems are set up and managed; and
- senior management and Council are aware of:
  - the mechanisms and criteria for Government financial support to local authorities, including the local threshold for support
  - the CDEM Group recovery funding arrangements
  - the amount of funding support provided by the CDEM Group; and
  - the specific Council funding mechanisms that may be employed to fund recovery activities.

CDEM Groups

Group recovery managers are responsible for providing support and assistance to local recovery managers with financial management, and for the coordination of joint claims to Government. Group recovery managers also assess and make recommendations on what recovery costs could be collectively met by the CDEM Group.

Disaster relief funds

Disaster relief funds may be set up at either the local or CDEM Group level, or both. Disaster relief funds are set up as trusts, with trustees or administrators appointed to make decisions on fund distribution.

During recovery, pre-emergency arrangements should be activated and tailored to suit the event.

The set-up of regional disaster relief funds is the responsibility of Group Recovery Managers, and the set-up of Mayoral Relief Funds is the responsibility of local recovery managers.

Central government may contribute to any disaster relief fund that may be established. Government contributions once made will be disbursed by the administrators. However, the government expects that administrators will address not only the needs of affected individuals and families but also those of community organisations and marae and their associated facilities and infrastructure. If central government contributes to a fund, regular updates will need to be provided to them on how the fund is being spent.

Administrators are encouraged to coordinate their approach to funding allocation closely with staff from the Ministry of Social Development (MSD) and the Housing Corporation of New Zealand. Te Puni Kōkiri will facilitate and support Māori access to disaster relief funds and will aim to provide administrators with relevant information about the needs of marae affected during an emergency.

11.13.2 Government financial support to local authorities

Principles and objectives of Government financial support

The government considers that local risks are the responsibility of local authorities. Any government assistance following an emergency is provided on the assumption that local authorities bear the primary responsibility for financial costs within their geographical area.

178
Recovery Management Director's Guideline [DGL 04/16]

4148230_4.docx

DRAFT ONLY, IN CONFIDENCE

to local authorities	Government financial support to local authorities for recovery recognises that the government has a role in the recovery process after an emergency that has significant consequences and any government recovery programme should be designed to restore community capacity for self-help and be consistent with any government policies regarding mitigation and alleviation measures. It also recognises that there may be events, or a sequence of events, that mean a local authority will struggle to fund appropriate outcomes for the community.
	Government financial support to local authorities comprises essential infrastructure recovery repairs, disaster relief funds, road and bridge repair subsidies (through the New Zealand Transport Agency) and special policy for recovery.
Essential infrastructure recovery repairs	Local authorities should adequately protect themselves through asset and risk management prior to an emergency.
	Eligibility criteria for essential infrastructure repairs is outlined in the *Guide to the National CDEM Plan*.
	Expenses for infrastructure repairs can be claimed through the expense claim process.
	For infrastructure that does not fall under essential infrastructure outlined in the *Guide to the National CDEM Plan*, it is recommended that Recovery Managers and/or affected local authority Chief Executives contact the responsible agency or organisation to discuss available support.
More information	For further information, refer to Appendix D of the Logistics in CDEM Director's Guideline and the *Government Financial Support Factsheets*, available at www.civildefence.govt.nz
Disaster relief funds	Ministers may authorise up to $100,000 to contribute toward a disaster relief fund. Any larger contribution would require approval of Cabinet.
	See *Disaster relief funds* on page 178.
Road and bridge repair subsidies	The New Zealand Transport Agency may provide financial support towards the costs of road and bridge repair after a weather event or other natural disaster. Local authorities should work with the New Zealand Transport Agency to determine the level of support available.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   179

Special policy for recovery

Special policy support may be available to local authorities, as stated in the *National CDEM Plan 2015*.

> **164 Special policy for recovery**
>
> Special policy financial support may be available to local authorities in cases where, to decrease the likelihood of the occurrence of a similar emergency, funding in addition to existing resources is required for—
>
> a) new programmes of work to meet specific needs in an affected region; or
>
> b) the upgrading of facilities to a level that is higher than existed previously.

If local authorities consider they face circumstances that warrant an exception to the policies already outlined they may advise MCDEM that such assistance is being sought.

Special policy support is not routinely available and requires Cabinet approval. Application criteria are outlined in section 33.6 of the *Guide to the National CDEM Plan*.

The onus is on the local authority to justify the proposal, including thorough evaluation of options, other funding sources considered and community consultation.

More information

The full principles and objectives and components of central government financial assistance is set out in Section 33 of the *Guide to the National CDEM Plan*, and the claims process for Government support for local authorities is in Appendix D of the *Logistics in CDEM: Director's Guideline for Civil Defence Emergency Management Groups [DGL 17/15]*. Both resources are available at www.civildefence.govt.nz.

11.13.3 Government financial assistance

Overview

Financial assistance is a Welfare sub-function that involves providing information about, and access to, the range of financial assistance available to people affected by an emergency.

Agency responsible and support agencies

The Ministry of Social Development coordinates the provision of information about, and access to, the range of financial assistance available to people affected by an emergency at the national and CDEM Group levels. Support agencies include the Accident Compensation Corporation (ACC), the Earthquake Commission (EQC), Inland Revenue, the Insurance Council of New Zealand, the Ministry of Business, Innovation and Employment, the Ministry for Primary Industries, New Zealand Red Cross, the Salvation Army, community-based organisations and networks and local authorities.

Accessing Government financial assistance	Recovery Managers are responsible for ensuring that the range of support available is identified and managed by working with recovery environment sector groups during recovery. During response, financial assistance is managed via the Welfare function and it is recommended that similar processes are used in recovery, although Recovery Managers need to discuss and agree this with the social environment recovery sector group and Local and/or Group Welfare Managers.
	Financial assistance for individuals and insurance are often the two most pressing issues for communities during recovery.
More information	A full explanation of the financial assistance roles and responsibilities of agencies and financial assistance available is set out in Section 13 of the *Welfare Services in an Emergency Director's Guideline [DGL 11/15]*), which is available on the MCDEM website www.civildefence.govt.nz.

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16] 181

Section 12 Winding down recovery arrangements

This section outlines how recovery arrangements are wound down once recovery activities no longer require arrangements to oversee and support activity.

The end of recovery

Defining the end of recovery is difficult, as it will differ for each community depending on the conditions prior to the emergency and the consequences they are dealing with. It may also take many years or decades to meet recovery objectives.

There will be a point before the community has recovered, where recovery management arrangements established following the emergency can be wound down, long-term recovery activities can return to CDEM Group and local authority business-as-usual functions, and recovery activities can gradually merge and evolve into community development activities (as shown in Figure 1).

Winding down recovery management arrangements can be considered when recovery activities no longer requires special arrangements to oversee and support social, built, natural and economic recovery activity.

Considerations

The winding-down of recovery management arrangements needs to be carefully considered, planned, staged and well-managed to minimise any negative consequences from the withdrawal of support arrangements and services.

The following factors should be considered when deciding to move to business as usual functions:

- What level of reliance does the community have on services and support provided during recovery management, e.g. additional medical services?
- Have recovery services filled a pre-emergency gap in the community?
- What does the monitoring and evaluation of recovery say?
- What recovery activities and projects are ready to move to business-as-usual? Different recovery activities and projects will be ready to move to business-as-usual at different times.
- Are all agencies, organisations and groups ready to move to business-as-usual functions? Or is there a need to have a staged wind down of arrangements?
- How will the transition from recovery management arrangements to business- as-usual functions be communicated to the community and stakeholders?

Using the recovery outcomes framework

The Recovery Outcomes Framework developed earlier during recovery management (refer to Section 11.6) should also be used to help identify the appropriate time to wind down arrangements. Questions to ask include the following.

- Have outcomes been achieved?

182

Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx

- If not, are indicators showing the community is moving in the right direction to achieving the outcome? Do formal recovery arrangements need to remain in place to ensure the outcome is achieved or will the outcome be achieved if these arrangements are wound down?
- Are the community moving in the right direction to achieve outcomes because of recovery arrangements?
- Are indicators showing the community is not moving in a positive direction (objectives are unlikely to be met) and that winding down arrangements will slow progress further?
- Will business-as-usual arrangements and the community itself be able to maintain progress? Is there buy-in from business as usual arrangements?

12.1 Exit Strategy

An exit strategy:

- achieves the formal withdrawal of the recovery arrangement, and
- incorporates long-term recovery activity into CDEM Group and local authority business-as-usual functions.

An exit strategy must be developed (section 158 *National CDEM Plan 2015)*. Effective monitoring and reporting throughout the recovery process will indicate when it is time to finalise recovery management.

Components of an exit strategy

As an exit strategy plans the withdrawal of arrangements, careful consideration must be given to the services and support the community still need and how these will be provided. For example, the community may have received community development support through a dedicated role in a Recovery Office. This support may still be needed for some time but it could be provided by the business-as-usual community development team within the local authority.

An exit strategy must include:

- assistance required in the long term
- a transition to business-as-usual so as to manage long-term recovery
- planning and reporting in the long term
- management of public information and communications
- opportunities for communities to discuss unresolved issues and to continue to participate in their recovery
- changes to organisational arrangements, including the need for recovery task groups, and
- debriefing and reviewing.

Exit strategy timing

It is crucial to begin developing an exit strategy when developing a Recovery Action Plan (see Section 10.2), Recovery Plan and monitoring and evaluation framework (see Section 11.6). This is so recovery

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   183

objectives and activities can be developed with the winding down of recovery activities in mind and the conditions that will allow recovery management arrangements to be wound-down identified. It also enables early expectation management, which links to psychosocial wellbeing of affected communities and supports and encourages community empowerment and self-determination. Effectively monitoring and evaluating recovery will help the appropriate time to return long-term activities to business-as-usual functions.

The exit strategy, developed early in the recovery, may need to be built on as recovery management activities evolve and as monitoring and evaluation show the appropriate time for winding down formal arrangements is nearing.

12.2 Learning from Emergencies

Post-emergency learning is an essential element of successful recovery management. Post-emergency activities include undertaking organisational debriefs, preparing reports, reviewing plans and arrangements, and documenting and implementing lessons.

While capturing lessons following recovery is important, it is equally important to ensure that lessons learned are shared and acted upon.

Recovery Managers are responsible for ensuring that debriefing and review processes are undertaken following recovery management.

Debriefing and review

Debriefing and review of the emergency response will occur near the beginning of recovery and may provide a good opportunity to address any emerging issues that may impact upon recovery management early.

Debriefing and reviewing recovery is recommended as it provides an opportunity for people involved in recovery to communicate their experiences so lessons can be identified. This allows arrangements to then be modified to reflect lessons identified and improves the ability to recover from future emergencies. It also contributes to developing a culture of reflection and learning for recovery in New Zealand.

In addition to 'hot' debriefs and ongoing review during recovery management, Recovery Managers can advocate for formal debriefing and review, although formal reviews are normally at the discretion of the local authority Chief Executive and/or the CDEM Group (depending on the scale).

In general, debriefing and reviewing recovery occurs after winding down recovery management arrangements.

More information

More information about organisational debrief and review is available in the *Organisational Debriefing Information for the CDEM Sector [IS6/06]* on the MCDEM website www.civildefence.govt.nz.

DRAFT ONLY, IN CONFIDENCE

Review mechanisms

There are many ways of reviewing different components of recovery. Local authorities and CDEM Groups should have reviewing processes in place before an emergency.

Examples of questions that could be asked during a review include the following.[92]

- How was the activity, support, function or recovery delivered?
- What difference did the activity, support, function make to the community?
  - Were the desired changes observed and, if so, by how much? How much of these changes was due to the activity, support or function as opposed to other factors?
  - Did it achieve its objectives?
  - How did any changes vary across different individuals, stakeholders or sections of the community, and how did they compare with what was anticipated?
  - Did any outcomes occur that were not originally intended, and, if so, what and how significant were they?
- Did the benefits justify the costs?

Sharing lessons learnt

There are a range of examples of reviews that have been completed following recent recoveries. The aim of these reviews has been to identify lessons learnt, document these and share them with others. They collectively add to the learning culture of recovery in New Zealand and provide a valuable resources for others working in recovery. Examples include the following documents.

Whakatane District Recovery Debrief – April 2017 – ex-cyclones Debbie and Cook available on the Whakatane District Council website https://www.whakatane.govt.nz/recovery-debrief%2Btoolbox.

November 2016 Earthquake and Tsunami Recovery story available on the MCDEM website www.civildefence.govt.nz.

Social Recovery 101 A Guide for Local Social Recovery on the *Waimakariri District Council's social recovery framework and lessons learnt from the Greater Christchurch Earthquakes,* available on the Waimakariri District Council website https://www.waimakariri.govt.nz .

Shared insights from the Canterbury earthquakes available on the EQ Recovery Learning website http://www.eqrecoverylearning.org/.

Re-assessment of hazardscape and opportunities for risk reduction

A key component of reviewing recovery is to consider how the emergency and consequences have changed the hazardscape and understanding of the risks in a community (refer to recovery activity definition in the *CDEM Act 2002.*

Once the hazardscape has been re-assessed, local authorities need to consider if additional or different risk management measures need to be

---

[92] Modified from *The Magenta Book Guidance for evaluation*, 2011, HM Treasury

4148230_4.docx

Recovery Management Director's Guideline [DGL 04/16]   **185**

implemented given the changed hazardscape and what is now known about the actual consequences.

Real world example

For example, the November 2016 earthquake and tsunami created new landslides, rock-fall and landslide dams hazards near Kaikōura. To reduce risk for the community, risk reduction measures implemented included geotechnical solutions such as rock-fall nets, bunds and walls, and policy measures to restrict access or development of 'at-risk' sites.

186
Recovery Management Director's Guideline [DGL 04/16]   4148230_4.docx