

# CAPABILITY ASSESSMENT TOOL

# Results for Tauranga City Council

August 2013



Ministry of Civil Defence  
& Emergency Management  
Te Rākau Whakamarumarū

## Background

Under the Civil Defence and Emergency Management (CDEM) Act 2002, Tauranga City Council (TCC) is a member of the Bay of Plenty Civil Defence and Emergency Management Group (BoPCDEMG). It is one of 6 partner territorial authorities with responsibilities as outlined in the Bay of Plenty Civil Defence Emergency Management Group Plan 2012- 2017.

TCC has local authority responsibilities under the CDEM Act (2002):

### 64 Duties of Local Authorities

- (1) A local authority must plan and provide for civil defence emergency management in its district.
- (2) A local authority must ensure that it is able to function to the fullest possible extent, even though this may be at a reduced level, during and after an emergency.

TCC currently has a shared CDEM arrangement with Western Bay of Plenty District Council for the provision of some readiness and response activities.

The purpose of this capability assessment is to identify areas where TCC should improve its CDEM capability across the 4 R's in order that it can effectively discharge its obligations under the CDEM Act 2002.

In June 2012 the Ministry of Civil Defence and Emergency Management (MCDEM) conducted a capability assessment across the Bay of Plenty using a three-fold approach of a capability assessment tool, interviews with key members and a review of documentation. The BoPCDEMG scored 47.5 overall, but has subsequently made extensive and systemic changes to improve the capability within the Bay of Plenty area. These improvements continue to evolve.

## Scoring.

Responses to the statements were scored by TCC staff and are detailed in each of the goal sections. TCC should aim to raise scores into the satisfactory zone (scoring 40 – 60% for a low satisfactory, and 60 – 80% for high satisfactory). It is not intended that improvements be undertaken immediately, rather a prioritised approach be adopted to focus on critical improvement areas over the short – medium term.

	<b>'Target Environment'</b> (80-100%) – signifying substantial to comprehensive achievement, with sustained organisational commitment.
	<b>'Satisfactory'</b> (40-80%) – signifying considerable progress or achievement, but not yet comprehensive of needs.
	<b>'Requires Attention'</b> (0-40%) – signifying 'no', 'minor', or 'some' progress or achievement, with work still required to be effective.

**Goal 1:** Increasing community awareness, understanding, preparedness and participation in civil defence emergency management

Results For Goal 1			
Weighted Score by Key Performance Indicator			
G1A1	Public education programme on hazards and risks is planned, coordinated and given priority by the organisation		35.2
G1A2	Awareness-building opportunities are proactively pursued		10.0
G1A3	Public information management is planned, coordinated and given priority by the organisation		65.6
G1A4	Public information manager is appointed and resourced to be able to do the job		59.7
G1B1	The preparedness message is disseminated using multiple methods		32.5
G1B2	Levels of community resilience are monitored		24.0
G1C1	Volunteer participation in CDEM is supported and encouraged		5.7
G1C2	Community organisations' CDEM initiatives are supported and encouraged		5.6
G1D1	Information on hazards and risks is readily available to the public		56.0
G1D2	Community input on hazard risk management is sought, and 'acceptable levels of risk' defined		10.0
G1D3	CDEM planning is integrated with other community-focused planning		32.8
Weighted Score by Objective			
G1A	Increase the level of community awareness and understanding of the risks from hazards		43.6
G1B	Improve individual and community preparedness		28.3
G1C	Improve community participation in CDEM		5.7
G1D	Encourage and enable wider community participation in hazard risk management decisions		32.8

Key improvement areas:

**Public Education is not multi hazard or deliberate**

Tauranga City Council has considered the need for public education in respect of Tsunami, but there is no deliberate public education plan that addresses general emergency preparedness, preparedness for hazards other than tsunami, or specific preparedness for target audiences (businesses, schools, visitors, communities etc.).

**Engaging with the community on CDEM**

There is no plan and virtually no engagement with the communities of Tauranga in respect of building community<sup>1</sup> resilience, defining the need for volunteers (in a CDEM context), and deliberately engaging with community groups. There may be opportunities to lever from existing volunteer arrangements in other parts of the council. TCC needs a plan to engage with its communities to ensure better preparedness for emergencies across a range of hazards.

**Public Hazard information**

TCC makes good use of its website (cityzoom) to make tsunami inundation information available to the public. This could be enhanced by adding information for other hazard types. TCC's complies with the requirements of the RMA in respect of 'acceptable levels of risk', but does not have a deliberate organisational principle to engage with communities to determine what might be considered an acceptable hazard risk.

<sup>1</sup> For Tauranga City, use of the term 'community' should be considered to be wider than its residential communities, and should specifically consider businesses / CBD, visitors, schools, vulnerable communities (by geography, hazard, age etc.)

## Goal 2:

## Reducing risk from Hazards

<b>Weighted Score by Key Performance Indicator</b>			
G2A1	CDEM research is undertaken		60.0
G2A2	CDEM research is assessed and analysed		60.0
G2A3	CDEM research is applied		20.0
G2A4	Technical advisory groups are utilised		10.0
G2B1	Hazards, vulnerabilities and risks are identified and documented		33.3
G2B2	Level of risk is determined in the context of existing controls		45.0
G2B3	Risks are evaluated in the context of community goals, and priorities for treatment established		23.8
G2B4	Hazards, vulnerabilities and risks are monitored on an ongoing basis		20.0
G2B5	Approach to risk is coordinated within the wider organisation, and between organisations		16.0
G2C1	Guiding principles for risk reduction are established		0.0
G2C2	Viable risk reduction options are identified and evaluated		6.0
G2C3	Implementation of risk reduction programmes is inclusive, coordinated, and monitored for progress and effectiveness		20.0
G2C4	Business, household and individual risk reduction is encouraged		40.0
G2D1	[NATL ONLY] Hazard risk management is coordinated at the national level		
G2D2	[NATL ONLY] Risk reduction is integrated into government policy and programmes		
G2D3	[NATL ONLY] National CDEM Strategy is in place and effective in coordinating the national approach to CDEM		
G2D5	[NATL ONLY] Clusters of agencies interact to achieve common CDEM outcomes across the 4Rs		
<b>Weighted Score by Objective</b>			
G2A	Improve the coordination, promotion and accessibility of CDEM research		31.7
G2B	Develop a comprehensive understanding of New Zealand's hazardscape		29.5
G2C	Encourage all CDEM stakeholders to reduce the risks from hazards to acceptable levels		16.5
G2D	Improve the coordination of government policy relevant to CDEM		

### Key improvement areas:

#### Using hazard research to define organisational priorities

TCC undertakes hazard research in a range of areas that is used to better inform asset planning (flooding, landslide, tsunami). There is a purpose built database to store information on hazard risk. This could be enhanced by the deliberate decision for TCC to overlay its various hazard information to: identify areas of hazard vulnerability and potential corporate risk; to support in prioritising capex activity; and inform community awareness and planning in a CDEM context. The application of hazard research into normal council business will actively support in the integration of CDEM across TCC.

#### Monitoring and evaluating hazard risk

As hazard research and treatment options are applied within TCC business, the hazard risk profile of an area may change. On-going monitoring of hazard risk and controls may support in redefining community and corporate risk strategies.

### Goal 3:

### Enhancing capability to manage civil defence emergencies

Weighted Score by Key Performance Indicator (CDEM Groups)			
G3A1	Professional development strategy and programmes are developed according to organisational needs		2.0
G3A2	Professional development programmes are comprehensively implemented and evaluated		25.7
G3A3	Exercising is effective in improving capability		0.0
G3A4	Exercising is integrated across organisations and levels		6.0
G3B1a	CDEM Group Plan provides the platform for comprehensive, coordinated CDEM across its area		
G3B1b	Planning is integrated and aligned across the CDEM Group		
G3B1c	[LOCAL AUTHORITY ONLY] A plan is in place that outlines arrangements for civil defence emergency management		21.6
G3B1d	[LOCAL AUTHORITY ONLY] CDEM planning is integrated and aligned across agencies		16.7
G3B2	CDEM Group member agencies work together cooperatively and collaboratively		3.5
G3B3	CDEM Groups work together cooperatively and collaboratively		
G3B4a	Emergency operating centres (EOC/ECC) have appropriate facilities		17.1
G3B4b	Emergency operating centres (EOC/ECC) are staffed adequately		31.4
G3B4c	Emergency operating centres (EOC/ECC) are resourced and operated efficiently		0.0
G3B5	Warning systems are in place and are maintained and effective		23.5
G3B6	Communication with partner agencies is able to be maintained in an emergency		0.0
G3B7	Controllers are able to provide effective leadership		57.5
G3B8a	Critical resources can be sourced rapidly in response to an emergency		8.6
G3B8b	Logistics processes are in place to manage resources effectively in an emergency		11.4
G3B9a	Group welfare planning is comprehensive and coordinated		
G3B9b	[LOCAL AUTHORITY ONLY] Local welfare planning is comprehensive and coordinated		0.0
G3B9c	[LOCAL AUTHORITY ONLY] Welfare is able to be provided to affected communities in a timely, effective manner		0.0
G3B10	Lifeline utilities are coordinated in response		10.0
Weighted Score by Objective			
G3A	Promote continuing and coordinated professional development in CDEM		9.3
G3B	Enhance the ability of CDEM Groups to prepare for and manage civil defence emergencies		16.6

#### Key improvement areas:

#### Professional development

The Group Emergency Management Office (GEMO), plans and coordinates professional development across the group for the spectrum of CDEM roles (controllers, welfare, EOC training, CIMS, recovery managers, lifelines etc.). TCC needs to first identify the people who will fulfil the various roles across CDEM in order that it can leverage from training opportunities as they arise. Having consistent training approaches means that opportunities exist for individuals to engage across the group (and nationally) in exercising, and to ultimately be a resource for the group during emergency events. TCC needs to be able to monitor its growing CDEM capability, and to plan and hold a range of exercise types in order to practice its developments.

#### Response planning and operations

Response planning and capability needs improvement. Irrespective of where any Emergency Operations Centre (EOC) is situated either within TCC or as part of any shared arrangements, it is critical that TCC understands what capability it has available (people, tools, planning, resources, relationships), how to access it and how this could impact on normal business. TCC urgently needs to clearly define and describe its CDEM response arrangements, and how these will interact with the Group Emergency Coordination Centre There are numerous lessons that have been identified following the Christchurch earthquakes, and many of these are being progressed by the BoPCDEMG. . Consideration could also be given as to whether the role of local controller has been adequately resourced by TCC.

#### Welfare planning and operations

Welfare as a function has historically been part of the shared arrangement with WBOPDC with little or no involvement by TCC. Whilst it is easier to plan response activities that focus on infrastructure, the greatest impacts during emergency events are likely to be human ones. Welfare provision during an emergency requires a multi-agency approach, with coordination being provided through a welfare manager. This same multi agency forum undertakes wide ranging welfare planning activities that ensure support services can be targeted to areas that are affected during emergencies. TCC needs to decide whether a formalised welfare arrangement with WBOPDC should be developed, or whether TCC wishes to provide its own welfare resourcing as part of the existing local welfare committee.

## Goal 4

Enhancing capability to recover from civil defence emergencies

Results For Goal 4			
Weighted Score by Key Performance Indicator			
G4A1	Structures, roles and responsibilities for recovery are pre-determined and documented		0.0
G4A2	Recovery Managers are identified, trained, supported and ready to perform the role		1.7
G4A3	Recovery Plan outlines arrangements for holistic recovery management		0.0
G4A4	Recovery planning is integrated with risk reduction and other community planning		0.0
G4A5	Arrangements for the transition from response to recovery are pre-defined		0.0
G4B1	Impact assessments are conducted before, during and after events in order to inform recovery planning and management		2.9
G4B2	[LOCAL AUTHORITY ONLY] Plans and procedures for establishing a recovery centre or 'one-stop shop' are in place		0.0
G4B3	[LOCAL AUTHORITY ONLY] The community is an integral part of recovery planning and management		20.0
G4B4	Information management systems are effective in supporting recovery management		0.0
G4B5	Processes for learning from emergencies are embedded in the organisation		8.0
Weighted Score by Objective			
G4A	Implement effective recovery planning activities		0.3
G4B	Enhance the ability of agencies to manage the recovery process		6.2

Key improvement areas:

### Recovery arrangements and planning

Recovery arrangements and associated recovery planning are areas for improvement nationally, and TCC is no different from many local authorities in this regard. A lack of recovery planning may cause TCC to be rapidly overwhelmed should recovery from an emergency become an issue in the future. There are likely to be existing structures and arrangements within TCC that will allow for asset recovery, but TCC should consider (in partnership with the BoP CDEMG) taking a more holistic approach towards planning for the recovery of communities

## Enabler 1 – Management and Governance of CDEM

Weighted Score by Key Performance Indicator			
E1A1	Compliance and promotion of the CDEM Act		0.0
E1A2	Compliance with other relevant legislation		
E1B1	CDEM Group Joint Committee includes appropriate level representation and has formalised procedures		60.0
E1B2	Coordinating Executive Group includes appropriate level representation and has formalised procedures		68.9
E1B3	CDEM Group governance structures are effective in managing CDEM and meeting agreed objectives		
E1B4a	CDEM Group work programmes are planned, monitored, and effective in achieving CDEM objectives		
E1B4b	[LOCAL AUTHORITY ONLY] Local authority work programmes are planned, monitored, and effective in achieving CDEM		0.0
E1C1	Funding arrangements are transparent and accounted for		84.0
E1C2	Mechanisms are in place to be able to source emergency funding		72.0
E1C3	Hazard reduction funding has transparent funding formulas and is prioritised to risk		20.0
E1D1	Business Continuity Management programme is formalised and has high-level commitment		40.0
E1D2	Critical business functions and processes, and potential impacts on them are defined		20.0
E1D3	Strategies and principles for business continuity are determined		0.0
E1D4	BCM arrangements are developed and implemented		26.7
E1D5	BCM arrangements are exercised, maintained and reviewed		0.0
E1D6	BCM is embedded in the organisation's culture		0.0

Weighted Score by Objective			
E1A	Comply with relevant legislative frameworks		0.0
E1B	Implement effective organisational structures for CDEM		43.0
E1C	Ensure agencies have funding for civil defence emergency management		58.7
E1D	Ensure agencies are able to function to the fullest possible extent during and after an emergency		14.4

### Key improvement areas:

#### Strategic organisational business continuity planning is unclear

Whilst there is indication that work has begun in developing business unit Business Continuity Plans, the lack of organisation-wide BCP principles and strategies is likely to result in assumptions between business units as to where or how business might continue. The immaturity of the BCP programme means there has been little opportunity to test plans or embed principles into the organisational culture.

#### Hazard risk does not drive council decision making / funding

There appears to be well considered emergency funding arrangements that can be accessed following emergency events (insurance risk has been evaluated) and TCC should be commended for this. However, currently the prioritisation of council funding does not appear to be deliberately assigned to prioritised hazard risk.

#### CDEM monitoring and compliance programme

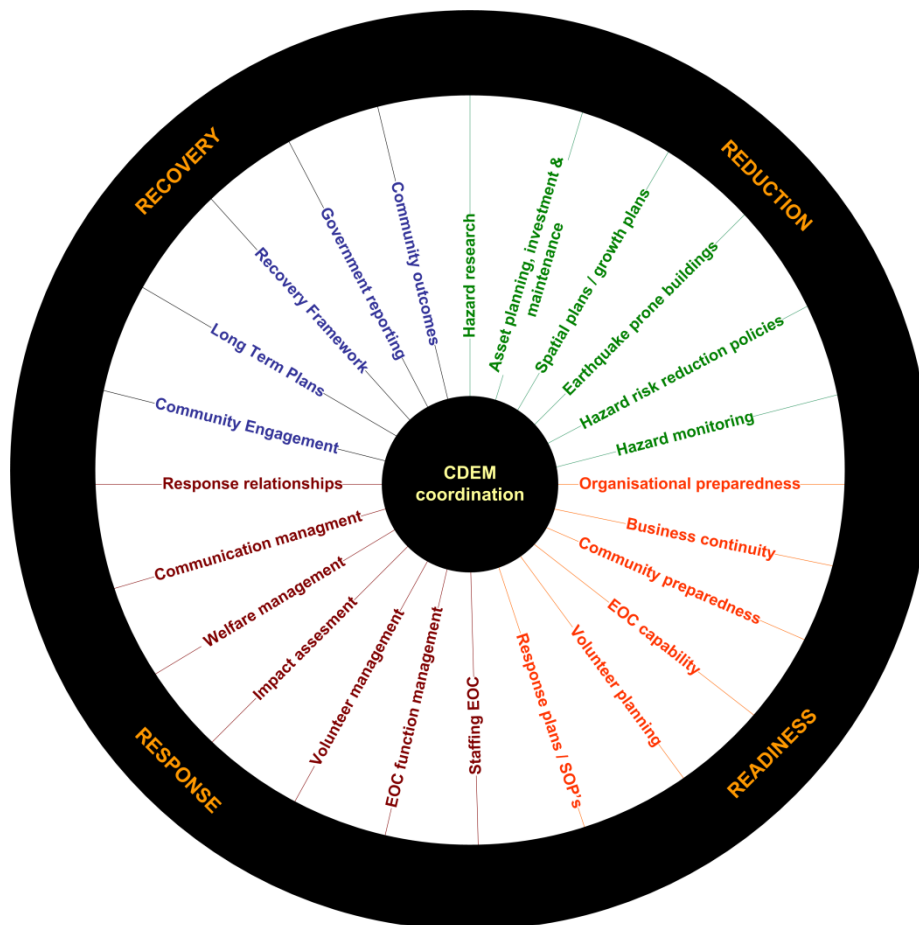
There is currently no deliberate activity that will monitor Tauranga City Councils compliance with the CDEM Act. Whilst much of the organisations' CDEM activity is likely to be being addressed already through a range of business unit functions, there is no plan that collates or measures performance. There does not appear to be a committee of council that 'owns' CDEM.

## Conclusions

Overall score					<b>23.5</b>
	Target Environment		Satisfactory		Requires attention

The overall score for TCC sits at the upper end of 'requires attention' at 23.5%. There are significant opportunities to make improvements in some key areas that will rapidly lift this score into the satisfactory zone.

Systemic improvements through a variety of internal mechanisms, and by understanding that TCC's normal core business contributes significantly to the overall resilience of the organisation and its communities, are likely to lift scores higher still. Figure 1 below illustrates the types of activities that are likely to deliver systemic CDEM improvement, with particular emphasis on the 'joining up' of activities by a central 'hub'.



Suggested CDEM improvement focus areas:

1. Complete the High Priority tasks identified in the 6 week work programme (which focuses on Key CDEM appointments, EOC arrangements and Duty arrangements)
2. Consider the "key improvement areas" identified in each section of this report to develop a priority work plan to 1 July 2014 which allows for the preparation for TCC to stand alone in a CDEM context should this be the desired way forward.
3. Collaborate with the Group Emergency Management Office in the development of a TCC 2014/15 work plan for CDEM that leverages from the Group Work plan and other local CDEM work plans, and gives effect to the Bay of Plenty CDEM Monitoring and Evaluation corrective action plan and the CDEM Group Plan.