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**Waikato and Bay of Plenty  
Civil Defence Emergency Management**

# **Controllers**

## **Development Needs Analysis**

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Prepared for the Waikato and Bay of Plenty CDEM Coordinating Executive Groups by



February 2012

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## Executive Summary

Following receipt of their Capability Assessment Reports, the Bay of Plenty and Waikato CDEM Groups invited MCDEM to support in defining:

- A process to select, appoint and review Group and Local Controllers,
- A development toolkit for Group and Local Controllers, and
- A process to engage existing Group and Local Controllers with their wider CDEM roles and responsibilities, particularly their contribution to readiness.

A range of people with a vested interest in the Controller role were selected by the Groups to be interviewed and a total of 64 people were interviewed.

The Controllers Development Needs Analysis has revealed that in order for the response phase to be effective from the outset, Controllers need to engage in both readiness (ahead of time activities) as well as response management.

The CDEM Act is clear on the functions of Controllers, but the opportunities to practice and build confidence and capability are rare. Most Controllers interviewed have the role as an 'add on' to their existing business role, and little time is specifically allocated to effectively engage in CDEM activity.

Chief Executives and Mayors routinely articulated their understanding of how emergency response would work in their area, but when questioned further, they were unsure whether they had the plans and people in place to manage the 'big one'. Significant faith has been placed in the CDEM professional staff to ensure that response planning, capability development and CDEM exercises occur, but with little understanding of the amount of ongoing time that Local Controllers would need to dedicate to their role to be sure of an effective response on the day.

Similarly, Coordinating Executive Groups and Joint Committees have an opportunity to better understand the collective availability and 'trained state' of its Group Controllers, and the entire Controller capability within its Region. Consideration should be specifically given as to whether the Group Controller role is resourced adequately (time wise), in order to be able to provide the professional guidance to Local Controllers in readiness, and the leadership and direction required during an emergency.

With the benefit of recent emergencies in New Zealand, interviewees were asked what could be developed or improved that would support Controllers in being better equipped for the uncertainty of disasters. A range of professional development topics are identified and discussed.

## **PART 1 Context**

### **1.1 Introduction**

This report assesses the Waikato and Bay of Plenty CDEM Group's understanding of and views pertaining to the role of a CDEM Controller.

A development needs analysis was undertaken by the Ministry of Civil Defence & Emergency Management (MCDEM) at the request of the Coordinating Executive Groups (CEGs) of both Groups in response to recommendations in their respective MCDEM Capability Assessment reports.

### **1.2 Background to Controllers Development Needs Analysis**

The Waikato and Bay of Plenty CDEM Groups were the first Groups to undertake the MCDEM capability assessment process. One of the components of this assessment was a focus on the effectiveness of appointed Group and Local Controllers.

The assessments provided recommendations for both groups as listed below:

#### ***Bay of Plenty***

It was recommended that:

- The Group Controller and his alternates meet on a regular basis to discuss issues which pertain specifically to the role of Group Controller.
- The collective of Group Controllers determine a schedule of meetings/training to both up-skill and relationship-build with Local Controllers.
- The collective of Group Controllers consider making one of their number available to attend an event in another region in an observer capacity for experiential training.

#### ***Waikato***

It was recommended that:

- The CEG consider with urgency the roles of Group Controller and Coordinating Executive Group chair, with a view to separate individuals fulfilling these roles.
- The CEG reviews the process for recommending and selecting Group Controller nominees prior to any further Group Controller appointments being referred to the Joint Committee
- The Group Controller and alternates meet on a regular basis to discuss issues which pertain specifically to the role of Group Controller.
- The collective of Group Controllers determine a schedule of meetings/training to provide both up-skilling and relationship-building opportunities with Local Controllers.
- The CEG determines a mechanism to engage with Controllers to ensure contribution to outcomes that pertain to their role.
- The CEG ensures that it is explicitly understood at a political and chief executive level, that with the current Local Controller arrangements, it is possible that a Local Controller who is external to a local authority could, in an emergency, commit and direct significant expenditure and resource on behalf of individual local authorities.

In response to these recommendations the CEGs requested that MCDEM undertake a Development Needs Analysis (DNA) across both Groups to provide the following:

- A process to select, appoint and review Group and Local Controllers,
- A development toolkit for Group and Local Controllers, and
- A process to engage existing Group and Local Controllers with their wider CDEM roles and responsibilities, particularly their contribution to readiness.

### 1.3 DNA Process

The DNA evaluation process was qualitative and interview questions were based on the following themes:

- Role expectations
- Leadership during readiness
- Controller performance
- Professional development
- Readiness and planning
- Response
- Communication
- Relationships
- Accountability
- Selection, appointment and review.

A range of people with a vested interest in the Controller role were selected by the Groups to be interviewed – a total of 64 people participated including:

- Local Government Chief Executives
- Joint Committee members
- Coordinating Executive Group members
- Group Controllers
- Local Controllers
- Emergency services senior staff, and
- Group and Local Emergency management professional staff.

It should be noted that this process did not evaluate the capability of individuals.

### 1.4 Current Situation

The DNA provided insight into the following themes and issues that influence Controllers in the Waikato and Bay of Plenty and the environment they work in:

- Controller motivation
- Role and responsibilities of Controllers
- Types of Controller, and
- Controller policy and doctrine.

#### 1.4.1 Controller Motivation

*"It's a sense of social obligation. It's the extrinsic attraction, not 'what's in it for me', doing something for your community. I see it as an extension of my role. It's an extremely worthwhile job. It wouldn't make any difference if I was getting paid."*

*"When I started the role I was approached and thought it was something I'd like to do. I know how to get people to do things for me...nicely."*

During the interviews almost all participants were asked why they thought people put themselves in the position of being a Controller – or what motivated them.

### **What the DNA Found:**

The role of a Controller is often an ‘add on’ to an existing role within Council, and as such is not directly remunerated. The DNA found that financial incentives are not high on the list of motivating factors for becoming appointed as a Controller. The real motivation appears to lie in a person’s sense of civic responsibility or civic duty. The role is considered interesting, the work is meaningful and appointees feel they are contributing in a highly positive way to benefit and give back to their community.

### **Suggested Strategies:**

- Acknowledge successful performance in the role to minimise attrition.
- Develop and agree a clear picture of desired performance with each Controller based on their position the *type* of Controller required (refer to section **1.4.2 Types of Controller**).

## **1.4.2 Types of Controller**

The varying responses from Controllers depended greatly on the ‘type’ of Controller they were; the DNA process revealed four main types of Controller:

**The Professional Controller:** This Controller has a deliberate readiness and response role, and is also responsible for the management of the Group Emergency Management Office. Examples of this type of Controller can be found in Auckland, Wellington, Southland and Hawke’s Bay. At the time of writing this report, the Waikato Group have agreed to move toward this type of Controller.

**The Semi-Professional Controller:** This Controller is often a tier 2 or 3 manager within a territorial authority. Although they have a separate ‘business as usual’ role, they are available to support readiness activities and often their day role has synergies with their Controller role (for example, Manager Operations, Manager Rivers and Drainage).

**Contracted Controller:** This Controller is not employed by the local authority but is known to the local community. They are usually selected because their skill set is aligned with what is required of a Controller. A formalised contract exists and they are remunerated for their work.

**Volunteer Controller:** This Controller is as for a Contracted Controller except that time is volunteered and no remuneration is made (other than perhaps reimbursement of expenses).

Figure 1 below illustrates how the types of Controller can fit along a continuum.

### **What the DNA Found:**

Many correctly identified that the role of Controllers during **response** is empowered by the CDEM Act 2002. However, many struggled to identify how Controllers would get direction on any role they might have during the **readiness** phase.

When pushed, respondents suggested that any engagement might be directed through the CDEM Group (Joint Committee) and support from CEG, Chief Executive Officers or Managers of Local Authorities. Most felt that whilst this was the most likely source, currently this direction is missing, disconnected or ad hoc – because essentially, the responsibility for readiness was not considered to be a Controller’s responsibility, and limited time (if any) was allowed in their day to day role for it.

For the majority of Controllers there is little understanding of what is expected of them in either a response or readiness context, and as a result there is little guidance and support for Controllers, particularly from their ‘employer’. Interviews also revealed that Controllers feel that expectations for both a response and readiness component should be clearly documented and communicated as part of their appointment.

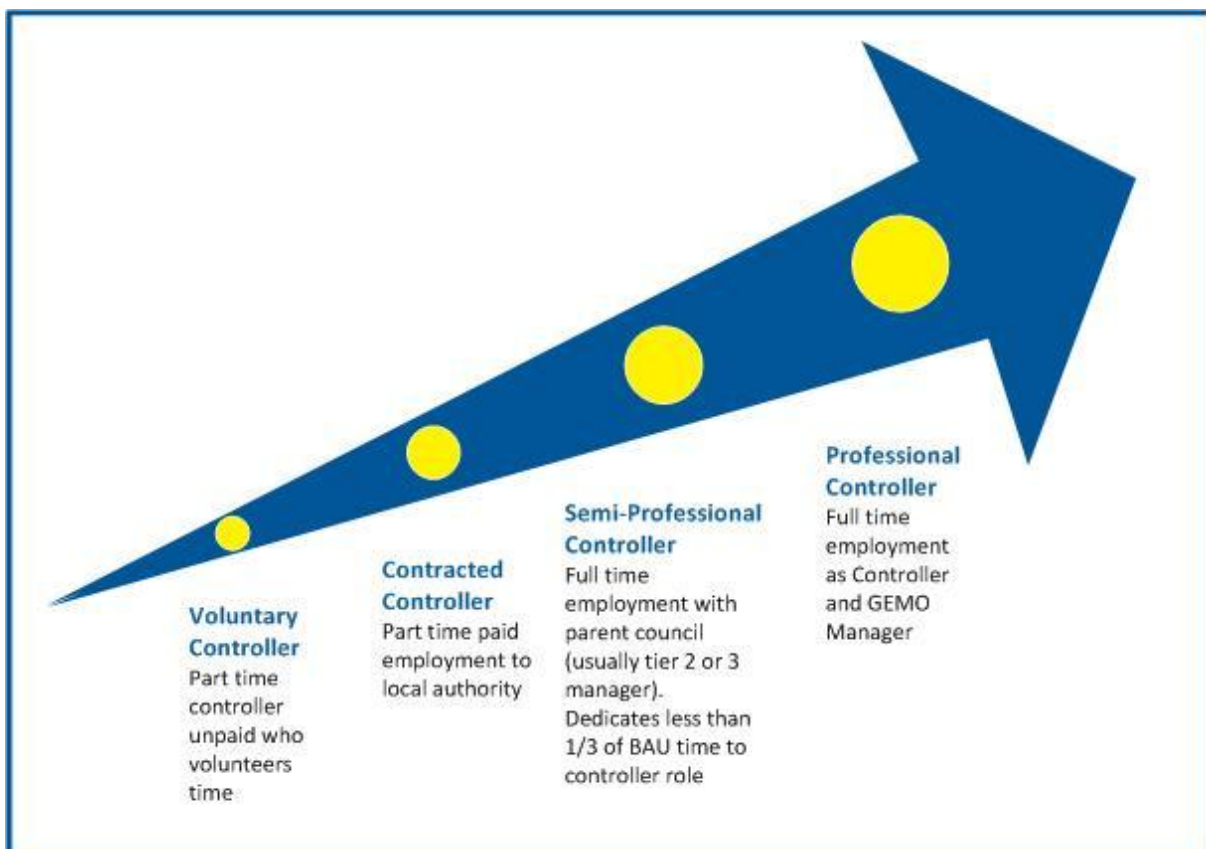
It is acknowledged however that irrespective of the 'type' of Controller, the level of engagement in response responsibilities remained the same. The ability for Controllers to engage in readiness however, was to some extent dictated by their ability to be directly involved on a day to day basis.

Refer to **Part 4: Engaging Controllers in Readiness** for more information about how Controllers could engage in readiness.

### **Suggested Strategies:**

- CDEM Groups (Joint Committees) acknowledge the need for Controllers to engage both in readiness and response.
- CDEM Groups (Joint Committees) define the strategic direction for Controllers within a Group as part of the appointment of Controllers, and that this direction is noted within the CDEM Group Plan.
- CDEM Groups (Joint Committees) in collaboration with CEG members, and CEOs within the CDEM Group, formulate and agree expectations of each Controller based on the type of Controller required (refer to section **1.4.2 Types of Controller**). This should include specific expectations around cooperation, communication, capability, relationships, and operating principles.
- Group Controllers collaborate with CEG to define priority setting, and ensure this is communicated to Local Controllers.

**Figure 1: Types of Controller**



### 1.4.3 Role and Responsibility of Controllers

*"I don't think it's clear [strategic direction], it has improved over the last couple of years. Each of us is working differently; we go to the website to pull off the information. I think it's important we get some direction from the Group so we're operating consistently."*

*"If I was the chair of the Joint Committee I would like to have a meeting with the Group Controller to establish expectations up front and to get the reassurance from the Group Controller."*

Participants were asked where they thought Controllers got a sense of what their role and responsibilities were. Many cited the CDEM Act, although others also identified the Joint Committee, job descriptions (although most did not have them), and through engagement with their REMA.

### 1.4.4 Controller Policy and Doctrine

*"You want your Group and Local Controllers to engage with all of this and understand it's all integrated; they are part of a national entity"*

#### **What the DNA Found:**

Apart from the CDEM Act 2002, there are a variety of other policy documents that support Controllers in their role. *The Guide to the National Plan*<sup>i</sup> provides the framework for response, whilst the Director's Guideline *Response Management*<sup>ii</sup> outlines the scope of the Controller's role in readiness. This includes actively participating in helping to develop, review and sustain:

- CDEM Group Plans and local arrangements
- National planning
- the Emergency Coordination Centre or Emergency Operations Centre
- functional relationships
- professional development (including training)
- exercises
- financial provisions, and
- public information and education.

This guideline also places emphasis on how Controllers can effectively discharge their readiness responsibilities and specifically identifies the importance of pre-event stakeholder and political relationships. This is discussed further in **Part 4: Engaging Controllers in Readiness**.

The CDEM Competency Framework [TS 02/09]<sup>iii</sup> also details the competencies that will support a Controller's effectiveness and gives a good indication of where professional development could be best targeted. Similarly the Controller Role Map describes the skills, knowledge and attributes that would enable success in the role of Controller. These documents provided the evidence-basis for **Part 3: Development Toolkit for Controllers**.

#### **Suggested Strategy:**

- Develop a Controller position description and 'employment' agreement that clearly documents expectations of the role and that reflects the generic expectations of leadership, direction and coordination for controllers that are identified in CDEM policy and doctrine<sup>1</sup>.

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<sup>1</sup> There are a range of existing Controller position descriptions and associated CDEM support material that could be helpful in creating a position description, including the Civil Defence Emergency Management Competency Framework, Technical Standard [TS 02/09] and Controller Role Map.

## PART 2 Selection, Appointment and Review of Controllers

### 2.1 Introduction

The interviews demonstrated the need for a consistent and process-based approach to the selection, appointment and review of Controllers in Waikato and Bay of Plenty. The DNA also uncovered the need for each CDEM Group to determine a set of *Controller Principles* that would inform the approach taken to selection, appointment and review.

### 2.2 Controller Principles

It became apparent during interviewing that a foundation to use as a basis to test subsequent decision making against was necessary to assist groups in making consistent decisions.

#### ***Suggested Strategy:***

- Prior to the selection of Controllers, the CDEM Group debates and decides the Controller principles. It is recommended that CEGs and CDEM Joint Committees discuss and agree on a set of foundation principles for each of these areas:

- 2.2.1** Local Knowledge
- 2.2.2** Controller Model
- 2.2.3** Sourcing Controllers
- 2.2.4** Controller Consistency.

#### **2.2.1 Local knowledge**

This relates to the perceived importance of the concept of local knowledge. There is a variety of opinion throughout both Groups as to how essential local knowledge is as an attribute that a Controller should have. The spectrum of discussion ranged from ‘it is essential’ to ‘that’s what you have local staff in your EOC for’. This principle becomes particularly important when making decisions about the Controller model for Groups.

#### **2.2.2 Controller Model**

This relates to how many Controllers a Group requires and how they are allocated. Whilst for both Groups there is necessarily a primary Group Controller and Alternate Controllers who effectively act as a Group Controller “pool”, there has been no formal decision made as to the model for Local Controllers. A default model has appeared which sees each territorial authority (TA) or emergency operating area (EOA) appoint a ‘best guess’ number of Controllers for their specific geographical boundary area.

A discussion point that was raised by interviewees was the perceived resource drain in individually replicating multiple Local Controller roles across the Group. A model for Local Controllers which was based on the same “pool” system as the Group Controllers was seen by some to have merit in reducing resource (e.g. time, training), increasing the ability to create better expertise and focusing relationships (i.e. fewer Controllers to allow greater attention to relationships with each other, emergency services etc.).

#### ***Suggested Strategies:***

- The advantages and disadvantages of the different approaches to sourcing Controllers should be debated by both Groups, and a formal decision made as to which best fits their purposes.

### 2.2.3 Sourcing Controllers

Where Controllers are sourced from relates to what role or position a Controller has as their 'day job' and suitability of transferrable skills to the Controller role. It also relates to the need to distinguish between a multiplicity of roles in an emergency.

Interviewees discussed the ability to perform a mayoral role or a professional CDEM personnel role if that individual was also a Controller; essentially how many hats can one person wear whilst performing the Controller role and not only perform it effectively, but also ensure their audience knows which role you are speaking from. Currently Controllers are sourced from a number of similar day to day roles including Mayor, contractor, professional CDEM personnel, second tier council staff member, engineers and CEOs.

#### ***Suggested Strategies:***

- The advantages and disadvantages of the different sources should be debated by both Groups and a formal decision made as to which sources best fit their purposes.

### 2.2.4 Controller Consistency

This relates to ensuring a consistency of Controller performance, engagement, availability and ability. It also relates to the statutory responsibility the Joint Committee has to ensure that those using the powers it delegates to the Group Controller are suitable to exercise those powers. The guidance provided in Parts 2 – 4 of this report will contribute to enhanced consistency

A Controller's position description which outlines attributes, skills, accountabilities and KPIs was seen by most interviewees as a simple but effective referencing point when making subsequent decisions that relate to outcomes sought from this process.

#### ***Suggested Strategies:***

- Develop a Controller's position description and 'employment' agreement that clearly documents expectations of the role and that reflects the generic expectations of leadership, direction and coordination that are identified in CDEM policy and doctrine.

## 2.3 Process for the Selection and Appointment of Controllers

*"We just sit here and have a chat about a few blokes and whether they'd make a good Controller."*

*"It should be no different from recruiting for any other job. If it is going to be an employee of the council they need to be given an adequate time allowance in their job. There has got to be an allocation of time otherwise this will fail. Their first experience will be in an emergency."*

This section provides guidance for the selection and appointment of Controllers.

### 2.3.1 Controller Attributes

There are a variety of resources that exist to support CDEM groups in preparing a Controller's position description that sets out the expectations and required attributes for the role. The CDEM Competency Framework [TS 02/09] includes supporting competencies for a range of roles across eight key areas: Relationship Management, Information Management, Risk Management, Planning, Implementation, Communication, Capability Development and Leadership.

In addition, the Role Map for Controllers outlines the specific skills, knowledge and attributes relevant to the competencies in each key area. The Role Map provides a good foundation for developing a Controller position description of any type (i.e. Professional, Semi-Professional, Contracted and Volunteer; refer to section **1.4.2 Types of Controller**). There are a number of Controller positions descriptions already produced by the CDEM sector for a range of Controller types.

The attributes in the Controller Role Map are particularly relevant for selecting the appropriate people to perform this role. The attributes include:

#### **Essential Attributes:**

- Demonstrates the ability to lead and direct a demanding operational response in an environment of uncertainty for long periods of time.
- Is authoritative, decisive and ethical when leading the response.
- Demonstrates the ability to see own role in relation to the wider operational and strategic CDEM context.
- Is authoritative and credible when communicating at all times, especially with the media.
- Demonstrates ability to develop and motivate teams, including in multi-agency environments.
- Manages own wellbeing in a pressured environment.
- Demonstrates ability to reflect on own performance, recognising own abilities and limitations.

#### **Desirable Attributes:**

- Champions CDEM when engaging with existing and potential partners and communities.
- Is committed to actively seeking solutions to overcome problems or barriers to relationships.
- Identifies and acts on strategic opportunities.
- Is committed to a culture of continuous learning.
- Is solutions-focused when problem solving.
- Demonstrates adaptability and is open to new ideas.

### 2.3.2 Selection and Appointment Process

A variety of issues were raised by interviewees regarding the selection and appointment process. Interviewees revealed that there was very little consistency or process.

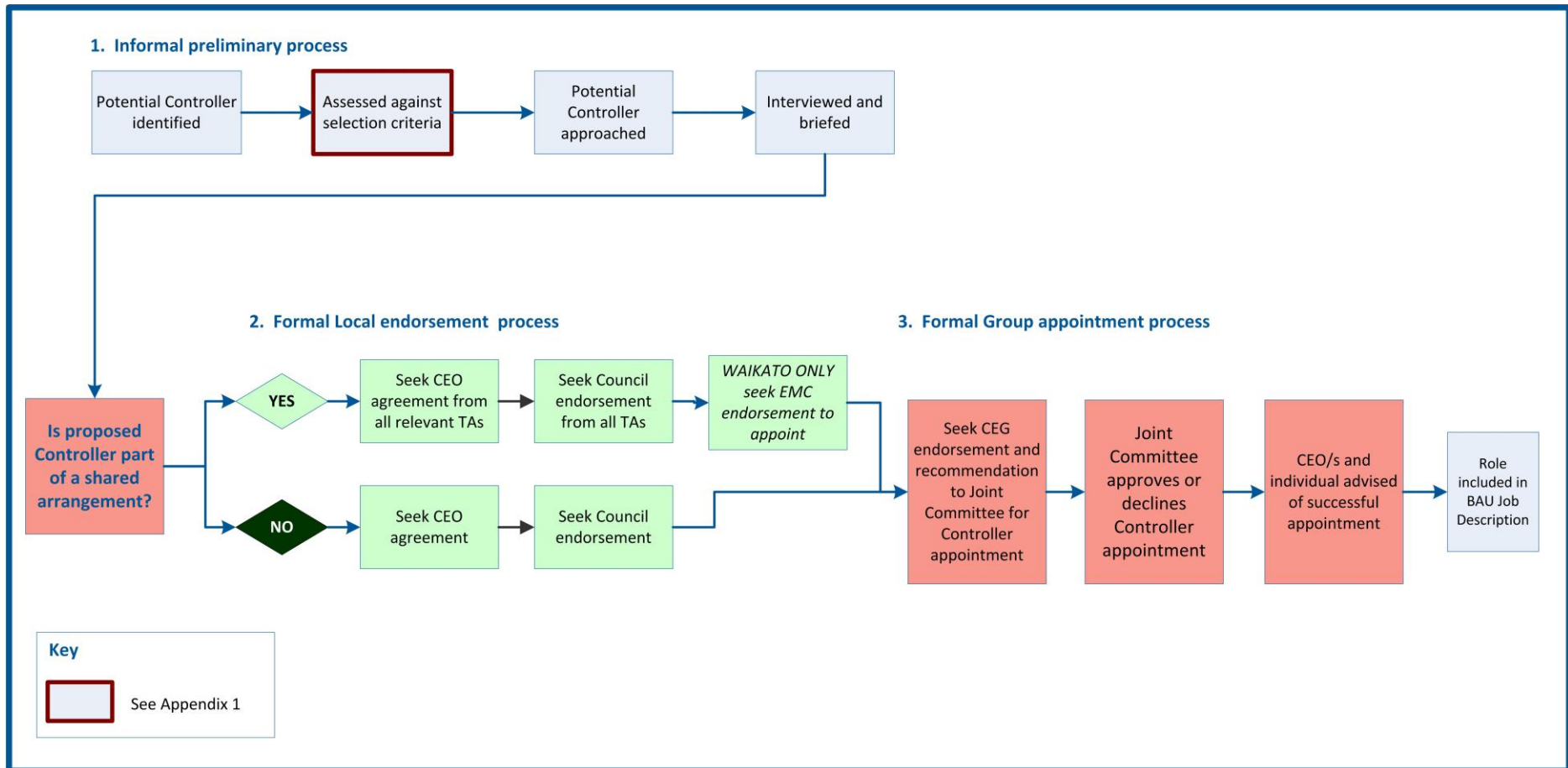
#### ***What the DNA Found:***

Several elements emerged as being important to Controllers regarding their appointment, such as being thoroughly briefed as to what a Controller actually was or being advised they had officially been appointed. Equally CEOs, CEGs and Joint Committee members had priorities such as wanting to know that Controllers had been selected against a specific set of criteria or that the individual selected had the confidence of the CEO.

#### ***Suggested Strategies:***

- Develop a Controller’s position description and ‘employment’ agreement that clearly documents expectations of the role and that reflects the generic expectations of leadership, direction and coordination that are identified in CDEM policy and doctrine (refer to **1.4.4 Controller Policy and Doctrine**).
- The Controller selection and appointment process charts the suggested steps that the Waikato and Bay of Plenty CDEM groups should undertake when selecting and appointing Controllers.
- Appendix 1 has the *Controller Selection Checklist* outlining key skills and attributes that effective Controllers would have. Where a skill or attribute is rated “partial”, this would support in developing an appropriate professional development pathway for a particular Controller.
- Figure 2 provides a recommended process chart for the selection and appointment of Controllers.

Figure 2: Process for the Selection and Appointment of Controllers



### 2.3.3 Process for the Review of Controllers

*"I don't recall sacking any. The only reason we've got a new one is he can't drive anymore. He was appointed the day before the 1987 Earthquake."*

*"There is not really an issue with competition for the position."*

*"It can be difficult also, like having a staff member who's not performing. It's not easy to go to someone and say you've had it, you're not performing."*

Interviewing revealed that neither the Bay of Plenty nor Waikato CDEM Groups had any form of process to review the appointment and subsequent performance of Controllers.

#### **What the DNA Found:**

Controllers generally continued in their roles until they retired or resigned from their business as usual role. Correspondingly, there were no processes in place to support any such review of Controller appointments.

A large range of information was gleaned from interviewees to construct a simple but thorough suggested Controller appointment and performance review process.

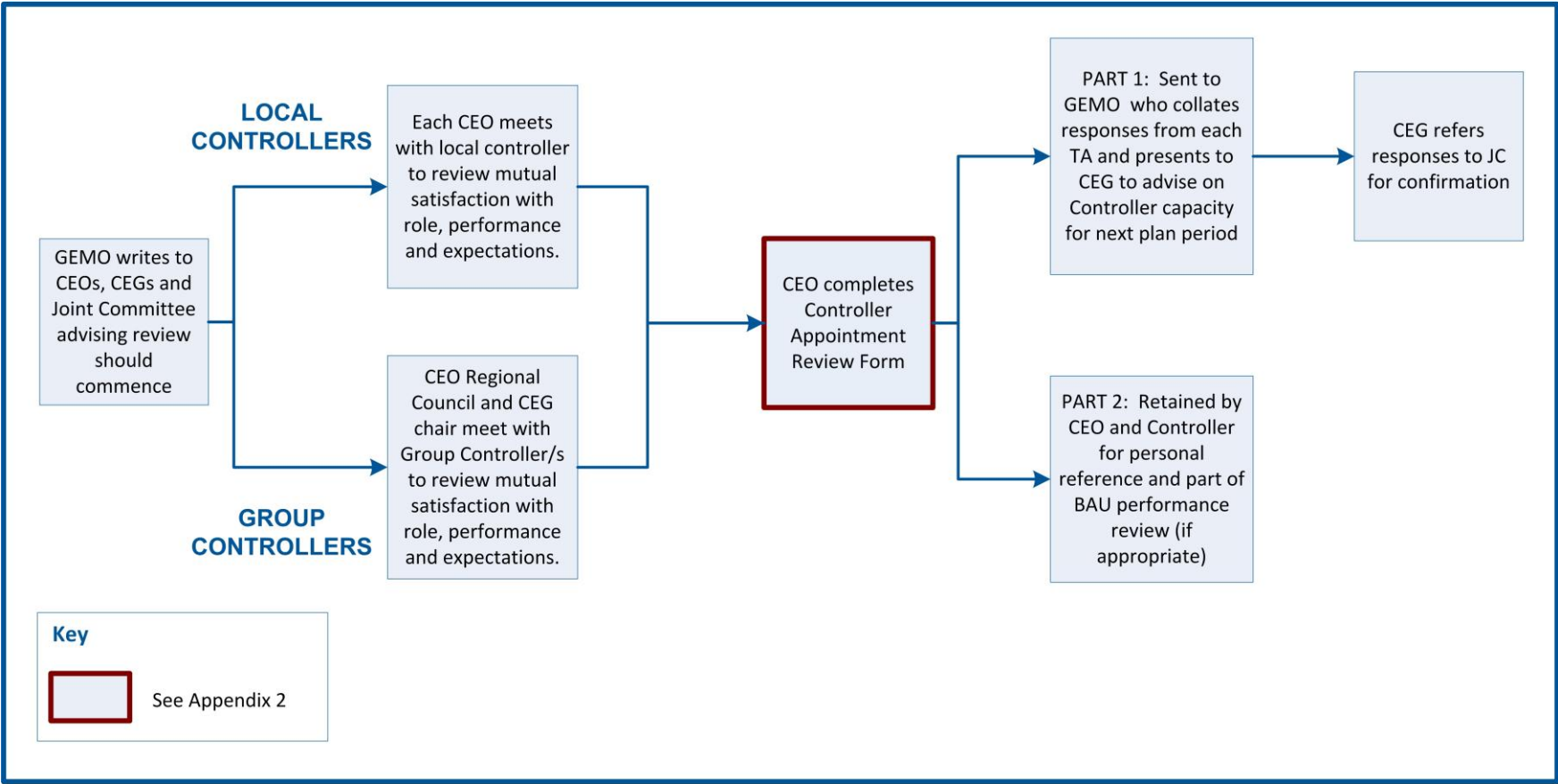
#### **Suggested Strategies:**

- Appendix 2 includes a checklist for the review of Controller appointment. The intention is that the trigger for a review of Controller appointments occurs as part of the group plan review processes.

The CEO returns the second part of the form to the GEMO. This is used as the basis to report to CEG and the Joint Committee on the Group's capacity of controllers for the next plan period. The second part of the checklist is undertaken with the respective CEO. This part is retained and included in the Controller's normal annual performance review process.

- Figure 3 provides a suggested process chart for the review of Controllers.

Figure 3: Controller Appointment Review Process



## PART 3 Development Toolkit for Controllers

### 3.1 Introduction

The Controller DNA investigated what people saw as the most important skills, knowledge and attributes for Controllers within Waikato and Bay of Plenty, and examined what might be the best ways to support Controllers to develop these. The findings from these discussions have been used to create a Development Toolkit for Controllers.

The Toolkit identifies the key areas of development regarded as most important for Controllers to perform their role effectively, and provides ideas about how these can be developed.

### 3.2 In This Toolkit

This Development Toolkit includes the following:

- 3.3 Contribution to capability development** – this describes the Controller’s responsibility during readiness to support CDEM capability development in their region.
- 3.4 Key development areas for Controllers** – these areas were identified as the key things Controllers need to be competent or knowledgeable in to perform the role effectively.
- 3.5 Controller development needs** – this table describes the competencies and relevant skills, knowledge and attributes for each key development area, and suggests development opportunities currently available for Controllers.
- 3.6 Controller development opportunities** – this section explores the different types of development activities Controllers can undertake.

### 3.3 Contribution to Capability Development

*“The capability of the people – the Controller has got to be across that.”*

*“The Controller should be there during training, exercising, with the EMO – they are there in an entity in their own right. We know that the EMO is constantly training.”*

*“There should be a requirement of the Controller to ensure there are adequate local and regional exercises run to make sure the organisation is prepared. They have a contribution to readiness.”*

Controllers have a responsibility during readiness to contribute to and support CDEM capability development. As a result of this engagement, Controllers will have a better understanding of their team and the human resources available to them during response. Controllers can support training provided by the Emergency Management Office through:

- Identifying gaps during response planning and capability,
- Sharing their knowledge and experience to benefit the development of learning opportunities for others,
- Monitoring the capability and capacity development of the EOC/ECC team,
- Establishing readiness indicators and conducting checks against these.

Controllers need to support the development and delivery of CDEM exercises in addition to their own participation. Effective exercise delivery requires an understanding of how exercises are developed, including setting objectives ensuring that the right things are exercised, and with an emphasis on the *consequences* of a scenario, rather than on the scenario itself.

Exercises also provide an ideal opportunity for Controllers to practice, test and develop their own skills, knowledge and experience – refer to sections **3.6.6 Exercises**, and **Part 4: Engaging Controllers in Readiness** for more information about how Controllers could engage in CDEM capability development and exercising.

### 3.4 Key Development Areas for Controllers

The DNA identified the following key areas of development for Controllers:

1. Decision making
2. Working under pressure
3. Leadership
4. Scenario planning, sequential thinking and consequential risk
5. Media skills and public information
6. Interpersonal communication
7. Relationship management
8. Technical areas:
  - a. Emergency Management Information System (EMIS)
  - b. Coordinated Information Management System (CIMS)
  - c. Response
  - d. Hazard and risk management
  - e. Financial delegations
  - f. Declarations
  - g. Local knowledge

The following pages explore each of these key areas and what they mean when applied to the role of the Controller.

### 3.5 Controller Development Needs

For each key development area the following table describes:

1. the relevant CDEM competencies and attributes, based on the CDEM Competency Framework,
2. the skills and knowledge required, based on the CDEM Controller Role Map, and
3. the development opportunities available for Controllers that will support them to gain the skills, knowledge and experience required to demonstrate the relevant competencies and attributes for each area.

The information in the table provides guidance that can be used by Waikato and Bay of Plenty in designing development opportunities for Controllers. For example, Waikato is currently conducting the Integrated Training Project which aims to develop and implement a sustainable, needs-based training and development programme for CDEM across the region.

#### ***Suggested Strategies:***

- The information in the accompanying table is used by the Waikato and Bay of Plenty Groups to inform ongoing training and development for Controllers.
- The information in the table can also be used by individuals who would like to identify possible development opportunities for themselves.

## Controller Development Needs

Key Area of Development	1. CDEM Competencies <sup>2</sup>	2. Skills and Knowledge <sup>3</sup>	3. Development Opportunities <sup>4</sup>
1. Decision making	<p>Interviewees told us this is about making decisions quickly and on the spot, often with limited information, and taking responsibility for those decisions as they could potentially affect large sections of the community.</p> <p><b>Attributes:</b></p> <ul style="list-style-type: none"> <li>Is authoritative, decisive and ethical when leading the response.</li> <li>Is solutions-focused when problem solving.</li> </ul> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>PL02, LD03, IM01 and IM03</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge of decision making processes.</li> </ul> <p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>make effective decisions based on the information provided.</li> <li>make effective tactical and strategic decisions that demonstrate consideration of the risk and needs of existing and potential partners and communities.</li> <li>analyse information and determine an appropriate response in CDEM emergencies.</li> <li>establish priorities in accordance with the CDEM Group Plan and/or local arrangements relevant for the emergency and local community.</li> <li>identify and consult relevant stakeholders.</li> </ul>	<ul style="list-style-type: none"> <li>Mentoring, buddying and shadowing</li> <li>REMA coaching</li> <li>Exercise conduct</li> <li>Non-CDEM courses and workshops</li> </ul>
2. Working under pressure	<p>This means remaining calm and focused in a pressured environment and not getting distracted by “the last thing through the door”.</p> <p><b>Attributes:</b></p> <ul style="list-style-type: none"> <li>Manages wellbeing in a pressured environment.</li> <li>Adaptable and is open to new ideas.</li> </ul> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>LD04, IP02 and IP03</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge of stress management principles and techniques.</li> </ul> <p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>perform under pressure at the highest level of competence.</li> <li>identify and employ coping mechanisms to manage wellbeing.</li> <li>maintain a state of personal preparedness to operate as a Controller in CDEM and emergencies and take remedial action required.</li> <li>resolve conflicts, confrontations and disagreements in a high-pressure situation to minimise negative personal and organisational impacts.</li> </ul>	<ul style="list-style-type: none"> <li>Mentoring, buddying and shadowing</li> <li>Exercise conduct</li> <li>Non-CDEM courses and workshops</li> </ul>
3. Leadership	<p>This is about giving “the team confidence when the Controller is in the room because that person is in charge”. It means building credibility and empowering people to do their job by staying “out of the weeds” and delegating with clear direction.</p> <p><b>Attributes:</b></p> <ul style="list-style-type: none"> <li>Demonstrates the ability to lead and direct a demanding response in an environment of uncertainty for long periods of time.</li> <li>Is authoritative and credible when communicating at all times.</li> </ul> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>LD02, RM01, IP01 and IP03</li> </ul>	<p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>develop, direct and motivate staff and team members to achieve objectives, including in multi-agency environments.</li> <li>monitor preparedness to operate as a Controller in CDEM and CDEM emergencies and take any remedial action identified.</li> <li>motivate and direct teams.</li> <li>engage and consult with political leaders and key stakeholders to lead the preparation to operate in a CDEM response.</li> </ul>	<ul style="list-style-type: none"> <li>Exercise conduct</li> <li>MCDEM Controller Workshop</li> <li>Mentoring, buddying and shadowing</li> <li>Non-CDEM courses and workshops</li> </ul>

<sup>2</sup> This column lists the CDEM competencies and attributes relevant to this key development area. These are taken from the CDEM Competency Framework [TS02/09] and Controller Role Map.

<sup>3</sup> This column lists the skills and knowledge required for this key development area. These are based on the CDEM Controller Role Map.

<sup>4</sup> Refer to section 3.6 **Controller Development Opportunities** for more information about each of these activities.

Key Area of Development	1. CDEM Competencies	2. Skills and Knowledge	3. Development Opportunities
<p>4. Scenario planning, sequential thinking and consequential risk</p>	<p>This requires Controllers to discuss and plan for the restoration of critical services, as well as the ability to take a situation, work out what needs to be done in what order to achieve the set objectives.</p> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>IM03, RS01-03, PL01 – 04 and IP02</li> </ul>	<p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>identify and describe the potential impacts and consequences of an event over the short, medium and long term.</li> <li>anticipate the possible development of the emergency.</li> <li>develop an understanding of all the consequences caused by the impact of the emergency.</li> </ul> <p><b>Knowledge of:</b></p> <ul style="list-style-type: none"> <li>risks and hazards in the area of responsibility and their potential consequences.</li> <li>the vulnerability of communities to the range of potential consequences in the area of responsibility.</li> <li>how to respond to risks and hazards in the area of responsibility.</li> <li>the potential consequences of the hazards in area of responsibility.</li> </ul>	<ul style="list-style-type: none"> <li>REMA coaching</li> <li>Mentoring, buddying and shadowing</li> <li>Forums</li> </ul>
<p>5. Media skills and public information</p>	<p>Interviewees saw media training as essential for all Controllers. This is also about understanding their relationship with the PIM to ensure messages going out are consistent and on target.</p> <p><b>Attributes:</b></p> <ul style="list-style-type: none"> <li>Is authoritative and credible when communicating at all times, especially with the media.</li> </ul> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>CM01, CM03 CM04</li> </ul>	<p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>determine key messages for inclusion in the communications plan.</li> <li>work with the PIM to ensure that key messages to the public are clear, accurate and provide reassurance and direction during the response.</li> <li>determine key messages for inclusion in the communications plan.</li> <li>work with the PIM to ensure that key messages to the public are clear, accurate and provide reassurance and direction during the response.</li> <li>establish with the PIM the extent of briefings to the media and the information that can be released.</li> <li>address media conferences and participate effectively in a media interview.</li> <li>recognise the role of the media, get them to act as allies.</li> </ul> <p><b>Knowledge of:</b></p> <ul style="list-style-type: none"> <li>PIM protocols and procedures.</li> <li>media and communications protocols.</li> <li>good practice in public information messaging and risk communication.</li> <li>available communication channels in own area of responsibility.</li> <li>CDEM Group and own organisation’s protocols for working with the media.</li> <li>basic media requirements.</li> </ul>	<ul style="list-style-type: none"> <li>Exercises</li> <li>Courses and workshops: <i>(BOP Controllers attended media training that they viewed positively)</i></li> <li>Engage with Public Information Manager during readiness</li> <li>MCDEM Public Information Manager Workshop</li> </ul>

Key Area of Development	1. CDEM Competencies	2. Skills and Knowledge	3. Development Opportunities
<p>6. Interpersonal communication</p>	<p>Interviewees consistently described a variety of communication skills and ability to relate to others as necessary for a successful Controller. This included listening, being able to <i>hear</i> their team members and supporting agencies, taking advice and seeking feedback, being available, as well as bringing agencies together and directing the conversation.</p> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>• CM01 and PL03</li> </ul>	<p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>• communicate clearly in a range of situations and by various channels.</li> <li>• develop and use a variety of group facilitation processes to communicate with partners and communities.</li> <li>• express complex ideas and concepts in a manner that can be easily understood and applied.</li> <li>• communicate information in a way that increases and builds confidence and positive relationships with key partners and communities.</li> <li>• work with partners to ensure that planning, whether pre or during an emergency is coordinated, integrative and collaborative, and meets community needs.</li> </ul>	<ul style="list-style-type: none"> <li>• MCDEM Controller Workshop</li> <li>• Non-CDEM courses and workshops</li> </ul>
<p>7. Relationship management</p>	<p>This is about Controllers understanding who their key stakeholders are and building relationships during peacetime. Refer to sections 4.2 and 4.3 for more information about these relationships.</p> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>• RM01, RM02, PL03, IP01 and IP02</li> </ul>	<p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>• engage and consult with political leaders and key stakeholders to lead the preparation to operate in a CDEM response.</li> <li>• identify the issues and determine who needs to be involved to achieve desired goal.</li> <li>• maintain relationships with key personnel, agencies and stakeholders in CDEM.</li> <li>• identify and support, through the provision of information, political leaders such as local body officials, elected officials and the chairperson of the CEG in CDEM.</li> <li>• distinguish, describe and utilise, in relation to CDEM, the roles of Central, Regional and Local Government.</li> <li>• identify and accommodate the expectations of key agencies, emergency services and stakeholders in CDEM.</li> <li>• explain the relationship between the Controller and Recovery Manager.</li> <li>• explain and use the relationship between Local, Group and National Controller.</li> <li>• explain and use the relationship between the Controller and key support people including the Emergency Management Officer.</li> <li>• describe and use the role(s) of political leaders during an emergency event.</li> <li>• work with partners to ensure that planning, whether pre or during an emergency is coordinated, integrative and collaborative, and meets community needs.</li> <li>• liaise with MCDEM representatives.</li> <li>• liaise with Group Controller (Local)/assist and support Local Controller(s) (Group).</li> <li>• provide regular updates to all Local Controllers and emergency services (Group).</li> <li>• respond to direction and priorities set out by the Group Controller(Local Controller).</li> </ul>	<ul style="list-style-type: none"> <li>• MCDEM Controller Workshop</li> <li>• National Controller Forum</li> <li>• Forums</li> <li>• REMA coaching</li> <li>• Mentoring, buddying and shadowing</li> <li>• Defining and actively engaging with key stakeholders</li> <li>• Non-CDEM courses and workshops</li> </ul>

Key Area of Development	1. CDEM Competencies	2. Skills and Knowledge	3. Development Opportunities
<b>8. Technical areas:</b>			
<b>a.</b> Coordinated Incident Management System (CIMS)	<b>Competencies:</b> <ul style="list-style-type: none"> <li>LD03</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge of the principles of CIMS.</li> <li>Is able to operate within CIMS.</li> </ul>	<ul style="list-style-type: none"> <li>CIMS 2, 4 and possibly 6 (contact EMQUAL for more information)</li> <li>ECC/EOC training</li> <li>REMA coaching</li> <li>Exercises</li> </ul>
<b>b.</b> Emergency Management Information System (EMIS)	<b>Competencies:</b> <ul style="list-style-type: none"> <li>IM01 – 05</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge of the range of information systems and processes used in CDEM.</li> </ul>	<ul style="list-style-type: none"> <li>Group EMIS training</li> <li>REMA coaching</li> </ul>
<b>c.</b> Response	<b>Competencies:</b> <ul style="list-style-type: none"> <li>IM03, IP01, IP02, IP04, PL01 – 04 and LD02</li> </ul>	Refer to the competencies listed in column 1 in the Controller Role Map for a detailed description of the broad range of skills and knowledge that contribute to success in this key area of development.	<ul style="list-style-type: none"> <li>Response Management Guideline</li> <li>Mentoring, buddying and shadowing</li> <li>REMA coaching</li> <li>Exercises</li> <li>Forums</li> <li>MCDEM Controller Workshop</li> </ul>
<b>d.</b> Hazard & risk management	<p>Risk management is fundamental to CDEM in New Zealand and as such Controllers need to engage in their local hazard risk profile. They also require an understanding of various aspects of risk management from public opinion and reputational risk, to understanding vulnerabilities within local communities and the risks presented by local hazards.</p> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>RS01, RS02 and RS03</li> </ul>	<p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>lead a coordinated approach to risk management within the wider organisation and between organisations.</li> <li>identify and mitigate organisational risks to achieving efficient and effective management of emergencies.</li> <li>apply the employing organisation’s guiding principles for risk reduction.</li> <li>champion the importance of business continuity, resilience principles and practices to other organisations, businesses, communities and individuals.</li> </ul> <p><b>Knowledge of:</b></p> <ul style="list-style-type: none"> <li>risks and hazards in the area of responsibility and their potential consequences.</li> <li>how to respond to risks and hazards in the area of responsibility.</li> <li>the vulnerability of communities to the range of potential consequences in the area of responsibility.</li> <li>how information about risks and hazards is best communicated to the public.</li> </ul>	<ul style="list-style-type: none"> <li>Engage with professional CDEM staff to develop an understanding of local hazard risk profile.</li> <li>Engage with organisation Risk and Assurance personnel.</li> <li>Engage with CEO and Mayor to understand preferred approach to risk management.</li> <li>Non-CDEM courses and workshops.</li> </ul>

Key Area of Development	1. CDEM Competencies	2. Skills and Knowledge	3. Development Opportunities
e. Financial delegations	<p>This is about Controllers understanding their financial delegations and Government policy on reimbursement. It also means the ability to maintain financial awareness during an emergency.</p> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>• IPO5</li> </ul>	<ul style="list-style-type: none"> <li>• Is able to operate within the CDEM organisation’s financial management processes and delegations.</li> <li>• Knowledge of financial management processes and fund allocation protocols.</li> </ul>	<ul style="list-style-type: none"> <li>• Engage with CEO to determine appropriate financial delegations and process during an emergency.</li> <li>• REMA coaching</li> </ul>
f. Declarations	<p>Controllers need to understand the declaration process.</p> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>• IPO1 and IPO2</li> </ul>	<p><b>Is able to:</b></p> <ul style="list-style-type: none"> <li>• consider the facts and determine the need for a declaration, and articulate this information to the person authorised to declare.</li> <li>• explain the declaration, extension, termination process in accordance with the CDEM act 2002 and CDEM Group Plans.</li> <li>• assess the purpose and appropriateness of a declaration of a state of emergency.</li> </ul>	<ul style="list-style-type: none"> <li>• RAPID Core Skills Topic 1.3 CDEM Powers and Declarations</li> <li>• MCDEM Controller Workshop</li> <li>• Response Management Guideline</li> <li>• REMA coaching</li> </ul>
g. Local knowledge	<p>There is a variety of opinion throughout both Groups as to how essential local knowledge is a requirement for Controllers. The spectrum ranges from ‘it is essential’ to ‘that’s what you have local people in your EOC team for’.</p> <p><b>Competencies:</b></p> <ul style="list-style-type: none"> <li>• RS01-03, PL01, CM03 and LD01</li> </ul>	<ul style="list-style-type: none"> <li>• Is able to establish community engagement opportunities and approaches for public input into the identification of community needs.</li> </ul> <p><b>Knowledge of:</b></p> <ul style="list-style-type: none"> <li>• communities in the area of responsibility and their vulnerabilities to local area/regional risks.</li> <li>• the cultural composition of the community and its implications on response and recovery activity.</li> <li>• community needs and aspirations.</li> </ul>	<ul style="list-style-type: none"> <li>• Engage with the professional CDEM staff to develop an understanding of community engagement activities within geographical area of responsibility.</li> </ul>

## 3.6 Controller Development Opportunities

The interviews provided good evidence about the type of development opportunities revealed by Controllers that could support them in gaining or enhancing the skills, knowledge, attributes and experience required. These development opportunities include:

- 3.6.1 Mentoring, buddying and shadowing
- 3.6.2 Peer learning
- 3.6.3 REMA coaching
- 3.6.4 Experiential learning
- 3.6.5 Courses and workshops
- 3.6.6 Exercises, and
- 3.6.7 Forums.

### 3.6.1 Mentoring, Buddying and Shadowing

*"There wasn't an opportunity to buddy but it's a good idea".*

*"During an exercise the Mayor sat with the new Controller and explained if this happens here these are the consequences."*

*"The best training is being in a situation and watching a Controller 'do' the role. Don't get an opportunity to do this."*

The interviews highlighted the value of mentoring, buddying and shadowing during both readiness and response that will support Controllers to feel confident and capable in this role.

During readiness activities, new Controllers could be mentored by a more experienced Controller who can provide support to set goals, answer questions and share their experiences. This mentor relationship could take the form of regular half-hour meetings. One interviewee suggested mentoring can work both ways as it provides "a very useful updating and learning experience on its own" for experienced Controllers.

During response, and during exercises Controllers could be given opportunities to observe someone else operating in the role and to ask questions. One interviewee said they were very nervous during their first exercise but felt more confident as an experienced Controller stayed with them for the first two hours to provide coaching. This may also help alleviate the anxiety associated with exercises and being tested.

#### **Suggested Strategies:**

- Support the implementation of a mentoring system in readiness by buddying new Controllers with more experienced Controllers.
- Identify opportunities for Controllers to shadow someone performing the role and to be coached in the role, either during response or an exercise.

### 3.6.2 Peer Learning

*"Peer learning is the best kind of learning."*

*"It comes through experience. Although what happened in Christchurch is difficult it's an opportunity for our local people to get in. That's what's missing here. To be on to it you need to be exposed to those things."*

Learning from the experiences of others was seen as one of the fundamental ways for Controllers to develop and a number of strategies were suggested during the interviews.

#### **Suggested Strategies:**

- Engage the MCDEM REMA support in arranging opportunities to learn from the those who operated as a Controller in Canterbury during the responses to the recent earthquake events.

- Attend debriefs across the CDEM Group.
- Establish an understanding within and between Groups where opportunities to observe a Controller during response and exercises could be made available where possible.
- Identify examples of good practice that can be used as case studies to share within and across CDEM Groups. For example, Rotorua District Council integration of day to day activities with their Emergency roles – and the local Controllers having ‘*skin in the game*’.

### 3.6.3 REMA Coaching

*“The most valuable bit has been the time with REMAs. The information, the issues, the coaching on the go. Personally, that’s where the value is that you can’t get anywhere.”*

Each CDEM Group has an assigned Regional Emergency Management Advisor (REMA) who provides a conduit between the Ministry of Civil Defence & Emergency Management (MCDEM) and the Group. During readiness, REMAs can provide coaching to Controllers while in response, REMAs provide support through advice, informing of new developments and assisting in setting priorities and objectives.

#### **Suggested Strategies:**

- Engage the MCDEM REMAs to support the development of Controllers through coaching.

### 3.6.4 Experiential Learning

*“I think the experiential training is best, rather than a specific course.”*

*“It’s the ‘on the ground’ doing it, the experience, that does it”*

Most learning occurs on the job, where people enhance their skills and knowledge by applying them in real life situations. As Controllers typically perform the role in a part-time capacity, experiential learning means providing opportunities for Controllers to practice and apply their skills and knowledge during readiness. Experiential learning and practical application may be incorporated into development opportunities such as shadowing, courses and exercises.

#### **Suggested Strategies:**

- Identify readiness initiatives that will allow Controllers to apply their skills and knowledge.
- Ensure that training for Controllers has a practical component that enables them to practice and test skills and knowledge e.g. scenario planning and desktop exercises.

### 3.6.5 Courses and Workshops

There are a number of courses and workshops available that will support Controller’s development:

**MCDEM Controller Workshop** – MCDEM delivers a one-day workshop for Controllers (including Alternates) with any level of experience. A pre-workshop online module covers fundamental information the national CDEM framework. The workshop includes a case study presentation from an experienced Controller and examines the national key performance areas for Controllers. By the end of the workshop participants will identify activities to undertake to further develop in their role as Controller.

**National Controllers’ Forum** – MCDEM facilitated a one-day forum in 2011 that brought more than 50 Controllers together from around the country to examine their role by maximising the learning opportunities provided from recent events. Forum summary notes are available and the Ministry intends to provide similar events in future.

**Coordinated Incident Management (CIMS)** – CIMS (level 4 and 6) is administered by EMQUAL who can advise on accredited training providers. CIMS 6 involves a comprehensive

and rigorous assessment process and the resulting workbooks and assessment materials provide a resource for Controllers to refresh and apply their learning.

**RAPID®** – MCDEM provides this CDEM training and assessment programme that covers a range of topics. Waikato and Bay of Plenty have registered RAPID Training Coordinators to administer RAPID and support learners in their area.

**Qualifications** – Tai Poutini Polytechnic, AUT University, Massey University and University of Canterbury offer a range of tertiary-level emergency management qualifications.

**Non-CDEM courses** – A range of training providers deliver courses that are not CDEM-specific but will help Controllers develop skills relevant to the role. For example, a person could attend courses that will enhance their skills of decision-making, leadership or communication that are transferable to the Controller role.

### 3.6.6 Exercises

*“We’ve not done enough exercises.”*

*“We have an annual exercise and there are nowhere near enough. We need to have more table-top exercises regularly. We seem to be scared of exercising in this sector. I get a strong feeling that Controllers are scared.”*

*“Scenarios with a stronger focus on the skills you need to develop. And actually testing the individuals on applying those skills.”*

Exercises were consistently viewed by interviewees as one of the most valuable methods for Controllers to develop, practice and test their skills and knowledge in a realistic, but non-threatening, situation. It was also a regularly held view that there is a need for more exercising in both Waikato and Bay of Plenty.

Several participants suggested slow motion exercises that allowed participants to discuss issues and make decisions collectively along the way. Shadowing and coaching during exercises may help reduce the anxiety associated with people feeling they are being *tested*. These could also be supported by fast developing exercises that require Controllers to “change focus at intervals”.

Some key elements that were seen as fundamental to effective exercises included: making the situation as realistic as possible; assessing the capability of Controllers in a positive, safe and constructive way; providing scenarios that required application of the necessary skills and knowledge; emphasising the *consequences* of a scenario, rather than on the scenario itself; and debriefing effectively and implementing the recommendations from a debrief.

#### **Suggested Strategies:**

- Implement exercises that allow for shadowing, coaching and discussion ensuring the key elements outlined above are incorporated into the exercise programme.

### 3.6.7 Forums

*“We have regular Controller meetings, explicit Controller/CDEM meetings includes Welfare Managers, etc.”*

Forums provide Controllers with an opportunity to share and learn from one another’s experiences and to build relationships that will support response.

#### **Suggested Strategies:**

- Establish Group and Local Controller forums as required by identifying who needs to meet and how often. Refer to **4.3.3 Inter-Group Controllers** for further guidance.
- Engage the MCDEM REMA to attend Controller forum meetings to support and facilitate effective discussion on relevant topics.

## PART 4 Engaging Controllers in Readiness and Response

*"You don't sit down to read Acts by yourself. You attend courses. You talk to people, REMAs etc. It's a range of things. It's osmosis, it's a leadership role. The day to day, it involves a range of agencies."*

There are a number of areas where Controllers can engage in readiness that will improve their ability to be prepared for the ambiguity of response. For the Bay of Plenty and Waikato CDEM Groups, Controller engagement can be classified into four levels:

1. **Owner** – the Controller should own the outcomes.
2. **Participant** – the Controller should ensure that he/she participates in the planning and decision making.
3. **Advocate** – the Controller should advocate for this in the appropriate forums.
4. **Awareness** – the Controller should maintain an awareness that this is being undertaken appropriately.

Note that the level of engagement may be different for Group and Local Controllers. This is indicated by a (G) and a (L).

### 4.1 Technical

#### 4.1.1 EOC/ECC Tools and Processes

*"The equipment is very 'Dad's Army' so I am looking at how we can build an EOC that's dummy proof. Can we pick up all our equipment and move if we have to?"*

The EOC assessment undertaken in the Bay of Plenty and Waikato Regions during 2010<sup>5</sup> focused on examining three main areas: place, people and process.

The indicators detailed in the table below are from the EOC assessment template, with the level of engagement that Controllers should undertake for each.

Area	Indicator	Level of Engagement
Place	EOC/ECC location is appropriate	Participant
	EOC/ECC design and layout supports effective operation	Awareness
	EOC/ECC equipment is appropriate to needs and functions	Awareness
	EOC/ECC operation can be sustained during short, medium and long term events	Awareness
	Response arrangements are planned and practiced	Awareness
	All EOC/ECC functions are staffed appropriately	Awareness
People	Response arrangements are planned and practiced	Awareness
	All EOC/ECC functions are staffed appropriately	Participant
	Key EOC/ECC roles are trained and competent to carry out functions	Participant (L) Owner (G)
Process	EOC/ECC can be activated rapidly	Owner

<sup>5</sup> Bay of Plenty Civil Defence Emergency Management, ECC Assessment, November 2010.  
Waikato CDEM EOC Assessment, September 2010.

Area	Indicator	Level of Engagement
	CDEM Reference material is available	Awareness
	Public Information management is coordinated between key agencies	Awareness
	Planning Intelligence management is coordinated between key agencies	Owner
	Operations management is coordinated between key agencies	Participant
	Logistics management is coordinated between key agencies	Participant
	Declaration processes are planned and practiced	Participant
	Business continuity management arrangements are developed and implemented	Advocate
	Interoperability between EOCs and the GECC is planned and practiced	Advocate

(L = Local Controller; G = Group Controller)

#### 4.1.2 EMIS

*"I'm really worried about EMIS as it's not a system we'll be using every day. It makes me fear EMIS. I'm concerned about the double entry into EMIS and our system, and that we'll drop the ball on things. I feel frustration about how long it is taking us to get there."*

*"Do you know much about EMIS? No, not really."*

The introduction of EMIS in late 2011 gives Controllers the opportunity to engage from the outset in the development and implementation of a new emergency information management tool. Engagement in both the operational planning and strategic direction for EMIS implementation is critical. Following EMIS Super User training in 2011, the Waikato Group prepared the EMIS Implementation Project Brief that outlines the objectives below.

Area	Indicator	Level of Engagement
EMIS	Develop a strategy to ensure the sustainability and value of the system as a relevant emergency management tool	Participant
	Form an EMIS Governance Group, with full CDEM Group representation, to address the integration and on-going lifespan requirements of the system	Awareness
	Establish an administrative and IT infrastructure capable of meeting the necessary requirements for a functional system	Advocate
	Produce and implement an EMIS roll-out training programme that will enable all participating agencies to meet the minimum level of operational functionality	Awareness

### 4.1.3 Oversight of Human Capability

*“It’s working with the staff who’ll come into our EOC and having a really good feeling that things will happen when you want them to happen. They’ll come in and know where they should be and what to do. Knowing that we’ve got back up people so we don’t rely on one person to do each role.”*

“The New Zealand Public has high expectations of the CDEM sector to lead the way in reducing risk, ensuring preparedness, and responding to and recovering from civil defence emergencies. It is up to us to ensure our communities that those they put their trust in are professional, well trained, and competent to lead them towards *A Resilient New Zealand*”, John Hamilton, Director of Civil Defence Emergency Management<sup>iv</sup>.

Controllers will have a greater sense of the tools available to them if they have had the opportunity to familiarise themselves with the range of human response capability ahead of time. There is a range of roles that provide vital support services during an emergency, and the Controller relies on the trained competence of these resources; whether they are staff responders or volunteers.

A clear understanding of the local “trained state” for the respective response functions will enable the Controller to task operations in the confidence that communities will be best served. Section **3.3 Contribution to Capability Development** discusses the Controller’s responsibility to support this.

Area	Indicator	Level of Engagement
EOC staff	See 4.1.1 EOC/ECC Tools and Processes – People	Participant
Response Teams <sup>v</sup>	Training/capability	Awareness
	Deployment Process	Awareness
	Equipment	Awareness
Welfare <sup>vi</sup>	Appropriate planning arrangements are in place locally	Awareness
	Group and Local welfare plans are supported	Awareness
	Support training and exercising of welfare personnel	Awareness
	Understand the planning which underpins welfare response	Awareness
Lifelines <sup>vii</sup>	Facilitate impact assessment and information collection	Awareness
	Analyse information, supply intelligence to EOC planning intelligence/operations	Awareness
	Coordinate requests for resources	Awareness
Spontaneous Volunteer Management <sup>viii</sup>	Appropriate planning arrangements are in place locally	Awareness

### 4.1.4 Exercise Planning and Delivery

*“I’ve done exercises. Some have gone really well, some have been disastrous”*

Exercising is a core part of readiness and assists in identifying gaps and issues. The lessons identified are integrated into updated plans and procedures that improve the ability to respond to and recover from an emergency.

Controllers have a strong directional and advocacy role in the development and conduct of exercises – it is vital that the *right* things are exercised and that improvements are made.

Exercises also provide a professional development opportunity for Controllers, and this is discussed in **Part 3: Development Toolkit for Controllers**.

Area	Indicator	Level of Engagement
Identification of need	Identify exercise issue to be tested	Participant
	Establish reasons to do an exercise	Awareness
	Identify functions to be exercised	Awareness
Exercise design	Determine exercise scope	Participant
	Establish a planning team	Awareness
	Determine exercise timeline	Advocate
	Establish exercise aim	Participant
	Define exercise objectives	Participant
Exercise conduct	Participate appropriately in exercise	Participant
Exercise evaluation	Participate in hot and cold de-briefs	Participant
	Exercise report – ensure that this is done	Owner
	Reporting – advocate report outcomes at CEG and Joint Committee	Advocate
Implementing corrective action	Exercise recommendations are implemented	Advocate

### 4.1.5 Public Messaging and Alerting Systems

*“[need to ensure] messages going out publicly are consistent and on target. Clear direction”*

*“The importance of ensuring that relationships are managed during response is critical to avoid contradictory messages.”*

Information is the key to understanding hazards, managing risks, and for helping people to take the appropriate actions in an emergency. It is important that the information and messages we provide are consistent and readily available. If the information we provide, be that directly, via websites, in the media, or any other way, is inconsistent, we create doubt and undermine the strength and importance of each other’s messages.

Area	Indicator	Level of Engagement
Public Information	Message preparation is consistent <sup>ix</sup> , makes use of pre-prepared templates and gives clear advice to agencies and communities	Awareness
	Delivery mechanisms are considered and the most appropriate for the message is used	Awareness
Public Alerting	Protocols <sup>x</sup> and pre-defined thresholds for public alerting are defined and approved by the CDEM Group (Joint Committee) ahead of emergency events	Participation
	Public alerting deployment during an emergency considers consequential risk planning prior to approval	Owner

#### 4.1.6 Community Readiness

*“There’s a rigour in trying to identify a person who has the background that would lend itself to being able to cope in a situation where they would need to make sensible, on the spot decisions that could affect potentially large sections of the community.”*

*“Drip feeding regular messages is great way of keeping people informed about preparedness”*

The ability of a community to cope with an emergency is based to a large extent on the measures<sup>xi</sup> it takes before the emergency occurs be they in risk reduction and mitigation or readiness and planning.

Area	Indicator	Level of Engagement
Public Education	Communities are engaged in building local resilience and know what to do in the event of an emergency	Awareness

#### 4.1.7 Hazard Risk Management

Controllers need to engage with the hazard risk profile for their region.

Area	Indicator	Level of Engagement
Hazard Risk Management	Local hazards and risks and their potential consequences, particularly on vulnerable communities, are recognised, understood and communicated.	Awareness

### 4.2 Governance and Management for Readiness and Response

*“You can’t have people wearing multiple hats. You have to have those three roles distinct – Controller, CE, Mayor.”*

Governance and management are key decision making and support mechanisms in the effectiveness of the Controller continuum, from selection through to a Controller’s performance in a response. A Controller’s inherent ability and acquired skill sets are the trigger for their selection for the role. Everything else (e.g. selection, development, engagement and performance) all rely on a specific level of decision making and support taken at some point in their journey by a management or a governance entity.

The Waikato and Bay of Plenty were extremely consistent in their views about the need to make sure that governance and management understand their roles and responsibilities in their engagement with Controllers. They were equally clear that a Controller must understand the roles and responsibilities of their respective governance and management. Below is a list of relationship-based activities that demonstrate the Controller’s responsibilities in governance and management.

#### 4.2.1 Chief Executive Officer

*“It’s important for the CEO to have relationship with Controller”*

*“Is the CEO’s role different to the Controllers’ role in an event? I have always believed that there is a difference. There is a lot of merit in our services guys being able to operate independently of civil defence, roading, pump stations etc. They need to be focusing on that stuff and supporting civil defence stuff from a coordination perspective. CE’s role is to run council.”*

Area	Indicator	Level of Engagement
CEO	Decision making that affects readiness capability	Advocate (L)
	Reporting on activity to provide confidence in ability to respond appropriately	Owner (L)

## 4.2.2 Mayor

*"Mayors have a critical role to relay consistent messages with councillors and community board members to get everyone on the same page and keep them there."*

*"The Mayor's role is to be the face, provide assurance to communities and businesses. Separate role from the Controller."*

*"The reality is there should be training for the mayors to understand their role. There are a hell of lot who don't know it. If it's going to be done and the structures will be in place to support Controllers, I need to see that as part of supporting the Controller and supporting the governance structures."*

Area	Indicator	Level of Engagement
Mayor	Clarity regarding Mayor/Controller roles in an emergency	Owner (L)
	Council decision making which affects readiness capability	Awareness (L)

## 4.2.3 Joint Committee

*"Everyone is clear it is a Joint Committee appointment"*

*"The Joint Committee appoints Controllers. We have a good understanding because of the work we put into the ZGP. There had been some confusion. We are very clear on responsibilities."*

Area	Indicator	Level of Engagement
Joint Committee	Decision making that affects readiness capability	Advocate (L&G)
	Reporting on activity to provide confidence in ability to respond appropriately	Owner (L&G)

## 4.2.4 Coordinating Executive Group

*"CEG needs to know there might be training requirements for Controllers – they need to understand they need the time, money, support, etc. I think somebody needs to take responsibility. The cost probably sits with the organisation, but CEG needs oversight to make sure it actually happens."*

*"There is currently not enough capacity at Group and Local level to support Controllers. That's another conversation for CEG. It's CEG's responsibility to say what your resourcing needs are."*

Area	Indicator	Level of Engagement
CEG	Decision making that affects readiness capability	Participant (G) Awareness (L)
	Provide expertise that informs decision making	Owner (G) Participant (L)

## 4.2.5 Finance

*“Our finance team is following us around, but there is a loop back around to the CE. That is probably another area that we are unclear of.”*

Clauses 89(2)–(5) of the National CDEM Plan outline<sup>xii</sup> Government’s general approach to government financial assistance in response and recovery. Government will fully reimburse local authorities for costs incurred in caring for displaced people.

Area	Indicator	Level of Engagement
Delegations	Delegations are in place and are understood	Awareness
Financial overview	Understands how to maintain financial awareness in an emergency	Awareness
Reimbursement	Has clear understanding of Government policy and doctrine on reimbursement and where costs lie	Participant

## 4.2.6 Forward Planning

*“Controllers need to be forward thinking, not just focused on what is happening in that moment”*

Interviewing revealed that historically Controllers within both CDEM groups have been unable to, or unaware of the need to engage in forward planning outside of a response. Many of the processes and principles of a response are similar in any emergency (e.g. impact assessment outcomes, deployment of resource, intelligence gathering application).

In order for Controllers to practice their integrated planning skills in a response context and position themselves to be as ahead of the unfolding emergency as possible, forward planning across a range of strategic emergency management functions is essential. This includes examining the consequences arising from the emergency, the impact on the affected communities, and what services those communities are likely to require in three days/a week /a month from the initial emergency.

Area	Indicator	Level of Engagement
Strategic planning	Strategic emergency management functions are planned for and consequential planning is practiced.	Owner
Operational planning	Appropriate forward planning is conducted during response	Owner

## 4.3 Relationships

The relationships that Controllers have with differing agencies and stakeholders can support effective response management.

### 4.3.1 Engaging with Professional CDEM Staff

*“We don’t feel we have a good back up situation without him (EMO). He makes sure the functions are working properly, monitors them”*

Professional CDEM staff are employed by territorial authorities to deliver CDEM outcomes to fulfil their obligations that relate to the CDEM Act (2002). In a response a Controller is dependent on the quality of the preparation that has been undertaken in the readiness phase by the professional staff.

It is essential that the Controller understands, and is involved in the decision making which relates to that preparation. Consequently a proactive informed relationship between the Controller and the professional staff provides opportunities to ensure that appropriate decision making occurs. It also allows the Controller to discuss the preparedness to respond with the CEO who has shared accountability for the readiness phase.

Area	Indicator	Level of Engagement
Professional staff	Appropriate engagement in operational and planning issues that will impact on a response	Participant

### 4.3.2 Intra-Group Controllers

*“There should be a relationship between Group and Local Controllers so they can work across and up”*

The relationship between the Group Controller, the alternate Group Controllers and Local Controllers is vital. In a response context, this is well explained in Annex A of the *Response Management Director’s Guideline for CDEM Group and Local Controllers [DGL 06/08]* where the levels of response and relationship between Group and Local Controllers is described. Essentially the level of direction from Group to Local Controllers is dependent on the emergency level, or extent of the emergency.

Whilst formal direction, lines of communication and responsibility are clear for each emergency response level, what is more ambiguous is the informal engagement between Controllers. Practiced relationships, and in this context, explicit understanding of roles, responsibilities and powers to act prior to an emergency will enhance the quality of the response.

As emergencies unfold it is essential to the best interests of the communities that they are assisting, that Group and Local Controllers have sufficiently robust relationships to ensure timely and open communication. The Waikato and Bay of Plenty Group interviewees acknowledged that this was an area which could benefit from a greater and more overt emphasis.

#### Relationships in Readiness

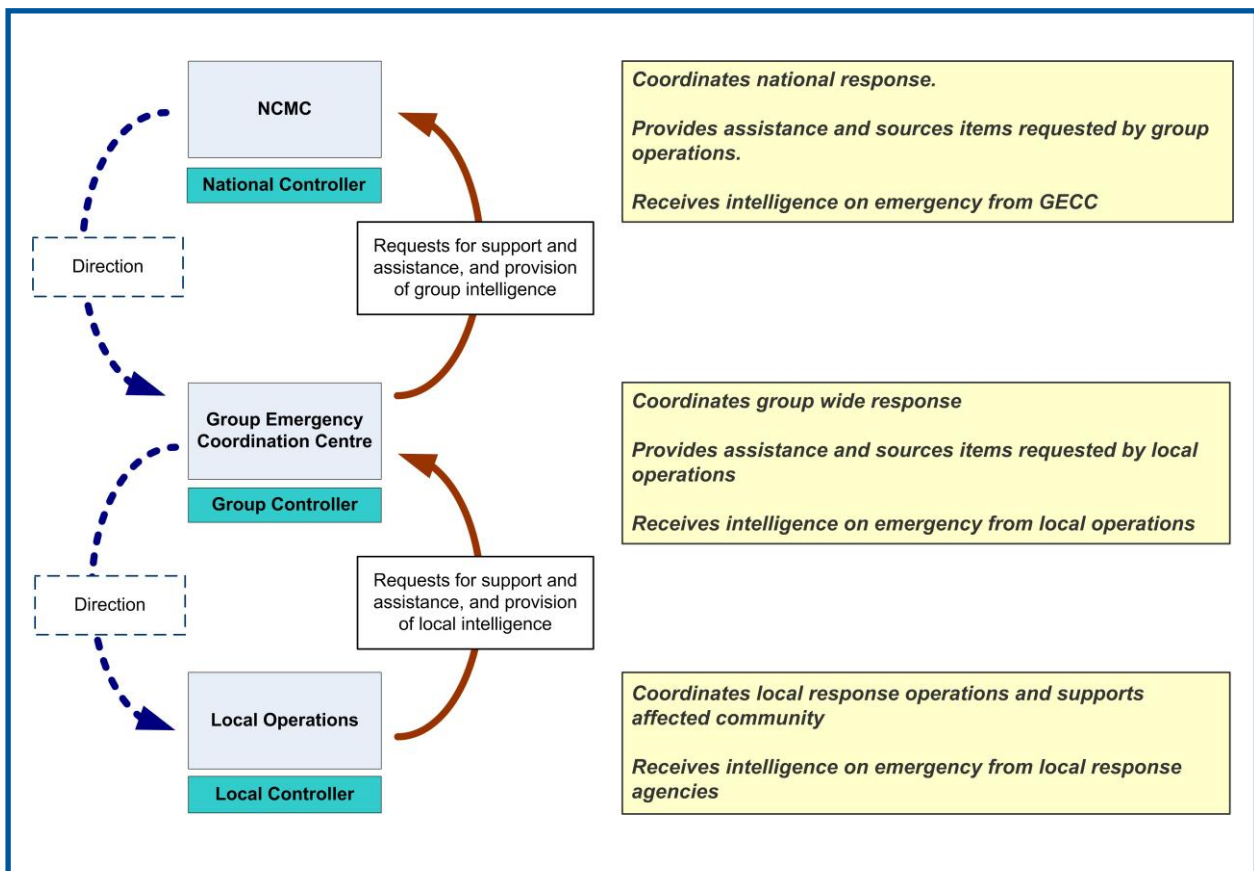
The table below describes the relationships between Group and Local Controllers during readiness.

Area	Indicator	Level of Engagement
<b>Group</b> → Local	Local Controllers are engaged in local readiness arrangements	Awareness
	Regular forums are held to provide training and relationship building opportunity	Owner
	Provide regular and timely communication regarding CDEM Group information and decision making	Owner
<b>Local</b> → Group	Raise issues which affect readiness and response	Owner
	Commitment is made to attending relationship building and training opportunities	Owner
	Group Controllers are alerted to, and informed of, unfolding and ongoing emergencies	Owner
Local ↔ Local	Understanding of neighbouring TA’s readiness and response arrangements	Awareness
	Current working relationships with neighbouring TA’s Local Controllers	Owner

## Relationships in Response

The diagram below illustrates the relationships between Controllers at each level during response.

**Figure 4: Controller Relationships during Response**



### 4.3.3 Inter-Group Controllers

The Bay of Plenty and Waikato CDEM Groups acknowledge their intent to support and cooperate with other CDEM groups within their Group plans<sup>6</sup>. For the most part this is assumed to be facilitated in a readiness phase by the CDEM professional staff. Controllers would benefit from an understanding of the extent of cooperation between Groups, and also in establishing relationships with neighbouring Controllers.

Opportunities to meet with Controller peers across the country include attending Controller workshops or the National Controllers forum.

Area	Indicator	Level of Engagement
Inter-Group Controllers	Appropriate understanding of inter-group planning arrangements, shared hazards and collaborative projects	Awareness
	Establish working relationships with peer Controllers, particularly from adjacent territorial authorities	Participant

<sup>6</sup> Approved Waikato Civil Defence Emergency Management Group Plan, 2011 – 15.

#### 4.3.4 External to CDEM Arrangements

During large scale emergency events a Controller needs to rapidly establish trust and credibility with a range of agencies and stakeholders in order to manage the response phase. These include central government departments, lifeline utilities, local and national politicians, science organisations, significant local business stakeholders and community leaders.

Widespread reviews and experiences from these types of events conclude that where there are pre-event relationships, the opportunity to maximise the capability required by the emergency is more streamlined, and delivers community effects more rapidly.

Understanding how a range of resources can support an emergency and establishing relationships ahead of time should be considered by Controllers.

Area	Indicator	Level of Engagement
External to CDEM arrangements	Establish working relationships with central government advisors, lifeline utility organisations, local and national politicians, science organisation, significant local business stakeholders and community leaders ahead of emergency events. Define likely roles and communicate CDEM response structure.	Participant

#### 4.3.5 Key Group Stakeholders

*“Emergency services need to have more ready access to Controllers to be more confident. They need to know our capabilities and we need to know theirs”.*

Controllers rely on the planning and readiness preparation of other key stakeholders in an emergency as they provide vital services to affected communities. Whilst Controllers are likely to have confidence that their local CDEM professional staff are involved with these stakeholders, it is important that Controllers also have an awareness of their plans and capability.

Understanding roles and responsibilities during readiness, and establishing relationships with key group stakeholders such as lifelines, welfare, police, fire and health will ensure that credibility is established early (on both sides), and that assumptions relating to responsibilities, plans and capability are not tested on the day.

Area	Indicator	Level of Engagement
Key Group stakeholders	Establish working relationships with the chairs of Lifelines and Welfare Advisory Group, Police, Fire and Health ahead of emergency events. Define likely roles and communicate CDEM response structure.	Participant

## Appendix 1: Controller Selection Checklist

Skills and Attributes	Yes	Partial	No
<b>1. Relationship Management</b>			
Develops relationships easily with senior partners			
Able to effectively resolve conflict			
Credible influencer and negotiator			
<b>2. Information Management</b>			
Able to identify information need, system functionality and capability			
Able to analyse wide ranging information to inform situational awareness and strategy			
Absorbs and synthesises information but is not distracted by the detail			
<b>3. Risk Management</b>			
Able to understand hazard risk and determine community impact			
<b>4. Planning</b>			
Ensures plans are coordinated and integrated across all levels and partners			
Able to forward plan and assess consequential risk			
Ensures plans are evaluated and updated			
<b>5. Communication</b>			
Communicates with clarity with partners and communities			
Leads and owns public information messaging and engagement with communities			
Engenders confidence with the media			
<b>6. Capability Development</b>			
Able to proactively engage in professional development <sup>7</sup> for self and response staff			
Understands the strategic risk of weak capability and monitors levels of collective capability			
<b>7. Leadership</b>			
Able to maintain strategic overview			
Creates an environment where others are able to succeed			
Able to provide firm but participative leadership in an emergency that influences others towards the achievement of objectives			
Able to create strategic vision, motivate staff and delegate direction			

<sup>7</sup> Professional development includes courses, workshops, peer learning and exercises

<b>Skills and Attributes</b>	<b>Yes</b>	<b>Partial</b>	<b>No</b>
<b>8. Response</b>			
Able to work within legislative parameters			
Able to quickly analyse information and risk and define credible planning objectives			
Can work in multi agency teams and is cognisant of differing roles / functions			
Can effectively manage emergency events from initial stages through to transition to recovery			
<b>9. Personal</b>			
Addresses impact of the role on own family			
Medically fit to work in a high stress environment			
Self confident, unflappable and remains calm under pressure			
Has confidence of CEO and senior partners			
Is politically astute			
Has good knowledge of local area and communities			
Has high professional ethics			

## Appendix 2: Controller Appointment Review Checklist

### PART 1 Controller Appointment Confirmation Form

<b>Controller Name:</b>		<b>TA/ Group:</b>	
<b>Review Period:</b>		<b>Reviewer:</b>	
<b>Other TAs (if a shared arrangement exists):</b>			

#### Controller Review: Confirmation

In conjunction with *<insert Controller name>*, I have reviewed their appointment as Local / Group Controller for the *<insert Territorial Authority>* and wish to confirm his/her wiliness and suitability for this role.

<b>Reviewer Name:</b>		<b>Controller Name:</b>	
<b>Reviewer Designation:</b>		<b>Controller Designation:</b>	
<b>Signature:</b>		<b>Signature:</b>	
<b>Date:</b>		<b>Date:</b>	

#### Controller Review: Resignation

In conjunction with *<insert Controller name>*, I have reviewed their appointment as Local / Group Controller for the *<insert Territorial Authority>* and wish to advise that they no longer wish to continue in this role. A replacement Controller will need to be identified.

<b>Reviewer Name:</b>		<b>Controller Name:</b>	
<b>Reviewer Designation:</b>		<b>Controller Designation:</b>	
<b>Signature:</b>		<b>Signature:</b>	
<b>Date:</b>		<b>Date:</b>	

## PART 2 Controller Performance Review

<b>Controller Name:</b>		<b>TA/ Group:</b>	
<b>Review Period:</b>		<b>Reviewer:</b>	
<b>Other TAs (if a shared arrangement exists):</b>			

<b>Personal Professional Development</b>	<b>Y/N</b>	<b>Organisational support for Personal Professional development<sup>8</sup></b>	<b>Y/N</b>
<b>Personal learning (if yes, give examples)</b>			
• Legislative / doctrine			
• Leadership			
• CEG engagement			
• Media			
<b>Personal Readiness (if yes, give examples)</b>			
• Workshops and Courses			
• Peer Learning			
• Technical Development			
• Exercises			
<b>Response Capability (if yes, give examples)</b>			
• EOC Capability planning / training			
• Exercise planning			
<b>Emergency Events (if yes, give examples)</b>			
•			
•			

<sup>8</sup> Detail support provided by the organisation that has enabled this area of professional development. Can include provision of time, expertise, payment of courses, release from BAU role to fulfil Controller obligations

## Appendix 3: Useful References

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- i The Guide to the National Civil Defence Emergency Management Plan 2006
- ii Response Management: Director’s Guideline for Group and Local Controllers [DGL06/08]
- iii Civil Defence Emergency Management Competency Framework, Technical Standard [TS 02/09] and Controller Role Map
- iv CDEM Competency Framework Toolkit, Development Needs Analysis Best Practice Guide [BPG 5/10]
- v Response Team Guidelines (draft), 2011
- vi Welfare in an Emergency, Directors Guideline for Civil Defence Emergency Management Groups [DGL11/10]
- vii Working Together: Lifeline Utilities and Emergency Management, Directors guideline for lifeline utilities [DGL 3/02]
- viii Spontaneous Volunteer Management Planning, Best Practice Guide [BPG 3/06]
- ix Working from the same page: Consistent messages for CDEM
- x National Tsunami Advisory and Warning Plan (revised October 2010)
- xi Community Engagement in the CDEM context, Civil Defence Emergency Management Best Practice Guide [BPG 4/10]
- xii Section 26: Government Financial Support, The Guide to the National Civil Defence Emergency Management Plan, 2006