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Response Management

Director's Guideline for CDEM Group and Local
Controllers [DGL06/08]

Revised October 2014



Defence Emergency Management
Act 2002



Resilient New Zealand
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Ministry of Civil Defence
& Emergency Management
Te Rākau Whakamarumarū

Response Management

Director's Guideline for CDEM Group and Local Controllers [DGL06/08]

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Response Management

Introduction

This is a Director's guideline for all Group and Local Controllers. It provides a comprehensive overview of the role of Controller and is intended to be a practical document to support Group and Local Controllers to carry out their roles and responsibilities across the 4Rs (reduction, readiness, response and recovery).

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Effective management of emergencies under the Civil Defence Emergency Management Act 2002 (the CDEM Act) requires common understanding of roles and responsibilities, and in particular, those with a statutory basis. CDEM Group and Local Controllers play a pivotal role in the management of any civil defence emergency. This guideline has been prepared in line with my responsibilities under section 9(3) of the CDEM Act, to support the operational role of Controllers.



If the role of the Controller is critical, it is also complex and demanding. It comprises a heady mix of functional responsibilities, management, decision making, and leadership. Anyone performing this role must take the time to understand their responsibilities and their role. Controllers should use this guideline to prepare for the role so they can bring their experience and judgement to bear on their responses to the diverse, competing demands of an emergency and help ensure that their decision making is based on integrated and logical thought processes.

While this guideline is aimed specifically at Group and Local Controllers, other emergency practitioners in New Zealand who interact with the Controller, including members of the emergency services and government agencies, will find the guideline useful.

This guideline has been informed by the practices and experiences of a wide range of Controllers from around New Zealand and seeks to achieve national consistency in regard to the role, while recognising that specific operational procedures will vary to meet local needs.

I acknowledge the involvement and commitment from CDEM Groups who have assisted in developing and producing this guideline.

A handwritten signature in black ink, appearing to read 'John Hamilton', written in a cursive style.

John Hamilton
Director of Civil Defence Emergency Management

Executive summary

This guideline is for use by the Civil Defence Emergency Management (CDEM) Group and Local Controllers to assist them with performing their statutory roles under the CDEM Act. It may also be of use to those performing similar or associated duties, roles and functions within other agencies.

It provides a range of practical advice, templates and examples to assist the Controller to:

- understand the key powers and functions of a Controller, and how to prepare for the role
- build and maintain strong relationships with partner agencies, and ensure that relationships also exist between agencies
- engage political leaders and critical decision makers
- lead an Emergency Operations Centre and coordinate operations during an emergency response, and
- effectively transition from response to recovery.

This guideline provides general advice, so must be read and used in conjunction with specific CDEM Group and local authority requirements. It is essential for Group and Local Controllers to be very familiar with their CDEM Group Plan, local arrangements, and standard operating procedures to understand:

- the risk profile of their area
- the hazards and risks their communities face
- the arrangements that are in place to manage these hazards and risks, and
- the relationships with others involved.

The goal of this guideline is to add value to this understanding by providing a principled approach to the role of Controller, and offering high-level information and guidance for all aspects of this important role.

It is important to note here that *Response Management: Director's Guideline for CDEM Group and Local Controllers [DGL 06/08]* supersedes the *Controllers Manual, March 2005*.

Introduction

Purpose of this guideline

The purpose of this guideline is to support decision making and action, rather than to direct. The Controller's role has authority under the CDEM Act. Any decisions taken by the Controller need to be made in the context of the CDEM Act, this guideline and the circumstances to which the Controller is responding.

It is vital for the Controller to understand their role before they need to act. Controllers are generally experienced managers and decision makers who fulfill another related role outside CDEM emergencies. Thus, their exposure to the role may be limited. They must, however, maintain their knowledge of the role, and of the attached statutory powers. This guideline assumes the Controller is already equipped with management skills, and applies those skills to the field of emergency management. It is not a guide on 'how to manage'.

Group vs. Local Controller

This guideline is for all Controllers, whether Group or Local. The role of Controller is treated generically, and distinctions between the roles are made explicitly when necessary.

How to read this guideline

This guideline is written so that wherever possible (unless it best serves the reader to have it included), information is not duplicated. In order to achieve this, other documents have been referenced throughout. Paragraph titles (to the left of the text, as below) provide a key to the content of the paragraph, for quick referencing and ease of reading. Here is an example of how other documents are referenced in this guideline.

Paragraph title

Relationship between CDEM and Lifeline Utilities

The Controller works with, and is advised by, the Lifeline Coordinator during an emergency. Lifeline utilities are the providers of infrastructure to the community, such as water, wastewater, transport, energy and telecommunications. These organisations play an essential part in CDEM activity and must continue to operate and respond to customers throughout an emergency.

See this section in the CDEM Act

Refer to ss59-60 of the CDEM Act 2002.

A full list of lifeline utilities is provided in Schedule One of the CDEM Act, where organisations are either named specifically or described in terms of the operation or service they provide.

Quote from the CDEM Act

60 Duties of lifeline utilities

Every lifeline utility must—

- (a) 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.

Refer to other documents for more information

Lifeline Utilities and Emergency Management [DGL 3/02] sets out the Director's expectations of these organisations. *Lifelines and CDEM Planning, Best Practice Guide [BPG1/03]* contains information about

Acronyms and abbreviations

List of acronyms and abbreviations

The following is a reference list of acronyms and abbreviations referred to in this guideline for Group and Local Controllers.

4Rs	Reduction, Readiness, Response, Recovery
CDEM	Civil Defence Emergency Management
CEG	Coordinating Executive Group
CIMS	Coordinated Incident Management System
ECC	Emergency Coordination Centre (see GEOC)
EMO	Emergency Management Officer employed by the regional, district, or local council.
EOC	Emergency Operations Centre (in this guideline, EOC refers to EOCs, GEOCs and ECCs).
GEOC	Group Emergency Operations Centre (as opposed to the local EOC). Also known as an ECC (Emergency Coordination Centre).
LTCCP	Long Term Council Community Plan
MCDEM	Ministry of Civil Defence & Emergency Management
NCMC	National Crisis Management Centre
PIM	Public Information Manager
Sitrep	Situation report (these are issued from the EOC periodically during the response, and provide a snapshot of the emergency at the time).
SOPs	Standard Operating Procedures – these detail the procedures and other activities in the EOC.
CDEM Act	Civil Defence Emergency Management Act 2002
LA	Local Authority (a regional council or territorial authority – includes regional, city and district councils, and unitary authorities).

Chapter 1: Complying with the CDEM Act 2002

Purpose of this chapter

The Civil Defence Emergency Management Act 2002 (the CDEM Act) sets out the framework for CDEM in New Zealand, and provides for a range of statutory roles, including that of Controller.

This chapter provides a high level overview of the CDEM Act, and highlights sections specific to the role of Controller. It then gives an overview of the CDEM Act from the Controller's perspective, highlights the central and local government roles, and outlines how the role of Controller fits in with the CDEM roles of other agencies. It describes the functions, duties and powers of Controllers, gives examples of powers in practice, and provides information and support on the declaration process.

Each CDEM Group Plan will provide information on the way the Controller works within their CDEM Group, setting out the limitations and delegations.

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Overview

Section 3 of the CDEM Act states its purpose:

Section 3 Purpose

The purpose of this Act, which repeals and replaces the Civil Defence Act 1983, is to—

- (a) improve and promote the sustainable management of hazards (as that term is defined in this Act) in a way that contributes to the social, economic, cultural, and environmental well-being and safety of the public and also to the protection of property; and*
- (b) encourage and enable communities to achieve acceptable levels of risk (as that term is defined in this Act), including, without limitation,—*
 - (i) identifying, assessing, and managing risks; and*
 - (ii) consulting and communicating about risks; and*
 - (iii) identifying and implementing cost-effective risk reduction; and*
 - (iv) monitoring and reviewing the process; and*
- (c) provide for planning and preparation for emergencies and for response and recovery in the event of an emergency; and*
- (d) require local authorities to co-ordinate, through regional groups, planning, programmes, and activities related to civil defence emergency management across the areas of reduction, readiness, response, and recovery, and encourage co-operation and joint action within those regional groups; and*
- (e) provide a basis for the integration of national and local civil defence emergency management planning and activity through the alignment of local planning with a national strategy and national plan; and*
- (f) encourage the co-ordination of emergency management, planning, and activities related to civil defence emergency management across the wide range of agencies and organisations preventing or managing emergencies under this Act and the Acts listed in section 17(3).*

Definition of Civil Defence Emergency Management (CDEM)

Civil Defence Emergency Management (CDEM) as defined in the CDEM Act:

- (a) means the application of knowledge, measures and practices that –*
 - (i) are necessary or desirable for the safety of the public or property; and*
 - (ii) are designed to guard against, prevent, reduce, or overcome any hazard or harm or loss that may be associated with any emergency; and*
- (b) includes without limitation the planning, organisation, coordination and implementation of those measures, knowledge and practices.*

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Organisational arrangements under the CDEM Act 2002

The CDEM Act identifies clear and specific organisational arrangements, incorporating:

- the CDEM Group (s12)
- the Coordinating Executive Group (CEG) (s20)
- Group Controller/s (s26), and
- Local Controller/s (s27(1)).

CDEM Group

The CDEM Group is a joint committee of local authorities with the functions, duties and powers to assist their region to:

Refer to ss12-19 of the CDEM Act 2002.

- reduce the likelihood of, and impact from
- be ready for
- respond to, and
- recover from emergencies.

The functions of CDEM Groups and each member are to:

Refer to s17 of the CDEM Act 2002.

- identify, manage, and reduce relevant risks and hazards
- organise suitably trained and competent personnel for CDEM in their area
- organise resources, services and information for CDEM in their area
- respond to and manage effects of emergencies in their area
- carry out recovery activities
- when requested, assist other groups if practicable
- promote and educate the public in their area, of the CDEM Act and its purpose
- monitor and report on compliance with the CDEM Act within their area
- develop, implement, monitor and regularly review a CDEM Group Plan
- participate in the development of the National CDEM Strategy and the National CDEM Plan, and
- promote CDEM in their area.

The end goal is to have **resilient communities**.

CEG

Refer to s20 of the CDEM Act 2002.

Under section 20 of the of the CDEM Act, each CDEM Group has a Coordinating Executive Group (CEG) responsible for advising the CDEM Group, implementing its decisions, and overseeing the development, implementation and currency of the CDEM Group Plan. Membership includes, but is not limited to, the chief executive of each council together with representatives from the emergency services.

The CEG usually comprises chief executive officers of the constituent local

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authorities plus senior members of the emergency services, and may include co-opted members, including the Group Controller.

Group and Local Controllers

Refer to ss26-28 of the CDEM Act 2002.

The Group Controller must direct and coordinate CDEM Group resources made available to them during declared emergencies, and perform any other functions delegated by the CDEM Group. Local Controllers can be appointed by CDEM Groups, and directed to carry out any of the functions, duties or powers of the Group Controller.

A Controller can use CDEM arrangements outside of declared emergencies, but some powers under the CDEM Act can only be used during a declared state of emergency.

As stated in the preface, where 'Controller' is mentioned in this guideline, it is referring to all Controllers whether Group or Local. Where it refers to one or the other, this will be specified.

In practice, the Group Controller **coordinates** the response, whereas the Local Controller **manages** the response. The Local Controller follows any directions given by the Group Controller during an emergency.

Where Local Controllers are appointed, it is important to note that they have the power to act in the same area for which the Group Controller is appointed. However, they must follow any directions given by the Group Controller. Local Controllers' powers are generally only for the area appointed (i.e. ward or district).

Note

A unitary authority consists of only one district council. Therefore, they will generally only have a Group Controller appointment and no Local Controllers.

(See Annex A of this guideline for a diagram showing the differences between the Group and Local Controllers' activities at the different response levels.)

Central and local government

Overview

All government departments, local authorities, lifeline utilities and emergency services have emergency management responsibilities under the CDEM Act and other related legislation. Local authorities, emergency services, local utility providers and other local partner organisations work, plan, train, exercise and respond together under the auspices of CDEM Groups, based on the respective regional council or unitary authority boundaries. The collective capacity and capability of these organisations provides the framework within which Controllers carry out their functions.

Within this framework, emergencies are managed and coordinated locally, supported and coordinated regionally, and, when necessary, supported and coordinated nationally. It is critical that Controllers at all levels understand the framework and their respective places within it.

Role of central government

The Government has primary responsibility for the security, safety and welfare of New Zealand citizens and communities.

Central government is required to:

- plan, organise and implement measures at a national level
- support CDEM Groups
- keep local government informed during any significant incident or emergency, and
- coordinate response and recovery work throughout a state of national emergency.

Many government agencies develop and implement policies, programmes and regulations, and deliver services that influence CDEM. In emergency situations these agencies are expected to participate in a ‘whole-of-government’ approach – whether by providing assistance during response, managing aspects of the response effort, or by assisting in recovery activities.

Note

See Section 4 of The Guide to the National CDEM Plan, entitled “General roles and responsibilities” for a list of government agencies with roles, responsibilities and/or an interest in CDEM.

Local authorities

Under section 5(1) of the Local Government Act 2002, local authorities include:

- regional councils
- territorial authorities, and
- unitary authorities.

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Section 12 of the CDEM Act requires every regional council in New Zealand to unite with the territorial authorities within its region to establish a CDEM Group (unitary authorities are also required to do this), who have the functions, duties and powers to undertake CDEM in their area. This includes preparing a coordinated CDEM Group Plan for managing their area's hazards and risks in accordance with the 4Rs – reduction, readiness, response and recovery.

Every local authority must be a member of a CDEM Group and each member of the Group is represented by the Mayor or chairperson of that local authority. An elected person with the delegated authority may act on behalf of the Mayor/chairperson.

Aside from their responsibilities as part of a CDEM Group, section 64 of the CDEM Act contains specific requirements of local authorities.

64 Duties of local authorities

- (1) A local authority must plan and provide for civil defence emergency management within 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.*

Councils have a range of established roles in identifying and managing hazards, responding to emergencies, and ensuring the maintenance of essential services. For example, major rivers are usually managed by the regional councils, whereas local streams are usually managed by the territorial authority. Controllers should have an understanding of the arrangements in place for their areas.

Roles of other CDEM stakeholders

Relationship between CDEM and Lifeline Utilities

Refer to ss59-60 of the CDEM Act 2002.

The Controller works with, and is advised by, the Lifeline Coordinator during an emergency.

Lifeline utilities are the providers of infrastructure to the community, such as water, wastewater, transport, energy and telecommunications. These organisations play an essential part in CDEM activity and must continue to operate and respond to customers throughout an emergency.

A full list of lifeline utilities is provided in *Schedule One* of the CDEM Act, where organisations are either named specifically or described in terms of the operation or service they provide.

60 Duties of lifeline utilities

Every lifeline utility must—

- (a) 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.

Lifeline Utilities and Civil Defence Emergency Management [DGL 16/14] sets out the Director’s expectations of these organisations and contains information about how individual lifeline utility organisations can interact with the civil defence emergency management sector in CDEM planning. Operational requirements for lifeline utility coordination are detailed in section 10.4 of *The Guide to the National Plan*.

Role of emergency services

Refer to s63 of the CDEM Act 2002.

The emergency services, under section 4 of the CDEM Act, include the New Zealand Police, New Zealand Fire Service, National Rural Fire Authority, rural fire authorities, and hospital and health services. While these services will be essential for managing the response, they are also required under the CDEM Act to be involved with CDEM planning and coordination (through membership of the CEG).

The CDEM Act 2002 and the Controller

Legal basis for statutory authority

The legal basis for the appointment by the CDEM Group of a Controller at Group or local level is set out in various provisions of the CDEM Act (ss26-28).

The CDEM Group is responsible for determining the appropriate control and operational response arrangements for the local authorities within its area.

The Controller: relevant sections of the CDEM Act 2002

Each CDEM Group must appoint a Group Controller, and alternates. The appointment of Local Controllers, delegation of CDEM Group functions and arrangements for local control of emergencies are at the discretion of the CDEM Group.

The table below shows the sections of the CDEM Act that relate to each of the Controller roles.

Group Controller

'A Civil Defence Emergency Management Group must appoint, either by name or by reference to the holder of an office, a suitably qualified and experienced person to be the Group Controller for its area.' [s26(1)]

'The Group Controller must, during a state of local emergency for the area for which the Group Controller is appointed, direct and coordinate, for the purposes of this Act, the use of the personnel, material, information, services, and other resources made available by departments, Civil Defence Emergency Management Groups, and other persons.' [s28(1)]

'A Group must appoint, either by name or by reference to the holder of an office, at least 1 suitably qualified and experienced person to be the person or persons who are to perform the functions and duties and exercise the powers of the Group Controller on the occurrence of a vacancy in the office of group controller or the absence from duty of the Group Controller for any reason, for the duration of the vacancy or the absence.' [s26(2)]

Local Controller

'A Civil Defence Emergency Management Group may appoint 1 or more persons to be a Local Controller, and direct that person or persons to carry out any of the functions and duties of, or delegated to, that Group's Group Controller and to exercise the powers of Controllers in the area for which the Group Controller is appointed, including, but not limited to, the powers in sections 86 to 94.' [s27(1)]

Controllers need to be aware of:

- the powers available to them under the CDEM Act
- the delegations made to them by the CDEM Group, and
- the likely impacts of the functions and powers still held by the CDEM Group, or by other organisations.

They also need to consider:

- the ethical demands attached to their role: By accepting the appointment, Controllers assume responsibility for continued public safety and issues involving the safety of property. They will make decisions in consultation with members of their emergency management team and other specialists, prioritising actions and allocating resources that will affect the course of a community's social, economic and physical recovery from an emergency.
- how Group Controllers will work with appointed Local Controllers, local authority senior management, elected members, regional partner organisation executives and other Group Controllers. The CDEM Group may set the parameters for such relationships but the Controller must shape the detail.
- how Local Controllers will work with their respective Group Controller, local authority senior management, local elected members, local partner organisation executives, and neighbouring Local Controllers.

Note

A record should be held of formal notification of a Controller's appointment and details of any delegations by the CDEM Group. These should be contained in the CDEM Group Plan and recorded in the CDEM Group minutes.

Controller's powers and functions under the CDEM Act 2002

Powers and functions: definitions **Powers** refer to having the mandate to carry out a **function**; a function refers to the undertaking of that activity.

Delegations

Throughout the CDEM Act, functions, duties and powers of the CDEM Group are identified. Specific authorisation provided in s18 (1) allows the CDEM Group:

s18(1) 'to delegate any of its functions to members, the Group Controller, or other persons'.

Thus, there are no limitations to functions the CDEM Group may delegate to the Controller. The delegations should be formally specified in the CDEM Group Plan.

Section 17 of the CDEM Act lists functions of the CDEM Groups – with s17(1)(d) being the most relevant to the Controller:

s17(1)(d) Respond to and manage the adverse effects of emergencies in its area.

This function does not require a declaration of a state of local emergency, and enables the CDEM Group or member authority and partner response organisations to coordinate or manage emergencies “out of declaration”.

A Controller needs sufficient delegations and directions from their CDEM Group to be able to carry out their functions and duties in accordance with the CDEM Group Plan.

Powers of the CDEM Group and Controllers

Section 85 of the CDEM Act states the powers of the CDEM Group in a state of emergency. These powers are generally delegated to the Controller by the CDEM Group, in the CDEM Group Plan. Additional powers are available to the Controller (along with members of the Police) during a state of emergency. These are contained in the CDEM Act, sections 86 to 94.

85 Emergency powers of Civil Defence Emergency Management Groups

(1) While a state of emergency is in force in its area, a Civil Defence Emergency Management Group may—

- (a) carry out or require to be carried out all or any of the following:
 - (i) works:*
 - (ii) clearing roads and other public places:*
 - (iii) removing or disposing of, or securing or otherwise making safe, dangerous structures and materials wherever they may be:**
- (b) provide for the rescue of endangered persons and their removal to areas of safety:*
- (c) set up first aid posts, and provide for first aid to be given to casualties and for their movement to hospital, other place of treatment, or areas of safety:*
- (d) provide for the relief of distress, including emergency food, clothing, and shelter:*
- (e) provide for the conservation and supply of food, fuel, and other essential supplies:*
- (f) prohibit or regulate land, air, and water traffic within the area or district to the extent necessary to conduct civil defence emergency management:*
- (g) undertake emergency measures for the disposal of dead persons or animals if it is satisfied that the measures are urgently necessary in the interests of public health:*
- (h) disseminate information and advice to the public:*
 - (i) enter into arrangements, including employment arrangements, with any person for the purpose of carrying out civil defence emergency management as may be agreed:*
 - (j) provide equipment, accommodation, and facilities for the exercise of any of the powers conferred by this subsection.*

(2) A Civil Defence Emergency Management Group must not act inconsistently with any directions given by the Minister or the Director of CDEM.

Important note

When the CDEM Group delegates or directs Controllers or others (including Group or Local EMOs and response organisations carrying out response coordination) to perform functions or powers in sections 18 and 85, a legislative reference alone is not adequate; the tasks themselves should be identified and included in the description attached to the delegation of the function.

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Powers regarding access to information

Powers relating to obtaining information are contained in the CDEM Act, and may be available to the Controller in certain circumstances.

- **Section 76** addresses the requisition of information by a CDEM Group, or a person acting under the CDEM Group's authority, where it is necessary in order to carry out CDEM activity. Section 76 **does not require a state of emergency to be in place**: for example, in the event of a potential hazardous substance spill, where the owner of the responsible company is reluctant to disclose the nature of the substance, the Controller can require them to provide that information.
- **Section 78** addresses obtaining a warrant for the entry of premises by the police to obtain information, if the information is urgently required in order to prevent or limit the extent of the emergency, and the person in possession of the information has refused to provide it. This section applies if a state of emergency exists, or the Controller or another person authorised by the CDEM Group considers that an imminent threat of an emergency exists. For example, if the Controller needs information located in an office and needs to force entry, they need a warrant to obtain that information. The CDEM Group applies for the warrant, and the NZ Police execute it.

The CDEM Act includes a number of further provisions for the exercise of the powers under sections 76 to 83 including a **right of appeal** against a request for information made under section 76.

It is an offence under section 96 of the CDEM Act to **refuse to supply information** requested under section 76. If such a request is refused, Controllers should contact their legal advisors to consider subsequent action.

Note

Given the significance and extent of these powers, CDEM Groups may wish to establish and include protocols for exercising the power in the CDEM Group Plan.

Liability

Section 110 provides **protection from liability** for Controllers and others in a state of emergency. Any person performing their functions, duties, or powers under the CDEM Act (such as the Controller, local authority staff, contractors, and volunteers) is protected from liability for loss or damage caused by their actions or omissions due to a state of emergency. In general, when the specific emergency powers under sections 86 to 94 are used, the persons exercising them (and the organisations employing them or otherwise obtaining their services) can usually expect to be protected from liability.

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Important notes

- People taking part in a response who have neither direct nor delegated functions, duties or powers under the CDEM Act **do not** have protection from liability for loss or damage under section 110.
- Despite section 110, no person is exempted from liability for an act or omission that constitutes bad faith or gross negligence.

Compensation

Limited compensation is available for loss or damage caused by CDEM activity related to a state of emergency. The following forms of compensation may be available from a CDEM Group or the Crown under the CDEM Act:

Table 1: Types of Compensation

Section 107

Compensation for the use of and/or damage to property requisitioned under the CDEM Act.

Section 108

Compensation for loss or damage to personal property of CDEM Groups and other persons directed to carry out CDEM activities.

Section 109

Compensation for loss or damage caused by an action taken under instruction by a person authorised to exercise a power under sections 86 to 94, or loss or damage caused in the performance in good faith of functions, duties or the exercise of powers in connection with an emergency. Compensation under section 109 is generally only available if there is a disproportionate difference between the loss caused and the benefit gained or likely to be gained for the person affected by the actions taken.

Generally, compensation can only be sought for the amount of loss remaining after insurance or other payments.

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Powers in a State of Emergency

Upon the declaration of a state of national or local emergency, the Controller (along with members of the police) has the authority to exercise the emergency powers contained in sections 86 to 94 of the CDEM Act including:

- evacuating premises and places
- entering premises
- closing roads and public places
- removing aircraft, vessels, vehicles etc., and
- requisitioning property, equipment, materials, or supplies.

A Controller can authorise other persons to use their powers, and it is important that the Controller records in writing any delegation of their powers at the time. This record should state the section of the CDEM Act that contains the power, and how the power is to be used.

Given the high degree of co-operation that is generally displayed by the public during an emergency, along with the presence of the police and other emergency services, the emergency powers in sections 86 to 94 have been used infrequently in past events.

Members of the emergency services, which includes the New Zealand Police, New Zealand Fire Service and District Health Boards, also have a range of powers under other legislation that they may use in an emergency. For example, under the Fire Service Act 1975 the officer in charge of an incident may remove any person who is in danger or interferes with operations to deal with a fire or other emergency.

A Controller should bear in mind the powers available to the emergency services, and also that the powers available to Controllers under the CDEM Act should be used subject to the designated roles and responsibilities under CDEM Plans. For example, under the *National CDEM Plan* the NZ Police have primary responsibility for maintaining law and order, and the NZ Fire Service has primary responsibility for coordination of urban search and rescue in New Zealand.

Sections 95 to 103 provide for offences and penalties for people who do not comply with the requirements of the powers listed in *Table 2: Powers in a state of emergency*, or who obstruct a person exercising any function, power or duty under the CDEM Act.

The level of penalties for offences under the CDEM Act means that police officers may arrest individuals committing those offences under section 315 of the Crimes Act 1961.

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Powers in a State of Emergency

The powers and examples of their possible use are in the table below (*Table 2: Powers in a state of emergency*). Note that these are **theoretical examples only**.

Table 2: Powers in a state of emergency

Section 86: Evacuation of premises and places

This section provides a power for mandatory evacuation if necessary for the preservation of human life. In practice, during a state of emergency, the Controller orders evacuation and the emergency services will carry it out.

Section 87: Entry on premises

A Controller, member of the police, or authorised person may enter any premises or place if necessary for saving life, preventing injury, rescuing/removing persons, or carrying out any urgent measure for relief of suffering. For example, if the Controller wishes to put evacuees into a place of safety because of a storm, and a hall is locked, the Controller (or someone delegated by the Controller) could break into the premises.

Section 88: Closing roads and public places

A Controller may totally or partially close roads and public places in order to prevent or limit the extent of an emergency (e.g. closing a beach if a tsunami is approaching).

This section is an 'enabling tool'. State Highways are generally closed by Transit NZ. Other agencies also have the power to close roads (e.g. NZ Police, NZ Fire Service). Because a Controller can partially close a road as well as totally close it, they can specify that the road is only open to high clearance four wheel drive vehicles, for example.

Section 89: Removal of aircraft, vessels, vehicles, etc.

A Controller may remove from any place any vessel or vehicle, and may break into the vessel or vehicle to do so, in order to prevent or limit the extent of the emergency. For example, if the Controller wants to use a landing stage or an airstrip, and a ship or aircraft is blocking the way, the Controller can have the ship (by asking the Harbour Master) or aircraft removed.

Section 91 can be used in conjunction with this power, by requesting someone to move a vessel or vehicle.

continued on next page

Section 90: Requisitioning powers

(See Annex C of this guideline for an example template of a written requisition statement.)

A Controller may direct that resources (not human) be placed under their or another person's control or direction. For example, if building equipment (such as a digger for earthmoving) is required in the response and there is no formal contract with that company, the Controller can requisition the equipment, but not the driver. The Controller must provide the owner with a written statement detailing the property and under whose control it is being taken. It is important to note that requisition is not free use of resources, and that the owners of any equipment can apply for compensation (see section 107 of the CDEM Act).

Section 91: Power to give directions

The Controller can direct a person to stop an activity causing or contributing to an emergency (e.g. a radio station that is scaremongering). However, if the Controller wishes a person to do something (as opposed to stop doing something), they can request them to do so, but cannot force them to (e.g. requesting the driver of a requisitioned digger to assist the response team by driving the digger).

Section 92: Power to carry out inspections, etc.

The Controller or another authorised person has various powers relating to property. For example, the Controller could direct the destruction of a house in order to divert floodwaters. In a public health emergency, where property needs to be destroyed or disinfected, for example, the Public Health Officer also has those powers, under the Health Act 1956.

Section 93: Person exercising emergency powers to provide proof of identity

Anyone exercising any powers authorised by the CDEM Act must provide proof of identification.

Section 94: Contracts in urgent cases

Outside emergencies, entering into contracts for local authorities goes through the appropriate channels and approvals. However, in a declared emergency, contracts can be created immediately, and reported back to the CDEM Group (e.g. hiring a media agency to provide public information beyond the abilities of the local authority).

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Levels of response

Levels of response in the National Plan

In the *National CDEM Plan* (Part 7, section 53) the levels of response are given (see below). They are also detailed and expanded in section 13.3 of *The Guide to the National CDEM Plan*.

53 Nationwide levels of civil defence emergency management operation

(1) The following are the five indicative levels of civil defence emergency management operation and the co-ordination or support (or both) required for each:

- (a) **level 1:** single-agency incidents with on-site coordination:
- (b) **level 2:** multi-agency incidents with on-site, local coordination; these are managed by the incident controller of the relevant lead agency:
- (c) **level 3:** a multi-agency emergency led by an agency other than a CDEM Group, or a state of local emergency at below CDEM Group-level (district or ward); at this level, CDEM Group support and co-ordination will be required and may be monitored by the National Controller:
- (d) **level 4:** a multi-agency emergency with more significant consequences than in level 3; co-ordination may be required between agencies or areas or both; CDEM Group-level support and co-ordination is required; the actual or potential need for a declaration of a state of local emergency by a CDEM Group requires consideration; national monitoring will occur and national support is available:
- (e) **level 5:** a state of national emergency exists or the civil defence emergency is of national significance; at this level, co-ordination by the National Controller will be required.

As Controller, it is important to recognise that these levels of response:

- do not equate to, but are relevant to, the status of EOC activation (see page 58), and
- differ across CDEM Groups in New Zealand (see Annex 13.A. of *The Guide to the National CDEM Plan* for a table showing the relationships between levels of CDEM operation as specified in the CDEM Groups' plans and the *National CDEM Plan*), and
- differ across agencies.

Note

It is important that a Controller understands the applicability of these levels to those detailed in their CDEM Group Plan and local arrangements.

Declaration

Reference publication Refer to *Declarations, Director's Guidelines for CDEM sector [DGL 13/12]* for all information specific to declaring, extending and terminating a state of emergency.

Important

Until a state of local emergency is declared, the Controller cannot exercise certain powers authorised under some provisions of the Act (for example, the powers under sections 86 to 94).

CDEM objectives The principal objectives of CDEM are:

- to prevent or minimise injury or loss of life
- to ensure the safety of the public and property, and
- to provide for the welfare of people affected by an emergency, so emergency response measures may be implemented promptly.

Section 68(1) of the CDEM Act provides for a declaration to be made in anticipation, if at any time it appears that an emergency has occurred or may occur.

How a declaration should be made

Refer to s115 of the CDEM Act 2002.

The person who declares a state of emergency, or extends or terminates a state of emergency must do so by a declaration in the form prescribed under section 115 of the CDEM Act. If possible, there should be formal consultation between:

- the Controller
- senior officers of the emergency services, and
- the person making the declaration.

That consultation should canvass the benefits and implications of the declaration in the context of the emergency.

Note

Keep minutes of the meeting.

continued on next page

Who makes a declaration?

The CDEM Act is specific as to who may declare a state of emergency. It is limited to elected officials. **Controllers do not have the power to make a declaration.**

Note

A state of local emergency may exist “in respect of the whole area of the [CDEM] Group concerned, or 1 or more districts or wards within the area” (refer to section 68(2) of the CDEM Act). Therefore, a ‘local’ emergency can be Group-wide, as well as referring to a particular territorial authority or ward within the CDEM Group.

Table 3: People who may declare a state of emergency

National

Minister of Civil Defence – s66

Local

Any of the four alternatives below:

- 1 For local declarations, provision is made for ‘a representative of any member of the Group’ to exercise the power to declare in the absence of the appointed person. In the case of a declaration being made by a territorial authority in its own right, then an elected member designated to act on behalf of the mayor may declare if the mayor is absent – s68(2) - (5)
- 2 A person appointed by the CDEM Group who is a member of that group – for its area – s25(1)2
- 3 The mayor of a territorial authority – but only for the district of that territorial authority – s25 (5)
- 4 The Minister of Civil Defence – s69

When should the declaration be made?

The key element that must be considered above all others is the safety of the responders and the community.

The timing of the declaration will depend on the nature of the emergency and the information available. A number of factors may influence when the declaration is made. These include the need to exercise powers in the CDEM Act (e.g. move people to safety).

Being proactive can prevent the escalation of the emergency. Delay in making the declaration could result in the CDEM organisation reacting to crisis situations, rather than being proactive and planning ahead.

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Extension of state of emergency

Every declaration of a state of local emergency, and every extension thereof, expires 7 days (7 x 24 hours) after the time and date on which it was declared unless:

- it, or any subsequent extension is declared
- an earlier date is specified in the declaration, or
- it is terminated earlier.

When it becomes necessary to extend a state of local emergency (e.g. risk to life and property still exists, the powers are still required, or a higher level of coordination is still required) it should also be in the form of a declaration.

Under section 71 of the CDEM Act:

- a person authorised to declare for the area concerned may extend a state of local emergency, and
- any state of local emergency may be extended before its expiry date.

Terminating a state of local emergency

Under the provisions of section 72 of the CDEM Act, **any person who is authorised to declare a local emergency** may, by declaration, terminate that local emergency whether or not that person made the original declaration.

There should be wide consultation before recommending that the state of local emergency is terminated; factors outside the immediate area may need to be considered.

The Controller should recall the reasons for declaring the state of emergency in the first place, (i.e. public safety, relief of distress, etc.) when making a recommendation to the person authorised to terminate the declaration. For example, there could be reconsideration of the check sheet used when deciding whether to declare, to see whether the circumstances have changed.

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The list below can aid the decision-making process around declarations. Please refer to Annex 2 of *Declarations, Director's Guidelines for CDEM sector [DGL 13/12]* for an A4 version.

Declaring an Emergency				
Considerations for declaring			Yes	No
Is the situation within the definition of an emergency as stated in the CDEM Act 2002?	Result of happening defined under 'emergency' in CDEM Act 2002.			
	Cause or may cause loss of life or injury or illness or distress or in anyway endangers the safety of the public and property.			
	Cannot be dealt with by emergency services.			
	Requires a significant and coordinated response.			
Is there a need to evacuate?	How many ()			
	How long ()			
Are lifeline utilities having or likely to have difficulties functioning?	Energy			
	Transport			
	Gas			
	Water			
	Telecommunications			
Are the Social Utilities having or likely to have difficulties in functioning?*	Food Retailers			
	Medical Services			
	Schools			
	Refuse Disposal			
Are the powers provided by the CDEM Act 2002 required (s85 – s94)?				
Have the emergency services been consulted?	Police			
	Fire			
	Health/Amb			
Have Local Authority Unit Managers been consulted?				
Has the MCDEM EM Advisor been consulted?				
Will a declaration add value to the response?				
Commencement		Extension		
Declaration for:	Ward	Local Authority	Group	
Signed by:	Date:	Time:		
Controller:		CDEMO:		
**Especially Pandemic emergencies				

Chapter 2: Preparing to operate as a Controller

Purpose of this chapter

This chapter describes the role and purpose of the Controller across the 4Rs, and then focuses on the first two of the 4Rs (reduction and readiness) with a particular emphasis on readiness.

This chapter suggests ways in which Controllers should engage in (or even lead) readiness activities in order to be effective in their response roles.

Contents

This chapter contains the following topics.

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Readiness: understanding and using the Group Plan.....	35
Readiness: the role of an Emergency Operations Centre	36
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The purpose and roles of the Controller

Purpose of the Controller

The overall purpose of the position is to:

- gain awareness of the hazardscape and risk mitigation measures of their geographical areas of responsibility
- prepare themselves and their organisations, and establish important networks
- manage and lead coordination during response, and
- monitor and support the recovery effort.

CDEM responsibility

CDEM responsibility rests with the CDEM Group during an emergency. The priorities that the Controller sets determine the order in which response tasks are performed. The two main responsibilities of the Controller are:

1. Participation in the planning and implementation of activities that will prepare the community to respond effectively to any emergency.
2. Leading, directing and coordinating all resources necessary to respond effectively to the impact of an emergency.

Even during a state of **national** emergency, Controllers continue to manage local emergency response efforts – doing so within the parameters set by the government through the National Controller.

Primary roles of the Controller during the response

The primary roles of the Controller during a response are to:

- assess impacts
- prioritise response measures
- monitor and direct agencies in their roles, and
- coordinate and allocate resources where required.

At the Local Controller level, the focus is to respond to, and coordinate, the activities of the various agencies/organisations during the response. The Local Controller must also ensure the Recovery Manager is engaged early in the response in order for a smooth transition from response to recovery.

At the Group Controller level, the focus is on coordination of information, assessment of impacts, regional resources and government agency support. See the chapter in this guideline entitled “*Directing the response*” for information on the Controller’s role in the response.

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The role of the Controller in reduction

Refer to s17(a) of the CDEM Act 2002.

The CDEM Act provides for effective emergency response and recovery. The Act places significant emphasis on reducing the primary causes of emergencies through the application of:

- risk management, and
- sustainable hazard management practices.

Risk identification promotes a better understanding of hazards and their associated risks, and the likely strategies that can be implemented to eliminate, isolate or minimise the risks, through reduction (e.g. flood plain management).

Reduction measures instigated by CDEM Groups and other agencies will benefit communities and should reduce risk or consequence. It is important for the Controller to be well-informed of these measures.

The Controller should be aware of reduction and how they can influence reduction measures being taken.

The role of Controller in readiness

Introduction

Readiness covers the planning and preparation required to equip agencies and communities to respond and recover in the event of an emergency.

The Controller's role in readiness

The CDEM environment is one of partnerships between the CDEM Group and its members, government agencies, the voluntary sector, the business sector and the community. The Controller should maintain an in-depth understanding and knowledge of the CDEM Group Plans and local arrangements, and participate in the development and implementation of activities aimed at achieving the desired response.

The scope of readiness includes:

- CDEM Group Plans and local arrangements
- National Planning
- the Emergency Operations Centre
- functional relationships
- training and professional development
- exercises
- financial provisions, and
- public information and education

The Controller is not responsible for all of these tasks. However, their role is to actively participate in helping to sustain these elements to ensure that required CDEM response measures can be applied or undertaken efficiently and effectively.

Political leaders and stakeholders

Relationships with political leaders and key stakeholders must be forged before the response, as the Controller will rely on cooperation and pre-agreement from political leaders.

See the chapters in this guideline entitled "*Political interface*" and "*Relationships with stakeholders*" for information on expectations and roles.

Developing health and safety capability

Managing the EOC team's readiness and well-being is essential and involves ensuring that they are both capable and able to function in a response. This needs to occur in the readiness phase to be effective and comprehensive.

Monitoring and reviewing operational readiness

It is not enough to establish readiness on an annual basis; the Controller should monitor operational readiness frequently, or put processes in place for doing so, and remedy any shortcomings that arise by working with and through their Emergency Management Officer where possible.

Readiness: understanding and using the Group Plan

CDEM Group planning It is essential for Group and Local Controllers to be very familiar with their CDEM Group Plan and local arrangements. It is preferable for the Controller to be involved in the formulation of the plan, so that they are well-versed in its contents.

Legislative basis for the CDEM Group Plan

Refer to s49(2) of the CDEM Act 2002.

The CDEM Group Plan is a statutory requirement and must:

- state the hazards and risks identified by the Group
- address the actions necessary to manage them, and
- be reviewed every five years.

Without a plan, emergency operations would be chaotic regardless of the resources available within the community. Without clear pre-emergency agreement on their provision and utilisation, the value of those resources would be neither realised nor maximised.

Guidance for producing CDEM Group Plans

The planning process, principles, sequence and statutory requirements are all covered in *CDEM Group Plan Review [DGL 09/09]* produced to guide CDEM Groups when preparing their plans.

CDEM Group readiness actions

Section 18(2) of the Act contains a list of actions that the Group may take in readiness, and that the Controller is likely to be a part of.

Readiness: the role of an Emergency Operations Centre

Introduction

The purpose of an Emergency Operations Centre (EOC) is to provide a central location from which key response organisations can provide inter-agency coordination and decision making. Early activation and adequate resourcing of EOCs is key to achieving a coordinated response.

For the purposes of this guideline, “EOC” refers to both Local and Group EOCs and ECCs.

The Controller’s role in preparing the EOC

Refer to s28(1) of the CDEM Act 2002.

The EOC enables Controllers to provide leadership and coordination to all response organisations. The collective and managed presence in the EOC of senior staff from the relevant response organisations is a major contributor to achieving a “significant coordinated response” at the respective levels of response.

Group and Local Controllers are responsible for directing and coordinating available resources during emergencies, at the respective Group or Local level.

The EOC

Civil defence emergency management organisations need to establish structures, systems and processes appropriate to the nature of their communities and their risks.

The physical size, staffing and equipment of the EOC will be determined by the anticipated impacts on the community, based on hazard and risk studies, an understanding of vulnerability in the community and local requirements.

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Functions of the EOC The EOC is expected to provide the following key functions:

Table 4: Key functions of the EOC

Coordination

Having the systems and processes in place to ensure that all organisations responding to the emergency are working together and understand one another’s mission and responsibilities.

Policy setting

Making broad policy decisions that guide the overall community response, yet leave specific operational detail to the appropriate agencies. Such decisions reflect political and executive influences.

Information management

The collection, evaluation, collation, analysis and dissemination of information, both internally and externally. This includes assessment of event impacts and drafting of Action Plans.

Resource management

Accessing, planning for, and arranging the provision of materials, services and people to meet operational requirements.

Communication

Provision of the systems and facilities to guarantee the means to receive and dispatch information, record key discussions and to facilitate direction and control.

Public information

Centralising the public information function in the EOC and delegating responsibility to a designated Public Information Manager, ensuring that outward messages are consistent. It also involves the hosting of visitors (usually VIPs).

Common operating picture

Establishing a common operating picture, continuous monitoring of the threat, and assigning, reviewing or reassigning resources to ensure optimum effectiveness within the policy guidelines or to agreed, prearranged procedures.

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The EOC team

The Controller needs to bring together an EOC team that will provide the required levels of operational and administrative support to respond to emergencies.

This can include:

- EOC Manager
- Operations team
- Planning/Intelligence team
- Logistics team
- Public information team
- Welfare team/Welfare Advisory Group
- Recovery Management team
- Documentation team
- Communications team
- Administration team
- Lifelines Coordinator, and
- Advisors/Liaison Officers.

If the EOC in question is at CDEM Group level, the Group Controller must also establish a positive working relationship with the Local Controllers of the constituent local authorities. In a declared state of local emergency, the Local Controllers operate under the Group Controller.

Key external stakeholders and partners

The Controller may work with a committee of key external stakeholders and partners (political representatives, senior managers, or commanders of key response agencies).

Recovery

The Recovery Manager and their team manage recovery issues and need to be involved as early as possible in the decision-making process for the response. Early involvement ensures that systems and processes can be established before the response organisation stands down, making the transition to recovery smoother. The Recovery Manager and their team are not usually co-located in the EOC; depending on local arrangements, they typically have a separate office due to the longer term nature of their work .

Public information

The Public Information Manager (PIM) is directly responsible to the Controller for issuing accurate and regular communication with the public.

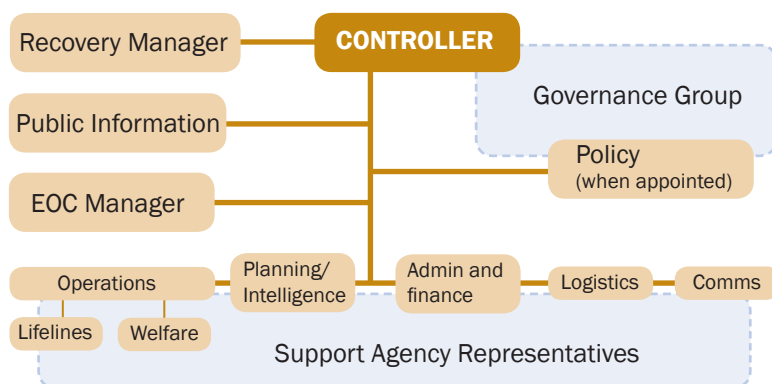
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EOC structure

See Annex D in this guideline for the CIMS principles.

The example below (*Figure 1: EOC structure*) shows an EOC structure that is an adaptation of the Coordinated Incident Management System (CIMS) model. It includes the core functions of control, planning/intelligence, operations and logistics. Extra functions may be added depending on the scale and complexity of the emergency. The adoption of the CIMS model reinforces the important interface between the response coordination activities occurring at each level of response – Incident, Local, Group/Regional, and National.

Figure 1: EOC structure



EOC Management

Management of the EOC during an emergency is handled by the appointed EOC manager, or (if not appointed) the Operations Manager. The Controller will take responsibility for directing response measures, relying on the EOC function managers for advice on decisions and for implementation of agreed actions.

Standard operating procedures (SOPs)

Sound “standard operating procedures (SOPs)” need to be developed in the readiness phase as part of the CDEM Group work programme (which the Controller should be involved in) and should ensure clear definitions of delegations and responsibilities in the EOC. They should ensure that all staff are:

- able to make routine decisions within the scope of their responsibilities, and
- aware of the big picture, as well as the routine detail, so they can respond flexibly depending on the nature of the emergency.

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Departmental and Agency EOCs

It is possible that the emergency services and other departments will activate their own EOCs or coordination centres, related to their own internal emergency management.

If such centres are established, they must have established and effective communication links to the CDEM Group or Local EOC. Communication can also be achieved by employing suitably qualified agency personnel as support agency representatives, who can provide accurate and timely advice to the CDEM staff in the EOC.

These links should be established in the readiness phase.

Personal and team readiness

Introduction

The Controller has direct and ultimate responsibility for how well their team responds to an emergency, and needs to be proactive in planning activities across all 4Rs.

The “before” shot

To be able to adequately respond to impacts of an emergency, it is imperative that the Controller has an understanding of how things were psychologically and socially before the emergency occurred. In other words, what are the normal operating conditions in a team, community or region?

Impacts on the Controller

A key to performing effectively in any role in an emergency is to be able to identify personal strengths and weaknesses and likely responses to particular situations, stressful or otherwise.

Controllers must be aware of and familiar with:

- the role they have agreed to perform and the responsibilities that come with the role
- steps they can take to appropriately deal with a range of situations
- coping mechanisms that work for them, and
- support systems that are available to help them.

Family and household arrangements

All staff with an operational role in CDEM should have a personal readiness plan that addresses family and household requirements and a travel kit of personal effects. They should also consider transport into the EOC if they are asked to report for duty.

Note: See Annex D of this guideline for a *Personal Preparedness Checklist*.

The messages in the “Get Ready, Get Thru” public education campaign apply to all CDEM staff, including Controllers, in establishing and maintaining personal readiness.

Refer to www.getthru.govt.nz or the local council for detailed information on how to get ready and stay prepared for an emergency.

Staffing

A sufficient and capable workforce to staff the EOC is essential. Staff members must be adequately equipped with the skills and knowledge they need, to participate in the response to an emergency. Participating in CDEM exercises is a useful way of practising skills in readiness for response.

Ideally, multiple people will be able to perform any EOC function to the desired standard and will be able to step into that role or function at any time.

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Sufficient personnel are needed to cover the expected timeframe of the emergency, including all hours of the day (24/7). This is critical for CDEM responses over an extended timeframe. Recruitment and professional development activities should take this approach into account.

Team unity

By participating in professional development and readiness activities Controllers and CDEM staff will be familiar with each other. This can help to create a sense of team unity and develop a positive team culture that will assist in implementing an effective response.

The EOC

The EOC must be ready to activate at any given time. Familiarity with the EOC is essential for Controllers and EOC staff; everyone should be comfortable that they know where things are, how the equipment and standard operating procedures (SOPs) work and what the facility is capable of. They should also know the location, capability and capacity of an alternative EOC if the primary one is not accessible in a CDEM emergency.

Controllers must be consulted by the Emergency Management Officer on such things as decision making pertaining to EOC location or equipment purchase.

How do we know when we are ready?

There are a number of ways to test readiness prior to an emergency. Controllers should consider:

- discussions in team meetings
- establishing readiness indicators and conducting checks against these indicators
- asking questions of team members to gauge readiness
- observing people in training and briefings
- tests and exercises
- spot-checks of equipment, processes and procedures, and
- exercising aspects of a response.

Monitoring personal and team readiness

Inadequate personal and team readiness for emergencies is an area which is often highlighted as a contributing factor to a poorly managed response. Personal and team readiness can be monitored by:

- clarifying the responsibilities of the EOC function managers to look for anything that is seemingly wrong
- identifying steps to maintain the benchmark
- knowing when to step into a situation to resolve it, and
- having clear check and balance systems in place to identify triggers and indicators of a deviation.

Professional development

Overview

Effective training and education as part of professional development will ensure that the organisation has people with the required skills, knowledge and attributes. This should occur in the readiness phase.

Professional development is a CDEM Group and local authority responsibility and a sub-committee of the CDEM Group should be established to identify and manage professional development requirements at all levels of the CDEM organisation and across all participating agencies. Where this is the case the Controller and any Alternate Controllers should be members.

Individual Training

Generally, individual training requirements occur in the following three phases:

Induction training: is conducted for volunteers or appointed agency representatives as soon as possible after joining the organisation. It includes an overview of the organisation and an appreciation of what is expected of the individual.

Skills training: is a natural progression from induction training and aims to provide individuals with sufficient knowledge and skill to enable them to perform effectively.

Development training: is a further progression from skills training and provides individuals with a means of personal development. It looks toward developing future team leaders, instructors and supervisors within the organisation.

Collective Training

Collective training combines the skills learnt during individual training. It develops operational capability within individual sections/teams of the organisation and establishes cooperative operational effectiveness within the entire organisation. Such training could be by section or by Group:

- Section training: specialist training for each section of the CDEM organisation to teach, train, practice and promote individual skills.
- Group training: the CDEM organisation as a whole, working together to validate operational systems and processes.

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Exercises

Exercises are designed to provide a realistic and authentic simulation of an emergency situation, and are an essential part of development for any CDEM organisation. Exercises put into practice the skills and knowledge obtained during formal training and provide a degree of realism not normally possible during individual training.

Reasons for conducting exercises are to:

- test systems
- strengthen planning
- test resource availability
- improve coordination
- clarify roles and responsibilities
- improve individual performance
- validate training programmes, and
- audit the effectiveness of the organisation.

The Controller should require the inclusion of functional, CDEM Group and combined exercises in annual training programmes as they provide the only effective means (short of a real emergency) of testing the operational effectiveness of the organisation.

Professional development and practice

The overall responsibility to ensure training is conducted sits with the CDEM Group. The Controller should actively participate in professional development activities such as exercises and briefings to increase and maintain capability to respond.

The Controller should also be involved in the professional development of staff by identifying training gaps from previous responses and working with the CDEM Group and EMOs to develop suitable training activities to address these gaps.

Professional development for Controllers and CDEM staff may include:

- prescribed content courses, such as those run at the national, regional or local levels
- multi-agency collaboration, such as joint planning for readiness, response or recovery capability, cluster meetings, and national, regional or locally-based projects
- CDEM theme-based exchanges, such as workshops, seminars, or conferences
- aligned or related content delivered by specialist providers, such as polytechnics, universities, or private training establishments
- remote delivery and assessment, such as electronic access and self-paced courses
- learning and assessment on the job, such as supervision, mentoring, and employer-sponsored visits or study

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- performance evaluations focused on assessing and improving development programmes, such as debriefings, assessments, and audits
- research, leading to the determination and publication of improved practice based on local, regional, national and international evidence
- CDEM Group or local authority training initiatives
- exercises
- initiatives led by the Ministry of Civil Defence & Emergency Management (refer to www.civildefence.govt.nz for details of current initiatives)
- observation of other Controllers performing in the role
- experience gained through real events
- MCDEM's Information Series' and Director's Guidelines reference materials
- familiarity with the CDEM Act and CDEM Group Plan and local arrangements, and
- regular meetings with EMOs.

Training Programmes

Controllers should work with their EMO, EOC function/team managers and relevant staff from emergency services and other partner response organisations, to ensure that opportunities to coordinate training and exercise programmes are identified and pursued wherever possible.

Benefits of joint-agency training include:

- the ability to coordinate diverse resources
- enhanced understanding of organisational skills
- relationship building, and
- developing and maintaining interoperability.

Ministry support

The Ministry of Civil Defence & Emergency Management (MCDEM) offers the Controller a positive programme of assistance (e.g. Controller's development programme). An annual programme of courses is designed to meet specialist CDEM training needs.

The Controller should:

- ensure that the Controller and alternates attend a Controller's development programme.
- nominate suitable key people for other courses through their MCDEM Regional Emergency Management Advisor, and
- seek support from MCDEM for initiatives detailed in their CDEM Group training plan.

Chapter 3: Relationships with stakeholders

Purpose of this chapter

The establishment and maintenance of sound relationships are fundamental to an effective emergency response. This chapter offers guidance around relationship management, and holding effective briefings.

Contents

This chapter contains the following topics.

Creating relationships with stakeholders	48
Stakeholder briefings	50

Creating relationships with stakeholders

How to identify stakeholders

Stakeholders include those identified in the CDEM Group Plan, and any other people that the Controller deems necessary. The Emergency Management Officers and MCDEM's Regional Emergency Management Advisors will be able to provide support and advice to the Controller in identifying these other stakeholders.

Building and maintaining relationships

The Controller needs to build and maintain strong relationships with key agency management, and needs to be satisfied that the relationships are also being maintained by all stakeholders. It is also important to attend regular regional/CDEM Group forums and workshops for Controllers to network and extend learning.

Communication in the readiness phase

It is important to establish expectations with stakeholders in the readiness phase through meetings and discussions informed by the CDEM Group Plan. These expectations should be documented in the CDEM Group Plan.

Informal channels such as verbal agreements, phone calls, and informal meetings are more frequently used for communicating with stakeholders in the readiness phase.

Communication in the response phase

During the response phase, there are reduced opportunities for one-to-one communication with stakeholders, and increased dependency on teleconferences, briefings, emails, and situation reports, for example.

Due to time constraints, pressures, and communication difficulties, communications are modified to be more succinct (to-the-point). This is possible because of the prior understanding and expectations established in the readiness phase. If sound relationships and understandings are in place beforehand, this is less likely to cause any offence or misunderstanding.

One of the key resources of the Controller during the response will be their MCDEM Regional Emergency Management Advisor (REMA). Building a good relationship prior to the response with the assigned REMA is therefore critical.

After the response, it is important to re-establish these relationships with stakeholders, and give them the opportunity to communicate their feedback on the response through debriefing.

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Communication with the National Controller

Group and/or Local Controllers and their EOCs will be in regular contact with the National Controller and NCMC during a response. This may be in the form of situation reports, status reports, Action Plans, resource requests, and other documents to and from the NCMC, teleconferences, personal calls, as well as through the MCDEM Regional Emergency Management Advisors.

Stakeholder briefings

Briefings

Briefings:

- advise stakeholders (e.g. staff on incoming shift, visitors or media) of the current situation
- convey the scope and content of the Action Plan to staff and others
- inform staff of decisions or tasks to be undertaken, and
- amplify the content of formal orders, either before or after their delivery.

Briefings include meetings, teleconferences etc. but they can also be written (e.g. a sitrep can be used as a briefing, and the Action Plan may be used as a briefing for incoming staff).

Any member of the EOC staff might be asked for a brief summary of how their function is handling the situation and the state of staff morale.

When briefings occur

Briefings usually occur:

- when there has been a significant event or happening
- when there is an incoming shift
- when there is a significant change in status, or
- at pre-determined times (e.g. dictated by the Action Plan).

Informal briefings

Informal briefings are usually for operational staff. They will be:

- short, sharp and specific
- usually presented at short notice with limited preparation (but need to have been thought through)
- about timing and who does what, and
- given in front of a map or relevant resources board, where possible.

What to include in an informal briefing

A suggested outline for an informal briefing is:

- a quick summary of how the group/function is coping
- three to five main points relating to information or issues of importance (illustrate on map or board if available), and
- perceived priorities for action.

continued on the next page

Formal briefings

Formal briefings are more for external stakeholders and are:

- substantive
- structured, and
- well-prepared.

What to include in a formal briefing

Formal briefings are often in the form of conferences or teleconferences. Controller's conferences/teleconferences should open with an outline of key events, given by a member of the planning/intelligence staff using maps, charts, or video footage, for example. The format may vary but should cover:

- the background (orientation map/chart to key locations), nature, scope of the emergency
- a summary of events (action taken to date)
- the current situation (problem, issues)
- projected tasks (what is going to be done)
- recovery (what is required), and
- any observations (how long it will last).

Chapter 4: Directing and coordinating the response

Purpose of this chapter

This chapter describes the role of Controller during the response to an emergency and outlines a suggested process for responding, along with a range of tools and examples. A Group Controller coordinates response activities across a CDEM Group, while a Local Controller manages the response locally. In both these cases, the Controller's role during the response is to "direct the doing", rather than to "do".

Contents

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Overview

Introduction Planning for response endeavours to manage residual risk and is carried out in the **readiness** phase commencing with the CDEM Group Plan. Planning also involves local and hazard-specific planning. The Controller's ability to direct and coordinate the response will be greatly influenced by the measures already taken in the risk reduction and readiness phases.

The CDEM Group Plan The CDEM Group Plan and local arrangements should clarify the **mandates, processes** and **resources** for operational arrangements. They will not include all the detailed information but will refer to external and subordinate documents.

Additional specific plans Additional plans will be developed to meet specific eventualities. Examples are:

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

Standard Operating Procedures (SOPs) Effective (and tested) procedures in the form of SOPs are an important element in developing the capabilities of a CDEM organisation. Their purpose is to detail standard procedures for response activities. They may include job descriptions, aides-memoires, operational and administrative reports, resource lists and Action Plans – in essence, those matters that will enable a designated CDEM organisation to coordinate emergency response and recovery functions.

The development of SOPs should be undertaken as part of the planning process and should form an integral part of the CDEM Group Plan and local arrangements. These should be reviewed annually, and should incorporate lessons identified from exercises and operational response activities.

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The operational planning cycle

The Controller must be conversant with the operational planning process and be clear on the levels of responsibility of control and how lead responsibilities are assumed. These levels of responsibility will be detailed in the CDEM Group Plan and local arrangements.

The operational planning cycle comprises four perpetual and overlapping phases (simplified from CIMS):

Phase 1: Analyse the situation: size up the emergency and determine the best way to deal with it. This is commonly referred to as “the appreciation”.

Phase 2: Develop the Action Plan: complete the Action Plan by detailing the resources and work effort necessary to deal with the emergency.

Phase 3: Implement the Action Plan: communicate the Action Plan to those who will implement it by verbal orders/internal briefings and/or written orders, then monitor and review it throughout the cycle.

Phase 4: Evaluate the response: evaluate the CDEM Group plan and EOC SOPs post-emergency to determine and implement steps to improve future operational plans.

National, Group and Local Controller

The processes of analysing information to determine a response, and directing and coordinating the establishment, delivery and disestablishment of the response in CDEM emergencies are largely the same whether the role assumed is National, Group or Local Controller.

See Annex A of this guideline to see details of the difference in focus between Group and Local Controllers in relation to levels of response.

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Access to advice and support in the response

Controllers should never feel they have to make decisions in isolation. National, regional and local relationships should be well-established with agencies and stakeholders, which may include:

- CDEM (including other CDEM Controllers)
- MCDEM Regional Emergency Management Advisors
- central, regional and local government agencies
- lifeline utilities
- scientific advisors
- advisory groups
- NZ Fire Service
- NZ Police
- Health Organisations and ambulance
- political leaders
- New Zealand Defence Force, and
- Non-Government Organisations.

See Chapter 3 in this guideline entitled “Relationships with Stakeholders” for guidance on how to establish and maintain relationships with stakeholders.

Four main stages of response process

The response process can be described as having four main stages (these are provided for ease of understanding and are by no means prescriptive). These four stages in the response the Controller will lead are:

Stage 1: Activation of the EOC

Stage 2: Initial assessment and Action Plan

Stage 3: Implementation cycle

Stage 4: Transition to recovery and evaluation

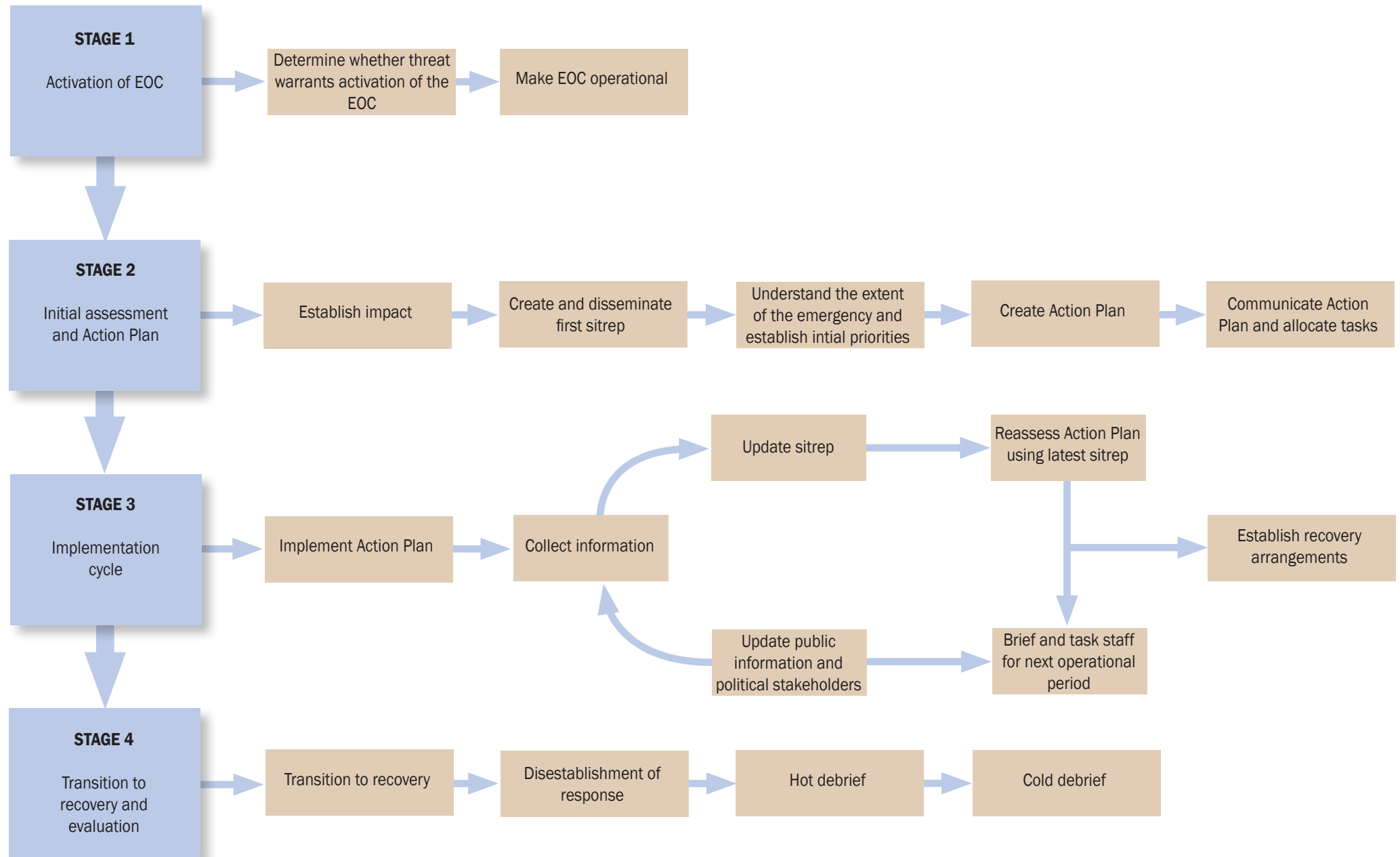
The diagram on the following page gives an overview of the stages within the response process, and their components. It could be used as an ‘aide-memoire’ for the Controller. These stages will be discussed and the Controller’s role outlined in this chapter.

Response process: An overview of the four stages and their components

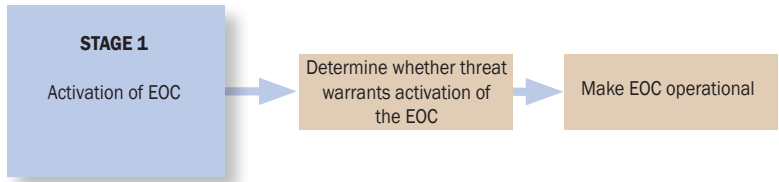
Important note

A decision-making process or cycle (e.g. the OODA loop: Observation, Orientation, Decision, Action) needs to be applied to all of the tasks in the process, and continuous monitoring and evaluation is essential.

Figure 2: The response process



Stage 1 of response process: Activation of the EOC



Activating the EOC

One of the Controller’s first tasks when advised of a likely emergency is to quickly determine whether the emergency’s nature, size or severity warrants activating the Emergency Operations Centre (EOC).

The Controller will direct and coordinate emergency operations from the EOC. Staffing levels and resources should be sufficient to permit the centre to function smoothly and efficiently, irrespective of the duration of the emergency.

Determine whether threat warrants activation of the EOC

Activation criteria

Standard operating procedures (SOPs) should identify thresholds for activation of the EOC. Different reasons for the decision to activate may apply. If the answer to any of the questions below is ‘yes’, there may be sufficient reason to activate the EOC. The extent (status) of the activation will depend on the severity and anticipated response requirement.

Table 5: Considerations for deciding EOC activation

Deciding EOC activation: Controller’s considerations checklist		
Consideration	Yes	No
People may be/are at risk		
Risk to property exceeds acceptable thresholds		
Risk to the environment exceeds acceptable thresholds		
Uncertain conditions		
Response coordination may be/is required		
Resource coordination may be/is required		
Support of another agency may be/is required		
Declaration of a state of emergency may be/is required		
Political stakeholders may/will have expectations		
The public may/will have expectations		
Contingency for expected/planned events is required		
Additional resources required		
Coordinator across/between agencies required		

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Activation status of the EOC

The table below serves as a general guide for EOC activation status. These activations refer to the status of the EOC, whereas the levels of response (page 25) refer to the emergency environment.

Note: It is expected that CDEM Group EOCs and the National Crisis Management Centre (NCMC) also activate at an appropriate status once a local EOC is activated.

Table 6: Descriptions of EOC activation status

<p>EOC Activation Status 1</p> <ul style="list-style-type: none">• EOC monitors incidents/events that may lead to an emergency or that may require support.• Controller informed.• Limited staffing.• Other CDEM stakeholders informed.*• Public may be informed (consider public information needs).^ <p><i>*Other CDEM stakeholders are the agencies that have roles and responsibilities under the response plan that applies, and include the members of the particular CDEM Group and MCDEM.</i></p> <p><i>^ Consider whether the response is likely to move to a higher status – it will be easier to work with the public and media if their awareness has been raised early.</i></p> <p>EOC Activation Status 2</p> <ul style="list-style-type: none">• EOC supports the response.• Controller involved.• Increased staffing.• Other CDEM stakeholders informed and may be involved.• Political stakeholders informed.• Public informed. <p>EOC Activation Status 3</p> <ul style="list-style-type: none">• EOC coordinates the response.• Controller coordinates.• Full staffing.• Other CDEM stakeholders informed and involved.• Political stakeholders involved.• Public informed. <p>EOC Activation Status 4</p> <ul style="list-style-type: none">• EOC directs the response.• Controller directs.• Full staffing.• Other CDEM stakeholders informed and involved.• Political stakeholders involved.• Public informed.

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Make EOC operational

Making the EOC operational

A sequence of steps to make the EOC fully operational should be followed (see *Table 7: Steps for activating the EOC*). While these steps must be overseen by the Controller, the tasks themselves must be done by others (not the Controller). There may be some variation because of the type of emergency, but the basic sequence will not change.

Standard Operating Procedures (SOPs) for making the EOC operational should be developed during the readiness phase. SOPs will detail tasks and responsibilities to be carried out by EOC staff to activate the EOC. The Controller needs to be assured that such tasks have been completed to the standard required.

The nature and extent of the emergency will dictate the functions required in the EOC and the staffing levels necessary to manage them.

Due consideration must be given to:

- the advice of members of the emergency services and/or the CDEM Group's emergency management staff, and
- the need for information management, forward planning, horizon scanning and identifying likely resource needs.

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Make EOC operational

Table 7: Steps for activating the EOC

1 Alert EOC personnel

The alert process should be clearly stated in the SOP. It may be a chain of calls where one person calls another on the activation roster.

2 Activate communications equipment/support facilities

Unless the EOC is in use on a daily basis, communications equipment may have to be switched on and tested. Establish communications with response agencies and other CDEM organisations. Activating support facilities may mean anything from starting an emergency power generator if the power has gone down, to plugging in the coffee pot.

3 Inform other CDEM stakeholders

The CDEM Group, MCDem, and support agencies must be made aware of the activation from the outset in order to be able to respond in support.

4 Initiate the message flow system

The message flow system is simply a method of recording messages as they arrive so they are documented and action can be taken. Incoming messages will often be routed through the Operations Manager who will assign the responsibility for actioning the message to someone within the EOC.

5 Ready the appropriate logs, maps and status boards

It is vital that an operational log of events is maintained throughout the emergency. Maps of the local community and surrounding areas are another resource that should be in place before the emergency.

6 Prepare a shift roster

If the EOC is to operate for any length of time, personnel must be rostered so that they are not on duty continuously. Time (both on and off duty) and relief breaks must be scheduled. It is particularly important to ensure that the Alternate Controller rests and is available to relieve the Controller in due course.

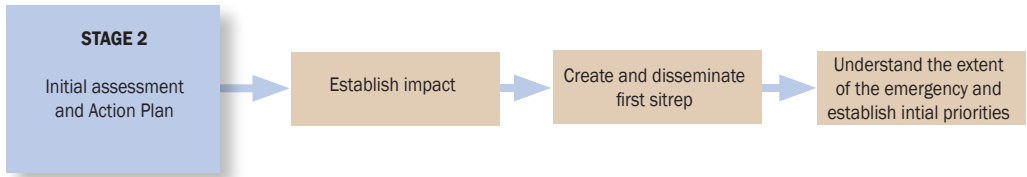
7 Announce briefing schedules

Set up a briefing schedule as soon as the EOC is operating. The Controller should ensure that staff are briefed when shifts change and at times of major decisions or events. The media also need a briefing schedule so they know when to expect a report from the EOC.

8 Provide the necessities

If it is clear that the EOC will be operating for some time, make sure that appropriate food, clothing, housekeeping supplies and accommodation arrangements are available.

Stage 2 of the response process: Initial assessment



Introduction

The initial assessment stage requires a short term (initial) Action Plan to establish the extent of the impact. The initial Action Plan will revolve around getting the following information:

- people and property at risk
- status of infrastructure, lifelines etc., and
- status of access to areas.

When does this occur?

Depending on the type of emergency, the “initial assessment” may be conducted while the emergency is occurring (e.g. a flood) or after an emergency has occurred (e.g. an earthquake). The initial assessment is required to inform the sitrep and Action Plan.

Planning meeting

The Controller should hold a planning meeting with available Function/ Team Managers as soon as practicable to develop an understanding of the extent of the emergency. The Controller, with the Planning and Intelligence Manager, will then direct the initial Action Plan.

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Establish impact

Collection of information

The first requirement in understanding the extent of the emergency is to identify the threat to people, infrastructure and property. The second requirement is to identify the status of access to the impacted areas. The collection and passage of information will have to operate through one or both of the following:

Planned flow of incoming information: information is relayed between control points – EOC, sector posts, welfare centres and other CDEM operational units, support agency representatives and community agencies attached to the EOC.

Active collection of information: information is collected by mobile impact assessment or information-gathering teams. Alternatively, resources to carry out information collection can be drawn from available agencies such as emergency services, local authority, government and volunteer agencies.

Problems making accurate assessments will be compounded by disruption to normal communications. This emphasises the importance of a robust alternate communications capability as part of readiness requirements. Where normal communications are not operable, the Controller must direct the alternate means of communication. For example, if cell phone coverage is intermittent in an affected area, the Group Controller may direct Local Controllers to report via radio or satellite phone (if available) until further notice.

Create and disseminate first sitrep

Create sitrep

Once a reasonable picture of the extent of the impact has been determined, a common operating picture has been established. It is then time to create a situation report (sitrep).

A sitrep is the factual and official situation at a specific point in time, including actions taken. It is a 'snapshot' of a point in time in the common operating picture. Sitreps form the basis for establishing information needs, and inform decision making, public information, and media statements. They are produced at specific time deadlines as determined by the Controller.

Since a sitrep represents the information as known at a specific point in time, the first sitreps in any emergency are not expected to contain a complete information picture. It is therefore important to note in sitreps what information still requires verification or what information is outstanding, or in the process of being sought.

Sitreps must be produced and disseminated during the response to all the CDEM stakeholders at least twice daily.

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Sitrep contents

The Coordinated Incident Management System (CIMS) 2nd Edition provides the recommended content for sitreps, including the main body fields outlined below. This includes:

Summary of incident

Actions carried out

Predicted incident progression: How the situation is anticipated to evolve - casual factors, consequences, and response

Resources in place

Resources required: These need to be requested on a separate 'resource request' form but can be summarised here.

Limiting factors: Anything that is, or is likely to affect the effectiveness of the response.

Assessment: Any critical issues or assumptions made.

Options: Outline major options for actions that are being or have been considered.

Intended actions: Outline significant actions intended in current and subsequent operations.

A sitrep template is also embedded in EMIS.

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Assessing the extent of the emergency

The regular assessment of a CDEM event is a logical process through which the Controller considers all the factors and circumstances caused by the impact of the emergency, as well as resource implications. This enables the Controller to:

- anticipate the possible development of the emergency
- establish the control objective/aim, and
- advise and approve the Action Plan.

Factors and circumstances of the emergency

When developing an understanding of all the factors and circumstances caused by the impact of the emergency, it is useful to consider the following:

Impact: people at risk, status of infrastructure, status of access.

Forecast weather and tides: The Controller needs to know how weather and tides will affect the progress of the emergency until the response is completed. Frequent and accurate forecasts and tidal information will assist in planning the response.

Time of day: The time of day can influence a range of issues (e.g. response times for responding agencies and evacuation).

Legal/policy constraints: The Controller should be familiar with legal and policy issues. CDEM Group policy may set down specific directives concerning the use of personnel, machinery and equipment. Policy may also restrict the duration of work or the conditions under which personnel may be deployed.

Event development: As an event develops the Controller and their team should anticipate what might occur in the short, medium and long term, if, for example, the wind changes, a stop-bank fails, or another event occurs.

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Resource implications

When looking at implications for resourcing, it is useful to consider the following anticipated requirements:

Personnel

- Numbers
- Level of training
- Full-time staff or volunteers
- Physical condition
- Catering and medical needs
- Access
- Location

Equipment

- Number and type
- Whether suited to the purpose
- Fuels and mechanical support
- Operators
- Access

Present location of resources

- Time and distance to reach event location(s)
- Impact of leaving jobs, families, workplaces or households unattended
- Access

Relief

- Numbers and time required
- Duration of shifts
- Meal locations and times
- Day or night changeovers
- Transfer of event control and management

Specialist resources

Need for personnel and teams with particular knowledge and skills (e.g. medical rescue, technical, machinery and equipment operators)

Other considerations

The Controller needs to consider whether a specific response will have a detrimental socio-economic, political or environmental effect on the community.

For example:

1. Will the proposed action adversely affect the livelihood of people in the area?
 - How severely?
 - Over what period?

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2. Is the action likely to result in political activity because of:
 - perceived unfair use of resources, or
 - the removal of resources from a particular area?

3. Is it possible that the action will impact on endangered species, pollute the air, land or water, or destroy areas of biological, cultural or historical significance?

Although the CDEM Group Plan will have identified short, medium and long term impacts and consequences of a particular type of emergency, the Controller should direct EOC staff to consult widely at local, regional and national level (e.g. seeking advice from scientific experts) to determine:

- the immediate facts about the location, nature, source and likely developments of the emergency, and
- the actual impacts and consequences of the emergency.

Note: The greater the detail provided, the better the quality of assessment.

Initial priorities

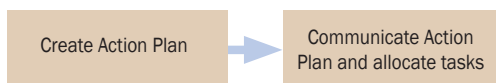
Once the current extent of the emergency has been determined, the Controller is in a position to determine initial priorities (e.g. people needing most urgent care) and is able to:

- direct tasks and resources, and
- confirm further needs so that requests can go up to CDEM Group (if a Local Controller) or National level (if a Group Controller).

Priorities in the response can sometimes be affected by public confidence and the media. For example, where a number of towns have been affected, but one town has ended up getting media attention, resources could end up going to the more publicised town, even if the other towns have been more severely affected. The Controller should always refer to the priorities listed in the CDEM Group Plan.

Note: While priorities may differ between Group Controllers and Local Controllers, Local Controllers must follow the directions of the Group Controller.

Stage 2 of the response process: Action Plan



Create Action Plan

Purpose of Action Plan

The purpose of an Action Plan (often called an Incident Action Plan) is to provide direction and information to the EOC management team, agency managers and other groups/individuals involved in the response to an emergency.

The Action Plan looks forward, setting the objectives for the next operational period and how they will be met. It will contain details of the overall goal, objectives and strategies, and is reviewed at planning meetings.

The Action Plan provides the EOC team with a clear concise record of the current situation, the intentions, and the detail of how the emergency will be managed. It is essential to the control of an operational response and is intended to reflect planning decisions. It should incorporate sufficient information to ensure that EOC staff, field staff, and support agencies understand the current situation and the plans of the management team to respond to it. The Action Plan is usually updated twice daily.

Action Plan considerations

Aspects to be considered in determining the Action Plan include:

1. the extent of information on the impact of the event
2. the response required
3. requests for assistance
4. a prognosis - how the event is likely to unfold and the potential requirement of additional resources
5. higher level and political expectations, and
6. public expectations.

Pre-printed Action Plan templates

The use of pre-printed Action Plan forms has the advantage of reminding the management team of the various planning factors that may need to be considered.

Such forms need to be regarded as an aid to the work of the management team, not prescriptive documents. Valuable time may be wasted attempting to obtain information to complete all parts of the form when key information only is required for response actions.

The EOC SOPs should provide an Action Plan template. An example of an Action Plan Template is in Annex B of this guideline.

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Components of an Action Plan

The standard Action Plan details key information about the emergency. The Coordinated Incident Management System (CIMS) 2nd Edition provides the recommended content for action plans, including the main body fields outlined below:

- Summary of incident
- Aim
- Objectives
- Plan of action/strategy
- Designated tasks
- Limiting factors
- Coordination measures
- Resource needs
- Information flow
- Public information plan
- Organisation
- Appendices

An Action Plan template is also embedded in EMIS.

The scope of the Action Plan will vary at each level of response. At **local** level the Action Plan will be focused on immediate operational tasks, whereas the CDEM **Group** Action Plan will focus on control, support and coordination.

Once the Controller approves the Action Plan, it should be distributed to the required levels of the CDEM Group and to all agencies involved.

Communicate Action Plan and allocate tasks

Task allocation and Action Plan

The Controller is responsible for allocating tasks to **Function Managers** in the EOC who in turn allocate tasks to their staff. An example of a task allocated by the Controller is the collection of specific technical information from scientific experts. The use of an Action Plan (whether presented on a pre-printed form, as written notes on paper, or on a board), is a fundamental part of the emergency management process.

An Action Plan is developed to inform everyone in the EOC of exactly what the priorities, deadlines and tasks are. Reassessment will occur with further allocation or re-allocation of tasks and resources, and will result in a new Action Plan. From here, the cycle of reassessment and reallocation continues.

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Communicating the Action Plan

The Controller must ensure the Action Plan is properly communicated. This usually takes place in the EOC in the form of a briefing and reoccurs at every subsequent shift change during the response. The Action Plan should also be communicated to neighbouring EOCs and other relevant stakeholders to keep them informed.

Monitoring effectiveness

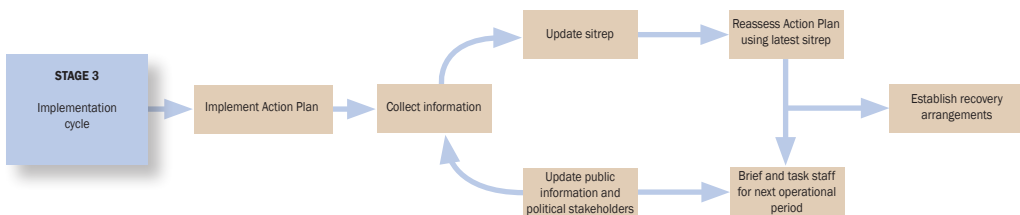
The Controller bears overall responsibility for ensuring the effectiveness of resources (human or otherwise) throughout the response phase.

Emergency can be subject to enquiry

Emergencies may be the subject of formal enquiries or requests for information under the Official Information Act 1982 (OIA). The enquiry may be internally conducted by the lead agency and/or it may be convened by an external authority with appropriate responsibility, such as a commissioner or a coroner.

A written Action Plan, as with any written material or records, can become an important part of the evidence provided. It sets out the situation that existed at the time the plan was prepared, the expectations, resources committed and intended implementation details.

Stage 3 of the response process: Implementation cycle



Implement Action Plan

Introduction

The management of specific response functions in a CDEM emergency is the responsibility of the key function managers in the EOC who will report on the situation and progress to the Controller whose role it is to oversee, lead and direct the overall response.

Collect information

Update sitrep

Collect information and update sitrep

The initial assessment stage of the response is followed by a period of continuous adjustment and taking stock, as individuals and organisations in the impact area evaluate and report on the consequences of the emergency. The sharing of information in an emergency is critical. A common operating picture must be maintained so that all stakeholders react to the same information.

The collection of information is a continuous process necessary to improve the completeness and accuracy of the common operating picture. Information gaps and information that require verification drive the collection focus.

The following sources of information are monitored by specific functions in the EOC:

- reconnaissance
- aerial photographs and maps
- other agencies
- sitreps and Action Plans from other EOCs
- requests for assistance
- offers of assistance
- technical subject specialists
- Hazard Consequence and Impact Modelling reports
- media and public information, and
- public and community groups.

The Controller has responsibility to promote passage of information upwards, downwards and across the organisation, and outside the organisation to relevant government agencies, emergency services etc. The sitrep is the primary mechanism for sharing this information.

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Reassess Action Plan
using latest sitrep



Brief and task staff
for next operational
period

Reassess Action Plan using latest sitrep

*Table 8: Agenda for
Controller's meeting*

The Controller will meet with the function managers on a regular basis to communicate what has happened, what is happening and what will happen. A typical agenda for these meetings is below (*Table 8: Agenda for Controller's meeting*).

Controller's meeting: Agenda item checklist

- 1. Situation update:** New information since the previous meeting and event predictions (Planning/Intelligence Manager)
- 2. Status of response:** Implementation of previous Action Plan (Operations Manager – supported by key response functions: Law and Order, Fire, Rescue, Welfare, Lifelines, etc.)
- 3. Resource status:** Resource adequacies and resource needs (Logistics Manager)
- 4. Public Information status:** Public information plan (PIM Manager)
- 5. Staff/EOC performance status:** EOC and field staff availability and well-being; EOC infrastructure issues (Administration and Finance Manager)
- 6. Political requirements** (Controller)
- 7. Review priorities and key messages** (all)
- 8. Tasking and deadlines** (Controller)
- 9. Next meeting/teleconference/briefing**

Based on the outcome of this meeting, the Action Plan is updated and communicated.

Communication and information flow

Outside the impact area CDEM Group members, neighbouring CDEM Groups and national agencies will begin to receive information on the emergency from a variety of sources and will be making assessments on what resources are required. If information gathering is constrained, the Controller should direct staff to gather information by going to affected areas to determine the above.

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Update public information and political stakeholders

Update public information and political stakeholders

Communicating information to the public is the responsibility of the Public Information Manager (PIM), however, the Controller must direct the PIM as to the key messages and how frequently these messages should be communicated.

See Chapter 5 of this guideline entitled *“Providing public education and public information”* for more information.

Political stakeholders also need to be kept informed on the progress of the response. See Chapter 6 of this guideline entitled *“Political interface”*.

Decision making and “sign off”

The Controller will make a number of decisions and “sign offs” throughout the response phase. The delegations for these decisions will be detailed in the CDEM Group Plan and the CDEM Act 2002. Examples of typical decisions and “sign off” activities include:

- establishing priorities and objectives
- delegation of powers under the CDEM Act
- signing off Action Plans
- authorising orders for evacuation
- signing off media releases
- signing off sitreps, and
- deciding to request CDEM Group or central government support.

Inherent in good decision making is the need to have quality and timely information that evidences wide consultation from relevant parties.

Establish recovery arrangements

Establish recovery arrangements

Recovery begins on day one of an emergency and develops gradually as the response phase matures. During the response phase, recovery activities are established by the Recovery Manager. The Recovery Manager is responsible for activating the agencies involved in the recovery structures, arranging for extra human resources to fulfill the recovery function and analysing impact assessment information to form the basis for planning recovery activity in the short, medium and long term.

It is therefore important that the Recovery Manager gets established early on in the response phase and is included in all Controller’s meetings. This will ensure a smooth and seamless transition to recovery when the response phase ends.

Stage 4 of the response process: Transition to recovery and evaluation of the response



Transition to recovery

Transition to recovery

Many recovery activities depend upon the restoration of lifeline utilities and essential community services. The Controller will need to establish priorities in keeping with the CDEM Group Plan and principles concerning recovery.

The Controller is responsible for transitioning the response to recovery by providing a Response Transition Report to the Recovery Manager immediately prior to the termination of the CDEM emergency (if a declaration has been made) or the end of the response.

The Controller is also required to chair a transition briefing. Details of both the report and the briefing can be found in *Recovery Management: Director's Guidelines for CDEM Groups [DGL 4/05]*.

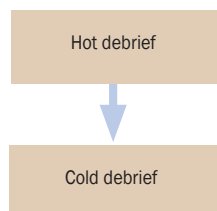
Disestablishment of response

Disestablishing the response

Initiating the disestablishment of the response, including stand down of the EOC and notification of stakeholders, is the responsibility of the Controller. Criteria may include that:

- EOC functions are no longer required
- coordination of resources and response activities is no longer necessary
- emergency personnel have returned to regular duties, and
- the Response Transition Report has been provided to the Recovery Manager by the Controller, and both have signed off on its content.

Hot and cold debriefs



An initial debrief (often referred to as a **hot** debrief) should be held as soon as practicable after a team or group has completed an operational task. A more formal and structured debrief (often referred to as a **cold** debrief) should be held after sufficient time has elapsed, to permit a detailed review of records, team/group reports and data relating to the task or emergency.

Debriefings may be led by the Controller, or someone delegated by the Controller (e.g. other key staff within the EOC).

Debriefings

Why hold a debriefing? Vital information will be gained by holding debriefing sessions at the end of an operation, or on completion of specific operational tasks. They must be carried out after the response has finished. The purpose of any debrief, regardless of the level is to:

- examine the scope and appropriateness of the operational response
- determine the strengths and weaknesses in the teams or the organisation's structures, systems and process, and
- provide information on nature of problems that were experienced and potential solutions for carrying out follow-up operations.

Conducting debriefings – initial or formal

Key points to consider when conducting a debriefing, whether hot (initial) or cold (formal) are:

- Key personnel involved in the operation or emergency are to be in attendance or at least have submitted a written report expressing their views/observations on the activity.
- Feedback from initial debriefs carried out by function managers immediately after the operation or emergency must be collated and presented at the formal debrief.
- Constructive criticism is to be valued from any source if it is relevant to the operation or emergency.
- A record must be formally taken of all issues raised and agreed actions to amend systems or procedures as identified.
- A written report must be prepared which contains key lessons, suggested solutions and formal recommendations for presentation to the appropriate authority.
- Subsequent development of the work programme should be undertaken to address agreed solutions.

Acknowledging contribution

It can be beneficial to celebrate the efforts of the people involved in the response (including other agencies, volunteers etc.) For example, in Ruapehu, after the 2007 lahar, trophies and certificates were presented by the Mayor at a recognition evening.

Further reading

Refer to *Organisational debriefing, Information for the CDEM Sector [IS6/05]* for more detailed information and advice on debriefing.

Well-being: Key legislation

Workplace health and safety

The EOC, like other workplaces in New Zealand, needs to apply health and safety legislation. Although it is not the Controller's job to undertake such tasks as setting up a hazard register, it is the Controller's responsibility to direct and encourage relevant staff to minimise any potential risk to health and safety and oversee that allocated tasks are completed and that their completion affords the desired result.

Key sections of a number of pieces of legislation will provide guidance to Controllers in establishing, monitoring and disestablishing activities in CDEM. Controllers are encouraged to take time to scan the following:

- the Health and Safety in Employment Act 1992 and its amendments, and
- the Building Act 2004 and associated regulations.

Volunteers

Volunteers involved in an organised response to an emergency will be treated as if they are employees for most purposes of the Health and Safety in Employment Act 1992 (the Act), and have the protection of the Act, if the following applies:

- the person does not expect to be rewarded for the work and does not receive reward for it
- the person does the work with the knowledge and consent of the person the work is done for
- the person the work is done for is an employer or self-employed person
- the volunteer does the work on an ongoing and regular basis for that other person, and
- the work is an integral part of the business of the employer or self-employed person.

Significant features of the above are that the volunteer can be working for the local authority or for other organisations, including contractors, and the work has to be performed on a regular and ongoing basis.

Where services are only provided by a volunteer during an emergency, protection under the Act may not be available, depending upon the frequency of the events and the volunteer's involvement. Persons who turn up on the day to help do not have the protection of the Act. However, there is still a general duty for the person for whom such a volunteer works to take all practicable steps to ensure the health and safety of the volunteer while they are working, in particular by taking hazards into account when planning the work activity.

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The Ministry expects, however, that local authorities and organisations that choose to use the services of people who turn up during the emergency, should accept the same responsibility for them as for their employees. Persons who undertake tasks at their own initiative do not have protection under the Act.

Spontaneous volunteers (people that undertake tasks voluntarily without the direction, support or advice of the Controller or other member of the EOC management team) are not covered by the Health and Safety in Employment Act 1992 (the Act).

Example:

Volunteer welfare centre staff who are deployed by the EOC are covered by the Act. However, a volunteer response team member driving down the road and stopping to rescue someone from a swollen river without being asked to do so by the Controller is not covered by the Act.

It is also important to note that for the purposes of the Act, a **workplace** is any place where work is carried out.

More information can be found in MCDEM's publication entitled *Spontaneous Volunteer Management Planning: Civil Defence Emergency Management Best Practice Guide [BPG3/06]*.

Compliance

In most cases, Emergency Management Officers are responsible for establishing an EOC that complies with Occupational Safety and Health and the Building Code. Often this compliance is part of the local authority's overarching Occupational Safety and Health plan, particularly as council chambers are often used as EOCs in times of civil defence emergency.

Department of Labour

The Department of Labour is the government agency tasked with educating employers about health and safety in the workplace and Occupational Safety and Health requirements. For further information about these topics seek advice from:

- Union delegates
- Health and safety officers in the workplace
- www.dol.govt.nz
- www.osh.org.nz

Personal and team well-being

CDEM operational risk factors

Given the severity of some CDEM situations, not recognising symptoms of stress can lead to clouded judgement, irrational behaviour and inevitably, errors.

Probably the biggest source of stress for Controllers in an emergency is overtiredness from prolonged concentration. It is essential that Controllers understand their own well-being needs and take steps to accommodate these needs, know their limits and most importantly, know when to ask for help.

A Controller needs to be confident that this aspect is being catered for, but does not necessarily do the detailed work themselves.

Steps to remedy or mitigate before, during and after the emergency

Controllers can undertake remedial action to resolve a situation when it arises. Ways in which to do this are to:

- lead by example
- understand individual well-being needs in emergencies
- use team meetings to raise and discuss issues and attempt to resolve them
- use observations to clarify the issues and consider options for remedy
- use questions put to staff members to determine the issues and consider options for remedy
- use their awareness of health and safety legislation to understand what their responsibilities are as an employer in the given situation
- be proactive with contingency plans for annual leave coverage, duty officer arrangements and rostering, and
- pre-plan knowing who and when to ask for help and understand that asking for help is not an indication of weakness or failure.

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Stress management strategies

It is up to the Controller to create a positive working environment and to encourage staff to believe that they are likely to do well.

Barriers to managing stress can be overcome by using motivation techniques and strategies. Examples of effective stress management strategies that apply to all people include:

- limiting total responsibility of staff
- establishing clear boundaries between being on duty and being off duty
- insisting on, and encouraging staff to take, regular breaks
- insisting on staff eating regular, healthy meals and maintaining hydration
- encouraging staff to ask for help, and acknowledging and actioning any request in a timely manner
- employing effective time management skills
- adopting a problem-solving approach
- undertaking personal and professional development in the role
- engaging in clear communication transactions
- holding shift debrief meetings at the end of every shift in a response so staff can switch off
- exhibiting assertive behaviour, and
- thinking positively by turning negatives into positives, accepting achievement, and affirming good practice/behaviour.

Further reading

Further information on well-being includes:

Stress and Response (available from www.civildefence.govt.nz)
Occupational Safety and Health Service www.osh.org.nz

Chapter 5: Providing public education and public information

Purpose of this chapter

While the emphasis of public education is to educate people prior to an emergency, public information, on the other hand, ensures that people are kept informed during an emergency.

Contents

This chapter describes public education during readiness, then goes on to explain the purpose of public information and the Controller’s role in communicating through the Public Information Manager during the response.

This chapter contains the following topics.

Public education.....	80
Public information.....	81
Tasking the Public Information Manager.....	83
Communicating key messages	84
Communication channels.....	85

Public education

**Readiness phase:
public education**

The Controller needs to be aware of the public education that occurs, and may sometimes be asked to support or front it.

The underlying principle behind a public education programme is that an informed public is better prepared to adapt and respond to emergency situations. Such a programme aims to minimise loss of life and damage to property by:

- educating the community about hazards, their nature and the consequences of their impacts
- increasing public knowledge about practical readiness measures
- developing practical skills among the general public with a view to improving emergency response
- assisting the public in understanding the significance of a warning and the actions they should take upon hearing it, and
- achieving support for emergency planning efforts.

Generally recognised methods of public education, which can be adapted to suit a community, are in the table below.

Table 9: Methods of public education

Type	Method
mass media	using broadcast, internet or print media for news releases, interviews, articles, inserts, and enclosures, instructions
displays	static displays using photographs and posters, or active displays promoting CDEM activities
personal contact	speaking to community groups or direct submissions to community leaders
audiovisual services	films, cassettes, videotapes supplied through local government or departmental sources
training	courses, seminars, conferences and meetings
direct advertising	bumper stickers, posters, brochures, giveaways (pens, drink bottles etc.)

**Positive and honest
public communication**

The Guide to the National Plan and the CDEM Act offer examples of positive and honest public communication for identifying and communicating risk to the public including:

- promoting community resilience projects
- encouraging community evacuation planning
- undertaking public education campaigns, and
- establishing public information centres and hotlines during emergencies.

Public information

Response phase: public information

Experience has clearly identified that the regular provision of authoritative information from a recognised source has a positive influence both on the public in the affected area and on the scope of support and enquiries generated from outside the area.

Every CDEM Group must establish an effective public information function to manage the information flow during the response to, and recovery from, an emergency. The size, scope and number of people may vary but the function must be carried out.

Purpose of public information

The primary purpose of public information is to tell people in an emergency area (affected public, workers) and those outside the event area (next-of-kin, support agencies, the public):

- what is happening (where, when and what caused it)
- what to do (what the public are to do)
- what to expect (what is likely to happen)
- where people are
- where they can get help, and
- where support is available.

In the **response** phase, public information informs and reassures. In the **recovery** phase, it is the mechanism by which the affected community and the wider public are encouraged to participate in the process of restoration and regeneration.

Objectives

A number of objectives should guide both the Controller's actions and those of the management team.

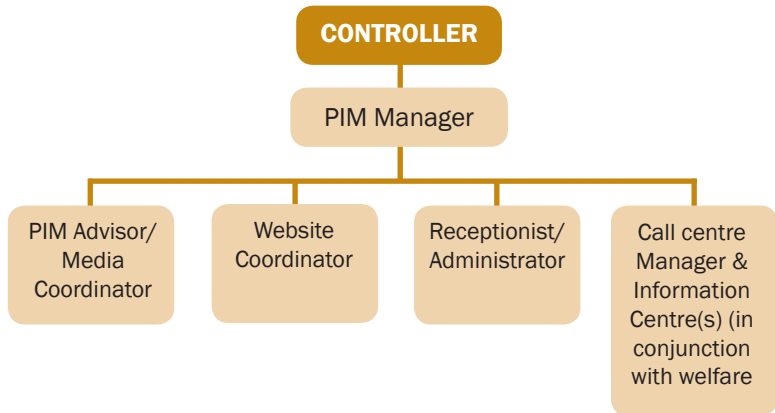
- To gain public understanding of, and active support for, immediate CDEM actions and measures.
- To make the most effective use of all news media in conveying timely and accurate information, warnings and advice to the public.
- To provide news and information that will support public morale and assist the CDEM organisation.
- To establish an efficient system for answering public enquiries.
- To provide a level of assurance to the community.

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Organisation

The EOC’s public information function should have the resources necessary to establish media liaison, information centres, visitor reception and an enquiry centre. The Controller directs these through the Public Information Manager (PIM), as in the diagram below. Note that this diagram is merely an example of the way in which the PIM function may be set up. (Also refer to The New Zealand Coordinated Incident Management System (CIMS) 2nd Edition.

Figure 3: Example of PIM function set-up



The size and scale of each of these elements will vary depending upon the nature and severity of the emergency and the level of response required. The purpose of each of these functions is detailed in the table below.

Table 10: PIM team roles and purposes

<p>Media Coordinator and PIM Advisor Maintains close links between the CDEM management team and representatives of the media, and provides a credible information service. Provide for media monitoring (including social media).</p>
<p>Call Centre Manager and Information Centres Provides information on the whereabouts and well-being of people in the residences caught in the emergency area, and provides advice and support on a wide range of needs, particularly for victims/displaced persons, in conjunction with the welfare function.</p>
<p>Receptionist/Administrator Arranges visit programmes, reception and escorting of important visitors to the emergency area, especially representatives of national and local government agencies.</p>
<p>Website Coordinator Keeps information current, and the website functional.</p>

Tasking the Public Information Manager

Roles and Responsibilities of the Public Information Manager (PIM)

The role and responsibilities of the PIM will vary depending upon the size of the CDEM organisation and the specific tasks the Controller sets. They usually include:

- preparing and sharing information directly to the public (via social media, public meetings, pamphlets etc.), or via the media. Note that the content of official information such as warnings is generated by official processes, and approved by the Controller
- monitoring the public and media reactions and passing information to the relevant CIMS functions
- coordinating with other response agencies' PIM activities
- preparing spokespeople for interviews and media conferences
- liaising with the community
- working with the media, including arrangements for media visits and media conferences
- liaising with VIPs and their personnel about site visits
- ensuring call centres, helplines and reception personnel have current public information and key messages
- participating in the development of the Action Plan, and
- advising the Controller on PIM issues

Before any emergency, the PIM and the Controller must establish a clear understanding about the extent of the briefings they can carry out, and the information they can release. This should be addressed in the CDEM Group Public Information Plan.

Relationship with the media

The PIM will act as the filter when dealing with the media, but while the Mayor or another elected official/politician should be the media spokesperson, the Controller may still be called on to address press conferences and take part in media interviews. **The Controller should undertake media training** to prepare for this aspect of the role.

Public briefings

The PIM may organise open briefings where the whole team can attend, as well as the public. This achieves openness, consistency of information and confidence in the response. Another way to achieve this may be to produce and disseminate newsletters to keep the public up to date on the emergency and response.

Communicating key messages

Introduction

The release of **all** public information bulletins and instructions must be authorised by the Controller. The Public Information Manager (PIM) is responsible for ensuring that bulletins and instructions are prepared. Provision of public information must be deliberate, planned and sustained. Public information is vital and as such, it must receive priority.

Refer to *Public Information Management, Information for the CDEM Sector [IS9/07]* for further information on the role of the PIM.

Public Information

The Controller must work with the Public Information Manager to establish key messages throughout readiness and reduction as well as in the response phase, to pre-plan the types of key messages that are effective and suitable for the community in educating and informing across all 4Rs.

Members of the public are mainly concerned with clear and unambiguous descriptions of the following:

- risk to their personal safety and that of their family
- risk to their personal property
- action they need to take to prevent or minimise the risk to personal safety and property during an emergency, and
- actions the CDEM Group and the government at all levels are taking to help people affected (without overstating or understating the issues).

Making advisory statements

How and when key messages are conveyed during the response phase assists greatly with identifying and communicating risk to the public and getting buy-in from the public in the early stages.

During an emergency it is best to make advisory statements early on, then follow-up statements as verified information comes to hand to alleviate fear and engage the public.

Communication channels

Use all available communication channels

If people are to respond positively, they must know what is happening, what to do and what to expect. This means using all available communications resources to allow the public access to the decision makers and may include:

- providing dedicated telephone lines
- establishing both telephone call centres and CDEM enquiry centres
- keeping the website and social media channels updated
- monitoring social media to identify trends and the required focus of public messaging, and
- being prepared to make personal visits to the affected areas.

Note: An out of date website can give the impression that the response is not well organised. When people know they can get up to date information from the website, they make fewer phone calls.

The media plays a vital role in civil defence emergency management and can assist by:

- transmitting the Controller's instructions to the public, and
- providing information on the emergency from their own sources and contacts.

Request for broadcast

From Section 22 of The Guide to the National CDEM Plan, entitled "Public Information Management".

MCDEM has a Memorandum of Understanding (MOU) with key national television and radio broadcasters for CDEM announcements. A request for broadcast of a civil defence emergency announcement must be made by an authorised CDEM manager via the MCDEM Duty Officer. MCDEM serves as the central point for the verification of requests for broadcast.

Authorised CDEM managers are:

- the National, Group or Local Controller, or
- the Director of Civil Defence Emergency Management.

Each request for the broadcast of an emergency announcement is to specify:

- the CDEM manager authorising it and how it can be confirmed/verified
- that the request is for an official civil defence emergency announcement
- the nature and potential harm posed by the threat as well as relevant public safety information
- the broadcast priority, which is either priority one for warning of an imminent threat, or priority two, for fore-warning of a threat
- the areas affected
- the areas the broadcast is to reach, and
- when the broadcast is to be made and over what period.

A template for a request process for broadcast of an emergency announcement can be found by typing 'MOU' into the search field of the website: www.civildefence.govt.nz.

Chapter 6: Political interface

Purpose of this chapter

This chapter describes the Controller’s interaction with political leaders, and provides guidance on how to manage visits during the response.

This chapter contains the following topics.

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Identifying and informing officials

Identifying politicians The Controller needs to understand the political structure in their respective area. The political leaders that the Controller will interact with will mostly be from local government.

While it can sometimes be difficult for Controllers to be actively engaged in all phases due to other work commitments, it is essential for the Controller to ensure they know the Mayor, Deputy Mayor and the CDEM councillor pre-emergency. It is also useful to have established relationships with other councillors.

- **Local Controllers** will interact with the Mayor, Deputy Mayor, the councillor with CDEM responsibility, other councillors, and (if applicable) community board members. They also need to interact with other Controllers in the Group, CEOs and senior managers.
- **Group Controllers** will need to interact with the Chair of the CDEM Group Joint Committee, the Chair of the Regional Council, the mayors and deputy mayors of the Territorial Authorities, and councillors with CDEM responsibilities. Group Controllers are also often involved with the Coordinating Executive Group (CEG).

Readiness and political leaders

The nature of relationships change during the response phase, therefore expectations need to be established in the readiness phase. It is important to pre-plan what the roles of the political leaders will be **before** the event.

The Controller needs to agree what the roles will be during the response phase, or at the very least be satisfied that the Emergency Management Officer (EMO) has done so. These agreed roles should be documented in the CDEM Group Plan and local arrangements.

Political leaders need to have knowledge of the CDEM context and processes or they could potentially be disruptive. As elected officials, they are ultimately responsible for the performance of local authorities. The Emergency Management Officer (EMO) is tasked with educating political leaders, but the Controller needs to be satisfied that it is occurring.

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Response and political leaders

If a politician is the face of the emergency, the Controller needs to have a close working relationship with them, and keep them very well briefed. On a local level, elected members may be the first point of contact for the public, and will therefore need regular briefing.

Recovery and political leaders

Political leaders often have more involvement in recovery than in the response phase. The Controller will have identified issues in the Response Transition Report, and the political leaders are instrumental in resolving these issues through action, and decisions around their Long term Council Community Plans (LTCCPs). The Recovery Manager will be liaising with political leaders in the recovery phase.

Visits during the response

Overview

While politicians are vital to the response, their visits to the EOC and emergency area need to be carefully managed. Visits to the scene of an emergency need to take account of the local situation and the immediate effect on the local community. It may be inappropriate for visitors to go to emergency sites while response operations are still in progress, as it could cause disruption, and crowd management issues may arise (depending on the scenario).

The Public Information Manager should be involved in the planning of programmes for VIP guests. Arrangements for accommodation, travel, clothing, etc., need to be thoroughly checked.

Normal functioning of the EOC must be maintained

There are a number of people the Controller may wish to brief personally and separately, such as Ministers of the Crown, Members of Parliament and government agency heads, but in all cases the Controller must assess competing demands on time.

Visitors must not be allowed to upset the normal functioning of the EOC and the Controller should plan to brief them in a separate area. Visiting ministers and other VIPs will require comprehensive briefing before visiting the site and before any meetings with the media.

Planning a briefing for the Minister of Civil Defence

In planning a ministerial briefing the Controller should remember that the Minister of Civil Defence:

- will have already received a briefing from the Director or MCDEM staff (therefore a preliminary question to the Minister may save time and repetition)
- may not know the area (so a map or photographs could be useful), and
- will primarily be interested in people and any extra assistance that might be necessary, and in the implications for central government.

The presence of members of the CDEM Group may be valuable if recovery assistance in particular is to be discussed. Also, arranging for supporting documentation to be available for the Minister or the Minister's private secretary to take with them may assist the CDEM Group's request for assistance.

The Minister may want to get an understanding of the CDEM operations and show support for staff, so a quick tour through the EOC may be valuable. However, the tour should be quick and controlled as the visiting group may well number up to 10 people (e.g. Minister, Private Secretary, local MP, MCDEM officials, TV filming crew and two local media reporters).

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Support from MCDEM The Controller should use their MCDEM Regional Emergency Management Advisors for support and advice. While the Regional Emergency Management Advisors do not undertake the management of visits, they are the interface between central and local government. As such, they are able to provide the Controller with an independent perspective on the situation and may also help with:

- interpreting and clarifying the CDEM Act (not giving legal advice)
- consultation around whether or not to declare
- financial advice
- national resources, and
- additional resources from neighbouring Groups.

MCDEM's Regional Emergency Management Advisors:

- provide accurate and timely advice to the CDEM Group
- assess the disaster impact
- provide reports to the NCMC (and others as directed)
- assess government risk
- monitor government response
- assess emergency management performance
- broker or facilitate complicated issues
- coordinate MCDEM support, including 24/7 implications, and
- oversee the Response and Recovery Civil Defence Emergency Expenditure claims process (in conjunction with MCDEM's CDEM Development and CDEM Policy Units).

Chapter 7: Phases of a recovery operation

Purpose of this chapter

Recovery starts during the response phase but continues long after the end of the response. This chapter provides guidance to the Controller on how best to manage the transition from response to recovery.

Contents

This chapter contains the following topics.

Transition from response to recovery	94
Management of the recovery phase.....	99

Transition from response to recovery

Recovery phase

The process of recovery is to re-establish the quality of life of the community following an emergency. Recovery starts as soon as possible in the local community and addresses the social, economic, natural and built environments.

Section 4 of the CDEM Act defines recovery activities:

recovery activities means activities carried out under this Act or any civil defence emergency management plan after an emergency occurs, including, without limitation,—

- (a) the assessment of the needs of a community affected by the emergency; and*
- (b) the co-ordination of resources made available to the community; and*
- (c) actions relating to community rehabilitation and restoration; and*
- (d) new measures to reduce hazards and risks*

Recovery occurs in both the short and long term. Long term recovery could continue for many years as the lives and livelihoods of many in the community are regenerated.

Controller's roles and responsibilities

Regardless of the scale of the emergency, the Controller will be a central figure in the initial stages of the recovery, up to, and after, the local emergency has officially been terminated. Once the declaration is terminated and as recovery proceeds, the Controller's advisory role will diminish and their residual responsibilities will shift to the Recovery Manager.

The Controller has a role in ensuring that the transition is managed effectively and in a timely manner, by:

- identifying issues for the Recovery Manager to act on
- including the Recovery Manager in critical response briefings
- being aware of recovery planning requirements and tasks prior to the termination of the state of emergency
- ensuring that agencies with both response and recovery obligations are aware of their continuing role
- initiating key recovery arrangements during the response, and
- motivating the affected community to help itself.

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When recovery begins Recovery starts while response activities are still in progress. Key decisions taken during the response are likely to directly influence and shape recovery. It is therefore crucial that the Recovery Manager is a proactive member of the Controller's advisory group throughout the response.

The nature and scope of recovery measures will depend on the size and impact of the emergency. Often, members of the community will not know what type of assistance and support to expect. Initially they will look to the Controller and later will expect their elected representatives on the CDEM Group and the Recovery Manager to have this information.

Transition: National CDEM Plan 2005

Section 85 of the National CDEM Plan states:

85 Transition from response to recovery

- (1) *Recovery begins on day one of an emergency.*
- (2) *This means the recovery arrangements are established and information received about the response is used as a basis for planning recovery.*
- (3) *As the response concludes, a careful transition to recovery must be managed.*
- (4) *The transition from response to recovery in national emergencies or civil defence emergencies of national significance may be staged and variable across regions and areas.*
- (5) *It is expected that the transition from a state of national emergency or a civil defence emergency of national significance will be discussed and agreed between local, group, and national controllers.*
- (6) *The principal aspects of this transition are—*
 - (a) *a recovery Action Plan will—*
 - (i) *be prepared in association with the affected CDEM Groups; and*
 - (ii) *be prepared in consultation with recovery task groups; and*
 - (iii) *recognise those welfare arrangements established during response that will continue through recovery; and*
 - (b) *a communications plan will be developed in conjunction with relevant recovery agencies.*

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Shifting from response to recovery

Taken from Recovery Management, Director's Guidelines for CDEM Group [DGL 4/05].

The CDEM Group Recovery Manager will be named in the CDEM Group plan, and will take up the role while the emergency is still in force, and the Controller is managing response efforts.

Recovery from the emergency gains momentum when transitioned to, or when the state of local emergency is terminated. It is important to consider the implications the termination of the state of civil defence emergency will have on these activities. Not only will statutory powers cease, but some agencies and organisations whose contribution may be linked directly to the state of civil defence emergency may decide their role is over.

Involvement in response phase

During the response, many of the agencies with significant recovery roles will be heavily committed. Consequently, the Group Recovery Manager needs to be involved in key response conferences and briefings to:

- align response and recovery priorities
- connect with key agencies
- understand key impacts and tasks, and
- identify recovery requirements and priorities as early as possible.

The Recovery Manager must be kept up to date

The other significant challenge is to keep the Recovery Manager up to date with the situation. Even before the response is over, most of the community links and the recovery management structure need to be in place, with the process of impact assessment well underway or initially completed.

Shift in priorities

During transition there is a shift in priorities. Priorities during response are different to those during recovery. This change must be managed well and communicated to all stakeholders.

The response objectives can be found in Section 59 of the *National CDEM Plan*.

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Transition is a formal process

The Controller and the Recovery Manager should formally acknowledge the transfer of coordination and accountability for recovery-related activities. This occurs through various means, including the preparation and delivery of a Response Transition Report and briefings (both internal and external).

Response Transition Report

Taken from Recovery Management, Director's Guidelines for CDEM Groups [DGL 4/05].

Immediately prior to termination of the state of emergency (or the end of the response if a declaration has not been made), the Controller needs to prepare a Response Transition Report for the Recovery Manager outlining:

- the response Action Plan in place at the time of transition (including the last sitrep) noting actions that are incomplete
- the type and status of all assigned resources
- action taken to finalise the calculation of emergency expenditure
- a summary of the type and extent of damage in the district at the time of transition, noting specifically any areas or situations with the potential for a re-escalation to a state of local emergency as well as a summary of the condition of the various aspects of the community and environment affected by the emergency and their inter-relationships under the following headings:

Social environment, including:

estimates of numbers of directly and, where possible, indirectly affected individuals, the nature of the impact on them and estimates of future needs; the current nature, capability and location of welfare agency resources deployed.

Built environment, including:

an outline of roads and infrastructure that remain affected by the emergency; the rural impact.

Economic environment:

A summary of information currently available and some strategic analysis and direction for economic recovery. It is unlikely that districts will have the economic impact information immediately available.

Natural environment:

Land use changes, the implications for businesses short to long term, use of land and/or amenities.

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Transition briefing The Controller should chair the transition briefing, which should be formally conducted and minutes taken. At the end of the briefing, the Controller transfers coordination and accountability for recovery-related activities to the Recovery Manager.

Media briefing A media briefing should be held immediately following the handover from response to recovery, arranged by the outgoing response media liaison team. The briefing will be fronted by the outgoing Controller and incoming Recovery Manager. The purpose of this media briefing is to:

- reflect on the positive aspects of the emergency response
- outline the scope and current priorities for recovery
- reinforce selected key messages to target audiences, and
- provide the media with new/updated contacts for the recovery office's Public Information Manager.

Management of the recovery phase

CDEM Group Recovery Manager

*From Section 25
"Recovery" in The Guide to
the National CDEM Plan.*

The role of the CDEM Group Recovery Manager (appointed by the Group) in an emergency is to coordinate the recovery activity within their region. The role of the Local Recovery Manager is to coordinate the recovery activity within the local authority area. They coordinate with the CDEM Group Recovery Manager. The CDEM Group Recovery Manager liaises with both the National Recovery Manager and the Local Recovery Manager(s) to ensure:

- planning, prioritisation, and management functions are undertaken
- a recovery management office is established and staffed
- effective reporting mechanisms are in place
- the government is informed of local and regional issues
- recovery resources are identified and obtained as required
- information is provided on the impact of the emergency on the affected area, and
- emerging issues are identified and solutions sought.

Assistance

Local and regional governments, through the CDEM Group, have a central role in recovery management. In the first instance, recovery will be the responsibility of the affected councils, the community, voluntary and community agencies, and commercial enterprises. Where central government assistance is required, recovery measures and recovery assistance will be initiated from the government on the recommendation of the Director of Civil Defence Emergency Management.

Central government recovery appointments

Refer to s29 of the CDEM Act 2002.

Section 29 of the CDEM Act provides for the appointment of a Recovery Coordinator at any stage. The Recovery Coordinator is appointed by the Minister on the recommendation of the Director when it is clear that the CDEM Group is unable to (or is likely to be unable to) carry out recovery activities in its area. The Recovery Coordinator is responsible to the Director of Civil Defence Emergency Management for the period of their appointment.

It is essential that the Controller develops a good rapport with the Recovery Coordinator (if appointed) and for some days at least the Recovery Coordinator will be dependent on the Controller for advice and direction. The Recovery Coordinator appointment is to 'undertake recovery activities' – a function normally residing with the CDEM Group. The Recovery Coordinator will not normally have the Controller's statutory powers of direction and control under the Act, although the Act does provide for the Recovery Coordinator to have the powers of a Group Controller in certain circumstances (s30(2)).

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Support from MCDEM MCDEM has a role to play in the recovery process, in providing support and advice. Regional Emergency Management Advisors are available to support both the Controller and the Recovery Manager.

Exit and stand-down process The “exit and stand down” process from recovery is managed by the Recovery Manager.

Key points for the Controller to remember The transition from response to recovery is led by the Controller. Actions in the response phase have a large impact on recovery (e.g. identification of issues to pass on to the Recovery Manager), so the Controller needs to involve the Recovery Manager in critical decisions that could impact longer term on recovery.

An example could be the relaxation of the Resource Management Act 1991 around the dumping of debris following a flood in Area A, while the neighbouring Area B (also affected by the flood) does not have the rules relaxed. This could lead to Area B travelling to dump their debris on Area A. This has major implications for Area A's ability to recover.

Annexes

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Annex A: Levels of response and relationship between Group and Local Controllers

EMERGENCY LEVEL 1: **Local Controller role**
No declaration Little or no involvement with emergency

Group Controller role
No involvement

EMERGENCY LEVEL 2: **Local Controller role**
No declaration

- Ensures Local EOC is partially or fully activated and resources available are sufficient for the forecast scale of the emergency
- Coordinates agreed functions with other agencies
- Notifies Group Controller of situation
- May recommend (in discussion with Group Controller and emergency services) declaring a state of local emergency for the district/s.

Group Controller role

- Monitors situation
- Offers assistance and support to Local Controller
- Ensures the GEOC is partially or fully activated and resources available are sufficient for the forecast scale of the emergency
- Maintains contact with GEOC when activated.
- Liaises with MCDEM or National CDEM Duty Officer.
- May recommend (in discussion with Local Controller/s and emergency services) declaring a Group wide state of local emergency.
- Advises Chair of CDEM Group and Chair of CEG.

EMERGENCY LEVEL 3: **Local Controller role**
Declaration of a state of local emergency for district/s

- Ensures Local EOC is fully activated and adequately resourced.
- Considers the evolving situation with the Group Controller.
- Exercise statutory powers under CDEM Act 2002.
- Provide regular updates to the Group Controller.
- Invites a GEOC liaison if applicable.
- May recommend (in discussion with Group Controller and emergency services) declaring a Group wide state of local emergency.

Group Controller role

- Ensures the GEOC is partially or fully activated and adequately resourced (depending on the scale of the emergency)
- Offers assistance to Local Controllers.
- Advises GEOC staff, placing them on partial activation in support of Local EOC.
- Gives consideration to further escalation in consultation with Local Controllers and emergency services.

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Annex A: Levels of response and relationship between Group and Local Controllers

continued

- Advises adjacent CDEM Group and National Controller of situation.
- May recommend (in discussion with Local Controller/s and emergency services) declaring a Group wide state of local emergency.
- Advises Chair of CDEM Group and Chair of CEG.

EMERGENCY LEVEL 4: Declaration of a state of local emergency for the Group area

Local Controller role

- Supports and assists the Group Controller as required.
- Continues to coordinate response efforts at the local level.
- Ensures the local EOC is fully activated and resourced.
- Responds to direction and priorities set out by the Group Controller.

Group Controller role

- Places the GEOC on full activation and resource accordingly.
- Exercise statutory powers under the CDEM Act 2002.
- Provides regular updates to ALL Local Controllers and emergency services.
- Creates Action Plan and makes strategic decisions to the response.
- Updates the National Controller on a regular basis, giving consideration to a declaration of a state of national emergency.
- Invites the MCDEM liaison to the GEOC (if not already present).
- Advises Chair of CDEM Group and Chair of CEG.

EMERGENCY LEVEL 5: Declaration of a state of national emergency

Local Controller role

- Supports and assists the Group Controller as required.
- Continues to coordinate response efforts at the local level.
- Ensures the local EOC is fully activated and resourced.
- Responds to direction and priorities set out by the Group Controller.

Group Controller role

- Responds to priorities set by the National Controller.
- Continues to strategically plan and coordinate response efforts at the Group level.
- Continues to provide regular updates to ALL Local Controllers
- Ensures that the GEOC remains fully activated and resourced in support of the Local EOCs and NCMC.
- Advises Chair of CDEM Group and Chair of CEG.

Annex B: Requisition Form (front)

REQUISITION OF PROPERTY DURING A STATE OF EMERGENCY

To:.....
(Name and address of owner or person in control of the property)

TAKE NOTICE:

1. That a state of emergency is in force in:

.....
[State the area of the relevant declaration]

2. That this notice is furnished in accordance with the Civil Defence Emergency Management (CDEM) Act 2002, Section 90 (See over).

3. That I....., being a CDEM Group Controller/Local CDEM Controller/Constable/person authorised to do so,
[Delete inapplicable]

believes that the action proposed is urgently necessary for the preservation of human life, hereby require you to place the following property under my control and direction:

.....
[Description of property]

It is an offence, under the CDEM Act, Section 101, to fail to comply with this notice. **(See over)**
Compensation is payable under the CDEM Act, Section 107. **(See over)**

Apply to:
[Indicate employer of requisitioning officer, e.g. territorial authority, NZ Police]

for compensation for:

- (1) the use of this requisitioned property;
- (2) any loss of or damage or injury to that property suffered or incurred whilst under control of organisations involved in this emergency response.

Date..... Signed Designation

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Sections of the CDEM Act 2002 related to the requisition of property during a state of emergency

90 Requisitioning powers

(1) This section applies if a state of emergency is in force and, in the opinion of a Controller or a member of the police, the action authorised by this section is necessary for the preservation of human life.

(2) The Controller or member of the police, or a person authorised by him or her, may direct the owner or person for the time being in control of any land, building, vehicle, animal, boat, apparatus, implement, earth-moving equipment, construction materials or equipment, furniture, bedding, food, medicines, medical supplies, or any other equipment, materials, or supplies, to immediately place that property (requisitioned property)–

(a) under his or her control and direction; or

(b) under the control and direction of a Controller or a member of the police, or person authorised by that Controller or member of the police, if that person has requested the person making the requisition to do so on his or her behalf.

(3) A person exercising any power conferred on him or her by this section must give to the owner or person in charge of the requisitioned property a written statement specifying the property that is requisitioned and the person under whose control the property is to be placed.

(4) If the owner or person for the time being in control of any property that may be requisitioned under this section cannot be immediately found, a Controller or a member of the police, or a person authorised by a Controller or member of the police, may assume immediately the control and direction of the requisitioned property.

(5) If a person assumes the control and direction of requisitioned property under subsection (4), that person must ensure that, as soon as is reasonably practicable in the circumstances, a written statement specifying the property that has been requisitioned and the person under whose control it has been placed is given to the owner or person formerly in charge of the requisitioned property.

(6) The owner or person in control of any property immediately before it is requisitioned under this section must provide the person exercising the power under this section with any assistance that the person may reasonably require for the effective and safe use of that property.

91 Power to give directions

While a state of emergency is in force, a Controller or a member of the police, or any person acting under the authority of a Controller or member of the police, may–

(a) direct any person to stop any activity that may cause or substantially contribute to an emergency;

(b) request any person, either verbally or in writing, to take any action to prevent or limit the extent of the emergency.

101 Offences in relation to requisitioning

(1) A person commits an offence who–

(a) intentionally fails to comply with any direction given to him or her under section 90(2); or

(b) intentionally fails to provide assistance under section 90(6).

(2) It is a defence in any proceedings for an offence against subsection (1)(a) if the Court is satisfied that the Controller or the member of the police did not have reasonable grounds for believing that in all the circumstances of the case the direction requisitioning property was necessary for the preservation of human life.

(3) It is a defence in any proceedings for an offence against subsection (1)(b) if the Court is satisfied that the person had reasonable grounds for not providing assistance.

104 Penalty for offences

A person who commits an offence against this Act is liable on summary conviction,–

(a) in the case of an individual, to imprisonment for a term not exceeding 3 months or to a fine not exceeding \$5,000, or both;

(b) in the case of a body corporate, to a fine not exceeding \$50,000.

107 Compensation if property requisitioned

(1) Subsection (2) applies if any requisitioned property has come under the control of the National Controller, any member of the police, or a person authorised by the National Controller or member of the police, while acting under section 90 in a state of emergency.

(2) There is payable, on application by any person having an interest in the requisitioned property, out of money appropriated by Parliament, reasonable compensation for–

(a) the use of that requisitioned property while under that control; and

(b) any loss of or damage or injury to that requisitioned property suffered or incurred while under that control.

(3) Subsection (4) applies if any requisitioned property has come under the control of a Civil Defence Emergency Management Group, a {Local} [Group] Controller, or a person authorised by the Group or {Local} [Group] Controller, while acting under section 90 in a state of emergency.

(4) There is payable, on application by any person having an interest in the requisitioned property, by the Civil Defence Emergency Management Group that appointed the {Local} [Group] Controller, reasonable compensation for–

(a) the use of that requisitioned property while under that control; and

(b) any loss of, or damage or injury to, that requisitioned property suffered or incurred while under that control.

(5) In determining the amount of compensation payable under this section for any loss of, or damage or injury to, requisitioned property, any amount that the person having an interest in the property has, or is likely to, recover under a contract of insurance or by any other means must be taken into account.

(6) If there is any dispute as to the entitlement of any person to compensation under this section, or as to the amount of the compensation, or as to the liability of the Crown or any Civil Defence Emergency Management Group or other person to pay the compensation, the matter may be determined by a court of competent jurisdiction.

Annex C: CIMS Principles

CIMS Principles

CIMS structure is based on the following elements:

- Common structures, roles, and responsibilities
- Common terminology
- Modular and scalable
- Responsive to community needs
- Integrated response coordination
- Consolidated action planning
- Integrated information management and communications
- Resource coordination
- Designated response facilities
- Manageable span of control

Common structures, roles and responsibilities

Common structures, roles, and responsibilities make it possible for agencies to work effectively alongside each other, and for personnel to interchange roles. They facilitate information flow and understanding by creating parallel structures and appointments.

Common terminology

Common terminology is essential in incident management, especially for multi-agency responses. When agencies have slightly different meanings for terms, confusion and inefficiency can result. Common terminology for functions, processes, and facilities prevents this, improves communications between organisations, and allows faster and more effective responses.

Modular and scalable

The modular and scalable CIMS structure is flexible and can be applied to all responses and to all levels within a response. Agencies may adapt their response structures prior to a response to suit their specific needs, and during a response to reflect changing circumstances.

Responsive to community needs

All responses aim to mitigate and manage the consequences for the affected community. This requires response personnel to effectively communicate with communities, understand their needs, and base their response and recovery actions on these needs. Communities will actively participate in a response rather than wait passively for assistance. Community response actions need to be coordinated with the official response.

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Integrated response coordination	Integrated response coordination is the organisation of the responding agencies into a single, cohesive response. Consolidated action planning is a key component of integrated response coordination, as are resource coordination, and integrated information management and communications (see below).
Consolidated action planning	Action Plans describe response objectives, agency and team tasks, and the measures needed to coordinate the response. They are proactive, seeking to pre-empt hazard impacts where possible, and to resolve the situation as quickly as possible. A multi-agency Action Plan must have impact from all support agencies to be effective.
Integrated information management and communications	Integrated information management and communications enable effective information sharing, supporting more effective action planning and response coordination, as well as wider situational awareness. It aims to establish a common operating picture (an understanding of the situation based on the best available information, shared between all response agencies), and requires a common communications plan, standard procedures, clear text, common communication means, and common terminology.
Resource coordination	Resource coordination organises resources across all response agencies. Agencies inform each other of their available capabilities and resources so that procurement and use of resources can be managed efficiently. Lead agencies monitor resource information, and may set priorities for allocating critical resources. This consolidates control of resources, maximises resource use, provides accountability, and improves situational awareness.
Designated response facilities	Designated response facilities with clearly defined functions assist in effective incident management.
Manageable span of control	Span of control means the number of individuals or teams one person can manage effectively. The optimum span of control is between two and seven.

These principles have been quoted from pages 4-6, of *“The New Zealand Coordinated Incident Management System (CIMS) 2nd edition* published by the Officials’ Committee for Domestic and External Security Coordination in April 2014.

Annex D: Personal Preparedness Checklist (example)

Information

- CDEM Group Plan
- CDEM Act 2002
- GEOC/EOC SOP
- Group and Local Controllers' Guideline

Supplies

- Recorder
- Food, water
- Notebook or logbook
- Spare pencils, pens, etc.
- Portable 2-way radio
- Extra batteries
- Flashlight/batteries/bulb
- Mobile phone

Identification

- Vest/armband
- ID Card

Contact details

- Inter-agency contact list
- Volunteer staff contact list

Clothing and personal items

- Seasonal outerwear (raincoat, jacket, etc.)
- Protective clothing
- Change of clothing
- Medication, hygiene items, etc.

First Steps

- Ensure family safe and secure for anticipated time away
- Check communications (phone, mobile phone, radio, pager, etc.)
- Monitor and make contact on radio with EMO staff
- Determine where likely to report, routes available, transport, communication channels
- Monitor broadcast radio
- Take personal kit with you (see above)