

22. Monitoring and evaluation

Summary Monitoring and evaluation are standard parts of any effective policy or risk management processes. They provide a 'feedback loop' within these processes, allowing comparisons between actual and desired states. This enables ongoing analysis, and refinement of decisions and implementation processes, to improve outcomes. Legislative requirements for monitoring and evaluation of CDEM in New Zealand are established in the *CDEM Act 2002*.

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22.1 Introduction

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(1) <i>Each agency with responsibilities under this plan should continually monitor and measure progress against its goals and objectives and ensure that it has the capacity and capability necessary to perform its CDEM roles and responsibilities.</i>
(2) <i>The Act sets out requirements in section 8(2)(c), (d), and (f) for the Director to monitor and evaluate—</i>
(a) <i>the National CDEM Strategy; and</i>
(b) <i>this plan; and</i>
(c) <i>the performance of CDEM Groups and persons with responsibilities under the Act.</i>
(3) <i>CDEM Groups are also responsible for monitoring and reporting on their compliance with the Act under section 17(1)(h).</i>

22.1.1 Context for monitoring and evaluation

What are monitoring and evaluation?

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

- ◆ **Monitoring** is a continual process that aims to provide management and stakeholders with early indications of compliance with responsibilities, and progress, or lack thereof, in the achievement of results.
- ◆ **Evaluation** is about measuring effectiveness. It compares what is happening against what was intended (goals, objectives, and targets) and interpreting the reasons for any differences.

Legislative requirement

Legislative requirements for monitoring and evaluation of CDEM in New Zealand are established in the *CDEM Act 2002*.

Functions of the Director of CDEM include:

- ◆ monitor and evaluate the *National CDEM Strategy* (section 8(2)(c))
- ◆ develop, monitor, and evaluate the *National CDEM Plan 2015* (section 8(2)(d)), and
- ◆ monitor the performance of CDEM Groups and persons who have responsibilities under the *CDEM Act 2002* (section 8(2)(f)).

Functions of CDEM Groups, and of each member of the CDEM Group include:

- ◆ monitor and report on compliance within its area with the *CDEM Act 2002* and legislative provisions relevant to the purpose of the *CDEM Act 2002* (section 17(1)(h)), and
- ◆ a CDEM Group must ensure that its actions in exercising or performing its functions, duties, and powers under the *CDEM Act 2002* are not inconsistent with any *National CDEM Strategy* that is for the time being in force (section 37(1)).

22.1.2 Objectives of monitoring and evaluation

The main objectives of monitoring and evaluation are to:

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

These objectives are linked together in a continuous process, as shown in **Figure 22.1**. Learning from experience results in more informed decision-making; better decisions lead to greater accountability to stakeholders. All three elements working together make a positive contribution to overall effectiveness.

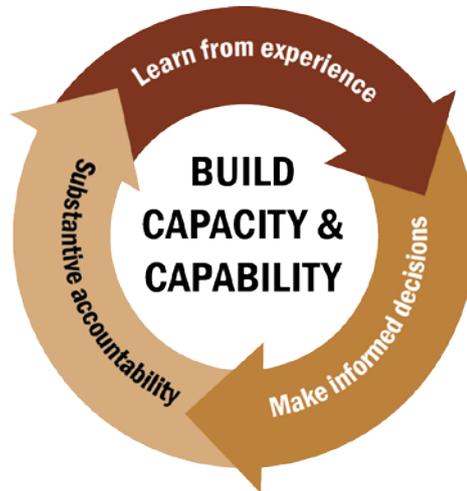


Figure 22.1: The continuous process of monitoring and evaluation to build capacity and capability.

22.1.3 Types of monitoring and evaluation

Monitoring and evaluation of CDEM should be focused in three different areas:

- ♦ **Compliance** monitoring compliance with any relevant legislative requirements, particularly the requirements of the *CDEM Act 2002*.
- ♦ **Performance** assessing whether CDEM work programmes are being carried out according to needs and requirements, and whether capacity and capability exists to be able to perform CDEM functions.
- ♦ **Outcomes** monitoring and evaluating progress towards high-level goals and objectives – of the agency in question, and of the goals and objectives of the *National CDEM Strategy*.

All agencies with roles and responsibilities under the *CDEM Act 2002* should monitor and evaluate their compliance with the *CDEM Act 2002*, their performance in doing so, and their progress towards outcomes.

22.1.4 Performance indicators

Performance indicators are measures of inputs, activities, outputs, outcomes and impacts for projects, programmes, or strategies. When supported with sound data collection, analysis and reporting, indicators enable an organisation to track progress, demonstrate results, and take corrective action to improve effectiveness.

Performance indicators for assessing capacity and capability are:

- ♦ effective communications are maintained at all times
- ♦ emergency plans are maintained and exercised
- ♦ work is prioritised effectively
- ♦ response and recovery objectives are achieved without unexpected delay
- ♦ logistics, transport, contract, and supply requirements are addressed
- ♦ resources are used efficiently, and conflicts over deployment are avoided
- ♦ gaps in capacity or capability are identified and resolved
- ♦ all functions are sufficiently resourced with appropriately trained staff, and
- ♦ there is clarity among agencies about roles, responsibilities or actions.

22.2 CDEM Monitoring and Evaluation Programme

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The CDEM Monitoring and Evaluation Programme aims to—

- (a) provide performance criteria and a self-assessment process that any agency or CDEM Group can use to evaluate its capacity and capability at any time; and*
- (b) monitor the capacity and capability of all agencies with responsibilities under the Act by undertaking a programme of national capability assessments (all agencies will periodically complete a capability assessment to document New Zealand's collective CDEM capability).*

22.3 Monitoring and evaluation activities

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(1) Each agency with responsibilities under the Act and this plan should—

- (a) monitor and evaluate its capacity and capability to carry out activities across the 4 Rs by—*
 - (i) measuring performance against standards, benchmarks, or performance indicators; and*
 - (ii) exercising and testing capacity and capability; and*
 - (iii) analysing effectiveness; and*
 - (iv) tracking progress towards goals and objectives; and*
- (b) monitor its compliance with the Act.*

(2) The MCDEM is responsible for the monitoring and evaluation of—

- (a) the National CDEM Strategy; and*
- (b) this plan; and*
- (c) CDEM Groups and other persons with responsibilities under the Act.*

(3) The monitoring and evaluation is to be carried out—

- (a) by reviewing and reporting progress on the National CDEM Strategy; and*
- (b) by reviewing, exercising, and testing arrangements of this plan; and*
- (c) by evaluating the response to, and recovery from, emergencies; and*
- (d) through the CDEM Monitoring and Evaluation Programme.*

22.3.1 CDEM monitoring and evaluation methodologies

CDEM monitoring and evaluation is delivered through three main mechanisms: the CDEM Monitoring and Evaluation Programme via the CDEM Capability Assessment Tool, the National CDEM Exercise Programme, and post-event reporting.

Individual agencies may also be subject to evaluation of their CDEM capability and capacity through other routine monitoring processes, for example central government agencies via the Performance Improvement Framework, or local government agencies via reporting required under the *Local Government Act 2002*.

CDEM Capability Assessment Tool

The CDEM Capability Assessment Tool aims to create a standard assessment of emergency management capability in New Zealand. It consists of a set of key performance indicators and performance measures against which organisations can assess themselves or be externally assessed. Indicators span the 4Rs and are organised in a framework based on the *National CDEM Strategy*.

The assessment tool provides:

- ◆ an assessment of organisational strengths, weaknesses and gaps
- ◆ an audit and accountability trail to stakeholders and government
- ◆ a strategic planning function
- ◆ a nationwide picture of implementation of requirements of the *CDEM Act 2002*, and
- ◆ a nationwide picture of progress towards CDEM's high-level goals and objectives.

The assessment tool is available for self-assessment of agencies and CDEM Groups at any time.

National CDEM Exercise Programme

The National CDEM Exercise Programme (see Section 21, Exercising and testing) provides a mechanism for assessing the operational capacity and capability of CDEM Groups and agencies (such as government agencies, lifeline utilities, and non-governmental organisations). Other mechanisms such as debriefs and reviews following response to actual emergencies also contribute to this understanding.

Central and local government both have roles in terms of providing capacity and capability to CDEM. Participation in the National CDEM Exercise Programme helps develop, maintain, and demonstrate these.

The National CDEM Exercise Programme promotes coordination, participation, and a consistent and systematic approach to CDEM exercising. It covers CDEM exercises at the local level through to the national level. Its principle focus is on inter-Group exercises (across CDEM Groups and which may include MCDEM) and national exercises (New Zealand and part thereof, including central government).

When undertaking these exercises, MCDEM (nationally) and CDEM Groups (locally) should consider the following:

- ◆ the capacities and capabilities required and available to manage the event
- ◆ the allocation of resources over different phases of the event
- ◆ capacity and capability issues across all stakeholders, and
- ◆ risks or gaps in capacity or capability¹.

Reporting

Following completion of exercises, response to emergencies or any other capacity and capability assessment, reports should be shared with MCDEM that comment on:

- ◆ the nature and implications of identified deficiencies in capacity and capability
- ◆ the relative importance of such deficiencies, and priorities for action
- ◆ steps that the relevant agencies or CDEM Groups are undertaking to address the issues, and
- ◆ recommendations on actions for other stakeholders to consider.

Upon receipt of the report, MCDEM:

- ◆ may review the issues, and their implications for national operations generally, and
- ◆ may recommend strategies to address them at the national level.

Reports should be generated as a result of:

- ◆ debriefs and reviews following actual emergencies and debriefs and evaluation of exercises, and
- ◆ significant developments that is likely to affect capacity and capability across the CDEM sector.

The testing and exercising of plans and corrective action based on issues identified provides for continuous improvement.

¹ For example, that the same resource is required by different agencies, leading to shortfalls.

22.3.2 Review of resources

While the *National CDEM Plan 2015* is in effect, MCDEM will work with CDEM Groups to review resources likely to be required during response in their areas. This will support identification of any critical resource gaps regionally or nationally.

22.4 References and links

Other sections of the Guide

- ◆ Section 4, General roles and responsibilities
- ◆ Section 5, Ministry of Civil Defence & Emergency Management (MCDEM)
- ◆ Section 6, Civil Defence Emergency Management Groups (CDEM Groups)
- ◆ Section 18, Readiness
- ◆ Section 19, Planning
- ◆ Section 20, Capability development
- ◆ Section 21, Exercising and testing
- ◆ Section 22, Monitoring and evaluation
- ◆ Section 23, Public education and community engagement
- ◆ Section 24, Response

Other documents

- ◆ Ministry of Civil Defence & Emergency Management (2015) *CDEM Group Planning Director's Guideline for Civil Defence Emergency Management Groups [DGL 09/15]* (www.civildefence.govt.nz – search for 'CDEM Group planning')
- ◆ State Services Commission website: (www.ssc.govt.nz – search for 'performance improvement framework')
- ◆ *National Capability Assessment Report 2012* (www.civildefence.govt.nz – search for 'capability assessment')