

## FCN Earthquake Recovery Accountability Scorecard

### Report

Canterbury Earthquakes Recovery Authority

9 November 2011

*“What most people believe and what actually happens in the aftermath of a disaster are two different things.*

*The movies, the media, and the authorities have too often insisted that we are a chaotic, selfish species and ought to fear each other. Yet in the wake of almost every major disaster a wave of altruistic and brave improvisation saves lives, forms communities, and shapes many survivors experiences.*

*The most startling thing about disasters ... is not merely that so many people rise to the occasion, but that they do so with joy.*

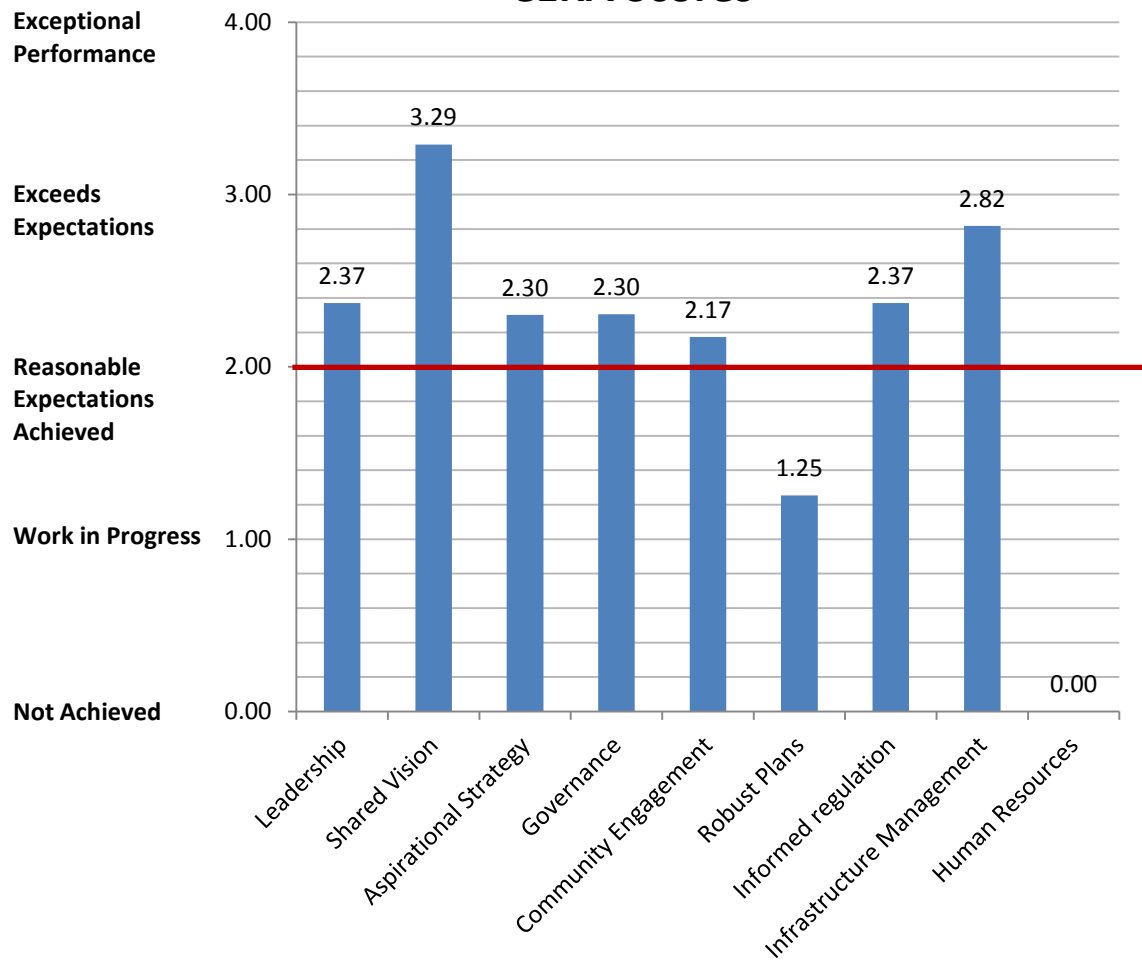
*That joy reveals an ordinarily unmet yearning for community, purposefulness, and meaningful work that disaster often provides.*

*These spontaneous acts, emotions, and communities suggest that many of the utopian ideals of the past century are not only possible, but latent in everyday life.*

*A disaster can be a moment when the forces that keep these ideals from flowering, those desires from being realised, fall away.”*

*Rebecca Solnit 2009 (A Paradise Built in Hell: The Extraordinary Communities that Arise in Disaster)*

## Accountability ScoreCard CERA Scores



SCORECARD

	Score	%
Leadership	2.37	59.3
Shared Vision	3.29	82.2
Aspirational Strategy	2.30	57.5
Governance	2.30	57.6
Community Engagement	2.17	54.4
Robust Plans	1.25	31.4
Informed regulation	2.37	59.3
Infrastructure Management	2.82	70.4
Human Resources	0.00	0.0

*4 = Exceptional Performance*

*3 = Expectations Exceeded*

*2 = Reasonable Expectations Achieved*

*1 = Work in Progress*

*0 = Not Achieved*

## Summary of comments

The FCN Assessment Panel was made up of three appointees from FCN and three from the community. Four of the panellists had participated in previous Earthquake Recovery Accountability Matrix evaluations and brought their experience and knowledge to the table.

The assessors believe CERA has done an excellent job in the delivery of a number of its statutory obligations and that Canterbury people can take comfort from the progress which has been made and the evident huge commitment of the staff of the organisation to achieve outstanding outcomes.

As general comment it is considered that CERA, as an organisation, is performing at or above expectations as a strategic leader and coordinator of rebuilding and recovery efforts.

The assessors were particularly impressed with the level of high quality and up-to-date information being made publicly available by CERA on its website and through various forms of social media.

In some performance dimensions, however, a lower rating was given simply because, at this stage, the organisation is part way through the development of its recovery strategy and plans.

The assessors stress this is not a criticism but recognises a factual situation at a particular point in time combined with the decision not to provide the information requested in a timely fashion.

Unfortunately, other aspects of the evaluation were frustrated by the decision of CERA not to engage effectively with the evaluation process.

This left the assessors with no option but to assign a rating result which reflected a lack of transparency and relevant information from CERA.

# Background to Evaluation of CERA

Christchurch and the surrounding districts were severely affected by the earthquakes which struck between 4 September 2010 and June 13 2011 and in particular by the magnitude 6.3 quake which struck on 22 February resulting in the tragic deaths of 181 people.

The Canterbury Earthquake Recovery Authority (CERA) was established by Act of Parliament in April 2011.

*The Government has established the Canterbury Earthquake Recovery Authority (CERA) to provide strategic leadership and to coordinate activities to enable an effective, timely and coordinated rebuilding and recovery effort in Canterbury.*

*SOI April 2011*

Further

*CERA will*

- provide immediate support for the Minister for Canterbury Earthquake Recovery*
- establish and maintain a close working relationship and work in close collaboration with local authorities (Christchurch City Council, Selwyn District Council, Waimakariri District Council, and Environment Canterbury)*
- engage and consult with other local and central government agencies, Te Runanga O Ngai Tahu, businesses, and the local community*
- communicate regularly to affected persons on progress relating to recovery activities*
- review and oversee existing operations on the ground*
- gather information necessary to assess the best approach(es) to the long-term recovery*
- develop a long-term recovery strategy*
- coordinate and prioritise recovery plans*
- exercise any other powers that might be conferred on CERA.*

*CERA's activities will cover the recovery necessary to restore the social, community, economic, and cultural well-being of greater Christchurch (covering the areas of Christchurch City and Selwyn and Waimakariri District Councils) including all infrastructure affected by the seismic events of September 2010 and February 2011.*

*CERA will work in collaboration with relevant local authorities. CERA will support local authorities to understand the magnitude of the recovery, and help to coordinate the efforts*

*of local and central government, iwi, non-governmental organisations, the private sector, and greater Christchurch residents. The Mayors and elected councillors will continue to be responsible for their organisations and communities, and the Minister for Canterbury Earthquake Recovery and CERA will engage collaboratively with them.*

*CERA will also support other government agencies in their work, and develop productive relationships with key stakeholders with roles in the recovery process, as well as local businesses and community organisations.*

*An important role for CERA is to prepare an overarching long-term recovery strategy for the rebuilding of greater Christchurch. The recovery strategy will provide a purpose for the recovery and address some of the high-level questions that will need to be addressed for the recovery to occur in a coordinated way. The recovery strategy will provide direction and coordination for a series of more detailed and specific recovery plans.*

*CERA will prepare the recovery strategy in collaboration with the Christchurch City Council, Environment Canterbury, Selwyn and Waimakariri District Councils, Te Runanga O Ngai Tahu, and other parties. It will also develop or coordinate the development of recovery plans by others.*

*SOI April 2011*

The FCN is an independent organisation which was established by a group of concerned Canterbury citizens who are united in their belief that a better and greater Canterbury can arise from the rubble of what was.

For that to happen those organisations which have statutory responsibilities for delivering the recovery must ensure they focus on a future which ameliorates previous weaknesses and builds on existing and yet to be discovered strengths.

To many people Christchurch is the heart of Canterbury and therefore New Zealand's, and the world's, perceptions of the region were severely damaged by the shattering earthquakes of 22 February.

The challenges are enormous – which is why

- it is of fundamental importance that the region's leadership articulates a vision of hope for a new future at all times,
- it is of fundamental importance that the region's leadership takes responsibility for ensuring the community it serves shares, and is committed to, that vision of hope, and
- it is of fundamental importance that the region's leadership doesn't let the community lose sight of the vision even as the primary focus of daily activity is on restoration of services and critical infrastructure so normal operations can resume.

The new normal is vastly different from the normal which people experienced only 14 months ago.

It is too easy for those who are focused on restoration of services and infrastructure to lose sight of the vision – to put the realisation of the vision off to some future date.

Unless the vision drives everything which is done, on a daily basis, it will be lost - and the people of Canterbury will be the poorer for it.

The FCN Earthquake Recovery Accountability Matrix is designed to help decision makers take time out from the pressure of daily restoration to focus on recovery. It is also designed to report to the public of Canterbury on the quality of leadership, governance and management of the recovery of those who have statutory responsibility to deliver the best outcomes for the community.

The FCN approached the Minister for Canterbury Earthquake Recovery on the same basis as it approached the contiguous territorial local authorities of Selwyn District Council and Waimakariri District Council – i.e. we wished to engage with CERA on a positive basis.

On 12 October the FCN advised the Chief Executive of CERA and the Minister of its intention to undertake an evaluation irrespective of CERA participation and including a formal Information Request.

This advice was acknowledged by the Minister's Office and in response the FCN was advised *"...I understand someone at CERA is compiling a response to your request..."*.

No further communication was received from CERA until 3 p.m. on 8 November when a staffer made telephone contact. This was followed next day by an email attaching a letter extending the period for response under the Official Information Act *"...owing to the need to undertake consultations to make a decision on your request..."*.

Therefore an experienced assessment panel including three FCN members and three community members was convened as scheduled on 9 November 2011.

Documentary material for the evaluation was drawn from sources in the public domain – mainly from CERA's excellent website.

## Assessors

Chris Brocket	FCN
Chris Selbie	FCN
Jen Crawford	FCN
Margaret Austin	Community
Peter Jenkins	Community
Ruth Warren	Community

## Facilitator

Francis Wevers	FCN
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*For Assessor Biographies see Appendix C*

# Evaluation

## *Purpose*

The purpose of this evaluation is to provide informed, balanced and independent feedback to statutory decision makers and the public about the quality of governance, leadership and management of the recovery from the earthquakes of 2010 and 2011.

The key to a successful recovery from major disaster is the quality of the ongoing relationship developed between the leadership of the recovery process and the community that leadership serves.

Therefore issues of openness, transparency, listening, continuing community focus and engagement are fundamental to ongoing trust and confidence in the eventual outcomes.

The FCN Earthquake Recovery Accountability Matrix is a tool designed to test our expectation that:

- those whom we entrust with the responsibility to remedy the damage which has been done will do everything they can to deliver the best outcome for the future of Canterbury, even when that is difficult, and
- the elements which research, and the experience of others, tells us are critical, are at the core of their approach to decision making.

It is our intention that, when the public sees the local and central government entities which have responsibility to lead the recovery have been appropriately held to account, the level of confidence in leadership and decision making will increase.

Our evaluations have been designed so that the initial assessments will provide a benchmark for the measurement of future progress.

## *Process*

Our preferred approach is that a team of six assessors, representative of the Future Canterbury Network, the community and the entity being evaluated, considers the evidence and assigns an agreed score for each of the performance elements in the Matrix. On this occasion, for the reasons already explained above the assessment panel comprised 6 members, three each from FCN and the community. The FCN believes the result is still robust and a true reflection of the extended discussion and evaluative process in which the members of the panel engaged.

The primary categories of evaluation are Leadership and the eight Key Recovery Performance Indicators (KRPI).

1. Shared Vision
2. Aspirational Strategy
3. Governance

4. Community Engagement
5. Robust Plans
6. Informed Regulation
7. Infrastructure Management
8. Human Resources

Each KRPI has a number of Critical Success Factors (CSF). There are 41 CSFs in total. See Appendix A

A checklist identifies the evidence we would expect to be available to support an assertion that the CSFs have been considered and successfully addressed. None of the CSFs or the questions in the checklist should be a surprise when assessing organisational performance or prudent governance and similar tests will be found in many organisational and governance review documents.

# Canterbury Earthquakes Recovery Authority (CERA)

## *Background*

The magnitude 7.1 earthquake which struck on 4 September 2010 had its epicentre in the previously unknown Greendale fault in the Selwyn District. Extensive damage was experienced in the eastern suburbs as a result of liquefaction and land damage. Because the quake occurred in the early morning no fatalities occurred.

This all changed when the huge quake of 22 February struck in the middle of a business day.

Many buildings collapsed, 183 people died and huge swathes of the central city were damaged irretrievably beyond repair.

The immediate response to the earthquakes transferred to the Ministry of Civil Defence and Earthquake Management (MCDEM) within hours of the National Emergency being declared.

The scale of the disaster became apparent within a short period of time and as a result Parliament adopted special legislation creating the Canterbury Earthquake Recovery Authority (CERA) which was tasked with co-ordinating the recovery, developing an overarching strategy and several subordinate plans for specific issues such as transport, infrastructure etc.

# Leadership

## *Score 2.37 – Reasonable expectations exceeded*

In this evaluation leadership is a function of the organisation rather than individuals (though individual leaders will have an important effect on perceptions). It has not been identified as a separate KRPI – instead we have identified a range of Critical Success Factors from the whole Matrix which, when combined, allow us to assess accurately the quality of leadership by the organisation. Leadership is multidimensional and is evidenced in how decisions are made and other activities are undertaken.

Altogether 17 dimensions are collated in the Matrix to assess leadership.

In this evaluation one of the questions drawn from the checklist related to decision making in public. It was deemed by the assessors not to be applicable to CERA, so was excluded.

Perception of the quality of leadership is often a direct reflection of the urgency of the need to demonstrate it.

It is clear from independent academic research that the qualities of leadership required during recovery from a major earthquake are qualitatively different to those which are most apt during the response phase.

In the recovery phase successful leadership focuses on community and consensus building to minimise the impacts of previously established negative trends in the community and to maximise the speed and direction of recovery.

As identified by Olshansky et al *“An effective leader can provide Vision, work with community organizations, communicate with other government agencies, and take decisive actions.”*

### Assessment

The assessors were consistent in their positive evaluation of the multiple dimensions which make up organisational leadership as tested by the Matrix.

Of the 16 dimensions which were rated those which demonstrated

- commitment to working effectively with Canterbury communities,
- listening to people’s needs,
- responding effectively,
- communicating with compassion,
- being open and transparent

were all rated highly and CERA was endorsed as significantly exceeding expectations.

Overall CERA was assessed as having several dimensions being assessed as “meeting but not significantly exceeding expectations” simply because, at this stage, the organisation is part way through the development of its recovery strategy and plans.

The assessors stress this is not a criticism but recognises a factual situation at a particular point in time combined with the decision not to provide the information requested in a timely fashion.

The leadership dimension “being able to provide evidence that the strategy is explicitly built into plans, work programmes and job descriptions” is particularly affected by lack of evidence from CERA.

Otherwise CERA, as an organisation, is performing at or above expectations as a strategic leader and coordinator of rebuilding and recovery efforts.

Three dimensions were not scored at all because of a total absence of information or evidence on which to make a robust assessment. These were:

- Evidence that plans drawn up by CERA are supported by people, businesses, stakeholders who are affected
- Evidence of clear processes being in place to ensure skill sets of key staff are matched to the requirements of the vision and strategy
- Evidence of effective support initiatives for personally impacted staff

As a result the overall score is reduced. The assessors are emphatic that they don't see this as a major criticism of CERA's performance but that the decision not to participate in the evaluation has a significant consequence.

## KRPI 1 - Shared Recovery Vision for Future

### *Score 3.29 – Exceptional performance*

The language of this KRPI and the CSFs indicate a need to demonstrate CERA has thought through and captured an idea of where the community wants to be in future - after the recovery from the earthquakes is complete.

It is critical this leads to a decision making approach which:

- builds on shared understandings
- stretches CERA into innovative rather than business as usual thinking
- ensures CERA and its community have an eye to a future where current shortcomings are overcome
- creates a place that people want to come to despite the experience of the earthquakes.

## Assessment

*“This is no time for ease and comfort. It is time to dare and endure.”*

*Winston Churchill*

CERA’s approach to consultation with the community is warmly applauded by the assessment panel.

*The community workshops were very inclusive and superbly run, the facilitation was excellent*

*But since that point in time a lot of people in the community have lost interest in the broad issues and are much more concerned about the ME issues”*

At a rating of 3.29 for this KRPI the CERA team has achieved an exceptional performance.

*Vision – Greater Christchurch recovers and progresses as a place to be proud of – an attractive and vibrant place to live, work, visit and invest – mo tatou, a, mo ka uri a muri ake nei – for us and our children after us*

The Vision statement is seen to be clear and one which it can readily be said to be shared by the community which it affects.

It is seen by the assessors as being positively future and solutions focused and, in particular, not constraining the aspirations Cantabrians will continue to develop for the future of their city and region.

It is also seen as being broad and inclusive enough to encompass the intent of other vision statements which will inevitably shape the goals of a wide range of community interests in Canterbury.

The assessors are somewhat concerned by the use of the term “Greater Christchurch” rather than Canterbury to describe the area beyond the central city. It is their view that this language constrains the extent to which non-central city communities may feel engaged with the vision statement.

*“People in outlying districts see the vision and say ‘what about us?’”*

In the view of the assessors the ongoing focus on the centre of Christchurch could continue to have a divisive impact.

*“You’ve got to dive down into the detail to see any reference to areas outside the centre of the city. CERA has to think about and talk about things outside the metropolitan area so the people who live there don’t feel ignored...”*

It is acknowledged that the intense focus on the needs of people in the red zones, wherever those are, has been appropriate and very welcome and therefore the foregoing comments should be seen in the context of a potential future risk if the issue of inclusive engagement is not carefully addressed.

The panel is confident this is an issue which will be addressed by CERA.

The assessors note the effective use of action verbs throughout the draft Strategy document which gives confidence and trust that the excellent talk will be followed up by consistent action on clearly prioritised work which has been appropriately weighted.

While there is no direct evidence in the documents available to the panel that there is a structured process to ensure all employees understand the vision and incorporate its intentions into their approach to their work the panel feels comfortable this issue is being managed by inference from the public statements made by CERA employees and which many of the panel have been privy to.

## KRPI 2 - Aspirational Strategy for the Achievement of the Recovery

### *Score 2.30 – Expectations exceeded*

If CERA is to achieve its Vision it must support it with a strategy the community can aspire to which address economic, health, cultural, social and environmental needs.

The strategy must be of the people and for the people so it builds future resilience.

And importantly the strategy must recognise nothing will happen in isolation.

### Assessment

The assessors drew most of their evaluative information from the detailed draft Recovery Strategy document published by CERA in September.

The critical success factors for this segment of the Accountability Matrix focus on standard strategy development criteria such as setting reachable goals/objectives built on knowledge of the broad range of environmental and operational factors to which the strategy will be applied. Good strategy defines processes for operationalising intentions and measurement of achievement to inform and guide future decision making.

Thus the Matrix Checklist questions seek evidence which enable a judgement to be made on the extent to which the Critical Success factors have been explicitly brought into CERA's consideration.

An independent observer would expect to see evidence that all elements were present at some level of development. Some may still be work in progress as a result of timing issues and where CERA is on the continuum of development of its strategy.

Into this category falls the desire of the Assessment Panel to be able to see evidence of CERA having defined processes for identifying and managing interdependencies between its own strategies and those of other parties (in particular where there may be overlap); and also evidence that the strategy has been explicitly built into plans, work programmes and job descriptions.

The Panel feels it is too early at this stage to expect to see evidence of completion but the intention to go down this path is clear and therefore work in progress scores are awarded.

The assessors feel differently about the lack of disclosure about documented agreements (such as MOU) with key partners who have a role in realisation of the strategy. We can think of no reason

why such agreements shouldn't be in the public domain. The transparency requirements of good governance in the public interest on behalf of the people of Canterbury are paramount and public confidence would be enhanced by full disclosure of the contents of all formal agreements and contracts. This Checklist Item is scored as 0 and has a negative impact on the rest of the score for this Key Recovery Performance Indicator.

While the assessors' expectations are exceeded in the excellent work done by the staff who drew up the strategy documents the assessors expressed a different view on the proposed methodologies for effective engagement with people and communities as the strategy and plans derived from the strategy roll-out.

*"...CERA hasn't demonstrated that high level stakeholders [its partners in the recovery] will engage with the delivery of the strategy and there's a gap in defining how the strategy will drill down to the people affected. They are to be commended for having thought about it but the absence of detail to show how it will be done is regrettable. This is an area which needs leadership and direction..."*

The same comments are apt for the assessment of CERA's management of interdependencies.

The assessors see CERA's responsibility for managing relationships between itself and the other statutory decision makers as being a fundamental leadership role which it needs to focus more attention on or risk significant issues later.

Overall CERA is exceeding expectations by a small margin which suggests some room for improvement.

## KRPI 3 – Governance

### *Score 2.30 – Expectations exceeded*

Effective governance process requires holding management to account through robust reporting and measurement. In the aftermath of a major disaster effective governance becomes critical if trust and confidence is to be maintained.

#### Assessment

The Critical Success Factors in this KRPI occasioned considerable discussion among the members of the Assessment Panel.

The assessors agree that

- The structure i.e. having a Government Department with specific responsibility for the recovery for a period of five years, is the most appropriate
- The powers available under the Canterbury Earthquake Recovery Act are appropriate

The assessors also discussed whether a more corporate model of governance, i.e. working through a governing Board was more desirable than having direct line responsibility between a Chief Executive and a Minister of the Crown because of the risk of blurring the appropriate lines of responsibility between governance and management.

While the assessors thought this could be an issue its importance was outweighed by the benefit of having a direct line into Cabinet and the Government. The normal protocols of public service management ensure that the Chief Executive's responsibilities are clearly defined by the Statement of Intent which are then subsequently scrutinised by Parliament.

The assessors feel the ability to have important strategic and operational decisions made quickly on the ground in Canterbury and avoid the problems of extensive re-litigation is a very important plus factor for the recovery.

The assessors also feel the consultation and review structures which have been placed around CERA are limited in scope and as a result CERA has to be much more transparent about its governance processes than may otherwise be the case.

The Community Forum is large and its proceedings do not appear to make their way into the public domain – the assessors feel it would help maintain and build confidence if the proceedings were published at regular intervals.

The Review Panel's functions relate only to Orders in Council and while very important because of the constitutional issues the decisions don't appear to be published.

The Assessment Panel feels CERA has a sound governance structure but it could do a lot more to build and maintain public confidence by making its governance processes more transparent.

It is clear to the assessors from the evidence available in the public domain that decision making is supported by robust information and analysis – Canterbury people can feel confident that decisions are being made after careful consideration of necessary information and in a timely fashion where possible.

The assessors also feel CERA has been able to show it exceeds expectations in the way it regularly appraises community response to its decision making.

The overall rating shows that while it is exceeding expectations at this point it is also clear there are a number of areas of transparency it can work on to get a significantly higher rating.

## KRPI 4 - Effective Engagement and Communication with Community

### *Score 2.17 – Expectations exceeded*

In the field of communications it is often true that perceptions are reality. And in the aftermath of a major disaster, where every bit of information is vital to help people make sense of their altered lives, the importance of effective engagement and communication cannot be overstated.

Research also shows us that the two-way process of effective communication is even more important in recovery from disaster than at any other time.

### Assessment

The majority of the communications work which CERA has done has been of exceptional quality as disclosed by the CERA website and the other initiatives it has taken.

In particular the assessors wish to applaud CERA for the LandCheck website which was built by TradeMe and which has registered millions of visits as Canterbury people have sought information on the current status of their land and property.

The use of modern technologies has been excellent.

The assessors feel CERA fully deserves its ratings for exceptional performance for its delivery of

- Specific focus on identifying people still affected, assessing and addressing their needs (red zones etc)
- Easily accessible information sources, feedback mechanisms
- Messages, communications channels and methodologies which are sympathetic to people's needs
- Communications maintaining a sense of momentum and making positive progress
- Regular appraisal of community response to effectiveness and messaging of communications

CERA's systems for capture of issues and complaints and dealing with those is slightly better than expected.

Unfortunately there are three important areas where CERA was unable to be rated and which resulted in an overall score much lower than the ratings above suggest.

The assessors are unable to find any evidence that CERA has a process for capturing community and individual feedback about its communications so it can be built into future responses and decision making. All modern organisations know that customer feedback is a crucial part of service development. CERA is charged with a major service delivery task and it should be possible to see it adopting suitable processes to allow it to capture how people in Canterbury feel about the job it is doing.

It is also fundamental to effective communications practice that in internal audit process of stakeholder and community engagement be a regular feature of business practice. The purpose is to use the information to revise communications strategies and plans to ensure continued maximum effectiveness.

No evidence has been found by the Assessment Panel to enable it to make a judgement or rating.

A consequence is a significant reduction in the overall rating which does not reflect the good work being done.

CERA has it in its own hands to change the rating by providing the information which would allow an informed evaluation to be made.

## KRPI 5 – Robust Plans for the Future

### *Score 1.25 – Reasonable expectations not achieved – work in progress*

For recovery outcomes to be maximised plans must explicitly incorporate measures to implement the Vision and strategies they are derived from.

Plans must also form the basis for ongoing dialogue with people and communities to ensure they achieve objectives of increased resilience, affordability, practicality and that they will result in valued outcomes.

#### Assessment

The assessors mark this KRPI relatively low, mainly due to the fact the planning process has not commenced in earnest. While the planning process has commenced, and a delivery date is noted, no information was available to identify whether expected progress had been made in each of the planning areas identified.

For six of the dimensions CERA is achieving expectations. Some discussion occurred about whether the most appropriate rating is as “work in progress” but the assessors feel CERA could not be expected to do more than it has done in the development of plans.

Therefore the assessors wish to emphasise this rating should not be seen as a criticism, just as a reflection of the incomplete nature of these work streams.

*“...we would like to see more explicit plans in the next evaluation in 6 months time...”*

Four of the 11 elements of this KRPI were unable to be rated at all because of the total absence of information upon which to base a judgement. The assessors are hopeful that when the next evaluation is undertaken in mid 2012 CERA will actively participate and provide relevant details.

## KRPI 6 – Informed Regulatory Decision Making Processes and Outcomes

### *Score 2.37 – Expectations exceeded*

The opportunity exists, in the aftermath of disaster, to reconsider regulatory compliance issues and the appropriateness of existing regulatory practice.

The Authority must pay particular attention to facilitating recovery by removing unnecessary pre-existing barriers and enforcement behaviours.

The very wide powers CERA has can be used effectively to reduce complexity and shorten compliance time frames but these must be exercised with care and deliberation.

### Assessment

CERA has taken several decisions which have had a considerable impact on the complexity of existing regulatory requirements. Of particular note are the recent decisions to override existing planning restrictions to free up land to ensure there is a suitable supply of sections for families needing to relocate away from red zones.

The assessors rated CERA as exceeding expectations where it has delivered:

- Identified reductions in complexity
- A robust and transparent regulatory impact assessment process
- Clear milestones and time frames
- Assessment of existing regulations/rules and proposals for change
- Speed of recovery as an important factor in assessment of regulations/rules
- Regulatory policy being widely communicated

CERA is performing to expectations on its consideration of economic issues and in undertaking social benefit analysis.

The assessors are unable to rate CERA's performance at this stage on the measurement of post-regulation impacts or on an anticipated process for updating and adjustment in light of later information.

## KRPI 7 – Prudent provision and Maintenance of Community Infrastructure and Facilities for Community Well-being

### *Score 2.82 – Expectations exceeded*

The reasonable expectation is that decision makers will review existing plans to ensure infrastructure and facility restoration and development specifically reduces future risks and enhances resilience.

We would expect to see evidence of coordination with neighbouring entities to maximise opportunities for leveraging improvements; encouragement of and consideration of community input; sound asset management practice. Because the aftermath creates a learning and improvement opportunity we would expect to see evidence that the opportunity is recognised and a fundamental part of the process going forward.

### Assessment

There is evidence all around the Canterbury region that CERA has placed a very high and appropriate priority on the well being of the population by facilitating and coordinating restoration of vital services and infrastructure.

The assessors feel CERA has performed exceptionally in the delivery of:

- A transparent, multi-year plan for maintenance and enhancement of infrastructure
- Infrastructure plans which are consistent with the vision and strategy
- Speed of recovery being an important factor in assessment of infrastructure plans
- Communicating its plans widely to the community and stakeholders
- Having a process for updating and adjustment in light of later information

CERA has exceeded expectations in the measurement and reporting of economic and other impacts.

*“...CERA has done fantastic work in a very short time and has delivered for most of the people most of the time...”*

## KRPI 8 – Appropriate Human Resources

*Score 0.00 – No evidence to allow this KRPI to be scored*

Like leadership the quality of the recovery is significantly determined by the quality of human resource applied and the decisions which are made to enhance existing resources. It is clear that the style of management in recovery mode is vastly different to that which maximises success in response mode.

It is not possible for an entity to replace the human resource it has on hand at the point of transition but it can institute programmes to assign responsibilities to existing staff who have the requisite personal attributes and skill sets. It can also augment existing skills through focused staff development programmes to ensure they are better prepared to manage the multitude of tasks they are confronted with.

An organisation is only as good as the people it employs and therefore it is also critical to ensure staff are appropriately managed to minimise their personal stress and maximise their personal recovery.

### Assessment

The absence of any information from CERA as part of this process made it impossible for the assessors to rate this dimension.

## Future Canterbury Network (Inc)

### Founding Funders



Hon Philip Burdon, Ernie Henshaw

Individual Sponsors; Barbara Stewart, Graham Ewing

## Appendix A

### **The Key Recovery Performance Indicators**

**N.B.** Issues of affordability and practicality will be important qualifiers in assessing Critical Success Factors throughout this Matrix and particularly in relation to Plans for the Future.

<b>Recovery Indicator</b>	<b>Critical Success Factors</b>
<i>Shared Recovery Vision for Future</i>	<ol style="list-style-type: none"> <li>1. Does the Vision meet, reflect, give effect to the aspirations of the community?</li> <li>2. Does the Vision encourage bold, exciting, inclusive and innovative thinking about solutions?</li> <li>3. Does the Vision encourage people to stay in or come to Canterbury and Christchurch?</li> <li>4. Does the Vision contribute to the development of social capital (i.e. trust, confidence in the future, feeling valued) in the community?</li> <li>5. Does the Vision include a set of principles to guide and measure future decision making?</li> </ol>
<i>Aspirational Strategy for Achievement of the Recovery Vision</i>	<ol style="list-style-type: none"> <li>6. Does the earthquake recovery strategy set reachable goals, take the community with it, reflect knowledge of the aspirations and needs of:               <ol style="list-style-type: none"> <li>a. people, including their economic, health, cultural, social and environmental needs, and</li> <li>b. the needs of communities including the business community, the arts and cultural sector, the sports community etc?</li> </ol> </li> <li>7. Does the strategy encourage solutions that enhance strengths and reduce weaknesses?</li> <li>8. Does the strategy identify robust processes for managing interdependencies?</li> <li>9. Does the strategy develop pathways for the involvement of other key participants in realising the strategy?</li> </ol>
<i>Governance</i>	<ol style="list-style-type: none"> <li>10. Does the Governance process include regular appraisal of identified key performance Indicators?</li> <li>11. Is the governance process transparent?</li> <li>12. Is leadership unifying?</li> <li>13. Is there a focus on encouraging leadership from within</li> </ol>

	<p>the community?</p> <p>14. Are leadership decisions consistent with the Vision and the Strategy?</p> <p>15. Do governance decisions reflect a robust process of choosing between well researched alternatives?</p> <p>16. Do governance decisions recognise the potential for conflict and include processes for effective conflict resolution?</p> <p>17. Does the governance process include analysis of multiple dividend possibilities from decision choices?*</p>
<p><i>Effective Engagement and Communication with the Community</i></p>	<p>18. Are the perceptions of stakeholders about the quality of engagement and communication subject to regular assessment?</p> <p>19. Do communications strategies and approaches meet the needs of diverse audiences?</p> <p>20. Is there an accessible and transparent process for community and public perceptions to feed back into decision making?</p> <p>21. Is there evidence that community feedback is having a positive impact on decision making and the impacts are being reflected back to the community?</p> <p>22. Is there a clear communications strategy which encourages dialogue with communities and which is regularly tested for effectiveness?</p>
<p><i>Robust Plans for the Future</i></p>	<p>23. To what extent are plans consistent with the Vision and the strategy?</p> <p>24. Have plans been shared widely with affected people and communities?</p> <p>25. Do plans reflect community needs?</p> <p>26. Do plans seek to eliminate weakness and enhance strengths?</p> <p>27. Do plans give confidence they will result in valued outcomes for people, for business and communities?</p> <p>28. Are plans affordable and practical and therefore able to be implemented?</p> <p>29. Do plans explicitly reflect integrated consideration of economic, cultural, social and environmental well-being?</p> <p>30. Do the plans establish a basis for measuring multiple dividend impacts<sup>1</sup> from planned outcomes?</p>

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<sup>1</sup> **Definition of Multiple Dividend Analysis:** For the purpose of this Matrix, Multiple Dividend Analysis means the extent to which evaluation, planning and decision making has taken into account, and where possible generates positive outcomes, across social, cultural, environmental, economic and political Indicators. The term is similar to “Triple Bottom Line” and endeavours to extend the approach in two respects: increasing range of consideration from 3 to 5 Indicators, and moving beyond a compliance and reporting approach to one where expectations of positive outcomes/impacts are assessed resulting in win-win-in outcomes e.g. decisions about infrastructure can generate positive economic, social, cultural and environmental outcomes – which are then reported as such.

	31. Are plans updated and adjusted in light of information and feedback from communities?
<p><i>Effective Regulatory Decision Making Processes and Outcomes</i></p>	<p>32. What evidence is there of regulatory philosophy and evaluation practice that:</p> <ul style="list-style-type: none"> <li>• seeks the minimum necessary intervention to achieve clearly stated desired outcomes</li> <li>• weighs the costs of regulation with its benefits from among alternatives</li> <li>• reflects community views of those likely to be affected</li> <li>• exercises legislative discretion (where it exists) in a responsive and transparent manner?</li> </ul> <p>33. How well does regulatory processing performance compare with statutory requirements and/or declared targets in terms of:</p> <ul style="list-style-type: none"> <li>• speed and/or effectiveness of decision making</li> <li>• clearly and reasonably stating the reasons for regulatory decisions?</li> </ul> <p>34. what evidence is there that the regulatory requirements of recovery activities have been assessed and regulatory processes streamlined as a result and are those adjustments proving effective?</p>
<p><i>Prudent Vision and Management of Community Infrastructure and Facilities for Community Well-being</i></p>	<p>35. How does planning for infrastructure and facility restoration and development specifically reduce future risk and achieve enhanced resilience?</p> <p>36. In planning and implementing restoration and development is there evidence of:</p> <ul style="list-style-type: none"> <li>- effective interagency coordination/collaboration around appropriate and shared priorities/opportunities?</li> <li>- consideration of community views in setting service standards/ levels of service</li> <li>- sound asset management practice</li> </ul> <p>37. Do plans include clear achievement goals and timetables?</p> <p>38. Are the anticipated outcomes in the plan subject to regular assessment and reporting?</p>
<p><i>Appropriate Human Resources</i></p>	<p>39. Are clear processes (training, knowledge transfer, leadership etc) in place to ensure attributes and knowledge of key staff are matched to the requirements of the Vision and strategy?</p> <p>40. Does the organisation employ people with the right attributes and skill sets to maximise the opportunities afforded by the recovery?</p> <p>41. What support structures are in place and what initiatives have been taken to address the personal needs of staff affected by the earthquakes and recovery?</p>

## Appendix B:

### Relevant correspondence with CERA about Evaluation of Recovery Performance

The attached letters from the Future Canterbury Network followed discussions with the Minister for Canterbury Earthquakes Recovery, Hon Gerry Brownlee, about the FCN and the role it intended to play in the recovery process.

The FCN wrote to the Chief Executive of CERA, Roger Sutton on 12 October and included with that letter an Official Information request.

This letter was acknowledged with a phone call on the afternoon of 8 November. The CERA official acknowledged CERA was aware the FCN evaluation would be undertaken the next morning.

The letter and Official Information request and the response from CERA received on 9 November are appended below.

12 October 2011

Roger Sutton  
Chief Executive  
Canterbury Earthquakes Recovery Authority  
Private Bag 4999  
Christchurch 8140

Dear Roger

## **FCN Evaluation of the Earthquake Recovery Performance of CERA**

As previously discussed with the Hon Gerry Brownlee Minister for Canterbury Earthquake Recovery and as conveyed to you in earlier dialogue, the Future Canterbury Network intends to evaluate the performance of Canterbury local government entities and the Canterbury Earthquakes Recovery Authority.

I attach a copy of the Matrix we will use to undertake our evaluation. You will note that the Matrix process seeks documentary evidence so that the evaluation team will be able to make an informed judgement about the extent to which the entity being evaluated is observing best practice governance and management.

Thus far we have completed evaluations on the recovery efforts of both Selwyn District Council and Waimakariri District Council. Both have found it very helpful to have independent scrutiny of their efforts to date and have learned much.

Our intention is to undertake our evaluation of Christchurch City Council on 3 November and to follow that immediately with an evaluation of CERA the following week .

I have attached a detailed request for official information to enable us to undertake a fair and balanced evaluation. Could you please supply 7 copies of the information sought by 1 November so I can forward it to the evaluation team to enable them to read through it prior to the date for the evaluation taking place – which is scheduled for Tuesday 7 November. Our experience with Selwyn and Waimakariri shows us it takes 5-6 hours to complete the discussion and record the results of the evaluation process.

The Evaluation team is designed to comprise 6 people – two nominated by the entity being evaluated (in this case CERA), two from the community and two from the Future Canterbury Network.

We have identified community representatives and also those who will represent the FCN. At this stage the advice we have from the Minister is that CERA will not be nominating participants.

We believe this is an opportunity missed on the part of the CERA because it means that a vital perspective on what has transpired is omitted.

I would urge you and the Minister to reconsider and advise us of two official CERA representatives who would undertake to make their assessments as part of the Assessment Panel.

I would also reassure you that the intention of the FCN is to assist the statutory decision making bodies to achieve the best possible outcomes from the recovery. If you consider the reports we have prepared on the outcomes of the Selwyn and Waimakariri evaluations (attached) you will note our approach is constructive and informed.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Francis Wevers', is centered on a light beige rectangular background.

Francis Wevers  
**Executive Director**

c.c. Hon Gerry Brownlee, Minister for Canterbury Earthquake Recovery

## Information Request to Canterbury Earthquake Recovery Authority for Earthquake Recovery Accountability Matrix

Please supply CERA documents relating to the response and to and recovery from the Canterbury earthquakes as follows:

- Records of the exercise of Ministerial functions pursuant to section 8 (b) – 8(k) of the Canterbury Earthquake Recovery Act 2011
- Finalised strategy papers, finalised policy papers and progress reports prepared for Ministerial and/or Cabinet consideration
- Reports on outcomes of meetings with external agencies, stakeholders (including other entities with responsibilities for the recovery) and affected community groups
- Relevant minutes of Management team meetings
- a representative sample of CERA publications such as community newsletters, newspaper advertisements,
- a representative sample of communications with community groups

And in particular those documents which will provide evidence of the Critical Success Factors set out in the Accountability Matrix i.e.

- CERA's vision for the future of Christchurch and Canterbury
- The steps which CERA has taken to ensure the Vision is shared with the communities it is responsible for and
- The extent to which the vision forms a benchmark against which strategies, plans and operational decisions are developed and subsequently tested for alignment
- The articulation of the vision throughout strategies and plans
- The extent to which there are effective governance and management processes in place to ensure current and future decision making is consistent with the objective of maximising realisation of the vision
- The extent to which CERA has worked effectively with other agencies and external stakeholders
- The extent to which there are communications strategies, plans and activities to ensure CERA continues to work to achieve the needs of the communities it serves
- The extent to which employee tasks and approaches are and continue to be aligned with the shared vision, strategies and plans
- The extent to which CERA is learning from the work it is doing to ensure mistakes aren't repeated in future
- The extent to which existing pre-quake weaknesses have been identified and considered

- The extent to which existing pre-quake strengths have been built on

12 October 2011

**CERA**   
**Canterbury Earthquake  
Recovery Authority**

Francis Wevers  
Executive Director  
c/-Anderson Lloyd  
PO Box 13-831  
**CHRISTCHURCH 8141**

Ref: CE/11/53

Dear Mr Wevers

Thank you for your letter of 12 October 2011 in which you attach a request under the Official Information Act 1982 (OIA) for information held by the Canterbury Earthquake Recovery Authority (CERA).

Owing to the need to undertake consultations to make a decision on your request, under section 15A of the Official Information Act 1982, I am extending the time limit for replying to your request by 20 working days from 8 November 2011 to 6 December 2011.

Under section 28(3) of the Official Information Act 1992, you have the right to make a written complaint to an Ombudsman about this extension of the time limit.

Yours sincerely,



Benesia Smith  
**Chief Advisor to the Chief Executive**

## Appendix C:

### Assessor Biographies

#### Chris Brocket

A Director of several local businesses and a long history of involvement in some of the City's Arts organisations. A former Chairman and now trustee of the Christchurch Art Gallery Trust, Trustee, The Canterbury Society of Arts Charitable Trust trading as COCA (the Centre of Contemporary Art), Trustee, Local Heroes Trust, Trustee, W A Sutton Charitable Trust.

#### Chris Selbie

Chris is an experienced senior human resources executive with local and international management and consultancy experience in the service and manufacturing sectors. Chris is currently General Manager Human Resources with Holcim (New Zealand) Limited.

After graduating with a Bachelor of Commerce from Otago University Chris spent his early career working in the education and health sectors before joining the Dunedin office of international advisory firm Deloitte as a senior human resources consultant. Chris subsequently moved to Christchurch to lead the Deloitte South Island human resources consulting practice. In 2002 he joined multinational wire and cable manufacturer General Cable where he held a number of senior management roles including Director of Human Resources for the Asia Pacific region.

Chris lives in Cashmere and is married with 2 children.

#### Jen Crawford

Jen Crawford has 15 years experience as a resource management and environmental lawyer. Jen graduated in 1995 from the University of Otago, LLB/BA Hons (First Class, History). In 1994 she received a High Commendation Award as a Judge on the International Court of Justice at the Model United Nations Conference held in Sydney.

Jen commenced practice in February 1996 in Auckland with national law firm Bell Gully, before returning home to the South Island to join Buddle Findlay's Christchurch office in 1999. From 2001 Jen was based in London as part of the leading environment, planning and regulatory team

of international magic circle law firm Freshfields Bruckhaus Deringer, advising on environmental risks arising from cross-border mergers and acquisitions. Jen returned to Christchurch in February 2003, joining Anderson Lloyd Lawyers and becoming a partner in 2008.

Jen was appointed to the Arts Centre of Christchurch Trust Board as an independent trustee in June 2010. She is also a member of the Institute of Directors, Sustainable Business Network, Courtenay Reserve Management Committee and Resource Management Law Association (RMLA). Jen was co-convenor of the 2010 RMLA National Conference which was held in Christchurch in October of last year.

Jen is married with two children and lives on a lifestyle block just outside of Christchurch.

## Margaret Austin

Margaret Austin was elected to Parliament in 1984 as Labour MP for Yaldhurst. Formerly she was a Science Teacher and Education Administrator, held a Teaching Fellowship at Canterbury University in 1970 and a Commonwealth Education Fellowship in London in 1980. As an educator she was active in science curriculum development, assessment and teacher education. She was involved in the establishment of the NZ Science Teachers Association and the NZ Educational Administration Society.

In Parliament she sat on the Communications and Road Safety Committee and Chaired the Education and Science Committee. Two years as Senior Government Whip preceded election to Cabinet with the portfolios of Research Science and Technology, Internal Affairs, Arts and Culture and Civil Defence. She was awarded the Royal Society silver medal in 1994 for services to science education and administration. From 1991 to 1996 her Portfolio responsibilities were Education and Research Science and Technology.

Margaret was awarded the MNZM in the Queens Birthday Honours in 1997, made a Companion of the Royal Society and a Fellow of the NZ Institute of Management in 2003. She was awarded the CNZM in the New Year Honours 2008 and received a D.Sc (honoris causa) from Lincoln University in 2006.

Since leaving Parliament at the end of 1996 she has Chaired two Education Inquiries at the direction of the Minister of Education. She was Chancellor of Lincoln University 1999-2005, Chaired the National Commission for UNESCO NZ 1999-2006 and was President of the Presidents of National Commissions worldwide 2004 – 2007. Since 2006 she has been seconded by the Director General of UNESCO to undertake special projects. She was inaugural member and chair of Osteoporosis NZ 1998-2005 and chaired the Centre for Reproductive Medicine in Christchurch 1997–2007. She was elected to the Council of the Royal Society of NZ for the period 2006-2010 and as a Vice-President has responsibility for the Science Education and Technology portfolios. Currently she chairs the Community Advisory Board for Pegasus Health (2005 -), is Patron of Rutherford's Den (2008-) is a Board Member of Science Alive (2007 -) and the Arts Centre Trust (2010-) in Christchurch. She Chairs the Mackenzie Tourism and Development Trust Working Party (2005 -) on securing International recognition for a Starlight Reserve located in the Aoraki/Mt Cook – Lake Tekapo District.

## Peter Jenkins

When the September earthquake changed the lives of many Kaiapoi residents, Peter Jenkins became aware that the voices of many vulnerable community members were not always heard. He set up the Kaiapoi Residents Association to help co-ordinate and represent the range of community needs, meeting regularly with Waimakariri Council to advocate for residents and ensure good communication flows.

The Kaiapoi Residents Association now has 240 household members, (500 people); most meetings, which are held monthly, normally see attendance figures of approximately 70-90 people.

Peter and his wife Shirley have lived in Kaiapoi since 1993, moving to Canterbury from Southland where they were involved for many years in service/community organisations. They're passionate about their community and helping it rebuild into a stronger, better place for all residents.

Peter and Shirley have two daughters, one who lives with her husband and two children in Auckland, while their second daughter lives with her husband and two children in Kaiapoi. Peter works for Landpower New Zealand, an agricultural machinery specialist company, as Training Manager.

## Ruth Warren

A former Selwyn District Councillor Ruth was chair of the Waste Management Committee, chair of Library Committee and a member of District Plan Committee and Planning and Regulatory Committee. Ruth was also a planning commissioner, a member of the Film South Board, Haunui Trust and of the Malvern Youth Trust. She was involved in many township, reserve and local committees. This involvement continues particularly in art where she has been a member of the Malvern Community Arts Council for 14 years, 5 years as chairperson. Currently she is also a member of the Selwyn Arts Trust.

Ruth was born and schooled in Christchurch before training as a teacher.

Teaching focussed Ruth on people's needs and she used her skills to develop special programmes individually tailored to ensure they left school prepared for further training or work. As an extension of teaching Ruth was employed by CCC in Timaru as a liaison officer between home and school designing aids to enable children with special needs to be fully integrated into the classroom.

Contract work with the Department of Labour provided further opportunities to develop programmes for the unemployed to use the artistic skills they had and to provide guidance on how they could develop their own small businesses.

Married with two grown up children Ruth lives and farms with her husband at Greendale.