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Policy Paper: Model Structure Options for National Disaster Offices

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EXECUTIVE SUMMARY

Section 1 is an introduction to this policy paper and its structure. It sets out the purpose, that is to guide policy makers as they consider the recommendations and model structure options that have been presented in the *'Revised Final Report: Model Structure Options for National Disaster Offices, Volume I'*, dated 11th June 2014.

It outlines the overarching objective for the consultancy. This coupled with the specific objectives essentially required an Organisational Assessment, also known as an organisational review, to be undertaken in respect of the 18 National Disaster Management Offices (NDOs) that fall within the remit of the Caribbean Disaster and Emergency Management Agency (CDEMA). The purpose of such a review is articulated as to *"identify individual Ministries, agencies or work units that are to be restructured for cost-effectiveness, effectiveness, and/or efficiency reasons"*[1].

The section also identifies the overarching problem concerning progressing comprehensive disaster management (CDM) at the a national level, namely the need for capacity development to enable the Participating States to deal with the challenges they face in managing disasters, and, in non-emergency times addressing the broader issues and threat to sustainable development.

Section 2 addresses the Caribbean context and challenges as regards comprehensive disaster management (CDM), and the drivers for the consultancy.

Section 3 briefly explains the purpose, methodology and findings from the organisational assessment. In short the findings conclude that there are a number of key success factors that need to be addressed to progress CDM at the national level, of which structure is only one. Furthermore, capacity development of the Participating States pertaining to those key success factors is still a real need.

Section 4 sets out the recommendations following the organisational assessment, which, cover other aspects related to capacity development, as well as structure.

Section 5 presents the model structure options. The 3 options presented are developed as a basis for the NDOs to customise acording to their country and operating context. The models individually stand alone, or, could be used as steps in a phased approach to achieving the fully functional NDO described in model 3.

[1] Manning, N. and Parison, N, (2004), '*Determining the Structure and Functions of Government: Program and Functional Reviews'* World Bank, Moscow

ABBREIVIATIONS

CDERA	Caribbean Disaster and Emergency Response Agency
CDEMA	Caribbean Disaster and Emergency Management Agency
CDRF	Capacity Development Results Framework
CDM	Comprehensive Disaster Management
CDM-CDRF	Comprehensive Disaster Management- Capacity Development Results Framework
CDM Legislation	Comprehensive Disaster Management Legislation
DME Panel	Disaster Management Expert Panel
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
IFIs	International Financial Institutions
NDCs	National Disaster Co-ordinators
NDOs	National Disaster Management Offices
MDAs	Ministries, Departments and Agencies
OECD DAC	Organisation for Economic Co-operation and Development – Development Assistance Committee
UNISDR	United Nations International Strategy for Disaster Reduction
WB	World Bank

DEFINITIONS/GLOSSARY OF TERMS

Term	Definition
Capacity	The combination of all the strengths, attributes and resources available within a community, society or Organisation that can be used to achieve agreed goals. Comment: Capacity may include infrastructure and physical means, institutions, societal coping abilities, as well as human knowledge, skills and collective attributes such as social relationships, leadership and management. Capacity also may be described as capability. Capacity assessment is a term for the process by which the capacity of a group is reviewed against desired goals, and the capacity gaps are identified for further action (UNISDR, 2009).
Capacity Building (specific to disaster risk reduction)	Capacity building, sometimes called capacity development, in disaster risk reduction terms is the process by which people, Organisations and society systematically stimulate and develop their capability over time to achieve social and economic goals, including through improvement of knowledge, skills, systems, and institutions - within a wider social and cultural enabling environment. *UN Office for Disaster Risk Reduction (UNISDR), website: http://www.unisdr.org/files/23647_themesandissuesindisasterriskreduct.pdf [accessed 19/05/2014]* Institutional Capacity Building is one aspect of overall capacity building and is related to the development of a specific institution/s capacity over time to achieve the relevant goals.
Capacity Development	This is a locally driven process of learning by leaders, coalitions and other agents of change that brings about changes in socio-political, policy-related, and Organisational factors to enhance local ownership for and the effectiveness and efficiency of efforts to achieve a development goal (World Bank Institute 2009).
Capacity for development	The availability of resources and the efficiency and effectiveness with which societies deploy those resources to identify and pursue their development goals on a sustainable basis (World Bank Institute 2009)
Comprehensive Disaster Management	Comprehensive Disaster Management (CDM) is defined as incorporating management of all hazards through all phases of the disaster management cycle – prevention and mitigation, preparedness, response and recovery – by public and private sectors, all segments of civil society and the general population in hazard prone areas. CDM involves risk reduction and integration of vulnerability assessment into the development planning process. (CDEMA 2001) *Note: CDM is an approach that promotes "a seamless set of activities from preparation to mitigation, to planning to prediction and response to recovery. Every activity is directed towards a never-ending quest for disaster resilience", CDEMA, (2012) Comprehensive Disaster Management: A Model National CDM Policy and Adaptation Guide for Caribbean Countries, St Michael, Pg.13*
Disaster	A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources.

Term	Definition
	The term "Natural Disasters" is often used to describe a disaster that emanates from natural, as opposed to man-made interventions, e.g. Bush fires, Flooding, hurricanes etc. ***Note**: Disasters are often described as a result of the combination of: the exposure to a hazard; the conditions of vulnerability that are present; and insufficient capacity or measures to reduce or cope with the potential negative consequences. Disaster impacts may include loss of life, injury, disease and other negative effects on human physical, mental and social well-being, together with damage to property, destruction of assets, loss of services, social and economic disruption and environmental degradation. (UNISDR, 2009)*
Disaster Management	"Disaster Management is the organisation and management of resources and responsibilities for dealing with all humanitarian aspects of emergencies, in particular preparedness, response and recovery, in order to lessen the impact of disasters" *UN Office for Disaster Risk Reduction (UNISDR), website: http://www.unisdr.org/we/inform/events/30179 [accessed 19/03/2014]*
Disaster Risk Management	The systematic process of using administrative directives, Organisations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster. *Note: This term is an extension of the more general term "risk management" to address the specific issue of disaster risks. Disaster risk management aims to avoid, lessen or transfer the adverse effects of hazards through activities and measures for prevention, mitigation and preparedness. (UNISDR, 2009).*
Disaster Risk Reduction	The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events. ***Note**: Whilst the term "disaster reduction" is sometimes used, the term "disaster risk reduction" provides a better recognition of the ongoing nature of disaster risks and the ongoing potential to reduce these risks. (UNISDR, 2009).*
Hazard	A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. *Note: The hazards of concern to disaster risk reduction as stated in footnote 3 of the Hyogo Framework are "… hazards of natural origin and related environmental and technological hazards and risks." Such hazards arise from a variety of geological, meteorological, hydrological, oceanic, biological, and technological sources, sometimes acting in combination. In technical settings, hazards are described quantitatively by the likely frequency of occurrence of different intensities for different areas, as determined from historical data or scientific analysis. (UNISDR, 2009)*

Term	Definition
High Performing National Disaster Management Offices	Those National Disaster Management Offices (NDOs) that have been able to significantly progress the CDM mandate at the national level and are regarded by their peers as examples of high performing NDOs.
Mitigation	The lessening or limitation of the adverse impacts of hazards and related disasters.
Preparedness	The knowledge and capacities developed by governments, professional response and recovery Organisations, communities and individuals to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions. Comment: Preparedness action is carried out within the context of disaster risk management and aims to build the capacities needed to efficiently manage all types of emergencies and achieve orderly transitions from response through to sustained recovery. Preparedness is based on a sound analysis of disaster risks and good linkages with early warning systems, and includes such activities as contingency planning, stockpiling of equipment and supplies, the development of arrangements for coordination, evacuation and public information, and associated training and field exercises. These must be supported by formal institutional, legal and budgetary capacities. The related term "readiness" describes the ability to quickly and appropriately respond when required. (UNISDR, 2009)
Pre-Disaster Mitigation	This is term is used to describe those mitigation activities designed to reduce risks, and, that are conducted prior to a disaster event; they include hazard mitigation planning and the implementation of all hazard mitigation projects especially prior to a disaster event (FEMA, see http://www.fema.gov/media-library-data/20130726-1621-20490-3677/roleofmitigationpost_disaster_2013.pdf) *Note: Therefore, within the Caribbean context this would include Risk Identification, Structural Mitigation and Risk Transfer*
Post-Disaster Mitigation	This may include similar activities to Pre-Disaster Mitigation however the emphasis is different. Here the focus is typically assessing, reviewing and evaluating factors that contributed to the disaster, e.g. hazard mitigation, community planning etc. with the goal of engaging in a learning process that should improve the system for the future. (FEMA, see see http://www.fema.gov/media-library-data/20130726-1621-20490-3677/roleofmitigationpost_disaster_2013.pdf)
Recovery	The restoration, and improvement where appropriate, of facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. Comment: The recovery task of rehabilitation and reconstruction begins soon after the emergency phase has ended, and should be based on pre-existing strategies and policies that facilitate clear institutional responsibilities for recovery action and enable public participation. Recovery programmes, coupled with the heightened public awareness and engagement after a disaster, afford a valuable opportunity to develop and implement disaster risk reduction measures and to apply the "build back better" principle. (UNISDR, 2009)
Resilience	The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and

Term	Definition
	efficient manner, including through the preservation and restoration of its essential basic structures and functions. Comment: Resilience means the ability to "resile from" or "spring back from" a shock. The resilience of a community in respect to potential hazard events is determined by the degree to which the community has the necessary resources and is capable of organizing itself both prior to and during times of need. (UNISDR, 2009)
Results-Based Management	A management strategy focusing on performance and achievement of outputs, outcomes and impacts. (OECD DAC). Rather than focusing programme/project management efforts on the monitoring of inputs, activities and processes, an RBM approach concentrates on 'results' and places emphasis on the following dimensions: Defining realistic results based on appropriate analysis and context; Clearly identifying programme beneficiaries and designing programmes/projects that meet their needs and priorities; Using results information to make effective management decisions; Monitoring the progress made towards expected results with the use of appropriate indicators (Baastel-ESL (Canada- Jamaica), 2007)
Response	The provision of emergency services and public assistance during or immediately after a disaster in order to save lives, reduce health impacts, ensure public safety and meet the basic subsistence needs of the people affected. Comment: Disaster response is predominantly focused on immediate and short-term needs and is sometimes called "disaster relief". The division between this response stage and the subsequent recovery stage is not clear-cut. Some response actions, such as the supply of temporary housing and water supplies, may extend well into the recovery stage. (UNISDR, 2009)
Risk	The combination of the probability of an event and its negative consequences. Comment: This definition closely follows the definition of the ISO/IEC Guide 73. The word "risk" has two distinctive connotations: in popular usage the emphasis is usually placed on the concept of chance or possibility, such as in "the risk of an accident"; whereas in technical settings the emphasis is usually placed on the consequences, in terms of "potential losses" for some particular cause, place and period. It can be noted that people do not necessarily share the same perceptions of the significance and underlying causes of different risks. (UNISDR, 2009)
Risk Assessment	A methodology to determine the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that together could potentially harm exposed people, property, services, livelihoods and the environment on which they depend. Comment: Risk assessments (and associated risk mapping) include: a review of the technical characteristics of hazards such as their location, intensity, frequency and probability; the analysis of exposure and vulnerability including the physical social, health, economic and environmental dimensions; and the evaluation of the effectiveness of prevailing and alternative coping capacities in respect to likely risk scenarios. This series of activities is sometimes known as a risk analysis process. (UNISDR, 2009)
Strategic planning	A process of deliberative, disciplined approach to producing fundamental decisions and actions that shape and guide what an Organisation does (Bryson 2011)
Strategic Plan/Organisational Strategy	This is the document that is produced from a process of "deliberative, disciplined approach to producing fundamental decisions and actions that shape and guide what an Organization does (definition adapted from Bryson 2011).

Term	Definition
Sustainable Development	Development that meets the needs of the present without compromising the ability of future generations to meet their own needs. Comment: This definition coined by the 1987 Brundtland Commission is very succinct but it leaves unanswered many questions regarding the meaning of the word development and the social, economic and environmental processes involved. Disaster risk is associated with unsustainable elements of development such as environmental degradation, while conversely disaster risk reduction can contribute to the achievement of sustainable development, through reduced losses and improved development practices. (UNISDR, 2009)
Vulnerability	The characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a hazard. Comment: There are many aspects of vulnerability, arising from various physical, social, economic, and environmental factors. Examples may include poor design and construction of buildings, inadequate protection of assets, lack of public information and awareness, limited official recognition of risks and preparedness measures, and disregard for wise environmental management. Vulnerability varies significantly within a community and over time. (Definition adapted from the full report of the Brundtland's Commission). *Note: This definition identifies vulnerability as a characteristic of the element of interest (community, system or asset) which is independent of its exposure. However, in common use the word is often used more broadly to include the element's exposure. (UNISDR, 2009)*
Whole of Government Approach	"Whole of government denotes public service agencies working across portfolio boundaries to achieve a shared goal and an integrated government response to particular issues. Approaches can be formal and informal. They can focus on policy development, program management and service delivery", Source: Management Advisory Committee Report,(2004), *"Connecting Government: Whole of Government Responses to Australia's Priority Challenges"*, APS, Australia http://www.apsc.gov.au/publications-and-media/archive/publications-archive/connecting-government/challenge [accessed 2nd June 2014]

1. INTRODUCTION TO THE POLICY PAPER

1.1 INTRODUCTION

The purpose of this policy paper is to enable policy makers to consider the recommendations and model structure options that have been presented in the *'Revised Final Report: Model Structure Options for National Disaster Offices, Volume I'*, dated 11th June 2014. The paper summarises Kitch Consulting Ltd.'s findings, and independent advice and recommendation as set out in that Final Report.

1.2 OBJECTIVES OF THE CONSULTANCY

The overall objective of this consultancy was:

> *"to provide expert advice to the CDEMA CU and a Disaster Management Expert Panel comprising members from the CDEMA PS, on Organisational design and development"*

The specific objectives as per the Terms of Reference Terms of Reference for the consultancy in essence required an Organisational Assessment to be undertaken in respect of the 18 National Disaster Management Offices (NDOs) that fall within the remit of the Caribbean Disaster and Emergency Management Agency (CDEMA). The purpose of such an assessment being to *"identify individual Ministries, agencies or work units that are to be restructured for cost-effectiveness, effectiveness, and/or efficiency reasons"*[2].

1.3 THE PROBLEM IDENTIFIED

The drivers for the consultancy identify that there is still a need for institutional strengthening of the NDOs. Moreover, the findings from the organisational assessment make clear that capacity development of the NDOs is required to enable them to progress the CDM mandate at the national level.

1.4 STRUCTURE OF THE POLICY PAPER

The Policy paper is structured as follows:

Section 1: Introduction to the Policy paper

Section 2: Comprehensive Disaster Management: The Caribbean Context

Section 3: Findings from the Organizational Assessment

Section 4: Recommendations

Section 5: Model Structure Options

[2] Manning, N. and Parison, N, (2004), '*Determining the Structure and Functions of Government: Program and Functional Reviews'* World Bank, Moscow

2. COMPREHENSIVE DISASTER MANAGEMENT: THE CARIBBEAN CONTEXT

2.1 CHARACTERISTICS OF THE CDEMA PARTICIPATING STATES AND CURRENT CHALLENGES

This section sets out the wider contextual issues with regards to Comprehensive Disaster Management (CDM) within the Caribbean, as well as the actual drivers for this consultancy. These factors were critical in informing the model structure options presented in Section 5 of this paper.

2.1.1 Participating States can be categorised as Small Island Developing States

Initially KCL had sought to develop a 'typology' based on Organisational and country characteristics to categorize and group the 18 Participating States (PS) encompassed within CDEMA's remit. This would have made the data easier to analyse, including identifying trends and commonalities amongst the respective National Disaster Management Offices (NDOs). However, the diversity amongst the countries and amongst their respective NDOs rendered this exercise redundant for the purposes of a typology. None-the-less, one common feature was explored, which is that the PS are mainly Small Island Developing States (SIDS). Whilst there is no agreed definition of a SIDS the term is often applied to the 38 United Nations Member States, which does not include Anguilla, the British Virgin Islands, Montserrat, Turks and Caicos Islands[3]. None-the-less all the CDEMA Participating States (PS), whether SIDS or not, have open and intrinsically vulnerable economies with the following characteristics:

1. Small size
2. Remoteness from other islands
3. Vulnerability to external (demand and supply-side) shocks
4. Narrow resource base
5. Exposure to global environmental challenges
6. Have, on average, higher incomes than the least developed and the landlocked developing countries.

This is important in the context of CDM as the UN Secretary General elaborated in his Report of 2010[4]:

"By virtually any measure, Small Island Developing States are among the world's hot spots in terms of sustainable development. Their vulnerability has increased due to climate change and was most recently demonstrated by the global financial crisis of 2007-2010, the food and fuel crises of 2007-2008 and the large-scale natural disasters, which occurred in 2009-2010"

2.1.2 Current challenges

Most, if not all, of the challenges faced by the CDEMA Participating States (PS) apply to other regions. However, the impact of the challenges is exacerbated for SIDS. The Caribbean region is facing the following challenges:

[3] Report of the Secretary-General, 2010 [A/65/115], http://www.un.org/en/ga/search/view_doc.asp?symbol=A/65/115 [accessed 22.11.2013]
[4] Report of the Secretary-General, 2010, [A/65/115], p.7, http://www.un.org/en/ga/search/view_doc.asp?symbol=A/65/115 [accessed 22.11.2013]

- Low growth and high debt to GDP ratios, with several of the PS having entered into structural agreements with the International Monetary Fund;
- High dependence on a few revenue generating sectors, predominantly Tourism, Agriculture, and Financial Services;
- Multiple natural disasters over a sustained period that have had significant impact on the economic and social growth and development of PS;
- High emigration rates of those with the most needed professional, technical and high level vocational skills.

These challenges are a threat to the sustainable development agenda at both the national and regional levels; thereby impacting the social and economic growth and quality of life of CARICOM countries and their citizens.

2.2 DRIVERS FOR THIS CONSULTANCY

This consultancy was an outcome of the 2010 Technical Advisory Committee of CDEMA entitled: *"Towards Defining a Model for National Disaster Office Organisational Structure to Deliver Comprehensive Disaster Management"*. However, the drivers that led to the initial exploration of the subject at tee TAC are seen below.

2.2.1 Linking CDM to development decision making

Given the challenges faced by PS and the impact on the sustainable development agenda when disasters occur, in 2001 the Caribbean Community (CARICOM) following stakeholder consultation adopted a strategy and results framework for CDM (the CDM Framework (2001)) in the region. The goal was to link CDM to development decision-making and planning.

2.2.2 Institutional strengthening of the NDOs

In 2006 an assessment to monitor progress on the CDM Framework (2001) was undertaken. The assessment report highlighted that *"NDOs (National Disaster Offices) …are still seen as generally too weak to bear the CDM's objectives fully, and general consensus is that the national governments have not given the priority attention required in terms of human and financial resources".*

In 2007, an enhanced CDM strategy and results framework[5], (the CDM Strategy (2007)), was developed by CDEMA and adopted by CDEMA Council. The purpose of the CDM Strategy (2007) was to (i) strengthen regional and community level capacity, and to (ii) change the paradigm from a focus primarily on response to events, to one *"based on disaster risk reduction through greater attention to mitigation, preparedness and recovery"* concerning both natural and technological hazards and the effects of climate change.

In 2012 the CDM Strategy (2007) was reviewed and one of the key themes from the findings was that there continues to be a need for "Institutional Capacity Building" of the NDOs.

[5] Enhanced CDM Strategy and Results Framework (2007-2012)

3. FINDINGS FROM THE ORGANISATIONAL ASSESSMENT

3.1.1 Introduction

As mentioned in the introduction to this paper what was essentially required was an Organisational Assessment (the Assessment). The Assessment methodology included the use of desk-reviews of key documents provided by CDEMA and obtained via the internet, an on-line survey, semi-structured interviews with National Disaster Co-ordinators and their teams, workshops and consultations. It also included the development of an assessment tool; the purpose of which was to assess where the NDOs are currently as regards key success factors for progressing CDM at the national level.

3.1.2 Organizational Assessment Tool and Findings

The assessment tool provided 15 criteria upon which the assessment was conducted. It is predicated on the fact that a number of key success factors are critical to enhancing CDM at the national level, of which structure is only one. The factors were developed using characteristics identified by CDEMA as being critical to progressing CDM at the national level, theories and literature concerning the importance of governance arrangements on structure and organizational design principles; therefore it is split into 3 components (i) CDM Specific Tools, (ii) Governance Arrangements and (iii) General organizational design characteristics.

The key findings from the organizational assessment were: (i) there is much institutional strengthening needed in the area of CDM Specific tools. This is demonstrated, inter ailia, by the fact that whilst 56% (10/18) of NDOs have enacted disaster management legislation. The majority of the legislation is somewhat dated and so does not adequately address the concept of comprehensive disaster management, or disaster risk reduction a term more commonly used outside the region. In addition, only 18% of those NDOs that participated in the KCL survey have a CDM performance framework with clearly articulated performance measures specifically related to progress of CDM at the national level, as well as their performance as an NDO, (ii) concerning governance arrangements, the majority of NDOs were assigned within the government hierarchy to the office of the Prime Minister/equivalent, or a ministry regarded as having national importance. However, several of the NDOs were not full departments, but units and therefore had less autonomy than desirable, particularly concerning the management of financial and human resources, (iii) concerning general organizational design characteristics the findings showed that NDOs would benefit from the development of strategic tools used to guide an organisation, namely mission, vision and strategy. In addition concerning the functions, activities and competencies of the NDOs the findings showed that, save for a few exceptions, most NDOs were still primarily concerned with the functions of Preparedness and Response. It was also noted that the lack of human and financial resources was constraining the extension of the NDOs disaster risk management functions. Lastly, there was also a need to enhance the technical competencies and capability of the NDOs.

In short there is a need for capacity development to enable the NDOs to progress the CDM mandate at the national level. Appendix A: Summary of Findings from the NDO Organisational Assessment presents the indicators and a summary of the findings on each.

4. RECOMMENDATIONS

4.1 INTRODUCTION

Recommendations have been made that are not limited to structure. The reason being that to progress the CDM mandate at the national level requires consideration of other success factors, not just the structure of the NDOs. Indeed if the NDOs are re-structured but other factors are not addressed the potential benefits of re-structuring are unlikely to be achieved.

4.1.1 Core recommendations

The core recommendations that flowed from the findings were as follows:

1. That the model structures focus on enhancing capacity related to CDM Specific tools. Therefore the models include units specifically dedicated to legislation, policy and planning, as well as monitoring and evaluation. Furthermore that a CDM Capacity Development and Results Framework be developed and implemented to monitor progress on CDM at the national and organisational level;
2. Locate the NDO in the Office of the Prime Minister/equivalent, or a minister considered as having national importance;
3. NDOs need to have increased autonomy, particularly for financial and human resources and therefore should be full Departments within a ministry. Also, the National Disaster Co-Ordinator should be a Director, on an equivalent grade to the Permanent Secretary and an accounting officer. It was noted that the way to achieve this is likely for NDOs to become Agencies. However, NDOs were reticent about this. Therefore, it is recommended that CDEMA explore this option further.
4. That the NDOs create and or review their mission and vision statements, and use these to guide the development of an organisational strategy. The strategy should contain key strategic objectives and actions regards human and financial resources, how to raise the NDOs credibility amongst peers, how to finance the NDO where their government budgetary allocation is insufficient to meet operating and programming costs, which could include actions for revenue generation, not just seeking donor funding.
5. That the NDOs retain the structuring of their organisations along functional lines and create units to specifically address capacity development in areas than will progress the CDM mandate;
6. That NDOs conduct Cultural and Change Readiness Audits as regards their organisational culture and work climate. The intent being to develop an enabling culture, which is needed to successfully implement any new structures, and to generally drive progress on CDM at the national level;
7. That the NDOs be the lead **co-ordinating** agency for Preparedness, Mitigation (including early recovery/restoration and business continuity planning), and Response. However, they would provide a critical support role in Recovery, whilst ensuring co-ordination is addressed. The NDOs should also become the central repository for all disaster risk management information
8. That the NDO's adopt the Generic Competency Framework designed by KCL and that CDEMA look to develop a technical competency framework. In addition it is recommended that the National Disaster Co-ordinators have technical qualifications to support the much needed enhancement of the NDOs technical capability. Lastly, it is recommended that CDEMA develop

a Technical Services Unit, similar to that operated by the Secretariat of the Pacific Community (SoPAC) who have a permanent Geoscience and Technology Division.

5. MODEL STRUCTURE OPTIONS

5.1 INTRODUCTION

This section presents the 3 model structure options that KCL has recommended. KCL has developed functional structures based on the fact that the NDOs operating context fits well with organizational design principles articulated for functional structures.

The functional structure charts are presented here and the corresponding Terms of Reference that explain the remit of each function, and, their respective divisions and units are found in Appendix B.

KCL has deliberately chosen NOT to focus on the number of positions because this will vary according to the context and resources of the various NDOs. The models are not suggesting an 'optimum' number of staff, but the optimum divisions and units necessary to progress the various functions to the extent described. Therefore, the models do present potential minimum numbers of staff to operate the divisions and units presented. Each model expands the functional scope and so one would expect a corresponding increase in staff and this is shown.

It must also be understood that what is being presented are models, that is, "a system or thing used as an example". Models should be adapted to suit one's own context, i.e. population size, country size and geographic accessibility, resources, organisational culture and public sector administrative arrangements. They are not a prescription, nor do they set a 'standard' as concerns the number of divisions or staff that an NDO should have.

The three models are separate and distinct individual structures. However, they could be used as phases in transitioning an NDO from Model 1: a basic NDO concerned primarily with Preparedness and Response functions – to Model 2: an NDO dealing with Preparedness, Response and Mitigation (Risk Identification), and then Model 3: the full blown NDO dealing with all 4 stages of the Comprehensive Disaster Management Cycle. Participating States would need to develop a transition process, from their current structures, to the intended new structure based on their own unique country context.

5.2 MODEL STRUCTURE OPTION 1

Figure 1: Organisational Chart for model structure option 1 is set out below. It is designed to 'fix the basics', including adopting up-to-date CDM legislation, development of national CDM policies and plans and implementing a monitoring and evaluation system. Without fixing these basics the NDO would not have a sufficiently enabling environment to successfully implement a more developed model that delivers more extensively on the functional areas of Mitigation and Recovery.

5.2.1 Country context

This model is likely to suit NDOs who have few major incidents and/or small numbers of minor incidents, and low population density, for example Turks and Caicos Islands, St Kitts and Nevis, amongst others. Ideally, the NDO in this model structure would have the status of a full Ministry Department, for example the current Barbados NDO, Department of Emergency Management. However, it is acknowledged that because of the size and scope of the work of the NDO envisaged in this model, this may not be considered viable in some country contexts. Should that be the case the model still requires, and indeed envisages that the NDO would have sufficient autonomy and credibility amongst other MDAs. This is best achieved by locating the NDO in the Office of the Prime Minister/Premier/Governor.

A further point to note is that it is not feasible for an NDO of this size and scope of function to have its own corporate services division; it is therefore assumed that the NDO would utilise the parent ministry's finance and human resources support.

5.2.2 Functional Areas of focus

Option 1 is designed to enable the NDO to excel in the functional areas of Preparedness and Response. The reason being is that whilst many NDOs are presently focused on these areas, it cannot be said that they excel in these areas; particularly regards enabling the Community to be first responders and becoming more resilient. Moreover, NDO's must excel in these areas, which can be considered the basics, if they are to gain credibility with politicians and other stakeholders which is critical in the current economic climate, and to mainstreaming CDM.

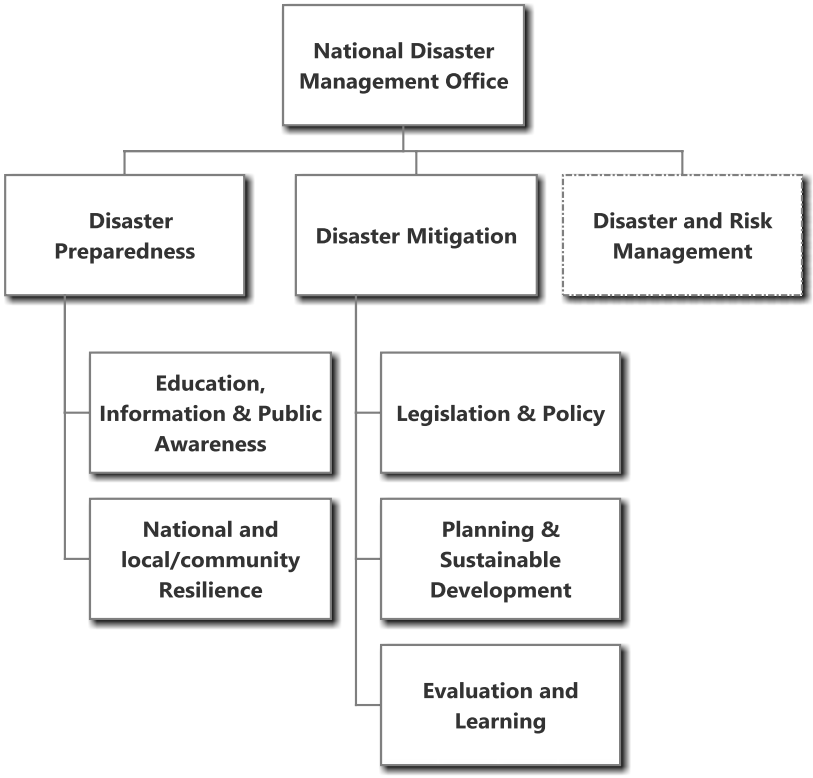
This model incorporates some mitigation activities, predominantly those related to creating an enabling environment, namely legislation, policy and planning. However, the approach to other mitigation activities in this model is that the NDO leads by co-ordinating and monitoring activities, rather than actually conducting activities. With hazard and risk assessments this NDO would seek the support of the recommended CDEMA Technical Services Unit. The model also ensures that monitoring and evaluation is addressed as this is critical for future cost benefit analysis to build a case for additional resources to deepen the functional areas delivered.

With regards to the functions of Response and Recovery, it should be noted that these are combined in the Disaster and Risk Management division. The rationale being that recovery activities would be limited to 'early recovery' and Recovery-Reconstruction would be led by other agencies. In addition, this model envisages a country with low levels of damage and low numbers of people affected so 'early recovery' activities are likely to be more prevalent in any event.

5.2.3 Leveraging the network

It is envisaged that the NDO with this structure will also excel at leveraging the Disaster Management Organization/Platform as this will be key to mainstreaming disaster risk reduction and facilitating collaboration amongst stakeholders during an emergency. This is critical because this model option has a finite number of inputs and needs to maximise their own inputs and leverage those of others to be able to deliver on their functions, particularly Response. This means that this NDO will have a strong volunteer programme and good links with Community-based Organizations and NGOs, as well other stakeholders in the Disaster Management Platform/Organization.

Figure 1: Organizational Chart for Model Structure Option 1



5.3 MODEL STRUCTURE OPTION 2

Figure 2 below presents the organisational chart for model structure option 2. The model assumes that the Participating State has some key features such as CDM legislation and policies in place to help create an enabling environment. Model structure option 2, whilst it is a standalone option, could also be the next phase in a larger re-structuring programme once an NDO has successfully implemented and mastered model structure option 1.

In this model the basic structure of Model 1 is retained. However, it is enhanced by the addition of a division responsible for support services, namely the Corporate Services Division.

5.3.1 Country context

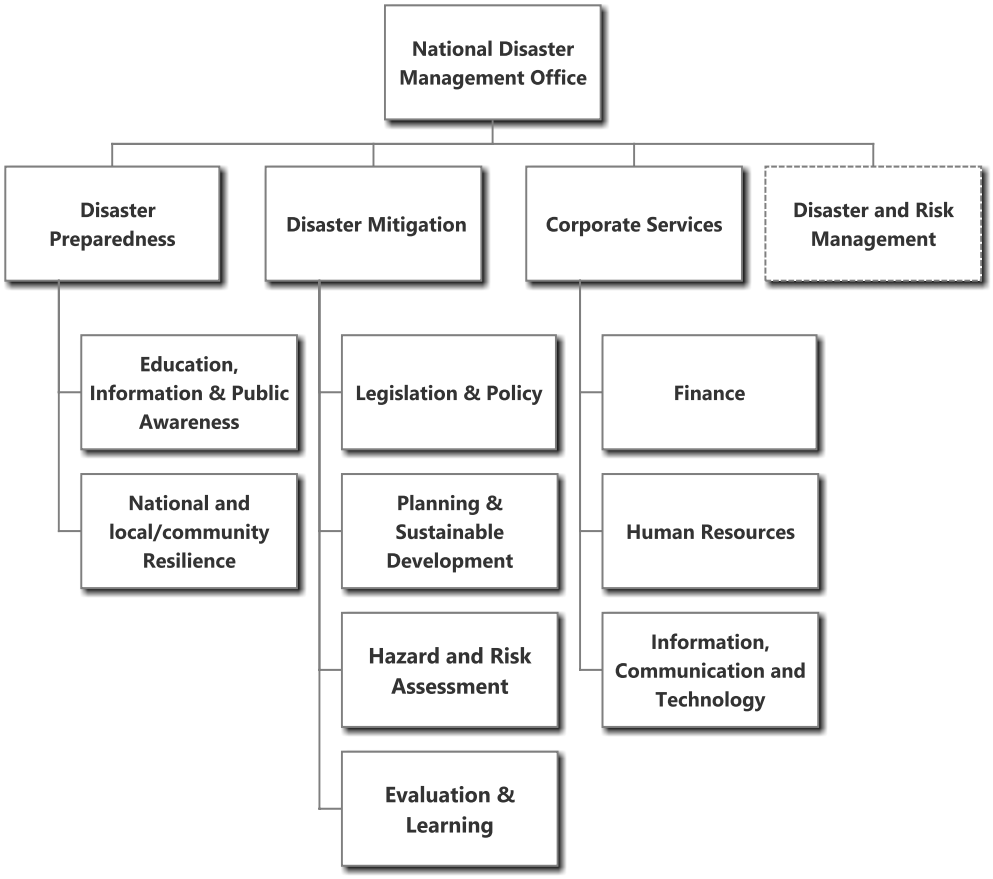
This model is designed for a Participating State (PS) with the following characteristics: more major incidents than the PS in option 1, and/or multiple minor incidents. The PS would also have a greater population density and greater impact, in terms of damage and number of people affected, than a PS in option 1.

One would expect the staffing in model 2 to increase dependent on the geography of the country, the spread/isolation of the different communities and other such factors which are unique to each PS.

5.3.2 Functional areas of focus

Model structure option 2 has an expanded functional remit compared to model structure option 1. Therefore, it is envisaged that more extensive mitigation activities will be carried out, with the NDO potentially undertaking some of those activities, such as hazard and risk assessments. It is envisaged that this unit would require a little less support from the recommended CDEMA Technical Services Unit.

Figure 2: Organisational Chart: Model structure option 2



5.4 MODEL STRUCTURE OPTION 3

Figure 3 below presents the Organisational Chart for Model Structure Option 3. This structure is designed to be a fully functioning Disaster Risk Management Department or Agency.

5.4.1 Country Context

It is envisaged that this model structure option would operate where there is a high number of major disasters and/or significant loss and damage.

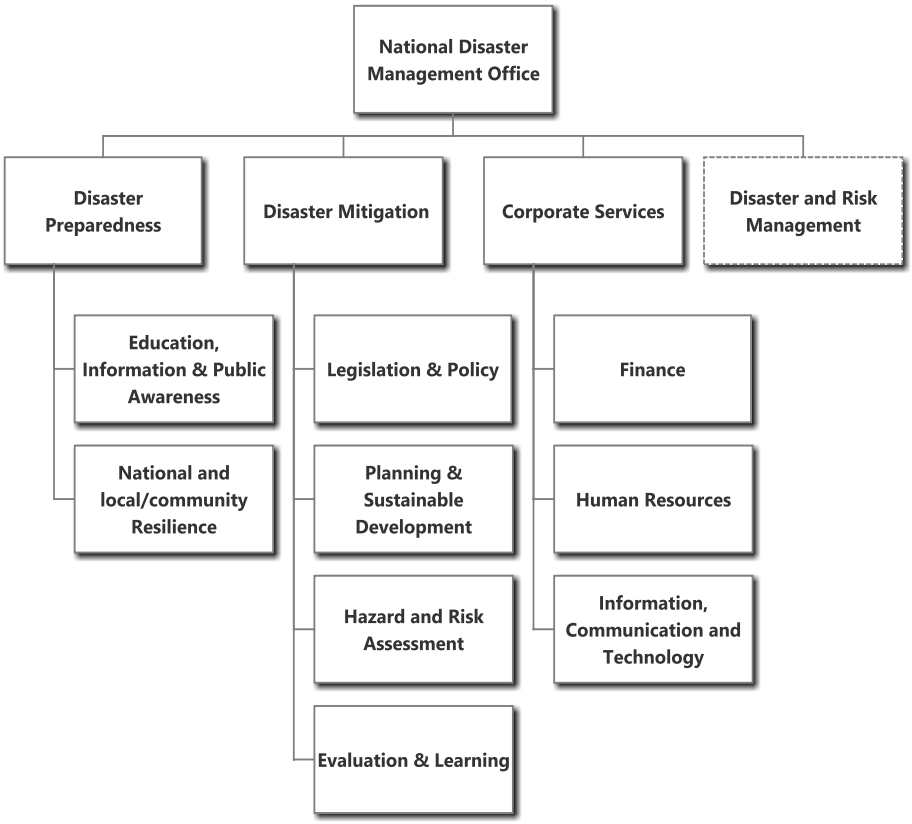
5.4.2 Functional areas of focus

Whilst the Department conducts much more implementation than in the 2 previous models discussed above, it is still playing the role of the lead co-ordinating agency as per its mandate. That is, to co-ordinate and manage implementation activities with partners across the National Disaster Management Organization/Platform e.g. ministries/agencies, NGO's (including the Red Cross) and community groups.

In this Option the Emergency Response and Recovery functions are separated. The support role in Recovery is not discussed at any length as this depends very much on the Country context and who leads certain recovery activities within the country. The role of the Preparedness and Resilience unit is expanded so that a designated focal point person would be able to spend their time between the NDO Office and the external ministry/agency or NGO, but maintaining a solid reporting line to the Director of the NDO. This Preparedness and Liaison Officer would work with the Liaison Officer within the ministry/agency as prescribed by the legislation, providing coaching and mentoring so that they are able to take a greater role in advocating and driving disaster risk reduction activities within the ministry/agency.

It should be noted that in this model officers are specialists in their respective areas and this is reflected in the job descriptions that are found in the Final Report, Volume 1.

Figure 3: Organisational Chart for Model Structure Option 3



5.5 TRANSITIONING TO AN EMERGENCY OPERATIONS STRUCTURE

5.5.1 Introduction

This section presents illustrations for **how** NDOs using either Model Structure Option 1 or Options 2 and 3 could be scaled up to transition to an emergency operations structure.

Currently, each NDO already has its own Emergency Operations Centre (EOC) organisational structure; therefore it should be noted that the structures presented here are not 'models' but are purely illustrative to show how one can 'scale up' the model structure options that KCL has presented. Should a Participating State customise and adopt one of the Model Structure Options, they will need to also review their Emergency Operations Structure and therefore the illustrations presented here are to help inform that review.

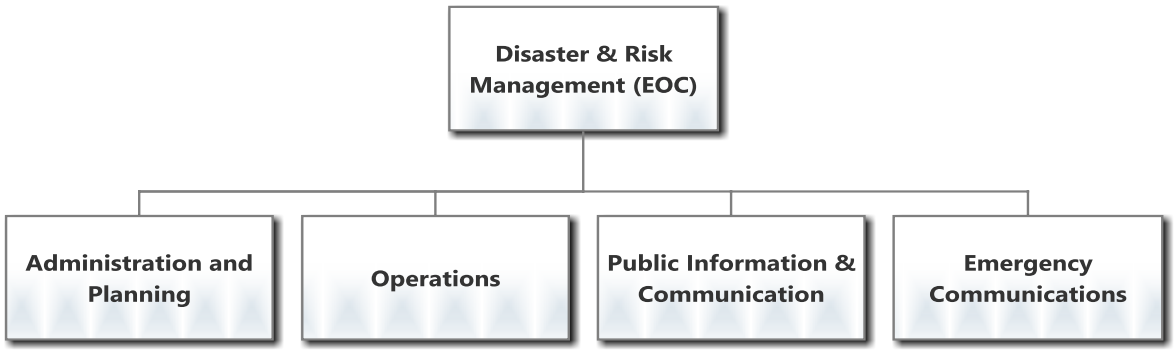
Illustration 1: Model Structure Option 1 – EOC Transition is aligned to the smaller NDO presented in Model Structure Option 1 and the Illustration 2: Model Structure Options 2 and 3 – EOC Transition is aligned to Model Structure Options 2 and 3. The terms of Reference for these illustrations is found in Appendix C.

Both Illustrations work on the basis that in an Emergency staff from both the NDO, and, from the Disaster Management Platform/Framework, including Public Officers from Government Ministries, Departments and Agencies, Volunteers, NGOs, CBOs and other key stakeholder's transition to the EOC. It is key that Participating States develop Standard Operating Procedures (SOP's) which give clear guidance on procedures during an emergency. In addition, it should speak to the processes and systems to be used to support the EOC and to leverage the Disaster Management Organization/Platform.

5.5.2 ILLUSTRATION 1: Regards Model Structure Option 1 – EOC Transition

Figure 5 below presents the transition structure for the EOC for model structure option 1.

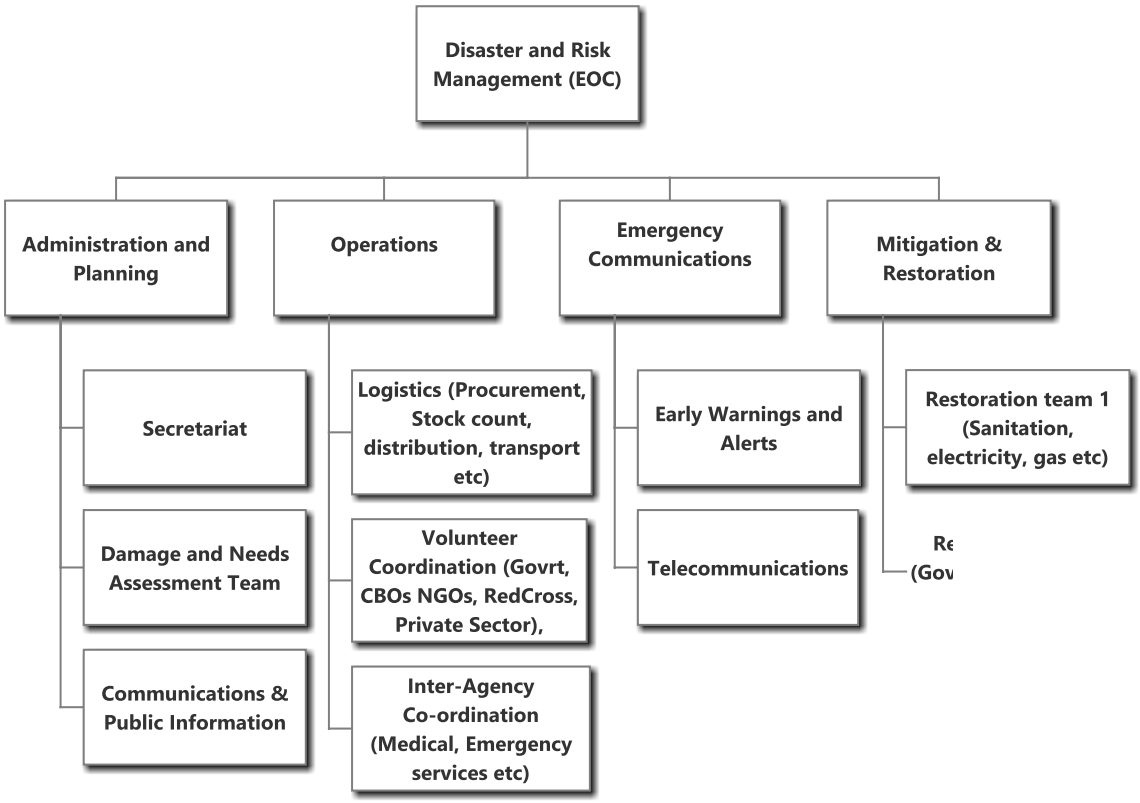
Figure 5: ILLUSTRATION 1: Transition for Model Structure Option 1



5.5.3 ILLUSTRATION 2: Regards Model Structure Options 2 and 3 – EOC Transition

Figure 6 below presents the EOC transition structure for model structure options 2 and 3. As mentioned this is not a model, it simply shows how the model structure options 2 and 3 could be scaled up in an emergency.

Figure 6: ILLUSTRATION 2: Transition for Model Structure Options 2 and 3



Assessment Criteria	Description	Assessment Findings
Organisation/Platform	operating. *Note: This is the wider network of stakeholders that are all responsible for the implementation of CDM policies and plans. This network is often enshrined in legislation and encompasses a number of committees and sub-committees. Generally, the NDO is prescribed in the legislation as the secretariat to the Disaster Management Organisation/Platform*.	structure for the Disaster Management Organisation/Platform articulated in their disaster management legislation. Additionally, 3 other Participating States operate a Disaster Management Organisation/Platform but there is no formal documentation of such.
Local Government and Community structures	Local Government, an administrative body for a small geographic area, such as parish, province or town, is in operation and is an integral part of the Disaster Management Organisation/Platform. The administrative body may or may not be elected, and may or may not administer all of the services required by the geographic area. Alternatively there may be some other community level structure that assists the NDO in building capability at the community level.	39% (7/18) NDOs had formal local government structures, 50% (9/18) had voluntary/other decentralised structures and 11% (2/18) had nothing in place below the central government level. However, the main challenge with devolving CDM to the community level arose primarily due to the lack of continuity because of high turnover of volunteers within community-based organisations.
GENERAL ORGANISATIONAL DESIGN CHARACTERISTICS		
Mission, vision, values and Organisational strategy	A Mission Statement that articulates the Organisation's purpose, its reason for existence, is in place. A Vision Statement that articulates what the future will look like for the NDO, including the impact that the Organisation seeks to make, is in place NDOs have developed and articulated values that speak to "how" the Organisation undertakes its work and treats stakeholders. Organisational Strategy, this is the document that is produced from a process of "deliberative, disciplined approach to producing fundamental decisions and actions that shape and guide what an Organisation does.[6]"	Approximately 66% (12/18) of the NDOs have (i) a Mission and Vision statements, or, (ii) a Mission or a Vision Statement. Only 2 NDOs have articulated core values. KCL was unable to ascertain with certainty how many NDOs have an organizational strategy. When asked most referred to the national CDM Plan or strategy. However, few seemed to understand the concept of an organisational strategy.

[6] Bryson, J.M, (2011/4th Ed) "Strategic Planning for Public and Non-Profit Organisations", Jossey Bass, San Franciso, CA

APPENDIX A: SUMMARY OF FINDINGS FROM THE NDO ORGANIZATIONAL ASSESSMENT

Assessment Criteria	Description	Assessment Findings
Structure	The structure must be one that fits the size, type and nature of the Organisation	It was observed that most NDOs had a functional structure, or were structured around activities, which was appropriate and consistent with organisational design principles Regarding staff compliment, 55% (10/18) of the NDOs have 7 or more staff allocated under the Public Service Establishment and of those 28% (5/18) said they have between 1-3 vacant posts, 17% (3/18) have between 4-6 staff, 17% (3/18) have between 1-3 staff and 11% (2/18) KCL could not ascertain the staff compliment.
Leadership and Management Practices	This includes: - Communicating the Mission, Vision, Values to inspire employees and other key stakeholders. Also communicating the strategy so everyone knows where the organisation is going. - Adequate resource provision, both human and financial exercising autonomy in decision making, specifically regards human and financial resources implementing performance management frameworks within their teams/Organisations - Promoting and encouraging professional career development	Mission, Vision, values and strategy were dealt with above. 91% of the NDOs who participated in the survey cited their top 3 constraints as: (i) human resource capacity, (ii) financial resources and (iii) technical capability. In the majority of cases where the UN Hyogo Framework Agreement National Progress Report had been conducted, the conclusion was the same, i.e. that a critical factor hindering the progress of the CDM mandate was lack of resources, both human and financial. As regards professional career development it was found that only 3 or so of the NDOs had performance management systems that provided for individual performance reviews. Those reviews were not competency based and professional development was not addressed in any meaningful way. In addition the findings showed significant HR challenges as concerns including lack of career

Assessment Criteria	Description	Assessment Findings
		paths/opportunities and succession planning.
Organisational Culture **(Assumptions & beliefs that are often intangible but are 'taught' to members of the group).**	The organisational culture is one of trust in all levels of management. Positive team spirit is evident. Employees take the initiative, being cognisant of boundaries, and take innovative risks. All are accountable for their actions and own the consequences of their actions.	KCL was unable to obtain adequate data to draw conclusions concerning this aspect of the assessment.
Work Climate **(The surface level practices and behaviours that can be seen as existing but are not 'taught' to members of the group)**	People work collaboratively with each other, their own teams and other units across the organisation and key stakeholders external to the organisation. Organisational rules and regulations are consistently and fairly applied and always followed.	KCL was unable to obtain adequate data to draw conclusions concerning this aspect of the assessment.
Functions, Activities, Tasks and Competencies required	The competencies (knowledge, technical and behavioural skills) needed for an individual to perform competently in their job, and that the Organisation needs to achieve its strategy/mandate are articulated and present within the Organisation.	It was found that the majority of NDOs are focused on preparedness and response. Few NDOs could be said to undertake the function of mitigation and in any event the mitigation activities conducted were limited. Resources plays a part in this but also capability. It was found that the NDOs need strengthening in the technical competencies, leadership and management and project management and finance.

Model Structure Option 1- Terms of Reference
Disaster Preparedness Division

The Division is responsible for all aspects of preparedness. Their goal is to create a culture of preparedness ensuring that both the national and local/community level are prepared for any type of hazard by developing capability and resilience amongst stakeholders. The Division also supports the Director in ensuring that Disaster Risk Management is an explicit part of a country's development plan/agenda. The Division is headed by a Team Leader.

i. Education, Information, Awareness and Technology Unit

The role of this Unit is to:

- Raise awareness of the types, frequency and impact of disasters;
- Raise the general public's knowledge on how to prepare for disasters;
- Appropriately communicate the risk of disasters;

This Unit seeks to reach: (i) The Public - Adults, Youth and Children, (ii) Private Sector Stakeholders, (iii) Public Sector Stakeholders, and (iv) Decision Makers and Opposition Leaders. The Unit must pull experts from the 'network' to assist them in ensuring that the relevant technical information is collated and disseminated in as user friendly a way as possible. To that end there is a strong focus on using technology, and the Unit works closely with the Mitigation Division who are the central repository for all disaster management information.

They are responsible for developing preparedness Information guidelines, educational materials. They also support the training conducted by the national and Local/Community Resilience Unit and training.

ii. National and Local/ Community Resilience Unit

This unit is responsible for enhancing disaster management capacity and resilience at the national and local level. They are responsible for developing and conducting simulation exercises, developing and delivering training at the national and Local/Community levels, in conjunction with relevant Stakeholders such as Red Cross, UN and other agencies. However, their work goes 'beyond' training Communities and includes partnering with them to develop systems, and assisting communities in documenting their preparedness and other coping mechanisms.

The unit is also responsible for identifying key stakeholders and establishing and maintaining relationships with them ensuring they are informed, and where relevant participate in the Disaster Management Organization/Platform. They are also responsible, in conjunction with community development, for identifying and co-ordinating volunteers from across Government, communities, NGOs and the private sector.

The unit is also responsible for liaising with those officers designated under the legislation as responsible for DRM within the Ministries.

MITIGATION DIVISION

The Division is responsible for co-ordinating all aspects of pre and post disaster Mitigation and for monitoring and evaluating mitigation activities. It is also responsible for being the central repository of all disaster risk management information.

i. Legislation and Policy Section

Given the importance of legislation and policy in mitigation, this unit is responsible for identifying gaps in the legislative and policy framework, or cases where amendment is needed to keep pace with developments in DRM, and ensuring that appropriate draft bills are developed and consulted upon. They are also responsible for working with Legal Affairs/Attorney General's Chambers (or equivalent) to ensure the draft final bill is 'feasible and workable' and ready for presentation to Parliament at the earliest opportunity.

The unit also supports any post-disaster policy making that may occur during early recovery.

ii. Planning and Sustainable Development Section

The planning and sustainable development section is responsible for developing national strategies and plans, including supporting the Post-Mitigation Division concerning post-disaster planning at early recovery. The unit also supports the Director in developing DRM inputs into the national plans, e.g. National Development Plan, Medium-Term Fiscal Strategy, and supports the incorporation of DRM into Sectorial Plans. In addition, it is responsible for developing its own corporate plan that aligns with the objectives in the national plan and directs the Country Work Programme and the NDO's own programming. Lastly, the section is responsible for Monitoring and Evaluation both at the national level to determine progress on the DRM Strategy, and also at the Department level to monitor progress of the NDO against their corporate plan. They are also responsible for developing the Performance Frameworks related to CDM at the national level across all sectors, and for supporting CDEMA in their efforts to collect performance data and conduct audits.

This section is responsible for either conducting hazard assessments and vulnerability assessments, or ensuring the relevant stakeholders across the Disaster Management Organization/Platform conduct them and provide the section with the outputs. The unit is responsible for analysing the outputs from assessments and compiling a Risk Assessment, or ensuring the same is compiled, for example utilising support from any technical department within CDEMA. They also support hazard mitigation projects (structural). The Unit, as the Central repository for all disaster management information has a strong focus on data collection and uses technology to enhance this.

iii. Evaluation and Learning Section

Essentially, this Unit is responsible for monitoring, analysing and evaluating the impact of a disaster at the various stages once the disaster has arisen. Therefore, they facilitate impact assessments of all disaster management response interventions, provide reports to the Stakeholders in the Disaster management Platform/Organization, collate and document lessons learned and experiences of implementing disaster response interventions by all stakeholders and use these to improve response in the future.

Model Option 1 has a total staff complement of **10** comprised of the following:

1 x Director

2 x Team Leaders (Senior Technicians)

Disaster Preparedness Division

1 x Education, Information, Communication and Technology Officer

1 x Preparedness and Resilience Officer (Technical officer)

Disaster Mitigation Division

1 x Legal and Policy Analyst (Technical Officer)

1 x Planning and Sustainable Development Officer (Technical Officer)

1 x Disaster Mitigation Assessment Officer (Technical Officer)

1 x Information Communication Officer (Technical Officer)

1 x Performance Monitoring and Evaluation Officer (Technical Officer)

Model structure Option 2 - Terms of Reference

Disaster PREPAREDNESS DIVISION

i. Education, Information and Public Awareness Unit

The Terms of Reference for this Unit remains the same as per option 1.

ii. National and Local/Community Preparedness Unit

The role of this unit remains largely the same as per option 1 above. However, with the expanded geography and population density additional resources have been added to the unit.

DISASTER MITIGATION DIVISION

The role of this division remains largely the same as per Model Structure Option 2. However, an additional unit that fully addresses hazard and vulnerability assessments and the compilation of risk assessment data is added. It is envisaged that more of the assessments and analysis will be conducted in-house by the NDO with limited support from the recommended CDEMA Technical Services Unit, but making greater use of the technical expertise available in line ministries and within the private sector who form part of the National Disaster Management Organization/Platform (provided such technical expertise is available in the Country).

The Division is also responsible for obtaining other assessment data authored or generated by other stakeholders both nationally and regionally that could support DRM. In addition, this Division would also offer business continuity planning as a service to the private sector for a fee. This fee income would support the modest increase in headcount envisaged with this model

i. Legislation and Policy Unit

The scope and activities of this unit remain as per option 1 above. However, there is likely the added component of conducting research to support Stakeholders in policy development. Therefore the staffing composition changes. The Unit also supports the other Units by facilitating relevant research to assist them in developing plans and programmes.

ii. Planning and Sustainable Development Unit

The Planning and sustainable development Unit has the same remit as per option 1. However, there is a greater focus on development. Therefore the Unit works closely with the planners in other ministries ensuring that CDM inputs are integrated into national development plans. The Unit monitors and evaluates CDM performance indicators, ensuring those that have direct/indirect bearing on development goals, such as the Millennium Development Goals (MDG's) are made a priority for action.

iii. Hazard and Risk Assessment Unit

This Unit is responsible for collating and analysing data on hazard knowledge with support from the CDEMA Technical team. They also work closely with the Disaster Preparedness Unit as regards public awareness and education ensuring dissemination of information to key Stakeholders.

They are also responsible for liaising with Physical Planning or equivalent ministries/agencies to ensure GIS based Hazard mapping and modelling are being completed. The unit is also responsible for conducting Vulnerability Assessments and ensuring that such assessments are also conducted by key stakeholders, where the unit cannot conduct them, e.g. Economic/Livelihood Assessments. They are also responsible for ensuring Regional standards are in place for Risk Assessment at all levels, i.e. national, Community and local Critical Infrastructure. It is envisaged that this Unit will still work closely with, and rely on the recommended CDEMA Technical Services Unit.

iv. Evaluation and Learning Unit

This unit has an expanded remit to that under model structure option 1. The unit is still responsible for monitoring and evaluation at the national, organizational and community levels. However, the unit liaises with those in the ministries, departments and agencies responsible for monitoring and evaluation to obtain data for the purposes of monitoring and evaluation at the national level.

In addition, the unit also undertakes applied research related to disaster management, or, instructs experts to conduct such research including lessons learnt by other NDOs in the Region and globally, impacts of Climate Change, Environmental Management in relation to disaster management. They also make appropriate recommendations for changes to enhance the overall system and Disaster Management Platform/Organization.

The unit works closely with the Planning and Sustainable Development Unit to ensure that planning and monitoring and evaluation are aligned.

CORPORATE SERVICES DIVISION

This Division comprises of 3 units which are the support functions for the whole organisation, namely the Accounts, Finance and IT Sections.

Accounts support the Director in respect of the financial management of the organisation including preparing the annual budget and identifying funding sources that may be applicable to the Department of Disaster Management, and supporting the technical officers in completing and submitting funding applications.

Human Resources is responsible for the management of the people within the entire Department. This includes maintaining and updating personnel records, assisting the Director and Team Leaders with recruitment and induction, development and succession planning activities. HR is also responsible for the recruitment, induction and administration concerning the volunteers deployed at the District and/or Community level.

Information Technology is responsible for supporting users in the other functional areas in terms of their software and hardware needs, and trouble shooting. They also give technical support and advice to the Hazard and Risk Assessment Unit who are responsible for collation and analysis of data. They are also responsible for hazard warnings and alerts.

<u>Model Option 2 has a total staff complement of **18** comprised of the following:</u>

1x Director

3 x Team Leaders (Senior Technical Officers)

Disaster Preparedness Division

1 x Education, Information, Communication and Technology Officer

1 x Preparedness and Liaison Officer – focused on Government MDA's;

1 x Community Preparedness and Resilience Officer – focused on Communities

Disaster Mitigation Division

1 x Legal and Policy Analyst

1 x Policy Analysts Assistant/Senior Administrative Clerk (SAC)

1 x Planning and Sustainable Development Officer (Technical Officer)

1 x Mitigation Assessment Analyst (Technical Officer)

1 x Junior Clerk (Assessment)

1 x Performance Monitoring and Evaluation Officer (Technical Officer)

1 x Data collection Officer

Corporate Services Division

1 x Accountant or Senior Accounts Clerk

1 x HR Officer

1 x ICT Officer

1 x Junior Clerk (ICT)

Model Structure Option 3 - Terms of Reference

Disaster Preparedness division

i. Education, Information and Public Awareness Unit

The Terms of Reference for this Unit remains the same as per options 1 and 2. However, as this is a much larger NDO there is increased human resources capacity.

ii. National and Local/Community Preparedness

The role of this unit is slightly expanded in that greater emphasis on developing partnerships, including with the private sector, particularly sectorial associations and groups. In addition, the unit will work in collaboration with the Mitigation Division to undertake continuity planning/business continuity

planning. It is envisaged that the NDO would provide this service to Central Government, ministries, departments and agencies and, moreover, the private sector on a fee paying basis. Therefore, the staffing composition of this unit increases compared to Option 2.

Disaster Mitigation Division

This Division remains largely the same as in Option 2. However, with Option 3 it is envisaged that more of the assessments and analysis will be conducted in-house by the NDO with limited support from the recommended CDEMA Technical Services Unit, but making greater use of the technical expertise available in line Ministries and within the private sector who form part of the National Disaster Management Platform (provided such technical expertise is available in the country). The Division is responsible for obtaining other assessment data authored or generated by other stakeholders that could support the DRM mandate.

The Division would work closely with the ICT Unit who would develop and manage the central repository for all data to be held by the Disaster Mitigation Division. As a result of the increased technical functions of this Division, there is increased capacity and an additional unit making 4 units as follows:

i. Legislation and Policy

This unit remains largely the same as in option 2 however the research function is significantly enhanced to ensure, not only, that evidence based policy is being developed but to anticipate trends, new approaches and whatever might require new policies to be developed. The research aspect also enables the Unit to build stronger business cases for resources with policy makers.

ii. Planning and Sustainable Development

The role of this unit remains the same as in option 2. However, there is a stronger focus on Performance Frameworks and hence 2 additional staff members have been added. This enables the Planning Officer to focus on planning and development, whilst a separate monitoring and evaluation (M&E) officer focuses on performance frameworks and M&E.

iii. Hazard and Risk Assessment Unit

The Unit remains largely the same as in option 2 with responsibility for co-ordination of all hazard, vulnerability and risk assessments, irrespective of which entity conducts them. They would work closely with Planning, Social Services and the Ministry of Finance. Additionally, Early Recovery and, reconstruction would be part of their remit. They would take the lead on co-ordination for 'Priority Setting for reconstruction". They will work closely with the Information, Communication and Technology Unit.

iv. Evaluation and Learning Unit

This unit remains largely the same as per model structure option 2, save the remit is slightly expanded as they are responsible for monitoring and evaluation at the sectorial level, as well as the national, organizational and community levels. In addition, the unit not only liaises with those in the ministries, departments and agencies responsible for monitoring and evaluation to obtain data for the purposes of

monitoring and evaluation but supports them in developing performance indicators to measure progress on CDM. The unit works closely with the Planning and Sustainable Development Unit to ensure that planning and monitoring and evaluation are aligned and to develop performance and capacity frameworks.

CORPORATE SERVICES DIVISION
The terms of reference for this division remain largely unchanged. However, there is the addition of a specific Information Communication and technology Unit. Also, due to the increase in the size of the organisation there is a corresponding increase in staff.

i. Information Communication and Technology Unit
This not a new unit; however in this model given the increased emphasis on IT, the unit becomes responsible for the development and maintenance of the Central Disaster Risk Management Repository, for Warnings and Alerts as per option 2 and also Information Management at the national and regional levels by supplying data to the national statistics bureau and CDEMA. During emergencies they are also responsible for Operational Information Management, see the Emergency Operations Transition structure below.

DISASTER AND RISK MANAGEMENT DIVISION
In Model structure Option 3 there are full time staff in this Division. The terms of reference for this division are outlined in Illustration2, which discusses the transition for model structure options 2 and 3 in an emergency.

<u>This structure has a staff compliment of **34** as follows:</u>
1 x Director
3 x Team Leaders (Senior Technical Officers)
Disaster Preparedness Division
1 x Preparedness and Liaison Officer – Government MDAs
1 x Preparedness and Liaison Officer – Private Sector
1 x Community Preparedness and Resilience Officer
1 x Junior Clerk (Preparedness)
Disaster Mitigation Division
1 x Legal and Policy Analyst
1 x Policy Analysts Assistant/Senior Administrative Clerk (SAC)
1 x Senior Planning and Development Officer (Senior Technical Officer)
1 x Senior Performance, Monitoring and Evaluation Officer (Senior Technical Officer)
1 x Planning and Performance Assistant/Senior Administrative Clerk (SAC)
1 x Senior Disaster Mitigation Assessment Officer (Senior Technical Officer)
1 x Disaster Mitigation Assistant
1 x Senior Administrative Clerk (Mitigation)
1 x IT Systems and Communications Officer
1 x Information Management Officer (responsible for repository)
1 x IT Officer
Corporate Services Division
1 x Senior Administrative Clerk (responsible for Assessment data collection)

1 x Senior Accounts Clerk
1 x Junior Clerk (Accounts)
1 x HR Officer
1 x Senior ICT Officer. Note the ICT Officer works closely with the Disaster Mitigation Division's ICT Unit
Disaster and Risk Management Division
1 x Senior Disaster Management Officer (Senior Technical Officer)
1 x Junior Clerk (Operations)
1 x Senior Disaster Management Officer (Senior Technical Officer)
1 x Junior Clerk (Recovery)
1 x Assessment Analyst
1 x Assistant Analyst
1 x Junior Clerk
2 x Assessment Analyst
1 x Assistant Analyst

Illustration 1: For Model Structure Option 1 - Terms of Reference

DISASTER AND RISK MANAGEMENT DIVISION

As mentioned this NDO specialises in leveraging the Disaster Management Platform/Organization. Therefore, the Disaster and Risk Management Division operates once a disaster has struck and therefore obtains its personnel from the other Divisions within the NDO, and, from the Disaster Management Platform/Framework.

The Disaster and Risk Management Division comprises of 4 Units, namely:

1. Administration and Planning
2. Operations
3. Public Information and Communication.
4. Emergency Communications

Administration and Planning Unit

This Unit acts as the Secretariat to the Executive during an Emergency, and, provides the financial and human resources support needed to support the other Units. The Unit therefore ensures that those within the Disaster Management Platform/Framework know the roles allocated to them and assist in whatever way is necessary to ensure that Officers from outside the NDO are supported when transitioning to the Disaster and Risk management Division.

The Unit is also responsible for collecting, evaluating, and disseminating information; developing the Action Plan and Situational Status in coordination with other functions, and, maintaining all EOC documentation.

The NDO staff from the National and Local/ Community Resilience Unit are allocated to this Unit during emergency times. They would already have developed MOU's with Stakeholder partners ensuring that the roles allocated are understood and activated in a timely manner.

In addition, the NDO Staff from the Mitigation Division are also allocated to this Unit in an emergency as they will support the planning activities, and, also the situational status reports/Damage assessment.

Lastly, the Unit will second staff from the Ministry of Finance to ensure the financial aspects related to the Disaster are properly addressed.

Operations Unit

The Operations Unit would be responsible for mobilising Transport, equipment and other needed resources from the warehouse, or, other sources. The Team leader from the Disaster preparedness division would be the lead in this Unit supported by other members from the Disaster management Platform/Framework, in particular the Police, Fire Brigade and other essential services.

Public Information and Communication

This Unit is responsible for ensuring Public information is disseminated and that a media centre and briefing room is established and manned. The unit consists of;

- NDO Officers from the Public Awareness and Education Unit
- Central Government communications/public relations officers,
- Private Sector representatives from the media/press etc.

Emergency Communications

This Unit is responsible for ensuring all warnings and alerts concerning the disaster are given. The Information Communication and Technology Officer from the Mitigation Division transitions to this Unit during an emergency. In addition, radio, telephone and other operators and controllers from the Police and Defence Forces are seconded to this Unit during an emergency.

Illustration 2: For Model Structure Options 2 and 2 – Terms of Reference

ADMINISTRATION AND PLANNING UNIT

This unit comprises of 3 Sections, namely:

- Secretariat,
- Damage and Needs Assessment, and
- Communications & Public Information.

i. The Secretariat

The Secretariat supports the Executive ensuring that administrative and planning matters are addressed. In addition, they are responsible for co-ordinating with representatives from CDEMA for the purposes of the Regional Response mechanism where national capacity is exceeded.

For both Model options 2 and 3 the Secretariat staffing is drawn from:

- The NDO staff from the Corporate Services Division, led by the Team leader from the Corporate Services Division

- Finance Officers from Ministry of Finance and other ministries/agencies

ii. Damage and Needs Assessment

The Damage and Needs assessment team is responsible for identifying and assessing the immediate and long-term damage after an incident. They are also responsible for assessing the needs of the Community and all others affected. Following assessment this team supports the Director in devising a short-term plan of action. In addition, this team is co-ordinates, and may implement, the use of GIS in evaluating affected areas.

<u>For Model structure Option 2 this team is drawn from:</u>

- NDO Officers from the Disaster Mitigation Division staff this Unit, and led by the Team leader from the Disaster Mitigation Division,

- Public Officers from Physical Planning, Environment, Transport and Works, water Authorities, Telecom Authorities etc. to assess damage to buildings, roads, bridges, Water Pipes, Telecoms

- Emergency Services – representatives from the Fire Brigade etc.

<u>For Model Option 3 this team is drawn from the following NDO Staff</u>:

- Led by the team leader from the Disaster Mitigation Division

- 1 x Senior Disaster Management Officer (Senior Technical Officer) from Disaster Risk management Division

- 1 x Assessment Analyst from Disaster Risk management Division

- 1 x Assistant Assessment Analyst from Disaster Risk Management Division

- Public Officers from Physical Planning, Environment, Transport and Works, water Authorities, Telecom Authorities etc. to assess damage to buildings, roads, bridges, Water Pipes, Telecoms

iii. Public Information and Communication

This Unit is responsible for ensuring Public information is disseminated and that a media centre and briefing room is established and manned.

<u>For both model structure options 2 and 3 this team is drawn from:</u>

- NDO Officers from the Public Awareness and Education Unit

- Central Government communications/public relations officers,

- Private Sector representatives from the media/press etc.

OPERATIONS UNIT

The CDEMA Emergency Operating Centre, Standard Operating Procedures describes the role of the Operations Division as follows:

"The Operations group coordinates the emergency/disaster response and relief efforts and activities as directed by the NEOC Director through the Operations Officer as shown in the diagram on Page 8. The Operations group functions under the direction of the Operations Officer, who may be the deputy NEOC Director, the Director, or the NDC himself, under certain circumstances. The Communications Officer will often act as Assistant Operations Officer/Emergency Coordinator, depending on the severity of the emergency and the availability of staff."

In the KCL model the following sections would be found in operations:

i. Logistics Section

The logistics unit is responsible for shelters, warehouses, vehicles etc. It works closely with the RedCross who have expertise in Shelters and with Emergency Services, namely the Army and the Police.

It is also responsible for: stock control; procurement of supplies and services and finance, and distribution of all types of supplies to field locations. With Respect to Model structure Option 3; this Unit would also be responsible for integrating cost-effective cash-based response.

<u>For model structure option 2 the staffing for this unit is drawn from:</u>

- NDO staff from the Finance Unit of the Corporate Services Division;
- Procurement officers from the ministry of finance
- Logisticians from the Army/Police

<u>For model structure option 3 the staffing for this unit is drawn from:</u>

- NDO staff from the Finance Unit of the Corporate Services Division;
- 1 x Assessment Analyst from Disaster Risk Management Division
- 1 x Junior Clerk (Operations) from Disaster Risk Management Division
- Procurement officers from the ministry of finance
- Logisticians from the Army/Police

ii. Volunteer Coordination Section

This Unit is responsible for identifying competencies of volunteers, registering them and ensuring they are ready and able to be deployed as needed.

<u>For both model structure options 2 and 3 the staffing for this unit is drawn from:</u>

- The NDO Officers from the National and local/Community Preparedness and resilience Unit, and the HR Officers from the Corporate services Unit.
- Representatives from the RedCross and CBOs
- Staff from the Government Community Development Department

iii. Operations Inter-Agency co-ordination Section

This Unit is responsible for coordinating and mobilising Emergency Services, Medical Services and the Private Sector.

<u>For model structure option 2 the staffing for this unit is drawn from:</u>

- NDO staff from Public Awareness and Education (Focal Point Leads)
- Ministry and Agency Focal Point leads
- Private Sector Representatives

<u>For model structure option 3 the staffing for this unit is drawn from:</u>

- NDO staff from Public Awareness and Education (Focal Point Leads)
- 1 x Junior Clerk from Disaster Risk Management Division
- Ministry and Agency Focal Point leads
- Private Sector Representatives

EMERGENCY COMMUNICATIONS UNIT

This Unit is responsible for Emergency communications separate and apart from the Operations centre, as envisaged in the CDEMA EOC Standard Operating Procedures, see extract below:

"In order for the NEOC to have an accurate picture of the situation at the site, it must make use of all available resources for communicating. It may be possible for the Emergency Site Manager (ESM) to establish a telephone link with the NEOC from the site. While this is a most desirable link, it may not be a viable one, depending on the nature of the disaster and possible damage to the telephone system. It is therefore essential that other means of communication are established…"

b. Within the NEOC and to other EOCs

Once the information is received at the NEOC, it is vital that it is efficiently handled. Telephone will be the primary means used for inter EOC communications, but radio will have to be used in many instances where telephone lines are down."

c. NEOC to Public

The NEOC should be able to issue disaster warnings and give direction to the public, which may necessitate the installation of remote broadcast connections through radio and television stations. Advance hookups at the NEOC for remote broadcast capability may be possible to arrange with radio and/or television stations".

For both model structure options 2 and 3 the staffing for this unit is drawn from:

- ICT Officers from the Corporate Services Division and the Disaster Mitigation Division
- Controllers and operators from the Police, Fire, Defence Forces

MITIGATION AND RESTORATION UNIT

This Unit is responsible for completing plans for immediate rehabilitation and for coordinating Early Recovery activities. The Unit consists of:

i. Restoration Teams 1 and 2.

Team one focuses on restoring essential services, namely sanitation, electricity and gas services.

Team two focuses on restoring Government administration, hospitals, schools and telecoms.

For model structure option 2 staffing for this unit is drawn from:

- NDO Staff from Planning and Sustainable Development to assist with planning and coordination. These staff will rotate between this role and supporting the Damage and Needs Assessment team.
- Staff from Transport and works, Water Board etc.
- Staff from the Utilities companies
- Staff from the Emergency Services and key Sectors, e.g. Tourism, Education etc.

For model structure option 3 staffing for this unit is drawn from:

- NDO Staff from Planning and Sustainable Development to assist with planning and coordination.
- 1 x Assistant Analyst from the Disaster and Risk management Division
- Staff from Transport and works, Water Board etc.
- Staff from the Utilities companies
- Staff from the Emergency Services and key Sectors, e.g. Tourism, Education etc.

ii. Inter-Agency Co-Ordination

APPENDIX C: TRANSITIONING THE MODEL STRUCTURE OPTIONS IN TIMES OF EMERGENCY

This section only applies to Model structure option 3. In Model structure option 2 it is subsumed within the role of one of the restoration teams. This section is responsible for co-ordinating early recovery activities and for ensuring all the key Stakeholders are kept informed and have accurate up-to-date information to make informed decisions.

The staff are drawn from:

- At least 1 staff member from the Disaster Mitigation Division
- 1 x Junior Clerk (Mitigation & Restoration)
- Volunteers