

# South African Disaster Risk Management Handbook Series

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Metropolitan municipalities  
(Version 1.1)

## Handbook 2 Establishing foundational institutional arrangements for disaster risk management

Critical Outcome 1: Establish foundational institutional  
arrangements for disaster risk management



**The National Disaster Management Centre**  
87 Hamilton Street, Arcadia, Pretoria, South Africa. 0001  
Phone +27 12 334 0600 • Fax +27 12 334 0810.

## ***South African Disaster Risk Management Series***

The *South African Disaster Risk Management Series* is an integrated package of handbooks and supporting materials in the form of guidelines, templates and other documents for the implementation of disaster risk management in municipalities and provinces in South Africa. The materials in the series have been prepared as a guide in terms of sections 7(2)(a) and 22 of the Disaster Management Act No. 57 of 2002 and sections 1.5, 2.5, 3.6, 4.6, 5.8, 6.7 and 7.9 of the National Disaster Management Framework.

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87 Hamilton Street, Arcadia, Pretoria, 0083  
Private Bag X804, Pretoria, 0001

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# Contents

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	Page
Acronyms and abbreviations	2
1. Introduction	3
2. About this handbook	5
3. Critical Outcome 1: Establish foundational institutional arrangements for disaster risk management	6
4. Action Step 1: Sensitise role players and concurrently conduct an assessment of the status of disaster risk management in the metropolitan municipality	8
5. Action Step 2: Establish mechanisms for the development and adoption of integrated disaster risk management policy in the metropolitan municipality: The Mayoral Committee	14
6. Action Step 3: Establish mechanisms for the integrated direction and execution of disaster risk management policy and legislation in the metropolitan municipality: The municipal disaster risk management centre	16
7. Action Step 4: Establish internal mechanisms for developing and applying integrated disaster risk management policy, planning and practice among municipal departments and other entities in the metropolitan municipality: The Municipal Interdepartmental Disaster Risk Management Committee	24
8. Action Step 5: Establish mechanisms for stakeholder participation, technical advice and planning in the metropolitan municipality: The Disaster Risk Management Advisory Forum	26
9. Action Step 6: Commission the development of the disaster risk management policy framework for the metropolitan municipality	28
10. Action Step 7: Establish a Disaster Risk Management Technical Advisory Committee for the metropolitan municipality	31
11. Action Step 8: Commission the initial disaster risk assessment (Stages 1 and 2) for the metropolitan municipality	32
12. Action Step 9: Take the disaster risk management policy framework through the public participation process and submit it for adoption and gazetting	35
13. Action Step 10: Identify and gather relevant data during action steps 1–9 of Critical Outcome 1	37
14. Conclusion	38
Appendix 1: Table of supporting materials for Handbook 2	39
Appendix 2: An overview of the arrangements for integrated institutional capacity for disaster risk management in a metropolitan municipality	42
Appendix 3: Overview of the process for facilitating the completion of a Level 1 Disaster Risk Management Plan for metropolitan municipalities	43

# Acronyms and abbreviations

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CRA	Current Reality Assessment
DM Act	Disaster Management Act No. 57 of 2002
DOC	Disaster Operations Centre
GPS	Global Positioning System
IDP	integrated development planning; Integrated Development Plan
IGRF Act	Intergovernmental Relations Framework Act No. 13 of 2005
JOC	Joint Operations Centre
KPA	key performance area
MIDRMC	Municipal Interdepartmental Disaster Risk Management Committee
NDMC	National Disaster Management Centre
NDMF	National Disaster Management Framework
PPO	Project Portfolio Office
PPP	public participation process
TAC	technical advisory committee

## Relevant Acts, frameworks and directives

Constitution of the Republic of South Africa Act No. 108 of 1996  
Disaster Management Act No. 57 of 2002  
Intergovernmental Relations Framework Act No. 13 of 2005  
Local Government: Municipal Finance Management Act No. 56 of 2003  
Local Government: Municipal Structures Act No. 117 of 1998  
Local Government: Municipal Systems Act No. 32 of 2000  
National directive on the implementation and maintenance of the integrated National, Provincial and Municipal Disaster Management Project, Programme and Portfolio System  
Notice of Commencement of the Disaster Management Act 2002  
National Disaster Management Framework 2005

**Need to access any of these Acts, frameworks, regulations or directives? Then dip into the Statute Jar.<sup>1</sup>**

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<sup>1</sup> SJ 1 Constitution of South Africa Act No. 108 of 1996.  
SJ 2 Local Government: Municipal Structures Act No. 117 of 1998.  
SJ 5 Local Government: Municipal Systems Act No. 32 of 2000.  
SJ 6 Disaster Management Act No. 57 of 2002.  
SJ 7 Notice of commencement of the Disaster Management Act No. 57 of 2002, Vol. 465, No. 26228, 2004.  
SJ 8 National Disaster Management Framework, Government Notice 654 of 2005.  
SJ 9 Intergovernmental Relations Framework Act No. 13 of 2005.  
SJ 10 National directive on the implementation and maintenance of the integrated National, Provincial and Municipal Disaster Management Project, Programme and Portfolio System. Issued July 2006. Rev 1.  
SJ 12 Local Government: Municipal Finance Management Act No. 56 of 2003.

# 1. Introduction

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In Handbook 1 of the *South African Disaster Risk Management Handbook Series*, we explained the background to the series, which has been developed to guide you in the process of implementing the Disaster Management Act No. 57 of 2002 (DM Act) and the National Disaster Management Framework (NDMF), published in 2005. We provided an overview of the critical outcomes required by the DM Act and the NDMF for progressing from a Level 1 Disaster Risk Management Plan to a Level 3 Disaster Risk Management Plan in your metropolitan municipality.

As discussed in Handbook 1 of the series, you need to achieve three critical outcomes in order to reach a Level 1 Disaster Risk Management Plan. The achievement of these outcomes provides the foundation for a Level 2 Disaster Risk Management Plan. To complete a Level 2 Disaster Risk Management Plan, four critical outcomes need to be achieved. Once you've achieved these, you can begin working towards a Level 3 Disaster Risk Management Plan. Again, three critical outcomes form the basis of the Level 3 Plan. The different levels of disaster risk management plans and the specific outcomes for each level of plan are summarised in Table 1 below.

In order to achieve each critical outcome, a series of action steps and guidelines have been included in each handbook to assist you with carrying out the required tasks. You can refer to Handbook 1 of the *South African Disaster Risk Management Handbook Series* for an overview of the different components of the series. In addition, Appendix 2 in this handbook provides a diagrammatic overview of all the critical outcomes and action steps required for the completion of a Level 1 Disaster Risk Management Plan for metropolitan municipalities.

Lastly, we recommend that you read this handbook so as to familiarise yourself with the contents before you start implementing the tasks discussed in the action steps.

**Need to access the Disaster Management Act and the National Disaster Management Framework? Then dip into the Statute Jar.<sup>2</sup>**

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<sup>2</sup> SJ 6 Disaster Management Act No. 57 of 2002.

SJ 8 National Disaster Management Framework, Government Notice 654 of 2005.

**Table 1: Levels of disaster risk management plans and their critical outcomes**

LEVEL OF PLAN	CRITICAL OUTCOMES	
<b>1</b>	<b>1</b>	Establish foundational institutional arrangements for disaster risk management
	<b>2</b>	Develop the capability to generate a Level 2 Disaster Risk Management Plan
	<b>3</b>	Develop and implement contingency plans for known priority risks
<b>2</b>	<b>1</b>	Establish processes for comprehensive disaster risk assessments
	<b>2</b>	Identify and establish consultative mechanisms for specific priority disaster risk reduction projects
	<b>3</b>	Develop a supportive information management system
	<b>4</b>	Develop emergency communication capabilities
<b>3</b>	<b>1</b>	Establish specific institutional arrangements for coordinating and aligning disaster risk management plans
	<b>2</b>	Establish mechanisms to ensure informed and ongoing disaster risk assessments
	<b>3</b>	Institute mechanisms to ensure ongoing relevance of disaster risk management policy frameworks and plans

Although we have described the progression from a Level 1 Plan to a Level 3 Plan in a linear way, it is important to remember that different municipalities are at different stages of development. Some may already have different aspects of the required outcomes in place while others may have very few in place. Each handbook is structured in such a way that you will easily be able to identify which critical outcomes you have already achieved and which ones you still need to achieve. This is to prevent any duplication of the work you have already done and to focus on what you still need to accomplish.

## 2. About this handbook

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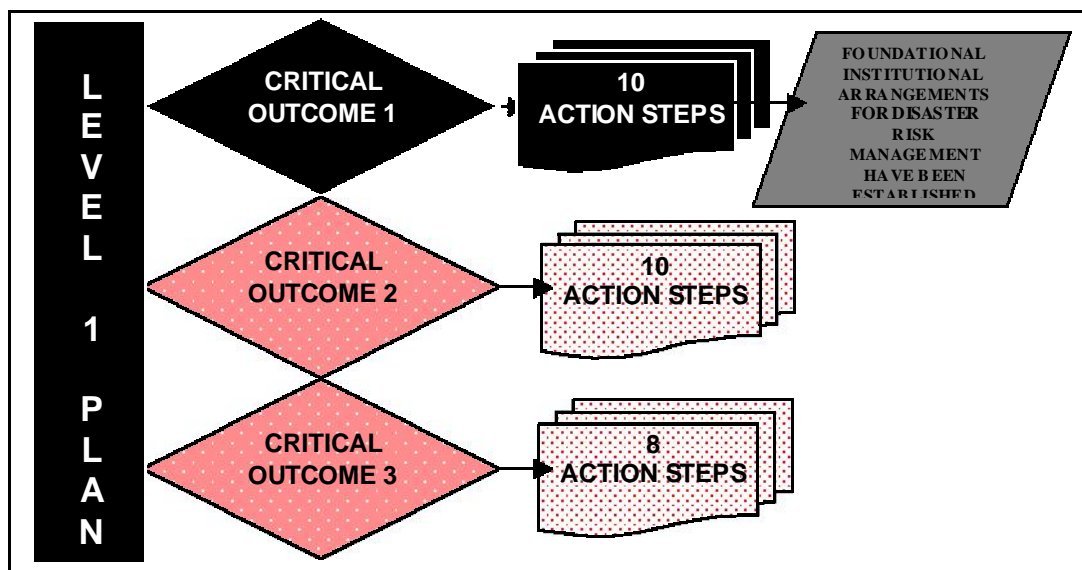
Handbook 2 of the *South African Disaster Risk Management Handbook Series* deals with the process you need to follow to achieve the very first critical outcome: Establish foundational institutional arrangements for disaster risk management. In this phase, you will be establishing the arrangements that will institutionalise or mainstream disaster risk management in your metropolitan municipality, thereby providing a solid foundation for the implementation of the legislative requirements for disaster risk management. Thus, this handbook will focus on dealing with the foundational institutional arrangements necessary for achieving a Level 1 Disaster Risk Management Plan. You can refer to Appendix 2 to see an overview of all of the institutional arrangements necessary for disaster risk management in a municipality.

To help you ‘map’ where this first critical outcome fits in the bigger scheme of things, we have included a diagram below (see Figure 1). The diagram shows the critical outcomes and action steps required to establish a Level 1 Disaster Risk Management Plan. The solid black blocks in the top row of the diagram indicate the part of the process that we are going to tackle in this handbook. The other critical outcomes are discussed in separate handbooks. The grey block on the right-hand side shows what we intend to achieve. In other words, it shows what the outcome will be once you have completed all the action steps in this handbook.

Lastly, we recommend that you begin by reading this handbook in its entirety so as to familiarise yourself with the contents before you start implementing the tasks discussed in the action steps.

So, now that you have the background, let’s get on with it!

**Figure 1: Critical outcomes and action steps for a Level 1 Disaster Risk Management Plan**



### 3. Critical Outcome 1: Establish foundational institutional arrangements for disaster risk management

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There are ten action steps towards getting the foundational institutional arrangements in place to support the development of a Level 1 Disaster Risk Management Plan. The action steps that we will deal with in this handbook are listed in Table 2 below. The table also shows which sections of the DM Act, the NDMF and other applicable legislation apply to each action step.

**Table 2: Action steps for Critical Outcome 1**

<b>Critical outcome and action steps</b>	<b>Cross-references to legal imperatives in the DM Act, NDMF and other legislation</b>
<b>Critical Outcome 1: Establish foundational institutional arrangements for disaster risk management</b>	DM Act: Chs 5 NDMF: KPAs 1, 2, 3
<b>Action Step 1:</b> Sensitise role players and concurrently conduct an assessment of the status of disaster risk management in the metropolitan municipality	DM Act: s 42(1) NDMF: KPA 1: s 1.3, s 1.4.1; KPA 2: s 2.1.5, s 2.4.1; KPA 3: s 3.3.1.2, s 3.3.1.3
<b>Action Step 2:</b> Establish mechanisms for the development and adoption of integrated disaster risk management policy in the metropolitan municipality: The Mayoral Committee	DM Act: s 42(1), s 42 (3), s 54, s 55 IGRF Act: Ch. 2, P4 s 28, s 29 NDMF: KPA 1: s 1.1
<b>Action Step 3:</b> Establish mechanisms for the integrated direction and execution of disaster risk management policy and legislation in the metropolitan municipality: The municipal disaster risk management centre	DM Act: s 42, s 43, s 44, s 45, s 46, s 48, s 49, s 50, s 54 NDMF: KPA 1: s 1.2
<b>Action Step 4:</b> Establish internal mechanisms for developing and applying integrated disaster risk management policy, planning and practice among municipal departments and other municipal entities in the metropolitan municipality: The Municipal Interdepartmental Disaster Risk Management Committee	DM Act: s 47, s 52 NDMF: KPA 1: s 1.3.1, s 1.3.2; KPA 2: s 2.1.1; KPA 3: s 3.3
<b>Action Step 5:</b> Establish mechanisms for stakeholder participation, technical advice and planning in the metropolitan municipality: The Disaster Risk Management Advisory Forum	DM Act: s 51 NDMF: KPA 1: s 1.3.
<b>Action Step 6:</b> Commission the development of the disaster risk management policy framework for the metropolitan municipality	DM Act: s 42, s 47, s 52, s 53, s 56, s 57 NDMF: KPA 3: s 3.1
<b>Action Step 7:</b> Establish a Disaster Risk Management Technical Advisory Committee for the metropolitan municipality	DM Act: s 42, s 47, s 52, s 53, s 56, s 57 NDMF: KPA 2: s 2.4
<b>Action Step 8:</b> Commission the initial disaster risk assessment (Stages 1 and 2) for the metropolitan municipality	DM Act: s 42, s 47, s 52, s 53, s 56, s 57 NDMF: KPA 2: s 2.1, s 2.4; Figures 2.1, 2.2, 2.3
<b>Action Step 9:</b> Take the disaster risk management policy framework through the public participation process and submit it for adoption and gazetting	DM Act: s 6, s 42 Municipal Systems Act: Ch. 4
<b>Action Step 10:</b> Identify and gather relevant data during action steps 1–9 of Critical Outcome 1	DM Act: s 16, s 17, s 46, s 47, s 48, s 49 NDMF: Enabler 1: s 5.1, s 5.2, s 5.3, s 5.4.1



We will discuss each action step in the chapters that follow. To assist you during each step, we have developed guidelines in the form of templates and supporting documents for you to use. These will help to make your job easier and will ensure an integrated and uniform approach to disaster risk management in your metropolitan municipality.

However, before we continue, it is useful to take note that Action Step 10 requires that you identify and gather relevant data for the disaster risk management information management system and the emergency communication system during the course of action steps 1–9. Although Action Step 10 is discussed separately, it is suggested that you review it before you take the first step towards establishing foundational institutional arrangements for disaster risk management in your metropolitan municipality.

## 4. Action Step 1: Sensitise role players and simultaneously conduct an assessment of the status of disaster risk management in the metropolitan municipality

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One of the most common difficulties experienced by disaster risk management functionaries in getting the implementation process going is the lack of understanding among key role players of the changes in approach that have taken place in the field globally and in South Africa in the last two decades. Apart from not understanding the core concepts of the disaster risk management function, the majority of role players are also not aware of the extent of their statutory responsibilities.

One of the major challenges then is to change the mindsets of role players – from the traditional idea that disaster risk management is simply a *line* function aimed at managing the *consequences* of a disaster once it has already occurred to understanding that the purpose of disaster risk management is to *manage* disaster *risk* through ongoing and integrated developmental disaster risk reduction planning and practice.

This traditional view of the function is evidenced by comments such as: ‘Why do we need disaster management? We never have disasters!’ This line of thinking has also influenced decisions about where to place the function within institutions. In most cases, it is tucked away at the bottom end of the hierarchy in a line department, only to be drawn upon to distribute blankets and biscuits once disaster strikes.

It is therefore a matter of priority that you get off on the right foot at the very start of the process by engaging with the key role players in your municipality to change current perceptions.

### **Getting the politicians on board**

As a functionary, you will know how important political commitment and support are, so your first port of call should be to meet with the political head of your institution – the Executive Mayor (or Mayor), as the case may be. Don’t make the mistake of bypassing your portfolio councillor; he or she could serve as a valuable ally.

You will know best what the environment in your institution is like. You may consider it wise either to meet with the municipal manager prior to setting up the meeting with the Executive Mayor (or Mayor) or to arrange the meeting through the office of the municipal manager.

Make sure that you maximise the time allowed for your meeting with the Executive Mayor (or Mayor) by being well prepared. Seize the opportunity. Don’t try to cover too much ground; rather emphasise the key issues.

So what are your key objectives for this meeting?

- to briefly convey the basic concept of disaster *risk management* and the change in government's approach to dealing with disasters and disaster risk management in terms of the DM Act and the NDMF;
- to stress the statutory responsibilities for disaster risk management vested in the municipal council;
- to harness political support for the implementation process which your institution will be embarking on;
- to discuss the current status of disaster risk management in the institution;
- to present and discuss an outline of the proposed foundational institutional arrangements for disaster risk management in your municipality;
- to obtain the Executive Mayor's (or Mayor's) support in promoting political participation in a disaster risk management orientation workshop to be convened as soon as possible after your meeting with the Executive Mayor (or Mayor);
- to consult on the composition and establishment of a political forum for disaster risk management policy, to identify key political role players in the municipality, and to discuss the mechanisms needed to ensure the application of the principles of co-operative government and for coordinating disaster risk management between your municipality and neighbouring municipalities and authorities; and
- to secure a consultation with the Mayoral Committee to brief the members on the council's statutory responsibilities for disaster risk management.

Make sure that you capitalise on this consultation by immediately setting the wheels in motion to convene an orientation workshop for politicians. Ideally, you should have a two-day workshop to cover all the basics. However, it may well not be possible to set aside two days for the workshop, in which case you will have to settle for a one-day workshop.

Remember, in order to be consistent with the arrangements in the national sphere, one of the main outcomes of this workshop will be to discuss institutional arrangements which will give effect to the same responsibilities in the municipal sphere as those of the national Intergovernmental Committee on Disaster Risk Management (ICDRM). An example of such an arrangement in the municipal sphere includes assigning disaster risk management responsibilities to the Mayoral Committee. We discuss these structures in more detail in Action Step 2.

It is important that you carefully target your invitations to the orientation workshop to ensure that the right role players attend the workshop. To begin with, you should invite the Mayoral Committee and the members of appropriate intermunicipality forum/s to the workshop. If appropriate intermunicipality forum/s have not been established, then invite at least two political representatives each from your neighbouring metropolitan municipalities (if applicable) and district municipalities. For example, the representatives could be the Executive Mayor (or Mayor) and the councillor who is tasked with the disaster risk management portfolio in the relevant municipality. You can extend these orientation workshops to ward councillors from your municipality at a later stage.

**Need some help in identifying the key political role players that will deal with disaster risk management issues in your metropolitan municipality? Then dip into the Candy Jar.<sup>3</sup>**

In order to convey the significance of the workshop, the notice should be sent out under the signature of the Executive Mayor (or Mayor).

A word of caution: Don't be tempted to mix political role players with functionaries in your audience for this workshop. The scope, pitch and purpose of this workshop is to orientate the politicians to the policy and legislative issues and the council's responsibilities for disaster risk management.

Your workshop agenda should focus on the following three issues:

1. Orientation to the core concepts of risk reduction through focused developmental planning and practice.
2. Legislative responsibilities for disaster risk management.
3. The establishment of institutional arrangements for disaster risk management policy development, adoption of and amendments to the policy in the municipality, and the mechanisms for councillors with disaster risk management responsibilities in the municipality to advise and make recommendations to council on disaster risk management issues.
4. The establishment of arrangements to promote and facilitate relations with neighbouring municipalities relating to disaster risk management policy.

Within ten days after the workshop, make sure that you complete Action Step 2, which is discussed next in this handbook. Action Step 2 guides you through establishing mechanisms for the development and adoption of integrated disaster risk management policy in your municipality. It discusses what you need to do to establish a mechanism that is consistent with the composition and responsibilities of the national ICDRM.

## **Getting the technocrats orientated**

The orientation and commitment of key departmental role players in your municipality is just as important as getting the commitment of the politicians. However, this part of the process is going to be particularly challenging because in all likelihood you will first need to embark on a focused change management strategy. Experience has shown that while the majority of key personnel in the various departments or other municipal entities understand their role in *disaster response and recovery operations*, most are not fully aware of their statutory responsibilities for *disaster risk reduction*.

So your next task is to set up a meeting with your municipal manager. Depending on the environment in your particular institution, a more strategic approach may be to have this meeting first before you meet with the Executive Mayor (or Mayor).

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<sup>3</sup> Candy Jar 1 (CJ 1): Key internal institutional role players in disaster risk management in the municipal sphere.

Make sure that you do your homework first. Get hold of a copy of the organisational chart for your municipality. Study it carefully and identify all the key role players in your municipality who play a part in the management of disaster risk.

You will have a good idea of the risk profile of your institution and this should guide you in the identification of the relevant expertise which you would need to harness.

**Need some help in identifying the type of expertise needed? Then dip into the Candy Jar.<sup>4</sup>**

The main focus of your meeting with the municipal manager will be to:

- briefly convey the basic concept of *disaster risk management* and the change in government's approach to dealing with disasters and disaster risk management in terms of the DM Act and the NDMF;
- stress the statutory responsibilities for the preparation of disaster risk management plans (sections, 47, 52 and 53 of the DM Act) vested in the metropolitan municipality, including the preparation and implementation of three levels of disaster risk management planning and practice in the metropolitan municipality (as prescribed in subsection 3.1.1.2 of the NDMF);
- provide an overview of the implementation process of the three levels of plan which the municipality will be embarking on;
- discuss the current status of disaster risk management in the municipality and an outline of the proposed foundational institutional arrangements for disaster risk management;
- obtain the municipal manager's support in securing consultations with the heads of departments and other entities to brief them on their statutory responsibilities for disaster risk management and to identify key internal role players with disaster risk management responsibilities in their functional areas; and
- get support for promoting the participation of all key personnel (as identified from your organisational chart and during consultations with department heads) in a proposed disaster risk management orientation workshop/s.

Make sure that you capitalise on this consultation by immediately setting the wheels in motion after the meeting to convene an orientation workshop/s for key personnel.

In order to convey the significance of the workshop/s, it is a good idea to send the notice out under the signature of the municipal manager.

Again, as with the workshop for politicians, you may consider it more viable to restrict the workshop/s to one day. A good idea would be to start off with a one-day workshop for top management. You could then group the rest of the identified key personnel into clusters and hold a one-day workshop for each cluster.

Another word of caution is necessary. The workshop/s is for *technocrats*, so don't be tempted to mix political role players with functionaries. The two aims of the workshop are:

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<sup>4</sup> Candy Jar 1 (CJ 1): Key internal institutional role players in disaster risk management in the municipal sphere.

1. Emphasise the focus on developmental risk reduction planning and practice.
2. Establish a sound understanding of the statutory responsibilities of key role players in the municipality for disaster risk management. These statutory responsibilities are determined by the DM Act, the NDMF and the statutes governing the functional areas of the key role players.

In short, the workshop needs to convey a strong message that disaster risk management is *everybody's* business.

Your workshop agenda should thus focus on the following four issues:

1. Orientation to the core concepts of disaster risk reduction through focused developmental planning and practice.
2. Statutory responsibilities for disaster risk management in terms of the DM Act and the NDMF.
3. Statutory responsibility for disaster risk reduction and contingency planning and practice within the relevant functional areas.
4. Overview of proposed foundational institutional arrangements for disaster risk management in the municipality.

Make sure that you commence with Action Step 4 within ten days of the workshop. This action step focuses on establishing internal mechanisms to enable the integrated execution of disaster risk management policy, planning and practice in your metropolitan municipality.

### **Assessing the current status of disaster risk management in your metropolitan municipality**

Although this series is being written on the assumption that you are starting out with the implementation process, it would be unwise to assume that nothing at all has been done in your municipality in respect of disaster risk management. So, before embarking on the process, it is a good idea to first 'take stock' of what your municipality has done in this regard. The best way of doing this is to conduct a high-level assessment of the status of disaster risk management in your metropolitan municipality. This type of assessment is also referred to as a Current Reality Assessment (CRA) or a 'GAP Analysis'. In essence, what you are doing is drawing a comparison to identify the differences between actual outcomes and desired outcomes. Apart from identifying gaps, you also want to eliminate duplication.

In doing your assessment, it is necessary to establish minimum indicators against which a particular outcome should be assessed. For example, one outcome being assessed might be that of the 'establishment of a Municipal Disaster Risk Management Advisory Forum to engage stakeholder participation'. Although the assessment may show that a forum has been established, the mere fact that it exists does not necessarily mean that it has been formally constituted or that it operates according to specific minimum criteria or terms of reference. You also wouldn't be able to tell whether it functions effectively and consistently. So you must establish key indicators for each outcome, otherwise the results of your assessment will be worthless! For example, the key performance indicator for the establishment of a Municipal Disaster Risk Management Advisory Forum would be:

The Municipal Disaster Risk Management Advisory Forum has been formally constituted and operates effectively in accordance with predetermined terms of reference which also allow role players to communicate effectively with each other.

**Need some help in identifying key performance indicators? Then dip into the Template Jar.<sup>5</sup>**

The advantages of conducting an assessment of this nature are twofold:

1. It provides you with a basis for focusing the planning of your implementation strategy.
2. If conducted simultaneously with your orientation process, it serves as quite an eye-opener for the key institutional role players with whom you are engaging. Suddenly they start to realise the extent and scope of both the municipality's and their responsibilities for disaster risk management.

Conducting your CRA need not be confined to the orientation process described thus far. It will probably be necessary to follow up with one-on-one interviews with key role players to obtain more information. However, the process will be so much easier now. This is because you have already 'opened the door' for discussion on disaster risk management by holding the orientation workshops.

**Need some help with conducting a CRA? Then dip into the Template Jar.<sup>6</sup>**

Collect as much documentation and information as you can during the assessment process. Then use the templates and other guidelines in the Template and Candy Jars to compare the actual situation on the ground and the desired outcomes described in these guidelines. This will help you to assess what needs to be done to align the two sets of outcomes. Remember, two of the main goals of the *Handbook Series* and its supporting materials, such as the templates and guidelines, are to achieve uniformity and joint standards of practice across all municipalities.

Once your assessment is complete and you have compiled your report, you will have a sound basis on which to plan your way forward.

Action Step 1 has provided the opportunity for you to 'open the doors' and to set the stage for creating an institutional environment that will help you to achieve your Level 1 Disaster Risk Management Plan status. So, let's take the next step.

<sup>5</sup> Template Jar 10 (TJ 10): Key performance indicators for the achievement of Critical Outcome 1 of a Level 1 Disaster Risk Management Plan for a metropolitan municipality.

<sup>6</sup> Template Jar 1 (TJ 1): Conducting a Current Reality Assessment in a metropolitan municipality.

## 5. Action Step 2: Establish mechanisms for the development and adoption of integrated disaster risk management policy in the metropolitan municipality: The Mayoral Committee

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We have discussed the importance of political commitment in order to successfully manage disaster risk in the communities we serve. The next step is to establish the necessary arrangements and mechanisms to develop and adopt an integrated disaster risk management policy framework for the metropolitan municipality.

The DM Act and the NDMF set out the parameters for establishing an Intergovernmental Committee on Disaster Risk Management (ICDRM) at the national level. In this action step, we look at how to devise similar mechanisms in the municipal sphere.

In the case of a metropolitan municipality, using an existing structure such as the Mayoral Committee is ideal because it is chaired by the Executive Mayor and is composed of the councillors representing all of the departments and municipalities that have responsibilities for disaster risk management in the municipality. It would be the responsibility of the Mayoral Committee to ensure that the municipal council develops and adopts an integrated disaster risk management policy framework for the metropolitan municipality.

The other important consideration in ensuring that the municipal disaster risk management policy is integrated and that it gives effect to the principle of co-operative government is to establish mechanisms which will promote and facilitate relations with neighbouring municipalities for the purpose of developing disaster risk management policy for the management of cross-boundary risks. This can best be achieved through an existing intermunicipality forum/s or by establishing an intermunicipality forum/s specifically for the purpose. However, you will only be able to assess the need for intermunicipality forum/s once you have the findings of the first two stages of the disaster risk assessment for your municipality. So we will consider this matter again in Handbook 3 of the series.

The first task then is to develop and document the mechanisms for the development, adoption and amendment of integrated disaster risk management for your municipality. In the case of the Mayoral Committee, developing the mechanisms need only involve the inclusion of disaster risk management responsibilities into existing terms of reference.

**Need help with drafting the mechanisms for the development, adoption and amendment of integrated disaster risk management policy for your municipality? Then dip into the Template Jar.<sup>7</sup>**

Once you have drafted the necessary mechanisms for the Mayoral Committee, you have to submit them to the Executive Mayor (or Mayor), who must circulate them to the Mayoral

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<sup>7</sup> Template Jar 2 (TJ 2): Mechanisms for the development, adoption and amendment of integrated disaster risk management policy for a metropolitan municipality.



Committee for comment and input. Once all the comments have been received and processed, you have to submit the revised mechanisms and terms of reference to the Executive Mayor (or Mayor) for submission to the municipal council for consideration and adoption.

**Need help with drafting the item for your municipal council's consideration? Then dip into the Template Jar.<sup>8</sup>**

In this action step you have put in place the mechanisms through which you will *process* the development and adoption of disaster risk management policy for your municipality. Now you need to get on with the rest of your implementation strategy, including the establishment of additional foundational institutional arrangements (see action steps 3, 4 and 5) and the *actual* development and adoption of the disaster risk management policy framework for your sphere (see Action Step 6).

<sup>8</sup> Template Jar 3: (TJ 3): Item to the municipal council: Establishment of integrated institutional capacity for disaster risk management in the metropolitan municipality in accordance with the Disaster Management Act No. 57 of 2002.

## 6. Action Step 3: Establish mechanisms for the integrated direction and execution of disaster risk management policy and legislation in the metropolitan municipality: The municipal disaster risk management centre

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The DM Act and the NDMF require the ‘integration’ and ‘coordination’ of disaster risk management activities in municipalities. In Handbook 1 of this series, we discussed the terms ‘integration’ and ‘coordination’ and acknowledged the complexity involved in achieving an integrated and coordinated approach to disaster risk management. We also came to the conclusion that this is where the greatest challenge lies.

To ensure integrated and coordinated disaster risk management in the metropolitan municipality, appropriate institutional arrangements need to be put in place. So far, we have looked at the role of the Mayoral Committee in advising and making recommendations to the municipal council on disaster risk management policy and issues relating to disaster risk management in the municipality. We have also discussed establishing an intermunicipality forum to promote and facilitate relations with neighbouring municipalities to ensure co-operation and integrated disaster risk management policy.

In Action Step 3, we discuss the establishment and the role of another institutional mechanism, that of the municipal disaster risk management centre.

### **Understanding the disaster risk management function**

To achieve integration and coordination, it is vital that the roles and responsibilities of all role players are clearly defined and that all role players fully understand and accept their statutory responsibilities for disaster risk reduction. This will provide a solid foundation on which to base a uniform approach to disaster risk management in your metropolitan municipality.

The DM Act and the NDMF provide national, provincial and municipal spheres of government with a clear mandate in respect of the disaster risk management function. The Act mandates the relevant spheres of government to establish disaster risk management centres and to appoint people as heads of these centres. The head of a centre is responsible for exercising the powers and performing the duties of the centre and for taking all decisions with regard to the powers and duties of the centre.

Yet, despite this clear mandate, various role players and stakeholders still regard the disaster risk management function as an emergency response service function. To change this misconception and to firmly establish a clear understanding of disaster risk management as a *management* function, it may be useful to draw an analogy between disaster risk management and the workings of an orchestra.

To play a particular piece of music well requires a unique combination of different musical instruments, which are played by musicians who are each specialised in their own particular field. In the same way, the effective *management* of a particular disaster *risk* requires the unique combination of a diverse range of technical and scientific measures applied by role players who are specialists in their own field.

Inasmuch as an orchestra would not produce perfectly timed and melodious music without a skilled conductor, so, too, can the planning and management of disaster risk not be achieved without a conductor, namely the disaster risk management centre.

The conductor would never play an instrument at the same time as conducting or directing the orchestra. This is because it is the conductor's responsibility to ensure that all the musicians play their part in creating a harmonious whole. Similarly, the *management* of disaster risk is about ensuring that all role players play their part to achieve the common goal of disaster risk reduction. Thus, the disaster management centre is responsible for the holistic *management* of a range of disaster risk reduction projects and programmes that are planned and implemented by specialists (line function departments, entities and other relevant role players).

So, Action Step 3 involves the establishment of mechanisms that will provide the organisational environment for ensuring integration and coordination of disaster risk management in your municipality. It will help you to create an environment in which you will be in a position to direct or 'conduct' the 'orchestra' in your sphere to ensure harmonious 'music'.

### **Key considerations in establishing a disaster risk management centre**

Action Step 3 step involves the following five key considerations which must be taken into account to enable you to effectively direct and execute integrated disaster risk management policy in your municipality:

1. The correct placement of the function in the organisational structure of your municipality.
2. The establishment of clear parameters for the appointment of the head of the centre and the establishment of key performance areas for the head of the centre.
3. Factors that determine the physical location of the centre.
4. The establishment of the various components in the centre and the minimum infrastructure and resources required for the effective functioning of the centre.
5. The establishment of operational responsibilities of the various components of the centre.

We will discuss each consideration separately.

#### ***The correct placement of the function in the hierarchy***

Although the correct placement of the function has been the subject of much debate, the NDMF does provide clear direction in this regard. It requires that municipal disaster management centres 'must be given the necessary stature and must be able to operate in environments that are seamless and robust' if they are to achieve their objectives (NDMF, p. 8). It goes further to say that this would best be achieved by the establishment of a 'South African Disaster Risk Management Authority' or similar entity (NDMF, p. 8).

But, for the sake of practicality, let's go back to our analogy of the orchestra. We have already established that the management of disaster risk can be likened to conducting an orchestra. Now we have to consider the question: from *where* does the conductor direct the orchestra? Does the conductor sit among the violinists or the cellists? Does the conductor stand at the back of the orchestra? No, of course not. The conductor must be in a strategically located, seamless and unbiased position with a panoramic view of the orchestra.

So, from where should disaster risk management be directed within a municipality? Should it be directed from the lower end of the hierarchy of a department with line function responsibilities, for example housing, protection services, public safety, health or community services? No, of course it shouldn't. If it is to be effective in achieving its task of integrated disaster risk management across the departments and disciplines within departments and in other municipal entities, then it, too, must be strategically located in a seamless and unbiased position.

Disaster risk management must be directed from the highest office in the municipality. Why? If the head of the centre is to exercise the powers and the level of statutory authority and decision making vested in the centre by the DM Act, then it must be strategically positioned to do so and must be able to cut across departments and other entities involved with disaster risk management.

This argument is supported internationally by the fact that, in countries where the function is not an authority in its own right, it is usually located in the highest office in the country such as the President's or Prime Minister's Office.

Of course, the closer the sphere of government is to the people, the more important its correct placement becomes.

**Need more help to motivate the correct location of the disaster risk management function in your municipality? Then dip into the Candy Jar.<sup>9</sup>**

In the next section, we discuss the parameters for the appointment of heads of centres and provide guidance on key performance areas. We also look at the tasks that need to be performed to achieve each key performance area, thereby promoting uniformity.

***Appointment of the head of the centre, strategic direction and key performance areas for the execution of disaster risk management in the municipality***

We'll start off by analysing what the DM Act says about the appointment of the head of the centre, from the point of view of taking directions and administrative instructions.

In the case of a municipality, the head of the centre must be appointed by the council of the municipality concerned. As mentioned earlier, the head of the centre exercises the powers and performs the duties of the centre. In doing so, the head of the centre takes all decisions of the centre in accordance with the *directions of the municipal council* but performs the duties in accordance with the *administrative instructions of the municipal manager*.

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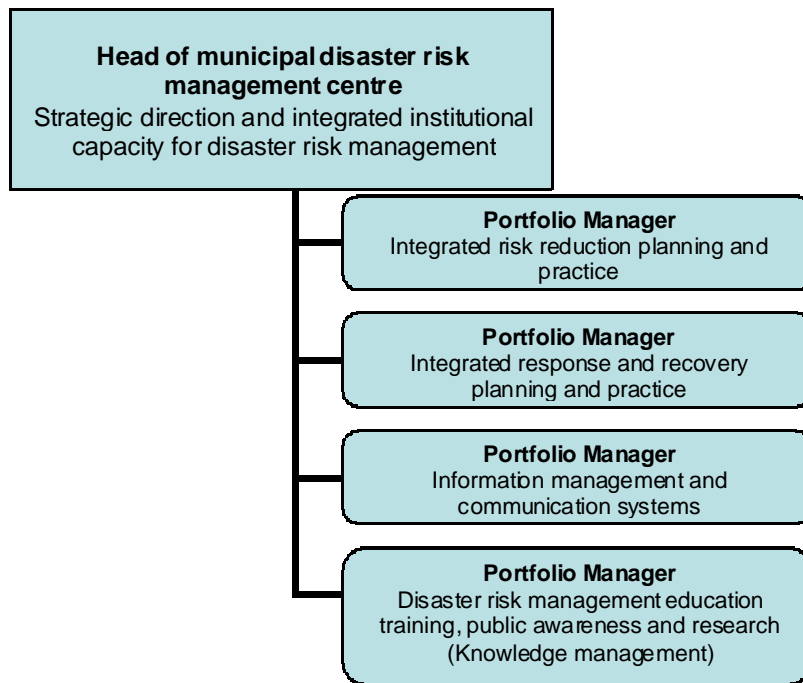
<sup>9</sup> Candy Jar (CJ 2): The placement of the disaster risk management function in the municipal sphere.

Clearly, these provisions support the argument for the location of the function in the highest office in your municipality. They also serve to highlight the seniority of the position, particularly in respect of decision making. Taking critical decisions under extreme pressure and in stressful circumstances requires rare qualities which, among others, include insight, good judgement, maturity and experience. For example, decisions which need to be taken when a disaster occurs or is threatening to occur could have far-reaching implications that could result in huge losses – not only in respect of human lives, property, infrastructure and the environment but also in terms of economic losses. So, it is logical that the individual appointed to the position must be appropriately qualified and be an experienced manager.

The powers and duties of municipal disaster risk management centres are summarised in 12 subsections in the DM Act. However, only when each of those 12 subsections is unpacked does the scope of what must be done become apparent – and it's extensive.

So, for the sake of manageability and practical operational reasons, it makes sense to cluster related tasks into no more than four or five portfolios. Although the head of the centre is responsible for all the duties of the centre, he or she will need to have senior personnel to manage the portfolios as well as other support staff to assist with the application of the tasks. By restricting the number of portfolios, the head of the centre's job is made much easier since he or she will have only a maximum of five portfolio managers reporting to him or her. It would be in the interest of uniformity for all municipalities to adopt a similar approach. Figure 2 shows the portfolios.

**Figure 2: Portfolios for a municipal disaster risk management centre**



**Need more help with drawing up the parameters for the appointment of the head of the centre and to identify portfolios for the strategic direction and execution of disaster risk management policy? Then dip into the Candy Jar.<sup>10</sup>**

We have established the criteria for appointing the conductor of the orchestra (the head of the centre) and have prepared the music sheets. Next, we need to set up the conductor's working environment. In the following four sections, we will discuss the centre itself, not only its physical location but also the key components of the centre and each component's responsibilities. We also take a look at the infrastructure needed for the centre to operate effectively.

### ***The physical location of the disaster risk management centre***

There are several important factors that you need to take into account when selecting the site for your disaster risk management centre. First of all, it must be located in an area which is not exposed to any known or obvious risks. Secondly, although the centre must be easily accessible to the public, you must ensure that there is access control and that the facility is protected by security fencing. Remember, too, that when disasters occur – especially in the case of severe weather events – there is inevitably a risk of power failures and interruptions to water supply. So, the centre must have access to an independent source of power, such as an emergency generator, and an independent supply of water that will be sufficient for the centre to operate in full mode for at least five consecutive days on a 24-hour basis.

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<sup>10</sup> Candy Jar (CJ 3): Parameters for the appointment of the head of a disaster risk management centre and the establishment of key performance areas for disaster risk management in a metropolitan municipality.

***The establishment of the disaster risk management centre and the minimum infrastructure and resources required for its effective functioning***

A functional disaster risk management centre constitutes the following three components:

1. Disaster Operations Centre (DOC);
2. Central Communications Centre; and
3. Training, Media and Public Information Centre.

***Disaster Operations Centre***

The DOC is the facility within the disaster risk management centre from which all disaster risk management policy, planning and operations are directed and executed.

It must consist of a dedicated conference-type facility, which is suitably sized for holding planning meetings and can be used for the real-time direction and *strategic* management of multidisciplinary response and recovery.

The DOC should not be confused with the Joint Operations Centre (JOC). Remember that the direction and strategic management of response and recovery that takes place in the DOC is a higher level of decision making and management than the local coordination of response and recovery operations, which takes place in the JOC.

The administrative headquarters comprising the offices and infrastructure necessary for the direction and execution of disaster risk management for the municipality must be housed in the same building as the DOC.

To cater for key personnel when the DOC is in 24-hour operational mode, there must be adequate ablution facilities, including access to showers, restroom facilities and a fully equipped kitchen. Ideally, there should also be sleeping accommodation and lockers for at least six persons.

There must be photocopying and fax facilities as well as sufficient storage space.

***Central Communications Centre***

The Central Communications Centre serves a crucial purpose. It is the heart of the disaster risk management centre as all incoming and outgoing information and communication are channelled and recorded by it. It must be suitably equipped to serve its purpose. The equipment must include all the necessary radio communication technology and equipment to allow efficient two-way strategic communication coverage of the whole of the municipal area, including communities at risk.

A word of caution is necessary. Do not make the mistake of thinking that the public information and communication function of the Central Communications Centre can be undertaken by a line function 'control room' such as the fire or ambulance service. Experience has shown that when a major catastrophe occurs, the 'control room' is automatically biased towards its own function. This is simply because it becomes so congested with its normal operational communication requirements.

To reduce costs, it is quite acceptable for the Central Communications Centre to be operational during normal office hours only, provided that mechanisms are in place for it to kick into 24-hour operational mode if the need arises. There is also no harm in switching through to another service's control room after hours for emergency purposes only.

Facilities in the Central Communications Centre must include a switchboard with sufficient capacity to enable the centre to operate efficiently when in full mode. Switchboards become so congested with incoming calls when disaster response and recovery is under way that it is critically important to include access to dedicated unlisted priority lines in the DOC. These lines must be independent of any switchboard.

In view of the fact that the Central Communications Centre serves as the central reporting and call-taking facility for all significant events and disasters, as well as for monitoring and disseminating early warnings and for providing a public information service, it is advisable to have a toll-free number available to allow the public easy and free access.

For recording and legal purposes, as well as for review, a voice logging system must be installed to record all incoming and outgoing telephonic and radio communications.

#### *Training, Media and Public Information Centre*

There must be a small reception area at the entrance to the centre where the public seeking information can be attended to and visitors can be received. This area must be appropriately equipped.

Ideally, there should be a separate facility specially equipped for the purpose of holding media briefings. However, for economic reasons, one facility can be created which can serve both as a training venue and as a media briefing room. There should be comfortable seating and tables to accommodate at least 25 persons. It is important that the furniture can be arranged in different configurations to suit a variety of events. The venue must be equipped with suitable public address equipment and voice recording facilities as well as the appropriate infrastructure necessary for media briefings and training.

Attached to the venue, or in close proximity of the venue, must be an appropriately equipped room to serve as a library/archive/media facility.

#### **Need help with identifying the infrastructure necessary to establish a functional disaster risk management centre? Then dip into the Candy Jar.<sup>11</sup>**

Now that we've got the physical infrastructure sorted out, let's summarise the operational responsibilities of the various components of the centre.

#### ***Operational responsibilities of the various components of the disaster risk management centre***

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<sup>11</sup> Candy Jar (CJ 4): Minimum criteria for the establishment and operational functioning of disaster risk management centres in metropolitan municipalities.



### *Disaster Operations Centre*

The DOC must develop capabilities based on international principles of disaster risk management best practice and in accordance with its statutory mandate. The DOC is responsible for:

- establishing and maintaining integrated institutional capacity for the direction and integrated execution of policy and legislation in the municipality;
- establishing and maintaining effective administrative, organisational and financial procedures in the centre including an information management system;
- applying integrated disaster risk reduction planning and practice;
- applying integrated response and recovery planning and practice; and
- the strategic management of response and recovery operations.

### *Central Communications Centre*

The Central Communications Centre must develop capabilities based on international principles of disaster risk management best practice and in accordance with the relevant statutory mandates. It is responsible for:

- the development, establishment and maintenance of an effective telecommunications system and an operational call centre for disaster risk management for the municipality as a whole.

### *The Training, Media and Public Information Centre*

The Training, Media and Public Information Centre must develop capabilities based on international principles of disaster risk management best practice and in accordance with the relevant statutory mandates. It is responsible for:

- promoting the recruitment, training and capacity building of volunteers and other role players;
- establishing and maintaining capacity and capabilities for knowledge management in the municipality for the purpose of disaster risk management;
- developing and implementing an integrated public awareness strategy for the municipality based on the risk profile; and
- establishing mechanisms to ensure effective media relations in order to provide the public with information.

Now that we've set up the platform from which the orchestra will be conducted, the next step is to set up the mechanisms to get key members of the orchestra together and to ensure that the music they play is harmonious and synchronised.

## 7. Action Step 4: Establish internal mechanisms for developing and applying integrated disaster risk management policy, planning and practice among municipal departments and other municipal entities in the metropolitan municipality: The Municipal Interdepartmental Disaster Risk Management Committee

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In Action Step 1, you identified all the key personnel in your municipality who have technical and other relevant expertise and who have statutory responsibilities for disaster risk reduction. We also acknowledged the need for changing mindsets among key institutional role players in your sphere in getting them to understand and accept that disaster risk reduction is an integral part of their core function. You took the first step in that direction by engaging them in a workshop.

At the workshop you assisted them to develop an understanding of the philosophy and core concepts of disaster risk management. Now, in this action step, you are going to establish the mechanisms to enable them to start identifying how they are going to apply the philosophy and concepts in *their* functional areas, what their roles and responsibilities are in this regard, and what capacities they have to fulfil them.

### **Establishing a Municipal Interdepartmental Disaster Risk Management Committee**

We have already mentioned that one of the greatest challenges in implementing the DM Act and the NDMF is to achieve integrated and holistic planning and practice. One of the ways of doing this is to establish an advisory forum for disaster risk management. To this end, both the Act and the NDMF make provision for a forum that will involve *internal* and *external* role players and stakeholders involved in disaster risk management in the municipality. We will discuss setting up an advisory forum in Action Step 5.

For now, we will focus on the need to establish an *internal* mechanism to enable integration of plans and practices among the key institutional role players *within* your metropolitan municipality, particularly when it comes to core functions. This mechanism is called the Municipal Interdepartmental Disaster Risk Management Committee (MIDRMC).

Let's look at an example to explain this argument. Extensive flooding of a waterway occurred in a large city as a result of a flash flood. In the review undertaken after the flood had taken place, it came to light that the municipal department had a plan annually to clear the waterway of debris and other foreign material before the rainy season. Another department was monitoring and tracking the rainfall pattern and noted that the rains were falling earlier and earlier each year. Unfortunately, due to a lack of integrated planning, the information was

not being shared. As a result, in that particular year the rains arrived before the annual clearing was scheduled to take place. This increased the impact of the flash flood, which resulted in huge economic losses.

Although the formation of a MIDRMC is not required by the DM Act, it is strongly recommended that you establish one in your metropolitan municipality. By taking this step you will ensure the engagement of all the technical expertise from the relevant disciplines in the departments and entities in your municipality. It also means that you don't have to include *all* the key institutional role players in your municipality in the advisory forum, which otherwise would be too large and unwieldy to manage.

However, the real significance of this step is that you are going to establish an environment that will enable the *integration* of practice, policies and plans for disaster risk management *within* your municipality. This is what mainstreaming disaster risk reduction really is all about, which, after all, is what the DM Act requires.

So, in summary, the MIDRMC involves *internal* role players whereas the advisory forum involves a much wider range of role players and stakeholders.

Don't make the mistake of thinking that the MIDRMC will be a duplication of the structures set up for integrated development planning (IDP) in your municipality. Its purpose is different – despite the fact that many of the disaster risk management role players will also be in IDP structures. To save time and costs, you could arrange that the meeting of the MIDRMC is held directly before or after the IDP meeting.

**Need help with developing the terms of reference for the establishment and functioning of the MIDRMC? Then dip into the Template Jar.<sup>12</sup>**

In this action step, we devised mechanisms for getting your internal technocrats to integrate their disaster risk management planning and practice. In the next action step, we'll be discussing the establishment and functioning of the Municipal Disaster Risk Management Advisory Forum.

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<sup>12</sup> Template Jar (TJ 4): The establishment and functioning of a Municipal Interdepartmental Disaster Risk Management Committee for the metropolitan municipality.

## 8. Action Step 5: Establish mechanisms for stakeholder participation, technical advice and planning in the metropolitan municipality: The Disaster Risk Management Advisory Forum

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The national slogan for disaster risk management says it like it is: 'Disaster risk management is everybody's business...Towards a resilient South Africa!' The Disaster Risk Management Advisory Forum is the 'place' where everybody who is involved in the business of disaster risk management must be represented.

There is general consensus that it is important that municipalities establish advisory forums. The NDMF supports this standpoint and recommends that, in the interests of uniformity, municipalities establish advisory forums. In fact, most municipalities have already established advisory forums. However, evidence shows that there is no consistency in the manner in which they have been established and how they function.

The challenge in giving effect to this action step is in crafting mechanisms to ensure stakeholder participation in planning and practice and to integrate and coordinate the actions of the internal institutional role players in your municipality and the external role players, stakeholders and other relevant technical experts.

This is particularly important when it comes to developing integrated plans for disaster risk management. Again, this requires a shift in current thinking. The situation of each department preparing a plan for its functional area in isolation of the plans of other departments and stakeholders is a thing of the past. At the same time, the development of disaster risk management plans is not the sole responsibility of the disaster risk manager or the disaster risk management centre. Achieving integrated disaster risk management in the metropolitan municipality requires the active involvement of all the relevant role players and stakeholders, as well as those who are likely to be affected by particular identified risks.

The advisory forum is intended to be the vehicle through which disaster risk management role players coordinate their actions and ensure the mainstreaming of risk reduction in development initiatives. The secret to the successful functioning of the advisory forum is to get the forum working for you. This is best done by establishing *task-driven* multidisciplinary technical teams composed of representatives from the various disciplines who carry responsibility for the task in hand. Each team must be given a brief for the specific task they are to undertake. Examples of such tasks include the development of a comprehensive disaster risk reduction plan for a community that is exposed to a range of hazards, or a contingency plan for severe weather events, or an operational plan for evacuation and so on. The team identifies the lead agency that has primary responsibility for the task in hand, and all the other agencies serve in support of the primary or lead agency. The task must be managed as a project, using project management methodology, with the lead agency serving as the project manager. The technical task teams must submit their progress reports to the municipal disaster risk management centre, which, in turn, must submit these reports to the

plenary meeting of the advisory forum. Once the project has been completed, it is closed and the team disbands.

Don't make the mistake of establishing standing subcommittees. Each task requires a unique combination of expertise. This is why the focus is on task-driven combinations of role players with the relevant expertise.

This approach to managing the forum means that, under normal circumstances, the plenary only needs to meet quarterly with the task teams meeting more regularly to complete the tasks in hand.

**Need help with developing terms of reference for the establishment and functioning of the Municipal Disaster Risk Management Advisory Forum? Then dip into the Template Jar.<sup>13</sup>**

Now that all the foundational institutional arrangements are in place, your orchestra is ready to start playing! You will now be able to begin with the development of a policy framework for disaster risk management in your municipality. The next action step focuses on commissioning the drafting of your disaster risk management policy framework.

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<sup>13</sup> Template Jar 5 (TJ 5): Terms of reference for the establishment and functioning of a Disaster Risk Management Advisory Forum in a metropolitan municipality.

## 9. Action Step 6: Commission the development of the disaster risk management policy framework for the metropolitan municipality

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In this action step, we will be discussing the arrangements for and identification of a technical task team that will be responsible for developing the disaster risk management policy framework for your municipality. We will also look at mechanisms for consulting stakeholders.

The head of the disaster risk management centre has primary responsibility for the drafting of the municipality's policy framework. This means that the head of the centre must serve as the convenor and facilitator of the process.

**Need help with developing terms of reference for the establishment and functioning of the Disaster Risk Management Policy Framework Technical Task Team? Then dip into the Template Jar.<sup>14</sup>**

Remember that the DM Act requires that your policy framework be consistent with the national framework (NDMF) and the framework of your province. For this reason, it would be wise to use a similar format to the national and provincial frameworks.

The NDMF is a very comprehensive document with extremely valuable information. However, in the case of the municipal framework, it is not necessary to repeat all the information in the NDMF. Rather, stick to the essential elements that must be reflected in the policy framework. These are:

- State *what must* be done.
- Mandate responsibilities as to *who must* execute these actions.
- Provide the essential criteria for *how they must* be done.
- Where relevant, prescribe time frames for *when they must* be done.

Keeping the policy framework simple and to the point will make it user-friendly, easy to follow and easy to implement. More detailed information can be included as supporting policy. You can use the information from the template and candy jars listed in this handbook to draw up any supporting policy.

If you have followed the five action steps that we have covered so far, you will already have gathered most of the material you need to compile the first key performance area (KPA) of your disaster risk management policy framework. In fact, you would already have taken several steps to comply with KPA 1.

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<sup>14</sup> Template Jar 6 (TJ 6): Terms of reference for the establishment of a technical task team to develop a disaster risk management policy framework for a metropolitan municipality.

KPA 1 focuses on establishing institutional capacity for disaster risk management in your municipality. It makes logical sense to set up your institutional arrangements first. This is because you will need to consult the committees and forums set up in terms of KPA 1 for political and technical input. Also, by establishing the necessary institutional arrangements, your municipality will meet the requirements of the Local Government: Municipal Systems Act No. 32 of 2000 with regard to the public participation process. This process itself is described in Action Step 9 in this handbook.

### **Need to access the the Local Government: Municipal Systems Act? Then dip into the Statute Jar.<sup>15</sup>**

Before we continue, let's briefly look at the different KPAs that should be included in your disaster risk management framework. These are the same ones that are in the NDMF. The KPAs are:

- KPA 1: Integrated institutional capacity for disaster risk management;
- KPA 2: Disaster risk assessment;
- KPA 3: Disaster risk reduction; and
- KPA 4: Disaster response and recovery.

In addition, there are three performance enablers which facilitate and support the achievement of the objectives of each KPA. These enablers are the same as those discussed in the NDMF. The enablers are:

- Performance Enabler 1: Information management and communication;
- Performance Enabler 2: Education, training, public awareness and research (knowledge management); and
- Performance Enabler 3: Funding arrangements for disaster risk management.

An important component which must be included in your framework is that of key performance indicators. It is recommended that they be reflected either at the end of the document or in the supporting policy documents.

### **Composition of the Disaster Risk Management Policy Framework Technical Task Team**

The Disaster Risk Management Policy Framework Technical Task Team must include personnel in the disaster risk management centre who are responsible for the portfolios of disaster risk reduction (including disaster risk assessment) and response and recovery. In addition, these staff members should be tasked with facilitating the drafting of the KPAs on disaster risk reduction, disaster risk assessment and response and recovery. Similarly, the functionaries in the centre who are responsible for information management, emergency communication, education, training, public awareness, research and finance should be tasked with facilitating the drafting of the aspects relevant to their particular portfolios. The convenor of the technical advisory committee should also serve on the technical task team. (See Action Step 7 below for more information on technical advisory committees.)

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<sup>15</sup> Statute Jar 5 (SJ 5): Local Government: Municipal Systems Act No. 32 of 2000.

The development of the policy framework should be managed as a project using recognised project management methodology.

**Need more information on the project management tool Project Portfolio Office (PPO)? Then dip into the Statute Jar.<sup>16</sup>**

To assist you in achieving consistency and to guide you in drafting your policy framework, we have prepared a template for a municipal disaster risk management policy framework. A word of caution though: it would be a serious error to think that you can simply copy this template and implement it as is. It is of critical importance that you workshop the content of the policy framework and consult other role players during the drafting process. Once you have done these things, you will need to customise the template according to the realities in your municipality. If you fail to follow the participative route in the drafting of your policy framework, you will fail to achieve buy-in and ownership of the policy by the relevant stakeholders and role players. Ultimately, you will fail in your responsibility to implement the DM Act and the NDMF.

The amount of revision needed after the public participation process will be markedly less if you engage with the relevant role players and stakeholders and gain input from them on a continuous basis during the drafting process. As the process progresses, you may also consider engaging the services of a professional editor to finalise your policy framework.

Good luck with the development of your disaster risk management policy framework.

**Need help with developing the first draft of your disaster risk management policy framework? Then dip into the Template Jar.<sup>17</sup>**

While the development of your policy framework is progressing, the next action step will be to establish a technical advisory committee (TAC) for your municipality. The establishment of a TAC is essential if you want your disaster risk assessment to be valid and reliable. Doing a disaster risk assessment is an important step. This is because the outcomes of the assessment will determine future disaster risk management planning and implementation in your metropolitan municipality. The next action step will guide you through the process of setting up a TAC.

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<sup>16</sup> Statute Jar 10 (SJ 10): National directive on the implementation and maintenance of the integrated National, Provincial and Municipal Disaster Management Project, Programme and Portfolio System.

<sup>17</sup> Template Jar 7 (TJ 7): Template for the development of a disaster risk management policy framework for a metropolitan municipality.



## 10. Action Step 7: Establish a Disaster Risk Management Technical Advisory Committee for the metropolitan municipality

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Although we are only discussing the establishment of a TAC in Action Step 7, it is an essential element of your institutional arrangements. As is the case with many of the previous action steps in this handbook, the establishment of the TAC can be initiated simultaneously with other actions. In fact, the sooner you get it established the better. Remember, as prescribed in section 2.4.2 of the NDMF, you cannot initiate or implement any disaster risk management contingency or risk reduction projects, programmes or plans unless they are based on the findings of reliable disaster risk assessments that have been externally validated. Similarly, you cannot develop any hazard or risk maps without first having completed and verified your disaster risk assessment.

The composition of a TAC for disaster risk management should reflect the types of risk that are being assessed. For example, if the hazards in the area being assessed are mostly a result of severe weather events, then you must take this into consideration when you identify the members of the TAC. The same applies to the assessment of vulnerability. Although the TAC will comprise a more or less set membership, provision must also be made for co-option of specialised technical, scientific and other expertise, as determined by the tasks in hand.

Consistency in the methodologies and methods used in disaster risk assessments is a very important consideration from the point of view of consolidation of information. The TAC therefore will be responsible for monitoring this aspect very carefully. In fact, the first project the TAC will have to tackle will be to draw up the terms of reference or specifications for commissioning the initial stages of disaster risk assessments and to make recommendations regarding the appointment of service providers.

Due to the fact that some of the members of the TAC will be from the private sector, provision must be made for funding professional fees and travelling and subsistence costs.

Your disaster risk management centre must provide the secretariat for the TAC.

**Need help in identifying the membership and developing the terms of reference for the establishment and functioning of the TAC? Then dip into the Template Jar.<sup>18</sup>**

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<sup>18</sup> Template Jar 8 (TJ 8): Terms of reference for the establishment and functioning of technical advisory committees for a metropolitan municipality.

## 11. Action Step 8: Commission the initial disaster risk assessment (Stages 1 and 2) for the metropolitan municipality

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All metropolitan municipalities are responsible for identifying and prioritising disaster risks relevant to their areas.

At this stage you will only be commissioning the first two stages of the assessment because the nature and focus of the next stages will be dependent on the findings of the first two stages. The type of expertise required for conducting the next stages will therefore be different too.

### **Why is it necessary to conduct disaster risk assessments?**

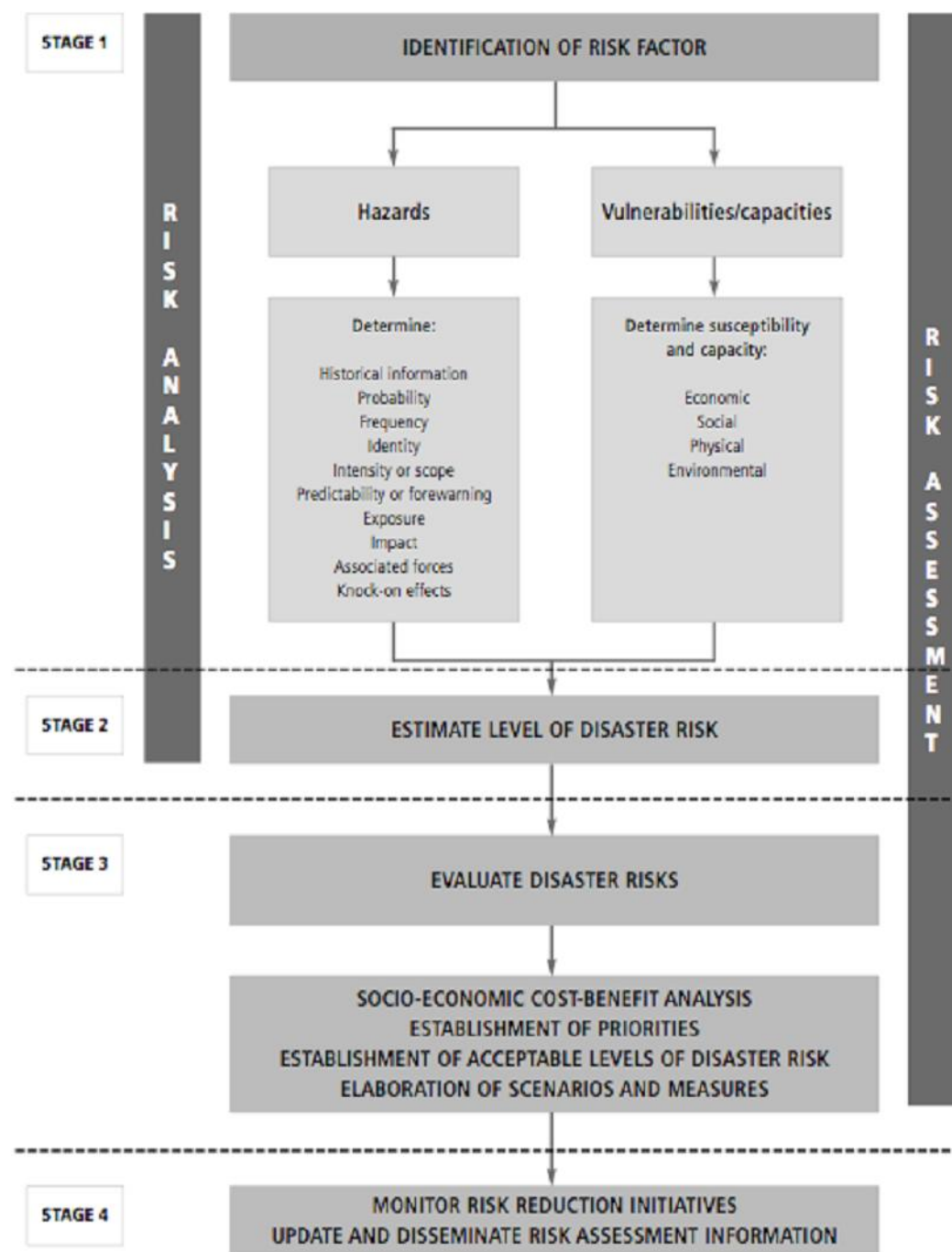
Conducting a disaster risk assessment can be likened to going to the doctor for treatment when you are ill. When you enter the health practitioner's rooms he or she will first ask you to describe your symptoms. Once you have explained what the symptoms are, the doctor will proceed to examine you and possibly conduct tests. Once all the findings of the examination and tests are available, a treatment plan to manage your condition is developed and implemented. The first important point here is that the doctor does not prescribe the treatment before he or she has taken the history and assessed your condition. The second important point is that the doctor must be sure to base the treatment on the findings. In other words, the treatment must be based on the specific condition that has been diagnosed and on the signs and symptoms of that condition.

Similarly, where the risk of disasters exists, the disaster risks must be thoroughly assessed first so that disaster risk management plans can be developed to address the findings of the assessment. This is the crux of the matter and is what is referred to as risk-based planning.

In just the same way that the doctor will advise you to return for follow-up visits and for regular check-ups, so too is it necessary to regularly monitor disaster risks and to ensure that disaster risk assessments are conducted on an ongoing basis. However, the aspects of more comprehensive disaster risk assessments and continuous monitoring will be covered in later handbooks in the series.

Figure 3 below shows the basic stages undertaken in a disaster risk assessment process. You'll see that, in the first stage, all the hazards, vulnerabilities and capacities are identified. They must then be given values according to formulas and the level of risk to be estimated. This will then allow them to be compared with each other so that prioritisation can take place. You will understand that, if there is not consistency in the methodologies, methods and formulas used, consolidation across and between spheres will not be possible. This is because, as the saying goes, you will not be comparing 'apples with apples'.

Figure 3: The stages of a disaster risk assessment process



Essentially you need three outcomes or sets of findings from the first two stages of the assessment:

1. The identification of known priority risks so that you can commission the development of contingency plans and have them implemented. This will ensure that your municipality is prepared, just in case a significant event or disaster occurs or threatens to occur while you are still busy developing your capability to generate comprehensive disaster risk reduction plans.
2. The identification of vulnerabilities common to your area as a whole so that departments and other municipal entities in the municipality can prioritise their vulnerability reduction planning and implementation for inclusion in the IDP. Examples of priority projects might be providing access to potable water, sanitation, housing, electricity, etc.
3. The identification of high-risk groups, areas, households, communities and developments with multiple vulnerabilities which will be the focus of the much more comprehensive assessments to be conducted in Stage 3 of the disaster risk assessment process.

Although it is highly likely that you will outsource this project, it is critical that the assessments are community based and that the engagement of indigenous knowledge is central to the process. In this regard, a template for terms of reference or specifications for commissioning a disaster risk assessment for a metropolitan municipality, which takes all of the relevant factors into account, has been prepared. The use of such a template will contribute to consistency and will provide your TAC with guidance.

**Need help with developing terms of reference or specifications for commissioning the first two stages of your municipality's disaster risk assessment? Then dip into the Template Jar.<sup>19</sup>**

Once the TAC has completed the development of the terms of reference (specifications), they must be submitted to the TAC at the provincial and national spheres for approval. After this, you can invite proposals from potential service providers for conducting the disaster risk assessment.

Your TAC can assist with scrutinising the proposals from potential service providers and can make recommendations to the bid committee. The TAC can also serve as the project management team.

Now that you've got your disaster risk assessment process in the pipeline, the next step we will discuss is setting up the mechanisms for taking your policy framework through the public participation process.

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<sup>19</sup> Template Jar 9 (TJ 9): Template for the development of specifications for the commissioning of a disaster risk assessment for a metropolitan municipality.

## 12. Action Step 9: Take the disaster risk management policy framework through the public participation process and submit it for adoption and gazetting

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In Action Step 6, we looked at how to develop a municipal disaster risk management policy framework. Action Step 9 helps you to establish and manage a public participation process before the metropolitan municipality finally adopts the policy framework.

As discussed in Action Step 6, the more you consult with role players and stakeholders and the more they participate during the drafting process, the fewer the amendments you will need to make between the first draft of your policy framework and the final gazetting thereof. Although there is no statutory requirement for a metropolitan municipality to publish its disaster risk management policy framework in the relevant provincial gazette, it is recommended that municipalities do so.

The process you should follow is outlined in two phases below.

### **Public participation process: Phase 1**

Circulate the proposed disaster risk management policy framework for preliminary inputs and comments to:

- all key personnel with disaster risk management responsibilities in the metropolitan municipality;
- all other relevant stakeholders and role players in the area of the metropolitan municipality;
- the Municipal Disaster Risk Management Advisory Forum;
- relevant intergovernmental technical support structures;
- the relevant municipal cluster, portfolio or standing committees;
- the Mayoral Committee (see Action Step 2);
- the municipal council;
- the provincial disaster risk management centre; and
- disaster risk management centres of neighbouring municipalities.

Make sure that you circulate the *same* version of the draft to all the role players and stakeholders. Allow a reasonable period of time for this phase; it is recommended that you allow at least six to eight weeks.

As inputs and comments are received, the technical task team can start the process of collating and clustering them. In other words, the team should draw up a schedule so that each recommended amendment can be examined and compared with other comments. The points of agreement or disagreement should then be noted. In this way, it will be possible to assess whether there is a valid need to make      amendments; whether to seek technical or

legal advice; or whether to pursue alternative avenues to deal with the recommended amendments.

Any amendments to the draft should only be made once all the comments have been received and considered.

It is very important to keep a record of how each recommendation was dealt with and what the rationale was for amending (or not amending) the relevant sections of the framework. This is necessary in case there are any repercussions later.

Now the first draft is ready for the next phase – the official public participation process.

## **Public participation process: Phase 2**

- Follow the public participation process in accordance with Chapter 4 of the Local Government: Municipal Systems Act No. 32 of 2000 to obtain public comment on the first draft of the disaster risk management policy framework.
- Once the comments have been received, process inputs and comments in the same way as was done in Phase 1.
- Once the amendments have been completed, final editing can take place.
- Submit the final draft of the disaster risk management policy framework to the municipal council for adoption.
- Publish the municipal disaster risk management policy framework in the provincial gazette. This is not mandatory but it is recommended.

## **Need more help with taking your municipal disaster risk management policy framework through the public participation process? Then dip into the Template Jar.<sup>20</sup>**

Now that the policy framework for your sphere has been adopted, there is a statutory responsibility on all role players and stakeholders to ensure its implementation. It is the head of the centre's responsibility to direct, monitor and evaluate the process against the key performance indicators.

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<sup>20</sup> Template Jar 2 (TJ 2): Mechanisms for the development, adoption and amendment of integrated disaster risk management policy for a metropolitan municipality. —

## 13. Action Step 10: Identify and gather relevant data during action steps 1–9 of Critical Outcome 1

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It is very important that you ensure that you use every possible opportunity during each action step to collect data to populate the disaster risk management information management system and for the development of the emergency communication system.

Try to incorporate the collection of relevant data during the following activities:

- the current reality assessment process;
- sensitisation of politicians and technocrats;
- meetings of the MIDRMC and DRMAF;
- the initial disaster risk assessment, by including the requirements in the terms of reference (specifications) when commissioning the assessment; and
- field visits by disaster risk management personnel.

Remember to include the requirement for geo-referencing (using Global Positioning System (GPS) technology to record co-ordinates of actual locations) wherever relevant, but especially for the purpose of populating your disaster risk management resource database and for the effective functioning of the municipality's emergency communication system.

**Need more help with identifying the types of data that need to be collected? Then dip into the Candy Jar.<sup>21</sup>**

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<sup>21</sup> Candy Jar 5 (CJ 5): Data requirements: Guidance on the types of data that can be collected during the process of achieving Critical Outcome 1 in metropolitan municipalities.

## 14. Conclusion

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In this handbook, you have been guided through all the steps necessary to establish the platform for achieving the next two critical outcomes, which will be covered separately in the following two handbooks:

- Handbook 3: Developing the capability to generate a Level 2 Disaster Risk Management; and
- Handbook 4: Developing and implementing contingency plans for known priority risks.

We suggest that, before you advance to the next stage of the process, you do a reality check against the key performance indicators for Critical Outcome 1.

**Need help with your reality check? Then dip into the Template Jar.<sup>22</sup>**

Have you finished checking that all the key performance indicators of Critical Outcome 1 have been met? If they have been complied with, well done! Now you are ready to enter the next phase of the process by moving on to Handbooks 3 and 4 of the series. Handbook 3 will help you to develop the capability to generate a Level 2 Disaster Risk Management Plan while Handbook 4 focuses on contingency planning for known priority risks.

Good luck!

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<sup>22</sup> Template Jar 10 (TJ 10): Key performance indicators for the achievement of Critical Outcome 1 of a Level 1 Disaster Risk Management Plan for a metropolitan municipality.

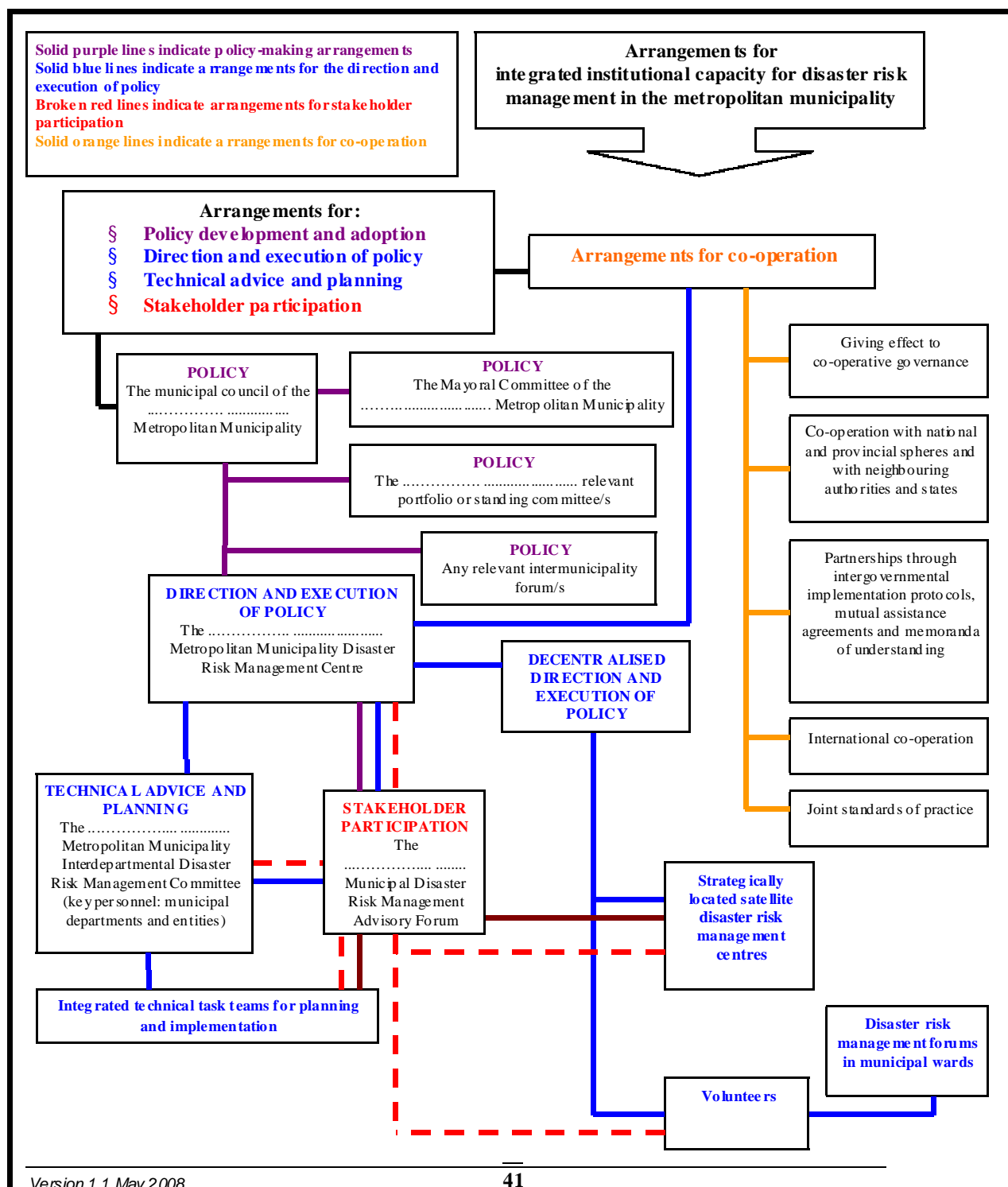


## Appendix 1: Table of supporting materials for Handbook 2

THE SOUTH AFRICAN DISASTER RISK MANAGEMENT HANDBOOK SERIES									
HANDBOOK 2: ESTABLISHING FOUNDATIONAL INSTITUTIONAL ARRANGEMENTS FOR DISASTER RISK MANAGEMENT (METROPOLITAN MUNICIPALITIES)									
A handbook supported by the guidelines, templates, relevant statutes and best practice reference materials listed below:									
The Jargon Jar (JJ)		The Statute Jar (SJ)		The Candy Jar (CJ)		The Template Jar (TJ)		The Ready Reference Jar (RRJ)	
Contains relevant acronyms, definitions and explanations of core concepts		Contains relevant acts, policies, directives, frameworks and minimum criteria		Contains helpful advice and guidelines		Contains templates, examples of terms of reference, policy documents, scoping documents, plans, etc., some of which may be customised		Contains reference material; serves as a virtual library or archive	
JJ 1	Consolidated list of acronyms and abbreviations & Consolidated list of Relevant Acts, frameworks, regulations, directives, white papers and green papers	SJ 1	Constitution of South Africa Act No. 108 of 1996	CJ 1	Key internal institutional role players in disaster risk management in the municipal sphere	TJ 1	Conducting a Current Reality Assessment (CRA) in a metropolitan municipality	RRJ 1	UNISDR: Living with risk. A global review of disaster reduction initiatives, 2004
JJ 2	Definitions	SJ 2	Local Government: Municipal Structures Act No. 117 of 1998	CJ 2	The placement of the disaster risk management function in the municipal sphere	TJ 2	Mechanisms for the development, adoption and amendment of integrated disaster risk management policy for a metropolitan municipality	RRJ 2	HPN Good Practice Review, No. 9, March 2004. Disaster risk reduction, by John Twigg
		SJ 5	Local Government: Municipal Systems Act No. 32 of 2000	CJ 3	Parameters for the appointment of the head of a disaster risk management centre and the establishment of key performance areas for disaster risk management in a metropolitan municipality	TJ 3	Item to the municipal council: Establishment of integrated institutional capacity for disaster risk management in the metropolitan municipality in accordance with the Disaster Management Act No. 57 of 2002	RRJ 3	Hyogo Framework for Action, 2005

The Jargon Jar (JJ)	The Statute Jar (SJ)		The Candy Jar (CJ)	The Template Jar (TJ)		The Ready Reference Jar (RRJ)		
Contains relevant acronyms, definitions and explanations of core concepts	Contains relevant acts, policies, directives, frameworks and minimum criteria		Contains helpful advice and guidelines	Contains templates, examples of terms of reference, policy documents, scoping documents, plans, etc., some of which may be customised		Contains reference material; serves as a virtual library or archive		
	SJ 6	Disaster Management Act No. 57 of 2002	CJ 4	Minimum criteria for the establishment and operational functioning of disaster risk management centres in metropolitan municipalities	TJ 4	The establishment and functioning of a Municipal Interdepartmental Disaster Risk Management Committee for a metropolitan municipality	RRJ 4	UNISDR: Words into action. A guide for implementing the Hyogo Framework, 2007
	SJ 7	Notice of commencement of the Disaster Management Act No. 57 of 2002, Vol 1465, No. 26228, 2004	CJ 5	Data requirements: Guidance on the types of data that can be collected during the process of achieving Critical Outcome 1 in metropolitan municipalities	TJ 5	Terms of reference for the establishment and functioning of a Disaster Risk Management Advisory Forum in a metropolitan municipality	RRJ 5	DFID: Livelihoods approaches compared: A multi-agency review of current practices, by Karim Hussein, 2002
	SJ 8	National Disaster Management Framework, Government Notice 654 of 2005			TJ 6	Terms of reference for the establishment of a technical task team to develop a disaster risk management policy framework for a metropolitan municipality		
	SJ 9	Intergovernmental Relations Framework Act No. 13 of 2005			TJ 7	Template for the development of a disaster risk management policy framework for a metropolitan municipality		
	SJ 10	National directive on the implementation and maintenance of the integrated National, Provincial and Municipal Disaster Management Project, Programme and Portfolio System. Issued July 2006. Rev 1.			TJ 8	Terms of reference for the establishment and functioning of technical advisory committees for a metropolitan municipality		
	SJ 11	Disaster Risk Management Guidelines identified in the National Disaster Management Framework, 2005.			TJ 9	Template for the development of specifications required to commission disaster risk assessments for metropolitan municipalities		
	SJ 12	Local Government: Municipal Finance Management Act No. 56 of 2003			TJ 10	Key performance indicators for the achievement of Critical Outcome 1 of a Level 1 Disaster Risk Management Plan for a metropolitan municipality		

## Appendix 2: An overview of the arrangements for integrated institutional capacity for disaster risk management in a metropolitan municipality



## Appendix 3: Overview of the process for facilitating the completion of a Level 1 Disaster Risk Management Plan for metropolitan municipalities

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