Comprehensive Disaster Management:
A Model National CDM Policy for Caribbean Countries

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Adaptation Guide**

Preface

The Caribbean region is comprised of a number of small islands and low-lying coastal states, where the major urban areas, the associated infrastructure and key economic sectors are located in areas that are highly vulnerable to the impacts of both natural and anthropogenic hazards.

CDEMA Participating States (PS) continue to experience a number of repeated losses from hurricanes and their associated effects, flooding, landslides, volcanic eruptions and earthquakes. Global concerns such as the vulnerability of the region to climate change also mean that a number of States are likely to be affected by increasing climate variability, (hurricanes, floods, droughts) and damage to water resources, ecosystems, human settlements, agricultural systems, coastal resources, tourism infrastructure and human health.

Apart from natural hazards, the region is also susceptible to a number of technological hazards. These include large-scale fires, oil and chemical spills, aircraft accidents, accidents involving the transportation of toxic and hazardous waste material on land and sea, large-scale marine and on-land transportation accidents.

Cognizant of the above, in 2001, the Caribbean Community (CARICOM) through broad-based stakeholder consultations adopted a Strategy and Results Framework for CDM. In 2006, the CDM Strategy was reviewed and reshaped to emphasize disaster loss reduction through risk management, and to follow a more Programme Based Approach (PBA) with an emphasis on Results Based Management (RBM).

In essence, the focus of Disaster Management in the Caribbean evolved from one principally concerned with response to events, to one based on disaster risk reduction through greater attention to mitigation, preparedness and recovery. This paradigm shift in the Region's approach to risk management necessitates more proactive and strategic planning to galvanize the necessary support by decision makers, encourage sector mainstreaming of CDM, enhance knowledge management on CDM and strengthen community resilience.

It is therefore the CDEMA Coordinating Unit's intention to support our Participating States (PS) in delivering CDM through the development of a model national CDM Policy and associated national CDM Strategy and Plan of Action templates.

This handbook provides step-by-step processes to be used as guidance by Participating States when adapting the Model National CDM Policy.

The CDEMA CU is cognizant that national circumstances and priorities will of course dictate the capacity of CDEMA PS to drive the adaptation of the model CDM tools contained in this handbook.

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Acknowledgements

The Model National CDM Policy: Adaptation Guide

1.1 Purpose of the Adaptation Guide

This chapter is intended to provide guidance to NDOs who wish to embark on the preparation of a National CDM Policy based on the Model National CDM Policy developed by CDEMA through an extensive consultative process. It must be noted that the CDEMA Council endorsed the Model National CDM Policy on 29th June 2012.

Some States have already prepared CDM Policies or have in place a suite of policies related to Comprehensive Disaster Management. These countries may wish to use this Guidance Document to enhance and/or update their existing instruments so that they are aligned with the Vision, Goal and Outcomes of the endorsed Model National CDM Policy.

Each country will be guided by its own national circumstances and the resultant policy must reflect and acknowledge these national circumstances, conditions and needs. Some countries may choose to use the Model National CDM Policy to guide the process, while others may wish to initiate the process by revising an existing national CDM policy. Some other countries may choose to use the Model National CDM Policy to help formulate a CDM Strategy. Whichever path a country chooses, fundamental to the process will be the establishment of an inter-sectoral and multi agency committee to assist in the policy/strategy formulation and in ensuring that extensive consultations are held before and after the policy is formulated.

The process of policy formulation that is embedded in this Adaptation Guide is made up of a set of inter-related activities, very similar to the one provided in the Guidance Document developed by CDEMA for the preparation of a National Hazard Mitigation Policy. A number of the Participating States have developed this policy and are therefore familiar with the processes involved in policy formulation

The Model National CDM Policy and this Adaptation Guide is also supported by a Guidance Note for the preparation of a CDM Strategy and Multi-Year Work Plans, which is detailed at *Chapter 2* of the *Model National CDM Policy for Caribbean Countries (handbook).*

1.2   What is a Policy?

Policy is defined as a course or principle of action adopted or proposed by a government, party, business or individual intended to influence decisions and actions. CDEMA defines Comprehensive Disaster Management as *the management of all hazards through all phases of the disaster management cycle – prevention and mitigation, preparedness, response, recovery and rehabilitation – by all peoples – public and private sectors, all segments of civil society and the general population in hazard prone areas.* CDM involves risk management and integration of vulnerability assessment into the development planning process.

The constructs of the *Model National CDM Policy (handbook)* are guided by the principles and priorities that are established in the CDM Strategy and Enhanced Programming Framework 2007-2012. Principal to the Model National CDM Policy is the paradigm shift from response to events, to one based on disaster risk reduction through greater attention and emphasis on mitigation, preparedness and recovery[1]. In addition, it is envisaged that the National CDM Policy will be part of the Participating State's political agenda; that it will be backed by dedicated resources in the national budget; and that it will have leadership and a champion at the highest levels of government. The Model National CDM policy is constructed on a tripartite conceptual framework, made up of the CDM Approach, a CDM Enabling Environment, and a CDM Mainstreaming Environment. These three (3) pillars of the Model National CDM policy contribute the essential elements for creating a resilient society and contributing to its sustainable development.

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[1] Advancing CDM at the National Level – A Model for Discussion

In terms of the extent to which CDM principles are the focus of attention by the NDOs, the following observations in the Regional Baseline Study commissioned by CDEMA in 2010[2] bears relevance:

1. Less than half of the Participating States that participated in the study claimed that they had an approved National CDM Policy. Of these, approximately half felt that their existing CDM Policies are adequate.

2. In one case, CDM is represented as a policy statement within the National Disaster Plan while another Participating State has integrated it into its National Hazard Risk Reduction Policy.

3. About a quarter of the Participating States did not have a National CDM Policy.

Irrespective of whether or not a Participating State has enacted a CDM Policy on its own or embedded it in some other related policy; whether the CDM principles are being applied using different terminology; or whether Participating States are desirous of formulating a National CDM Policy based on the Model, this Guide can be easily adapted. Participating States will choose the point of entry into the policy formulation cycle and select which processes are best suited and relevant to their national situation. It is for this reason that the Model National CDM Policy was not formulated as a template.

1.3   Policy Formulation

Policy generally describes the intention of the Government and provides the principles that govern the actions towards given ends. It defines the agreed and settled courses for adoption by the government and the institutions. At the national level, policy embraces general goals, acceptable procedures and actions to achieve these goals. Policy provides a basis for formulation of strategies, plans, legislation and other framework documents. While policies reflect long-term objectives, they are also subjected to modifications and revisions based on changed vision and goals.

Some desirable principles that lead to achieving good policy are:

- National determination of clear goal;
- Agreement on ways to set priorities;
- Implementation arrangement with clear cut task distribution;
- Better monitoring mechanism of activities for improvement of services and strategic information;
- Devolution of decision making power to where potential contributions for sustainability are greatest; and
- Stakeholder participation.

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[2] CDEMA, 2010. Comprehensive Disaster Management Regional Baseline Study

Policy development is an iterative process. There is no one neat definition of policy or a standardised process for developing policy. In the Caribbean, there are however some standard steps that are usually followed:

1. Formation of a working group or expert group with the representatives of the concerned agencies, departments, consultants, etc., charged with the responsibility of drafting the policy document.

2. Review of existing sector policies, strategies and legislation by the group.

3. Data collection, scrutiny of the data and studies by the group for preparation of the draft policy.

4. Preparation of discussion paper on 'proposed policy directions'.

5. Inter-ministerial meetings, etc., on proposed policy direction.

6. Wider consultations with civil society, stakeholders, target groups, local govt. functionaries and formal & informal local and public and private sector representatives.

7. Revision of the draft using feedback from the workshop and the meetings.

8. Circulation of the first draft to different Ministries, agencies, groups, institutions and organisations for their review and written comments.

9. Broad based consultations on the first draft of the policy.

10. Finalising of the draft policy proposal through an inter-ministerial meeting after discussing the comments and observations received through the consultations, discussions and workshop.

11. The sponsoring Ministry formally approves the draft policy through the Ministry's usual procedures.

12. The sponsoring Ministry then sends the draft policy to the Cabinet/ Council of Ministers for final approval.

13. The Cabinet / Council Ministers accords the final approval to the draft policy.

14. The approved policy is then published in the official gazette for information of the members of the public.

15. The sponsoring Ministry initiates institutional and administrative actions for implementation of the Policy.

16. The sponsoring Ministry also initiates formulation of strategies, plans and programs supporting the approved policy.

1.3.1   The Policy Process Attributes

For purposes of this Adaptation Guide the steps identified above are combined into an **eight-step policy cycle.**

1. Issue identification

2. Policy analysis

3. Policy instrument development

4. Consultation (which permeates the entire process)

5. Coordination

6. Decision

7. Implementation

8. Evaluation
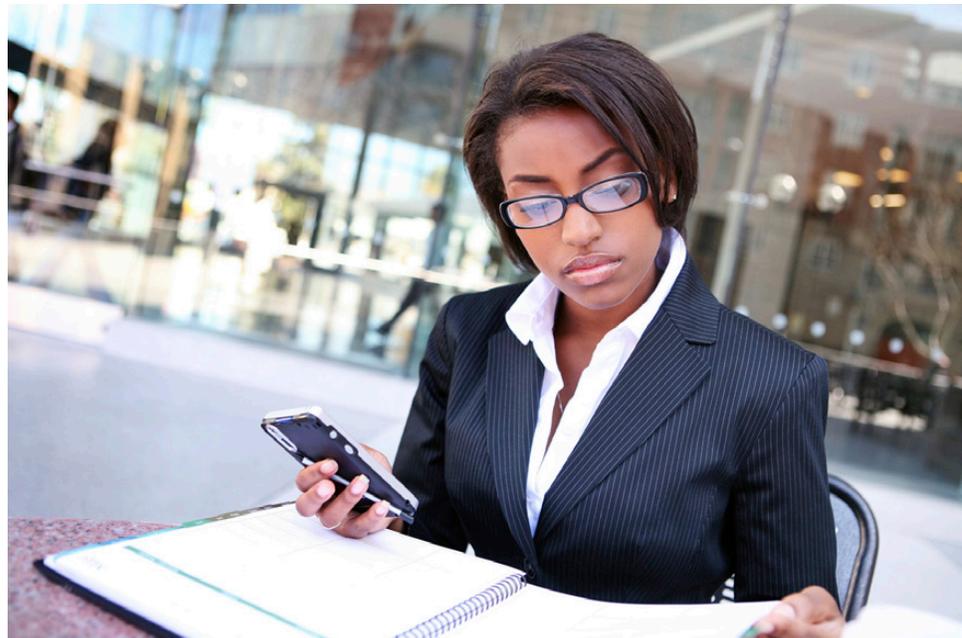
It is noteworthy that although policy-making is described above in stages, it is not linear; the entire process is in no way automatic and can change directions or even cease to be at any point. Stage 3 may be an opportunity for a new "identification of problems," the "implementation" phase usually requires a redefinition of the "formulation" of the policy proposal, and the "evaluation" can lead to a new "problem identification." Far from being linear, the policy process is dynamic and, at times, even chaotic. For instance, a policy can end without having been subject to evaluation and another can be implemented before having been formally or legally adopted.

Policy documents usually contain certain standard components including:

- A **purpose statement,** outlining why the organization is issuing the policy, and what its desired effect or outcome of the policy should be.

- An **applicability and scope** statement, describing whom the policy affects and which actions are impacted by the policy. The applicability and scope may expressly exclude certain people, organizations, or actions from the policy requirements. Applicability and scope is used to focus the policy on only the desired targets, and avoid unintended consequences where possible.

- An **effective date** which indicates when the policy comes into force.

- A **responsibilities** section, indicating which parties and organizations are responsible for carrying out individual policy statements. Responsibilities often include identification of any relevant oversight and/or governance structures.

- **Policy statements** indicating the specific regulations, requirements, or modifications to organizational behaviour that the policy is creating. Policy statements are extremely diverse depending on the organization and intent, and may take almost any form.

Some policies may contain additional sections, including:

- **Background,** indicating any reasons, history, and intent that led to the creation of the policy, which may be listed as **motivating factors.** This information is often quite valuable when policies must be evaluated or used in ambiguous situations, just as the intent of a law can be useful to a court when deciding a case that involves that law.

- **Definitions,** providing clear and unambiguous definitions for terms and concepts found in the policy document.

1.3.2 Drafting the National CDM Policy

The CDM is an integrated process, which requires a considerable amount of interagency collaboration and coordination. In the development of any Country CDM Policy, it will therefore be necessary to involve a number of departments in the policy formulation process. It is **strongly** suggested that a Policy Development Committee (PDC) be set up to guide and coordinate the policy.

STEP 1:

Establishment of the Policy Development Committee (PDC):

1. The NDO undertakes a stakeholder analysis in order to determine who should participate in the PDC. The stakeholder analysis tool is detailed at **Annex 1.** The stakeholder analysis will help to identify the roles and responsibilities of each of these agencies/groups and the extent to which they should participate in the PDC. Not all agencies/groups will be involved in the policy writing process; all of them must however be involved in the consultative process. It is recommended that the policy writing team should be limited to not more than five (5) persons with a skill set comprising policy development, and comprehensive disaster management.

2. Recommended members of the PDC:

    a. Economic Development and Planning

    b. Finance

    c. Health

    d. Agriculture – Forestry, Fisheries

2. Recommended members of the PDC (Cont'd)

    e.   Public Utilities

    f.   Meteorological Office

    g.   Tourism

    h.   Education

    i.   Environment

    j.   National Climate Change Committee

    k.   Insurance Council

    l.   Social Development

    m.   Gender Affairs

    n.   Village and Town Councils

    o.   Relevant Community Groups

    p.   NGOs

    q.   Chamber of Commerce

    r.   Professional Associations – engineers, architects

3. The recommended scope of the PDC is as follows:

    a.   Provide guidance to the policy formulation process;

    b.   Provide technical inputs for the CDM Policy;

    c.   Participate in the drafting sessions; and

    d.   Participate in the review and finalisation of the CDM Policy

4. It is further recommended that the NDO act as the Secretariat to the PDS and be responsible for:

    a.   Convening of meetings, including drafting and technical review sessions;

    b.   Ensuring the dissemination of relevant documents;

    c.   Facilitating the sharing of information between all stakeholders during the policy formulation process; and

    d.   Develop and implement an awareness strategy on the National CDM Policy

5. If funding is available the NDO and the PDC may opt to hire a consultant to lead the policy formulation process.

6. It is estimated that the policy formulation process will last from 6 to 9 months. A sample work plan for the process is provided in **Annex 2.**

STEP 2:

Determining Country needs:

The PDC, in collaboration with other appropriate stakeholders, has to agree on a set of parameters that will guide the CDM Policy. It is therefore critical that all members of the PDC have a common understanding of what constitutes CDM. It is strongly recommended that the definition provided by the CDEMA CU be used as standard reference: multi hazard and all processes in the disaster management cycle. It is also recommended that the PDC be familiar with the Model CDM Policy prepared by the CDEMA CU.

Once a common understanding of the CDM elements and processes has been established, the PDC needs to undertake an assessment of the present situation of disaster management in the country, i.e.

1. Identify the range of hazards that affect the country; the frequency and impact of the hazards;

2. Identify the approaches used to mitigate the hazards and list gaps and challenges to these approaches;

3. Prioritise issues and concerns pertaining to CDM in the country;

4. Review all National and Sectoral policies, which relate to disaster management issues with a view to determining:

    a.   If these policies/ statements focus in any way on Comprehensive Disaster Management

    b.   Who has responsibility for disaster management activities.

    c.   Whether funds are available for disaster management activities

    d.   If there are opportunities for stakeholder involvement.

    e.   Gaps, and areas for improvement and means for integrating these policies into the national

    f.   Development policies or addressing issues, which should be included in a CDM policy.

    g.   Current policies and activities that contribute to increased vulnerability to hazards.

5. Examine all legislation pertaining to disaster management in order to determine gaps in the legislative framework necessary for a CDM Policy; and

6. Review existing regional agreements to determine national commitments and opportunities to achieve multiple objectives through the National CDM policy.

This assessment should also include a review of documents and reports. A sample of these is provided in **Annex 3.**

STEP 3:

Determining the Policy Context

The analysis should be catalogued in a Policy Directions Paper that should set out the following:

a. The status of disaster management in the country;

b. Gaps and challenges to disaster management in the country;

c. The issues that should be addressed in the policy; and

d. What should be the conceptual framework guiding the policy – a conceptual framework has been provided in the Model National CDM Policy.

STEP 4:

Policy Directions Paper

The Policy Directions Paper can be written by a small group of the PDC or by a consultant. There is sufficient literature available that will aid in completing this process in no more than four (4) weeks. A sample Table of Contents for the Policy Directions Paper is provided in **Annex 4.** This step can be vastly shortened through referring to and adapting information from the Model National CDM Policy.

Alternatively, the process can be undertaken through a stakeholder workshop. This workshop should be ran for a duration of at least 2 days and should be facilitated by an outside party. A sample agenda for the workshop is provided in **Annex 5.**

The Policy Directions Paper is then discussed by the entire PDC; if time permits, further discussions should be held at the inter-ministerial level, especially with those agencies that will be directly involved in implementing the elements of the Policy. Every attempt should be made to ensure that there are no conflicts with other existing policies and that synergies with other policies are fully optimised.

In order to ensure bye-in, it will be useful to have a broad based consultation on the Policy Directions Paper to ensure that issues of all stakeholders are articulated and addressed.

In the event that the policy directions process was undertaken through a stakeholder consultation, then there is no need for any further consultations at that point. Instead, the consultation report is circulated to all relevant ministries and agencies, private sector entities and civil society groups for review and comment.

The results from this consultation(s) are then used to formulate the Draft Policy Document. This document should utilise the Model National CDM Policy as the guiding framework.

STEP 5:

Policy Formulation

A National policy will express government's intention with respect to disaster management. It will therefore set out broad goals and objectives and the means for achieving the objectives.

The Contents for the Policy Document is provided in **Annex 6.**

STEP 6:

Finalisation of the Policy

a.   Circulate an agreed upon plan of action to PDC members and other important stakeholders for feedback.

b.   Circulate draft National CDM Policy of **(COUNTRY NAME)** to PDC members and other important stakeholders requesting feedback within 15 days of circulation.

c.   Incorporate comments into draft National CDM Policy of **(COUNTRY NAME)**

d.   Utilising the agreed upon plan of action, facilitate the convened policy review sessions of the final National CDM Policy of **(COUNTRY NAME)** the PDC.

e.   Facilitate a national technical review session convened within six weeks of review sessions with PDC to present and discuss the final draft of the National CDM policy

f.   Finalise the National CDM Policy for **(COUNTRY NAME)** incorporating the agreed upon outputs of the technical review session within ten (10) working days following the technical review session.