
PROCEDURE

THE DEVELOPMENT OF DISASTER MANAGEMENT GUIDELINES

SOUTH AFRICA

Prepared By:



**Chief Directorate: Legislation, Policy and
Compliance Management**

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VERSION CONTROL

Version	Version 1.0
File number	21/1/1 (National Disaster Management Framework, Development)
Short description	Procedure to assist staff responsible for preparing guidelines to ensure that the guidelines produced by the NDMC have a clear purpose, defined scope, are consistent in their layout, is clear and well communicated.
Relevant to	Officials responsible for preparing guideline documents.
Authority	This procedure has been approved by the Head: National Disaster Management Centre in terms of Section 12(1)(a) of the Disaster Management Act, 2002
Responsible officer	Senior Manager: Legislation, Policy and Compliance Management
Responsible Chief Directorate	Legislation, Policy and Compliance Management
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Related legislation	<i>Disaster Management Act, 2002 (Act 57 of 2002)</i> <i>National Disaster Management Framework, 2005</i>
Key words	Procedure, Guideline, Guidelines, Disaster Management, National Disaster Management Centre, NDMC, NDMF, Best Practice Guide, Template

ACRONYMS

DMA	Disaster Management Act, 2002 (Act 57 of 2002)
D: CBD	Directorate: Capacity Building and Development
D: LPCM	Directorate: Legislation, Policy and Compliance Management
D: M&E	Directorate: Monitoring and Evaluation
Head: NDMC	Head: National Disaster Management Centre
NDMAF	National Disaster Management Advisory Forum
NDMC	National Disaster Management Centre
NDMF	National Disaster Management Framework, 2005

5. OUTLINE FOR GUIDELINES

The outline of a guideline must have the headings set out below and must adhere to the formatting principles set out in **Appendix B**.

5.1 Cover page

The cover page of a guideline must be similar in layout to the cover page of this guideline.

5.2 Version Control

The version page of a guideline must be similar in layout to the version page of this guideline. The following additional aspects refers relating to the numbering of the document.

- Version numbering consists of a number followed by a point and another number (e.g. Version 1.0).
- The number to the left of the point describes the original version and the number of major amendments from the time of issue. Major amendments for the purposes of version numbering are approved changes to the *content* of a guideline (e.g. Version 1.0 then Version 2.0 etc.).
- The number to the right of the point describes the number of minor amendments from the time of issue or from the last amendment. Minor amendments are *administrative* changes resulting from changes to names of departments, changes to telephone numbers, or changes to expression or construction of sentences, as long as the intent of the content does not alter (e.g. Version 1.0 the Version 1.1 etc.).
- Draft versions are numbered 0.1, 0.2, etc. and the word "draft" is added as a watermark. When approved, the version number becomes 1.0; the first minor amendment is 1.1; and the first major amendment is 2.0.
- If a document is rescinded and replaced by a new version, then the version numbering starts afresh from version 1.0.

5.3 Acknowledgement page

This page must give acknowledgement to the group of people responsible for the development of the guideline content. It may also recognise organisations whom contributed to the development process.

5.4 Index

This section must list the content headings of the guideline.

5.5 List of figures and tables

This section must list the figures and tables reflected in the guideline.

5.6 Acronyms page

This section must list in tabular form all the acronyms used in the guideline.

5.7 Definitions

This section must define the terms used in the guideline thereby providing common understanding of the term(s).

5.8 Compatibility with other guidelines

This section must provide an overview of how the guideline fits into other guidelines issued by the NDMC.

5.9 Introduction

This section must provide a high level but brief introduction for the guideline. It should not exceed four sentences.

5.10 Purpose

This section must set out the purpose of the guideline.

5.11 Scope

This section must set out the scope of application of the guideline.

5.12 How to use the guideline

This section must explain the user how to use or apply the guideline.

5.13 Guideline content

This section must elucidate the content of the guideline. It must contain at least an introduction and content discussion.

5.14 Set of recommendations

This section must set out the guideline recommendation(s) that users should follow.

5.15 Templates

This section must provide the templates (if applicable) needed to implement the guideline.

5.16 References

This section must provide a detailed list of all the references used in compiling the guideline using the Harvard reference method.

5.17 Appendices

This section is reserved for additional information that supports the interpretation of the guideline.

6. GUIDELINE DEVELOPMENT PROCESS FLOW

6.1 Academic foundation

An uncomplicated review⁴ of the academic discourse indicates that the development of guideline documents have **four** constructs in common which are listed below.

- (1) Clearly defining the purpose and scope of the guideline to be developed;
- (2) Establishing a multi-disciplinary panel of experts on the guideline topic;
- (3) Reviewing and synthesising the available evidence to develop the guideline recommendation(s); and
- (4) Monitoring and evaluating the implications of applying the recommendations in the target population.

Perusal of these constructs leads one to conclude that the development of a guideline must be the subject of a process which by implication requires the coordinated effort of a diverse group of actors.

Keeping these constructs in mind in the context of developing guidelines for the disaster management environment, a process flow with seven major stages, set out in **Appendix C – NDMC guidelines process flow** was designed to ensure that the guidelines called for by the NDMF and stakeholders are developed in line with the academic discourse explained.

6.2 Major stages in guideline development

The following sets out the seven stages in the guideline development process shown in **Appendix C – NDMC guidelines process flow**.

⁴ See section 9: References

6.2.1 Stage 1: Need / request for guideline

Stage one of the guideline development process revolves around identifying the need to develop a guideline and consists of two steps originating from three potential sources.

The first source entails an 'internal / legislative need for a guideline⁵'. In this case the NDMC initiates the development of a guideline on the basis of either those guidelines called for in the NDMF⁴ or an identified need for a guideline on a topic not called for by the NDMF. The second source entails an 'external request for the development of a guideline'. In this case a stakeholder initiates the development of a guideline based on an identified need for a guideline on a topic not called for by the NDMF. The last source entails a 'need to review a guideline'. In this case a stakeholder or the NDMC may initiate the review of a guideline on the basis that the evaluated results obtained for a guideline document issued by the NDMC, was found to be unsatisfactory (also see paragraph 6.2.7 in this regard).

Regardless of the source from which the need or request to develop a guideline may emanate, the requestor must complete **Template A: Guideline Development / Review Request Form** (see section 7: Templates) and submit it to the Directorate: Legislation, Policy and Compliance Management (D: LPCM). The request form must be completed in full and must be signed by the person making the request as well as the person seconding the request. After receiving the completed guideline development / review request form the D: LPCM will initiate Stage 2 of the guideline development process.

6.2.2 Stage 2: Project initiation

Stage two of the guideline development process revolves around the initiation of the project to develop the guideline. This involves four main steps, two of which entails decisions on how the process proceeds. However, it must be recognised at this point that the capacity and resources of the NDMC to develop guidelines is finite (at least

⁵ See Appendix A for the prescribed list of guidelines called for by the NDMF

in the foreseeable future). As such a mechanism must be instituted to prioritise the development of guidelines along two lines. The first line revolves around the development of guidelines which may have the biggest potential for impact and the second line revolves around the fact that some guidelines will build on aspects introduced by others and must therefore be developed in a sequence.

Taking this prioritisation system forward in the guideline initiation stage entails that the D: LPCM first analyse the guideline development / review request form to determine if the development of the requested guideline can be tagged as a high priority. This determination is made after considering amongst others the purpose, the scope, the complexity, the cost, the availability of the internal review group⁶, the guideline development list⁷, the expertise needed and the time required to develop the guideline. Following approval by the extended unit's heads meeting a submission putting forward the priority proposal obtained from the outcome of the analysis is made to the Head: NDMC for approval. At this point in the process flow two paths are identified.

The first path involves an assignment of a lower priority to a guideline development / review request. In this case the D: LPCM will place the request on the development list in line with the approval granted by the Head: NDMC. It must be stated that since the development process is dynamic in nature, it can be expected that the priority assigned to the guideline (to be developed) may change each time a request is received. As such guidelines placed on the development list will be developed as their priority changes and / or as resources are made available.

The second path involves an assignment of a high priority to a guideline development / review request. In this case the D: LPCM will establish an internal guideline review group. This group will consist of members of the NDMC whom will be responsible to analyse the proposed purpose and scope of the guideline to be developed and to determine if it is in line with the requirements of the DMA, the National Disaster Management Advisory Forum (NDMAF), the White paper on Disaster Management and other guidelines. The group will also develop the basic project plan for the development of the guideline and may alter the original purpose and scope statements proposed on the submitted guideline development / review

⁶ A group of consisting of senior NDMC officials representing the respective chief directorates.

⁷ See Appendix D – NDMC Guideline Development List template

request form. The project plan must include at least a work breakdown structure indicating the milestones, the expected cost of the project and a list of experts whom will form the guideline specific development group. This group of subject experts is assembled by the D: LPCM and will consist of not less than two but not more than five people.

Following this, a submission is made to the Head: NDMC to obtain approval of the guideline development project. At this point in the process flow two paths are identified. Should the Head: NDMC not approve the guideline development project it is referred back to the internal guideline review group for amendments prior to re-submission for approval. Alternatively, should the Head: NDMC approve the guideline development project the D: LPCM will initiate stage 3 of the guideline development process.

6.2.3 Stage 3: Guideline development

Stage three of the guideline development process revolves around the development of the guideline content by a guideline specific development group⁸. This involves three main steps, one of which entails a decision on how the process proceeds.

Following the approval of the guideline development project at the end of stage 2 the D: LPCM is responsible to not only ensure that the guideline specific development group is established but also that they work and follow the project plan as approved by the Head: NDMC. The guideline specific development group ensures that they review and synthesize the available evidence in the literature before producing a draft guideline. The D: LPCM, following the development of the draft guideline, prepares a submission to the Head: NDMC to obtain approval to consult with the NDMAF and other stakeholders where needed. At this point in the process flow two paths are identified. Should the Head: NDMC not approve the draft guideline it is referred back to the guideline specific development group for amendments prior to re-submission for approval. Alternatively, should the Head: NDMC approve the draft

⁸ A guideline development group is a panel of experts assembled by the NDMC Internal Guideline Review Group to develop a specific guideline. The panel of experts will differ between the respective guidelines being developed as the expertise needed to develop the guidelines differ.

guideline for consultation the D: LPCM will initiate stage 4 of the guideline development process flow.

6.2.4 Stage 4: Consultation & guideline refinement

Stage four of the guideline development process revolves around consultation with the NDMAF and other stakeholders as well as the refinement of the draft guideline based on the consultation inputs made. This involves three main steps.

Following the approval of the draft guideline at the end of stage 3 the D: LPCM is responsible to submit the draft guideline to members of the NDMAF and other stakeholders where needed to obtain their input and comment. This is achieved by either tabling the draft guideline at the NDMAF meeting for discussion (following prior distribution by e-mail) or by obtaining written comments via distribution of the draft guideline by e-mail. Following this process the guideline specific development group will refine the draft guideline by taking the comments obtained into consideration. A final draft guideline is then produced and handed to the D: LPCM to initiate stage 5 of the guideline development process flow.

6.2.5 Stage 5: Guideline approval

Stage five of the guideline development process revolves around obtaining final approval of the draft guideline. This involves a decision on how the process proceeds.

The D: LPCM following the development of the final draft guideline prepares a submission to the Head: NDMC to obtain final approval and adoption of the guideline. At this point in the process flow two paths are identified. Should the Head: NDMC not approve the final draft guideline it is referred back to the guideline specific development group for amendments prior to requesting for approval. Alternatively, should the Head: NDMC approve and adopt the draft guideline, the D: LPCM will initiate stage 6 of the guideline development process.

6.2.6 Stage 6: Guideline implementation

Stage six of the guideline development process revolves around the implementation of the guideline adopted. This involves three main steps.

The first step entails that the D: LPCM, following the adoption of the guideline, ensure that the guideline is published in the government gazette as a general notice. The D: LPCM is also responsible to disseminate the notice to all stakeholders. The second step entails that the D: LPCM support the Directorate: Capacity Building and Development (D: CBD) to ensure that stakeholders are trained on the interpretation and use of the guideline. The last step in this stage entails rolling out the implementation of the guideline. Following implementation the Directorate: Monitoring and Evaluation (D: M&E) will initiate stage 7 of the guideline development process.

6.2.7 Stage 7: Monitoring & Evaluation

Stage seven of the guideline development process flow revolves around ongoing monitoring and evaluation of the adopted guideline as it is implemented. This involves two main steps and a decision on how the process will proceed.

The first step revolves around monitoring the implementation of the guideline's recommendations. This is achieved as part of the ongoing mandate of the D: M&E. Within two years of implementation of the guideline, the D: M&E must perform an evaluation to determine if the outcomes achieved by following the guideline's recommendations is in fact achieving the purpose put forward. At this point in the process two paths are identified. Should the results obtained be found to not be satisfactory the guideline is referred by the D: M&E for review by completing the guideline development / review request form. Alternatively, should the results obtained be found to be satisfactory the guideline is monitored on an ongoing basis by the D: M&E as part of their ongoing mandate.

7. TEMPLATES



GUIDELINE DEVELOPMENT REQUEST FORM

PROPOSER

Name:		Postal Address	
Surname:			
Designation:			
Organisation:			
Signature:		Office No.	
Date:		Fax No.	
e-mail:		Cell No.	

SECONDER

Name:		Postal Address	
Surname:			
Designation:			
Organisation:			
Signature:		Office No.	
Date:		Fax No.	
e-mail:		Cell No.	

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GUIDELINE DETAILS

NDMF guideline	listed		Non Guideline	listed		Best practice guide		Official Procedure	
Priority			High			Medium			Low
PURPOSE OF THE GUIDELINE:									
SCOPE OF THE GUIDELINE:									
CONSULTATION CONDUCTED THUS FAR:									

ACKNOWLEDGEMENT OF ACCEPTANCE			
Name & surname		Date:	
Signature			
Reference No.			

PLEASE SUBMIT SEPARATE FORM FOR EACH REQUEST MADE

8. RECOMMENDATIONS

The following recommendations are presented.

(a) A guideline developed should,

- satisfy a specific need;
- operate within a clearly defined scope;
- ensure accessibility;
- be clearly defined;
- be consistent;
- be without bias;
- be written concisely in plain language;
- clearly express the fundamental concepts;
- promote education;
- be feasible;
- be consistently formatted;
- be easy to follow;
- be efficient to implement;
- be up-to-date;
- be compliant with the requirements set out in the DMA, the NDMF, as well as other NDMC strategies, policies, procedures, guidelines and forms;
- be published; and
- be translated into languages other than English where applicable.

(b) A guideline developed should be set out to have,

- a cover page that is similar in layout to the cover page of this guideline;
- a version page that is similar in layout to the version page of this guideline;
- a acknowledgement page giving recognition to the group of people responsible for the development of the guideline content and where applicable organisations whom contributed to the development process;
- an Index listing the content headings of the guideline;

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- a page listing the figures and tables in the guideline;
 - a page listing the acronyms used in the guideline;
 - a page defining the terms used in the guideline;
 - a page that provide an overview of how the guideline is compatable into other guidelines issued by the NDMC;
 - an introduction that provides a high level but brief introduction for the guideline;
 - a purpose statement that provides clear details of the purpose of the guideline;
 - a scope statement that set out the scope of application of the guideline;
 - a section that must explain the user how to use or apply the guideline;
 - a section that sets out the content of the guideline;
 - a statement that set out the guideline recommendation(s) that users should follow;
 - a section listing the templates (if applicable) needed to implement the guideline;
 - a section listing the references used in compiling the guideline; and
 - an appendix section that provides additional information to support the interpretation of the guideline.
- (c) A guideline should be developed using seven defined stages being,
- Stage one which revolves around identifying the need to develop a guideline;
 - Stage two which revolves around the initiation of the project to develop the guideline;
 - Stage three which revolves around the development of the guideline content by a guideline specific development group;
 - Stage four which revolves around the consultation with the NDMAF and other stakeholders as well as the refinement of the draft guideline based on the consultation inputs made;
 - Stage five which revolves around obtaining final approval of the draft guideline;

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- Stage six which revolves around the implementation of the guideline adopted; and
- Stage seven which revolves around the ongoing monitoring and evaluation of the adopted guideline as it is implemented.

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9. REFERENCES

ROBERTS, J. 1996. Policy and Planning Definitions: *The Craft of Managing*, 2nd edn, Council of Intellectual Disability Agencies (Vic) Inc: Nunawading, Vic.

TIPPER, D. 1995. *Practical Policy Making: A Guide to Policy Development for Community Organisations, Vol. 1*, Local Community Service Association and ITRAC Wyong Shire Inc., Surry Hills: Sydney.

WHO ~~see~~ WORLD HEALTH ORGANISATION. 2003. Guidelines for WHO guidelines. World Health Organisation: Switzerland.

10. APPENDICES

Appendix A - Guidelines called for in the NDMF

KPA 1: Guidelines to be disseminated (3)

- National guidelines for the minimum infrastructural requirements for disaster management centres.
- National guidelines outlining the criteria for the registration of volunteers.
- National guidelines for mutual assistance agreements.

KPA 2: Guidelines to be disseminated (3)

- National standard and guidelines for conducting comprehensive disaster risk assessments.
- National guidelines for the application of a uniform disaster risk assessment methodology and the standardisation of a format for disaster risk assessments.
- National standard and guidelines for assessing priority disaster risks in national, provincial and municipal spheres.

KPA 3: Guidelines to be disseminated (3)

- National guidelines specifying the requirements for each progressive level of disaster risk management plan, from a Level 1 Disaster Risk Management Plan to a Level 3 Disaster Risk Management Plan, for use by national, provincial and municipal organs of state.
- National guidelines to ensure uniform disaster risk management planning and implementation.
- National guidelines for the incorporation of disaster risk reduction programmes and initiatives into the activities of other national organs of state and key institutional role players.

KPA 4: Guidelines and regulations to be disseminated (5)

- National guidelines for conducting disaster (*impact*) assessments.
- National guidelines for the classification and declaration of states of disaster.
- National guidelines for the process and procedures to be followed in conducting reviews of significant events and events classified as disasters.
- National guidelines (set out in FOGs) for the various activities associated with disaster response and recovery.
- Regulations for the management of relief operations.

Enabler 1: Guidelines to be disseminated (3)

- National guidelines for the implementation of the integrated information and communication system in provincial and municipal spheres.
- National guidelines for disaster risk management programme and project management.
- National guidelines for a disaster risk management performance measurement, monitoring and evaluation system.

Enabler 2: Guidelines to be disseminated (6)

- National guidelines for the design and content of disaster risk management education and training programmes.
- National guidelines for the development and accreditation of course materials for accredited education and training programmes.
- National guidelines for the registration of disaster risk management education and training institutions and organisations.
- National guidelines for the accreditation and registration of trainers, facilitators and service providers.
- National guidelines for the design and development of public awareness programmes related to risk-avoidance behaviour.
- National guidelines for media relations.

Enabler 3: Guidelines and regulations to be disseminated (7)

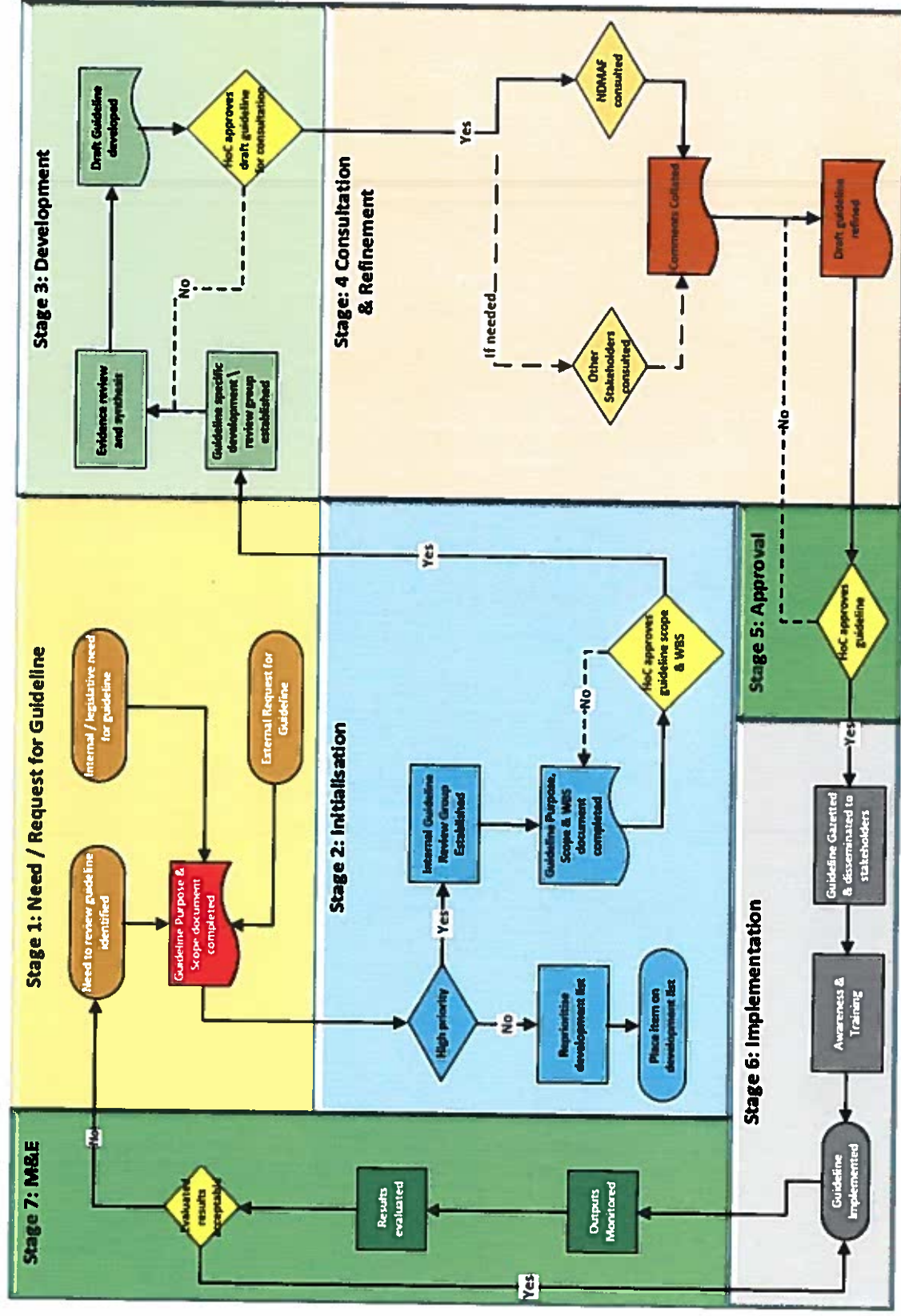
- National guidelines and a composite index containing criteria for identifying low-capacity, resource-poor municipalities for the purpose of conditional grant allocations.
- National guidelines for evaluating applications for additional funding for projects and activities aimed at reducing priority disaster risks.
- National guidelines setting out the thresholds applicable to provincial and municipal organs of state for accessing additional funding from national government for response efforts.
- National guidelines containing criteria for classifying different types of infrastructure for the purposes of funding structural infrastructure mitigation projects.
- National guidelines containing criteria for identifying priority infrastructure for the purposes of rehabilitation and reconstruction.
- National guidelines for mechanisms to roll out funding for the implementation of the national disaster management framework.
- Regulations by National Treasury to allow immediate access to funds for response operations in the event of a national disaster.

Appendix B - Formatting Style

The following format must be used for guidelines.

- (a) Use Arial 12 font for the text and Arial 10 for tables.
- (b) Justify the text (equally between the margins).
- (c) Only subdivide if there are two (2) or more clauses or sub-clauses. Do not subdivide if there is only one clause or sub-clause.
- (d) Use decimal numbering with indentation spaced at 1 cm or 1.25 cm intervals for the various levels of subdivision. E.g. clause 1 can be subdivided into sub-clauses 1.1, 1.2, etc., and sub-clause 1.1 can be sub-divided into sub-clauses 1.1.1, 1.1.2, etc.).
- (e) Try to limit decimal numbering to three (3) subdivision levels (e.g. 1.1.1), if possible, but no more than four (4) levels (e.g. 1.1.1.1). If further subdivisions are needed, then use bullet points.
- (f) Use (a), (b), (c), etc. for a list of items. If you want to subdivide items within a list, then use bullet points, separated by single or double line spaces.
- (g) Insert a double line space between each clause, sub-clause and listed item.
- (h) Type major headings in bold capital letters. Type minor headings in bold, lower case letters.
- (i) Use appendices to present information that would otherwise be difficult to integrate into the guideline. They are written as part of the document. NOTE: Attachments are separate documents that have been added to the policy or procedure because of their relevance. Number each appendix or attachment and place it on a new page.
- (j) Insert a header with the document name in Arial 9.
- (k) Insert a footer with the page number (page number in bold), version number and date in Arial 9.

Appendix C: NDMC guidelines process flow



Appendix D: NDMC Guideline Development List Template

Ref No.	Date Received	Guideline Name	Source	Priority Assigned	Status	Date Completed	Review Date