Principles of Management

Study Guide and Course Text
Acknowledgments

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Introduction

How to get started

This self study course will meet the needs of people involved in disaster management for both sudden onset natural disasters (i.e., earthquakes, floods, hurricanes) and slow onset disasters (i.e., famine, drought).

This course is designed for government personnel, representatives of private voluntary agencies and other individuals at local and national levels interested in disaster management.

The procedure for self-study is:

• Complete and score the pretest. Do not be disappointed if you have a low score. If you have a high score, you probably do not need this course.
• Read the outline of course content to get a general idea of what is covered in the course.
• Read the learning objectives to get a general idea of what you are expected to learn from the course.

Turn to Lesson 1: Introduction

• Review the study guide section for a brief description of the lesson and any special suggestions on how to study.
• Again read the learning objectives.
• Carry out the learning activities listed.
• Complete the self assessment test at the end of the lesson and score it using the answer key provided. If you have not answered most of the questions correctly, restudy the lesson.

If you score well on the self-assessment test proceed to Lesson 2.

Continue to study each lesson and complete the self assessment test until you have finished the course of study. When you have completed all the self assessment tests to your satisfaction, you can request a Final Examination Package. This will include the final examination and any other supplementary material.
**Pretest**

**Multiple Choice**
Circle the correct answer(s):

1. The primary task of management is to:
   (choose the best answer)
   a) plan in advance
   b) coordinate national and international relief efforts
   c) make rapid, informed decisions and coordinate group efforts
   d) determine parameters of jobs, incomes, and services that apply during disaster conditions
   e) take control during a crisis

2. To neutralize the confusion of the emergency period, disaster management places heavy emphasis on: (choose the best answer)
   a) advance planning
   b) strategic planning
   c) organizational planning
   d) field management planning
   e) forward planning

3. Choose the appropriate letter from the following list to fill in the blanks in the sentence below.
   a) field-level managers
   b) middle-level managers
   c) top management

   It is usually considered more effective to have _____ make all program decisions, _____ make financial and other organizational decisions, and _____ serve as resource coordinators.

4. Disaster managers may find themselves working in environments that are:
   a) economically turbulent
   b) politically hostile
   c) demographically diverse
   d) all of the above
   e) none of the above

5. It is especially critical to identify needs:
   a) during the emergency phase of a disaster
   b) during the transition phase of a disaster
   c) during the reconstruction phase of a disaster
   d) a + b
   e) during all disaster phases

6. Deciding to give priority to a particular area following a disaster is an example of:
   a) practicing favoritism
   b) determining strategies and approaches
   c) setting up the program
   d) allocating resources
   e) setting policy

7. Before an agency decides which activities it will undertake in a particular area, it should at least:
   a) agree upon one standard approach that all agencies in the affected area should follow
   b) notify all department heads of agencies in the affected area of its plan of action
   c) take inventory of the resources available to other agencies
   d) be certain of its planning priorities
   e) be well informed of activities of other agencies operating within the same area

8. There is usually no established procedure for handling:
   a) non-routine decisions
   b) routine decisions
   c) technically guided decisions
   d) decisions made under conditions of risk
   e) decision-making
9. In emergencies, non-routine decisions are most often made by:
   a) field level managers
   b) middle level managers
   c) top management
   d) technical advisors
   e) a board of directors

c) imminent

d) moderate and infrequent

e) widespread

10. The first step in making decisions in an emergency is to:
   a) evaluate alternatives
   b) formulate a policy
   c) gather and collate information
   d) identify goals
   e) define the problem

11. Monitoring trends in nutritional states of disaster victims is an example of:
   a) epidemiologic surveillance
   b) situation reports
   c) early warning reports
   d) disaster assessment reports
   e) sitreps

12. Intelligence information that reports on trends and patterns can aid in: (choose the best answer)
   a) intra-organizational flow of information
   b) emergency evacuation procedures
   c) short-term relief efforts
   d) long-range, strategic planning
   e) updating weather bulletins

13. One of the most important administrative positions is that of (choose the best answer):
   a) secretary
   b) program coordinator
   c) accountant
   d) public relations officer
   e) storekeeper

14. People are more liable to resist a leader's efforts when the threat of disaster is:
   a) constant and recurring
   b) moderate and recurring

15. A common misconception of inexperienced disaster workers is that:
   a) victims will be unable or unwilling to work
   b) tents should be ordered to provide emergency shelter
   c) they will be forced to do unpleasant work with little or no compensation
   d) they will have to camp out in tents
   e) water should be boiled before being used

16. A group of people whose job is to define parameters of a task and make recommendations is a(n):
   a) task group
   b) committee
   c) organic group
   d) ad hoc group
   e) work group

17. When a group can satisfy individual needs for status, recognition, or material gain, this increases group:
   a) divisiveness
   b) elitism
   c) status
   d) autonomy
   e) cohesion

18. Once different tasks and specialists needed to do them have been identified, the agency is then in a position to develop (choose the best answer):
   a) chains of command
   b) a decentralized organizational structure
   c) job descriptions
   d) budget line items
   e) support staff

19. Dividing work into more and more piecemeal assignments may result in (choose the best answer):
   a) greater efficiency
b) overlapping jobs
c) lower output and morale
d) increased morale
e) greater cost

20. Redefining jobs might be a way to:
   a) give workers more autonomy
   b) enlarge the workload
c) reduce the workload
d) exercise greater control over workers
e) all of the above
f) none of the above

21. The success of relief efforts in a community should be measured by:
   a) quantifiable measures of aid given and individuals helped
   b) fulfillment of short-term objectives
c) a return to normal socio-economic patterns
d) a broad-based assessment of impact on the community
e) the length of time between the emergency and full recovery

True/False
(Indicate T or F)

_____ 22. As an organization increases in size and complexity, its management adapts by becoming more generalized with a more centralized power structure.

_____ 23. Actions taken by an agency in different periods of a disaster are guided by the same objectives.

_____ 24. Budgeting for post-disaster programs is usually a trial-and-error process.

_____ 25. In most situations, the manager does not know exactly what will occur.

_____ 26. Major decisions are usually made by the disaster manager alone.

_____ 27. The person assigned to take corrective steps must have clearly delegated authority to correct problems.

_____ 28. Graphic charts and diagrams are used to monitor and control activities.

_____ 29. Expatriate volunteers are preferable to local or refugee workers because they are easier to understand and communicate with.

_____ 30. In practice, it has been found that the work will be performed more quickly and efficiently if people are offered attractive rates of pay.

_____ 31. It is damaging to local peoples’ pride when outsiders are called in to perform much of the relief work.

_____ 32. A highly centralized government would generally be better able to handle relief efforts under disaster conditions than would a decentralized government.

_____ 33. Before a manager can decide upon what approaches to take to motivate workers, he or she should consider personality and goals of each staff member.

_____ 34. It is important that all workers performing within a disaster relief organization be motivated by strictly humanitarian concerns.

_____ 35. The higher the level of staff motivation and commitment, the less likely they are to experience "burn-out."

_____ 36. Few personnel working in disasters have had prior experience.

_____ 37. Working relationships change at different stages of a disaster.

_____ 38. As the size of a group increases, its cohesiveness tends to increase.

_____ 39. Objective measures of performance are unbiased, whereas subjective measures tend to be biased.

_____ 40. When conducting an appraisal interview, the manager should focus on positive work performance.

_____ 41. A relief agency should be organized in such a way that its original structure will prevail throughout all phases of a disaster.
42. A relief agency should use local help and local resources and seek ways to develop local capabilities wherever possible.

43. The completion and transfer process may also need to include training of people authorized to take over running and use of the project.
Outline of Content

Lesson 1 Introduction
• The management system in disaster practice
• Overview of a disaster manager’s task
• Constraints on managers
• Different work environments
• Changing values

Lesson 2 Program Planning
• Six steps of the planning function
• Setting up the program
• Common problems in program planning

Lesson 3 Decision Making
• Variables in decision making
• Types of decisions
• The process of decision making

Lesson 4 Information Management
• Classes of information
• Establishing a focal point for information management
• Requirements for emergency information management

Lesson 5 Program Supervision, Monitoring and Control
• Types and methods of control
• Necessary conditions for control and supervision

Lesson 6 Personnel and Personnel Management
• Types of staff
• Personnel issues in disaster operations
• Lessons learned

Lesson 7 Leadership
• Ways to influence others
• Factors affecting leadership
• Different leadership styles in different situations

Lesson 8 Motivation
• Personality and motivation
• Management programs designed to increase motivation

Lesson 9 Group Dynamics
• Factors to consider
• Motivations of disaster workers
• Group dynamics

Lesson 10 Managing Work Groups
• Classification of work groups
• Group unity
• Leading and motivating work groups

Lesson 11 Personnel Evaluation
• Performance appraisals
• Results-based appraisal program
• Conducting the appraisal

Lesson 12 Structuring Organizations
• Specialization of labor
• Departmentalization
• Principles of organizational structure

Lesson 13 Organizational Development
• Managing change within an organization

Lesson 14 Criteria for Assessing a Program
• Short- and long-term contributions
• Common problems in program execution
• Impact assessment

Lesson 15 Project Completion and Transfer
• Process of project completion
• Common problems of project completion
• Factors to include in the transfer of a project
Course Objectives

Lesson 1 Introduction
- Be aware of the need for effective management in a disaster.
- Know the difference between routine and crisis management.
- List and define the three types of advanced planning collectively called disaster preparedness.
- Divide the disaster manager’s role into the three parts discussed in this lesson.
- State the difference between vertical and horizontal specialization by defining each briefly.
- Recognize some of the constraints and pressures on managers and relief organizations.
- List the different managerial environments that are often imposed on disaster managers.
- Understand the difference between the "logistics" and the "development" approach.

Lesson 2 Program Planning
- Develop an understanding of the six steps of the planning function.
- Become familiar with the four concepts mentioned to stretch funds by briefly discussing each.
- Describe three ways of balancing a relief program.
- Describe the four methods of estimating future needs and resources.
- Explain the concepts of variable and moving budgeting.
- After reviewing the section entitled "Common Problems In Program Planning," list ways to avoid or solve these problems.
- Refer to the Gap Identification Sheet in Appendix II-A and see how it could aid you in prevention of overlapping activities.

Lesson 3 Decision Making
- List and define in your own words the three different conditions under which decisions are made.
- Demonstrate your knowledge of the three types of decisions in disaster management by giving examples of each.
- List in order the six steps needed to make decisions under non-routine, emergency circumstances.

Lesson 4 Information Management
- Briefly define the three classes of information mentioned.
- Develop a good understanding of the four types of disaster intelligence the disaster manager will receive.
- Discuss the three major requirements needed to keep information flowing properly.
- List the four requirements for effective information management in emergencies.
- Recognize the importance of having a focal point of information flow.

Lesson 5 Program Supervision, Monitoring and Control
- Understand the consequences of failure to control a program.
- State the three conditions necessary for control and supervision. List reasons why these conditions are necessary.
- Break the control function down into three parts.
- List the three types of precedence diagrams and understand the advantages and disadvantages of each.
• Understand the difference between setting policy and implementing policy and list methods used in the latter case.
• Know the advantage of the precedence diagram over the Gantt chart. Understand why the DART chart was developed and the advantages of network models.

Lesson 6 Personnel and Personnel Management
• List the types of staff discussed in this lesson and briefly describe their roles in disaster management.
• Develop an understanding of the usefulness of refugee labor.
• Understand the consequences of not utilizing local personnel.
• Understand the reasons for following the policy regarding salaries.
• Understand why it is so crucial to have experienced personnel in a relief agency, especially field personnel.

Lesson 7 Leadership
• List and briefly discuss the five ways to influence others.
• Understand the importance of each of the factors in the section "Factors Affecting Leadership" in regard to improving your own leadership ability.
• Understand which leadership style is appropriate to each phase of a disaster.
• Recognize aspects of the disaster environment that can influence leadership requirements and styles.

Lesson 8 Motivation
• List and explain the five levels of human motivation in the pyramidal hierarchy.
• Develop an understanding of what managers should do to help staff persons develop and maintain esteem and self-actualization.
• Develop an understanding of how persons with different personalities will react to different types of circumstances.
• List and describe the three categories of approaches which have been developed to motivate workers for better performance.

Lesson 9 Group Dynamics
• List and explain the five factors involved in the work environment of a disaster area.
• State and explain the six major motivations of disaster workers.
• Identify and discuss the dynamics of the groups inside the affected community and the work groups within an organization. Identify the three most important aspects of group behavior in disasters that provide guidance for personnel management.

Lesson 10 Managing Work Groups
• Understand some of the advantages and limitations of work groups.
• Identify and discuss the difference between formal and informal work groups.
• List four factors which affect the cohesiveness of a work group.
• Recognize and understand the personal characteristics of group leaders and list the important guidelines which can aid group leaders.
• List and explain the five motivational factors in work group situations and ways of resolving group conflicts.

Lesson 11 Personnel Evaluation
• Explain the two main reasons for evaluating personnel.
• Describe four specific reasons for conducting a performance appraisal.
Lesson 12 Structuring Organizations
- List and explain the five "principles of organization."
- Explain the objective and function of structuring an organization.
- List ways in which services and internal operations are departmentalized.
- Understand the difference between matrix and pyramidal structure and the uses put to each configuration.
- Define the span-of-control principle and explain how it affects organizational structure.
- Explain the "P" factor and its influence on performance.
- Define unity of command and explain its relation to chain of command in disasters.
- Be familiar with the principles of organizational structure that should be considered when developing a table of organization.

Lesson 13 Organizational Development
- Define organizational development as it pertains to relief organizations.
- Define and explain external and internal forces which may cause changes to occur within an organization.
- Understand and be able to explain the process for managing changes needed within an organization.

Lesson 14 Criteria for Assessing a Program
- Explain the meaning of long- versus short-term contributions of a particular program.
- Identify and explain some of the common problems encountered in relief program execution.
- Identify some of the factors necessary in order to properly assess the success or failure of a program.

Lesson 15 Project Completion and Transfer
- List the three steps involved in developing a completion plan.
- Review the "common problems" section and become aware of plans to avoid these shortfalls.
- List the six factors that should be included in the transfer procedure.
- Understand the implications of project completion and transfer to the local community and to the project personnel.
Lesson 1 – Introduction

Study Guide Overview

This lesson is an introduction to modern management techniques and their application to the disaster management field.

Learning Objectives

- Be aware of the need for effective management in a disaster.
- Know the difference between routine and crisis management.
- List and define the three types of advanced planning collectively called disaster preparedness.
- Divide the disaster manager's role into the three parts discussed in this chapter.
- State the difference between vertical and horizontal specialization by defining each briefly.
- Recognize some of the constraints and pressures on managers and relief organizations.
- List the different managerial environments that are often imposed on disaster managers.
- Understand the difference between the "logistics" and the "development" approach.

Learning Activities

- Read Chapter 1 in the text.
  - Study Figures 1-1, 1-2; Tables 1-A, 1-B.

Evaluation

- Complete the self-assessment test.
Lesson 1 Self-Assessment Test

**Multiple Choice**
*Circle the correct answer(s):*

1. The primary task of management is to: (choose the best answer)
   - a) plan in advance
   - b) coordinate national and international relief efforts
   - c) make rapid, informed decisions and coordinate group efforts
   - d) determine parameters of jobs, incomes, and services that apply during disaster conditions
   - e) take control during a crisis

2. Crisis management applies to: (choose the best answer)
   - a) the moment at which a disaster strikes
   - b) the immediate post-disaster period
   - c) the preparedness phase and immediate post-disaster period
   - d) the immediate post-disaster period and disaster reconstruction
   - e) disaster mitigation and reconstruction

3. Contingency planning generally refers to:
   - a) the threat of an imminent disaster
   - b) the response of an organization to disaster threats
   - c) unspecified sites that are not immediately threatened
   - d) planning for changing values in relief agencies
   - e) a specific site where a disaster could occur

4. A disaster manager’s role can be divided into management of: (choose the best answer)
   - a) public relations, information, and resources
   - b) field, middle, and top level managers
   - c) personnel, budgets, and needs surveys
   - d) planning, response, and reconstruction
   - e) operations, people, and organizations

5. In vertical management, the authority to act and use resources is ______ subordinates. (Fill in the blank with the correct letter.)
   - a) shared with
   - b) controlled by
   - c) coordinated through
   - d) delegated to
   - e) withheld from

6. Two or more field level managers contributing their expertise to the completion of a project is an example of:
   - a) vertical specialization
   - b) horizontal specialization
   - c) group specialization
   - d) sub-unit specialization
   - e) pyramidal specialization
True/False
Indicate T or F:

_____ 7. Strategic, contingency, and forward planning all pertain to preparations made in advance of a disaster.

_____ 8. As an organization increases in size and complexity, its management adapts by becoming more generalized with a more centralized power structure.

_____ 9. Expectations from donors, government administrators, and the general public can shape the objectives and policy of a relief organization.

Answer Key

1. c
2. c
3. e
4. e
5. d
6. b
7. T
8. F
9. T
Lesson 2 - Program Planning

Study Guide Overview

Lesson 2 examines basic terminology and concepts of planning and provides a guide to some basic techniques used in disaster management planning.

Learning Objectives

• Develop an understanding of the six steps of the planning function.
• Become familiar with the four concepts mentioned to stretch funds by briefly discussing each.
• Describe three ways of balancing a relief program.
• Describe the four methods of estimating future needs and resources.
• Explain the concepts of variable and moving budgeting.
• After reviewing the section entitled "Common Problems In Program Planning," list ways to avoid or solve these problems.
• Refer to the Gap Identification Sheet in Appendix II-A and see how it could aid you in prevention of overlapping activities.

Learning Activities

• Read Chapter 2 in the text.
• Study Figures 2-1, 2-2, 2-3; Tables 2-A, 2-B.

Evaluation

Complete the self-assessment test.
Lesson 2 Self-Assessment Test

Multiple Choice
Circle the correct answer(s):

1. In order to quantify needs, agencies should: (choose the best answer)
   a) conduct extensive, detailed surveys
   b) obtain an accurate count of people living in the stricken area and determine ways to ration supplies equitably
   c) determine how much assistance can be provided and set limits accordingly
   d) attempt to estimate percentages of families requiring different types of assistance
   e) estimate numbers of people in the stricken area who are not eligible for any other form of assistance

2. The "Gap Identification Sheet" is divided into _____ and_____ actions. (Fill in blanks with appropriate letters from list below.)
   a) short-term
   b) long-term
   c) pre-disaster
   d) emergency
   e) humanitarian
   f) technically guided

3. To define precisely what an agency hopes to achieve through a particular program, the agency should:
   a) set policies, establish goals, and select one strategy and one approach
   b) set policies and establish goals that stay within a fixed budget
   c) set policies, establish goals, and select strategies and approaches
   d) set policies, establish goals, and solicit funding
   e) conduct extensive surveys, set policies, and establish goals.

4. Effective policies should attempt to do all of the following except:
   a) empower managers to use financial incentives to achieve defined objectives
   b) strike a reasonable balance between stability and flexibility
   c) cover any contingency
   d) provide for coordination of the various related sub-units
   e) be stated clearly and logically

5. When setting objectives, the most important considerations are: (choose the best answer)
   a) the priority of each, any conflicts and problems of coordination, and the likelihood of success
   b) the priority of each, its timing, and its delegation to the appropriate person or department
   c) the short-term versus long-term benefits, the recoverability of funding, and ways to meet the needs of the most people in the greatest geographical area
   d) linking to other programs, maximizing buying power, and balancing between family and community assistance
   e) that they be measurable, flexible, and adaptable

6. Once objectives have been established and prioritized, an agency should:
   a) estimate how much assistance will come from the government and how much will come from private donors
   b) determine how many people are not eligible for government assistance
   c) decide which department of the agency will be responsible for which objective
   d) determine strategies and approaches
   e) obtain a realistic estimate of the amount of assistance to be provided and how many beneficiaries there will be
7. Choose which planning concept the following statements represent by marking either an "s" (strategy) or "a" (approach) in the appropriate blank.

_____ Organize technical crews to inspect storage facilities for possible food deterioration.
_____ Give loans and grants.
_____ Establish a nutrition program.
_____ Organize a construction team to build replacement houses for a designated number of people in the project area.
_____ Establish a construction program.

8. Use of time series analysis would probably be a more accurate indicator in the event of ______ than in the event of ______. (Decide in which blank each letter below belongs.)

a) earthquake
b) drought
c) hurricane
d) civil war
e) tornado

9. In situations where refugees are arriving over extended periods of time, agencies should:

a) estimate total numbers of people anticipated and stockpile materials for that number
b) estimate the number of people in need of assistance for a limited period and update needs estimates (using a formula) on a weekly basis
c) multiply the number of people now receiving assistance times the percentage of the total that the new arrivals represent
d) add the total number of people now receiving assistance to the number of new arrivals last week and multiply by the contingency planning number
e) estimate the number of people in need of assistance for a limited period and update needs estimates (using a formula) on a monthly basis

10. A program impact assessment should be made as part of the:

a) planning process
b) control process
c) decision making process
d) evaluation process
e) budget process

11. By contingency planning, an agency is able to order one shipment of supplies which covers total shelter needs rather than having to order an additional shipment at a later date. This is an example of:

a) moving budgeting
b) forecasting
c) concentration of resources
d) multiple objective planning
e) variable budgeting

True/False
Indicate T or F:

_____ 12. After a disaster, needs can best be determined by visiting representative areas and talking to selected groups in the affected community.

_____ 13. Different departments should be involved in reviewing objectives to resolve any conflicts or problems of coordination.

_____ 14. A good field accounting system is one which places the emphasis of trust on the user.

_____ 15. In most disasters, the need for curative medical supplies is far greater than the need to establish adequate sanitation and hygiene.

Answer Key

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Lesson 3 - Decision Making

Study Guide Overview

This lesson examines ways in which the decision making process can be improved for disaster managers by providing a framework.

Learning Objectives

• List and define in your own words the three different conditions under which decisions are made.

• Demonstrate your knowledge of the three types of decisions in disaster management by giving examples of each.

• List in order the six steps needed to make decisions under non-routine, emergency circumstances.

Learning Activities

Read Chapter 3 in the text.

Evaluation
Complete the self-assessment test.
Lesson 3 Self-Assessment Test

**Multiple Choice**
*Circle the correct answer(s):*

1. There is usually no established procedure for handling:
   a) non-routine decisions
   b) routine decisions
   c) technically guided decisions
   d) decisions made under conditions of risk
   e) decision making

2. In emergencies, non-routine decisions are most often made by:
   a) field level managers
   b) middle level managers
   c) top management
   d) technical advisors
   e) a board of directors

3. Under conditions of uncertainty, decisions must be made using: (choose the best answer)
   a) alternative choices
   b) programmed decisions
   c) models
   d) probabilities
   e) technical factors

4. A decision to commit all available equipment and manpower to the clearing of roadways blocked by debris from a sudden landslide would be an example of:
   a) minimizing results
   b) minimizing the maximum possible results
   c) maximizing all possible results
   d) maximizing results that are the minimum possible under the circumstances
   e) avoiding or delaying the decision

5. After a storm, authorizing the unclogging of a sewer pipe known to be susceptible to flood damage would be an example of a:
   a) technically guided decision
   b) quality control decision
   c) routine decision
   d) non-routine decision
   e) decision made under conditions of uncertainty

6. When considering alternative decisions, it always is important to:
   a) be guided by humanitarian considerations
   b) determine possible outcomes of each
   c) maximize the possible results
   d) minimize the possible results
   e) delay the final decision until all variables can be examined

7. Reorder the following steps in decision making into their proper sequence of occurrence by assigning the correct number to each step.

   ____ Evaluate information for quality, accuracy, and variables.
   ____ Identify alternatives and determine possible outcomes.
   ____ Define the problem and decision to be made.
   ____ Make the decision.
   ____ Gather, organize, and extract all relevant information.

**True/False**
*Indicate T or F:*

_____ 8. In most situations, the manager does not know exactly what will occur.

_____ 9. Under disaster conditions, non-programmed decisions are usually the concern of top management, while middle and field level managers generally make programmed decisions.

| Answer Key | 1. a | 4. d | 7. 3,4,1,5,2 |
| 2. a | 5. c | 8. T |
Lesson 4 – Information Management

Study Guide Overview

Lesson 4 explores the use of an information management system to manage existing and incoming information to aid in decision making.

Learning Objectives

• Briefly define the three classes of information mentioned.
• Develop a good understanding of the four types of disaster intelligence the disaster manager will receive.
• Discuss the three major requirements needed to keep information flowing properly.
• List the four requirements for effective information management in emergencies.
• Recognize the importance of having a focal point of information flow.

Learning Activities

Read Chapter 4 in the text.

Evaluation

Complete the self-assessment test.
Lesson 4 Self-Assessment Test

Multiple Choice
Circle the correct answer(s):

1. Decide the class of information under which each information gathering task falls by entering the appropriate letter designation in the space provided.

Classes of Information:

a) planning information  
b) control information  
c) operational information

Information Gathering Task:

_____ Monitor daily intake and outflow of supplies.
_____ Measure the performance of personnel.
_____ Determine extent of damage to an area.
_____ Schedule work shifts.
_____ Formulate objectives.
_____ Measure actual results against planned-for results.

2. Match the following four types of disaster intelligence with information reporting activities presented below by entering the appropriate letter in the space provided.

Types of Disaster Intelligence:

a) early warning reports  
b) situation reports  
c) disaster assessment reports  
d) epidemiologic surveillance

Information Reporting Activities:

_____ Provide a rough quantification of needs and damages after a disaster has occurred.
_____ Issue alerts and evacuation information prior to an impending cyclone.

_____ Issue periodic reports detailing the response of different relief agencies in the aftermath of a disaster.
_____ Describe the emergency as it occurs.
_____ Identify the geographic areas that should receive priority after a disaster.
_____ Collect data on the health states of disaster victims.

3. One way to determine how, when, and by whom information will be used is to:

a) index information for storage and retrieval purposes  
b) collect, evaluate, and store information relevant to one particular task  
c) classify information based on the level in the organization where it will be used  
d) try to eliminate irrelevant or unnecessary issues  
e) disseminate information according to a formal scheme and direction

4. Editing and reducing information to make it easier to apply to a particular task is referred to as:

a) evaluating  
b) indexing  
c) coding  
d) processing  
e) abstracting

5. In order to flow properly, information should be (all of the following except):

a) gathered on the basis of the type of information needed at different organizational levels  
b) complete, accurate, and detailed in its coverage of all aspects of a problem  
c) collected, processed, and stored to improve the overall quality of the information  
d) accurate, timely, and responsive to the basic needs determined in the beginning  
e) disseminated at the right time to the right manager.
6. The visual display of information on graphs, chalkboards, etc. is:

a) excessively bulky, expensive, and extraneous to the smooth operation of a disaster relief agency
b) useful, primarily at the top management level
c) used essentially for public awareness or other promotional efforts
d) the simplest and most effective way to transmit information from one organization to another
e) an excellent tool for allowing input from the field staff and updating information

7. A system of routing information and assigning it appropriate priority is especially important in order to facilitate: (choose the best answer)

a) the group decision making process
b) the accurate and efficient indexing of all incoming information
c) the timely dissemination of emergency information to field level managers
d) the right decision being made by the disaster responsible for seeing to it that their recommendations are carried out.

True/False

Indicate T or F:

_____ 8. Much of the planning information will come from internal sources.

_____ 9. Different kinds of information are needed for formulating organizational objectives than for scheduling operations.

_____ 10. An information officer can serve as a central focal point of information flow during a field operation.

Answer Key

|   | 1. c,b,c,c,a,b | 2. c,a,b,b,c,d | 3. c | 4. e | 5. b | 6. e | 7. a | 8. F | 9. T | 10. T |
Lesson 5 – Program Supervision, Monitoring and Control

Study Guide Overview

Lesson 5 discusses the functions of program supervision, monitoring and control to ensure that actual operations conform to planned operations.

Learning Objective

• Understand the consequences of failure to control a program.
• State the three conditions necessary for control and supervision. List reasons why these conditions are necessary.
• Break the control function down into three parts.
• List the three types of precedence diagrams and understand the advantages and disadvantages of each.
• Understand the difference between setting policy and implementing policy and list methods used in the latter case.
• Know the advantage of the precedence diagram over the Gantt chart. Understand why the DART chart was developed and the advantages of network models.

Learning Activities

• Read Chapter 5 in the text.
• Study Figures 5-1, 5-2, 5-3; Table 5-A.

Evaluation

Complete the self-assessment test.
Lesson 5 Self-Assessment Test

Multiple Choice
Circle the correct answer(s):

1. The purpose of control is to:
   a) find deviations in a plan, assign responsibility, and reprimand (or clarify instructions to) individual(s) at fault
   b) exercise proper decision-making authority over subordinates
   c) find deviations in a plan, correct them, and prevent them in the future
   d) ensure that the project is run according to plan
   e) take charge of the situation, yet remain flexible and receptive to suggestions from subordinates

2. The first step in the control process is to establish standards derived from:
   a) on-the-spot observation
   b) feedback control
   c) objectives of the organization and its individual programs
   d) impact assessment
   e) knowledge of environmental, technological, and socio-psychological factors

3. Select the type of control which best describes the activities listed below.
   Type of Control:
   a) preliminary control
   b) monitoring
   c) evaluation

   _____ authorizing the requisition of supplies and equipment to be used in an operation
   _____ noting that an ongoing project has exhausted its supplies for repairs

4. Decisions to accept or reject incoming materials should be based on:
   a) a routine procedure for quality control
   b) cash-to-commitment ratios
   c) the critical path method
   d) on-the-spot observation
   e) group consensus of field staff

5. In budgeting for relief operations, a manager should be especially careful to:
   a) make sure that all or a portion of the funds distributed are recoverable to the program
   b) establish a fixed budget and adhere to it once the decision has been made
   c) anticipate and provide for the needs of as many people in as great a radius of the affected area as possible
   d) keep enough cash on hand to meet obligations
   e) keep the cash-to-commitment ratio above 3:1 and take immediate corrective action when it falls below

6. A detailed examination of financial statements to enable the manager to determine the adequacy of financial planning and budgeting is known as:
   a) a management audit
   b) a financial audit
   c) a cost-benefit analysis
   d) a standard cost analysis
   e) quality control

7. When the shipment of food arrived for scheduled distribution to stricken villages, trucks were not available to make deliveries because they were being used by the medical team for another scheduled activity.
This type of scheduling conflict would be more likely to occur using which method of graphic display?

a) the DART method  
b) the PERT method  
c) the CPM method  
d) a Precedence diagram  
e) a Gantt chart

8. The DART method is like the Gantt chart except that in the DART method:

a) principal activities are identified and their duration represented by horizontal bars drawn on the row representing that activity  
b) each activity is divided into the various sub-activities that are needed to complete the primary activity  
c) the sequence of execution of each activity is broken down  
d) relationships and precedence of activities are shown by arrows connected to sets of boxes  
e) the time scale for completing the project appears on the horizontal axis

9. The PERT method is especially useful where:

a) time can be estimated accurately and cost can be determined in advance  
b) activities that are either behind or ahead of schedule need to be singled out  
c) large complex projects need to be broken down into component parts  
d) a non-routine project is performed only once  
e) repetitive problems arise in daily operations and require standardization of procedures

True/False
Indicate T or F:

10. Discrepancies between standards and performance are more easily discernible for field operations than for middle management functions.

11. The control process generally involves a combination of direct on-site supervision and indirect techniques.

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Lesson 6 – Personnel and Personnel Management

Study Guide Overview

This lesson discusses the types of staff utilized in disaster programs and some of the major personnel issues that confront the disaster manager.

Learning Objectives

• List the types of staff discussed in this chapter and briefly describe their roles in disaster management.
• Develop an understanding of the usefulness of refugee labor.
• Understand the consequences of not utilizing local personnel.
• Understand the reasons for following the policy regarding salaries.
• Understand why it is so crucial to have experienced personnel in a relief agency, especially field personnel.

Learning Activities

Read Chapter 6 in the text.

Evaluation

Complete the self-assessment test.
Lesson 6 Self-Assessment Test

**Multiple Choice**
Circle the correct answer(s):

1. Match the job title with the staffing category most closely associated with it by entering the correct letter in the space provided.

   Staffing Category:
   a) administrative staff
   b) field worker
   c) program advisor
   d) technician

   _____ medical staff
   _____ agricultural specialist
   _____ social workers
   _____ transport manager
   _____ nurse
   _____ consultant
   _____ program coordinator
   _____ public relations officer
   _____ construction workers
   _____ electrician
   _____ laborers
   _____ accountant
   _____ engineer
   _____ logistics personnel

2. One major disadvantage of placing volunteers in key positions is:

   a) they are usually upper- or middle-class urbanites with little or no knowledge of field problems
   b) they may not realize the limitation of their role and attempt to take on too much responsibility in the field
   c) their motivations and objectives are often not the same as those of other relief workers which can lead to friction
   d) they are usually university students with a political or ideological message to impart which can be disruptive
   e) they constitute temporary help and do not have the decision-making expertise which comes from experience in past disasters

3. As a rule, good performance in the field (should, should not) _______ be rewarded by promotion to an administrative position.

   **True/False**
   Indicate T or F:

   _____ 4. Refugees are an underutilized source of manpower which should be sought out as both field and administrative staff.
   _____ 5. Program advisors should be responsible for seeing to it that their recommendations are carried out.
   _____ 6. Field workers should not attempt to use advisors as temporary field workers.
   _____ 7. A salary policy should attempt to incorporate pay scales which reflect a worker's worth, as established in his or her home country or in accordance with his or her social class in the community.
   _____ 8. Experienced field workers should be able to participate in management decisions.

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Lesson 7 - Leadership

Study Guide Overview

This lesson explores the use of different management leadership styles and methods that are applied to disaster management situations.

Learning Objectives

• List and briefly discuss the five ways to influence others.
• Understand the importance of each of the factors in the section "Factors Affecting Leadership" in regard to improving your own leadership ability.
• Understand which leadership style is appropriate to each phase of a disaster.
• Recognize aspects of the disaster environment that can influence leadership requirements and styles.

Learning Activities

• Read Chapter 7 in the text.
• Review Appendix VII-A and VII-B.

Evaluation

Complete the self-assessment test.
Lesson 7 Self-Assessment Test

**Multiple Choice**
Circle the correct answer(s):

1. All of the following can, at appropriate times, serve as active ways to influence people, except:
   a) reprimands
   b) avoidance
   c) monetary reward
   d) experience
   e) admired personality trait
   f) compliment for good work
   g) position of power in the hierarchy

2. Choose the one letter from the following list which best fits the blank spaces in the statement below.
   a) sound judgment; experience gained
   b) professional competence; increased self-confidence
   c) individual personality traits; increased self-confidence
   d) ability to make accurate decisions; a better understanding of the task
   e) self confidence; experience gained

   The most difficult of all the factors affecting leadership is to improve _______ unless preceded by _______.

3. Match the following situations encountered in disaster management with the leadership style that probably would work best in that situation.

   **Leadership Style:**
   a) autocratic directive
   b) supportive but firm
   c) participative and achievement oriented
   d) participative
   e) supportive

   **Situation:**
   _____ an engineering team project
   _____ coordination with non-subordinates or organizations
   _____ non-crisis phase of a disaster
   _____ transition phase of a disaster
   _____ crisis situation

4. People are more liable to resist a leader’s efforts when the threat of disaster is:
   a) constant and recurring
   b) moderate and recurring
   c) imminent
   d) moderate and infrequent
   e) widespread

5. The Vroom-Yetton model breaks leadership styles down into:
   a) coercion, reward, position
   b) centralized, decentralized, and pluralistic
   c) autocratic, consultative, and group
   d) crisis, transition, and non-crisis
   e) developmental, conceptual, and interactive

**True/False**
Indicate T or F:

_____ 6. A leader should recognize which leadership style best suits him or her and then apply it consistently in all situations.

_____ 7. In a directive style of leadership, subordinates do not participate in decision making.

_____ 8. A disaster manager may find it more expedient to work through the local power structure instead of playing a more prominent role.

**Answer Key**

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Lesson 8 Motivation

Study Guide Overview

This lesson explores the fundamentals and importance of human motivation as it relates to disaster management.

Learning Objectives

• List and explain the five levels of human motivation in the pyramidal hierarchy.
• Develop an understanding of what managers should do to help staff persons develop and maintain esteem and self-actualization.
• Develop an understanding of how persons with different personalities will react to different types of circumstances.
• List and describe the three categories of approaches which have been developed to motivate workers for better performance.

Learning Activities

• Read Chapter 8 in the text.
• Study Figures 8-1, 8-2.

Evaluation

Complete the self-assessment test.
Lesson 8 Self-Assessment Test

Multiple Choice
Circle the correct answer(s):

1. Fill in each blank in the statement below with the appropriate letter from the following list:
   a) esteem
   b) physiological
   c) self-actualization
   d) social
   e) safety

   In the hierarchy of needs, a permanent or career worker’s needs would probably begin at the level of ________; a relief worker’s needs would begin at the level of ________ and ________; and an incoming refugee’s needs would begin at the level of ________ and ________.

2. In order to improve performance, a manager may choose to provide greater job enrichment by all of the following, except:
   a) increasing the number of tasks
   b) greater variety
   c) identification with a complete piece of work
   d) greater autonomy
   e) solicitation of feedback

3. When experiments in job enrichment fail, the fault is generally:
   a) excessive variety
   b) taking too much responsibility for the whole job
   c) an inflated sense of the work's value and importance to the entire operation
   d) excessive worker feedback
   e) excessive autonomy

4. Cash can be used to reward work done:
   a) in an open environment
   b) in a closed environment
   c) in a refugee camp
   d) by temporary staff and volunteers
   e) all of the above
   f) none of the above

5. In behavior modification, positive reinforcement measures are identified (before, after) ________ a performance audit.

   True/False
   Indicate T or F:

   _____ 6. Before a manager can decide upon what approaches to take to motivate workers, he or she should consider personality and goals of each staff member.

   _____ 7. The higher the level of staff motivation and commitment, the less likely they are to experience "burn-out."

   _____ 8. As a general rule, food and material rewards should not be used as motivators beyond one or two weeks in refugee camps.

Answer Key

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Lesson 9 Group Dynamics

Study Guide Overview

This lesson explores the unusual aspects of group dynamics created by disasters and explains the managerial response to those relationships.

Learning Objectives

• List and explain the five factors involved in the work environment of a disaster area.
• State and explain the six major motivations of disaster workers.
• Identify and discuss the dynamics of the groups inside the affected community and the work groups within an organization.
• Identify the three most important aspects of group behavior in disasters that provide guidance for personnel management.

Learning Activities

Read Chapter 9 in the text.

Evaluation

Complete the self-assessment test.
Lesson 9 Self-Assessment Test

**Multiple Choice**

*Circle the correct answer(s):*

1. Disaster managers should be wary of relief workers motivated by:
   - a) grief and a sense of loss
   - b) religion
   - c) fear and guilt
   - d) worker and family pressure
   - e) excitement and opportunism

2. In the immediate aftermath of a disaster, extended families, church organizations, and other social groups in the community:
   - a) can be an impediment to quick and effective disaster relief operations
   - b) should be restructured into formal working groups
   - c) temporarily dissolve due to the initial shock of the disaster
   - d) tend to retain social and economic distinctions
   - e) form the basic structure of organized community response

3. A disaster community consists of:
   - a) natural leaders and informal working groups in the affected area
   - b) disaster relief organizations involved in relief operations
   - c) government officials and community leaders
   - d) victims and their families
   - e) field level managers, middle level managers, and top level managers

4. Match the group dynamics characterizing a relief organization with the time frame in which it most generally occurs.

   **Time Frame:**
   - a) emergency period
   - b) transitional period
   - c) reconstruction period

   **Group Dynamics:**
   - _____ restructuring of groups
   - _____ work groups functioning within the organization rather than on an ad hoc basis
   - _____ emergence of natural leaders
   - _____ establishment of a formal hierarchy
   - _____ less obedience to natural leaders
   - _____ moodiness or depression among survivors
   - _____ replacement of temporary with long-term staff
   - _____ informal and flexible structure of authority

5. A show of esprit de corps and pride in their work by outsiders may be viewed by survivors working in an affected area as:
   - a) childish
   - b) humanitarian
   - c) inspirational
   - d) insensitive
   - e) dishonest

6. The survivor of a disaster is usually more focused on the job than an outsider.

7. The disaster community is a short-term action network.

8. The emergency period of a relief operation usually lasts several months.

**Answer Key**

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Lesson 10 Managing Work Groups

Study Guide Overview

This lesson explains the different types of work groups and the advantages, limitations and implications of using them to accomplish different tasks.

Learning Objectives

• Understand some of the advantages and limitations of work groups.
• Identify and discuss the difference between formal and informal work groups.
• List four factors which affect the cohesiveness of a work group.
• Recognize and understand the personal characteristics of group leaders and list the important guidelines which can aid group leaders.
• List and explain the five motivational factors in work group situations and ways of resolving group conflicts.

Learning Activities

Read Chapter 10 in the text.

Evaluation

Complete the self-assessment test, compare your answers to the answer key found in a separate document in this directory.
Lesson 10 Self-Assessment Test

Multiple Choice

Circle the correct answer(s):

1. One thing working in a group does not facilitate is:
   a) greater willingness to take on risks
   b) less tendency to make mistakes
   c) emergence of better ideas
   d) greater acceptance of a group decision
   e) better communications among participants

2. A group of people whose job is to define parameters of a task and make recom
   a) task group
   b) committee
   c) organic group
   d) ad hoc group
   e) work group

3. All the public health specialists within a relief organization decide to meet to discuss scheduling of projects. They would constitute a(n) (formal, informal) ________ group.

4. One of the biggest dilemmas in the group decision-making process that a leader may face is (choose the best answer):
   a) deciding whether pushing for a solution other than the majority decision is worth jeopardizing the group process
   b) trying to get everyone in the group involved without being delayed by endless debates
   c) helping to keep the group focus on the task at hand without seeming too autocratic
   d) deciding when to reward and when to reprimand
   e) getting the group to go along with a management decision while making it seem that it was a group determination

5. For work groups of volunteers and new staff, the motivators which generally work best are:
   a) recognition and status
   b) rewards and status
   c) accomplishment and enrichment
   d) positive reinforcement and negative reinforcement
   e) enrichment and extinction

6. Being aware of and understanding the roles people have assumed in the group enables a group leader to:
   a) decide on who is in line for a reward, promotion, or transfer
   b) better analyze why a group is or is not performing well
   c) assign different roles to different individuals
   d) increase productivity
   e) gain greater support and cooperation from group members

7. If conflicts arise among certain individuals in the group, ways to remedy the situation include all of the following, except:
   a) removing a member who will not abide by group norms
   b) reducing the size of the group
   c) changing the formal leadership of the group
   d) assigning unpleasant tasks, such as cleaning latrines, to the offending parties
   e) dissolving the group altogether

True/False

Indicate T or F:

8. As a rule, only positive inducements succeed in motivating work groups.

Answer Key

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Lesson 11 Personnel Evaluation

Study Guide Overview

This lesson discusses the importance of personnel evaluations and the different techniques which may be utilized in an evaluation.

Learning Objectives

• Explain the two main reasons for evaluating personnel.
• Describe four specific reasons for conducting a performance appraisal.
• Differentiate between and explain objective and subjective measures of performance.
• List and explain the four common errors made in performance evaluations.
• Explain the key features of the results-based appraisal program.
• Understand the basics of preparing for and conducting an appraisal interview.

Learning Activities

• Read Chapter 11 in the text.
• Study Figures 11-1, 11-2.

Evaluation

Complete the self-assessment test.
Lesson 11 Self-Assessment Test

Multiple Choice
Circle the correct answer(s):

1. Besides being used to improve worker performance, personnel evaluations enable disaster managers to:

a) enhance their control over subordinates
b) establish uniform standards that can be used for future relief operations
c) make staff changes during transitions between disaster phases
d) establish equitable pay rates
e) establish a formal channel for worker grievance

2. As phases of a disaster progress from pre-disaster to post-disaster conditions and to the rehabilitation stage, staffing needs generally:

a) fluctuate greatly
b) remain the same
c) steadily increase
d) steadily decline
e) are small at first, then expand greatly, then decline

3. Next to the following measures of performance, enter either an "o" (for objective) or "s" (for subjective)

_____ level of cooperation with co-workers
_____ self-initiative
_____ accident frequency
_____ effort applied on the job
_____ number of people receiving aid
_____ number of days absent
_____ ability to carry out orders

4. The following is a list of common errors in performance appraisal. Next to each countermeasure described below, enter the letter for the type of error it is meant to minimize.

Common Errors:

a) halo effect
b) leniency and harshness
c) central tendency
d) recency

Countermeasures:

_____ Evaluate demonstrated behaviors over the entire course of the behavior period.
_____ Set clear standards for each job function for the appraiser to use as a yardstick.
_____ Evaluate all workers on one aspect before evaluating them on a second, then a third.
_____ Clearly define dimensions of the ranking system.

5. A results-based appraisal program does not focus on:

a) standards for evaluating objectives
b) joint discussion of objectives between manager and subordinate
c) establishment of objectives related to needs of the organization
d) how to accomplish objectives
e) counseling and coaching the subordinate

6. Performance appraisals should be made more frequently (choose two):

a) during the post-disaster period
b) during the pre-disaster period
c) for paid staff
d) for older staff
e) during non-crisis periods
f) for recently hired staff

7. Before conducting an interview, the appraiser should:
a) hold a meeting with higher level management to establish standards used to appraise performance
b) hold a group discussion with employees to broadly define standards used to appraise them
c) weed out all personal biases in the appraisal process
d) give each worker the opportunity to appraise management performance first
e) meet with "natural" leaders to discuss what standards should be used to evaluate performance

**True/False**
*Indicate T or F:*

_____ 8. A performance appraisal is not meant to be reviewed with the person being evaluated.

_____ 9. If a manager is angry with an employee, this should be discussed during the appraisal interview.

**Answer Key**

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Lesson 12 Structuring Organizations

Study Guide Overview

This lesson examines the structuring, or design, of an organization in order to implement a program or project.

Learning Objectives

• List and explain the five "principles of organization."
• Explain the objective and function of structuring an organization.
• List ways in which services and internal operations are departmentalized.
• Understand the difference between matrix and pyramidal structure and the uses put to each configuration.
• Define the span-of-control principle and explain how it affects organizational structure.
• Explain the "P" factor and its influence on performance.
• Define unity of command and explain its relation to chain of command in disasters.
• Be familiar with the principles of organizational structure that should be considered when developing a table of organization.

Learning Activities

• Read Chapter 12 in the text.
• Study Figures 12-1, 12-2, 12-3, 12-4, 12-5, 12-6 and 12-9.

Evaluation

Complete the self-assessment test.
Lesson 12 Self-Assessment Test

**Multiple Choice**

*Circle the correct answer(s):*

1. Service-oriented departments are grouped by:
   a) function and process  
   b) task function and authority relationship  
   c) pyramidal and matrix organization  
   d) line personnel and staff personnel  
   e) sector, situation, and geography

2. Span-of-control refers to the:
   a) grouping of activities in particular sectors, such as housing or health  
   b) number of subordinates who report to a manager  
   c) geographical area under a manager's supervision  
   d) chain of command relationships in a formal structure  
   e) level of autonomy given to a particular department

3. Organizing a personnel department to recruit and select staff would be an example of:
   a) functional departmentalization  
   b) sectoral departmentalization  
   c) situational departmentalization  
   d) process departmentalization  
   e) service-oriented departmentalization

4. A narrow span-of-control fosters (general, close)_________ supervision and (lengthens, shortens)_________ administrative distance between levels of management.

5. The "P" factor comes into play during:
   a) restructuring of the organization's chain of command  
   b) the early stages of a disaster  
   c) the rehabilitation phase of a disaster  
   d) the transitional phase of a disaster  
   e) performance appraisal interviews

6. Adherence to the unity of command principle in disasters enables subordinates to:
   a) bypass the span-of-control principle  
   b) waive accountability under emergency conditions  
   c) take command over local activities which interfere with emergency operations  
   d) standardize procedures that are used to handle new problems or situations  
   e) communicate directly with a peer outside the chain of command

**True/False**

*Indicate T or F:*

7. Line managers are sometimes placed under the jurisdiction of staff officials in order to improve project control and coordination.

---

**Answer Key**

| 1. | e     | 5. | b     |
| 2. | b     | 6. | e     |
| 3. | a     | 7. | F     |
| 4. | close, lengthens |
Lesson 13 Organizational Development

Study Guide Overview

This chapter explores the procedures of organizational development necessary to enable a relief agency to anticipate and implement changes in an organization or project.

Learning Objectives

• Define organizational development as it pertains to relief organizations.
• Define and explain external and internal forces which may cause changes to occur within an organization.
• Understand and be able to explain the process for managing changes needed within an organization.

Learning Activities

• Read Chapter 13 in the text.
• Study Figure 13-1.

Evaluation

Complete the self-assessment test.
Lesson 13 Self-Assessment Test

Multiple Choice

Circle the correct answer(s):

1. Rearrange the following steps for facilitating organizational change by assigning each its number in the proper sequence of occurrence
   _____ recognition of limiting conditions
   _____ identification of alternatives
   _____ recognition
   _____ implementing and monitoring the change
   _____ diagnosis of problems
   _____ selection of a strategy for implementing change

2. When considering alternative ways to improve its effectiveness, an agency can take three approaches based on:
   a) philosophy, worker relationships, or chain of command
   b) short-term policies, long-term policies, or contingency policies
   c) budget allotments, material resources, or manpower availability
   d) structure, people, or technology
   e) top, middle, or field level management

3. Identify the following forces for change as either "e" (for external forces) or "i" (for internal forces):
   _____ new influxes of refugees
   _____ introduction of mobile water treatment units
   _____ poor coordination of tasks
   _____ increase in funding
   _____ counterproductive job promotion policy
   _____ downed telephone lines
   _____ inadequate feedback from field crews
   _____ unresolved grievances

4. A relief agency that switches the way it groups jobs from a geographical orientation to a sectoral orientation is:
   a) reshaping its policy objectives
   b) unitizing departments into sub-departments
   c) altering its basis for departmentalization
   d) developing a flatter organizational structure
   e) departmentalizing on the basis of function instead of process

5. Once changes have been implemented, it is important that they be:
   a) evaluated
   b) monitored
   c) enforced
   d) unitized
   e) standardized

6. The most usual pattern of change to expect after a new strategy has been implemented is:
   a) an immediate marked improvement in performance, followed by a more gradual increase
   b) an initial increase in performance, followed by a decrease, followed by an increase
   c) a steady increase in performance until a stable plateau is reached
   d) a gradual short-term decrease in performance, followed by an increase
   e) little if any change

7. One important factor to consider when timing the implementation of a strategy change is:
   a) time of year
   b) short-term commitment of staff
   c) external and internal forces
   d) dates of religious observance
   e) budget cycle

True/False

Indicate T or F:

_____ 8. Stable working relationships can sometimes be disturbed when an agency changes its structure of organization.

Answer Key

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Lesson 14 Criteria for Assessing a Program

Study Guide Overview

This lesson discusses general criteria that can be applied to determine the overall benefit of a relief program.

Learning Objectives

• Explain the meaning of long- versus short-term contributions of a particular program.
• Identify and explain some of the common problems encountered in relief program execution.
• Identify some of the factors necessary in order to properly assess the success or failure of a program.

Learning Activities

• Read Chapter 14 in the text

Evaluation

Complete the self-assessment test
Lesson 14 Self-Assessment Test

Multiple Choice
Circle the correct answer(s):

1. An agency that continues to provide relief during the reconstruction period:
   a) hampers reconstruction efforts
   b) speeds the recovery process
   c) serves as a safety net in case of secondary disaster effects
   d) must step up its funding drives
   e) should be careful to concentrate on the product, not the process

2. Important factors that must be considered before implementing developmental programs are (choose the best answer):
   a) the number of people already helped and commitment of agency staff
   b) the physical vulnerability and socio-economic conditions of the community prior to the disaster
   c) continued level of support from national and international funding sources and local financial institutions
   d) community response to short-term programs and predicted response to long-term programs

3. The success of relief efforts in a community should be measured by:
   a) quantifiable measures of aid given and individuals helped
   b) fulfillment of short-term objectives
   c) a return to normal socio-economic patterns
   d) a broad-based assessment of impact on the community
   e) the length of time between the emergency and full recovery

4. All of the following are examples of developmental contributions except:
   a) feeding, clothing, and medical treatment of disaster victims
   b) supporting and strengthening of local institutions
   c) training programs for local people
   d) stimulation of local economic markets
   e) projects to prevent the recurrence of a disaster

True/False
Indicate T or F:

5. A relief program should be assessed in terms of the extent to which it returns the community to pre-disaster levels of service.

6. Both short- and long-term contributions made by a relief agency should support local coping institutions.

Answer Key

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Lesson 15 Project Completion and Transfer

Study Guide Overview

This lesson discusses a phase of the project cycle that is often not considered until the project is at its end. This phase is project completion and transfer, and it should be considered in the early planning stages of a project.

Learning Objectives

• List the three steps involved in developing a completion plan.
• Review the "common problems" section and become aware of plans to avoid these shortfalls.
• List the six factors that should be included in the transfer procedure.
• Understand the implications of project completion and transfer to the local community and to the project personnel.

Learning Activities

• Read Chapter 15 in the text.

Evaluation

Complete the self-assessment test.
Lesson 15 Self-Assessment Test

Multiple Choice
Circle the correct answer(s):

1. The necessary steps for completion and transfer of a project should be considered:
   a) at the beginning of the budget cycle
   b) after a project's short-term goals have been reached
   c) during the planning stage of the project
   d) during the transition phase of a project
   e) at the end of a project

2. Select two factors that must be established in order to prepare a completion schedule with terms of completion.
   a) termination of "unsuccessful" projects
   b) a plan to train persons who will be continuing the project
   c) financial aspects of the project
   d) notification to involved outsiders of a change of control
   e) dates resources will be phased in and out of the project

3. The three key entities involved in project completion and transfer are: (select three)
   a) local banks
   b) project manager
   c) loan facilities
   d) military
   e) police
   f) funding authority
   g) organization taking over the completed projects
   h) victims
   i) program coordinators
   j) public health specialist

4. Factors to be included in the transfer procedure include all of the following except:
   a) appointment of a management team to take over the project
   b) preparation of an outline scheme with budgetary estimates
   c) contracting with suppliers to ensure continued flow of necessary resources
   d) obtaining necessary licenses and ordering special equipment or staff training
   e) discharge of local relief workers and personnel brought into the project from outside the agency

5. Formal closeout of loans and grants can be delayed if: (choose the best answer)
   a) the amount of money to be retained by the funding agency is not specified
   b) the local market economy has not adequately recovered
   c) project completion reports are not prepared and submitted
   d) local leaders and government officials are not willing to take charge of the project
   e) loan facilities, banks, and insurance organizations impose heavy interest rates

True/False
Indicate T or F:

_____ 6. To avoid social disruption, information about anticipated completion schedules should be withheld from the community until after all contracts have been finalized.

_____ 7. It is the responsibility of the project manager to inform personnel of their options at the completion and transfer stage.

Answer Key

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<td></td>
</tr>
</tbody>
</table>
## Table of Contents

### List of Figures

- Figure 1-1  Major Aspects of Natural Disaster Management
- Figure 1-2  Major Aspects of Refugee Management
- Figure 2-1  Example of Time Series Analysis
- Figure 2-2  Example of Time Series Analysis
- Figure 2-3  Comparative Model for Predicting Emergency Medical Needs after an Earthquake
- Figure 5-1  Gantt Chart for a Housing Reconstruction Project
- Figure 5-2  Precedence Diagram/Housing Education Program using DART
- Figure 5-3  Evolution of a Bar Chart to Network Diagrams
- Figure 5-4  Two Events and One Activity
- Figure 5-5  PERT Network
- Figure 7-1  Managerial Grid
- Figure 7-2  Vroom/Yetton Decision Tree
- Figure 8-1  Hierarchy of Human Needs
- Figure 8-2  Human Motivation Process
- Figure 11-1  Some Samples of Rating Scale Formats
- Figure 11-2  Typical Graphic Rating Scale
- Figure 12-1  Organization Based on Sectoral Departmentalization
- Figure 12-2  Organization Based on Situational Departmentalization
- Figure 12-3  Organization Based on Geographical Divisions
- Figure 12-4  Organization Based on Functional Specialization
- Figure 12-5  Organization Based on Process Specialization
- Figure 12-6  Formation of Matrix Organization
- Figure 12-7  Narrow Span of Control
- Figure 12-8  Wide Span of Control
- Figure 12-9  Line and Staff Functions
- Figure 13-1  Model for Managing Change Within an Organization

### List of Tables

- Table 1-A  Illustrative Titles/Vertical Specialization
- Table 1-B  Changing Values in Relief Agencies
- Table 2-A  A Hypothetical Variable Budget for Shelter in a Refugee Camp
- Table 2-B  Key Managerial Planning Issues, and Appendix 2-A
- Table 5-A  Control Types and Techniques

### Acknowledgements

### Introduction

### Chapters 1-15

- Chapter 1  Introduction
- Chapter 2  Program Planning
- Chapter 3  Decision Making
- Chapter 4  Information Management
- Chapter 5  Program Supervision, Monitoring and Control
- Chapter 6  Personnel & Personnel Management
- Chapter 7  Leadership
- Chapter 8  Motivation
- Chapter 9  Group Dynamics in Disasters
- Chapter 10  Managing Work Groups
- Chapter 11  Personnel Evaluation
- Chapter 12  Structuring Organizations
- Chapter 13  Organizational Development
- Chapter 14  Criteria for Assessing a Program
- Chapter 15  Project Completion and Transfer
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Many individuals and organizations contributed to the realization of this self-study course. At the U.S. Office of Foreign Disaster Assistance, the foresight and collaboration of Frederick Cole, Gudren Huden, Denise Decker and Fred Cole have been invaluable. Thoughtful review by W. Nick Carter, William Nitzke and Katherine Parker helped smooth out the rough edges. From INTERTECT, the guidance of Frederick Cuny and assistance of Paul Thompson brought a cohesive text out of many disparate ideas, with added help from Jean Parker and Deborah George. At the University of Wisconsin, Linda Hook, Darrell Petska, Susan Kummer, Janice Czyscon, Val Parish and Laura Jahnke must be thanked for their efforts in editing, design and production.

The model for this Disaster Management Center course is the text, Fundamental of Management: Functions, Behavior, Models, written by James H. Donnelly, Jr., James L. Gibson, and John M. Ivancevich. To a considerable extent this course utilized the organization, topics and many references of the textbook. Substantial modification, however, was necessary to provide the focus on disaster management with examples of disaster situations and orienting the materials to the types of organizations that work in the disaster management field. The authors of this text wish to express their gratitude to the publishers of the book, Business Publications, Inc. of Plano, Texas, for permitting the use of their material.

Introduction
Disaster management as an identifiable profession is relatively new. The tasks of a disaster manager, however, have been around for a long time. They have typically been thought of as disaster relief assistance, or of specific ad hoc activities during and after a disaster emergency. Many people have been disaster managers without thinking of themselves in that term.

There has been a growing awareness in recent years that all of these activities, in fact, comprise the process of disaster management. By understanding this as an identifiable role, we can describe a coherent and cohesive direction for people who are involved in the field of disasters. This, of course, includes the spectrum of activities from administration to project implementation; from disaster prevention to disaster mitigation to disaster preparedness to disaster response.

Disaster management is not necessarily a full-time activity. Indeed, for most people in the field, their concerns for disaster issues form only a part of their total responsibilities. Similarly, this course is not designed for only full-time professional disaster managers. Rather it is intended to be useful even for individuals who expect to be active only during some aspect of disaster related operations.

One of the ideal objectives of this course and of the Disaster Management Center (DMC) is for disaster managers eventually to work themselves out of their job. The ultimate success of disaster management would be the elimination of the underlying causes of disasters which would contribute to disaster prevention. Obviously, total prevention will not be feasible, but minimizing the people's vulnerability to disaster and responding to emergencies in positive ways will make an enormous impact on the current deadly state of disaster events.

To move towards those idealized objectives will require more from disaster managers than an understanding of the scope of their job. It will also require development of several skills and technologies. This course is viewed by the Disaster Management Center as being one component of a training program that will contribute towards those skills and technologies.
Chapter 1
Introduction

Why Study Management?
Management science is an important field of study for disaster managers. The management of natural disasters, refugee operations, or assistance to displaced persons is delivered by specialized programs operating in complex and often confused environments. The organizations that have been set up to deal with emergencies are themselves often highly specialized. These institutions are guided and directed by the decisions of one or more individuals who are designated "managers." It is these people who allocate scarce resources to alternative and competing demands. They establish the mechanisms for providing relief and aid in the aftermath of a disaster, and often determine the parameters of jobs, incomes, services and care.

Modern disaster management goes beyond post-disaster assistance; it includes pre-disaster planning and preparedness activities, organizational planning, training, information management, public relations, and many other fields. Crisis management is important but is, in reality, only a part of the overall responsibility of the disaster manager.

Importance of Management in Disasters
Disasters are among the most unique and urgent situations that humans are called upon to manage. Events and information are confusing, and managers within the relief system are constantly faced with a need to make quick decisions.

Management science offers the person in command a framework for making decisions and bringing these events under control. Delivery of relief and reconstruction aid can be improved substantially by detailed program planning and thorough, sound program management. A manager who applies to the situation both modern management principles and an understanding of disaster events can provide a well-balanced program for a disaster's survivors.

The events of a disaster move rapidly and can be extremely traumatic for those who are unprepared. Disaster managers often do not get a second chance. If a decision is wrong, the manager and the victims must live with it. Therefore, it is extremely important that disaster managers thoroughly understand their role and responsibilities and be familiar with the tools of management.

What is Management?
Management consists of decision-making activities undertaken by one or more individuals to direct and coordinate the activities of other people in order to achieve results which could not be accomplished by any one person acting alone.

Effective management focuses on group effort, various forms of coordination, and the manner of making decisions. Management is required whenever two or more persons combine their efforts and resources to accomplish a goal which neither can accomplish by acting alone. Coordination is necessary when the actions of group participants constitute parts of a total task. If one person acts alone to accomplish a task, no coordination may be required; but when that person delegates a part of the task to others, the individual efforts must be coordinated.
Figure 1.1 Major Aspects of Natural Disaster Management
Figure 1.2 Major Aspects of Refugee Management
The Management System in Disaster Practice

The principles of disaster management apply in both routine and crisis situations. Routine management relates to those activities that occur during non-crisis periods, such as disaster mitigation and disaster reconstruction. Crisis management applies to emergency operations and covers both the preparedness phase and the immediate post-disaster periods. (The various aspects of disaster management can be illustrated as shown in Figures 1-1 and 1-2.)

To neutralize the confusion of the emergency period, disaster management places heavy emphasis on advance planning. Advance planning activities, collectively called disaster preparedness, include strategic planning, contingency planning and forward planning.

**Strategic Planning:**
Strategic planning consists of preparing the organization to respond to disaster threats in locations that are not specified and not immediately threatened.

**Contingency Planning:**
Contingency planning is site-specific and recognizes that a disaster could occur at any time.

**Forward Planning:**
Forward planning occurs when a disaster is imminent and some details regarding the threat are known to the crisis manager.

A variety of different management systems have evolved to respond to different types of disasters, and no particular standard is used throughout the relief system. Until recently, most agencies utilized management models borrowed from military and/or business organizational models. These models usually consist of a pyramidal hierarchy of upper-level management, middle managers and field managers. As a general rule, upper and middle managers are concerned with managing the organization and facilitating operations in the field. The field manager is responsible for the development of programs that provide assistance directly to the people living in the disaster area.

In recent years, newer management models that allow greater sharing of decision making with disaster victims and give more rapid and responsive action have been developed and applied to disaster management.

In this course we shall examine each of these models and the management tools that are needed by all managers. Emphasis will be placed on providing guidance for field managers rather than for upper-level managers.

**Overview of a Disaster Manager's Tasks**

Disaster management can be defined as the effective organization, direction and utilization of available counter-disaster resources. The role of an emergency manager can be divided into three parts: managing operations, managing people, and managing organizations.

**Managing Operations:**
Managing operations involves decision making, information management, problem-solving, project and program planning, resource management, and monitoring.
Managing People:  
Managing people includes leadership, organization, personnel management, and personnel evaluation.

Managing Organizations:  
Managing organizations refers to planning, control and direction, organizational development, quality/performance control, physical control, resource management, communications and evaluation.

A Framework for the Study of Management  

Our classification of a manager's role and tasks provides a useful framework for the study of disaster management. These three tasks serve as focal points for the major sections of this course. Chapters 2-5 concentrate on concepts and tools which are useful in planning and controlling programs and projects. These chapters contain discussions of managerial decision making, information systems, and the planning and controlling of routine and non-routine operational decisions.

Chapters 6-11 focus on personnel management and the skills managers need to lead and motivate their subordinates.

Chapters 12-14 describe the management of organizations and are devoted to various facets of organizational planning, organizing (or structuring), and controlling.

These are the core functions that managers must perform if they are to be effective.

The Management System

As an organization increases in size and complexity, its management adapts by becoming more specialized. In a relief agency, we may find top management (located at a central headquarters), middle management (represented by regional coordinators), field management (represented by field directors or managers at the local level), and various specialized managers handling personnel management, operations management, logistics, and financial management.

In the "one manager-many subordinates" type of organization, the manager coordinates the work of subordinates. When the roles or activities of the organization expand, the manager is confronted with certain activities, such as distribution of relief supplies or the task of supervising subordinates, to another person while continuing to be concerned with organizational tasks. Whatever the decision, the managerial process is now shared, specialized, and more complex.

Vertical Specialization

Vertical specialization is the creation of a chain of command and accountability. The chain of command is termed hierarchy because it results in a structured system of authority, with managers located at each point in a vertical chain. In this hierarchy it is possible to distinguish between field, middle, and top management.

Field-level managers:  Field-level managers coordinate the work activity of others who are not managers. Subordinates may be field workers, volunteers, disaster victims working for the
agency, clerks or consultants, depending upon the particular tasks that the sub-unit must perform. Field-level managers coordinate the basic work of the organization according to established plans and procedures. They are in daily or near-daily contact with their subordinates. They are ordinarily assigned to the task of field-level manager because of their ability to work with people—not only with their own subordinates but also with other field managers. The effectiveness of their efforts will depend as much, if not more, upon their human relations as upon their technical skills.\(^1\)

**Middle managers:**
Middle managers coordinate the activity of other managers; yet, like field-level managers, they are subject to the coordinative efforts of a superior. Middle managers coordinate the activity of a sub-unit of the organization.

**Top management:**
Top management coordinates the activity of the entire organization. They work through the middle managers. Unlike other managers, the top manager is accountable to no other manager, but instead to the suppliers of the resources utilized by the organization (i.e., the donors). In non-governmental agencies, top management reports to a board of directors, which generally represents its major donors. In governmental agencies, top management must answer to the chief executive or to an oversight committee of the parliamentary body of government.

Virtually every major relief organization uses a variation of this hierarchy. What differentiates the organizations is the amount of decision-making authority granted at each level. In some organizations, all major decisions are made at the top level. Senior staff are normally found only at the headquarters, while junior staff serve as field-level managers. (This model is usually referred to as a "pyramidal" hierarchy.) In other organizations, the field-level managers are senior staff and all program decisions are left to the field while financial and other organizational decisions are shared with top management. Middle-level managers serve as resource coordinators and facilitators.

As a general rule, the latter organization is usually more effective in an emergency.

The terms used to identify managers at the various hierarchical levels differ from organization to organization. In Table 1-A we can compare the terms typically used in a private relief agency, an intergovernmental organization and a governmental agency.

In summary, the vertical aspect of management can be defined as the process by which the right to act and to use resources is delegated to subordinates. In other words, managers can be described in terms of the extent and limits of their responsibilities and authority.

The delegation of authority also determines differences in the relationships among managers at the same level; that is, horizontal specialization.
## Illustrative Titles That Show Vertical Specialization In Three Types Of Agencies

<table>
<thead>
<tr>
<th>Top</th>
<th>Voluntary Agencies</th>
<th>Intergovernmental Agencies</th>
<th>Government Agencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive Director</td>
<td></td>
<td>Director</td>
<td>Secretary or Commissioner</td>
</tr>
<tr>
<td>Middle</td>
<td>Regional Director</td>
<td>Unit Director</td>
<td>Division Director</td>
</tr>
<tr>
<td>Field</td>
<td>Field Director</td>
<td>Representative</td>
<td>Program Manager</td>
</tr>
</tbody>
</table>

*In a non-pyramidal organization, the middle-level manager's title normally indicates a "supportive" rather than "directive" role, e.g., Regional Coordinator versus Regional Director.

(Table 1-A)

### Horizontal Specialization

The completion of a task requires the completion of a sequence of interrelated activities. Middle managers are ordinarily responsible for the completion of major sub-tasks. As the sequence of activities is identified and as responsibility for completing each is assigned, the managerial process becomes horizontally specialized. Each manager is at the same level in the hierarchy, but each is responsible for completing a different part of the total task. Middle managers must integrate their own tasks and objectives with other middle managers.

Similarly, field-level management is usually responsible for managing sub-groups that are specialized horizontally. For example, a field director responsible for a reconstruction project may in turn have to rely on certain specialists on his/her staff to obtain the necessary resources and provide them for the project. Each of these staff members may manage parts of the project (e.g., logistics), yet within the organization they would be of equal "rank." Successful completion of the tasks assigned to subordinates results in successful completion of the project.

### Managerial and Organizational Constraints

All managers operate under a series of constraints imposed by the organization or agency and by the management environment.
Managers as individuals must respond to organizational objectives in carrying out their duties. Managers are not only responsible for implementing projects swiftly and competently but also must do so within the context of the organization's long-range goals and objectives.

The organization itself operates within a complex legal, social, economic and political environment, and disaster managers find themselves accountable to donors, government administrators, disaster victims, the general public and others as well as to their own organization. Organizations exist in a society which not only has expectations from them but also places constraints on what objectives they can seek. Thus while organizational objectives influence the manager, the larger environment may dictate these objectives.

Managers themselves have personal characteristics that help determine the way they perform. They have abilities, skills, traits, interests, needs, and aspirations which have been shaped and formed by their experiences. These characteristics influence the manner in which managers interpret and act on demands dictated by the objectives of the organization. The uniqueness of each managerial personality accounts for much of the variation in the way managerial activities are carried out. At the same time, the more general nature of organizational objectives accounts for the continuity and similarity in managerial activity within each institution or agency.

Managerial activities are also affected by certain characteristics of the immediate work environment such as the nature of subordinates' tasks and the technology available to accomplish those tasks. For example, the managerial activities required to plan, organize, and control routine tasks with simple technology may be different from those required for a non-routine task using complex technology. Other work-related factors include the amount of authority delegated to managers and the qualities of the interpersonal relationships between managers and their subordinates.

In addition to work-related influences, non-work related factors affect managerial activities. Managers belong to various friendship and interest groups whose influence may be reflected in a manager's work. For example, group pressure can cause managers to emphasize technical activities at the expense of human relations activities, or vice versa. (So can background, education and the tools at hand.)

The performance of managers influences the work of their subordinates. The objectives are to stimulate a coordinated effort and achieve a high performance. Yet the manager is only one influencing factor. Subordinates bring to the job their own unique sets of personal characteristics including abilities, interests and traits, and they also belong to groups which exert non-work-related influence. The outcome of these multiple and often conflicting factors is performance which itself becomes an influence on organizational goals and on managers as individuals.

**Managerial Environments**

The managerial environment for disaster managers is filled with uncertainties.

*Turbulent Environment* :
A turbulent environment changes frequently. After a disaster, changes may occur in political, legal and economic sectors that create confusion. This confusion often results in less-than-reliable information reaching decision makers. It is difficult for managers to assess where relief supplies are needed and what the priorities are as the situation changes.
Hostile Environment:
A hostile environment is one that contains risk. Relief agencies often operate in areas where there is political instability or restraint. A hostile environment exists if relief is restricted for political reasons.

Diverse Environment:
A diverse environment exists if the organization's various service areas have differing needs. For example, an agency operating in both urban and rural areas will probably have to cope with different victim needs and preferences. The differences may require different delivery models and types of assistance.

A diverse environment also exists when an agency offers services in several different sectors such as housing, health, etc. Large private relief agencies (such as CARE and most governmental agencies) provide food, shelter, medical services and social services. Each of these requires different technology, materials and information. The legal and political constraints on each of the services are also different.

Technically Complex Environment: A technically complex environment exists if sophisticated information is needed to make important decisions. As a general rule housing, agriculture and public health sectors operate in technically complex environments. Long-range planning, systematic informationsystems and technical personnel are required in order to operate in these sectors.

Changing Values

It is common today to hear relief experts calling for more "accountability" or "social responsibility" on the part of every type of relief or development organization. These demands for more social awareness and responsibility from the relief agencies are an attempt to make the institutions more responsive to human needs. Disaster managers will increasingly be called upon to react to these demands. Some expected changes in the values of relief organizations in the foreseeable future are depicted in Table 1-B. The table reflects evolving "people-oriented" values.

The increasing demands on relief organizations for improved performance and greater social responsibility to disaster victims are resulting in a serious rethinking of the fundamental values and approaches of these organizations. Some executives have responded: "How can society question us? We are operating for humanitarian reasons under difficult circumstances." The root of the conflict lies in two differing approaches to relief-the traditional or "logistics" approach and the "development" approach.

The traditional approach has one clear-cut purpose: to provide immediate humanitarian aid (usually materials and medical services) as quickly as possible after the onset of the disaster. As noted previously, this approach has been attacked as being shortsighted and often counter-productive.

The competing view is the "development" approach which assumes limitless social responsibility. In this approach, managers accept accountability to many different segments of society, and disaster programs have comprehensive aims far removed from the strict, limited objectives of the relief programs.
Obviously, the above descriptions represent two opposite extremes. The disaster manager must find a way to meet immediate needs and at the same time lay the groundwork for development-oriented activities. A major task of disaster managers and the agencies that they lead is to find a position which will take into account victims’ needs and expectations and at the same time meet the organization’s responsibilities to the donors.

### Changing Values in Relief Agencies

<table>
<thead>
<tr>
<th>Less Desirable</th>
<th>More Desirable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance measured only by economic standards</td>
<td>Application of both an economic and a social measure of performance</td>
</tr>
<tr>
<td>Emphasis on quantity of relief</td>
<td>Emphasis on quantity and quality</td>
</tr>
<tr>
<td>Pyramidal management</td>
<td>Participatory management</td>
</tr>
<tr>
<td>Short-term relief programs</td>
<td>Long-range comprehensive pre- and post-disaster programs linked to development goals</td>
</tr>
<tr>
<td>Centralized decision making</td>
<td>Decentralized and small-group decision making</td>
</tr>
<tr>
<td>Agency viewed as a single relief system</td>
<td>Agency viewed as a system within a larger &quot;development&quot; system</td>
</tr>
<tr>
<td>Agency focus on short-term impact of relief</td>
<td>Increasing awareness of long-term impact of relief program on development potential</td>
</tr>
</tbody>
</table>

(Table 1-B)

### Notes

Chapter 2
Program Planning

The delivery of all forms of disaster assistance can be improved through detailed program planning and sound program management. Program planning is the more important, for if all aspects of the program are thoroughly considered, if objectives are clearly defined and tasks are properly sequenced, many of the management problems that often develop can be avoided. Program planning is not difficult and does not take a lot of time. The following is a description of some of the key considerations and steps in program planning and management.

The planning function includes all managerial activities which determine the program's objectives and the appropriate means to achieve these objectives. In order to analyze the planning function in more specific terms, the function can be broken down into six interrelated steps:

Step 1    Determining how and where the agency can provide assistance.
Step 2    Stating and implementing policies which direct activities toward the desired objectives.
Step 3    Establishing goals and objectives and putting them in order according to priority.
Step 4    Quantifying objectives
Step 5    Determining strategies and approaches for implementation
Step 6    Making the plans operational through budgeting and resource allocation.

Each step must be undertaken and related to the other steps in order to complete the planning function. The end result is an overall plan which guides the organization toward predetermined objectives.

In this chapter we shall examine the basic terminology and concepts of planning as well as some basic techniques used in planning.

Determining How and Where to Intervene

The first step in intervention is deciding how and where the agency can be most helpful. One of the first activities following a disaster is disaster assessment. There are three types of assessment: damage assessment, needs assessment and situation assessment. For most relief and reconstruction programs, needs assessment is the more critical during the emergency phase of an operation. Needs can best be determined by visiting representative areas and talking to selected groups in the affected communities. Emergency needs are usually obvious; long-term needs may be more difficult to ascertain. Furthermore, needs change from day to day. What is important is identifying the needs at the times they must be met.
Once the basic needs have been identified, they should be quantified. Agencies should be careful not to become too involved in surveying but should attempt to estimate percentages of families requiring different types of assistance.

"A count needs to be taken of the reserves of food, medicine, clothing and building materials existing within the community, and of the capacity of the victims to help themselves and each other. Rarely will everyone in the area be stricken, and of those who are, not all will take advantage of the relief offered."

The next step is to determine what gaps exist in the overall delivery of assistance. Agencies should remember that usually other relief organizations will provide aid, and their plans should be taken into account before the agency decides which activities it will undertake in any particular area. (One way to ensure that activities do not overlap is to use a "Gap Identification Sheet" as shown in Appendix II-A).

**Initial Steps in Program Planning**

Once an agency has decided on a certain course of action, the next step is to define precisely what the program hopes to achieve, and to establish a framework for guiding the decisions that will be required in subsequent activities. To do this, an agency first sets its policies, then establishes goals and objectives, and finally selects the strategies and approaches by which to attain the objectives. The process sounds simple and, in fact, it is. Yet it is surprising how many agencies fail to utilize it and flounder because no one is sure precisely what the goals of the program are.

**Setting Policies**

Policies are used to shape the response. They provide a framework or standard by which choices are evaluated. Setting policy is one of the easiest of all the program planning steps. Unfortunately it is the one that is the most often neglected and is often made more difficult by limited mandates of the organization or by prior constraints set by donors. Ideally, an agency that frequently responds to disasters sets flexible policies as part of its preparedness activities; when a disaster occurs, those involved in the initial program have a general guide for structuring their decision making.

The following policies were set by the Catholic Relief Services staff in the Dominican Republic to guide the CRS housing reconstruction program following Hurricanes David and Frederick in 1979. They demonstrate how simple a policy framework can be:

- To support and expand local actions or groups;
- To conduct all activities in such a way as to meet development goals;
- To maximize all expenditure through recapture of funds, extension of buying power, multiple objective planning;
- To give priority to people who are not eligible for any other form of assistance;
- To rely on appropriate technology;
To spend majority of funds within the project areas;

To give priority to (a particular) area or sector

Once having formulated its policy framework, every time an organization subsequently needs to make important choices, it can first review them against the policies it has set to determine whether or not the choices "fit."

Policy making ensures that action is objective oriented. Policies determine how the objectives are to be achieved (the strategies). Managerial control includes specification of action before the fact, and policies serve this end.

Effective policies must be:

1. Flexible. A policy must strike a reasonable balance between stability and flexibility. Conditions change and policies must change to meet them. On the other hand, some degree of stability must prevail if order and a sense of direction are to be achieved.

2. Comprehensive. A policy must cover any contingency. The degree of comprehensiveness depends upon the scope of action encompassed by the policy itself. If the policy is directed toward very narrow ranges of activity—for example, hiring policies—it need not be as comprehensive as a policy concerned with broader issues.

3. Coordinative. A policy must provide for the coordination of the various sub-units of the organization whose actions are interrelated. Without coordinative direction provided by policies, each sub-unit is tempted to pursue its own objectives. The ultimate test of any sub-unit's activity should be its relationship to the policy statement.

4. Clear. A policy must be stated clearly and logically. It must specify the intended aim of the action which it governs, define the appropriate methods and action, and establish the limits of freedom of action permitted to decision makers and subordinates.

Setting Objectives

Managers must consider three aspects of objectives: the priority of each objective; its timing; and its delegation to the appropriate person or department in the organization.

Priority of Objectives

In program planning, the accomplishment of certain objectives may be relatively more important than others. Therefore, the establishment of priorities is extremely important so that the resources of the organization can be allocated rationally. Managers are constantly confronted with alternative objectives which must be evaluated and ranked. Of course, the determination of objectives and priorities is often a judgmental decision and, therefore, can be difficult.

Timing

An organization's activities are guided by different objectives depending upon the duration of the action and the point in time at which they are being carried out. In emergency operations, it is common to refer to actions as "short-term" (those that take place in the period immediately
before, during or after an emergency), "intermediate" (those that take place in the transitional or rehabilitation phase), and "long-term" (those that take place during the reconstruction or recovery period or long before a disaster). The relationship between priority and timing is quite close since the objectives tend to be stated in terms of "ultimates," that is, those objectives which must be accomplished in order to ensure the continuity of a program in each successive time phase.

**Delegating Objectives**

Because agencies are organized into department according to function—e.g., procurement, operations, finance—or by area, it is important that objectives be assigned to the appropriate person or department in the agency to be carried out.

The delegation of objectives should be reviewed for conflicts and problems of coordination, because in certain cases achieving the objectives in one department may make it difficult to achieve objectives in another. For example, a procurement objective of lowering procurement costs by mass purchase of low-cost, short-life materials may conflict with an operational objective of providing high-quality, durable materials. This problem can be resolved by a careful review of objectives and the balancing of objectives through group consensus (with the understanding that the objectives of neither unit can be maximized).

**Conflicts In Objective Setting**

Many diverse groups have interests in the operation of relief agencies that are potentially in conflict. At any point, disaster victims, the agency's staff, donors, suppliers and governmental oversight groups are all concerned with the operation of an agency. During the process of setting objectives, the relative importance of these interest groups must be recognized, and the plans must incorporate and integrate their interests.

Some of the most common planning trade-offs faced by managers in relief organizations are the following:

1. Short-term versus long-term programs.
2. "Relief" versus "development" programs.
3. Service to present areas versus expanding to new areas.

**Measurement of Objectives**

Objectives must be stated in terms that are understandable and measurable to those who must achieve them. In fact, there is evidence which clearly indicates that specific, measurable objectives increase both staff and organizational performance and that difficult objectives, if accepted by employees, result in better performance than easier objectives.

The real difficulty lies in determining what should be measured in each area, and how it should be measured. The more abstract the objective, the more difficult it is to measure performance.

An obvious side effect of the necessity for measurable objectives is the tendency in some organizations to focus attention on the measurement and away from the true substance of the
objective. A relief agency which measures accomplishment in terms of numbers of persons receiving aid, instead of quality of supplies delivered and the benefit provided, exemplifies over concern for the measurement process instead of what is being measured.

Quantifying Objectives

The fourth step in program planning is the quantification of objectives. The purpose is to determine how much assistance is to be provided and how many beneficiaries there will be. (It is at this point that the quantification's provided by the different parts of the disaster assessment are helpful.)

Some examples from the Catholic Relief Services program in the Dominican Republic were:

- To reach 25 percent of the low-income people within the project area (1,500 families);
- To provide 1000 loans, 5000 subsidies, 1000 grants in the project area;
- To double the margin of safety in the housing rebuilt by the program.

The quantification of objectives is not a difficult process, but establishing realistic numbers requires much forethought and discussion. It is at this point that the agency must balance its desire to help against a realistic assessment of its own capabilities.

Determining Strategies and Approaches

Determination of strategies and approaches is the fifth step in conceptualizing a relief or reconstruction program. A strategy is the plan for attaining a goal, while an approach is the method used. The following example should clarify the differences. To provide replacement housing after a disaster, some strategies open to an agency are:

1. To provide indirect assistance by stimulating the housing industry;
2. To provide direct assistance by giving loans and grants;
3. To provide direct assistance by establishing a construction program.

Assuming that the strategy chosen by an agency is to establish a housing program, some approaches that might be available include:

1. To provide the needed construction materials and tools;
2. To provide materials and technical assistance in an "aided" self-help construction program;
3. To establish a construction team and build the frames and roofs of houses, but leave the remainder of the construction and finishing details to the homeowner;
4. To establish a construction team and build complete replacement houses for a designated number of people in the project area.
The selection of one strategy or approach should not preclude the adoption of others if the resources of the agency allow. It is especially important that approaches be balanced and complementary.

**Setting Up the Program**

Once an organization has defined its program, the process of putting it into operation begins. This means finding funds, allocating resources, developing program management, and monitoring the projects.

**Budgeting and Resource Allocation**

The allocation of resources, especially money, is one of the most difficult choices that an agency will face. It involves a continuing process of estimating financial and other resource needs, obtaining the money and materials, then adjusting the budget based on the resources received. There are some general concepts that are helpful in stretching funds:

1. **Linking to other programs:** This is the simplest and most effective way to expand the capabilities of an organization. The methods usually considered are cost-sharing, pooling of resources, or contributing matching funds.

2. **Recoverable funding:** In recoverable funding, all or a portion of the funds distributed are returned to the program (usually for reinvestment). The most common examples are revolving loans and sales or subsidy schemes. Recoverable funding increases the number of people who can be served and extends the "service" of the cash originally allocated.

3. **Maximization of buying power:** This refers to the practice of selectively spending money so that the financial power of either the programs or the beneficiaries is extended. For example, if loans are determined to be a viable option, an agency can use its money to guarantee loans from usual financial institutions to clients who normally would not be eligible, instead of using its own resources to make the loans. In this manner an amount of $100,000 could be used to guarantee up to $1,000,000 or more in loans, thus increasing tenfold the buying power of the money the agency has on hand. At the individual level, an example of maximizing expenditure is the use of coupons or redeemable certificates (such as food stamps) to increase the buying power of the people. In this way, the resources of the agency can be "piggy-backed" with the resources of the victims.

4. **Multiple objective planning:** In this approach, expenditures are targeted so that more than one objective is realized with each disbursement. This can be accomplished by injecting money into the community in such a way that most of it will stay in the community or at least pass through several hands before leaving. An example: a work project is established to repair a road damaged by the disaster. People are paid in cash and by coupons redeemable in local markets only; the workers spend the money and thereby help stimulate recovery of the local economy, which in turn provides a market for goods from the farmers affected by the disaster. In this manner, the following objectives are reached: a road is repaired, capital is provided to the victims, the victims’ building power is extended, the market is stimulated, an economic unit (the market) is assisted, and finally, the farmers (victims themselves) are assisted. The number of contacts handling the money: three.
Methods for Balancing a Program

The following are methods for balancing a program:

1. Concentration of resources: To have the maximum effect on a community, a program should concentrate its resources in a specific geographic area. The size of the area should be such that funding activities are complementary and expenditures in one sector can have an effect on other sectors in the same community. For example, if an agency is funding a housing program in one community and an agricultural recovery program in another, the result will be less effective than if they were in the same community, and the overall cost will be higher.

2. Balance between family and community assistance: Most international relief agencies, especially the Volags, tend to respond to disasters with programs to assist families. Community assistance is commonly left to the government and its donors. In certain situations, it may seem difficult for an agency to coordinate its activities so that both families and communities receive assistance concurrently and a degree of balance is attained. Yet full recovery is not complete until all sectors are restored to normal, and the government's resources are often very limited. For this reason, it may be necessary to provide assistance to community projects as well as to families, especially following large disasters in remote rural areas where governmental assistance is likely to come slowly, if at all. As a rule, agencies should allocate one-fourth to one-third of the project funds for labor-intensive community projects in these situations.

3. Balanced financial assistance: Before deciding how to provide financial assistance to families, the financial capabilities of the average family to be served should be considered. Rather than provide all assistance free, it may be possible to sell some items at full or greatly reduced prices. Some victims of a disaster can qualify for loans rather than grants. It should be remembered that grants or donations are non-recoverable and an assistance program will soon be out of business if this course is followed. Therefore, an agency should develop a balanced portfolio of financial assistance prior to initiating operations. The proper ratio of loans to grants is approximately 80:20. For Integrated Recovery Programs*, a suggested balance is 40 percent subsidies, 30 percent loans, 20 percent community assistance projects, and 10 percent grants.

Estimating Needs and Resources

The first step in resource allocation is estimating both needs and resources. The two basic issues that must be resolved are: (1) what types and levels of needs will be encountered during the planning period and (2) what level of resources will be available to meet the needs. This process is called forecasting and determines the level and timing of financial and material resources required to sustain operations.

Forecasting is the process of using past and current information to predict future events. There are four widely used methods, each of which requires its own type of data. These methods range in degree of sophistication from the hunches of experienced managers to specialized models.
**Hunches:**
Hunches are estimates of future events based upon past experience. The "hunch" approach is relatively cheap and usually effective if the person making the hunch has a thorough knowledge of the project area, practice in programming, and a background of working in similar projects.

**Surveys:**
Surveys are research efforts carried out by staff in the field to provide more data (usually to verify other forecasts). By means of statistical sampling techniques, the forecaster can often compile enough information to identify a range of needs.

**Time-Series:**
Time-series analysis is simply the analysis of the relationship between needs and time as shown in Figures 2-1 and 2-2. (The charts show points corresponding to the supplies requested for each day since the commencement of two relief operations).

The advantages and disadvantages to using time-series analysis can be seen by looking at the two basic types of disasters. In cataclysmic or rapid onset disasters such as earthquakes or hurricanes, emergency needs occur quickly, rise rapidly and then fall fairly steadily. For long-term, continuing disasters such as civil wars and droughts, needs may rise sporadically and continuously for long periods of time. In Figure 2-1, the question of needs during week 3 onward can be answered for the earthquake; Figure 2-2 illustrates that use of this technique cannot accurately forecast needs for a drought.

**Comparative Modeling:**
Comparative Modeling permits the forecaster to analyze the relationship between needs and a number of independent variables and to predict needs based on similar patterns of need from past disasters.

One method which can be used for modeling assistance needs following a rapid onset disaster begins with identification of the variables which are normally encountered in a particular type of disaster. Among the obvious variables are locale, season, setting (urban or rural), availability of local resources, and people’s preferences. For example, shelter demands will be greater and more immediate in a cold, wet climate than in a dry, mild climate.

Trends regarding needs and demands from previous operations are identified and charted on a time-series graph and compared with the demands and needs of the present operation (see figure 2-3.) By comparing present needs with the curve representing past experience, the manager can forecast future needs. The needs in the current operation are approximately 50 percent greater than the trend from past operations. Thus, a manager could reasonably predict that needs in three weeks would be approximately 50 percent greater than the needs for the same time period from previous disasters.

In order for an organization to operate, it must have the necessary resources. Accordingly, it is necessary to forecast the future availability of personnel, materials and capital. The techniques of forecasting resources are virtually the same as those employed to forecast operations—that is, hunches, surveys, time-series analysis, and modeling.
Figures 2-1 and 2-2

Two Examples of Time Series Analysis

Requests for Medical Supplies after an Earthquake

Requests for Oral Rehydration Solution during a Drought
**Forecasting Needs**

Forecasting needs in long-term, slow onset disasters such as droughts or refugee crises is a problem often faced by emergency managers. Situations where refugees are continuing to arrive and the conditions that are displacing them are not predicted to change in the immediate future demand that effective contingency planning, especially for food supplies, receive a high priority. Contingency planning consists of estimating the number of new arrivals and ordering and pre-positioning supplies. Because refugee situations are fluid, it is often difficult to estimate the number of people that may require help. Among the factors that must be considered are:

1. Enough supplies must be ordered to meet the needs of new arrivals without:
   a. over ordering;
   b. drawing on supplies for refugees already under care;
   c. overloading storage and transport capacity (thus resulting in spoilage and increased chance of pilferage).

2. Sufficient lead time must be factored into any purchases that require shipment from abroad, to allow for transit time.

3. Local purchases must be handled in such a way that they do not cause price increases or shortages for local people.

A formula that may be used for estimating the potential number of new arrivals is described below. This formula provides planners with:

- an estimate of how many people may be in need of assistance during a specified, limited period;
- a number that can be used to determine if the supplies they have on hand or in the pipeline could meet the needs of new arrivals;
- a number that will permit an agency to order the necessary supplies without over ordering or overloading the logistics system.

In most droughts and refugee situations, new arrivals appear over a period of time; i.e., after the initial influx, the percentage of new arrivals rarely doubles instantaneously. The new arrivals rarely come in a steady flow; rather they usually come in waves triggered by specific events. Thus, contingency plans must be constantly updated, and agencies should adopt a flexible basis for determining numbers rather than trying to guess the total and stockpiling for that number. The formula below should therefore be updated on a weekly basis throughout the emergency.

To determine the number of refugees for contingency planning, use the following formula:

\[
\text{Can} = R1 + (R2 \times T) + P(R2 \times T)
\]

Where:
- **Can** = contingency planning number
- **R1** = the number of persons now receiving assistance
- **R2** = the number of new arrivals in last week
- **P** = the percentage of the total that the new arrivals (last week) represent
T = the time in weeks needed to deliver supplies

Note: always round "can" to next 5,000 increment.

Example: Assume there are 10,000 refugees now and last week 1,000 more arrived. Also assume an 8-week lead time for shipping supplies:

Can = 10,000 + (1,000 x 8) + 10(8,000)
Can = 10,000 + 8,000 + 800
Can = 18,800
Can = 20,000 (rounded)
Budgeting

The next step in resource allocation is the development of budgets for each important element of the program. Money is the oil that keeps the relief machine running smoothly; thus simple, accurate systems that improve budgeting and cost control are crucial. Budgeting for post-disaster programs is usually a trial-and-error process, especially for Volags. Because Volags usually raise their relief money through appeals to the public or by submitting proposals to government or inter-governmental organizations, they rarely know precisely how much money they will have for the operation when they start out. This, coupled with the uncertainties that exist until the disaster assessment is completed, makes it difficult to prepare a budget.

The popular preconception is that budgets are overestimated in the early stages when financial resources are plentiful or that an agency expands its activities beyond the resources available. In practice, this is usually not the case. Some disasters attract an outpouring of aid, and if the major donor governments become involved, substantial resources will be available. More often, the problem is trying to allocate resources wisely or to establish programs that match the capabilities of an organization, rather than not having sufficient resources.

Many agencies tend to develop fixed, inflexible budgets early in a program. In agencies where rigid financial policies exist, a quickly prepared budget may inadvertently become an instrument that controls the program, rather than vice versa.

The most realistic way to overcome budgeting problems is for an agency to establish a policy on how and when it will commit its funds in each phase of the disaster. For example, some agencies place a significant portion (up to 75 percent) of all funds received from initial appeals into a contingency fund for use in longer-term programs during reconstruction. This allows the field staff to develop more realistic budgets in the later stages of recovery.

Whatever approach is used, a budget must be flexible and especially anticipate inflation of costs in the disaster area. If it is formulated during the initial stages of a disaster, a large portion of the total budget should be left in uncommitted contingency reserve so that the field staff can adapt to the changing situation and respond to unmet needs.

Many agencies experience difficulty with monetary control and have trouble accounting for funds. Usually this is because they do not use accounting systems that are adapted to a disaster situation. Good field accounting requires a simple system that is easy to use, easy to carry, and places the emphasis of trust on the user; and it requires training in how to use the system before disaster strikes. Field representatives, especially in the emergency, must have an accounting system that recognizes the need for flexibility and simplicity. Several agencies have recently begun to use simplified field-account books that have built-in impression pads, so that duplicate or triplicate records can be prepared and maintained. This innovation reflects the agencies' awareness that a disaster creates special accounting needs.

There is a close relationship between budgeting as a planning technique and budgeting as a control technique. In this section we are concerned only with the preparation of budgets prior to operations.

From this perspective, budgeting is a part of planning. However, with the passage of time and as the organization engages in its activities, the actual results are compared with the budgeted (planned) results. This analysis may lead to corrective action. Thus, budgeting can be viewed as a method for evaluating and coordinating the efforts of the organization.
**Budgeting Approaches**

The value of budgets as a planning tool depends on how flexible they are to changing conditions. The forecasted data are based upon certain assumptions about the future. If these assumptions prove wrong, the budgets are inadequate. (Unfortunately, contracting procedures of many major donor organizations do not take disaster conditions into consideration and continue to rely on fixed budgets.)

In disasters, a fixed budget is difficult to use because situations, especially in an emergency, change rapidly. Thus a more flexible type of budget is needed. This is particularly important in refugee emergency operations when neither the total number of refugees nor the length of the operation is known. Two ways to provide flexibility in budgeting are variable budgeting and moving budgeting.

*Variable Budgeting:*
Variable budgeting provides for the possibility that actual costs deviate from planned costs. It recognizes that certain costs are variable while others are fixed.

Table 2-A shows a variable budget which allows a relief agency to anticipate what the costs of sheltering refugees in a camp might be for different numbers of refugees. In this case, the cost of the land needed to situate the refugees is fixed, i.e., it is the same no matter how many people are placed on the site. The cost of shelters, however, is variable. The initial costs (for equipment, tools, etc.) are higher on a per-shelter basis but can be pro-rated for later shelters, thereby reducing the per-unit shelter cost.

*Moving Budgeting:*
Moving budgeting is the preparation of a budget for a fixed period, say, one year, with periodic updating at fixed intervals, say, one month. For example, a budget is prepared in December for the next year, January through December. At the end of January, the budget is revised and projected for the next 12 months, February through January. In this manner, the most recent information is included in the budgeting process. Premises and assumptions are constantly revised as management monitors the program.

Moving budgets have the advantage of systematic re-examination, but have the disadvantage of being time consuming to maintain.
### A Hypothetical Variable Budget for Shelter in a Refugee Camp

<table>
<thead>
<tr>
<th>Number of Refugee Families</th>
<th>1000</th>
<th>1200</th>
<th>1400</th>
<th>1600</th>
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</thead>
<tbody>
<tr>
<td>Fixed Costs (Land)</td>
<td>$10,000</td>
<td>$10,000</td>
<td>$10,000</td>
<td>$10,000</td>
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<tr>
<td>Variable Costs (Equipment, material, etc.)</td>
<td>$300,000</td>
<td>$330,000</td>
<td>$350,000</td>
<td>$360,000</td>
</tr>
<tr>
<td><strong>TOTAL COST</strong></td>
<td>$310,000</td>
<td>$340,000</td>
<td>$360,000</td>
<td>$370,000</td>
</tr>
</tbody>
</table>

This is a simplified version to illustrate the reduction of cost per family shelter as the number of refugees increases, based on variables such as prorated cost of tools and equipment, price reductions on bulk purchase of materials, etc.

Another variable is transportation. If advance planning can give a close estimate of the number of families to be sheltered during initial ordering of materials, only one shipment may be required and that cost can be prorated for the total shelters built. However, if initial estimates are far below the number of shelters required, additional orders of materials will necessitate additional shipping/transport costs.

This example shows cost per family shelter, beginning at $300 and reducing by increments of $25. At some point the cost will become relatively stable; for example, there is a point beyond which no reductions are available for bulk purchase of materials.

(Table 2-A)
Common Problems In Program Planning

An analysis of program planning in a number of recent relief operations reveals common errors.

1. Poor definition of the project: Not enough can be said about this topic. The vast majority of relief and reconstruction programs are conducted without the establishment of formal goals or objectives. Often there are vague statements such as "to help the victim" or "to reconstruct houses." Until the staff has defined where a project is going, it will be difficult to determine how to get there.

2. Failure to establish policies to shape program planning: Policies provide the framework within which the staff makes choices throughout the program planning process. Failure to establish policies early leaves a program without any guiding principles and with no firm basis upon which to make decisions.

3. Failure to involve the local people fully in the planning process.

4. Failure to examine the complete range of options: Too often, an agency selects the first approach to solving a particular problem that is proposed. Usually this is a matter of not taking enough time to explore the choices or not being familiar with the possible alternatives.

5. Selection of only one strategy or approach to problem-solving: Often an organization will "fixate" on a particular methodology and will develop a whole program around one standard approach. If anything goes wrong or if the approach meets with only limited success, the entire program may have to be restructured. Furthermore, the selection of only one approach does not easily accommodate variances within the affected area.

6. Failure to balance the program: A balanced program meets a variety of related needs. For example, a housing reconstruction program that provides training in improved construction techniques, job opportunities for local builders and craftsmen, employment opportunities so that local people can gain the funds necessary to participate in the program, and supplementary projects designed to improve the sites and services (such as sanitation) would be considered a balanced program. A program that simply provides a replacement for a damaged house would not.

7. Over-extension: Programs become over-extended by (1) trying to meet too many needs, (2) trying to meet the needs of too many people, or (3) trying to meet the needs in too broad an area. A good example of over-extension occurred in Guatemala after the 1976 earthquake when a small relief agency with a very small staff offered to provide housing reconstruction services to a geographic area of more than 1500 square kilometers that had not only a rural population, but also a number of large towns. The total number of people in the area approached 75,000. When the program made a commitment to the government to provide services in this area, it had only received a total of $25,000 for reconstruction. During the course of the agency's efforts, it received an additional $25,000 and some roofing material as an in-kind contribution from a foreign government, bringing the total monetary resources of the agency to approximately $80,000. Had the agency been able to use the entire amount, the number of people effectively served could not have been more than approximately 10 percent of those in the project area.
8. Failure to examine cause-and-effect relationships. Failure to look ahead is often a result of inexperience. Yet by thinking through many of the program options and trying to estimate the outcome, agencies could avoid many mistakes. As a part of the planning process, agencies should consider preparing a program impact assessment similar to the environmental impact statements that are required of many construction projects.

9. Failure to budget properly: Estimating budgets for disaster operations is difficult. Not only must a budget be prepared in an inflationary environment, but the amount of funds and their date of transfer to the program are often unknown.

10. Failure to obtain proper technical inputs: This is often a result of failure by the agencies to expand their horizons and an attempt to oversimplify their humanitarian work. In most cases, agencies are usually not aware of all the related issues or of the technical expertise that is available.

Another aspect of this problem is the use of inappropriate technical inputs. For example, following many disasters, agencies send medical teams with the latest technical equipment and medicines. In most cases, however, what is needed is not high-tech curative medicine but low-technology, community-based preventive health measures, such as sanitation and hygiene.

The use of technology and selection of the appropriate technology is always a problem for agencies with no prior experience in the affected community and with scant knowledge of the society.

11. Lack of coordination with other relief agencies and government programs: Agencies often fail to consider the activities being planned or conducted in their project area by other organizations. This oversight may occur through simple lack of contact and/or communication or through a political refusal to recognize the efforts of any other organization. In either case, the end result is inappropriate program planning, which in turn, often leads to duplication of effort, projects which work at cross-purposes, and a general waste of resources. A far more effective approach is to establish a good working relationship with other agencies and, if possible, establish a planning council to minimize these problems. At the very least, project managers should keep well-informed of the activities of other agencies operating within the same region as their programs.
## Key Managerial Planning Issues

<table>
<thead>
<tr>
<th>Planning Phase</th>
<th>Key Managerial Decisions</th>
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<tbody>
<tr>
<td><strong>Policy Making</strong></td>
<td>1. What policies are necessary to implement the overall plan?</td>
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<td>2. Are policies comprehensive, flexible, coordinate, and clearly stated?</td>
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<td>3. Who or what organizational unit should authorize and prepare policy?</td>
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<td>4. Who or what organizational units are affected by the policies?</td>
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<td><strong>Objective Setting</strong></td>
<td>1. What are the objectives?</td>
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<td>2. What is the relative importance of each objective?</td>
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<td>3. How are the objectives related?</td>
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<td>4. When should each objective be measured?</td>
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<td>5. How can each objective be measured?</td>
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<td></td>
<td>6. What person or organizational unit should be accountable for achieving the objective?</td>
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<tr>
<td><strong>Resource Allocation</strong></td>
<td>1. What are the important resources needed to achieve the objectives?</td>
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<td>2. What are the possible variables relating to resource need?</td>
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<td>3. What is the appropriate technique forecasting changes in each variable?</td>
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<td></td>
<td>4. What person or organizational unit should be responsible for the forecasts?</td>
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<td><strong>Budgeting</strong></td>
<td>1. What resource components should be included in the budget?</td>
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<td>2. What are the interrelationships among the various budgeting components?</td>
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<td>3. What budgeting techniques should be used?</td>
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<td></td>
<td>4. Who or what organizational unit should be responsible for the preparation of the budget?</td>
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</table>

(Table 2-B)

**Notes**

- Intergrated Recovery Programs are large-scale programs that cover several sectors and integrate relief and development activities.
  
  
## Appendix 2-A
### Gap Identification: PREDISASTER

<table>
<thead>
<tr>
<th>ACTIONS</th>
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<td>Local Coordination</td>
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<td>Press Coordination</td>
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<td>Volag Coordination</td>
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### PREDISASTER Plan

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## Appendix 2-B
### Gap Identification: EMERGENCY OPERATION

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<th>PHASE I ACTIONS (1st 24-48 hours)</th>
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<th>Comments</th>
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Chapter 3
Decision Making

All managers must sooner or later make decisions. That is, they face several alternatives, and their decision involves a comparison between the alternatives and an evaluation of the outcome. The quality of the decisions managers make is the true measure of their performance. Each operational decision influences future actions, which in turn, require further decisions. Errors in decision making, therefore, tend to be cumulative.

Decision making is the major responsibility of a disaster manager, regardless of his or her functional area or level in the organization. Some of these decisions may have a strong impact on the organization, while others will be important but less crucial. The important point, however, is that all will have some sort of effect.

In this Lesson we shall examine ways in which the decision-making process can be improved. In any disaster-related program, the goal should be to provide a framework for decision makers to effectively analyze a complex situation containing numerous alternatives and possible consequences and to arrive at the best possible choice with a minimum of delay.

Variables in Decision Making

In some cases, decisions are made where there are few alternatives and all the parameters of the decision can be clearly identified. Many decisions, however, require that a choice be made between different courses which may be affected by variables or events beyond a manager's control. For example, the field director of a refugee relief operation knows that the accuracy of new arrival forecasts will depend in large measure upon political events in another country. Similarly, a supply officer of a relief agency is faced with the problem of how much and what types of supplies should be ordered in the immediate aftermath of an earthquake, without knowing the full extent of the disaster.

Decision making is carried out under three different conditions or sets of variables: certainty, risk, and uncertainty.

Decision Making Under Conditions of Certainty

When a manager knows or is certain of all the effects of variables on an issue, "certainty" exists. This means that the manager should be able to make accurate decisions when these circumstances exist. Of course, this type of decision-making environment is rare.

Suppose the manager of a relief agency has been alerted by an early warning system that 2000 refugees will arrive in his refugee camp in one week. He would be foolish not to order supplies for 2000 people and prepare to distribute them.

The decision maker in this example is fortunate because accurate information about future events is available. In most situations, the manager does not know exactly what will occur. Under these conditions, the manager is forced to use probabilities to make decisions.
**Decision Making Under Conditions of Risk**

In some situations, a manager is able to estimate the probability that certain variables could occur. The ability to estimate may be due to experience, incomplete but reliable information or, in some cases, an accurate report. When estimates are made, a degree of risk is involved, but some amount of information about the situation is available. The situation requires estimating the probability that one or more known variables might influence the decision being made. If the basis for the decision is stated in terms of maximizing results—e.g., service levels—the decision maker would select the alternative which produces the best result. However, if the basis for the decision is stated in terms of minimizing the outcome—e.g., costs—the decision maker would select the alternative which minimizes the results.

**Decision Making Under Conditions of Uncertainty**

A condition of uncertainty exists when a manager is faced with reaching a decision with no historical data concerning the variables and/or unknowns and their probability of occurrence. In these circumstances, the manager can decide:

* to maximize the possible results;
* to minimize the results;
* to maximize the results that are the minimum possible under the circumstances;
* to minimize the maximum possible results;
* to avoid or delay the decision.

**Types of Decisions**

There are three types of decisions in disaster management:

1. **Routine (or programmed) decisions.** If a problem or situation occurs often, a routine procedure is usually developed for solving it. Thus decisions are programmed to the extent that they are routine and repetitive and a specific procedure has been developed for handling them. Examples would be purchasing relief supplies, handling personnel matters, and dealing with problems that were anticipated. Routine decisions are normally guided by policies, guidelines or procedures.

2. **Non-routine (or non-programmed) decisions.** When problems are broad, novel and unanticipated, they require decisions that have not been covered in the organization’s planning (i.e., they have not been programmed). As such, there is no established procedure for handling the problem.

3. **Technically-guided decisions.** In many cases, determination of which course to choose is guided by technical factors beyond the control of the manager. For example, flood victims often demand that relief agencies provide “flood-proof” houses. Unfortunately, flooding is a site problem, not a structural one. Therefore, a decision not to provide housing assistance on the same site would be guided by technical, not humanitarian, considerations.

**The Process of Decision Making**

The starting point in any analysis of decision making involves a determination of whether a decision needs to be made. The first step is to identify the problem and the kinds of decisions
required to solve this problem. However, before making a decision, the manager develops a number of possible alternatives (or potential solutions to the problem) and considers the potential results and possible consequences of each.

Up to this point, the process is fairly simple; it is choosing the best alternative that becomes complicated. In business, there are various decision models to help managers select the best course with the least risk. However, for the disaster manager, the tools are limited. The setting of policies, goals and objectives as described in Lesson 2 can help narrow the choices and provide a framework for decision making. When a decision needs to be made, the manager reviews each alternative that he/she has selected to determine if it is consistent with the organizational objectives and overall policy and if it will further the operational goals and objective of the program and/or organization.

If a policy is established or a specific rule or procedure is developed to guide decisions, it will not be necessary to develop and evaluate alternatives each time a problem arises. (However, over time, the policies may have to be reviewed and updated.)

Most decisions that managers must make can be structured, and repetitive problems in their daily operations can be handled with policies and procedures or according to technical feasibility. These decisions should be treated as routine without expending unnecessary resources or time on them. It is non-programmed decisions that are the concern of the disaster manager, since this is the type of decision most likely to be encountered in an emergency. These deal with unknowns and, therefore, can have a potentially greater negative impact if handled improperly.

*Non-Programmed*: Non-programmed decisions have traditionally been handled by general problem solving processes, judgment, intuition and creativity. In pyramidal organizations, during non-crisis situations, non-programmed decisions are usually the concern of top management, while middle-level and field-level managers generally make programmed decisions. The result is that decision making is cumbersome, time consuming, and not as effective or timely. In organizations where authority is shared or resides at the field level, both programmed and non-programmed decisions are made at all levels.

Disasters, however, demand that non-routine decisions be made at all levels, and field-level managers, especially in emergencies, most often deal with non-programmed decisions. Thus, to improve the performance of relief operations, it is necessary to improve the non-programmed decision-making capabilities of field-level managers.

Two ways to improve decision making under these circumstances are:

1. To structure the decision-making process;
2. To provide a policy framework against which to measure choices.

**Steps in Decision Making**

In order to make decisions under non-routine, emergency circumstances, the following steps should be taken:

1. Define the problem and the decision to be made. Clarify the problem and try to eliminate irrelevant or unnecessary issues.
2. Gather and collate all the information about the problem. Put all the information in a logical form and sequence.
3. Extract the relevant information.
4. Evaluate the information. Assess the quality and accuracy of the information and estimate the unknowns and variables that may influence the outcome of the decision.
5. Identity alternatives. Determine the alternatives and the possible outcomes of each.
6. Make the decision.

Once a decision has been made, it should be adhered to. Hesitation or wavering breeds uncertainty and lack of confidence in the decision maker and can reduce the effectiveness of the decision.
Chapter 4
Information Management

Effective planning requires information. The quality of a decision depends greatly on an accurate understanding of the circumstances surrounding an issue and on knowledge of the available alternatives. The better the information, the better the resulting decision. The development of an information system helps to manage both existing and incoming information.

Information management can be likened to the four-stroke cycle of a conventional internal combustion engine:

1. Information in (acquisition) (Intake)
2. Assessment or evaluation (Compression)
3. Decision making (Ignition)
4. Information out (decision implementation Exhaust)

The task of generating data for managerial decision making should be viewed as the function of an information management system. This "...is a scheme according to which...information is provided, in the right amount, to the right persons, at the right time. Determining what information to include and how to package this information depends on the person to whom the information is to be addressed and the reason for which it is given. Thus, an information system carefully distinguishes, for example, between...reports from the project manager to top management, and daily progress reports the manager receives from the project staff."1 It supports the planning, control, and operations functions of an organization by providing information for use in decision making.

Information requirements vary depending on the level in the organization and the type of decision being made. In every case, it is vital that appropriate information be directed to the proper decision maker. In this context, every organization can be viewed as an information/decision system.

Classes of Information

The types as well as sources of information will vary, but generally there are three classes of information:

Planning Information: This type of information relates to the tasks of formulating objectives, determining the amounts and kinds of resources necessary to attain the objectives, and the policies that govern their use. Much of this information will come from external sources and will relate to such factors as the present and predicted situation in the operational area, availability of resources (material, financial and human), and the political environment. This information forms the input to the non-programmed types of decisions made at each level in the organization.

Control Information: This information aids managers to make decisions which are consistent with the achievement of organizational objectives and to see how efficiently resources are being used. It enables managers to determine if "actual results" are meeting "planned-for results" (objectives). It relies heavily on internal sources of information and involves such problems as
developing budgets and measuring the performance of personnel. The nature of problems faced at this level may result in either programmed or non-programmed types of decisions.

Operational Information: This information relates to the day-to-day activities of the organization. Operational data is usually required in regard to three broad categories: people, property, and the operation (or status) of emergency services. It includes routine and necessary types of information such as financial accounting, inventory control, and scheduling. Most of the information is generated internally, and since it usually relates to specific tasks, it often comes from designated subordinates. Field-level managers are the primary users of this information.

Information Flows

There are two types of information flow in a management information system. An external information flow is information that either comes to or is sent from the organization. An intra-organizational flow is information flowing within the organization.

External information includes the inward flow of information, called intelligence, and the outward flow, called organizational communications.

Intelligence information includes data on the various elements of the organization's operating environment such as victims, other agencies, relief suppliers, and the local government. It also includes information on trends and patterns, as well as developments in the social and cultural environment in which the organization operates. This type of information has long-term significance to the organization and aids in long-range, strategic planning.

The disaster manager receives four distinct types of disaster intelligence:

1. Early-Warning Reports. E-W reports provide data about pending events. Most E-W reports are issued prior to cyclones, floods and droughts and are used to provide preparedness information and to issue alerts and evacuation information. E-W reports also provide agencies with information concerning expected arrivals of refugees from a war zone and provide data about the numbers of refugees and their condition.

2. Situation Reports. Sitreps are periodic reports prepared by major relief operations. They describe the impact of the emergency as it occurs and provide a rough summary of events. After the disaster, they detail the response by different relief agencies.

3. Disaster Assessment Reports. DARs are assessments of a post-disaster situation. They should provide a rough quantification of needs and damages as well as a picture of the magnitude of the overall situation. The assessment should also identify the geographic locations that should receive priority.

4. Epidemiologic Surveillance. The health and nutritional status of disaster victims or refugees is provided by data collected as part of epidemiologic surveillance. By monitoring data and trends, the manager can determine current needs and forecast future needs.

Organizational communications flow outward from the organization to the external operating environment. In the case of a relief agency, any public awareness or other promotional efforts
are considered organizational communications and are controlled by the organization. Although outward information is important, we will not cover the topic in this course.

Information must flow through as well as to and from the organization. Within every organization, there are vertical (both upward and downward) and horizontal information flows. The rationale of an information management system is that all information should move according to a formal scheme and direction.

In order to accomplish this, there are three major requirements:

1. Determining information needs. Information needs are identified by determining how much information is needed; how, when, and by whom it will be used; and in what form it is needed. The process begins with an examination of the output requirements. One way is to classify information based on the level in the organization where it will be used. Thus, output requirements would be based on determining what information is necessary for planning and controlling operations at different organizational levels, what information is needed to allocate resources, and what information is needed to evaluate performance. These types of questions recognize the fact that different kinds of information are needed for formulating organizational objectives than for scheduling operations.

2. It should be remembered that too much information may actually hinder a manager's performance. It is important to distinguish "need to know" types of information from "nice to know" information. More information does not necessarily mean better performance.

3. Information-gathering and processing. The purpose of this step is to improve the overall quality of the information. It includes six component services:

   Collection: Collection involves gathering and recording information. (It is especially important to write down verbal communications.)

   Evaluation: Evaluation involves determining how much confidence can be placed in a particular piece of information. Such factors as the credibility of the source and the relevance, reliability and validity of the data must be determined.

   Abstracting: Abstracting involves editing and reducing incoming information and data in order to provide the managers with only that information which is relevant to their particular task.

   Indexing: Indexing provides classification for storage and retrieval purposes.

   Storage: Storage consists of filing information so that it can be referred to, as needed. It may be needed to defend a decision. Remember: information that is not "captured" is lost forever.

   Dissemination: Dissemination entails getting the right information to the right manager at the right time. This is the overriding purpose of an information management system.
4. Information use. How information is used depends greatly on its quality (accuracy), how it is presented (form), and its timeliness. These relate to the basic needs determined in the beginning. If the right questions are asked and the system is planned carefully, the user will be provided with relevant information. The goal is to provide the right information to the right decision maker at the right time. In some cases, timeliness may take precedence over accuracy. If information is not available when it is needed, then its accuracy loses importance. In most cases, however, both are critical, and timeliness is determined by the nature of the decisions that must be made. For example, a manager in an earthquake relief operation may find accurate reports of the total number of victims to be only moderately useful, while an official working with civil war refugees needs accurate census information every day.

Establishing a Focal Point for Information Management

It is important that a central focal point be established for the management of information in order to facilitate the flow of information both to and within the organization. In a large organization, the focal point may be an office; in a field operation, the focal point is usually an information officer or a person who is assigned information management responsibilities.

Information management in field operations can be significantly improved if facts and information are displayed visually. Displays can be made of tasks, resources available/committed, personnel status and location, and other routine information that is needed continually. Making displays like this should be done as a team-building exercise. This will increase the commitment of all parties concerned to goals, to making the "plan" work; it also increases the practicability of any plan of action by allowing input from the field staff. Displays can be made on chalkboards, graphs, plastic-covered wall boards, or other simple devices. Indeed, simplicity is desirable so that people will be encouraged to keep the information updated. Information-at-a-glance is one of the greatest assets for a disaster manager and for his/her team.

Requirements for Emergency Information Management

Effective information management in emergencies requires the following:

1. The capability of carrying out damage surveys, needs assessment, and reporting (or a reliable source);
2. Facilities to receive, display, collate and assess information;
3. A systematic decision-making process into which the information is fed. (Major decisions are seldom made by the disaster manager alone; more often they are made by a small group or committee in consultation with appropriate specialists. Thus, some system of routing information and assigning it appropriate priority must be established.)

Notes

¹ Goodman and Love, 1980, p. 28.
Chapter 5
Program Supervision, Monitoring and Control

After a project has begun to function in its assigned areas, regulatory and supervisory measures assume prominence in the project cycle. The term "control" refers to those steps taken to ensure that plans are properly executed. Thus, an important role for a disaster manager is project monitoring and control. This role includes all activities undertaken to ensure that actual operations conform to planned operations.

"Control has been classically defined as 'verifying whether everything occurs in conformity with the plans adopted, the instructions issued, and the principles established'. It therefore follows that, first of all, the plans, instructions, and principles must be clearly defined and understood by everyone, forming the standards or criteria by which performance can unequivocally be measured; lack of initial benchmarks makes control virtually impossible. The purpose of control, then is to find deviations, correct them as early as possible, and prevent them in the future. The nature of project supervision and control thus requires a constant flow of information so that deviations from plans may be spotted and decisions and corrective actions may be taken on time.

"It is important to remember, however, that a deviation between performance and plans is not always the fault of project; a lack of conformity to plans can result from inappropriate plans rather than inadequate performance. Whether the villain is the plan or the non conforming subordinate is sometimes difficult to determine. Planning decisions frequently have to be revised due to errors in judgment and forecasts. Subordinates are sometimes penalized for the superior's planning failures rather than their own performance failures.

"Managers should also recognize that a comparison of plans with performance information may not adequately measure efficiency. The words or data used in the comparison between plans and actual performance must be capable of exact comparison. A great deal of knowledge about environmental, technological, and socio-psychological factors cannot, however, be defined or measured in precise terms."1

Control, Coordination and Supervision

Before embarking on a detailed description of the control process and the common pitfalls encountered in its course, let us clarify some of the terms used in this area.

"Control" as used herein refers to the use of both active and passive means of ensuring that a project moves along in the general manner in which it was planned. Because emergencies do not afford the manager with the best circumstances under which to obtain planning information, it would be foolish not to assume that some degree of flexibility is permitted in the control process. After all, the objective is not to ensure that the project is run according to plan, but to ensure that it helps the disaster victim or refugee to the greatest extent possible. For this reason, control in disaster management is primarily a function of direct, onsite supervision, coordination and administration.

"Much of the process is informal and indirect and becomes an aspect of the socio-psychological dynamics of the superior-subordinate relationship. Superiors, however, cannot constantly keep
watch over their flocks if they are not to be overwhelmed with work. There are also good motivational reasons for not carrying supervision to an extreme. Accounting and other indirect control devices make possible a greater degree of decentralization and tend to give more personal freedom to subordinates. Therefore, the control process generally involves some combination of onsite supervision and indirect techniques."3

**Necessary Conditions for Control and Supervision**

Three basic conditions are necessary for control:
1. standards must be established;
2. information indicating deviations between actual and standard results must be available;
3. authority to correct problems must be possible.

The logic is clear: without standards, there can be no basis for evaluating the effectiveness of actual performance; without information there can be no way of knowing the situation; without a means to correct problems, the entire control process becomes pointless. The consequences of failure to control are time delays, waste, poor use of resources and, in emergency programs, increased suffering of the victims and even higher death rates.

Standards are derived from, and have many of the characteristics of, objectives. Standards are targets. To be effective, they must be clearly stated and logically related to the objectives of both the organization and its programs. Standards are the criteria against which future, current, or past actions are compared. They are measured in a variety of ways, including physical, monetary, quantitative, and qualitative terms.

In order to implement this measurement process, information must first be obtained which reports actual performance and allows evaluation of performance against standards. Information is most easily acquired for activities which produce specific and concrete results; for example, field-level activities have end products which are easily identified and about which information is readily obtainable. The performance of mid-level departments is more difficult to appraise because the outcome of the activities is difficult to measure.

When a discrepancy occurs between standards and actual performance, the authority to correct problems or to take corrective measures must be assigned to a specific person. The person responsible for taking the corrective steps must know that he/she is responsible and has the authority to take remedial measures. Unless this responsibility is clearly delegated, remedial measures will not be possible.

Finally, channels of communication must be open to people, including staff and victims, at all levels through which information about progress can be conveyed. In order for a program to be able to adapt and meet needs as they arise, yet still move according to the general plan, it is important to ensure that communication channels are open and that a two-way flow of up-to-date information constantly moves through the system.

**Three Types of Control**

The control function is broken down into three types according to the stages at which they are applied.
**Preliminary Control:**

Preliminary control is exercised by planning and the assignment of resources to be used in the operation. Human resources must meet the job requirements; materials must meet acceptable levels of quality and must be available at the proper time and place. Equipment must be on hand when needed, and financial resources must be available in the right amounts and at the right times.

**Monitoring:**

Monitoring (or concurrent control) examines actual ongoing operations to ensure that objectives are being met. The principal means by which concurrent control is implemented is through the directing or supervisory activities of managers. Through personal, on-the-spot observation, managers determine whether the work of others is proceeding in the manner defined by policies and procedures. The delegation of authority provides managers with the power to use financial and non-financial incentives to achieve concurrent control. The standards guiding ongoing activity are derived from job descriptions and from policies established by the planning function.

**Evaluation:**

Evaluation (or feedback control) focuses on end results. The corrective action is directed either at improving the process of resource acquisition or modifying future operations. This type of control examines historical results to guide future actions. The methods employed in disaster management include cost-benefit analysis, audit, quality control, performance evaluation, and impact assessment. (Because impact assessment is so important, Lesson 14 is devoted to the topic.)

The distinction between preliminary control, monitoring, and evaluation enables us to classify certain of the more widely used control techniques as shown in Table 5-A.

<table>
<thead>
<tr>
<th>Types of Control</th>
<th>Control Techniques</th>
</tr>
</thead>
</table>
| **Preliminary control** | Planning  
|                      | Policies  
|                      | Standards  
|                      | Staffing  
|                      | Budgeting  
|                      | Material Allotment                                   |
| **Monitoring**       | Supervision  
|                      | Coordination  
|                      | Administrative Reporting                            |
| **Evaluation**       | Impact Assessment  
|                      | Cost-benefit analysis  
|                      | Standard cost analysis  
|                      | Quality Control procedures  
|                      | Employee performance evaluation                      |

(Table 5-A)
Methods for Control

1. **Policies.** Policies are important means for implementing preliminary control, since policies are guidelines for future action. Yet we want to distinguish between setting policies and implementing them. Setting policy is included in the planning function, whereas implementing policy is a part of the control function.

2. **Job descriptions.** Job descriptions are a part of the control function since they pre-determine the activities, responsibilities, and authority of the jobholder.

3. **Quality control of materials.** The materials to be used in the project must conform to standards of quality.

   A simple procedure for monitoring quality can be easily explained. Suppose, for example, that management decides it will accept a maximum level of five percent of defective items from a supplier. The material is then inspected by selecting a random sample and calculating the percentage of defective items in that sample. A decision must then be made, based on the sample, of whether to accept or reject the entire order or to take another sample.

   Preliminary control systems for materials should be established as a routine because the decision to accept or reject materials recurs frequently. The standard should be easily measurable and the sample should be easy to take. The decision to accept or reject (or take another sample) can be based upon simple instructions. Thus, the decision becomes automatic. An inspector's instructions may read: "If sample defectives are equal to or more than five percent, take another sample. If sample defectives in second lot exceed five percent, reject lot."

4. **Budgets.** The principal means of controlling the availability and cost (interest) of financial resources is budgeting.

   Budgets should anticipate the ebb and flow of activity during the operating cycle to time the availability of cash to meet obligations. There are two problems in budgeting for relief operations. First, many managers will not have had prior experience with the particular needs of the operation and may not be aware of all the budgeting requirements. A standard budget items list can serve as a checklist for the manager and make sure that all necessary items are considered. (Some organizations include recommended ratios or percentages of the total allocation for each item as a guide for managers. For example, total staff costs of a project may be restricted to a maximum of 20 percent of the total budget.)

   The second problem is keeping enough cash on hand. To aid in the process, some organizations set certain cash-to-commitment ratios. For example, a minimum ratio could be set at 2:1 and the maximum at 3:1 (these ratios recognize the cost of both too little and too much cash on hand.) Corrective action would be taken when the actual current ratio deviates above or below the allowable ratios.

5. **Audit.** Audits are a principal source of information from which managers can evaluate a program. A management audit is a study of the manner in which the project is being carried out. It focuses primarily on efficiency and management considerations. A financial audit examines the fiscal aspects of the project.
The manager periodically receives a set of financial statements. These statements summarize and classify the effects of transactions in terms of assets, liabilities, income and expenses—the principal components of a project’s financial structure. A detailed analysis of the information contained in the financial audit enables the manager to determine the adequacy of the organization’s financial planning and budgeting. The manager must have measures and standards for performance in order to determine the cost of the project in relation to the benefits (the cost-benefit ratio).

6. **Standard Cost Analysis.** A standard cost system provides information that enables a manager to compare actual costs with pre-determined (standard) costs. The manager must determine the reasons for the variances and decide what corrective action is appropriate. Standard costing may be applied to general or administrative expenses.

7. **Employee Performance Evaluation.** The most important and difficult feedback control technique is employee performance evaluation. It is important because the most crucial resource in any organization is its people. Evaluation is difficult because the standards for performance are seldom objective or easily identified since managerial and non-managerial jobs do not produce things that can be counted, weighed and evaluated in objective terms. Employee performance evaluation is discussed more fully in Lesson 11.

8. **Impact Assessment.** The most important evaluation of a project is the impact assessment. Its purpose is to determine whether the project and its various activities accomplished the broad as well as specific goals set out during the planning process. The criteria for success in disaster assistance are often very difficult to establish. For example, the provision of ample amounts of food aid may meet distribution goals while, at the same time, creating a disincentive to recovery in the normal food markets. Therefore, an impact assessment must be broad in nature and should try to develop information that can increase an agency’s awareness of factors in the operating environment.

9. **Graphic Charts and Diagrams.** Project activities can be graphically displayed on charts, graphs and/or network diagrams. These graphic displays provide a useful means of helping the staff to visualize the relationship of activities and the time needed to complete each operation. Developing the charts can be a shared activity of the manager and his/her subordinates. The benefits are two-fold: staff input increases the accuracy and viability of the chart, and staff commitment to the plan of action is greatly enhanced.

**A. Gantt or "Bar" Charts**: One of the most popular techniques of project planning, scheduling, reporting, and control used for simple projects is the Gantt or bar chart. This technique graphically represents the progress of a project versus the time frame within which it must be completed. Gantt charts are excellent graphical representations for scheduling the execution of various project activities. They can be used as simple and easily understood models for communicating information to all levels or for project management and supervision. To prepare a Gantt chart, the following steps must first be taken:

- each project has to be broken down into discrete component activities;
- the sequence of execution of these activities must be established; and
- the duration of these activities must be estimated.
The project cannot be broken down into component activities unless it is analyzed thoroughly and the time estimate for carrying out each activity is determined. The job analysis must be conducted in cooperation with the people responsible for carrying out these activities. This cooperation must be obtained so that their experiences, views and know-how are used in preparation of the schedule and their future commitment to keep with the schedule is ensured. Step 4 in the preparation of the Gantt chart, then, is to list all the activities in sequence of time and determine those that can be carried out simultaneously and those that must be carried out sequentially.

In the Gantt chart, the horizontal axis represents the time scale for completing the project. The unit of time scale used can be day, week or month, depending upon the total length of the project. The listing of the project tasks or activities is shown in the first left-hand column. The schedule of each activity, graphically showing its starting, duration and completion times, is rendered by horizontal bars drawn on the row representing that activity. For this reason, Gantt charts are also called bar charts or bar diagrams. The bars are drawn according to a time scale laid out across the top of the chart; the length of each bar represents the estimated time needed for carrying out the corresponding activity.

Figure 5-1 shows a typical bar chart for a housing reconstruction project. The projected schedule of each activity is shown by horizontal bars with light shading in the upper part of the row representing that activity. The scheduled starting and completion times of each activity are distinctly marked. The actual progress of the activity showing the period when the work is being done is represented by horizontal bars with dark or red shading in the lower part of the row corresponding to that activity. At any given time, the actual progress of project activities can be measured against the planned schedule as project progress is directly recorded on the chart. The lower bar shows the time that work on each activity has been in progress; it does not show the percentage of work accomplished and the percentage remaining. This information is usually shown by darkening or coloring the upper bars which represent the planned schedule proportional to the percentage of progress in that activity. At each reporting interval, the percentage of the progress of each activity is estimated and the corresponding bar is darkened up to that percentage.

Project Monitoring & Control Using Bar Charts: Project progress is usually monitored in uniform weekly or monthly intervals. (For this reason alone, they are not usually used for monitoring emergency projects.) Monitoring reports describe the status of various activities and not the completion dates. For activities in progress, the actual versus scheduled starting dates, the percentage of progress at the monitoring time, and the expected versus scheduled completion dates are recorded. An explanation for the delays or other abnormalities in the project progress and the expected change in the scheduled completion date of the project are reported.

Advantages of Bar Charts: The bar chart's most important advantage is that the planning, scheduling, and actual progress of a project are all graphically recorded on a single sheet of paper. It is a very simple and effective tool for showing the status of the project and its component activities to all levels of management and people concerned. It singles out the activities that are either behind or ahead of schedule so that extra resources can be committed or withdrawn accordingly, thereby focusing the attention of top-level management only on problem spots, a technique that leads to management by exception.
Figure 5-1 Gantt Chart for a Housing Reconstruction Project
**Disadvantages of Bar Charts:** As a project management tool, however, the bar chart also has certain disadvantages. The most important one is that it cannot show inter-relationships among various activities. Therefore, the impact of speed or delay in carrying out an activity on other activities, or on the whole project, cannot be carefully assessed. Bar charts do not single out those critical activities in which any delay in completion may delay the entire project. When some non-critical activities fall behind schedule, the chart can trigger a false alarm by signaling that the whole project is behind schedule. Bar charts do not show the float in the non-critical activities; this information is needed to know the degree of flexibility in scheduling the resource-consuming activities. The effect of a slip from schedule for an activity cannot be easily assessed in the schedule of the other activities. Therefore, and often at some later date, the schedules can become outdated and inaccurate, and thus are not well-suited for managing fluid or rapidly changing emergencies.

Because bar charts cannot show many activities, they cannot include sufficient planning and scheduling details. This lack of detail makes the early detection of slippage in scheduling almost impossible. Therefore, preventive control measures cannot be applied as easily as with network methods. The planning and scheduling of a project are carried out at the same time in the preparation of bar charts. Therefore, the time schedule of each plan has to be prepared when the original charts are drawn. This reduces planning flexibility and does not provide sufficient opportunity for considering alternative plans with different schedules.

Bar charts, in sum, are efficient and simple planning, scheduling, reporting and control tools for small projects with a limited amount of activities. They are not suitable, however, for large and complex projects.

**B. Precedence Diagrams:** Precedence diagrams were designed to bridge the gap between manually operated planning systems like the Gantt chart and systems that were designed for computers, such as CPM and PERT (later in this Lesson). Numerous variations have been developed, but one in particular (DART) was developed for manually scheduling and monitoring disaster and development projects.

In the DART method, the identification of principal activities and estimation of their duration are carried out exactly as for the Gantt chart. Each activity is divided into its component activities, that is, the various sub-activities that are needed to complete the primary or principal activity. They are then organized into a diagram where activities are represented by sets of boxes that represent each activity and its set of sub-activities. The sequence of boxes (activities) and their logical connection are shown by arrows connecting the boxes together. The length of each arrow horizontally represents the time estimated to complete the activity and, like the Gantt chart, is compared to a timeline across the top or bottom of the chart. Arrowheads show the direction of the flow of activities and their precedence to one another (see Figure 5-2).

The advantage of the precedence diagram over the Gantt chart is that it shows the relationships among activities, thereby eliminating the disadvantage of the bar chart. The completion of each set of activities can be designated as a milestone, thus enhancing the scheduling value of the diagram. Most importantly, the manager can
determine when people or resources should be free so that they can be reassigned during critical periods, thus maximizing the use of limited resources.

C. PERT: PERT stands for Program Evaluation and Review Technique, and it is probably the most popular network model. Network models are visual aids that may be used to monitor and control activities. They are especially suited for disaster relief programs because each project is not routine or repetitive. The two most commonly used network models are PERT and CPM.

PERT is a method by which conflicts, delays and interruptions in a project are minimized by coordinating the various parts of the overall job to complete the project on schedule. It helps to identify what the problems are and what solutions are realistic, and aids in anticipating problems. PERT is useful in dealing with non-routine problem areas-ones which the manager has not previously faced and is not likely to see again. It is especially helpful in a situation where personnel from a development agency are forced into disaster relief work and the problem is to manage work that is only done once.

PERT is helpful because it enables a manager to think through a project in its entirety and to identify possible delays. In this way PERT usually results in a better utilization of resources.

D. CPM: CPM (critical path method) is quite similar to PERT and, next to PERT, is probably the most widely used network model. It is particularly used in construction.

It departs from PERT in that CPM brings into the planning and control functions the concept of cost. However, this is not to say that PERT completely omits the cost concept. In PERT models, cost varies directly with time for all the activities of the project. In other words, when a reduction in time has been achieved, a reduction in cost is assumed to have been achieved.

Another difference is that CPM uses a single time estimate for each activity; whereas PERT uses three. The user of CPM is assumed to have a more solid basis when estimating the time required for each activity (see Figure 5-3 for an example of the evolution of CPM diagrams from bar charts).

Whether PERT or CPM is used will be determined by the needs of the program or the type of project. When time can be estimated accurately and costs can be determined in advance, CPM is probably the better of the two network methods. A good example of this type of project is a construction project where material and labor costs can be determined fairly accurately and in advance. However, when there is a high degree of uncertainty and/or the need for control over time outweighs control over costs, PERT is probably the better choice of the two.

Many variations of PERT and CPM have been developed since the advent of microcomputers, and disaster-specific methods are currently under development. Therefore, we will not discuss how to prepare PERT or CPM networks in this lesson. However for persons interested in learning more about the theory and methods of PERT and CPM diagramming, see Appendix 5-A.
The Value of Network Models

Properly constructed, PERT and other network models provide direct aid to managers in two important areas:

1. Optimizing resources. Network models enable managers to plan the optimum use of resources within overall time constraints. Time reductions can be brought about in a number of ways.
   - By reducing the expected time on the longest path through the network (the critical path) by applying new resources or additional funds which are obtained from those activities that can afford it, since they do not take as long to complete.
   - By eliminating some part of the project that previously might have been considered desirable but not necessary.
   - By transferring resources from slack to more critical paths.
   - By adding more resources—people or machines.
   - By rescheduling some tasks that had previously been planned in a series to parallel activities.

2. Better control. A major advantage of PERT and other network models is that the tremendous planning involved in constructing the network contributes significantly to the definition and ultimate concurrent control of the project. In the case of PERT, the construction of the network is a very demanding task which forces the planner to visualize the number, different kinds, and sequence of all the necessary activities. This kind of thinking cannot help but be a benefit.

Effectively used, PERT can be valuable as both an internal and external control device. For internal control it provides time schedules for each activity. Networks can be revised if unforeseen difficulties arise. Resources can be shifted and activities can be rescheduled with a minimum of delay in the outcome of the project. Each staff member can clearly visualize the importance of completing his/her tasks on time.

For external control, in projects where other agencies or subcontractors are used, the necessity for meeting scheduled dates can be stressed by showing the subcontractor the negative effects a delay will have on the entire project.

Notes


2 "Active" means direct person-to-person activities; "passive" refers to indirect measures such as budgets, procedures, policies.

3 op cit., p. 194.

4 The entire discussion of Gantt or bar charts is taken and edited from: Goodman and Love, op cit.
Precedence Diagram / Housing Education Program using DART

Figure 5.2
Figure 5-3 Evaluation of a Bar Chart to Network Diagrams
Appendix 5-A  
Fundamentals of PERT

There are two fundamentals of PERT and other network models:

1. constructing the network and
2. estimating activity time requirements.

Constructing the network. PERT networks are developed around two key concepts: activities and events. An activity is the work done between two events. An event is the work accomplishment at a particular point in time and consumes no time. In PERT diagrams of networks, an event is designated with a circle and an activity as an arrow connecting the two circles. This is shown in Figure 5-4.

In Figure 5-4 there are two events which are assigned numbers connected by one activity, designated with an arrow. Each of the two events occurs at a specific point in time. Event 1 could represent the specific point in time, "project begun," and event 2 could represent the specific point in time, "project completed." The arrow connecting the two events represents the activity-the actual work done-and the time necessary to complete the work. Thus, the two events in Figure 5-4 designate the beginning and end of the activity. The activity is what requires time, not the events.

The term "network" is used when several events and activities are combined in a diagram. Figure 5-5 is a very simple PERT network involving two events and one activity. A more complex PERT network is presented in Figure 5-1.

Examination of Figure 5-5 indicates that event 1 is the network beginning event since there are no activities leading to it, and event 7 is the network ending event since there are no activities leading away from it. Note also that event 1 is the beginning event for two activities, and event 6 is the ending event for two activities, as well as the beginning event for one. In constructing the network, emphasis is on identifying events and activities with enough precision so that it is possible to monitor accomplishment as the project proceeds. There are four basic phases in constructing a PERT network:

1. Define each activity that must be done.
2. Estimate how long each activity will take.
3. Construct the network.
4. Find the critical path -that is, in time, from the beginning event to the ending event.

All events and activities must be sequenced in the network under a strict set of logical rules (for example, no event can be considered complete until all predecessor events have been completed) which allows for determination of the critical path.

The paramount variable in a PERT network is time-the basic measure of how long a project will take. Estimating how long each activity will take is extremely difficult since, in most cases, the manager has no experience to rely on.
Figure 5-4 Two Events and One Activity

Figure 5-5 PERT Network
Estimating Activity Time Requirements

Since PERT projects are usually unique, they are subject to a great deal of uncertainty. PERT is designed to deal specifically with this problem of uncertainty in determining the time estimates.

For example, assume you are trying to estimate how long it will take to complete an earthquake relief project. You know that one activity will be to collect certain information. If all goes well and you do not encounter any obstacles, you believe that you could complete this one activity in eight weeks. However, if a situation occurred where you encountered numerous obstacles (bridges out, materials not available, permit delays, etc.), the chances would be greater that this one activity would take much longer to complete. Thus, you could estimate a variety of possible completion times for this project.

Specifically, for PERT projects, three time estimates are required for each activity. The individual or group chosen to make each time estimate should be that individual or group who is most closely connected with, and responsible for, the particular activity under consideration. The three time estimates needed are:

- **Optimistic time (a)**. This is the time within which the activity can be completed if everything goes exceptionally well and no obstacles or problems are encountered.

- **Most likely time (m)**. This is the most realistic estimate of how long an activity might take. This is the time to be expected most often if the activity were repeated.

- **Pessimistic time (b)**. This is the time that would be required if everything went wrong and if numerous obstacles and problems were encountered.

Obviously, it would be extremely difficult to deal simultaneously with the optimistic time, the most likely time, and the pessimistic time. Fortunately, a way has been developed to arrive at one time estimate. It has been determined that an expected time (te) can be estimated satisfactorily for each activity by using the following formula:

\[ \text{Expected time (te)} = \frac{a + 4m + b}{6} \]

Let us examine this methodology in relation to the project mentioned above. Assume that you estimate that eight weeks is the most likely completion time (m) for the activity of collecting information. However, you feel that there is a small chance that the project might be completed in two weeks. Therefore, the optimistic time (a) is 2. Finally, you feel there is also a slight chance things could go wrong and it would take ten weeks to collect the information. Therefore, the pessimistic time (b) is 10.

A reader can see that there is a greater chance that collecting the information will take eight weeks longer than any other time. In order to compute the expected time (te) from the three time estimates that have been provided, we must determine at what time there is a 50-50 chance of completing the activity. This is what the expected time indicates, and the formula just mentioned provides that figure. Returning to the relief project, the time estimates follow for the one activity of information collection:

- Optimistic time (a) = 2 weeks
- Most likely time (m) = 8 weeks
- Pessimistic time (b) = 10 weeks

Substituting these time estimates into the formula yields:

\[ 2 + 4(8) + 10 / 6 \]
Estimated time \( t_e = 7.33 \)

Thus, there is a 50-50 chance that the information will be collected in 7.33 weeks. Note that in the formula for computing the expected time \( (t_e) \), the weight that is given to the most likely time \( (m) \) is much greater than the weight given to the optimistic and pessimistic times, since each of them has only a small chance of occurring. Also, note that the optimistic and pessimistic times each receive the same weight.

It should be clear that the expected time \( (t_e) \) may be either greater or less than the most likely time \( (m) \), depending on the three time estimates. To illustrate an expected time \( (t_e) \) greater than the most likely time \( (m) \), assume the following three time estimates for collecting information for the relief project:

- Optimistic time \( (a) \) = 6 weeks
- Most likely time \( (m) \) = 8 weeks
- Pessimistic time \( (b) \) = 16 weeks

Substituting these values into the formula yields:

\[
\begin{align*}
\text{Expected time } (t_e) & = a + 4(m) + b / 6 \\
& = 6 + 4(8) + 16 / 6 \\
& = 9
\end{align*}
\]

In this case, the expected time \( (t_e) \) of 9 weeks is greater than the most likely time \( (m) \) of 8 weeks.

When there is a great amount of uncertainty in a project, this three-way time estimate is an important advantage of PERT. While it does introduce a complicating feature, it recognizes the realities which can cause problems in planning for the future. The three-way time estimate usually results in a greater degree of honesty and accuracy in forecasting time. If nothing else, it provides the manager with the opportunity to be aware of and to evaluate the degree of uncertainty involved, especially along the critical path. Estimating the time activity requirements is very crucial since they serve as the basis for calculating the earliest expected date as well as the latest allowable date for completion of the project.

**Notes**
2. "Active" means direct person-to-person activities; "passive" refers to indirect measures such as budgets, procedures, policies.
3. op cit., p. 194.
4. The entire discussion of Gantt or bar charts is taken and edited from: Goodman and Love, op cit.
Chapter 6
Personnel and Personnel Management

One of the chief difficulties in relief operations is finding capable and responsible staff. Field operations are often so large that any available qualified people are quickly taken. Because of the temporary nature of the work, it is difficult to find people who are both capable and free to take temporary assignments. For this reason, the disaster manager is faced with many personnel problems not encountered in other professions. In this Lesson, we shall examine the types of staff to be managed and some of the major personnel issues that confront the manager.

Types of Staff

There are various types of staff, classified not by occupation but by function. The role of each in the relief chain must be clearly understood in order to assign job tasks and to avoid unnecessary overlapping of efforts.

Administrative staff: The administrative staff are the personnel responsible for overall command and coordination and for seeing that the details of the operation are managed. They are also responsible for the vast majority of the paperwork and accounting. In short, their job is to administer the overall program. Administrative personnel do not do the actual relief work and normally work out of offices remote from actual operations. Administrative personnel may include:

1. Office managers
2. Program coordinators
3. Accountants
4. Secretaries
5. Program analysts
6. Transport managers
7. Clerks
8. Storekeepers
9. Public relations officers

One of the most important administrative positions is that of secretary. There is little doubt that intelligent and capable top-class secretaries are worth their weight in gold. The efficiency and speed of an administrative office which has to handle large volumes of different kinds of information depends very much on the skill and organizational ability of the secretaries. It is difficult to run any kind of office with unskilled or inexperienced staff, and it is impossible to run an operations center or field office unless one can be sure that all instructions are understood and followed up immediately and that incoming information is classified intelligently and channeled along the right lines. To work without obtaining the services of such people is a major mistake.

Field workers:
Field workers are personnel working directly at the field level with people in the affected community or with other relief personnel in specific, permanent job assignments. The field worker has a defined task to complete in a specific location(s) and is continually responsible to see that the task is accomplished. In short, field workers implement the program.

Field workers may include:
1. Construction workers
2. Sanitation workers
3. Drivers
4. Laborers
5. Medical staff
6. Organizers
7. Social workers
8. Logistics personnel

Finding adequate field staff can be a major personnel problem. Capable field workers are indispensable to the smooth running of a relief operation, especially where an organization operates a range of activities in a number of different areas. Ideally, a field worker should be a person who can make quick and accurate assessments of the situation, who can make decisions on the spot, who can give advice that is relevant to the immediate situation with suggestions that can be implemented with the resources immediately available, and who can effectively teach the other relief workers. (The teaching aspect is very important, especially when working with volunteers and counterparts.)

Program Advisors:
A program advisor or management consultant is assigned the task of evaluating programs or projects and offering suggestions for improvement. Advisors work at both the administrative and field levels and work on specific, but not permanent, job assignments. Advisors are not responsible for seeing that a project is carried out according to their recommendations, but should offer suggestions of such practicality that they are implemented.

Many consultants do not realize the limitations of their advisory status and often attempt to act as field workers. The resulting friction between advisors and field workers has hampered many operations. Personnel retained as advisors, especially expatriates, should be fully informed as to their advisory role. Likewise, field workers should not attempt to use advisors as temporary field workers.

Technicians:
These include temporary field workers or administrative personnel with specific skills to lend to a relief operation, usually on a designated project. The job of technicians is to provide expertise in a specific but limited field to accomplish a specific task, and they are responsible for seeing that element successfully carried out. In short, a technician's role is that of an auxiliary field worker.

Technicians may include (but are not limited to):

1. Construction specialists
2. Electricians
3. Construction workers
4. Program managers
5. Engineers
6. Architects
7. Communications personnel
8. Logistics personnel
9. Doctors
10. Nurses
11. Agricultural specialists
12. Public health specialists

Volunteers:
Volunteers are unpaid workers supplementing the staff. They may be used in either administrative or field positions, depending upon their skills. Volunteers, of necessity, make up the bulk of many relief programs, and their use is widespread. The degree of responsibility placed on volunteers must be determined by the situation and the quality of the volunteers. Volunteers can be used in a variety of tasks such as:

1. Data collecting
2. Organizing
3. Teaching
4. Recreation
5. Medical aide
6. Supplementary labor
7. Welfare work
8. Social work
9. Tracing and family reunification
10. Record keeping
11. Surveys
12. Maintenance and supervision of equipment or facilities

In an emergency, there is usually no shortage of eager volunteers, especially among students and (often) expatriates. However, the effective utilization of volunteers can be extremely difficult, particularly regarding logistics, transportation, accommodations and expenses. It costs money to maintain volunteers. If the agency is paying all their expenses, it may be more cost-effective to hire local workers. Many international agencies get into the trap of using expatriate volunteers simply because they are easier to understand than locals. In no case should an untrained expatriate volunteer perform work assignments that can be carried out by local or refugee workers.

The most effective expatriate volunteers have proven to be those already in the area working on development projects. These people normally speak the local dialect and have good insight into local conditions. Examples are United Nations volunteers, Peace Corps volunteers, International Voluntary Service workers, etc. If an effective orientation is given to volunteers and they are actively supervised in their work, they can be utilized extensively with good results. An effective screening program to remove physically and psychologically unfit volunteers should also be instituted. Sometimes it is politically necessary to use volunteers; if they are not really useful, some "harmless" jobs can be created for them. Local university students are a special concern, because of both their enthusiasm and their usual lack of field experience (plus they are often politically volatile!)

Refugee Labor:
Refugees are an underutilized source of manpower, either through oversight on the part of relief organizations or due to political restraints or governmental policy. In cases where refugees have crossed international borders, the host country often refuses to authorize relief organizations to hire refugees, in order to keep them from providing low-cost competition to local wage-earners. However, in almost all relief operations, refugees can be recruited into volunteer labor or such projects as food-for-work, etc. The extent of their use depends on the success of efforts to organize refugees from the outset.

Refugees can be employed in numerous positions depending on their skills and health, and they should be sought out as both field and administrative staff. Depending on the political situation, refugees--particularly in administrative posts--should receive equal pay for equal work. Furthermore, the work can give the refugees a useful, temporary occupation and can provide much-needed psychological benefit. Often they are extremely effective workers.
Personnel Issues in Disaster Operations

**Expatriate vs. Local Personnel**

Whatever the circumstances, it is always best to have the majority of the relief work carried out by local personnel. Often, however, many of the trained professionals needed will simply not be available or willing; thus, certain skills will need to be imported. Any organization or agency can find positions for locals—especially volunteers—and should attempt to use them to the greatest extent possible. A major source of irritation in relief work is the use of expatriates who are always viewed as outsiders, especially when there are racial, linguistic, cultural or economic differences. It is especially damaging to local peoples' pride to feel that they cannot take care of their problems without outside help. These problems can be greatly reduced if, at all levels, local personnel are used to the greatest extent possible. It should particularly be remembered that a great source of labor also exists within the affected population; agencies can often find skilled laborers, technicians, teachers and even doctors within a single community.

* A proper balance between local and expatriate should be achieved. Local personnel must be included at all levels, not just the lower ranks.
* Expatriates should assume positions of advisors or supplementary staff in the vast majority of roles. It is necessary that expatriates see their tasks in terms of training, delegation and organization, rather than as individuals performing unassisted tasks. This role should be made clear during the planning process.
* Equitable and equal salaries should be paid to both expatriate and local personnel hired locally. (While such a goal should be pursued for all staff, in reality, due to different living costs in various countries, this is rarely practical.)

**Hired Staff vs. Volunteers**

In relief work, organizations must rely very heavily on the integrity and initiative of the employees or volunteers working with them. Two distinct but complementary lines of reasoning regarding personnel have arisen. One is that only truly dedicated volunteers or self-sacrificing people can cope with the demands made on them and be, at the same time, imaginative and constructive in carrying out the work under very difficult circumstances. The other line of reasoning is that it is worthwhile to pay high salaries in order to attract good people from their more permanent and secure jobs.

Actually, a mixture of the two is probably the best solution, and in the last analysis, efficiency will depend little upon whether you pay a person or not, but rather on whether he or she is motivated to the work. It is false economy to try to economize on salaries if good people can be made available by offering attractive rates of pay. The main thing is to get the job done quickly and efficiently by conscientious and responsible people, even if this means paying high rates in order to do it.

**Untrained Professional Staff**

There is some difference of opinion as to whether top-class professional personnel who have not hitherto been associated with a relief operation can, in fact, work well on a relief program. The arguments against retaining untrained, high-grade staff are that they do not know how a particular relief organizations functions and what is expected. Another problem is that they are often upper- or middle-class urbanites with more knowledge of field problems than that of expatriates. This may be so, and of course it is preferable to employ experienced local relief
workers; but where they are not available, it should be possible to use intelligent outside personnel if the objectives and operating methods of the organization can be defined. If this is accomplished, there would be no reason why locally recruited administrative staff should not be used in supervisory or executive capacities, assuming, of course, that you can find them to work on a temporary basis.

Salaries

Salaries are always points of contention, especially when expatriates are paid more than their local counterparts. The following policy regarding salaries is recommended:

- Wages in country should be paid at the local wage scale.
- Expatriates receiving salaries above local wage rates should have excess salary placed in accounts in their home country or in a foreign bank.
- Equal pay should be given for equal work. This includes local and expatriate, local and refugee, and men and women.
- All accommodations should be taken care of by the relief organization and not withdrawn from wages.

Tours of Duty

The most efficiently run programs are those where the staff have been on the job together for some time. In situations where the staff changes frequently, it is not always possible to maintain the kind of continuity desired. All relief workers at every level are more likely to effective the longer they stay on the job. For this reason, staff should be encouraged to work for as long a period as they possibly can. The ideal tour in long-range situations has proven to be 12-15 months. Several military organizations have experimented with the policy of giving several weeks leave in the middle of a tour. In general, this policy is not recommended, for studies have indicated that the efficiency of individual workers is greatly reduced and a high percentage of workers are reluctant to return from their leave, especially to zones of conflict. It is recommended, however, that staff be given regular days off at their station; i.e. one or two days per week or a similar period, if the situation permits.

Lessons Learned

In observing past relief operations, a number of lessons regarding personnel have been noted.

1. A key organizational problem is that many agencies (especially hierarchical, pyramidal agencies) establish a personnel system that promotes people out of the field. In other words, good performance in the field is rewarded by promotion to an administrative position. This results in less-experienced people in critical field positions.

2. In pyramidal organizations, experienced field workers often feel (and are) relegated to the "bottom of the pile." Such an organization closes the lines of communication of fails to develop a more participatory management style. Field workers soon become dissatisfied and frustrated, resulting in high staff turnover rates and an overall lessening of the organization's effectiveness.

3. Use of volunteers in key positions creates two primary obstacles. The first is the problem of lost experience and the lack of a collective memory within an organization. Volunteers make up the majority of the work force at the field level in many organizations, and many eventually fill decision-making positions during the emergency and reconstruction periods. The loss of this experience after every disaster practically guarantees that mistakes will be repeated frequently.
3. The second problem is that most volunteers are untrained and unskilled in the subtleties of disaster work. Because these people will be with the agency only for a short time, agencies are normally reluctant to commit precious funds for staff development. Thus untrained and, in many cases, unskilled workers are placed in positions where they will confront a host of sophisticated problems. The result is that programs designed to help the victims are simplistic and unsophisticated and, again, common mistakes are repeated.2

4. In general, experience has shown that the best relief workers at the field level are:

• those obtained from development programs that were going on before the disaster (this underscores the need for linking post-disaster programs to ongoing development efforts and vice-versa);
• those with previous disaster experience. There is simply no substitute for experience, and relief organizations must make a concerted effort to identify and retain good, experienced people.

Notes

1 This Lesson is based on "Personnel," Lesson 2 of Vol. I: Administration and Resource Management, Relief Operations Guidebook, INTERTEC, Dallas, Texas, 1974.
Chapter 7
Leadership

The objective of this Lesson is to discuss managerial leadership in disasters and to explore the use of different leadership styles and methods in various situations. The Lesson should give the disaster manager a better understanding of this important aspect of interpersonal relationships between managers and those whom managers must lead and coordinate.

In disaster management, leadership is defined as the process of influencing the activities of others in effective efforts toward achievement of specified goals. The term "leadership" denotes a particular approach to working with fellow personnel and is distinct from "command" which is defined as directing the activities of others.

Leadership is important in disasters because the nature of the situation and of the organizations that respond is such that a manager cannot direct or command operations and be effective. Therefore a management style that emphasizes cooperation, participation, and fairness and is based on personal example and high standards of performance is the best way for a disaster manager to influence the work of others. A manager is a leader when other persons look to him/her for guidance and decisions out of respect for the manager's capabilities, not simply because the manager is the person given authority by his/her organization to make decisions.

Leadership is very much a personal matter, and every person possesses some attributes which are valuable in a leadership role. It is up to the individual to apply and develop these attributes in relation to his or her particular disaster management role and responsibilities.

Leadership and Influence

There is no one best way to lead. In some situations, directive leadership is appropriate, while in other cases a more democratic or participative leader is more effective. Whatever the style, each leader must have some basis for exerting influence over others. In general there are five ways to influence others:

1. **Coercion**: A subordinate perceives or is made to believe that failure to comply with the instructions of a superior would lead to a negative consequence (e.g., an undesirable work assignment, a reprimand, etc.).
2. **Reward**: Compliance with the instructions of a superior leads to positive consequences. These rewards could be monetary (increases in pay or benefits) or non-monetary (a compliment for a job well done or pride in accomplishment).
3. **Position**: Power evoked by the position of a superior in the organizational hierarchy. For example, the director of an agency possesses more legitimate power than a volunteer.
4. **Knowledge**: Use of expertise, skill, knowledge or experience as the basis for influence. Possession of one or more of these attributes gains the respect and compliance of peers or subordinates.
5. **Admiration**: A subordinate's identification with a leader. The leader may be admired because of one or more personal traits, and the subordinate can be influenced because of this admiration.

A true leader will generally use each one of these methods at some time or another, depending upon the circumstances. Most importantly, influence should be viewed as a mutual exercise; that is, leaders and their followers influence each other.
Leaders who attempt to influence solely through coercion will eventually face problems. This is not to say that a leader should be denied the right to discipline followers in a fair manner. However, a leader should be viewed as approachable, fair and considerate. A leader can generally exert more influence if he or she is viewed as being open to influence in some situations.

When influence is divided or shared, both parties gain. By sharing influence with subordinates, a leader can benefit from establishing better interaction and more respect, not to mention learning from subordinates. Subordinates can benefit by learning more about the leader. It has been shown that both managers and subordinates in effective organizations perceive themselves as having influence. The greater the total influence leaders and followers have in the organization, the better the performance of the total system seems to be.1

Factors Affecting Leadership

Managers should be aware of the impact upon those they lead. It is impossible to accurately predict how leadership style will affect followers in every situation. But managers should attempt to learn as much as possible about their influence upon others. W. Carter, former director of the Australian Counter Disaster College, has written that leadership is dependent on the following factors:

- Individual characteristics;
- Professional competence (knowing what to do and how to do it);
- Experience;
- Self-confidence (which stems from professional competence);
- Sound judgment (which develops from a combination of professional competence, self-confidence and experience);
- Accurate decision making (which comes from the above);
- Selecting the appropriate leadership style for the situation.

By focusing on each of these factors, a manager can usually improve his/her ability to lead. Of these factors, the most difficult to affect is confidence, both in oneself and in others.

A lack of confidence usually results in a leader delaying important decisions, making a wrong decision, or worse-making no decision.

Leaders who lack confidence generally have difficulty in diagnosing different situations and coping adequately with these situations. These difficulties result in failure to perform certain functions that lead to desirable results. For example, a leader with little self-confidence will often exercise close supervision over subordinates. The closeness of supervision may prove disruptive and lead to resentment from the work group.

A lack of confidence could also result in the leader making decisions which are not adequate or are viewed by the group as being harmful. The leader who lacks confidence makes decisions in many instances that compromise followers' morale, rewards and status ranking among other groups.

Another factor that influences confidence is understanding of the task. This is especially important in an emergency when goals are not easily defined. In these circumstances, a prime role of the leader is to display "paths" and goals for the subordinates. This can only be accomplished if the manager has good knowledge about the task or experience (or, ideally, both). Experience is a critical factor in confidence. Unfortunately, many disaster managers' first encounter with the critical questions they must resolve only comes in their first emergency.
There is simply no substitute for experience, and for this reason, organizations should attempt to hold on to their experienced field staff.2

**Leadership Styles**

The style of leadership is the key to bringing about improved subordinate motivation, satisfaction, and performance. Four leadership styles can be identified:

1. **Directive**—The leader directs and there is no subordinate participation in decision making.
2. **Supportive**—The leader is friendly and is interested in subordinates as people. By building interpersonal relationships and creating a supportive work environment, the leader seeks to achieve the best performance from subordinates.
3. **Participative**—The leader asks for, receives and uses suggestions from subordinates to make decisions. The leader places emphasis on the staff functioning as a team, as sharing some of the decisions.
4. **Achievement-oriented**—The leader sets challenging goals for subordinates and shows confidence that they can achieve the goals with relatively little supervision.

These four styles can be used by the same leader in different situations. The key is the way the leader affects the "paths" between subordinate behavior and goals. The leader can affect the paths by:

1. Recognizing and stimulating subordinates' needs for rewards over which the leader has some control;
2. Rewarding goal achievement;
3. Supporting subordinates' efforts to achieve the goals;
4. Helping reduce frustrating barriers in the way of achieving goals; and
5. Increasing the opportunities for personal satisfaction for subordinates.

Basically, the leader attempts to help the subordinate find the best path, sets challenging goals, and removes stressful barriers along the way. Supportive leadership has its most positive effect on satisfaction for subordinates who work on stressful and frustrating jobs.

**Lessons in Leadership Styles for Disaster Managers**

People react to different leadership styles in different situations. The following are some practical suggestions for choosing a leadership style according to the various situations encountered in disaster management.

**Phases of a Disaster**

*Emergency or Crisis Situations*: Immediately prior to or after emergencies, there is little time to consult, delegate or permit widespread democratic participation. The leader must act immediately. In times of crisis, there are few goals, except to immediately correct a problem. Autocratic directive leadership is appropriate and probably the most efficient style to use when quick, decisive actions are necessary. In this situation, it is extremely important that experienced, knowledgeable leaders be put in charge. (Still, this does not mean that even "experienced leaders" should act without consulting anyone, especially expatriate managers. That is one reason why some relief programs "get off on the wrong foot;" the leaders act quickly and decisively but without having asked any local people what needs to be done because there "wasn't time."

*Transition Phases of a Disaster*: 


A less directive but still firm style with a more participative and supportive atmosphere is most appropriate.

*Non-Crisis Phase of a Disaster (reconstruction) or preparedness or mitigation planning:* Participative and achievement-oriented styles work best.

**Interpersonal Relationships**

*Professional Colleague Situations:* Relationships existing between technicians, engineers, medical personnel and other professionals generally require a participative leadership style. The job of professionals is to solve non-routine problems that require input from many people. The professional is qualified to make valuable contributions and the participative leader seems best equipped to acquire this input. The medical team pooling knowledge to solve a problem, the engineering team building a refugee camp, or accountants preparing financial reports for the agency are examples of the importance of collaboration through participation.

*Coordination with Non-Subordinates (people or organizations):* These are situations requiring the ability to work with people by being supportive and considerate. The person who has the skill to work with others could be the appointed leader or someone who emerges from a group. The leader with these skills is usually not viewed as an autocrat. Usually the consultative or participative leader is perceived as such by followers.

*Situations where Important Tasks must be Accomplished Quickly by Unskilled or Inexperienced Subordinates:* Participative leadership styles are not particularly effective in situations where there are important tasks to be done and unskilled or inexperienced people to do them. The leader needs to structure the situation for them to be able to do the job correctly. A more directive style is effective because subordinates are not in a position (due to lack of skill or experience) to make useful input into the decision making process. As subordinates increase their skills and gain experience, however, a less directive style could prove effective.

*Dealing with Counterparts and Local Organizations/Groups:* To lead counterparts, a combination of supportive, participatory and achievement-oriented styles is needed. For working with local groups, the participative style is best. In this case, participative leadership refers to the participation of all parties, especially the disaster victims or refugees.

**Development of Leadership Skills and Styles**

It is important for managers to diagnose their leadership styles and skills. Two exercises to help are shown in Appendices 7-A and 7-B.

**Aspects of the Disaster Environment that Affect Leadership**

It is important to recognize aspects of the disaster environment that can influence leadership requirements and styles. These include:

1. The effects of the frequency and intensity of the disaster threat: If the threat is severe and occurs often, then leadership practice and ability is tested frequently; leaders tend to
develop and become proficient in relation to a particular situation. Conversely, if the threat is moderate and infrequent, it provides limited scope for practice and experience. This means that opportunities to develop leadership under actual conditions are infrequent and skills may remain underdeveloped; and in a sudden, severe disaster, they may be found wanting.

2. If a threat is constant and recurring, a community may develop certain responses and attitudes. In the best circumstances, communities and emergency organizations make preparations and determine what should be done; in these cases they respond favorably to strong, active leadership. In other cases, however, the reverse occurs; people become apathetic and resist a leader's efforts to prepare for the disaster. In cases where the threat is only moderate and infrequent, public and organizational acceptance may also be difficult. In both cases, a different style of leadership will have to be assumed by the disaster manager.

3. The structure of governments and communities: If a government is highly centralized and all decisions are made from the capital, leadership will not be as highly developed in government agencies at the local levels. If governments are paternalistic and people depend overwhelmingly on government, it may be hard to develop leadership skills in both governmental and local managers. On the other hand, if governments are decentralized and have strong provincial and local levels, leadership skills of local disaster managers are likely to be more developed and prevalent, and disaster-related leadership can be tackled accordingly.

4. The social characteristics of a community: If a community is traditionally led by one person, then almost regardless of the general attitudes and levels of government, the community will tend to regard the traditional leadership as the "authority." Other persons taking a leadership role may find it difficult (for both political and social reasons) to establish acceptance or a base of legitimacy for their position and might have to take a low-key, low-profile approach to leadership (or approach the traditional leader and work through the local power structure).
APPENDIX 7-A
Managerial Grid Exercise

In the managerial grid exercise, leadership styles are plotted on a two-dimensional grid. This grid is presented in Figure 7-1.

Five specific leadership styles are indicated in the grid. (These are only a few of the many possible leadership styles that can be, and are, utilized.)

1-1 A minimum effort to accomplish the work is exerted by the leader.

9-1 The leader concentrates on task efficiency but shows little regard for the development and morale of subordinates.

1-9 The leader focuses on being supportive and considerate of employees. However, task efficiency is not a primary concern of this easy-going style.

5-5 Adequate task efficiency and satisfactory morale are the goals of this style.

9-9 The leader facilities both production and morale by coordinating and integrating work-related activities.

According to this model, and stated in terms on the grid, the leader who is a 9-9 individual would be using the most effective style. Defining a 9-9 leader for every type of job is difficult. However, a managerial development program can help leaders toward a 9-9 style. The grid is used as a development experience to aid the manager in acquiring concern for fellow employees and expertise to accomplish objectives. The six phases are outlined as follows:

Phase 1- Seminar Groups: Leaders are introduced to the grid approach and philosophy. During the seminars, the training of leaders is conducted by managers who are already familiar with the grid. A key part of the training is to analyze and assess one's own leadership style.

Phase 2- Teamwork: Each department formulates its own 9-9 description. This phase is an extension of Phase 1, which included the second phase. Managers from the same department are brought together. The intent of Phases 1 and 2 is to enable leaders to learn the grid philosophy, to improve their ability to assess their own leadership style, and to develop cohesiveness among the participants and within individual departments.

Phase 3- Inter-Group Interaction: This phase involves intergroup discussion and analysis of 9-9 specifications. Situations are created whereby tensions and conflicts that exist are analyzed by group members.

Phase 4- Organizational goal setting by the leaders participating in the training program is discussed and analyzed. Such problems as performance, control and accountability are placed in a goal-setting context.

Phase 5- Goal Attainment: The participants attempt to accomplish the goals set in Phase 4. As in Phase 1, the participants meet, but this time the discussion focuses on organizational issues and how to accomplish the goals set in the previous phase.

Phase 6- Stabilization: Attempts are made to determine ways of implementing improvements suggested by the training program. An evaluation of the entire program is conducted at this point.

The managerial grid approach relates task effectiveness and human satisfaction to a formal managerial development program. This program is effective in that: 1) the organization's own line managers, not academicians or consultants, run the program; 2) a conceptual framework of management (the grid) is utilized; and 3) the entire managerial hierarchy undergoes development, not just one level (for example, first-line supervisors).
Figure 7-1 Managerial Grid

Source: The Managerial Grid, Robert R. Blake and Jane S. Mouton, Houston, TX: Gulf Publishing Co., 1964
APPENDIX 7-B

The Vroom-Yetton Model

The Vroom-Yetton model is used in management training to help managers select the most appropriate style for a particular situation.

The model attempts to identify the appropriate leadership style for a given set of circumstances or situations. Five leadership styles are suggested by the Vroom-Yetton model:

AI- The leader solves the problem or reaches a decision using available information.

AII- The leader obtains information from followers, then decides on the solution to the problem. The leader may or may not inform followers what the problem is when acquiring information from them. The role of followers is to supply information.

CI- The leader shares the problem with subordinates individually, getting their ideas and suggestions without bringing them together as a group. The leader makes the decision which may or may not reflect followers' influence.

CII- The leader shares problems with subordinates as a group, obtaining their ideas and suggestions. The leader then makes a decision which may or may not reflect followers' influence.

GII- The leader shares a problem with followers as a group. Together the group generates and evaluates alternatives and attempts to reach consensus on a solution. The leader acts as a chairperson. The solution which has the support of the entire group is accepted and implemented.

The appropriate style of leadership (AI, AII, CI, CII, GII) depends on seven attributes of the problem situation. The letters in the code identify the leadership practice. A stands for autocratic; C stands for consultative; and G stands for group.

Vroom and Yetton use a decision tree for determining the best leadership style for a problem situation. Figure 7-2 illustrates how the diagnostic questions are asked for A to G and where a "Yes" or "No" answer takes a person along the three. The person using the decision tree works across it as the questions are answered. In this way a leader can identify his or her situation and the appropriate leadership style.

Notes for Chapter 7 and Appendices

2 To help improve decision making and confidence for inexperienced disaster managers, many organizations are now developing simulations and other training exercises to expose managers to key decisions they may have to face in emergencies.
4 Ibid
5 Victor Vroom and Phillip Yetton, Leadership and Decision Making, Pittsburgh, University of Pittsburgh Press, 1973. It should be recognized that much of the validation of this model and some refinements have been initiated by Arthur Jago.
Figure 7-2 The Vroom / Yetton Decision Tree
Chapter 8
Motivation

Motivation is the art of getting people to do things or to do things more efficiently or quickly.

The vast majority of studies on motivation have looked at persons working in businesses or military organizations where there are formal supervisor/worker relationships and where performance can be stimulated to a large extent by rewards such as promotions or wages and benefits. The manager in a relief operation operates in a much different environment. During an emergency, many of the personnel under his/her control may be part-time staff with no long-term expectations of employment personal achievement within the organization; volunteers who are working out of a sense of commitment for little or no pay or compensation; working parties formed from the disaster-affected population; refugees working to qualify for commodities-ties or services; and persons from other organizations who are assigned to work with, but not for, the manager. Middle- and upper-level managers relief agencies are also confronted with the problem motivating staff members who are not permanent members of their organization’s staff.

The issues facing a disaster manager are:

• How can staff and volunteers be motivated?
• How can productive teamwork be developed?
• How can heterogeneous groups of people be welded into a homogeneous, disciplined staff?
• How can the sense of urgency be maintained throughout the emergency?
• How can persons who normally work in systematic and routine tasks be encouraged to increase their output?
• What incentives can be used to increase performance?

These questions can be partially answered by understanding the fundamentals of human motivation. Psychologists generally agree that all behaviors motivated and that people have reasons for behaving in a certain manner. In other words, all human behavior is designed to achieve certain goals and objectives. This goal-directed behavior revolves around the desire of each individual to satisfy his other personal needs. An unsatisfied need triggers a chain of events leading to actions. The need causes tension (physical or psychological) within the individual, and this leads him or her to engage in some kind of behavior in an attempt to satisfy the need and, thereby, reduce the tension. Understanding this relationship between motivation and behavior is the starting point for understanding the conditions for stimulating action on the part of subordinates.

Psychologists agree that humans are motivated by the desire to satisfy their various needs. There is wide difference of opinion, however, concerning what these needs are and their relative importance. One of the most widely-accepted theories of human motivation classifies needs according to a pyramidal hierarchy (see Figure 8-1) consisting of five levels:

1. physiological,
2. safety;
3. social;
4. esteem; and
5. self-actualization.

The pyramidal hierarchy is used to depict the different levels of importance of each need. The most predominant needs (those at the wider, lower end of the pyramid) must be satisfied before the next higher level of needs can be addressed. Thus, although all people need food, safety,
social acceptance and esteem, they must demand food first and more strongly than anything else.

This hierarchy of needs gives us a beginning point for understanding how to motivate people in different situations. Incoming refugees can be motivated to work in a refugee camp by providing for their physiological and safety needs during the early stages of a relief operation. As the situation stabilizes and their initial needs are met, the refugees higher needs, such as a sense of belonging and self-esteem, will become greater motivators.

For relief staff, social and esteem needs will probably be the beginning point. For many, the important motivations are the social acceptance they derive from working on behalf of others and the self-esteem and esteem from others that they derive from providing humanitarian aid. Providing opportunities for them to utilize and develop their own skills in leadership positions can satisfy the ultimate need: self actualization.

For permanent or career staff, a beginning point for motivation is esteem. Most organizations are successful in satisfying lower-level needs. Through the wages or salary they receive, individuals are able to satisfy physiological needs for themselves and their families. Organizations also aid in satisfying security or safety needs through salary and benefit programs. They aid in satisfying social needs by allowing interaction and association with others on the job. Thus, the success of a manager in motivating permanent staff is a function of his other ability to satisfy the subordinates' higher-level needs. Unfortunately, these needs often prove to be more difficult to achieve, and opportunities within an organization to help individuals meet these needs are typically relatively limited.

Creative managers can do very well at helping people build esteem and self-actualization. Cultivating a participatory management approach is one excellent method. Another is to offer periodic courses and workshops designed to help people grow as individuals as well as to perfect job skills or acquire new ones. In relief and development work, like all human-service-type programs, workers often give a lot of themselves, so it is very important that they be "replenished" vis-a-vis esteem and self-actualization. It is unfortunately relatively rare to find an organization or manager that recognizes this need, and that is why development workers get "burned out"--not only expatriates but local staff as well. The better they are, the higher their motivation level and commitment. the more intense will be their "burn-out."

**Personality and Motivation**

When confronted with an unmet need, an individual may react by engaging in some kind of constructive behavior to solve the problem or may evoke one or more defenses (see Figure 8-2). Which course the person chooses is influenced by his or her personality. Personality differences influence motivation in the following ways:

1. **Strength of Needs**: The strength and importance of various needs differs from one individual to another, depending on an individual's personality. For example, some people have strong esteem needs while others have strong social needs.

2. **Aspiration Level**: Aspirations differ among individuals depending on the strength of their needs. One individual may not be satisfied until reaching a position of power and influence in an organization, while another may be satisfied in a middle-management position. (This does not necessarily mean that the latter has weaker esteem needs; it may mean that he or she finds fulfillment in other areas of life.)

3. **Types of Behavior**: Although people experience the same needs, the strategies or types of behavior which an individual chooses in an attempt to satisfy them may vary widely.
For example, one person may satisfy self-esteem needs by gaining on-the-job recognition from superiors, while another may strive to achieve the esteem by recognition from subordinates.

4. **Reaction to Frustration**: How a person reacts to non-satisfaction of needs is also a function of personality. Personality differences affect the degree to which defensive mechanisms are evoked and determine the kinds of defensive mechanisms that are employed. For example, an individual frustrated in attempts to move up in an organization may compensate by seeking leadership positions in groups outside the primary organization; another person experiencing the same frustration might engage in activities to sabotage the work of those peers promoted in his or her place.

5. **Gender**: Traditional societal roles and expectations as well as diverging developmental experiences have been shown to influence the two sexes differently. There is often a discernible difference between the relative weight men and women tend to especially accord the higher-level needs and the ways they seek to fulfill them.

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**Figure 8-1 Hierarchy of Human Needs**

Source: Fundamentals of Management, p.221.
Figure 8-2 Human Motivation Process
Source: Fundamentals of Management
Goal and Motivation

Personal goals play an important part in determining a person's behavior. In order to achieve a particular goal, some form of behavior must take place. The individual, therefore, weighs the likelihood that various behaviors will achieve the goal. If a certain behavior is expected to be more successful than others, that type of behavior will be selected. (However, this process is not necessarily a conscious one.)

Recognition of subordinates' goals is extremely important for those who wish to motivate them. The manager who can determine the goals of his staff can be more effective in motivating them. By offering opportunities for them to attain their respective goals, personal satisfaction and self-esteem are enhanced, and motivation increases accordingly.

Management Programs Designed to Increase Motivation

In recent years, a number of approaches have been developed to motivate workers for better performance. They can be classified in three categories: job enrichment, linking pay to job performance, and behavior modification.

Job Enrichment

Job enrichment involves the provision of opportunities for personnel to grow psychologically and to mature in the job by modifying aspects of the job itself. (This should be differentiated from job enlargement which is simply increasing the number of tasks.) Job enrichment is normally used for motivating permanent staff in an organization.

In job enrichment, an organization studies the various jobs to determine the core dimensions of each job. Core dimensions include:

1. **Variety.** Variety allows personnel to perform different operations using different procedures and various equipment. Jobs that are high in variety are usually viewed as challenging.
2. **Task Identity.** Task identity allows personnel to perform a complete piece of work. Over-specialized jobs tend to create routine job duties that result in a worker performing only one part of the entire job. This may cause a sense of loss or of non-accomplishment since the worker never sees the end product. Task identity can be enhanced by broadening the task to provide the worker with a feeling of doing the whole job.
3. **Task Significance.** For most workers, it is essential to feel that what they are doing is worthwhile. The importance of the work being performed is called task significance.
4. **Autonomy.** Autonomy refers to the amount of control that a worker has over his/her job duties and the work area. This is an important dimension in stimulating a sense of responsibility.
5. **Feedback.** This is the information that workers receive regarding how well they are performing.

By studying the dimensions of each job, the weaker dimensions can be pinpointed and improved to increase job enrichment. It is important to note that not all jobs can be enriched in every dimension. However, this should not stop managers from attempting to seek methods to improve the overall job situation as much as possible.

A manager attempting to use job enrichment to motivate subordinates must do so on a case-by-case basis. Not all people have an equal need for enrichment in each dimension. Thus,
assessing the needs (and capabilities) of each individual is an important strategy. A manager needs to consider the following questions:

1. Can the subordinate accept more responsibility?
2. Can the subordinate work with more autonomy?
3. Can the job be modified to provide more worker autonomy without jeopardizing overall performance of the operation?

Not all experiments in job enrichment have proven successful. Some organizations utilizing job enrichment programs have found that after initial performance increases, the level of performance eventually declines. Analysis of these cases has attributed the problem to excessive autonomy and authority having been granted to sub-units and to failure to maintain the chain of command within the organization.

Other studies have shown that job enrichment achieves only moderate adjustments to a position and that other needs must be met to increase worker satisfaction. Therefore, both worker and managerial considerations need to be examined before implementing job enrichment.

**Rewards and Job Performance**

Pay or material rewards can be used to motivate performance. In order for such rewards to motivate, they must:

1. Demonstrate that good performance leads to reward.
2. Minimize the negative consequences of good performance.
3. Demonstrate that other (desired) rewards maybe provided for good performance.

**A. Rewards for Permanent Staff:**

Overall, few relief organizations use pay as an incentive for performance. This applies to both managers and non-managers. To some extent, this is because many humanitarian agencies believe that staff should be motivated for reasons other than personal gain. In governmental and intergovernmental organizations, pay incentives may be prohibited or designated by law and, in any case, are difficult to implement. Therefore, most disaster-related organizations must provide rewards other than financial and material. This is unfortunate because relating pay to performance or providing bonuses as an incentive to production can have a substantial positive impact upon motivation, especially for personnel who work in routine jobs such as accounting, transportation, construction and general administrative occupations. It is wrong to everyone within an emergency operation is or should be working for strictly humanitarian concerns. For example, many people within the operation are required to do ordinary non-disaster-related tasks and could be motivated by financial incentives. At the same time, there are limitations and often prohibitions (especially in governmental agencies) to pay incentives. It is necessary to analyze the nature of the job and related issues (such as normal pay in-creases, seniority and actual performance) if pay is to have any motivational value.

If an agency is considering using pay as an incentive, there are three ways for structuring such a plan:

1. **Individual Plans:** These are specific plans tailored for each individual according to his/her job and its value to the organization.
2. **Group Plans:** These are incentive plans set up for certain groups within the organization. Generally, group plans are aimed at lower-echelon staff who handle tasks that are routine and quantifiable.
3. Organization-Wide Plans: These are plans that provide uniform criteria for rewards, and virtually everyone within the organization is eligible for some form of bonus.

B. Rewards for Non-Permanent Staff and Labor:

Cash and material bonuses for temporary staff and volunteers are often used in relief operations. There are two environments which must be considered. The first is the open environment that exists for workers in the aftermath of natural disasters and in most similar conflict situations. When an agency acquires temporary staff members in this environment, it is in fact competing with other institutions or activities that could provide the staff members with an alternative source of income or benefits. Disaster victims and volunteers alike cannot work indefinitely without some form of compensation. For poor and unskilled workers, cash incentives or the opportunity to acquire materials at greatly reduced prices or as gifts can prove to be good motivators.

A closed environment exists within refugee camps and certain other situations where the refugee or disaster victim does not have access to other opportunities for reward. For example, in refugee camps, refugees may build shelters, install water and sanitation systems, and operate most of the services within the camp. In these environments, it is often necessary to offer rewards to people for undertaking unpleasant tasks such as maintaining latrines, heavy manual labor under adverse conditions, or disposal and burial of corpses.

It is common practice for relief organizations to offer supplemental goods, materials or cash to encourage people to undertake these tasks. The most widespread approach is to provide food or additional rations of food as the prime motivator. These schemes generally fall under the "food-for-work" category. Another method often used is to provide additional materials such as blankets, building materials, clothing, etc.

As a general rule, food and material aid has not proven to be a meaningful motivator beyond an initial one- or two-week period. Material aid usually satisfies a one-time need and, therefore, cannot be used repeatedly. Food aid is usually not considered to be a major motivator unless it can be sold by the recipient for cash. In light of these experiences, many agencies pay cash to workers. In camps where markets are permitted, this has generally proven to be the best incentive.

Cash or a material bonus will have incentive value if:

- it is compatible with the person's needs;
- it is offered in sufficient quantity;
- it has a "value" within the environment.

For example, extra food rations may not be a good incentive to refugees if the food is not traditional or if the refugee is receiving adequate food from other sources. Thus, managers should think of rewards in contingency terms, i.e., motivation is a function of the value of the incentive relative to the particular situation or environment of the worker.

**Behavior Modification**

Behavior modification is a method used to improve productivity and to motivate personnel. If a manager reviews the work of various groups or individuals and determines that performance is below average, the established behavior of the individual or group needs to be modified to improve performance.
There are four strategies used to modify behavior. They are:

1. **Positive Reinforcement**: The provision of rewards or further encouragement as performance increases.
2. **Negative Reinforcement**: The removal of negative aspects of a job as a reward for increased production.
3. **Punishment**: Demotion or the introduction of negative aspects of the job as a consequence of poor performance.
4. **Extinction**: The withholding of positive reinforcement until, over time, the undesired behavior disappears.

Positive reinforcement is the strategy most widely used for motivating personnel and is generally recognized as the most powerful behavior modifier. The way it works is as follows. After identifying problems in a particular area, the manager conducts a performance audit to identify aspects of the job that are most closely linked to performance and that could be strengthened with positive reinforcement measures. Next, management establishes realistic goals for each individual or unit and identifies them to the workers. Once the operation begins, frequent feedback on performance is given to the workers. Improved performance is strengthened by such positive reinforcement measures as praise, recognition, and material and cash rewards.

A key difference between behavior modification and simple reward performance motivation techniques is that in the former, rewards are specified prior to the commencement of operations and are achievement-oriented; in the latter, rewards are not necessarily specified and come afterward as a basis of recognition for good work. Furthermore, in behavior modification, a variety of rewards may be given, not all of which are financial or material.

For behavior modification to work, the workers should participate in the development of the reinforcement programs.

**Lessons Learned**

Some management specialists believe that reinforcement programs have only limited impact on the target group. They argue that there are not enough ways to give reinforcement continuously so that such a program can only be used for a short time. If the same reinforcers are used over and over again, they lose their effect. For a disaster manager, however, reinforcements are an excellent tool for motivating staff and personnel in short-term programs.

**Notes**

Chapter 9
Group Dynamics in Disasters

Unusual situations are said to bring out both the best and worst in people. A disaster is probably the most acute example of an unusual situation. The disaster manager must operate in an environment where pressures and events forge unusual combinations of people to provide aid to survivors. The situation and the motivations of the disaster workers combine to present the disaster manager with personnel situations that are unique. In order to be effective in managing personnel under these circumstances, the manager must attempt to understand the unusual aspects of group dynamics created by disasters.

Factors to Consider

A number of factors in disasters create the working environment. These include:

1. **Pressure.** The very nature of an emergency situation is pressure. The pressure is formed by demands from the survivors, demands from the host government, demands from the agency's donors, and demands arising from the workers' own personal sense of urgency. In operations dealing directly with life-threatening situations, the pressures are even more heightened and can have a unifying effect on all the people in the relief operation.

2. **Inexperience of the Workers.** Few personnel working in disasters have had prior experience. Thus, terminology, methods of operation, and technologies will all be unfamiliar. This serves to add confusion in the initial stages of the operation.

3. **Perceptions.** Inexperienced disaster workers harbor many misconceptions about disasters, the type of assistance required, and the approaches that are needed for distributing aid or delivering services. For example, an inexperienced worker may believe that mass inoculations are necessary to prevent the spread of disease, that food should be given to all victims, and that tents should be ordered to provide emergency shelter. The experienced disaster manager, of course, knows that these impressions are erroneous; but in dealing with groups of workers who have not had prior disaster experience, overcoming these myths may be a major task.

4. **Working Conditions.** Working conditions in the affected area in the aftermath of a disaster are often primitive, and the normal conveniences and equipment that facilitate modern operational management are not present. Relief staff are often forced to work long hours without adequate lighting or communications in buildings that are either too hot or too cold and in locations that are unsafe. They are forced to use only minimal office equipment and supplies. Added to this is the highly transitory nature of the staff. There is usually a quick turnover of personnel, and people pressed into service often do not have the skills for the work they are trying to perform. These conditions combine to further increase the pressures on the manager and the people in the work group.

5. **Reactions of the worker to the disaster.** Each individual reacts to a disaster in a different way. People who have lived through the disaster and have suffered from its effects will react differently from someone who has recently arrived. The survivor or refugee must deal with personal losses, grief, and sometimes personal injury. Some will find an outlet for these feelings in work; they may seek ever greater opportunities for service and work increasingly longer hours. Others will be capable of performing only the most menial tasks and will have a hard time concentrating on work until they have been able to overcome their grief. Survivors and refugees may find it difficult to participate in group activities or take part in the collegial atmosphere that is often a part of group work environments.
The outsider is usually more job-focused than the survivor or refugee. The outsider’s reason for participating is to help accomplish the job, and he or she will be able to deal much more easily with the broader technical and managerial aspects of the work. At the same time, the outsider may also be affected by the events resulting from the disaster. For most, this experience heightens their sense of commitment and urgency; but for some, the magnitude of a disaster and the suffering of the victims can cause temporary immobility. In all but a very few cases, however, this stage passes very quickly, and unless a situation continues to deteriorate, almost all workers can very quickly achieve maximum performance levels within the group environment.

Some degree of conflict often arises between outsiders (be they expatriates or host country nationals) and workers from the affected community. Outsiders often develop a sense of pride and accomplishment from working in a disaster, and this may be translated into expressions of self-congratulation and camaraderie; workers from the affected community find this type of behavior to be "boisterous" and insensitive. The different reactions of the two factions can strain working relationships within a work group.

Motivations of Disaster Workers

People are drawn to disaster work for many different reasons. Most relief agencies like to picture their staff as totally committed, caring humanitarians who volunteer to serve the poor or disaster victims without regard to their own personal needs and without any thought of compensation. The disaster manager who believes this is in for a rude awakening. Relief workers are motivated by many reasons, and the disaster manager must recognize the multitude of possible motivations when dealing with personnel.

Some of the major motivations of disaster workers are:

1. **Humanitarian Concern.** Humanitarian concern is probably the primary motivation for most relief workers, especially those from outside the affected area.

2. **Happenstance.** The vast majority of relief workers participate in a relief operation simply because they happen to be on the scene when the disaster occurs or when the refugees arrive. In natural disasters, many relief activities are carried out by the disaster victims themselves, and outsiders rarely account for more than a small fraction of the total personnel involved in a disaster operation. Examples of persons who are caught on the scene are residents of the affected area, representatives of development agencies working in the area, government officials, and relief organizations with sub-units or personnel within the area. While it should be recognized that these people will undoubtedly have humanitarian concern, in all likelihood, very few would be participating had they not been in the area prior to the event.

3. **Excitement.** Many relief workers, especially outsiders, are motivated by excitement. Some observers have likened emergency relief operations to military maneuvers; helicopters fly around, trucks and personnel rumble through the streets, and hundreds and even thousands of people band together for the common cause. For some people, this provides an outlet for expression and the opportunity to do something out of the ordinary. This type of motivation should not necessarily be considered negative, and in fact, personnel who are so motivated can be highly effective relief workers in an emergency period, provided they are given adequate supervision and are placed in positions where their enthusiasm and sense of urgency can be used. Care should be taken, however, to avoid placing this type of person in work situations where there are many survivors who are trying to come to terms with grief.

4. **Grief.** Grief can be a powerful motivator for many disaster victims. As mentioned previously, work helps people take their minds off grief and gives them time to develop
coping mechanisms that will help them deal with their losses. Each person handles grief in his or her own way. The amount of time that is necessary to overcome grief and the amount of time that a worker will be effective while trying to deal with grief can vary immensely.

5. **Guilt.** Many relief workers are motivated by a sense of guilt which can stem from several factors. Many people are disturbed by the fact that they did not suffer losses when friends and relatives did. This translates into a need to make amends, and this need is expressed by working in the relief operation.

   A second sense of guilt is often observed in "Third World" disasters where persons from more affluent communities recognize that the poor have been disproportionately affected by the disaster. Often young professionals throw themselves into relief work as a means of trying to come to grips with the recognition of social inequalities in the society. These workers often become a base for continued activities, and the commitments that people make under these circumstances can be enduring. Relief managers should seek out this type of person and offer them as much authority and opportunity to gain experience as possible, for they can form the leadership of future development projects.

6. **Opportunism.** Unfortunately, many relief workers are motivated by a chance to further their own position or improve their circumstances. This opportunism can be expressed in many ways. In the worst form, workers can find easy opportunities for theft and pilferage or for profiteering directly from the distribution of relief supplies. Subtler forms of opportunism are more difficult to identify. Elements of a country's establishment may see relief work as a means of furthering their influence or control over segments of the population. Some families may try to "place" a family member in the organization to steer contracts in the direction of a family firm. Local people from the affected community may try to insinuate themselves into relief operations in order to form a private power base for themselves among their neighbors. Some people may feel that, by working with a foreign agency, chances for increased status, money or even immigration will result. Relief managers must take care to make sure that opportunists I to arrive at, but workable. I prefer to have these quickly identified, and if their motivation poses a potential problem for the organization, they should be removed from positions of responsibility or authority.

**Group Dynamics**

In a disaster, two types of group dynamics must be considered: the dynamics of groups inside the affected community and the dynamics of the work groups inside an organization.

**The Disaster Community**

Sociologists have recorded the processes of group dynamics that occur in a community in the aftermath of a major disaster. These tend to evolve in the following way:

In the immediate aftermath, normal social and economic distinctions among the disaster victims fade, and the social barriers that segment a community temporarily dissolve as people bond together to overcome the common tragedy. The resulting situation is known as the "disaster community." In this environment, natural leaders are quickly recognized and allowed to assume responsibilities for the common good. Social groups within the community (such as extended families, church organizations, local governments and others) become the frontline organizational structures that provide an avenue for action. These groups are known as coping mechanisms, and in the immediate aftermath, they alter themselves to allow flexibility in responding to the community's needs.
In this environment, individual initiative is welcomed, and obvious priorities receive immediate attention. Informal, "natural" working groups are formed according to need, and natural leaders are usually able to operate with the support of a consensus of the group members.

The "disaster community" begins to break down as contacts with the outside are re-established and increase in frequency. The pre-disaster social and economic hierarchy is reinstated, and formal organizations begin to take over the activities previously conducted by informal working groups. Natural leaders are replaced by persons with "legitimate" authority, and the indigenous coping mechanisms are supplemented by more formal organizations of a larger scale. Unfortunately, the "formal" organizations often overlook the possibility of incorporating these indigenous coping mechanisms in their projects. This is not difficult to do and would greatly improve their capabilities.

*Intra-Organizational Dynamics*

Relief organizations exist within this larger environment. In a few cases, relief organizations are already in the community and begin their operation while the informal "disaster community" is in effect. But in most cases, the very establishment of a formal relief program serves to hasten the demise of the "disaster community." This is not to say that relief organizations should not begin their actions during the emergency period; rather it is a reflection that the "disaster community" only lasts for a very short period.

For the agency operating in an emergency, group dynamics among the staff are usually characterized in much the same way. With the rapid influx of volunteers and staff, natural leaders quickly come to the fore and are recognized by the group as temporarily in charge. Because of the pressure and a feeling of mutual inexperience, personnel will usually attempt to cooperate and work together. Established lines of authority may be crossed frequently without undue worry about formalities.

The emergency and formative period of a relief operation normally passes fairly quickly, rarely exceeding more than several weeks. During the transitional period, individuals within the group go through a transformation, and many of the working environments that were tolerated in the early stages become unacceptable to the group as a whole. Natural leaders who demand much from their staff become less tolerated by their subordinates. Personnel within the work groups realign themselves in order to provide a better working relationship among group members.

At the same time, individuals within the group are reassessing their commitments to the operation. Volunteers re-evaluate their commitment to decide how long they can continue to work without it affecting their income or regular jobs. Survivors or refugees working within the operation often suffer a delayed reaction to their losses, and a period of moodiness or depression may set in. The dynamic leaders may be perceived as less useful, and in some situations, groups begin to react negatively to strong leadership.

In the final period, as longer-term reconstruction begins, the organization becomes more professional. A formal hierarchy is established and filled by personnel with specialized skills. Many of the volunteers or temporary workers are replaced with personnel who have a longer-term, and usually more formal and/or paid commitment to the organization. Work groups function more within the organizational structure and less as ad hoc working relationships. Personnel in work groups that they deem unfavorable or unsupportive will seek to change them or will leave the operation.
Implications for Managers

By looking at group dynamics, managers can identify aspects of group behavior in disasters that provide guidance for personnel management. The most important aspects are:

1. The Cycles Present in Disaster. For example, during the period of the "disaster community," it would be unwise to try to structure a formal organization; rather, the manager should simply allow natural leaders to evolve and undertake to meet the emergency needs.

2. Staffing. A manager who recognizes the attributes and motivations of volunteers and dynamic leaders should recognize that their most important contribution will be in emergency operations and that they should be placed in operations that will be short-term rather than long-term. Outside staff and persons who are more precise and methodical should be placed in longer-term jobs and in jobs that require less dynamic leadership qualities and need less direct supervision.

3. The manager should recognize that a disaster calls for DISTINCT TYPES OF WORKING RELATIONSHIPS AT DIFFERENT POINTS DURING THE DISASTER CYCLE. The manager should also recognize that it is important to institute a work routine that can meet a variety of needs and that work groups may have to be structured so that their members can receive certain types of satisfaction above and beyond completing the objectives of the project.

Notes


Chapter 10
Managing Work Groups

In every organization, personnel are assigned to groups to perform tasks that one person could not accomplish alone. Some work groups are formal parts of the organization's structure. Some are ad hoc groups established to meet a short-term objective. Still others are informal working arrangements that evolve to meet the various needs of the organization and are comprised of individuals working toward a common goal.

There are both positive and negative aspects to the use of work groups. If managers are to avoid the negative aspects, it is important for them to understand the dynamics of work groups and the advantages and limitations of using them to accomplish different types of tasks. It is also important to realize that a work group strongly influences the overall behavior and performance of individual group members.

As a general rule, better ideas emerge when a number of people work on a problem separately than when they work face-to-face in a group. This is probably because group situations can inhibit the generation of ideas from less vocal members. Then why form work groups? First, groups often will take greater risks (probably because the responsibility is shared and is therefore less threatening). Groups also make fewer errors. In a group, there is greater total knowledge and information; often, by discussing the situation, a more thorough review can be accomplished and a particular proposal can be strengthened. Most importantly, many problems require decisions that depend on the participation and support of a number of persons. By forming these individuals into a group, more members will accept a decision based on group problem-solving than when one person solves it alone. Furthermore, communications relating to the decision can be speeded in the group process; the chances for communication breakdowns are reduced when the individuals who must execute the decision have participated in making it.

Classification of Work Groups

Work groups can be classified in two categories: formal and informal. Formal work groups are established by an organization for the accomplishment of a task or tasks. Informal work groups are formed by people in the work situation, not by the organization. These groups may coalesce for the purpose of accomplishing a specific task or may arise naturally in order to meet the needs of a particular group of people working within the organization.

**Formal Groups**

Formal groups include:

1. **Organic Groups**: Organic groups are permanent groupings of personnel specified in the organizational chart. Subordinates report directly to a designated supervisor, and the relationships among personnel have some formal basis.

2. **Task Groups**: A task group is formed of a number of personnel assigned to work together to complete a project. Task groups are usually comprised of personnel from two or more departments and, thus, cross departmental lines.

3. **Committees**: Committees are special-purpose task groups. In this course, the term "committee" will refer to a group of people whose job is to define the parameters of tasks, while a "work group" is assigned the job of accomplishing tasks. The purposes of committees are:
   
   a. to exchange views and information;
b. to recommend action;
c. to generate ideas;
d. to make decisions.

**Informal Groups**

Within a work setting, personnel may band together informally for the purpose of accomplishing an objective. This objective may be related to the work of the organization; for example, team leaders from various departments might decide to get together to coordinate a specific project on an informal basis. Other groups may form because of a particular shared interest or for professional reasons.

Informal groups are likely to develop when the formal organizational structure does not allow persons with the same interests to work together formally. For example, all the engineers within a relief organization might get together informally to compare notes and talk about projects. Interest groups are also formed by workers to promote a particular interest or point of view; within an organization, these are the most important non-formal groups for the manager to consider.

"Friendship groups" are informal associations of workers developed as an extension of their interaction and communication in the work environment. They are formed for a variety of reasons, including common characteristics (such as age or ethnic background), political sentiment, or common interests. In this course, we will not explore friendship groups in detail. However, managers should be aware that many actions (such as assignment of tasks, establishment of other types of working groups, etc.) influence the interaction and communication patterns among subordinates, causing individuals to affiliate with each other so that interests and friendship groups inevitably emerge. These groups can have both positive and negative consequences for an organization, and managers should be alert to ways in which these informal friendship groups affect the overall performance of a program.

**Group Unity**

Group unity is an important aspect of work group dynamics. When establishing a new work group, it is important to cultivate a feeling of unity among the group members at an early stage. A number of factors have been identified which affect the cohesiveness of a group, including:

1. **Size:** As the size of a group increases, its cohesiveness tends to decrease.
2. **Achievement of Goals:** The attainment of goals, especially if they are established by the group, increases cohesiveness.
3. **Status of the Group:** Generally, the higher a group ranks in the hierarchy of an organization, the greater its cohesiveness. A group can achieve status for many reasons, including:
   a. achieving a higher level of performance or attaining other measures of success within the organization;
   b. achieving recognition because individuals within the group display a high level of skill;
   c. conducting work that is dangerous or more challenging than other tasks;
   d. receiving more financial or material rewards than other groups;
   e. recognition that members of the group have been considered for promotion more often or more quickly than those outside of the group.
(It should be noted that a sense of eliteness may cause friction with other groups.)

4. Dependence of members on the work group: The greater individual members' dependency upon the group, the stronger will be the bonds of attraction to the group. A group that is able to satisfy a number of an individual's needs will appear attractive to that individual. These needs may include status, recognition, financial rewards, or the ability to do his or her job more easily.

How to Lead A Work Group

In a work group, a leader is normally designated by the manager or the organization and is expected to provide direction and coordination. The most successful leader is one who understands group processes. The first tasks are to establish clear objectives and goals for the group and to encourage all members to participate. The leader must strive to keep the work group moving toward the objectives without being delayed by endless debates, conflicts and personality clashes.

Some guidelines that can aid group leaders are:

1. Be a careful listener and keep an open mind.
2. Allow each member of the group to voice opinions.
3. Do not place your opinions above those of others.
4. Try to get everyone in the group involved in the group's activities.
5. Display an active interest in the purpose of the group and in the ideas of its members.
6. Help the group focus on the task at hand and provide constant feedback regarding progress.

Making a decision as a group invariably exerts pressure on each member, especially on the group leader. Two forces are at play. One is the desire of the leader and of the group as a whole to produce the best possible performance under the circumstances. This desire may be counteracted to a certain extent by the need of each individual member to be an accepted and cooperative participant. It is this desire that tends to reduce individual disagreement in favor of agreement. Thus, if the majority is forceful, its decision will usually be accepted as adequate, even though individuals within the group believe that better solutions may be available.

It is important that the group leader recognize when a less-than- adequate solution is being accepted by the majority and make an attempt to "steer" the group toward a better solution. The dilemma, however, is whether or not the solution is so much better that it merits the leader jeopardizing the group process in order to obtain it.

How to Motivate A Work Group

Motivation of work groups is slightly more difficult than motivating individuals because the group as a whole must respond to the motivation stimulus. On the other hand, the range of motivation options is smaller because, for the most part, only positive inducements will work; negative measures such as coercion or reprimands usually have only a further debilitating effect on group performance. (This is not to say that constructive criticism cannot be given nor corrective action taken to improve a group's performance.)

The principal motivators in work group situations are:

1. Recognition for achievements;
2. Status (for the group);
3. A sense of accomplishment (for the group as well as for individual members within the group);
4. Rewards (financial, privileges, benefits, etc.);
5. Enrichment (a feeling by the group that they have made a contribution and/or personally benefited from participating in or accomplishing the task).

As a rule, all these can be used to motivate a group although, in relief situations, rewards probably are not as effective as the others. For volunteers and new staff, accomplishment and enrichment are good motivators. For more experienced staff, accomplishment, recognition and status may be more conducive to motivation.

How to Recognize and Remedy Problems in Work Groups

For a manager to understand how to identify and remedy problems in work groups, it is important to understand the dynamics of groups, the roles of various members, and the possibilities for intra-group conflict.

Roles within A Group

Within every group there is a group leader, a group "expert," a group facilitator, a group "personality," and group "workers." It should be noted that each of these roles is an informal one and has been conferred by the group collectively, rather than by the organization. The group leader, of course, can be formally appointed. Whether that person actually leads in all aspects of the group's functions will be subconsciously decided by the group, rather than by the organization.

One management specialist who studied the roles of group members discovered that the individual who had the best ideas and gave the most guidance was classified by the group as the "group task specialist," while the best-liked person was viewed by the group as the "group human relations specialist." It is important that both the manager establishing a work group and the work group's leader understand the roles of these two persons. This understanding enables the manager to assign technical tasks and tasks of coordination to the appropriate individual within the group.

In a formal organization, personnel acquire status because of their positions in the organizational hierarchy. In a work group, especially informal groups, individuals are conferred status by the group according to the roles they perform. There are a number of factors that influence the status accorded by the group. They are:

- the skill of an individual in performing a job;
- the ability of a person to get along with his/her fellow workers; and
- seniority or diffidence accorded to a member by fellow workers because of respect.

By knowing the roles people assume in groups, the manager has a key to analyzing why a group is or is not performing well. If performance is poor, changing one or two people can often improve the situation. On the other hand, transferring a person playing a key role (such as leader or human relations facilitator) may cause a group to falter. (It is important to remember that people may play different roles in different groups. Thus, a leader in one group may be a simple worker in another.)
The Emergence of Leaders

In a formal work group, leaders are usually followed because they have been given authority by the organization and have power to regulate the formal rewards given to the group. In informal groups, leaders emerge from among the group members. The personal characteristics of group leaders can be summarized as follows:

1. The leader is an individual who possesses the attributes which the members perceive as being critical for satisfying their needs.
2. The leader embodies the values of the group and is able to define these values, organize them into a philosophy acceptable to the group, and articulate them to non-members.
3. The leader is able to receive and interpret communications relevant to the group and can effectively convey important information to group members.

(In many countries, leaders are accorded the "right" to lead because of tribal, traditional or political reasons, rather than for ability to lead; yet they do influence and "lead" their followers.)

Work Group Norms

A group norm is an agreement (either formal or subconscious) within the group which establishes how members should behave and standards for performance. Work groups utilize norms to bring about job performance that is acceptable to the group. In the ideal situation, these standards are high and encourage maximum production from each member. In the worst case, these standards are low and inhibit initiative on the part of each of the members.

The dynamics of group norms are complex and often bewildering to the outsider. Many different factors bring about compliance with group norms, especially peer pressure. It is important to recognize that individuals who value their group membership and feel their personal needs are met by being part of the group may allow peer pressures to influence their behavior and performance.

If the performance of the group is poor and the manager determines that this is because the group norms or standards are poor, the best thing to do is replace or abolish the group. If this is not possible, identify the leader, the facilitator and the group "personality" and remove them.

Conflict Within Groups

Differences in opinions, attitudes, values and beliefs create intra-group conflict. To some extent, the norms of the group serve as a means of coping with these differences, and usually conflict is self-contained. In some cases, however, individuals cannot adapt to group norms and become dissatisfied with the interpersonal relationships of the group.

If a formal work group's performance is affected by intra-group conflict, the manager must take action to pinpoint the problem and attempt to overcome it. Remedies include changing the formal leadership of the group; removing a member or a clique within the group that cannot meet the group's norms; reducing the size of the group; and dissolving the group altogether.

Notes

1 R.F. Bailes, INTERACTION PROCESS ANALYSIS: A METHOD FOR THE STUDY OF SMALL GROUPS, Addison-Wesley, Cambridge Massachusetts, 1950
Lesson 11
Personnel Evaluation

Good personnel are the most valuable asset of an operation. Poorly-performing workers can severely constrain and hamper a program. So it follows that personnel evaluation is a critical function of disaster managers. The selection of the right person for a specific job is crucial in both normal and emergency situations. In pre-disaster situations, such as disaster mitigation and preparedness programs, the staff size is constant and usually small. A manager must be able to evaluate each person and assign him or her to the right task. In post-disaster environments, a program staff expands quickly for the emergency, then contracts as rehabilitation and reconstruction phases occur. For this reason, the manager must constantly assess the staff to ensure that each project is being properly executed. When the size of the organization is reduced, the manager must carefully evaluate the staff to determine whom to let go.

In disaster management, there are two purposes for personnel evaluation: to provide the basis for making staffing decisions during the transition between phases of a disaster and to help improve the performance of the operation by determining what aspects of an individual person's work need improvement. Thus, personnel evaluation is an important control technique. The task of fairly, thoroughly and regularly evaluating the performance of others is a difficult one, but is indispensable to smooth operations. Subordinates need to know how they are doing; managers need to know how their subordinates are performing; and organizations need to know if personnel are being used effectively.

Personnel evaluations must be approached carefully. If conducted poorly or with disregard of people's emotions, the evaluation will be disruptive, and it will serve little, if any, purpose. A manager's task is to develop a systematic evaluation process that is meaningful, fair and comprehensive.

In modern management, the term "performance appraisal" is often used instead of "personnel evaluation," as it is considered to be less threatening.

Purpose of Performance Appraisal

In general, performance appraisal is used to influence employee performance and development. Some of the more specific purposes of performance appraisal are:

1. to provide feedback to the person being evaluated. In order to make more positive and efficient performance contributions, each person needs feedback on his or her present performance.

2. to issue rewards and sanctions. Promotion, transfer, merit increases and dismissal can be based on performance appraisals.

3. to serve as input for determining training, recruitment and placement needs.

4. to predict a person's future success or usefulness.

Criteria for Appraisal

The criteria used in the appraisal system should emerge from the job itself. They must:
1. relate to job requirements;

2. be understood and generally accepted by both the appraiser and the person being appraised;

3. be based on a thorough job analysis.

Even if these requirements are met, subjectivity on the part of the evaluator cannot be totally eliminated. To minimize the opportunities for poor judgments in appraisals, it is essential to focus on behavior which relates to performance standards. The more job-related and measurable the performance criteria, the greater the likelihood that the worker will receive a meaningful, fair and comprehensive appraisal.

**Measures of Performance**

Measures of performance are classified as objective or subjective.

Objective measures of performance focus on output or results, such as number of units delivered, number of people served, etc. However, these measures may be deceptive; numerical results may be influenced by various factors beyond the control of the worker. For example, the number of people receiving aid in a particular area may be determined by the size of the area, so an evaluation based on numbers alone will not accurately reflect a worker's performance.

Objective measures can also utilize personnel data such as absenteeism, tardiness, turnover, grievance rates and accident frequency. This information is important to have, but it is rarely available in a usable form; if personnel data are to be used fairly and accurately, it is necessary to compile the statistics carefully.

Subjective measures of performance require the use of personal judgment on the part of the evaluator. The performance appraisal is made by comparing one person to another (effort applied on the job, cooperation with co-workers, planning of work, etc.) or by using a rating scale (e.g., 1 = unacceptable to 5 = outstanding). Obviously the effectiveness of subjective measures depends heavily on the evaluator. It requires fair-mindedness, an ability to dispassionately weigh personality and performance factors, and a thorough familiarity with the individuals under appraisal (see Figures 11-1 and 11-2 for sample rating scales.

**Errors Made in Personnel Appraisal**

In using either objective or subjective measures of performance, errors often result from some bias on the part of the appraiser. These common errors should be recognized and avoided:

"Halo" Effect: This error is perhaps the most pervasive bias in performance appraisal. It occurs when the appraiser assigns ratings or makes judgements which are influenced by his or her impression of one of the worker's qualities or performance in a single job dimension. The general impression (or "halo") then carries over to ratings given on other aspects of the job. The appraiser fails to distinguish among levels of performance on each different aspect.

Halo errors can be minimized by clearly defining the various aspects of a job and by evaluating all workers on one aspect before evaluating them on a second, then a third, and so forth.
Furthermore, training appraisers to recognize the tendency to make halo errors helps them to avoid it.

**Leniency and Harshness:** Many managers might be classified as either too easy or too harsh in their ratings. The easy rater gives subordinates ratings that are higher than the average performance level of subordinates. On the other hand, the harsh rater gives ratings that are lower than the average performance level of subordinates on the rated dimensions.

The following suggestions are offered to minimize leniency/harshness errors:

1. force the appraiser to rate subordinates so that a given percentage falls into categories such as high, average and low (although this technique alone may produce warped evaluations)

2. reduce the ambiguity of the rating scale by clearly defining the dimensions of the ranking system in terms that are as descriptive and meaningful as possible; and

3. set clear standards for each job function for the appraiser to use as a "yardstick."

**Central Tendency:**
Central tendency error is the unwillingness on the part of the appraiser to assign extreme ratings—either high or low. The appraiser tends to stay around the midpoint in evaluating the performance of subordinates. Although this tendency is the opposite of the leniency/harshness syndrome, it can be minimized by using the same countermeasures.

**Recency:**
Recent performance of a worker can significantly influence the appraisal. If recent performance takes precedent in the mind of the evaluator over performance during the entire appraisal period, it may bias his/her judgment. For this reason, appraisers need to guard against good, average or poor recent performance influencing the appraisal disproportionately. Collecting and evaluating demonstrated behaviors over the entire course of the appraisal period may minimize the recency error.

In disaster management, managers are often faced with an additional complication: performance during routine periods may be significantly different from that during an emergency. For example, a person may be well-suited for preparedness tasks, yet fall apart in terms of his/her normal work habits during a crisis. Conversely, people who may not be particularly efficient or organized in normal work situations often rise to the challenge of emergency work and perform very well. When assessing staff under these conditions, the disaster manager must decide whether the change is permanent and whether the person can or should be given another assignment which would be more suited to his or her ability to handle the work situation.

**An Evaluation Approach for Disaster Managers**

Many managers believe that a results-based evaluation program is the most efficient and informative, especially when it is part of an overall motivational and developmental program.

A results-based appraisal program focuses on what the worker achieves. The key features are as follows:
1. The manager and the subordinate meet to discuss and jointly set objectives for the subordinate to achieve during a specified period of time.

2. Both the manager and the subordinate attempt to establish objectives that are realistic, challenging, clear and comprehensive. The objectives should be related to the needs of both the organization and the subordinate.

3. The standards for measuring and evaluating the objectives are agreed upon.

4. The manager and the subordinate establish some intermediate review dates at which times the objectives will be re-examined.

5. The manager plays more of a coaching, counseling and supportive role and less of a judgmental role.

6. The entire process focuses on results and on counseling the subordinate, not on activities, mistakes and organizational requirements.

There are both benefits and potential costs associated with this approach. The fact that it stresses results is a benefit that can also be a problem. Focusing only on results may take attention away from how to accomplish the objectives. A subordinate receiving feedback about what has been achieved may still not be certain about how to make performance correction. A manager may tell a subordinate that an objective was missed, but this type of feedback is incomplete; the subordinate needs feedback or guidance on how to accomplish it in the future.

Another limitation to this approach is that making comparisons between subordinates is difficult. In traditional performance evaluation programs, all subordinates are rated on common dimensions. Since each individual usually has a different set of objectives in this approach, it is difficult to make comparisons across a group of subordinates. Superiors must not only make decisions on the basis of the objectives achieved, but must also evaluate the objectives themselves.

**Conducting the Appraisal**

In disaster management, personnel appraisals should occur each time a program makes the transition from one phase of a disaster to another. In non-crisis periods, one appraisal a year may be adequate; in a post disaster environment, because circumstances change more quickly, appraisals may occur monthly or even more frequently. Appraisals may also be based on length of service; recent hires are usually appraised more frequently than older staff. Thus, an appraisal schedule will depend on the situation and on the purpose of the evaluation.

It should be remembered that if performance appraisals are too far apart or occur too frequently, the worker may not be able to use the feedback received to make improvements. The performance appraisal program should be considered a continual process that focuses both on task accomplishment and on personal development.

**The Appraisal Interview**

Managers may feel uncomfortable about discussing a subordinate’s weaknesses or problems, so some suggestions for preparing and conducting the appraisal interview are given below:
Preparing for the Interview:

1. Hold a group discussion with employees to be evaluated to describe the broad standards for their appraisals.
2. Clarify any differences in language that may exist between the formal written appraisal and the interview.
3. If you are angry with an employee, talk about it before the interview, not during the interview.
4. Be aware of your own biases in judging people.
5. Review the worker’s compensation plan and be knowledgeable about his or her salary history.
6. If you have already given the worker a number of negative appraisals, be prepared to take action.

Conducting the Interview:

1. Focus on positive work performance.
2. Remember that strengths and weaknesses usually spring from the same general characteristics.
3. Admit that your judgment of performance contains some subjectivity.
4. Make it clear that the responsibility for development lies with the individual being evaluated, not with you (the appraiser).
5. Be specific when citing examples.1

If the intent of the appraisal is to help improve performance, the appraiser should provide formal feedback to the worker. Without feedback, he/she will have difficulty in making the adjustments necessary to improve performance.

Notes

Some samples of Rating Scale Formats

Figure 11.1 Samples of Rating Scale Formats
Source: Fundamentals of Management, p. 175
### Typical Graphic Rating Scale

<table>
<thead>
<tr>
<th>Name_____________________</th>
<th>Dept.____________________________</th>
<th>Date_________</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Quantity of Work</strong></td>
<td>Outstanding</td>
<td>Good</td>
</tr>
<tr>
<td>Volume of acceptable work under normal conditions</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Quality of Work</strong></td>
<td>Outstanding</td>
<td>Good</td>
</tr>
<tr>
<td>Thoroughness, neatness, and accuracy of work</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Knowledge of Job</strong></td>
<td>Outstanding</td>
<td>Good</td>
</tr>
<tr>
<td>Clear understanding of the facts or factors pertinent to the job</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Personal Qualities</strong></td>
<td>Outstanding</td>
<td>Good</td>
</tr>
<tr>
<td>Personality, appearance, sociability, leadership, integrity</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Cooperation</strong></td>
<td>Outstanding</td>
<td>Good</td>
</tr>
<tr>
<td>Ability and willingness to work with associates, supervisors and subordinates toward common goals</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Dependability</strong></td>
<td>Outstanding</td>
<td>Good</td>
</tr>
<tr>
<td>Conscientious, thorough, accurate, reliable</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Initiative</strong></td>
<td>Outstanding</td>
<td>Good</td>
</tr>
<tr>
<td>Earnest in asking increased responsibilities. Self-starting, unafraid to proceed alone</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comments</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Figure 11.2 Typical Graphic Rating Scale**

Chapter 12
Structuring Organizations

In this Lesson we shall examine the structuring, or design, of an organization in order to implement a program or a project. This involves arranging the staff within a framework of responsibility and authority.

The traditional organizational structure for relief and development programs can be diagrammed as a pyramid with the director at the top and middle and lower management spreading below. Non-managerial staff occupy the lowest level.

In the mid-1970s, many agencies were faced with demands to share their decision making process; first with field levels of the organization and, second, with the people in the disaster affected community. In responding to these demands, some agencies reorganized the traditional vertical hierarchy, adopting an organizational structure known as a matrix design. The matrix design modifies the traditional organization for the purpose of completing specific projects.

A chart of the organizational structure (called a Table of Organization or an organigram) shows how an organization divides work, departmentalizes, and delegates authority.

The objective of structuring an organization is to improve coordination and control through the design of task functions and authority relationships. The two key concepts are design and structure. Design, in this context, refers to the conscious effort made by managers to predetermine the way in which work is done by their staff; structure refers to the relatively stable relationships and aspects of the organizational framework itself.

The structuring function is the process of breaking down a task function into individual components/assignments, putting them back together in units or departments, and then delegating authority to managers. We can describe the structuring function in terms of dividing tasks, departmentalizing tasks, and delegating authority.

There are five "principles of organization". They are:

1. Specialization of labor;
2. Departmentalization;
3. Span of control;
4. Chain of command;
5. Unity of command.

Specialization of Labor

The starting point in structuring is specialization of labor. For example, in a disaster, many different specialties are involved (e.g., medical, housing, communications, etc.). Even within a particular sector, many different specialists may be involved. In a housing reconstruction program, masons, carpenters, training aids, specialists and accountants, among others, may be found. Each performs a certain range of duties. The overall task is too large for any one specialist to handle within a reasonable period of time. Identification of different tasks and the specialists needed to do them is called "specialization of labor."
Specialization of labor guides managers in determining the content of individual jobs. One result of implementing the specialization-of-labor principle is the development of job descriptions. This in turn helps determine how jobs should be grouped together, which brings us to the principle of departmentalization.

Departmentalization

The criteria for grouping jobs in relief or development agencies can be classified by two major categories: (1) services and (2) internal operations.

1. Service-Oriented Departmentalization: The three commonly used service-oriented criteria are sectoral, situational and geographical.

   Sectoral: Sectoral departmentalization involves grouping all activities in particular sectors, such as housing, health, etc. Grouping by sectors permits the utilization of the specialized skills of those people affiliated with a particular sector or service (see Figure 12-1).

   Situational: Situational departmentalization is the grouping of activities based upon the types of situations to which an agency responds. For example, a development agency may have two departments: one for development and one for disasters. A relief agency may have one staff to provide service to refugees and another to provide assistance to survivors of natural disasters (see Figure 12-2).

   Geographical: Geographical departmentalization-grouping activities according to location-is popular in organizations that have physically diverse service areas (see Figure 12-3).

2. Internal Operations Departmentalization: The two ways of grouping jobs according to internal operations relate to function and process.

   Functional: Functional departmentalization is used when organizations are designed on the basis of the operations performed by a unit. For example, recruiting and selecting staff might be assigned to a personnel department, procurement activities to a purchasing department, and field operations to the operations department. Functional departmentalization is used extensively in governmental and intergovernmental organizations (see Figure 12-4).

   Process departmentalization is the grouping of jobs according to technical operations. For example, the construction of a water supply system for a refugee camp may include cutting pipes, corrosion-treating the pipes, assembling the pumps, and delivering them to the site for installation. In disaster operations, the technical division of work is generally used in mass production related to construction and on-site service or action teams (see Figure 12-5).

There are other ways for dividing work. In large organizations, a number of different methods of dividing work may be used at the same time. The basis for departmentalization is a matter of balancing advantages and disadvantages. They can be evaluated in terms of three criteria:

1. Which approach (basis) permits the maximum use of special technical knowledge?
2. Which provides the most efficient utilization of equipment and personnel?
3. Which provides the best hope of obtaining the required control and coordination?
Departmentalization and Design of the Structure

As soon as jobs have been grouped, the manager must decide what type of organizational structure to use. Two common structures are the conventional pyramidal design and a matrix structure. The pyramid is normally used when tight control is wanted; a matrix is used when flexibility and greater group participation is needed.

A matrix organization is a hierarchical organization that is modified for the purpose of completing a special project. It can be used in projects where a variety of technical specialists are grouped together with non-technical personnel and people from the operational area.

Figure 12-6 presents an example of how a matrix organization (or team) is formed in a traditional organization. The agency depicted uses a functional design during normal periods, but during an emergency, the functional departments are regarded as pools of personnel from which teams are formed for the purpose of carrying out a specific operation. (The Figure shows a team formed for field work, but other teams or task forces can also be formed in headquarters.)

A manager is appointed to head the project. The manager has authority over the personnel assigned to the team and is accountable for the performance of the personnel. When the project is completed, the personnel return to their respective functional units.

In a matrix organization, it is possible for an individual employee to have two managers. However, proponents of matrix organization believe that it provides an agency with the flexibility to work on critical projects. Matrix organization also brings together the specialized talent that is often necessary to complete a project. It preserves the strengths of the vertical structure while adding the strengths of a horizontal or cross-functional structure.2

![Organization Based on a Sectoral Departmentalization](Figure 12.1)
Organization Based on Situational Departmentalization
(for a developmental agency)

Director of Development Programs

County Representative
County Representative
County Representative

Coordinator for Emergency Programs
Refugee Programs Officer
Disaster Assistance Officer

Figure 12.2

Organization Based on Geographical Divisions

Manager

Coordinator Region 1
Coordinator Region 2
Coordinator Region 3

Field Director Area 1
Field Director Area 2

Figure 12.3
Organization Based on Functional Specialization

Office of the High Commissioner

- Assistance Division
- Protection Division
- External Relations
- Social Services Division

Figure 12.4

Organization Based on Process Specialization
(for mass production of emergency shelters in a refugee camp)

Shelter Team Manager

- Materials Procurement Team
- Transport and Delivery Team
- Materials Preparation Team
- Prefab Component Construction Team
- Site Preparation Team
- Final Construction Team

Figure 12.5
Span Of Control

Span of control refers to the number of subordinates who report to a manager. The principle is important for two reasons. First, it is influential in determining the complexity of a manager's job. Second, the span of control determines the shape or configuration of the organization.

Span of Control and Managerial Work

As the number of subordinates reporting to a manager increases, the number of potential interactions between manager and subordinates increases dramatically. It has been found that managerial effectiveness declines as the number of subordinates increases. Most studies of span of control have examined business organizations where work is routine and where both managers and subordinates are dealing with situations whose parameters are known. In routine conditions, span of control can be greater than in situations where non-routine operations predominate.

In disaster management, most specialists argue that span of control be kept relatively limited, especially at the field level. This is because most personnel in the organization will not have had prior disaster experience, and decision making in an emergency will be hampered by incomplete and often confusing information. If the span of control is too great, the manager will be overworked, and the chances for compounding mistakes and losing control will be increased. Therefore, in situations where constant decision making is required, the recommended limit to span of control is between 4-7 subordinates or activities per manager. In repetitive, non-decision operations, the span (i.e., number of subordinates) can be wider.

Span of Control and Organizational Structure

The span of control has important implications for the structure of an organization. For example, assume that an agency has 48 field workers and the span of control is 8. There would be six supervisors directing the workers and two senior supervisors directing three supervisors each. This type of structure is illustrated in Figure 12-7 where there are three levels of management: executive director, regional coordinator and field director.

If the same number of field workers (48) were supervised by two superiors, an organization with only two managerial levels could be structured. The organizational design resulting from widening the span of control to 24 is presented in Figure 12-8. By increasing the span of control from 8 to 24, one level of management and six managerial positions are eliminated from the organization.

The relatively flat organization which results from wide spans of control shortens the communication channels from top to bottom. It also fosters more general supervision since, as noted earlier, managers will not be able to devote as much time to each individual employee. In contrast, narrow spans of control foster close supervision, but at the cost of lengthened communication channels and increased salary costs.

The optimum span depends upon a number of considerations.

1. The competence of both the supervisors and subordinates.
2. The degree of interaction needed between the units or personnel being supervised.
3. The extent to which the supervisor must carry out non-managerial responsibilities, and the demands on his or her time from other people and units.
4. The similarity of the activities being supervised.
5. The incidence of new problems regularly encountered.
6. The extent to which standardized procedures are used to handle new problems or situations.
7. The degree of physical dispersion of subordinates.3

Depending upon the relative importance of each of these factors, the optimum span of control could vary quite considerably.

"P" Factor

It is quite common in relief operations for a table of organization to change from a flat to full span of control several weeks after an emergency has occurred. (This usually happens in the transitional or rehabilitation phase of the disaster.) An organization that appeared to be working well during the emergency suddenly begins to lose its effectiveness, and management feels compelled to revise the structure to bring the operations under stricter control and to improve performance.

In the early stages of a disaster when information is scarce and communications are difficult, managers, by necessity, must delegate responsibility and authority. Most personnel will rise to the occasion and respond well under the pressures placed on them by the nature of the emergency; and everyone recognizes that strict accountability for actions will not be possible. In these circumstances, the type of organization can become irrelevant; the pressures produce performance. As soon as the situation normalizes and pressures subside, performance declines. Relief managers refer to this as the "P" (for "pressure") factor.

The P factor is usually more problematic in pyramidal structures, and this is one reason why matrix structures are recommended for initial emergency operations. Changing an organization's structure in the middle of a relief operation can be very disruptive and can cause many personnel problems. Thus, the influence of the P factor should be recognized, and a suitable operational structure should be designed to meet both emergency and long-term needs.

---

![Formation of Matrix Organization](image)
Narrow Span of Control

Manager

Regional Coordinator

Field Director

Field Director

Field Director

Field Director

Field Director

Field Workers

Field Workers

Figure 12.7

Wide Span of Control

Manager

Field Director

Field Director

Field Workers

Field Workers

Figure 12.8
Chain of Command

The chain of command is the formal channel which determines authority, responsibility and communications. The chain-of-command relationship is viewed as a series of superior/subordinate relationships. Starting at the top of the organization and progressing down to the field, the managerial chain of command can be viewed as a pyramid. Each individual is (or should be) subject to the direct command of only one superior.

Unity of Command

The unity-of-command principle specifies that an unbroken chain of command and communication must be instituted from the manager to each worker. This chain must be seen as a two-way system with communications moving as easily up as down the system. In disasters, unity of command is maintained by providing an opportunity to bypass the formal chain, permitting subordinates to communicate directly with a peer outside the chain when conditions warrant. This is done by designating beforehand the circumstances which require and permit the change.

Unity of Command and the Staff Function

The unity-of-command principle guides the assignment of personnel in the program. It is important to distinguish between line and staff personnel. Line personnel are directly involved in operational activities, distributing goods or services. Staff personnel serve as advisors to facilitate the work of the line personnel. The difference is the degree to which the position contributes directly to the attainment of organizational objectives. Figure 12-9 illustrates the difference between line and staff personnel in an organization.

Using the criterion that the line function contributes directly to the organization's objectives would lead to the conclusion that the project directors perform activities directly related to providing emergency relief. The activities of public relations and engineering managers are supportive or advisory in nature. Thus, they are considered "staff" officers.

The staff specialist in an organization advises and provides information, but has no authority over the work of a particular line manager's subordinates. To place a line manager under the jurisdiction of a staff official would violate the span of control principle and weaken the chain of command.
Line and Staff Functions
(in a hypothetical international relief and development agency)

Figure 12.9
Principles Regarding Organizational Structure

The following principles of organizational structure should be remembered when developing a table of organization:

1. The more complex the organizational structure, the greater the probability that poor management/subordinate relationships will result.
2. Dividing work into fewer and fewer units and dividing departments into sub-departments often results in low output and low morale. Those groups that contribute consistently to the organization and display the highest morale are those that complete entire tasks.
3. Over-functionalization requires close and constant supervision. A consequence of closely supervising personnel is rigid control systems which have a negative effect on morale and productivity.
4. Over-functionalization does not allow personnel to operate except in the closest coordination with others, and the system is often so complex that this coordination cannot occur spontaneously.
5. The overly complex, overly functionalized organizational structure typically requires the type of leader who uses pressure as a supervisory device.
6. Organizations with fewer levels and wider spans of control yield a less complex organizational structure. The wide span of control literally forces management to delegate authority. Widening the span of control requires a trained management team. It shortens both communication networks and the administrative distance between levels of management.
7. Generally, a flatter organizational structure with maximum decentralization develops self-reliance, initiative and decision-making abilities.4

Notes


Chapter 13
Organizational Development

Relief organizations should never be viewed as static. They are constantly evolving and changing form to adapt to differing needs, demands and environments. The structure of individual projects must also be flexible, so that they can change in response to shifting requirements. Thus, the disaster manager must know how to anticipate and implement changes in an organization or project. In this Lesson, the procedures of organizational development are explored.

The term "organizational development" refers to the process of growth which improves the effectiveness of an organization by changing the way it is structured, by modifying the behavior of its employees, or by altering the technology that is used to get the work done.

There are many reasons why a program might need to change its structure or operation. The most common situation a relief agency must confront is the transition from an emergency to a long-term relief operation. In the immediate aftermath of a disaster, an agency will structure its table of organization to facilitate crisis management. However, as the phases change and longer-term projects and needs come to the fore, the organization must adapt its structure to enable a wider variety of developmental issues to be considered and to allow for a more thorough planning process. Such forces for change continually act upon an agency, and it is the responsibility of a manager to determine which require a response and which can be ignored.

Organizational development and change can be managed in a process that follows the sequences outlined in Figure 13-1.

The forces for change can be classified as external and internal. External forces occur outside the organization and are usually beyond the control of the manager. They include changes in the disaster situation, changes in technology, and changes in the availability of resources.

Changes in a situation are the most difficult to control and anticipate. On a disaster scene, circumstances can change rapidly, even overnight. A major disaster, for example, is often followed by secondary events. An earthquake can be followed by many strong tremors, many of which equal or exceed the first thereby increasing the number of casualties. Drought can increase in severity. Disaster assessment figures can prove to be completely inaccurate, thus forcing radical changes in plans. New influxes of refugees can often double or triple the requirements on a relief agency within a matter of hours.

Changes in the technology or equipment used in an operation can be a major reason for restructuring. For example, the acquisition of heavy equipment can replace many teams using hand labor.

The availability of resources for a program may also change. Funding may increase or decrease, or material resources may periodically be in short supply. Such fluctuations dictate corresponding modification to a project.

Internal forces for change within an organization can usually be traced to problems in decision making, communications, and interpersonal relations. For example, decisions are not being made, are being made too late, or are poor. Communication channels may be inadequate or not conducive to rapid response. Such internal forces are very influential on the performance of an organization, and a manager must be prepared to deal with problems in these areas as soon as they are recognized.
Process for Managing Change

The following sequence of steps outlines a general procedure for facilitating whatever changes are needed within an organization.

**Step 1: Recognition**

Recognition of a need for change can be brought about by many different events. An updated disaster assessment, a budget analysis, or periodic audits may reveal problems which must be dealt with. It is important that managers identify sources of feedback so that an information system can be developed and the need for change can be identified promptly.

**Step 2: Diagnosis of Problems**

Before appropriate action can be taken, the problem must be defined and all its aspects must be examined. To diagnose the problem:

1. identify the problem;
2. determine what must be changed to resolve it; and
3. determine what objectives are expected from the change (and how they can be measured).

**Step 3: Identification of Alternatives**

There are numerous techniques that can be used to change an organization, once the nature of the problem has been determined. These may be classified according to what needs to be changed: normally the structure, the people, or the technology.

*Structural Change.*

Structural changes require managerial actions to improve performance by altering job content and scope, by the grouping of jobs and departments, by changing the span of control, or by providing extra staff. When a structure is changed, various processes will be altered accordingly: communications, decision making, and human interaction.
Because a structure creates human and social relationships which gradually develop into informal working relationships among members of the organization, an element of stability is created. Changes in the structure can disrupt stability. Therefore, when altering a structure, managers must take extra care that the disruption of these relationships does not cause further problems.

Structural change may be carried out by:

1. Altering the basis for departmentalization; for example, changing from geographic departmentalization to technical or sectoral departmentalization.
2. Modifying the relationship between line and staff personnel.
3. Restructuring the decision-making hierarchy. For example, by increasing or decreasing span of control.
4. Changing the specification of particular jobs. For example, by redefining terms of reference or job specifications, the workload can be enlarged or reduced, or a worker can be given more autonomy or brought under greater control.
5. Streamlining work by adding or changing equipment. For example, the number or type of personnel is often changed when machinery or other equipment is acquired.

Changing People.
To change people, efforts must be made to redirect and improve personnel attitudes, skills and knowledge. The objective is to enhance the capacity of individuals to perform assigned tasks in coordination with others. Typically, changes focus on improving the technical and interpersonal skills of managers or on improving the skills, knowledge and attitudes of non-managerial personnel.

Technological Change.
Introduction of technology or technological innovations can have far-reaching effects on the structure of the organization and on the behavior of the people in it. Technology is often a key determinant of the structure, and a decision to adopt new technology often involves a decision to adapt the organizational structure to that technology. Changes can include:

1. Major changes in the division of labor and the content of work.
2. Changes in the relationship among workers.
3. The need for different supervisory and technical skills.
5. Changes in the decision-making hierarchy.

The extent of these changes depends on the type of technology being adopted. The acquisition of a new radio communications set to improve long-distance communications in the field or between the field and the home office would probably not have many structural consequences. However, the acquisition of a computer to perform accounting and logistics operation duties could require the creation of new departments and the placement of new personnel in staff positions.

Step 4: Recognition of Limiting Conditions
The choice regarding which change technique to use will be influenced by several constraints, including:

- the structure of the organization;
- the philosophy of the organization;
- the commitment of the leadership of the organization; and
- the commitment of the average personnel within the organization.

The realities of limiting conditions are such that managers must, in many cases, be content with only modest change or with no change at all. The implementation of change without considering the constraints imposed by prevailing conditions within an organization may only make the original problem worse.

Step 5: Selection of a Change Strategy

Once a technique for change has been determined by management, a strategy for implementing the change must be developed. In general, there are three approaches that can be used. The change can be mandated by management from the top of the organization; the change can be worked out jointly by management and personnel; or the affected personnel can be allowed to implement the change by giving them the general parameters and leaving them to work out the details. The method selected usually depends on the time available, the importance of the structural change, the availability of options, and whether or not the changes must be made to a regular or temporary component of the organization.

Organizational changes are often resisted by those involved, unless they participate in the change management process. The resistance may range from passive resignation to deliberate sabotage. The objective of selecting a strategy to deal with the change is to minimize this resistance and to maximize cooperation and support for the changes. As a general rule, it has been found that the strategy which emphasizes shared authority has the greatest likelihood of minimizing resistance to change.

Step 6: Implementing and Monitoring the Change

Implementation of a proposed change has two dimensions: timing and scope.

Timing is extremely important and depends upon a number of factors, including a program's operating cycle(s), its budget cycle, and the amount of preparation required before implementing the change.

Scope refers to the magnitude of the impact that the change will have on the organization or program. If the change is to be implemented throughout the organization and is mandated by top management, it may be possible to effect the change rapidly. On the other hand, it may be advisable to phase in the changes gradually or level by level.

Once the changes have been implemented, it is important that they be monitored. Monitoring involves acquiring data to measure the impact of the changes and to determine if they are working out as desired and determining trends that can indicate future performance. Managers are responsible for identifying indications of improvement, the extent or level of improvement, and the duration of the improvement. In the best case, improvements will begin immediately and will continue to increase until the desired level has been reached. The more usual pattern, however, is to first experience a gradual short-term decrease in performance, followed eventually by an increase as expected. In the worst cases, performance increases initially and then falls off or, even worse, starts off poorly and never improves.

A well-devised strategy for change should include and analysis of what patterns of change can be expected. This enables the manager to compare actual changes with those that were expected. If improvements in performance have not occurred within a specified amount of time, the change strategy must be re-evaluated and an alternative selected.
Chapter 14
Criteria for Assessing a Program

There are many ways to assess a program, and each type of program generates its one specialized set of criteria to be used in deciding whether it is meeting its goals and objectives. However, there are several general criteria that can be applied to determine overall benefit. These are based on the contributions the program makes to the community. Contributions are divided into two sets: short-term or immediate and long-term or developmental.

The short-term or immediate contribution is measured in three ways. First is the humanitarian contribution—the reduction of suffering or of the burdens placed on individuals and the community by the disaster. Second is the contribution to, or support of, existing local coping mechanisms. This is determined by whether the program works through or enhances the capabilities of the mechanisms within the society that normally deal with disaster. The third measurement is whether a program shortens the length of time between the emergency and full recovery or delays it, as can unfortunately happen in certain cases.

The long-term or developmental contributions of a particular program are more difficult to judge, but are extremely important, especially in the assessment of recovery and reconstruction programs. Actions are measured first by their contribution toward long-term development of the society. This is determined by the extent to which the program helped develop local leadership and contributed to institution-building and the improvement of skills within the community.

The second developmental contribution is based on the "spin-off" or peripheral benefits. For example, did the program contribute to broad developmental goals or set in motion activities that would help attain these broader objectives?

Finally, the developmental contribution should be measured by the amount of increased safety of the community. A post-disaster program that simply returned a society to the same state of vulnerability that existed prior to the disaster would fail this test.

Common Problems in Program Execution

In order to assess the effectiveness and contributions of a relief program, the manager should be aware of problems and obstacles that are commonly encountered during the execution of this type of program. Many are "built-in" due to insufficiently thorough pre-planning or due to an agency interpreting its mandate for "emergency relief" so narrowly that it excludes any long-term considerations of potential impact on the community.

The following problems have been identified in final program assessments in the past and have the added impetus of having been encountered by managers and program staff in many types of relief programs over a period of many years.

1. Failure to clearly define objectives and tasks.
2. Failure to redefine the program as events change.
3. Failure to match resources with needs.
4. Failure to coordinate with local community, government and local organizations.
5. Overloading the local organization with too much work or money.
6. Concentration on the product, not the process. (Many agencies concentrate on the attainment of measurable goals, such as the number of people fed, sheltered and clothed, and tend to measure their performance in these terms alone. Using these
criteria, agencies often neglect the process by which the goals are attained. In most cases, however, the process is at least as important as the product.)

7. Failure to support local institutions or groups that help people cope with a disaster. (This cannot be overemphasized. Agencies must be extremely careful to support the local institutions on which people normally rely for emergency aid—from, at the very least, not to undermine their effectiveness.)

8. Failure to concentrate resources where the agency is most effective.

9. Staying in a relief mode too long. (Many agencies fail to note the rapidly changing circumstances in the post-disaster environment. The time for emergency relief and charitable programs passes quickly; other approaches are required in the transition to longer-term reconstruction activities. An agency that continues to provide relief during the reconstruction period will not only be providing aid inappropriate for the period, but will hamper the reconstruction efforts of other agencies and even delay the recovery.)

10. Failure to use local resources. (Many agencies find that it is easier to import the materials, supplies and expertise than to acquire them from sources within the affected community. Often, imported supplies are cheaper, even with the added transport costs; because of the disrupted market structure following a disaster, they can often be obtained more quickly. Importing of resources, however, reduces participation by the local community and bypasses an opportunity to provide a stimulus to recovery.)

11. Failure to prevent the recurrence of a disaster. (This is one of the hidden, yet most common, faults of reconstruction programs. There are two aspects to mitigation: physical vulnerability and socio-economic factors. For example, houses can be made safer and communities can be relocated to less vulnerable sites. If disasters are a result of long-term socio-economic problems in a society, agencies cannot address the vulnerability problem without undertaking a wider look at the overall development aspects of the problem. For example, why are communities located in vulnerable areas? Is it realistic or safe to try to relocate them? The challenge is to formulate plans that are more development-oriented than disaster-oriented and that include disaster mitigation as an integral part.)

12. Failure to develop local capabilities. (Opportunities to develop local capabilities are often overlooked. A relief program offers many opportunities for training or improving the skills of local people. Program management, accounting, construction techniques, materials handling and vehicle maintenance are but a few of the skills that can be developed. Most important are the skills for planning and carrying out projects. When these are imparted to local leaders, they can formulate and carry out programs on their own. Helping others to develop skills can be time consuming and expensive, but is an added contribution to the community.)

The best way to eliminate these pitfalls is to identify them in advance and be prepared to deal with them or, better yet, to plan the program in such a way that precautions are taken to avoid them. If program assessments are undertaken in a timely manner throughout the conduct of the program, problems in program execution can be detected early enough to make the necessary corrections or revisions before the problems become severe.

However, many of these problems reflect the overall attitudinal stance of the agency responsible for the program, and these of course are the most difficult ones to overcome. If a desire to make positive contributions within the affected community is not an underlying or stated goal within the agency, efforts made to revise the program toward this end may not be successful. Organizational management structure also plays a part in how successful a program may be in terms of contributing to the community. An organization which encourages two-way information flow between field and home office staff and which decentralizes decision making so that field managers have a great deal of input into the program planning process is generally in a better position to know community needs and resources and to take them into account in program planning.
Impact Assessment

Some of the problems listed above hamper management in execution of the program, yet the program can continue to function and can be judged a "success" by the responsible agency in terms of quantifiable achievements such as number of people fed, housed, or treated medically, etc. Yet the real impact is on the community which the program is attempting to assist. Programs that encounter these problems and fail to correct them may fail to make even a short-term, positive contribution to the community and may indeed have a negative impact on the normal social, cultural and economic life of the intended beneficiaries.

Most agencies use some type of formal program assessment, for internal and reporting purposes, to determine how well they have achieved their goals and objectives. But few use developmental criteria to measure a program's effects, both short- and long-term, on the assisted community. Because community impact assessment must measure both "seen" and "unseen" factors, care must be taken to develop an assessment form and procedures that will produce the kind of meaningful data desired. It is also extremely important that impact assessment cross sectoral lines in order to determine the full extent of program impact. For example, if an assessment is being conducted of a post-disaster housing program, it should look beyond its achievements in that particular sector (housing) to identify the program's impact on related economic activities (construction materials markets, transportation, industrial production, employment, financial institutions, etc.); social/cultural activities (existing training/extension programs, cooperatives, existing family and religious social fabric, etc.); and agricultural activities (timing, priorities, etc.).

A means for looking at the potential impact within the community should be designed and then utilized during all stages of program planning and execution, and a staff training course should be developed to explain how and when impact assessments are to be conducted. A field staff that is trained to conduct this type of assessment both during and after a project will be able to provide vital feedback not only for intra-program revisions, but also for future project planning.
Lesson 15  
Project Completion and Transfer

After a project's objectives and goals are met, the completion and transfer phase of the project should be implemented. Manpower, leftover resources and supplies can then be relocated to other areas. Too often, the completion and transfer phase is not dealt with until the actual end of the project. This can lead to a tremendous amount of waste, dissatisfaction among personnel, and/or recipient dissatisfaction and increased cost of a project. In some cases, failure to develop a comprehensive completion and transfer plan can have adverse effects on the social and economic status of the host community.

Modern project management techniques recognize the importance of proper planning in the early stages of a project to ensure a successful completion and transfer phase.

Process of Project Completion

The necessary steps for completion and transfer of a project should be considered during the planning stages of the project. It is the responsibility of the project manager to review the project completion plan. The project manager should be aware that the phasing in and the phasing out of resources and supplies will take place throughout the entire project cycle.

The process for developing a completion plan can be broken down into three steps.

1. A project completion schedule should be prepared. The schedule will involve the estimated completion dates of both the project as a whole and its various component stages. It sets down the terms of completion for the project manager and for the final user, as well as for the funding agency concerned. To accomplish this, several factors need to be established:
   a. The financial aspects of the project, including the amount that may be retained by the funding organization following completion of a particular stage;
   b. The responsibility for the risk of the completed project once agreement to hand it over has been reached;
   c. The resources including workers, commodities, and physical and technical aspects required by the organization given the responsibility for operating the project;
   d. Notification of change of the control status must be made to outsiders concerned with the project in both a direct and indirect manner.

2. A special reporting and management information system should be established as the project or its stages come nearer to completion, so that full information relating to the project is available for the project manager, funding authority and the organization who will be taking over the completed project. A number of reports must be completed for the funding organization and the policy makers, together with details the future administrators of the project will need.

3. All the contracts must be finalized, loan facilities terminated, and institutions, such as local banks, insurance organizations and other authorities notified of the proposed changes in administration. Unexpired contracts will also have to be negotiated and a number of other activities, such as maintenance and insurance, may need to be carried over. At this stage, technical reports to enable future projects of a similar nature to learn from the project's experience could be prepared.
In many cases, a fourth step is required to make the completion plan complete. This step involves the development of a plan to train those persons who will be using the project or those who will be running and continuing the project.

**Common Problems of Project Completion**

The following are common causes of difficulty upon project completion:

1. Failure to expeditiously terminate "unsuccessful" projects due to inadequate monitoring and control by central government authorities and international assistance agencies; political defensiveness and unwillingness to admit failure; or resistance on the part of constituency groups.
2. Restriction of benefits and outputs to a smaller group of recipients than intended by project design; demonstration and spread effects of the project are limited except where special efforts are made to amplify them.
3. Failure to prepare and submit project completion reports, thus complicating project evaluation and delaying formal closeout of loans and grants.
4. Inadequate or inappropriate utilization of outputs of completed projects by beneficiaries; failure of the government and international assistance agencies to plan for user training.
5. Difficulties of the donor agencies in terminating their contribution to a successful project prior to completion without jeopardizing continuation of the project.

To avoid these pitfalls, project managers must plan for this stage of the integrated project cycle in a systematic way, with the goal of smooth and efficient handover of authority, assimilation, and transfer of resources.

**Project Transfer**

In many cases, there exist no formal plans for the transferring of a project at the completion point. This oversight can halt the momentum gained by a successful project, damage the credibility of the organizations involved, and delay implementation of the final objectives. The transfer of the project at completion should be considered during the planning stage.

Factors that should be included in the transfer procedure are:

1. Appointment of a management team to take over the project as an ongoing operation.
2. Preparation of an outline scheme with budgetary estimates to ensure that the project will operate within the financial resources available.
3. Securing of approval for the project to become or remain operational from government, local government, or other authorities.
4. Contracting with suppliers or service organizations to ensure that necessary resources flow into the project.
5. Reaching an understanding with authorities regarding such matters as taxation, union requirements, etc.
6. Obtaining necessary licenses to enable the operation of the project to get underway and ordering special equipment or training special staff so that the project is ready to begin on schedule.

Transfer can be a complex procedure. Since both the project managers and the receivers of the completed procedure are unlikely to have had much experience at project transfer, great care needs to be taken that all eventualities are covered.
Implications of Project Completion and Transfer

Completion of a major project can create disruption within a community. Every effort needs to be made to ensure that where resources are withdrawn from a community, as little disruption to the society as possible is experienced. This is particularly the case where local tradespeople, workers and others have developed businesses and employment opportunities around the project's activities. Wherever possible, information about the anticipated schedule for completion and any continuing activities being transferred to another organization should be made known to the community so that steps can be taken well in advance to avoid what could be serious social disruptions. Where a large section of the community might be deprived of employment or income through the closing down of a project, the public should be made aware of this prospect at the beginning of a project so that they are not encouraged to become dependent on an activity that has a limited life.

During development of a completion and transfer plan, the most valuable resource—the human resource—is often overlooked. As a project nears completion, it is essential that the personnel involved have some indication of their future. In the case of local workers, they need to have some idea of what roles (if any) they can fill in the project at completion. Often local personnel involved with the project can become valuable, experienced advisors or employees of the organization that operates or continues the project after completion. Personnel who were brought into the project from outside the local community should also be informed of their options at the completion and transfer stage. All personnel involved with a project will have some idea of what they want to do after completion; it is the responsibility of the project manager to discuss these ideas and options with them as early as possible to help them achieve their personal goals while preventing fear and uncertainty about employment and relocation.

Notes

Principles of Management

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Date you finished the course: _________________________________________

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