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INCIDENT COMMAND SYSTEM (ICS) PERFORMANCE EVALUATION

PHILIPPINES COUNTRY REPORT

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A Performance Evaluation of the ICS System in Philippines Covering the Assistance Provided by USAID/OFDA from 2011

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Cover photo: Microtel Incident Command Post managing ASEAN50 Meeting near Mall of Asia, Manila, Philippines

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Acronyms

AAR	After Action Review/Report
AC	Area Command
ACDM	ASEAN Committee on Disaster Management
AHIMT	All-Hazard Incident Management Team
ADPC	Asia Disaster Preparedness Center
AFP	Armed Forces of the Philippines
ASEAN	Association of Southeast Asian Nations
BFP	Bureau of Fire Prevention
COR	Contracting Officer Representative
DDPM	Disaster Prevention and Mitigation
DEC	Development Experience Clearinghouse
DILG	Department of Interior and Local Government
DOH	Department of Health
DOS	Department of State
DPMRC	Disaster Prevention and Mitigation Regional Center
DRR	Disaster Risk Reduction
DSWD	Department of Social Welfare and Development
EAP	East Asia Pacific
EOC	Emergency Operations Center
ESF	Emergency Support Function
FGDs	Focus group discussions
FY	Fiscal Year
GIs	Group interviews
GoI	Government of Indonesia
GoP	Government of the Philippines
ICP	Incident Command Post
ICS	Incident Command System
IMATs	Incident Management Assistance Teams
IMTs	Incident Management Teams
KIIs	Key informant interviews
MT	Master Trainer
NDRF	National Risk Reduction Framework
NDRMF	National Disaster Risk Management Framework
NDRMP	National Disaster Risk Management Plan (2015)
NDRRMC	National Disaster Risk Reduction and Management Council

NGO	Non-Governmental Organization
NIEM	National Institute of Emergency Medicine (Thailand)
NIMS	National Incident Management System
OFDA	Office of U.S. Foreign Disaster Assistance
PNP	Philippine National Police
POC	Point of Contact
RFTOP	Request for Task Order Proposal
RTG	Royal Thai Government
SEA	Southeast Asia
SGLG	Seal of Good Local Governance
SOW	Statement of Work
THAIMAT	Thailand Incident Management Assistance Team
ToC	Theory of Change
TOT	Training-of-Trainers
UN	United Nations
USAID	United States Agency for International Development
USD	United States Dollar
USG	United States Government
USFS	United States Forest Service
UFE	Utilization-focused evaluation
WFP	World Food Program
WVI	World Vision Indonesia

I. Evaluation Purpose

The goal of this evaluation is to improve U.S. Agency for International Development Office of U.S. Foreign Disaster Assistance (USAID/OFDA)'s understanding of the performance of the Incident Command System (ICS) program supported by USAID/OFDA in the East Asia Pacific (EAP) region. The evaluation focuses on the effectiveness and sustainability of the USAID/OFDA funded ICS programs in Thailand, as well as in Indonesia and the Philippines. The findings of this evaluation will inform future programming decisions and adjustments to ongoing ICS programming.

After five years of supporting the ICS programming in a variety of regions, USAID/OFDA seeks a deeper understanding of the successes and areas for improvement in this capacity-building model. An evaluation of the performance of the ICS program in FY 2017 will allow USAID/OFDA decision-makers to apply the information from this evaluation in future programming decisions related to DRR programming and the ICS program model specifically. With more than $4 million invested in the ICS program over the last five years, the program is a significant investment in resources from USAID/OFDA. As with many capacity-building initiatives, contextual factors can influence the results from the capacity intervention. The introduction of ICS into a variety of countries—all with their own disaster risks, government structures, and socio-economic factors—has led USAID/OFDA to seek more information about the factors for success and the potential for sustainability.

II. Evaluation Questions

This evaluation had two objectives: understanding effectiveness and sustainability. Each objective had several lines of inquiry that informed the evaluation design. Data was collected for all lines of inquiry in the Philippines, Indonesia, and Thailand and was analyzed to compare results from the different contexts. The first objective to evaluate effectiveness of the program had the following five lines of inquiry:

Objective 1: Effectiveness

1. To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?
2. Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?
3. Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?
4. What country-level factors influence the effectiveness of the ICS program?
5. To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?

The second objective to evaluate the sustainability of the program had the following four lines of inquiry:

Objective 2: Sustainability

6. To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?
7. What barriers to utilization of the ICS exist?
8. How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?

9. What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?

III. Project Background

ICS Program Background
Countries in the EAP region face extremely high risks from typhoons (hurricanes), monsoon rains, volcanoes, earthquakes, tsunamis and other natural phenomena. To mitigate these risks, USAID/OFDA has funded a range of disaster risk reduction (DRR) activities in the region. While OFDA's DRR programming in EAP focuses on context specific activities designed to meet the particular DRR needs of each individual country, host country human and institutional capacity building has been a consistent theme throughout. Developing a capability to respond to disasters more effectively using the ICS has been a key element in all of these efforts.

ICS is a standardized incident management approach, applicable to any disaster scenario, which is designed to improve coordination and communication among the various actors and agencies involved in disaster response. ICS was originally developed in the U.S. in the 1970s, following a series of catastrophic southern California fires, when analysis revealed that inadequate management, rather than lack of resources or failure of tactics, was the main reason for ineffective response. ICS was intended to address these management weaknesses, which had caused problems with accountability, communication, planning, management structures, and integration of interagency requirements.

ICS comprises a set of basic principles, an organizational structure, and an operational planning process and includes a clear chain of command, common terminology, interoperable communications, standardized training, and consistent certification requirements for disaster response staff. ICS expanded throughout the U.S. in the 1980s and 1990s, and since the early 2000s has become a primary component of the United States' overall, presidentially mandated National Incident Management System (NIMS), where it is codified in the Command and Management section. More recently, spearheaded by the U.S., the ICS approach has also spread internationally.

OFDA's DRR strategy in EAP focuses on increasing the capacity of national incident management systems to effectively respond to disasters. As part of this effort, OFDA has funded U.S. Forest Service (USFS) ICS capacity building activities across the EAP, providing training in Brunei, Burma, Indonesia, the Philippines, Thailand, Vietnam, Mongolia, the Solomon Islands, Timor Leste and Vanuatu, and supported U.S. study tours and regional activities.

The Philippines Country Program Background
USAID/OFDA has provided $1,170,000 to support ICS programming in the Philippines from FY 2010 to FY 2014. USAID/OFDA support has funded train-the-trainer courses, as well as technical support for the adaptation of course materials, the establishment of Incident Management Teams (IMTs) in focal areas, the development of national ICS policy and guidelines, the mentoring of Master Trainers, the conduct of exercises, the establishment of training and certification standards for ICS trainers, and the development of a website to track ICS training nation-wide.

In FY 2012, USAID/OFDA supported the USFS to bring ICS training to the local government unit level, with a focus on local government units and provinces in four regions (Cagayan, Laguna, Sorsogon and Benguet) that USAID/OFDA targeted for a capacity-building and technical support program implemented through the World Food Program (WFP). The USFS worked with WFP and the Philippine Office of Civil Defense (OCD) to conduct an ICS course for participants from selected local government units and provincial Disaster Risk Reduction Management Committees (DRRMCs) in each of the four regions, as well as team-based All-Hazard Incident Management Team (AHIMT) courses and

exercises for newly established Incident Management Teams in Cagayan and Benguet. In April 2011, the OCD selected three pilot areas for testing the ICS at different geographic levels in the country, selecting one location in each of the country's three main island regions. In the Luzon region, OCD selected Olongapo City while Negros Occidental and Surallah Municipality were selected for the Visayas and Mindanao regions, respectively. In May 2011, OCD and the USFS jointly conducted three sessions of the basic and intermediate ICS courses to members of the DRRMCs in each pilot area. In November 2011, USFS conducted the AHIMT course. For the purposes of this evaluation, the trainings conducted in the three areas served as the bases for sustained ICS use and practice in the country while Manila and Olongapo were focus areas of the site visits due to logistical considerations. In Manila, the team also met with beneficiary organizations such as the Bureau of Fire Protection (BFP), Philippine National Police (PNP), Armed Forces of the Philippines (AFP), and the Department of Health (DOH).

IV. Evaluation Methods & Limitations

Qualitative Approach

During the development of the Inception Report, the DevTech team developed a **mixed methods** design to evaluate the three country programs, combining qualitative and quantitative data collection techniques. The qualitative techniques were based on a purposive approach in collecting field data to get the most comprehensive information available from the sources. Specifically, the team identified individuals from the local ICS implementing agencies within the national governments of the three countries, partner agencies within the national governments that use ICS, and private organizations that provide disaster relief and humanitarian assistance operations. Table 1 provides a list of the organizational affiliations of all respondents.

Table 1: Organizational Affiliations of Respondents

The Philippines:	• Office of Civil Defense (OCD), including the National Capital Region (NCR), Region III, and Region V offices • Metro Manila Development Authority (MMDA) • Olongapo City Disaster Risk Reduction Management Office (DRRMO) • Quezon City DRRMO • Sorsogon City DRRMO • Armed Forces of the Philippines (AFP), relevant units • Department of Interior and Local Government (DILG) • Department of Social Welfare and Development (DSWD) • Department of Health (DOH) • Bureau of Fire Protection (BFP) • Philippine National Police (PNP) • UN World Food Programme

The qualitative data collection activities included key informant interviews (KIIs) and group discussions using guided interview instruments and discussion agendas (see Annex II) that were designed to address all the lines of inquiry from the evaluation objectives. The interviews and group discussions were supplemented by a review of country program documents, such as time-bound (, annual and quarterly) reports, DRR assessments, and annual plans.

The evaluation team also traveled to specific locations to see facilities and physical resources used in ICS and to observe actual ICS operations that were taking place. The locations include:

Philippines:

- ASEAN IMT Staging Area. The field visit was planned partly to coincide with the staging of an Incident Management Team for the 50th Association of Southeast Asian Nations (ASEAN) meetings. The evaluation team observed activities during Day One of the staging.
- Quezon City Disaster Risk Reduction Management Office (QC DRRMO). The office is one of Metro Manila's most developed DRR units for ICS operations. The evaluation team visited monitoring centers and inspected physical resources.
- OCD Region V, including Sorsogon City and Sorsogon province. USAID/OFDA provided significant funding to the region and has partnered with the UN WFP to implement ICS in Sorsogon City and Sorsogon Province.
- OCD Region III, including Olongapo City. The city was one of the four selected pilot locations after the ASEAN regional meetings in 2010.

Capacity Building Index

The consistent application of the lines of inquiry also allowed the evaluation team to construct the ICS capacity building index, as proposed in the evaluation work plan. The team developed the index by examining a series of factors or elements that lead to the effectiveness and sustainability of the Indonesia ICS program and rating each factor along a 1-4 scale with the following working definitions:

1. This element is Present but in a condition which contributes only to a Very Limited extent in achieving its intended purpose. Considerable External Assistance is required to develop or improve this function.
2. This element is Present but in a condition that makes a minimum, but somewhat Adequate contribution to achieving its intended purpose. Some External Assistance is required in connection with this function.
3. This element is Present and in a condition which makes a Generally Satisfactory contribution to achieving its intended purpose. Some External Assistance is required to ensure that the purpose intended is achieved and sustained.
4. This element is Present and in a condition which makes a Clearly Satisfactory contribution to achieving its intended purpose. No External Assistance is required to ensure that the intended purpose is achieved and/or sustained.

Results of the index are presented in more detail in Section VI: Conclusions.

Quantitative Approach

The evaluation team also designed a retained knowledge survey to assess the level of ICS lessons gained and maintained using objective and observable data. The survey questionnaire was developed and submitted to USAID/OFDA. It included questions on participants' training history, current positions/organizations, formal education level, experience using ICS in exercises and events, and questions that support evaluation lines of inquiry (e.g., most/least effective aspects, challenges, recommendations). It also contained a series of multiple-choice questions taken from standard ICS final exam modules covering basic and more advanced curricula. Survey participants were informed that this was not a test or judgement of their individual skills or knowledge, but a way of assessing organizational effectiveness, and that the results would be kept confidential.

In the Philippines, the OCD NCR office maintains a database of over 20,000 past trainees with relevant data, including completed courses, certification numbers, and organizational affiliation. However, the OCD was in the process of migrating the database into an electronic system at the time the evaluation team was in Manila and files could not be made available to the evaluation team. The only complete and available list that could be provided then was the MT Cadre as of January 2017. The list has 341 MTs and the evaluation team launched a web-based survey to all of them from June 5 to April 11. The survey

did not meet the required sample size of 181 respondents[1] to achieve statistical significance, so the results cited throughout this report are only in the context of the respondent sample and are not representative of the entire MT cadre population. Where the questions addressed lines of inquiry within the qualitative portion of the evaluation, response data and summaries have been included as an added value. Score summaries have been provided, and in addition, average scores on the retained knowledge portion were compared against self-identified levels of ICS usage. The evaluation team includes these scores and comparisons to add insight to the evaluation; however, limitations in the sample size should be kept in mind when drawing conclusions from this data.

Other limitations include:

1. **Attrition**. Some past trainees might have been reassigned or might have left their units during the time of their ICS training. This limited the evaluation team's ability to contact them for interviews or surveys.
2. **Country selection**. The three countries were selected by OFDA beforehand and thus the context when reporting findings will only be in relation to these countries, individually or collectively. Findings are not representative of the program in the entire EAP region.
3. **Hawthorne bias**. This effect is the tendency of a respondent to provide information based on their awareness of being observed or that an evaluation is being conducted. This effect often occurs in externally-funded assistance programs and beneficiaries respond with the intent of not being critical or with the expectation of receiving further support rather than providing candid assessments of the program. The evaluation team has experience in identifying this effect during data collection when trends in responses become evident. The team will apply proven social science techniques (e.g., probes) to mitigate this effect. Where possible, the team will also cross-reference possible biased responses with other sources of data such as trainee records as a confirmation measure. As much as possible, the team used discrete and observable data when doing this triangulation exercise and not a different set of information from another respondent to avoid the "he said, she said" dilemma that can happen in KIIs and FGDs.
4. **Non-representative sample.** The retained knowledge survey was conducted on a population of Master Trainers. This group differs from the full population of ICS training recipients in various ways, including (1) higher and longer-term exposure to ICS material, (2) considerable real world and exercise experience with ICS usage, and (3) higher formal education levels. The evaluation team cannot draw significance from the overall scores of this population in terms of retained knowledge across the full population of ICS training recipients.

Respondent Groups

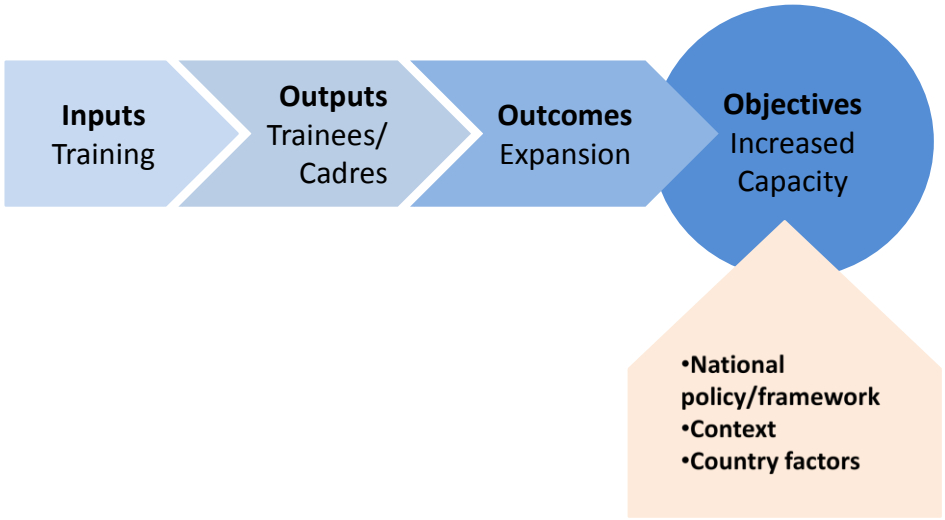
The respondents that provided information and feedback for this evaluation can be categorized into five groups. The first group includes the operational personnel of the government agencies that are implementing ICS. This group consists of trainee participants who work for the implementing government agency primarily as first responders. The second group includes higher-level management and policy personnel of the implementing government agencies, such as directors or chiefs of disaster management agencies. While they may not necessarily have received ICS training, they are overseeing the implementation of the country program within their organization. The third group consists of individual from government and non-governmental organizations that are working with the government implementers in the integration of ICS, such as the DOH. The fourth group includes U.S. government personnel that work in the ICS program as advisors and/or trainees, such as the USFS disaster management specialists. Lastly, the fifth group includes the USAID/OFDA Regional Advisers, who represent USAID as the funding agency.

[1] The 181 respondents needed were based on the standard parameters of a 95% confidence level and 5% confidence interval.

V. Findings

The findings, conclusions, and recommendations of this country evaluation report and the larger evaluation of the ICS EAP program needs to be guided by an analytical framework so that the information obtained will be evidence-based and utilization-focused to inform future programming decisions. The analytical framework the evaluation team applied is illustrated in Figure 1, which shows the hypothesized logic model of the ICS program along the following levels:

Figure 1: ICS Program Logic Model



- ***Inputs***. The program's main input is the design and delivery of the ICS training courses: basic, intermediate, position courses, and advanced courses. For a trainee to be eligible to become a MT, s/he should also complete the Training for Instructors (TFI) course.
- ***Outputs.*** The delivery and completion of courses results in the increase in the number of trained personnel within the partner nation government agencies, as well as some private sector emergency responders. The advancement of some participants to become a MT also creates a cadre of future ICS trainers in the country.
- ***Outcomes.*** Over time, the increase in the number of additional trainees as well as the advancement of earlier trainees lead to the expansion of the application of the ICS practices among the community of emergency responders. Expansion is accelerated at this level through the Training-of-Trainers (TOT) program where MTs lead ICS trainings. Spillover effects can also be expected as trained personnel apply lessons learned back at their respective units and through interactions with non-ICS trained colleagues.
- ***Objectives.*** Ultimately, the ICS program's objective is to increase the capacity to respond to disasters using the ICS model.

While USAID/OFDA defines capacity as the ability to carry out the stated program objectives "to effectively and efficiently respond to disasters using the ICS model," the understanding of capacity needs to be contextualized for each country in the broader evaluation because of differences among the three

countries in local conditions. USAID/OFDA also recognizes that "the objectives of each of the iterations of ICS programming vary depending on the disaster profile and baseline capacity of the country in which the program is implemented." Thus, capacity as understood for the Thailand program will be different from how it is understood in the Philippines and Indonesia for the broader evaluation.

Capacity

For the Philippines, the evaluation team defined capacity in three dimensions. First, ICS has been used successfully to manage events, either planned or no-notice. The second dimension of capacity is the adoption and use of ICS by stakeholder agencies. The third dimension of ICS capacity is that formal training programs are in place and meet the needs of stakeholder agencies. Underlying these dimensions is the development, use, and retention of knowledge and skills within ICS. Training programs build the skills, but without a framework for successful application, knowledge and skills alone will not increase capacity to respond to events. If the framework has been built, successful use (first dimension) will be evident, as will adoption and use by stakeholders (second dimension). We see this as particularly critical for capacity, as an emergency management organization does not respond to incidents alone; they primarily organize resources, which usually come from other agencies, departments, and organizations. If ICS capacity is restricted to the emergency management agency, outside organizations' ability to integrate into response will be limited, and capacity will remain low.

The causal pathway that leads to the program objectives of the increased capacity to respond to disasters using the ICS model also needs to control for other factors not directly related to the inputs of training delivery but that nonetheless influence program objectives. In Figure 1, these are identified as external factors such as governance frameworks and policies at the national or local levels. In the Philippines, for example, the Local Government Code decentralized governance and empowered different local government units. The code led to the increased responsibility and accountability in operations, including disaster response. Another external factor to consider is the presence of other disaster relief mechanisms or programs that might have confounding effects on the ICS program in the country. For example, ICS-related training provided by other countries or NGOs may complement in-country efforts or introduce non-standardized instruction that limits effectiveness. These effects have to be taken into consideration, if not controlled for, in an evaluation to have more precise assessments of the effects of the direct interventions.

Findings

Objective 1: Effectiveness

1. To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?

As stated earlier, capacity is defined along the three dimensions of: successful use to manage events, adoption and use of ICS by stakeholder agencies, and formal training programs in place meet stakeholder needs. ICS trainings have been conducted regularly throughout the Philippines, and the system is in use heavily at the national and regional levels, led by OCD and the NDRRMC at the national level and DRRMOs at the regional levels. Stemming from the decentralized nature of Philippine government, each regional DRRMO has been empowered to create its own strategy to meet regional training needs. For example, Region 5 DRRMO has focused on creating its own MT cadre first, so it can cascade the training independently. Other regions have opted to invest in large scale Basic/Intermediate ICS courses in order to raise awareness and basic competency quickly. Regional and local Incident Management Teams (IMTs) have been formed and regularly respond to incidents or manage planned events.

OCD's training program provides a standard set of ICS courses that can be requested by regions, provinces, and municipalities, or that stakeholder agency representatives can be sent to attend at centralized locations. Different cost-sharing agreements between OCD and the requesting agency are in place depending on which of these two options are selected. The levels are as follow:

- Level 1: Basic ICS (3-5 days)
- Level 2: Integrated Planning Course (5 days)
- Level 3: Position Specific Training (5 days)
- Level 4: All Hazards Incident Management Team (AHIMT) (5 days)

These are referred to as the "ladderized" courses in the Philippines because they build on each other to increase capabilities. Each course has a standard of 30-40 attendees, though sometimes demand is higher and larger groups are accepted, with more instructors in order to maintain an appropriate trainer-to-participant ratio. Those who complete all levels can apply to be selected into training-of-trainer (ToT) instruction, through which they can become part of the MT cadre. In addition, an executive session on ICS for senior leaders is available, and covers basic ICS concepts over a few hours. All attendees receive certificates with a unique identifier number, which is also tracked in a centralized database, and a robust quality control protocol is in place using course monitors, pass/fail metrics, and participant feedback. In addition, OCD is currently working with USFS to develop an EOC Management concept and training course that will be added to the current course catalogue.

Regions, and the LGUs under each region, have taken different approaches to building their own capacity using this framework. Some municipalities, like Olongapo City (a former pilot city in Region 3), have a large batch of MTs and have worked intensively with regional partners, first responders, and *barangays* (villages) to build capacity, having provided 200 with Basic ICS training and 150 with a "crash course." They and their partners have used ICS on a variety of planned events (e.g., APEC meetings) and disasters (e.g., Typhoon Lando), and cite many improvements stemming from establishing a well-organized management capability. On a smaller scale, Sorsogon City has included a one- to two-hour ICS overview into their general disaster and emergency response training for *barangays* and first responders, but the CDRRMO staff there feel most of the benefits of ICS have not yet materialized at that level. Although ICS was cited as improving response capabilities during Typhoon Nina, both of the staff members interviewed felt the improvement was due to use of ICS at the CDRRMO, not at the barangay level.

A complete accounting of every person trained in some aspect of ICS is unavailable; however, NDRRMC does track training recipients who have received courses through their MT Cadre. The database currently includes approximately 20,000 trainees and 356 MTs. This does not include all cascaded training; for example the estimated 150 persons who received a "crash course" in Olongapo City, the recipients of Sorsogon City barangay-level training, or other similar non-standard trainings in other regions and LGUs. Eighty-three percent of the MTs surveyed indicated they had used ICS in a real-world event. This speaks not only to the level of usage within the Philippines, but also that recipients of cascaded training have an opportunity to learn from MTs with practical experience.[2]

Based on a review and synthesis of information received through interviews across the country, the primary perceived improvements resulting from ICS implementation are:

1) Strengthened chain of command and understanding of Chain of Command: before, the local, regional, and national levels all had their own bosses, who gave their own instructions, but now responders feel they are "on the same page."
2) Coordination lines are clearer and thresholds for asking for help are institutionalized: Previously, coordinating needs with regional and national agencies took too much time. In 2009 during

[2] This percentage may not apply to the entire MT Cadre; only respondents to the retained knowledge survey.

Typhoon Ondoy, help requested in the morning did not arrive until the evening, when it was too late to save the 200+ flash flood victims.

3) Improved local response capability: compared to previously when locals were very dependent on national-level response and resources.
4) Fewer casualties: before, it was typical to see100 or more deaths in disasters, but they are rarer even in larger disasters now.
5) More systematic method: before, most problems were administrative – response agencies had resources and responders, but organizing them was a problem. ICS has made the job easier by providing forms and instructions – partners now know how to check-in, mobilize and demobilize, coordinate, etc.
6) Easier and faster to follow ICS during planned events: partners integrate more easily and coordination is improved.

There are high levels of support throughout the national government and among partners. Within the National Capital Region, ICS is well institutionalized in their 17 cities, and they cite that "we don't have debates anymore," they support with whatever resources have been assigned. Support has also improved following partner participation in and/or observation of ICS Operations in planned events, such as APEC conferences, which demonstrate the benefits of ICS usage. Some felt that Super Typhoon Yolanda influenced acceptance, because the response was so bad and devastating, it motivated people to do more in the way of preparedness. Some support and implementation has also been driven by the DILG, which has encouraged ICS adoption through Operation Listo and its Seal of Good Local Governance program. This is a sign that the Philippines is engaging in cross programming between ICS and their greater DRR programs in order to leverage their investments. Still, acceptance across LGUs at all levels is subject to the opinions of elected officials, who turn over on average every three years. LGU leaderships' acceptance and implementation of ICS varies from location to location, despite high overall levels.

2. Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?

In terms of training delivery, the following were cited in KIIs with several experienced trainers as the most effective aspects, based on feedback from their students:
(1) Contextual examples: The courses have good context, but the students learn best from actual applications of ICS in the Philippines. Because the MTs also have experience implementing ICS, they can usually impart their experiences and make sure in every module there are actual examples of Philippine events in addition to the US examples included in course modules.
(2) Visual presentation of examples including pictures of IMTs and pictures of ICS use help participants understand application of the system.
(3) Practical application exercises are effective and help put the material into place.
(4) Progression of courses: There are often questions and grey areas after Basic/Intermediate Course, but once they get to the second Course, they begin to understand concepts that were unclear before.

A common theme around what makes training effective is the ability to apply the knowledge to real world events. The practical application exercises in trainings were regularly cited as helpful; however, trainees understood the process best once they had responded to an actual event. After the course, instructors encourage trainees to practice it in planned events such as the many festivals, concerts, and other good venues for practice. They tend to appreciate the trainings more through that practice, and in turn that makes them more effective in disasters. They also integrate ICS into pre-planning processes for floods, and use it for drills and exercises. There is no formal requirement for them to conduct these

exercises or planning processes, but MTs encourage them to do so and consider it not only practice but a chance to showcase capabilities.

The most frequently cited area for improvement in the KIIs involved instruction on and use of ICS forms. Multiple trainers and practitioners commented on a general dislike of the forms, with 211, 204, and 205 considered the most challenging to learn and use effectively. Adjustments made in 2016 seems to have improved this situation to a certain extent, but trainers and practitioners still reported challenges that run from training to use in real-world events. At the Basic level of instruction, students reportedly have difficulty understanding the forms, though instructors report that once students move on to the more advanced courses within the training series, they understand better the applicability of the forms. Before, when the instructors were USFS, it was reportedly even harder to understand the forms because the examples were all US, but current curriculum with localized form examples has mitigated that issue. Still, even practitioners with position-specific and integrated planning training felt they did not have a good handle on use of forms, especially in disaster responses.

Inclusion of a funding discussion in the introduction for training presentations was cited as effective, but more budget clarity is needed. For LGUs, funding is a significant concern; they want to be aware of laws and guidance for finance so they can handle audits. Guiding memo circulars and laws are included in the introduction – this helps them understand the relevant guidelines and informs them that central government is doing its part to assist with funding. However, additional funding guidance is needed, and the training needs to align more closely to the Philippine system, for example, if the LGUs and Philippine Government can only afford to provide the basic needs – food, accommodations – then that part of the training should reflect as much. In order to do this, NDRRMC needs to work with agencies so they can realize what is needed, for example by involving Commission on Audit and Department of Budget and Management in the training. Currently there are memos for funding of ICS on the ground, so it is clear that OCD can fund IMT activation; it is less clear how LGUs fund activation, in particular during preparation for typhoons, before a calamity declaration that releases funds officially. It should be noted that although this was cited as a training program issue, it more accurately reflects a real world shortfall, as students will not get clarity until the policy is resolved legally.

In the retained knowledge survey, participants were asked about most and least effective aspects of the training. Those surveyed mostly interpreted the question to address which *modules* were least and most effective and 29 percent of respondents indicated that all of the modules were "most" effective while 48 percent of respondents felt none of the modules were "least" effective. The All Hazards Incident Management Team was cited as the most effective course among 25 percent of the respondents, often citing this as the course where the rest of the information "comes together." The course methods, including interactive lectures and in particular the practical exercises, were cited by 16 percent of respondents as being the most effective aspect. While specific courses were not commonly cited as the least effective parts of the training, the position courses, (in particular the Finance/Admin Section course), as well as the Integrated Planning Course were cited by some respondents as the course modules that needed improvement. Interestingly, the command and control aspect of the ICS program was recognized as effective by only 3 percent of the respondents. Tables 2 and 3 provide breakdowns of all qualitative responses on most and least effective aspects of the program, as categorized by the evaluation team.

Table 2: Most effective aspects of the ICS program as ranked by the percentage of survey responses

All	29%
AHIMT	25%
Basic ICS	17%

Integrated Planning	12%
Practical Exercises	11%
Position	7%
TFI	5%
Unity of Effort	5%
Methods	4%
Ops/Planning	3%
Lecture	3%
Command and Control	3%
Sharing of Experiences	1%
Resource Management	1%

Table 3: Least effective aspects of the ICS Program as ranked by the percentage of survey responses

Nothing	48%
Position Courses/Integrated Planning	15%
Finance/Admin	8%
Forms	5%
Executive Training	5%
Basic ICS	5%
Not enough time in class	3%
Not enough practical exercises	3%
Demobilization	3%
Redundant Content	3%
Inappropriate target audience	3%
Handouts	3%

3. Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?

The concept of "targeting actors" within the national government should be understood in two perspectives important for countries to effectively implement elements of the ICS system. First, from an *operational* perspective, the program should target the actors who are responsible for responding to disasters from the initial stages to national-level response. In the Philippines, this includes OCD, NDRRMC, and other departments/agencies at the national level, regional DRRMOs, LGUs and their DRRMOs, first responders (e.g., fire and police), and partner organizations such as volunteer organizations and hospitals. Second, from a *policy* perspective, the program should target actors who are positioned to build an effective ICS program, which includes influencing leadership, creating buy-in across all levels of government, and developing laws, regulations, policies, and procedures that guide ICS implementation from both a training and operational perspective.

The ICS Program in the Philippines has targeted a wide variety of stakeholders, and training has reached actors at every level, from the national government to first responders, though not every level is fully saturated; that is, training levels vary across agencies and across LGUs, depending on leadership priorities and availability of trainers. However, a concerted effort has been made by DILG in particular to support expansion of the ICS program by targeting and incentivizing leadership within LGUs.

From an *operational* perspective, the program has targeted most of the relevant levels active in emergencies. However, not all regions or LGUs have provided the type and amount of training needed to implement ICS at the barangay level. The National Capital Region, Olongapo City, and Sorsogon City have all involved *barangays* to a certain extent, but gaps remain in most municipalities at this level, and scale is an issue as there are over 42,000 *barangays* in the Philippines. In addition, it should be acknowledged that the system is a management course, so it is most effective to start at the top level. If executives do not have a basic awareness and understanding of the concepts and benefits, they are less likely to empower their knowledgeable and experienced staff to implement ICS, hindering response. Interviewees indicated a need to do more extensive executive-level training. Although there has been a lot of operational-level training, the professional staff who generally remain in their positions even after political turnover cannot fully implement the system without a basic understanding at the top levels. This is a major concern in particular at the local level.

No significant gaps were identified in targeting actors from a *policy* perspective. Program advocates have built the legal framework for ICS implementation nationwide as well as strategies to incentivize LGU adoption. National level partners such as the armed forces, Bureau of Fire Protection, and Department of Health have received training and have advocates placed well within their agencies to propagate the program. Overall, support for continued ICS is high and the benefits have been recognized nationwide.

4. What country-level factors influence the effectiveness of the ICS program?

The main country-level factors influencing the effectiveness of the ICS program in Philippines are: (1) the Local Government Code, which decentralized governance and empowered different local government units, (2) Presence of regional DRRMOs that coordinate and support regional LGUs with disaster risk reduction planning, (3) Republic Act 10121, which promoted preparedness activities and mandated spending on DRR activities, and (4) Frequent disasters.

Decentralization of government often makes promotion of central government initiatives more difficult. However, in the Philippines, the Local Government Code empowers LGUs and fosters accountability. This motivates LGU leaders to adopt best practices and has helped propagate ICS nationwide. DILG has encouraged this adoption through their role in coordinating local governance. This gave the ICS program a mechanism for incentivizing ICS adoption, which the DILG has fostered (and continues to foster) through Operation Listo and the Seal of Good Local Governance (SGLG) program. The SGLG program maintains several categories, and ICS training is a component of each. DILG is working on making more rigorous requirements for implementation for SGLG (e.g., submitting documentation like incident action plans) since the current iteration requires some level of training, but doesn't require implementation or institutionalization of ICS.

Regional DRRMOs have been effective in planning and supporting their regions' ICS training strategies and implementation. These offices work with LGUs and OCD, providing a link to local governance that OCD would not be able to effectively coordinate.

Passage of RA 10121 shifted the Philippines' approach from a relief mindset to preparedness. Previously, LGUs did not have a good response organization; RA 10121 put structures in place, so that there is a system now for organizing capabilities. It also empowered DRRM Officers, giving them more control and authority over other departments. The delegation gave them the power to lead.

The Philippines experiences frequent disasters and hosts many large scale events, giving its disaster response community many opportunities to practice and implement ICS and other DRR initiatives. It

was noted that while there is variation in uptake from region to region and city to city, leaders in more hazard prone areas seem more interested in adopting ICS. The devastation from Super Typhoon Yolanda was cited as a contributing factor motivating local leaders to build response capabilities.

5. To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?

The evaluation team deployed a retained knowledge survey intended to determine how well ICS knowledge is retained after training. While the limited sample size and non-representative population limit the conclusions able to be drawn by the survey, some interesting themes emerged. Most (71 percent) of the MTs answered at least seven out of 10 questions correctly, and only 8 percent answered fewer than 5 questions correctly (Figure 2). These questions were drawn from Basic and Advanced ICS course exams, and were selected to test both general knowledge and details that might be easily forgotten.

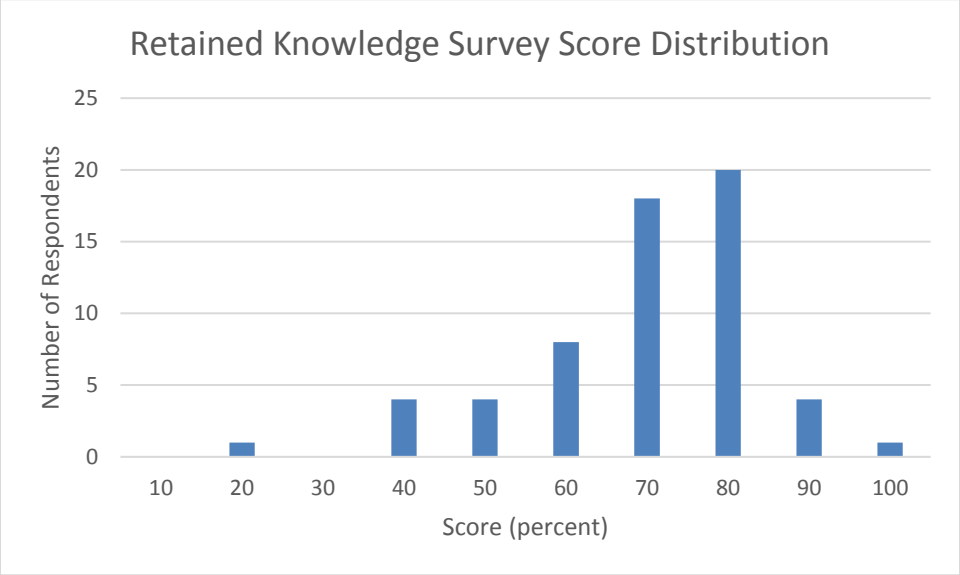


Figure 2. Distribution of scores among survey respondents

In this sample, experience did tend to correlate with improved test scores (see Figure 3). Those self-reporting experience using ICS in real world events on average answered 1.1 more questions correct (out of 10) than those who self-reported lack of real world experience (7.2 vs. 6.1). Likewise, those who reported that their organization frequently or regularly used ICS performed better than those whose organizations used ICS only at a minimum or occasionally (7.2 vs. 6.3). It should be noted that because the required sample sizes for data fidelity were not attained, these results were not tested for significance and should not be considered definitive. However, they do indicate that a larger-scale quality monitoring program is likely to find that training recipients' usage of ICS principles after training helps foster improved knowledge retention.

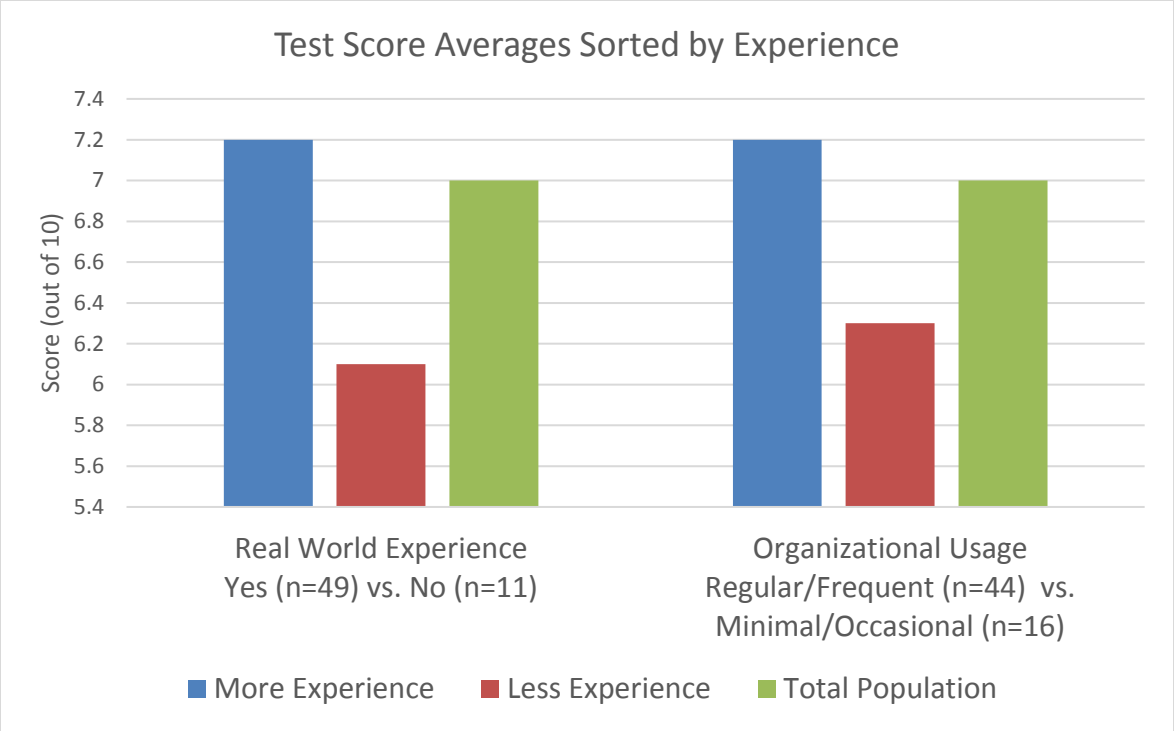


Figure 3. Test score averages showed correlation with self-reported experience levels

OCD, in concert with the regions, is working to develop such systems for tracking knowledge retention. OCD is developing a diagnostic exam tool to determine if participants have sufficient prerequisite knowledge to attend advanced courses (for example, in the US, attendees of ICS 300/400 must have certificates demonstrating that they have taken ICS 100/200). Currently, instructors collect pre- and post-tests, but pre-test results are not tracked by OCD. Although data from the diagnostic tests is not available, long term instructors have identified trends; for example, that over time, memory fades – if the course was completed longer ago, participants do worse. Instructors also felt that how well ICS knowledge is retained also depends on the student. Some go just to get the certification, but many practice and take it very seriously, with many interviewees indicating that they review course information in between sessions independently.

A central theme around knowledge retention was that application of knowledge in practical exercises, planned events (e.g., drills, transit strikes, elections), and disaster responses greatly enhances the ability to retain and use the knowledge gained. This perspective was supported by results from the retained knowledge survey, discussed above. The Philippines regularly uses ICS for pre-planned events such as: APEC, Miss Universe, Papal Visit, Black Nazarene (multiple years starting in 2012), and ASEAN 50. Only minor incidents have occurred during these events. Regional IMTs are also deployed during disasters and pre-planned events, and LGUs are encouraged to practice skills at small events like festivals and concerts, or even small earthquake drills. Consequently, most interviewees indicated that they have many opportunities to use the information; however most interviewees were also involved in ICS application as their primary job, either as an instructor, disaster response professional, or DRRM Officer. It is unclear if these conditions would also apply to the average Basic/Intermediate Course participant.

A focus group of four experienced instructors, when asked about whether trainees retained knowledge, indicated that knowledge retention was not a major issue. They stated that in their experience, even if trainees had not taken ICS courses for five or more years, the information came back once instructors

started the lessons. Some trainers started including a verbal review of information refresh the memories of any trainees who might have forgotten some of the material. Instructors agreed that if trainees practice the information, they retain it better. One interviewee suggested a 4-hour refresher course might be helpful for practitioners, but overall knowledge retention did not seem to be a critical limiting factor.

Practitioners outside the MT Cadre in a city DRRMO indicated that when they provide lectures or instruction at the barangay level or elsewhere, they review course materials from OCD, which improves their knowledge retention. They acknowledged that they might "get rusty" on the forms because they are not using them every day. During response, they have also taken the initiative to do refreshers on roles as they introduce sections, and put guidelines in briefing templates so staff had a reference for what they needed to accomplish. Much of this was accomplished during tactical planning at the city level, during which they prepared all the documents needed for disaster response. Their goal was to prepare everything in advance, so they do not have to do any thinking during the event. Although these activities were described by only one city DRRMO, it is reasonable to conclude that some other cities may have taken on similar initiatives in response to the need for retaining, systematizing, and applying the knowledge gained during ICS training, though there is no evidence that this is the standard practice.

Objective 2: Sustainability

6. To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?

ICS has been codified in RA 10121 and various other memo circulars. It has been implemented by partners at all levels and is supported by national, regional, local, and NGO partners, including key partners Bureau of Fire Protection, Armed Forces of the Philippines, Department of Health, and DILG. Interviewees indicated that while ICS is well accepted and guided by laws and relevant policies, some implementation areas need to be addressed for full institutionalization. For example, there is a lack of clarity on how *barangays* can or should feasibly implement ICS; how ICS works with the Cluster system; how EOCs should be managed; and on how LGUs can legally fund disaster responses. Some of these issues have already been identified, and OCD is working with partners to remedy the underlying problems.

7. What barriers to utilization of the ICS exist?

The main barrier to full utilization of ICS is developing a concept for how *barangays* can realistically implement the system. Although ICS is modular and flexible, one barangay may still be too small to field a functional ICS organization, due to lack of staff and inadequate educational backgrounds. *Barangays* also cannot easily be put together to form an IMT because of jurisdictional and political incompatibilities[3]. This means municipalities would have to set up IMTs, but they do not currently have enough trained staff, and they would have to manage multiple *barangays* (maybe 10 or more). This level of granularity on ICS implementation has been addressed by some municipalities, for example Olongapo City and Sorsogon City, but their solutions are driven by local actors, not an overarching OCD vision on how *barangays* should implement ICS.

In addition, despite the large cadre of MTs, there are still limitations to how many the cadre can train, nationwide. Over 1400 municipalities need training, but trainer availability, time schedules, and

[3] While ICS does provide mechanisms for management of incidents and events that cross jurisdictions, they rely on the voluntary participation of the jurisdictions involved and the appropriate delegation of authorities. While it is possible and probably that some *barangays* would cooperate, it would be difficult to standardize an approach that assumes *barangays* would do so.

coordination are challenges. Because of accreditation requirements, only MTs can train even the Basic level, which is required by a large amount of people throughout the country. Even then, LGUs need more than the Basic level to fully implement ICS; they need a full team, with more than just one or two trainees with advanced ICS training. Although training capacity can reasonably be expected to take time, delays in providing training to LGUs can ultimately impact support for ICS implementation. LGUs can generally find the required funds for training if they are motivated, but if the training is not scheduled quickly, the money and the motivation can be lost. The ladderized basis of the courses is an understandable requirement but it can exacerbate training availability problems, as there is just one of each type of class offered per year. So if staff trainees miss one of the courses, they have to wait a full year for the next iteration.

For some LGUs, a main impeding factor is budget. Levels 2-4 are five-day courses, so it takes more funding to provide that level of training. The requirement to spend five percent of their budget on DRR ensures a dedicated funding stream that could be applied to ICS training, but there are other DRR measures that LGU leadership could also prioritize. Because of DILG's incentive programs, many LGUs manage to find the required funds to meet at least minimum goals for SGLG cash rewards. OFDA has also funding supplementary programs implemented by WFP that provide equipment and training for DRR, and some of these funds have been used to sponsor ICS training at the LGU level across various regions.

Interviewees also noted that much of the ICS program seems to be focused on training, and not on implementation. As a general rule, training is run once in the LGU, then it is up to them to take it on. Although LGUs are generally receptive to training, they need to have a certain confidence level to try to approximate what happened in training. If they want more assistance or mentorship after the training, the MT Cadre is not available for that type of support. Although national-level events are run using ICS and training participants are encouraged to use ICS in events following training, there is little guidance or implementation support once the courses conclude. In Sorsogon City, much of the value of ICS was realized after training through internal tactical planning that resulted in templates, procedures, and modified training for *barangays*. While motivated individuals and cities can take the training and adapt it to their context in this way, others may not feel confident, knowledgeable, or motivated enough to take similar implementation-related steps without more clear guidance and mentorship.

The findings above were supported by feedback garnered through the retained knowledge survey. Sixty-three percent of respondents felt that lack of training was a key challenge to implementing ICS; this went hand-in-hand with lack of acceptance (26%) and leadership/politics (20%) constituting barriers to implementation. Seventeen percent felt that policies needed to be adapted or changed, and 11% specified more funding was needed. Some respondents also indicated that lack of localization (e.g., barangay-specific guidance and training) constituted a challenge.[4]

8. How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?

Overall, the core ICS concepts, documents, and materials have been adapted and are currently in use at the local level. Guidebooks have been provided by OCD, though some have commented that a Filipino version of the US ICS Pocket guide would be useful. Although most of the materials do not require further adaptation, some would benefit from more fine tuning to fit local systems; for example, financial instruction needs to better reflect Philippine laws and regulations. OCD is currently conducting training development on EOCs, which function differently than ICPs. This training module will be cascaded after

[4] Numbers may not add to 100 percent because some respondents identified multiple issues in one response.

its development.

ICS forms, though generally useful, continue to pose problems for local practitioners. Some of the issues that arose previously were addressed with the 2016 update to the ICS forms, which included more detailed instructions and descriptions. However, LGUs have found that the forms are not applicable to the Philippines at their level. For example, numbers for resources may not be applicable, and any remaining references to resource typing cause confusion as that is not used in the Philippines. Practitioners noted that in an attempt to maintain standardization, they do not adapt the forms, they just use the ones they find useful and not the others.

DRRMO staff in three different municipalities commented independently that the course needs to be adapted to make it available/accessible to first responders. This finding was supported by the retained knowledge survey, where 33 percent of respondents identified the need for more localization of the ICS program and materials. Some municipalities have provided simplified instruction to *barangays*, but OCD has not issued a formal module for the *barangays* that standardizes training and implementation at that level. Although capabilities and capacities differ between *barangays*, in general this module would need to have simpler content, and simpler forms. Municipalities have noted that at the practical level, check-ins are often done verbally or in simple form, in part because first responders at the *barangays* level are not adept at writing (often only the barangay secretary can write). These considerations should be noted when developing any instruction for *barangays*.

One leading recommendation from the retained knowledge survey (with 23 percent of respondents citing it) addressed the need to expand training and usage to encompass a broader array of stakeholders. This included *barangays*, LGUs, non-government organizations, private sector, and other department partners. Certain partners have already adapted ICS principles for their operations. DOH officials have adapted ICS principles to meet public health procedures and practices, including forms and functions. They have developed institutionalized service packages that can fit into ICS as part of their cluster approach. They plan to extend ICS to other programs so they can have the benefits of the standardization, and feel more context would be helpful. Having good scenarios contextualized to health would be better for their purposes. To get to the next stage, DOH may need to apply training examples in health specific ways. This type of adaptation will be needed to be done by multiple partners in order to provide the right training and emphasis to a wide variety of stakeholders.

9. What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?

The evaluation team considers sustainability along several factors that demonstrate: (1) country commitment to funding; (2) institutionalization; and (3) capability built.

Commitment to Funding. The Philippines have contributed considerable funding to developing the current ICS training and implementation program. In addition to OCD funds, every LGU is required to spend 5% on DRR programs; many LGUs use this funding on ICS training, depending on local priorities and trainer availability. Although USAID/OFDA funded USFS activities, the majority of funding for hosting trainings, institutionalizing the program, and implementing ICS programs has come from the host government and its national, regional, and LGU partners. This funding is expected to continue regardless of USAID/OFDA inputs, though many LGUs have improved their ICS through OFDA-sponsored, WFP-implemented DRR initiatives, as seen in Region V, but also present in other regions, that might not be continued without continued funding. Funding was cited by 11 percent of respondents as a major challenge in the retained knowledge survey, but it is also implied in the more frequently mentioned barriers: lack of training, lack of buy-in/acceptance, and leadership/political challenges.

Institutionalization. The Philippine ICS program is fairly well institutionalized. It is codified by law, guided by policies, documents, and forms, and fostered by programs that incentivize adoption and require LGU spending on DRR programs. It enjoys support from high level officials throughout government agencies, and there are many applications to both planned events and disasters that demonstrate its usefulness to LGU leadership and their constituents. The program in its current iteration is institutionalized, but could mature further by expanding training and implementation more fully at the granular local and barangay levels.

Capability Built. USAID/OFDA's primary output for this program is cadres of MTs. Outcomes in capability improvements are then cascaded from the MT Cadre to achieve expansion outcomes, independent from USAID/OFDA involvement. Therefore, when assessing sustainability, the capability built should be viewed in terms of whether the *number* and *quality* of MTs is sufficient to meet the needs of the country. Multiple interviews reinforced the view that the current MT Cadre (356 trainers) is insufficient to provide the training needed to fully implement ICS. Thirty-six percent of respondents to the retained knowledge survey recommended OCD provide more training opportunities, and many of these respondents specifically cited the need to expand the MT Cadre, and to provide further professional development opportunities to enhance MT experience. The Philippine MT Cadre currently provides training that is standardized across the country and monitored for quality, and they are considered the most advanced cadre in the East Asia Pacific region. They are able to create new MTs without specifically requiring additional USFS personnel, a key component to sustainability, as a country must be able to replace MTs lost to promotion, attrition, retirement, or other factors. The MT Cadre in general is also involved in responding to incidents, so they have regular opportunities to apply the system and maintain their skills, though some regions and members are more "sought after" for this experience than others.

VI. Conclusions

The evaluation team's conclusions presented in this section are tied to the findings in Section V through the establishment of benchmarks to reflect an "if-then" linkage. Per the evaluation SOW, the evaluation team collected findings along the evaluation questions or lines of inquiry. With the collected findings, the team assessed current conditions and mapped the information against capacity benchmarks that were developed in the evaluation design stage and submitted to OFDA. This approach responds to the SOW, which specifically states that "the evaluation team must work with the USAID/OFDA and USFS to map benchmarks related to the ICS programming that link to levels of capacity-building. This mapping should help to understand what essential inputs and processes are required at each level to achieve capacity-building benchmarks in various country contexts." The evaluation team scored each benchmark on a 1-4 scale to calculate the capacity building index.

As an example, the evaluation team collected field data to see if findings showed the usage of ICS/NIMS at various levels of the Philippine Government, perceived ICS effectiveness, and support for implementation for the evaluation question, "*To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?*" With the collected findings, the team then mapped the three elements against the following benchmarks to assess the level of capacity in terms of the skills and knowledge gained and their demonstrated use:

- ICS has been used successfully to manage events, either planned or no-notice.
- Multiple stakeholder agencies have adopted and used ICS.
- Formal training programs are in place and funded.

The results of this benchmarking exercise to identify conclusions are discussed below and a summary of the index scoring is provided in Table 1. The rows list the benchmarks identified to evaluate each line of inquiry and the "Score" column is the evaluation team's ranking of that benchmark using the 1-4 scale. The "Indicator" column lists the indicator number using the list of indicators the evaluation team proposed to OFDA for assessment. The full indicator list is presented in Annex VI.

Objective 1: Effectiveness

1. To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?

Benchmarks	Score	Indicator
ICS has been used successfully to manage events, either planned or no-notice.	3	8
Multiple stakeholder agencies have adopted and used ICS.	3	7
Formal training programs are in place and funded.	3	6,37

The first benchmark to assess capacity is the successful application of ICS in planned and unplanned events. ICS has been applied at every level of government and within partner agencies throughout the Philippines. It is regularly used to manage high-profile events like APEC and ASEAN meetings, and mass gatherings like the yearly Black Nazarene festival. It is also used in disaster responses, for example Typhoon Nina, as well as smaller scale incidents. However, usage is not fully implemented as ICS training has yet to cascade fully to all LGUs and has only reached some *barangays*.

The second benchmark is the adoption of ICS across multiple stakeholder agencies. ICS principles have been implemented in OCD at the national level and in regions and LGUs, shepherded by regional DRRMOs, though levels of implementation are uneven and have not generally filtered down to the barangay level. Stakeholder agencies have high awareness and use ICS to integrate with incident managers, if not for their own operations. BFP, the armed forces, and DoH in particular have embraced ICS. Still, LGUs vary in their adoption and use of ICS, in part due to their own priorities and in part due to challenges in scheduling training. In addition, MT respondents indicated a need for further expansion to a more widespread list of stakeholders that include non-government organizations and the private sector.

The third benchmark is the presence of a formal training program with sufficient funding to ensure continued operations. This is clearly present with ICS courses being provided formally through OCD, regional DRRMOs, and other available resources. Although a wide variety of courses are offered, many participants indicated the current MT Cadre cannot meet the demand for training, and that a formal, standardized training module for *barangays* is needed.

2. Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?

Benchmarks	Score	Indicator
Training courses are effective at improving ICS knowledge and organizational capacity.	3	15,16,17

A Lessons Learned program is in place to capture best practices for the country and remedy shortfalls.	2	44

Trainers are evaluated for effectiveness, and most trainees pass the required tests at the end of each course, indicating that the courses are effective at transferring knowledge. Some concerns were raised about lack of implementation support after training has been completed, and although some of those interviewed utilized their training to develop robust municipality-level programs, it is not clear that all recipients feel confident implementing ICS post-training. Training participants have opportunities to apply ICS knowledge, either through planned events or regularly occurring disasters, and this application is encouraged throughout training and during national level events. Lessons learned programs exist, but they are not formalized, centralized, or focused directly on ICS program improvement.

3. Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?

Benchmarks	Score	Indicator
ICS course offerings are diverse, include training for Senior Officials as well as Position-Specific sessions.	3	6,20
Program Directors have the authority to implement ICS activities at national and local levels.	4	19
Women receive ICS training at comparable levels to men.	3	1,2,3,4,5
Personnel at multiple levels of government and stakeholder agencies have received training.	3	20

OCD offers a full suite of ICS training, including: Basic, Position-Specific Training, Integrated Planning, All-Hazards Incident Management Team, Training-of-Trainer instruction, and senior/executive leader training. OCD is working to develop an EOC management training course that will supplement these offerings. In addition, LGUs have requested a formal barangay-focused course, which is a current shortfall.

DRRM Officers have been empowered to assist LGUs and other partners with ICS training and implementation, and there have been examples of ICS-trained staff taking initiative to provide ICS-based response in support of local officials (mayors and other responsible officials). DILG has provided incentives for LGUs to provide ICS training. Although the decentralized government means that mayors and other local officials have the final word on the extent to which they implement ICS, the system has generally been socialized well enough that responsible officials empower ICS-trained staff to use the system to support response operations.

Women lead several aspects of the ICS program, and have leadership roles at regional DRRMOs. They have performed as incident commanders, and interviewees generally perceived women as having equal opportunities to men in disaster response. However, in terms of participation in courses and during observed response operations, men outnumber women significantly and tend to occupy leadership roles at a higher rate.[5]

[5] At the observed Integrated Planning Course, six of the total attendees (30) were female. At the ASEAN50 Incident Command Post, four of the 15 observed command and general staff were female, and no females were identified as IC, Deputy IC, or in the Planning or Operations Section Chief roles. Note: a full breakdown of gender of total recipients was unavailable due to database issues.

The program still needs to work toward building capacity at the lowest levels of government. One interviewee commented "the demand is high, but the MTs are finite." The Philippines is still working toward building a training capacity that meets users' needs at all levels and within stakeholder agencies. Specifically, LGUs require many more training opportunities than are currently offered to meaningfully implement ICS at the local and first responder levels.

4. What country-level factors influence the effectiveness of the ICS program?

Benchmarks	Score	Indicator
No major cultural barriers to ICS acceptance.	4	33
Acceptance of ICS as a best practice within national government.	4	26
Acceptance of ICS as a best practice within regional / local governments.	3	27

The main cultural barrier consistently identified was resistance of the armed forces to using ICS because they already had hierarchical systems in place. This barrier has been essentially overcome with training and refinement of implementation plans, to the extent that the national IMT on-call for the ASEAN50 meeting was primarily formed by staff on loan from Philippine armed forces. The only other cultural barrier identified was the desire of local authorities (e.g., mayors) to want to name themselves Incident Commander. With additional education, they generally accept that they are the Responsible Official and appoint someone more knowledgeable on ICS to be the IC. Both of these cultural barriers have either been addressed in the adaptation of ICS to the Philippine context or can be addressed with additional executive-level training. ICS has been fully accepted as a best practice within the national government, and many (but not all) LGUs are aware of ICS, have some level of trained staff, and would like to implement it fully if training is available.

5. To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?

Benchmarks	Score	Indicator
Training recipients retain knowledge of ICS concepts following training.	3	15
In-country Master Trainer Cadre has the knowledge, skills, and experience to provide high quality training.	4	42

No evidence of issues with knowledge retention was found, though more steps could be taken to gather data on whether training is effective after participants leave the classroom. Instructors indicated that knowledge retention declines with more time between course modules, and in students who are not motivated to learn and apply the knowledge. Results from the knowledge retention survey were not conclusive due to a small and non-representative sample; however, they preliminarily support the judgement of many of the interviewees that experience applying ICS in real world events supports higher knowledge retention.

The Philippine MT Cadre provides high quality instruction, and OCD maintains a robust instructor monitoring program to ensure quality and standardization, with a course monitor attending each session and performance data submitted to OCD. The MT Cadre can produce additional MTs, and opportunities to apply knowledge to planned events and incidents are sufficient to maintain and develop the cadre's knowledge and skills.

Objective 2: Sustainability

6. To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?

Benchmarks	Score	Indicator
Laws codifying the use of ICS in disaster management in place.	4	9
Doctrine guiding the integration of ICS with country's disaster management system is developed at the strategic level.	3	9
ICS has been successfully integrated and used at multiple levels of government.	3	8,10,30

For this evaluation, sustainability is understood not only to mean whether the program will continue, but also whether it will be able to mature and reach a point of complete implementation, without continued USAID financial/technical support. The Philippines has a robust ICS training program in place that is already mostly self-funded, with targeted USAID technical assistance and LGU support through WFP. Laws codifying ICS use have been enacted and have helped institutionalize the program: ICS is required by law, there is a strong cohort of ICS-trained professionals in influential positions, and they have developed a suite of laws, policies, and memos circular, as well as supporting documents that guide implementation. ICS has been used successfully at multiple levels of government and across the interagency. However, implementation has not reached all LGUs from a practical standpoint (due to insufficient trainer availability) as well as a strategic shortfall (lack of standardized guidance for implementing ICS at the barangay level).

7. What barriers to utilization of the ICS exist?

Benchmarks	Score	Indicator
Few reports of pushback to adoption of ICS practices.	4	12,31,32,33
Country has established a committee to further ICS acceptance and use.	3	39
Opportunities exist to train on, practice, and apply ICS regularly.	3	29

Despite widespread use and implementation, there have been few reports of pushback from national, regional, or local agencies to using ICS. Not all LGUs have adopted ICS despite DILG's program incentives, but most feedback reflected that this is due more to lack of training availability or other funding priorities, rather than a negative impression of ICS. There is an ICS Working Group, but the study team was not able to assess how effective the committee specifically has been on furthering acceptance and use because much of the work has been accomplished on an inter-agency and regional basis. It is not clear which of those initiatives were spear-headed by the Working Group, though overall OCD has been effective at furthering ICS acceptance and use. Opportunities to practice and apply ICS are plentiful, with usage at the national level and regional levels for planned events and limited use for actual disasters (e.g., Typhoon Nina, Mayon Volcano Explosion). However, most interviewees felt training opportunities need to expand in order to meet LGU demand, cover EOC Management, and help *barangays* respond more effectively.

8. How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?

Benchmarks	Score	Indicator
Country-specific ICS Forms, Doctrine, and guiding documents have been provided to practitioners.	3	34,35
Country-specific examples have been used in ICS Training Courses.	4	36,35

Country-specific ICS forms and guiding documents have been in use in the Philippines for some time, and forms were updated in 2016 to better match the Philippine context. However, concerns about the appropriate usage of forms at the barangay level, as well as use of ICS in general by *barangays* remain, and guiding documents are needed for training and implementation to be successful and standardized at that level. Country-specific examples are used in ICS training in addition to the US examples from the original course material. This combination is considered successful because it includes best practices and also real-world examples from Philippine, and often region-specific, experiences.

9. What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?

Benchmarks	Score	Indicator
Local/Regional/Country Governments have funded ICS training and/or exercise events.	3	38
ICS Master Trainer Cadre is able to meet training demands nation-wide.	3	5,41,42
Training and implementation are standardized across the country.	3	43

Training at LGU locations is funded in large part by LGUs, with some cost sharing from OCD. LGUs can also send representatives to OCD-based training that is more heavily subsidized by OCD, but doesn't provide training to as many LGU staff (often just 2-3, depending on space availability). Few of the courses offered are provided through OFDA and USFS at this juncture; however, OFDA has coordinated with the WFP to fund DRR programs, including ICS training, at LGUs in various regions of the Philippines. This funding has helped foster more widespread ICS implementation at the LGU level, and it is possible LGUs will not fund ICS training as robustly without continued funding of this program.

No one the evaluation team spoke with indicated they thought the ICS MT Cadre was sufficient to meet the demand. This was reinforced by the retained knowledge survey, where thirty-six percent of respondents indicated a need for more training, and many of these specifically cited the need for more MTs. As LGUs work to implement ICS, they have indicated they are struggling to access timely training through OCD and regional MTs. Regions have adopted different strategies to meet the training demands of their LGUs, and some have had more success than others cascading training to LGUs and *barangays*. Overall, the training program has been successful, but this has created more demand as LGUs wish to replicate successful programs and require more training to do so.

OCD has worked diligently to ensure standardization of training throughout the country. They have developed a formal accreditation and tracking program and a database of trainees that gives each participant a unique identifier code. When they discovered that another organization was providing non-standardized training in the regions, they identified and engaged with the group to rectify the situation and re-establish standardized training practices. Course monitors attend every class to ensure high quality and standardized instruction. However, not as much focus has been put on standardized implementation. After training, regions and LGUs adapt the curriculum to match their office's capabilities, and also lean forward to determine the best way to train and integrate *barangays* into

municipality DRRMO operations. While this is an important part of the process that is needed to determine the appropriate roles of *barangays* in ICS and also involve local leaders in preparedness and response activities, there is a risk of processes becoming non-standardized across the Philippines. OCD may determine this is an acceptable risk for empowering local solutions; however these innovations also present an opportunity to OCD to survey best practices and integrate them into future barangay-level guidance that can be implemented in other regions.

Table 1 below presents the overall score of the Philippines country program based on the evaluation team's findings and conclusions. The Effectiveness score is 45 out of a highest possible score of 56 while the Sustainability score is 36 out of 44. This leads to an overall index score of 81 out of 100.

Table 1: Capacity Building Index Results

Objective 1: Effectiveness		
To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?	Score	Indicator
ICS has been used successfully to manage events, either planned or no-notice.	3	8
Multiple stakeholder agencies have adopted and used ICS.	3	7
Formal training programs are in place and funded.	3	6,37
Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?	Score	Indicator
Training courses are effective at improving ICS knowledge and organizational capacity.	3	15,16,17
A Lessons Learned program is in place to capture best practices for the country and remedy shortfalls.	2	44
Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?	Score	Indicator
ICS course offerings are diverse, include training for Senior Officials as well as Position-Specific sessions.	3	6,20
Program Directors have the authority to implement ICS activities at national and local levels.	4	19
Women receive ICS training at comparable levels to men.	3	1,2,3,4,5
Personnel at multiple levels of government and stakeholder agencies have received training.	3	20
What country-level factors influence the effectiveness of the ICS program?	Score	Indicator
No major cultural barriers to ICS acceptance.	4	33
Acceptance of ICS as a best practice within national government.	4	26
Acceptance of ICS as a best practice within regional / local governments.	3	27
To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?	Score	Indicator
Training recipients retain knowledge of ICS concepts following training.	3	15
In-country Master Trainer Cadre has the knowledge, skills, and experience to provide high quality training.	4	42
Effectiveness Total:	45	out of 56

Objective 2: Sustainability		
To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?	Score	Indicator
Laws codifying the use of ICS in disaster management in place.	4	9
Doctrine guiding the integration of ICS with country's disaster management system is developed at the strategic level.	3	9
ICS has been successfully integrated and used at multiple levels of government.	3	8,10,30
What barriers to utilization of the ICS exist?	Score	Indicator
Few reports of pushback to adoption of ICS practices.	4	12,31,32,33
Country has established a committee to further ICS acceptance and use.	3	39
Opportunities exist to train on, practice, and apply ICS regularly.	3	29
How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?	Score	Indicator
Country-specific ICS Forms, Doctrine, and guiding documents have been provided to practitioners.	3	34,35
Country-specific examples have been used in ICS Training Courses.	4	36,35
What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?	Score	Indicator
Local/Regional/Country Governments have funded ICS training and/or exercise events.	3	38
ICS Master Trainer Cadre is able to meet training demands nation-wide.	3	5,41,42
Training and implementation are standardized across the country.	3	43
Sustainability Total:	36	out of 44
ICS Capacity Index:	81	out of 100

VII. Recommendations

Based on the finding and conclusions presented in Sections V and VI, respectively, the evaluation team proposes the following recommendations for OFDA's consideration:

Recommendation 1: Develop a Target Number for Required Training

USFS should work with OCD to develop a set of assumptions that could inform training targets and strategic goals. For example, by using the numbers of LGUs (e.g., provinces, municipalities, and *barangays*), and defining how many need to be trained to meet minimum and optimal standards of practice, a calculation could be made for how many total need to be trained in Philippines, and consequently how many trainings are needed per year meet these goals by a target year. Some basic assumptions may include for example a critical mass of eight ICS-trained personnel per LGU (this would include one IC, one section chief per section, and three command staff) – though this should be

validated through discussions with stakeholders at various levels as to what works at the local level. This standard could be applied at every province, city, and municipality, or different "ideal training numbers" applied, while a scaled-down version might be applied to *barangays* and partners. Assumptions for retirement, reassignment, and other sources of attrition should be factored in to determine training requirements for sustainment. Course capacities and instructor availability assumptions can then be used to determine the number of MTs needed to meet training requirements. This calculation could drive strategies and tactics for developing the capacity to do the training and implementation. Currently, regions are developing their own strategies – whether they are prioritizing basic training, building IMTs, or building a regional cadre, but there was no evidence these strategies were driven by a numbers assessment. One outcome of this type of assessment might be that it's impossible to train everyone in-person. This could drive support and funding for an online or distance learning program for Basic-level ICS that could reach more people, and allow MTs to focus in-person courses on the more advanced subjects.

Recommendation 2: Increase Availability of MT Cadre

Although the MT Cadre is relatively large in number in comparison to other ASEAN countries, most MTs have responsibilities outside of training that limit their ability to provide training on a full time basis. By identifying a sub-set of MTs who could conduct training full-time and shifting their non-training responsibilities to other actors, OCD could increase availability for LGU training without having to wait for additional cohorts to complete MT training. For example, if on average, 350 MTs spend 10 percent of their time on training, that is the equivalent of 35 full-time MTs. If current schedules are maintained while 30 MTs are transferred to full time, this comes close to doubling the current training capacity, with no lag-time to wait for additional training. USFS should encourage OCD to perform a review of the current MT Cadre to determine which MTs could be transitioned to be full time instructors. It may be necessary to also increase the number of course monitors, or to re-evaluate course monitor requirements in order to ensure additional MT Cadre availability is supported by the OCD system.

Recommendation 3: Consider Alternatives for Providing Basic ICS Training in Larger Numbers

There is a significant need for Basic ICS training that could be satisfied with online or distance learning coursework, or an expedited "Basic-only" training certification. These approaches would free up the MT Cadre to provide additional advanced training courses that could greatly increase LGUs' abilities to operationalize the training they receive. USFS should work with OCD to develop online or distance learning courses that can reliably train LGU and other partner practitioners in Philippines-specific Level 1 (Basic) ICS, and/or develop a course of instruction for an expedited "Basic-only" trainer certification that can be earned by personnel outside of the MT Cadre.

Recommendation 4: Develop Standardized Barangay-Focused Implementation Concept and Training Module

Although regions and some LGUs have successfully managed events and disasters with ICS, there remains a lack of clarity on the roles of *barangays* in coordinating disaster response at the local level. Various jurisdictional, language, cultural, and staffing issues will make a standardized approach difficult; however LGUs have been working with *barangays* in various capacities to provide training that fosters an integrated approach. USFS should encourage OCD to track progress on these fronts and collect best practices and lessons learned to inform development of a barangay implementation strategy. USFS should also help OCD develop accompanying simplified course modules LGUs could use to train and integrate *barangays* in disaster response.

Recommendation 5: Provide Implementation-Focused Support and Tracking

OCD's ICS program has been focused on providing training, with little to no post-training support to

LGUs and other partners as they implement ICS. Increased focus on implementation, accompanied by an ICS-focused lessons learned program would help partners implement more effective and standardized ICS-based disaster management programs. USFS should provide technical assistance to help OCD develop a program that meets these objectives.

Recommendation 6: Continue Support to LGU Training Programs

OFDA's grants to WFP to implement LGU-focused training have helped targeted LGUs develop response capabilities. This includes not just ICS training, but also equipment (e.g., interoperable communications, rain gauges, and computer equipment) that enables situational awareness and communications needed to run an effective ICS organization. Some of these programs are nearing completion. Although a full assessment of these programs was outside the scope of this evaluation, it became clear the WFP initiative was responsible for several successful LGU-based programs. OFDA should review the contributions of the WFP grants to ICS program effectiveness, and consider continuing and possibly expanding that program.

Recommendation 7: Establish a Performance Management

The local government agencies should establish a performance management system to monitor the delivery of trainings and technical assistance to ensure all activities meet stated results, objectives, and goals of the ICS program. The performance management system should also be used to track the implementation of Recommendations 1 to 6 above. The CBTS unit of the OCD is already maintaining a database of trainings delivered and participants who have completed courses. The OFDA country program should leverage the operation of the database and establish a mechanism with CBTS to receive data for the performance indicators that will go into the system.

The local government agencies should establish a performance management system and go through the complete cycle to: 1) develop a performance management plan, 2) construct a country-level results framework, 3) define indicators to track performance, and 4) conduct periodic assessments of outcomes. A performance management system will allow the country team to effectively monitor activities and manage results. As stated in Recommendation 4, foundational resources in Indonesia and the Philippines have been built with databases, and Thailand should develop a similar system. These databases can serve as primary data sources for information across the different levels of the results framework to monitor the program. The foundations to develop a performance management mechanism exist.

While performance management is not a requirement and OFDA is exempted from complying with USAID's Automated Directives System (ADS) requirements, the local government agencies can leverage free and readily available resources from the agency, such as the TIPS series on developing PMPs, results frameworks, indicators, reference sheets, data collection, and analysis.

Annex I: Evaluation Statement of Work

RFTOP SECTION C – STATEMENT OF WORK

C.1 PURPOSE

USAID/OFDA seeks to award a contract to evaluate the effectiveness and sustainability of the Incident Command System (ICS) programming in the East Asia and Pacific (EAP) region2. The aim of this evaluation is to improve USAID/OFDA's understanding of the performance of the ICS program supported by USAID/OFDA in the EAP region. The evaluation shall inform future decision-making and contribute to the evidence-base on Disaster Risk Reduction (DRR) programming. The evaluation will focus on the ICS programming in the Philippines, Indonesia, and Thailand.

C.2 BACKGROUND:

USAID/OFDA DRR programming in EAP

Many countries in the EAP region undergo seasonal periods of increased hydrometeorological activity, experiencing cyclones and monsoon rains, which can increase the risk of floods and landslides and result in significant damage. Several EAP countries situated along the Pacific Ring of Fire experience volcanic activity, as well as earthquakes and associated tsunamis. To decrease the potential risks from these disasters, USAID/OFDA funds a range of disaster risk reduction (DRR) programming throughout the EAP region. USAID/OFDA has focused its DRR activities in the region on strategic, context-specific programs designed to meet particular risk reduction needs in each country, with capacity building as a consistent theme throughout all programs. USAID/OFDA provided nearly $34 million in FY 2013 and approximately $38.3 million in FY 2014 for DRR projects throughout EAP, including programs that integrate DRR with disaster response. More information on USAID/OFDA's DRR programming can be found in Section J.

Background to the ICS model

ICS is a standardized incident management concept that is applicable to any hazard or disaster scenario. It is designed to improve coordination and communication among various national government agencies and actors with the aim of expediting emergency response.

ICS was developed in the 1970s following a series of catastrophic fires in southern California that resulted in deaths, injuries, and considerable property damage. The personnel assigned to determine the causes of this disaster discovered that response problems could rarely be attributed to lack of resources or failure of tactics; instead, response problems more frequently resulted from inadequate management than from any other single reason. Weaknesses in incident management were often due to lack of accountability, poor communication, lack of an orderly planning process, absence of a predesigned yet flexible management structure, and the absence of a way to integrate interagency requirements into the response effectively.

To respond to these failures, the ICS was created; it comprises a set of basic principles, an organizational structure, and an operational planning process. Principles include a clear chain of command, the use of common terminology and interoperable communication systems, standardized training, and certification for positions. Although initially used by firefighters, response agencies began to use the system to manage other types of incidents in the 1980s. Following the September 11, 2001 attacks, the use of ICS at the federal, state, and local level was mandated through a Presidential Directive, and ICS is now a primary component of the US National Incident Management System (NIMS).

USAID/OFDA ICS programming in EAP

Part of USAID/OFDA's DRR strategy in EAP is to support programs aimed at increasing the capacity of national incident command systems to effectively respond to disasters. Overall, the objectives of ICS training programs are to enhance the capacity of countries to manage disaster response operations particularly during the initial emergency phase prior to the arrival of outside assistance. The training programs are also designed to ensure vertical integration of disaster management from the local to national level and to encourage the sustainability of the ICS program following the cessation of program activities.

USAID/OFDA supports ICS development by funding the U.S Forest Service (USFS) to conduct ICS capacity building activities across the EAP region. USAID/OFDA has provided funding for ICS trainings in the ASEAN member countries of Brunei, Burma, Indonesia, the Philippines, Thailand, and Vietnam, as well as to non-ASEAN member nations Mongolia, Solomon Islands, Timor Leste, and Vanuatu. Phase one of the program introduced ICS to ASEAN members through trainings and a study tour in the United States. Under Phase two, which is ongoing, USFS is continuing regional training activities, including basic and intermediate ICS courses and the development of online ICS training modules.

C.3 BACKGROUND: ICS PROGRAMS TO BE EVALUATED

C.3.1 Overview of Programs

This evaluation will examine the effectiveness and sustainability of USAID/OFDA funded ICS programs in the Philippines, Indonesia, and Thailand. This section summarizes the program's activities in these three countries.

Philippines

USAID/OFDA has provided $1,170,000 to support ICS programming in the Philippines from FY 2010 to FY 2014. USAID/OFDA support has funded train-the-trainer courses, as well as technical support for the adaptation of course materials, the establishment of Incident Management Teams (IMTs) in focal areas, the development of national ICS policy and guidelines, the mentoring of MTs, the conduct of exercises, the establishment of training and certification standards for ICS trainers, and the development of a website to track ICS training nation-wide.

In FY 2012, USAID/OFDA supported the USFS to bring ICS training to the local government unit level, with a focus on local government units and provinces in four regions (Cagayan, Laguna, Sorsogon and Benguet) that USAID/OFDA targeted for a capacity-building and technical support program implemented through the World Food Program (WFP). The USFS worked with WFP and the Philippine Office of Civil Defense to conduct an ICS course for participants from selected local government units and Provincial Disaster Risk Reduction Management Committees (PDRRMCs) in each of the four regions, as well as team-based All-Hazard Incident Management Team (AHIMT) courses and exercises for newly established Incident Management Teams in Cagayan and Benguet.

Indonesia

USAID/OFDA has provided $520,000 to support the implementation of ICS in Indonesia since FY 2012. In 2008, National Agency for Disaster Management (BNPB) issued Regulation 10, which mandates that Government of Indonesia (GoI) response agencies use the ICS. BNPB requested USG assistance in integrating ICS and other relevant NIMS components into Indonesia's newly established disaster management system, and ICS is a primary component of BNPB's curriculum for GoI disaster managers.

Thailand

USAID/OFDA has provided $861,500 for ICS programming in Thailand from FY 2010 to FY 2014 through its interagency agreement with the USFS. The USFS began working with Thailand's Department

of Disaster Prevention and Mitigation (DDPM) in 2010. In FY 2012 and 2013, USAID/OFDA provided funding for a series of ICS Train-the-Trainer courses. DDPM and the MTs have subsequently cascaded ICS training to operational responders in a variety of agencies and regions, and have applied ICS during the conduct of tabletop and full-scale multi-agency exercises.

C.3.2 Goal, Objectives, and General Theory of Change of ICS programs

The goal of USAID/OFDA's support to ICS programs is to increase the capacity of countries within in EAP to effectively and efficiently respond to disasters using the ICS model. The objectives of each of the iterations of ICS programming varies depending on the disaster profile and baseline capacity of the country in which the program is implemented. In general, however, the objectives of ICS programs are to increase the capacity of trainees to understand the ICS model and operate effectively within it once a disaster occurs.

The theories of change behind this type of program are both institutional and individual. By implementing ICS training programs targeting civilian government officials involved in disaster response, the capacity of the individuals trained will increase and the effectiveness of the disaster response institutions in which they work will improve.
This evaluation is designed to examine this model by studying its effectiveness and sustainability in the Philippines, Indonesia, and Thailand.

C.3.3 Existing performance data

The contractor will be able to access periodic performance reports from the ICS programs implemented with OFDA funding. The contractor will not have access to evaluation data or detailed quantitative results from performance monitoring.

C.4 THE EVALUATION

C.4.1 Purpose & Use

The goal of this evaluation is to improve USAID/OFDA's understanding of the performance of the ICS program supported by USAID/OFDA in the EAP region. The evaluation shall focus on the effectiveness and sustainability of the USAID/OFDA funded ICS programs in the Philippines, Indonesia, and Thailand. The findings of this evaluation will inform future programming decisions and adjustments to ongoing ICS programming.

After five years of supporting the ICS programming in a variety of regions, USAID/OFDA seeks a deeper understanding of the successes and areas for improvement in this capacity-building model. An evaluation of the performance of the ICS program in FY 2015 will allow USAID/OFDA decision-makers to apply the information from this evaluation in future programming decisions related to DRR programming and the ICS program model specifically. With more than $4 million invested in the ICS program over the last five years, the program is a significant investment in resources from USAID/OFDA. As with many capacity-building initiatives, contextual factors can influence the results from the capacity intervention. The introduction of ICS into a variety of countries—all with their own disaster risks, government structures, and socio-economic factors—has led USAID/OFDA to seek more information about the factors for success and the potential for sustainability.

C.4.2 Evaluation Objectives & Lines of Inquiry

This evaluation has two objectives: understanding effectiveness and sustainability. Each objective has several lines of inquiry that shall inform the evaluation design. Data must be collected for all lines of inquiry in the Philippines, Indonesia, and Thailand and will be analyzed to compare results from the different contexts.

USAID/OFDA does not regard these lines of inquiry as final and could modify the lines of inquiry through the design phase of the evaluation through conversations with the evaluation team. The lines of inquiry will be considered final in the approved version of the inception report deliverable of this contract. While exact wording of the lines of inquiry could be modified through the design phase, the objectives of the evaluation as well as the intent and focus of the evaluation will not change.

Objective 1: Effectiveness
1. To what extent has the ICS program built the capacity3 of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?
2. Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?
3. Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?
4. What country-level factors influence the effectiveness of the ICS program?
5. To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?

Objective 2: Sustainability
6. To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?
7. What barriers to utilization of the ICS exist?
8. How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?
9. What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?

C.4.3 Evaluation Type
This performance evaluation will be summative in nature. It will evaluate programs that have closed in order to draw conclusions about their effectiveness and sustainability so that USAID/OFDA can adjust future implementation plans and strategies.

C.4.4 Evaluation Approach
This evaluation will take a utilization-focused evaluation approach, meaning the evaluation will be designed through extensive consultation with USAID/OFDA and the USFS. USAID/OFDA seeks to gain feedback directly from the client countries who have participated in ICS activities. The evaluation will be designed to ensure that findings from the evaluation can directly inform future programming decisions related to ICS. The evaluation team will need to tailor the evaluation approaches to the specific context of country and analyze findings accordingly. The evaluation should be designed to allow readers to draw comparisons across country locations and provide analysis of the findings for the different contexts.

C.4.5 Evaluation Audience
The users of this evaluation will be USAID/OFDA's EAP team and USFS International Programs Department. More broadly, this evaluation will be read by USAID/OFDA staff in Washington, D.C., and regional field offices. This evaluation will also add to the evidence base on ICS and DRR programming. The evaluation will be available to all USAID/OFDA staff and will be made publicly available, in accordance with specific contractual requirements.

C.4.6 Evaluation Methods & Data Sources
General guidance

This evaluation must employ mixed methods: both qualitative and quantitative methods are required. Primary data must form the majority of the data collected for this evaluation; secondary data review alone will not suffice to inform the deliverables for this evaluation. The evaluation must use primary data collected in Thailand, the Philippines, and Indonesia to inform responses to the lines of inquiry of the evaluation.

Any quantitative data collection that takes place as part of this evaluation must include a representative sample of the survey population and must use rigorous methods for data collection and analysis. The survey populations for any large scale survey conducted as part of this evaluation are the individual countries (Thailand, the Philippines, and Indonesia) or groups of stakeholders within those countries, not the total population of survey populations in all three. Therefore, if a large scale survey is conducted, there will be three separate surveys. The data must be representative at a sub-national level, though the exact level of representation will be determined during the design stage of the evaluation. USAID/OFDA prefers to have data with no more than a 5% margin of error and at least a 95% confidence level. However, the exact parameters of the survey design will be determined during the initial stages of the evaluation process.

If less rigorous quantitative methods are needed, the Contractor must submit a justification to the COR for review and approval. Only after the COR has approved the less rigorous quantitative methods may they be used by the Contractor.

The qualitative methods proposed should consider the various approaches to evaluating training and capacity building programs in development contexts. The evaluation plan must incorporate methods suitable to evaluating training, capacity-building, and DRR. The qualitative inquiry should be designed to analyze data from multiple levels along the capacity-building results chain. The evaluation will use multiple data collection instruments, aiming to capture data from multiple angles and data sources. Having analysis from a variety of levels will inform the findings of the evaluation. Multiple-level analysis is important to understand where and how the interventions are influencing the government's capacity to respond to disasters. This evaluation should consider the relationships between capacity interventions and capacity outcomes, and the links between capacity and performance variables.

In the selection of methods, the contractor must include ethical considerations, do no harm precautions, and informed consent.

Specific methods
The exact methods to be used in this evaluation will be determined through the submission and acceptance of the Inception Report and Evaluation Plan deliverables. However, USAID/OFDA requires the set of methods described in the rest of this section to be used for certain lines of inquiry in this evaluation. If, through the design process, the evaluation team finds that these methods are not suitable for responding to the identified lines of inquiry, the Contractor must provide a clear justification. Changes to these methods requirements are subject to the review and approval of the COR.

- To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?
    - How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?
    - What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?

- To what extent has the ICS program built the capacity4 of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?

There are several types of methods that USAID/OFDA requires for the above lines of inquiry. In general, the contractor must use both quantitative and qualitative methods to gather data related to the lines of inquiry above.

First, the evaluation team must work with the USAID/OFDA and USFS to map benchmarks related to the ICS programming that link to levels of capacity-building. This mapping should help to understand what essential inputs and processes are required at each level to achieve capacity-building benchmarks in various country contexts. For example, one benchmark that indicates a level of capacity has been reached is the introduction of a policy that mandates the use of ICS for disaster management. This mapping must be an ongoing process during the evaluation.

Second, the contractor must use a survey of training participants to measure retained knowledge over time.

Third, the contractor must conduct structured or unstructured individual interviews with training participants, government officials, and other relevant stakeholders.

Fourth, this evaluation must include self-assessment techniques that have the added value of allowing participants in the evaluation to reflect and learn. Self-assessment techniques must be balanced with other objective measures and data collection.

Fifth, this evaluation must include focus group discussions with relevant stakeholders, community groups, and government officials.

Finally, the contractor must develop a capacity building index for the ICS system must be an overall tool for evaluators to utilize in data collection. The capacity building index must be based on the ICS curriculum and ICS program objectives.

- Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?
- To respond to the line of inquiry stated above, the contractor must conduct individual interviews and focus group discussions with relevant stakeholders.
- To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?
- What barriers to utilization of the ICS exist?
- How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?
- What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?

To respond to the lines of inquiry stated above, the contractor must use qualitative methods. If the contractor believes that quantitative methods would be useful to use for these questions, the contractor may use them. The qualitative methods must include individual interviews with training participants and government officials at a minimum.

Data Sources

The evaluation team must interview the most relevant respondents for each of the lines of inquiry. While each line of inquiry will have a different set of respondents deemed to be most relevant, the evaluation team must collect data from the following groups of individuals, (contingent upon the receipt of informed consent):

1. Training participants
2. Government officials
3. USAID/OFDA staff
4. USFS staff
5. ICS trainers
6. Community members
7. Other members of the USG that have worked with training participants during a disaster response
8. Training curricula
9. Periodic programmatic reports

The above list of respondents is not exhaustive. The contractor is encouraged to add more groups to respondents to ensure that the list is comprehensive and adequately covers all lines of inquiry.
This list of respondents may include individuals who have departed the countries in question or who no longer work for the organizations that employed them during the ICS training or disaster response. As such, the evaluation team must find as many of these individuals as possible to interview.

C.4.7 Limitations

Most ICS programs may not have baseline data and may not have consistent performance monitoring data. There have not been previous evaluations of the programs and documentation of progress, successes, and challenges is very limited. It may take time to contact respondents who have changed jobs or job location since the training program began.

C.4.8 Geographic Scope

The geographic scope of this evaluation is Indonesia, the Philippines, Thailand, and the United States. Primary data collection for this evaluation – and thus travel for relevant members of the evaluation team – must occur in Indonesia, the Philippines, and Thailand. Travel to countries other than the aforementioned countries for the purposes of this contract is allowable only if the evaluation plan identifies a clear need for primary data collection to occur and if the COR approves the need. The evaluators must also prepare to interview respondents via the telephone or internet-enabled communication in countries outside of the aforementioned countries.
The Contractor is responsible for accessing all countries and regions within the countries in the geographic scope of this contract.

C.4.9 Programming Period Covered by Evaluation

This evaluation will cover USAID/OFDA-funded ICS programs implemented between FY 2010 and FY2015.

C.4.10 Period of Performance of the Evaluation

This evaluation must be carried out under an agreed upon schedule of work, determined through the work plan. The period of performance of this contract is eight (8) months.

C.5 DELIVERABLES

Each of the deliverables must be submitted to USAID/OFDA for review and approval. USAID/OFDA has the following general quality standards for each of the deliverables submitted as part of this contract:
1. Deliverables must contain no typographical or grammatical errors.

2. Deliverables must be submitted at or before the deadline established in the contract. For deliverables with deadlines established in the work plan, the Contractor must submit the deliverables at or before the deadline approved in the work plan.
3. The deliverables must be written using concise and direct language.

Deliverable	**Contract Reference**	**Planned Completion Date**
Post-Award Conference Call	C.5.1	NLT 7 days after Contract Award
Work Plan	C.5.2	NLT 14 days after Contract Award
Kick-Off Meeting	C.5.3	NLT 21 days after Contract Award
Inception Report	C.5.4	To be determined in the work plan

Annex II: List of Indicators

No.	Indicators	Data Sources	Data Collection Locations
Objective 1: Effectiveness			
To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?			
1	Number of government officials trained annually	Program Plans, Records, and Reports including: ICS Training Participant rosters from program Implementers (OFDA, USFS) Training provider records Government records Course Curricula	US and In-country (some can be collected remotely)
2	Number of government officials trained total		
3	Number of first responders trained annually		
4	Number of first responders trained total		
5	Number of Master Trainers trained		
6	Number of training events by type		
7	Number of organizations who have adopted ICS (in plans, proclamations, etc.)		
8	ICS/NIMS used successfully in responses or exercises	After action reports / Incident Reviews	In-Country (can be collected remotely)
9	References to ICS/NIMS components in plans, policies, procedures, and laws	Government disaster response agencies plans, policies, procedures, and laws Local response agencies plans, policies, procedures	
10	Usage of ICS/NIMS concepts and procedures at multiple levels	Response Officials	In-Country

11	Perceived effectiveness of ICS program in improving disaster response capabilities		
12	Support for implementation		
Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?			
13	Positive Trainee Feedback	Training Feedback Forms (if available)	US and In-Country (can be collected remotely)
14	Negative Trainee Feedback		
8	ICS/NIMS used successfully in responses or exercises	After Action Reports / Incident Reviews	US
15	Retained Knowledge Survey: Amount of knowledge retained by training participants (did position, number of opportunities to apply knowledge, etc. impact retained knowledge)	Training Participants	In-Country
16	Impact of training (self-assessment)		
17	Organizational capacity and/or performance improvements	Master Trainers Response Officials	In-Country
18	Unsuccessful ICS/NIMS use in responses or exercises		
16	Impact of training (self-assessment)		
Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?			
12	Support for implementation	Response Officials	In-Country
19	Authority to implement		
11	Perceived effectiveness of ICS program in improving disaster response capabilities		

20	Distribution of training participants' levels of authority/activity	Training records Government records Organizational charts	In-Country (can be collected remotely)
What country-level factors influence the effectiveness of the ICS program?			
21	Existing culture of coordination/collaboration	Open source reports	
22	Presence of good governance indicators - accountability, transparency, rule of law		
23	Resource availability		
24	Geography		
25	Frequency of disasters		
26	Acceptance by national governments	Response Officials	In-Country
27	Acceptance by local governments		
28	Perceived contributions of country level data listed above or other factors		
29	Opportunities to use gained knowledge in exercises or real world events	Training Participants	In-Country
To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?			
15	Retained Knowledge Survey: Amount of knowledge retained by training participants (did position, number of opportunities to apply knowledge, etc. impact retained knowledge)	Training Participants	In-Country
Objective 2: Sustainability			
To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?			
8	ICS/NIMS used successfully in responses or exercises	After Action Reports/Incident Reviews	In-Country (can be collected remotely)

9	References to ICS/NIMS components in plans, policies, procedures, and laws	National, Regional, Local plans, policies, procedures	
30	Success of integration at multiple levels of government	Response Officials	In-Country
What barriers to utilization of the ICS exist?			
31	Failed attempts to integrate	Response Officials	In-Country
32	National/Regional level challenges		
33	Personal experiences of challenges at various levels of implementation (e.g., didn't understand terminology; culture not congruent with principles; didn't have country-specific examples of usage)	Response Officials	In-Country
How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?			
34	Changes / adaptations to ICS forms, structures, or protocols that have been made for the country	Response Officials	In-country
35	Suggested adaptations / areas for improvement	Response Officials	
36	Changes / adaptations to ICS Training Curricula that have been made for the country	USFS Trainers Master Trainers	US and In-country
35	Suggested adaptations / areas for improvement		
37	Training delivery challenges		

37	Training delivery challenges	Course evaluations (if they exist, using IOTWS evaluations as a benchmark) Course Reports	US
What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?			
38	Availability of other sources of Funding - internal or international (e.g., national level funding, CDC International Fellowship Programs)	Response Officials	In-Country
39	Perceived sustainability of country ICS programming	Response Officials	In-Country
40	Establishment of Structures, such as an ICS Steering Committee, to continue ICS capability development	Response Officials	In-Country
41	Cost of additional training given availability of Master Trainers reasonable	Master Trainers Training Participants Response Officials	US and In-Country
42	Master Trainers provide high quality training		
43	Standardized training and implementation		
44	Programs to capture and share lessons learned are in place	Response Officials	In-Country
12	Support for implementation	Response Officials	In-Country
9	References to ICS/NIMS components in plans, policies, procedures, and laws	Government disaster response agencies plans, policies, procedures, and laws Local response agencies plans, policies, procedures	US (can be collected remotely)

38	Availability of other sources of Funding - internal or international (e.g., national level funding, CDC International Fellowship Programs)	Program Activity Reports, SOWs, Open Source
12	Support for implementation	Local, Regional, National plans, policies, laws, etc.

Annex III: Data Collection Instruments

Instrument for Response Officials

Methods	No.	Indicators	Questions	Responses	Notes
Objective 1: Effectiveness					
To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?					
Interviews / Focus Group	10	Usage of ICS/NIMS concepts and procedures at multiple levels	**How many levels of government and agencies are currently using ICS?**		
	11	Perceived effectiveness of ICS program in improving disaster response capabilities	**Has the ICS programming provided improved disaster response capabilities?**		
	12	Support for implementation	**How much support is there for continued use of ICS nationwide?**		
Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?					
Interviews / Focus Group	17	Organizational capacity and/or performance improvements	Have ICS training programs improved partner nation(s) organizational capacity and performance? Can you cite any specific, tangible gains?		
	18	Unsuccessful ICS/NIMS use in responses or exercises	Are you aware of any uses of ICS/NIMS in our partner nations that have been unsuccessful or ineffective?		
	16	Impact of training (self-assessment)	What have been the most effective aspects of the ICS Training program?		

			Which aspects have been least effective?		
Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?					
Interviews / Focus Group	12	Support for implementation	Has the partner nation been supportive of implementing ICS? Has there been a specific champion?		
	19	Authority to implement	**Do the people receiving ICS training have the authority to implement ICS at their levels?**		
	11	Perceived effectiveness of ICS program in improving disaster response capabilities	How effective has the ICS programming been in improving disaster response capabilities?		
What country-level factors influence the effectiveness of the ICS program?					
Interviews / Focus Group	26	Acceptance by national governments	How well is ICS accepted at the National level?		
	27	Acceptance by local governments	How well is ICS accepted at the local level?		
	28	Perceived contributions of country level data listed above or other factors	What factors in this partner nation have influenced the effectiveness of the ICS program, whether negative or positive?		
To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?					
Objective 2: Sustainability					
To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?					
Interviews / Focus Groups	30	Success of integration at multiple levels of government	**Have ICS processes, documents, and strategies been**		

			successfully integrated into response processes at local and national levels?		
What barriers to utilization of the ICS exist?					
Interviews/ Focus Groups	31	Failed attempts to integrate	Are you aware of any times officials have tried to integrate ICS concepts into their frameworks, but were not successful?		
	32	National/Regional level challenges	What challenges exist to full and effective use of ICS in the partner nation? Are there challenges at both the national and regional levels?		
	33	Personal experiences of challenges at various levels of implementation (e.g., didn't understand terminology; culture not congruent with principles; didn't have country-specific examples of usage)	What challenges have you encountered when trying to implement ICS? (e.g., didn't understand terminology; culture not congruent with principles; didn't have country-specific examples of usage)		
How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?					
Interviews / Focus Groups	34	Changes / adaptations to ICS forms, structures, or protocols that have been made for the country	**What changes have been made to standard ICS forms, structures, and protocols to meet country requirements?**		

	35	Suggested adaptations / areas for improvement	What changes should be made to enhance ICS implementation?		
What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?					
Interviews / Focus Groups	38	Availability of other sources of Funding - internal or international (e.g., national level funding, CDC International Fellowship Programs)	Have ICS initiative been funded by organizations other than USAID/OFDA? What funding have the national or local governments provided?		
	39	Perceived sustainability of country ICS programming	Is the country's ICS programming sustainable? i.e. if OFDA no longer sponsored it, would the country still use ICS?		
	40	Establishment of Structures, such as an ICS Steering Committee, to continue ICS capability development	Has the partner nation established a committee responsible for advocating for and guiding the adoption of ICS practices at national and local levels?		
	41	Cost of additional training given availability of Master Trainers reasonable	Is the cost of cascaded training reasonable and accessible to a variety of local responder organizations?		
	42	Master Trainers provide high quality training	Do the in-country trainers provide high quality training that is comparable to that offered by the USFS cadre? If not,		

			what can be done to ensure quality?		
	43	Standardized training and implementation	Is ICS training standardized across the nation? Is implementation standardized?		
	44	Programs to capture and share lessons learned are in place	Are programs in place to capture and share lessons learned nationally and internationally?		
	12	Support for implementation	Asked Previously		

Instrument for Training Cadres

Methods	No.	Indicators	Question	Responses	Notes
Objective 1: Effectiveness					
To what extent has the ICS program built the capacity of national governments to respond to disasters effectively, particularly at the initial stages of the emergency?					
Which aspects of the ICS training program are most effective? Which aspects of the ICS training program are least effective?					
Interviews / Focus Group	17	Organizational capacity and/or performance improvements	Have ICS training programs improved partner nation(s) organizational capacity and performance? Can you cite any specific, tangible gains?		
	18	Unsuccessful ICS/NIMS use in responses or exercises	Are you aware of any uses of ICS/NIMS in our partner nations that have been unsuccessful or ineffective?		
	16	Impact of training (self-assessment)	What have been the most effective aspects of the ICS Training program?		

			Which aspects have been least effective?		
Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system?					
Interviews / Focus Group	12	Support for implementation	Has the partner nation been supportive of implementing ICS? Has there been a specific champion?		
	11	Perceived effectiveness of ICS program in improving disaster response capabilities	How effective has the ICS programming been in improving disaster response capabilities?		
What country-level factors influence the effectiveness of the ICS program?					
Interviews / Focus Group	26	Acceptance by national governments	How well is ICS accepted at the National level?		
	27	Acceptance by local governments	How well is ICS accepted at the local level?		
	28	Perceived contributions of country level data listed above or other factors	What factors in this partner nation have influenced the effectiveness of the ICS program, whether negative or positive?		
To what extent do training participants—including the different levels of the cascade training system—retain knowledge and skills transferred through the ICS trainings?					
Objective 2: Sustainability					
To what extent are countries able to integrate the ICS into their national frameworks or other institutionalization models?					
What barriers to utilization of the ICS exist?					
Interviews/ Focus Groups	31	Failed attempts to integrate	Are you aware of any times officials have tried to integrate ICS concepts into their frameworks, but were not successful?		

	32	National/Regional level challenges	What challenges exist to full and effective use of ICS in the partner nation? Are there challenges at both the national and regional levels?		
	33	Personal experiences of challenges at various levels of implementation (e.g., didn't understand terminology; culture not congruent with principles; didn't have country-specific examples of usage)	What challenges have you encountered when trying to implement ICS? (e.g., didn't understand terminology; culture not congruent with principles; didn't have country-specific examples of usage)		
How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?					
Interviews / Focus Groups	36	Changes / adaptations to ICS Training Curricula that have been made for the country	What changes have been made to the ICS Training curriculum to adapt the content and/or presentation to the target country?		
	35	Suggested adaptations / areas for improvement	What changes should be made to enhance ICS implementation?		
	37	Training delivery challenges	What are the main challenges you encounter when delivering training?		
What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?					
Interviews / Focus Groups	38	Availability of other sources of Funding - internal or international	Have ICS initiative been funded by organizations other than		

		(e.g., national level funding, CDC International Fellowship Programs)	USAID/OFDA? What funding have the national or local governments provided?		
	39	Perceived sustainability of country ICS programming	Is the country's ICS programming sustainable? i.e. if OFDA no longer sponsored it, would the country still use ICS?		
	40	Establishment of Structures, such as an ICS Steering Committee, to continue ICS capability development	Has the partner nation established a committee responsible for advocating for and guiding the adoption of ICS practices at national and local levels?		
	41	Cost of additional training given availability of Master Trainers reasonable	Is the cost of cascaded training reasonable and accessible to a variety of local responder organizations?		
	42	Master Trainers provide high quality training	Do the in-country trainers provide high quality training that is comparable to that offered by the USFS cadre? If not, what can be done to ensure quality?		
	43	Standardized training and implementation	Is ICS training standardized across the nation? Is implementation standardized?		
	44	Programs to capture and share lessons learned are in place	Are programs in place to capture and share lessons learned nationally		

			and internationally?		

DevTech Systems, Inc.
Independent Evaluation of the
USAID/OFDA Incident Command Systems (ICS) Training Program
Focus Group Discussion Questions
RESPONSE OFFICIALS

You have received this request to join us for this group discussion because of your participation or involvement in the Incident Command System (ICS) training program funded by the United States Agency for International Development Office of Foreign Disaster Assistance (USAID/OFDA). DevTech Systems, Inc. has been commissioned by OFDA to conduct an external evaluation of the ICS program and we are conducting this survey as part of the evaluation tasks.

We would like to get your thoughts and opinions on the effectiveness and sustainability of the ICS program in building the capacity of local first responder teams to events. The information you will share will be kept strictly confidential and there will be no disclosure of any individual response. The only information that will be used for disclosure to third parties will be aggregates and summaries of the information from all participants, and a selection of comments made, without attribution to any individual who made them.

We are grateful for your participation in this evaluation. The information you provide will contribute significantly to the evaluation and the work of the ICS program as a whole.

Thank you very much.

Sincerely,
The DevTech Evaluation Team

Objective 1: Effectiveness

The FGD moderator should attempt to elicit responses to all of the Primary Questions using Primary Questions or secondary/probe questions to elicit perception- and experience-based responses from the ***focus group participants****. Indirect responses that come up in discussions that follow any of the moderator's prompts should be recorded. If, in the course of the FGD, participants do not answer a Primary Question, use the secondary or probe questions to ensure that all relevant indicators have been addressed. If, in answering one Primary Question, an interviewee provides an answer for another, the interviewer may alter the original order of Primary Questions to best maintain a natural conversational flow. The moderator should use the Primary Questions as a guide and select appropriate secondary or probe questions to ask that align with the focus group's particular set of experiences or expertise.*

Primary Question 1: Have you noticed a difference in the effectiveness of disaster response(s) in your country since the OFDA/USFS ICS program began?

1a. How many levels of government and agencies are currently using ICS?

1b. Has the ICS programming provided improved disaster response capabilities? Have any aspects of disaster response become less effective as a result of the training? If so, do you think these are temporary setbacks as part of the change toward ICS, or is ICS incompatible with any part of your country's disaster response system?

1c. How much support is there for continued use of ICS nationwide?

Primary Question 2: Which aspect(s) of the ICS training program have you found to be the most effective? Which aspect(s) have you found to be the least effective?

2a. Have ICS training programs improved your country's disaster response organizational capacity and performance? Have you noticed a difference in skill level and response performance between responders who have and have not received ICS training?

2b. Are you aware of any uses of ICS/NIMS in our partner nations that have been unsuccessful or ineffective?

2c. In your opinion, what have been the most effective aspects of the ICS Training program?

2d. Which aspects have been least effective?

Primary Question 3: Is the ICS targeting actors within the national government that are best positioned to effectively implement elements of the ICS system? Which actors, if any, have been left out of ICS planning, training and implementation that should have been included?

3a. Has the national government been supportive of implementing ICS? Has any particular branch, agency, organization or person (local or foreign) been a champion for ICS implementation?

3b. Do the people receiving ICS training have the authority to implement ICS at their levels? At what point did they receive this authority (i.e.: how long into the ICS training and implementation did this change occur)?

3c. How effective has the ICS programming been in improving disaster response capabilities? Can you provide a specific example – in training or in actual disaster response – to support your view?

Primary Question 4: What country-level factors influence the effectiveness of the ICS program?

4a. How well is ICS accepted at the National level?

4b. How well is ICS accepted at the local level?

4c. What factors in this partner nation have influenced the effectiveness of the ICS program, whether negative or positive?

Objective 2: Sustainability

Primary Question 1: To what extent has your country integrated ICS into its national framework or other institutional models?

1a. Have ICS processes, documents, and strategies been successfully integrated into response processes at local and national levels?

Primary Question 2: What barriers to utilization of the ICS exist?

2a. Are you aware of any times officials have tried to integrate ICS concepts into their frameworks, but were not successful?

2b. What challenges exist to full and effective use of ICS in your country? Are there challenges at both the national and regional levels?

2c. What challenges did you encounter or notice in integrating ICS principles into the national framework? (e.g.: didn't understand terminology; culture not congruent with principles; didn't have country-specific examples of usage)

Primary Question 3: How much adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?

3a. What changes have been made to standard ICS forms, structures, and protocols to meet country requirements?

3b. Did you encounter any challenges specific to the ICS training and training materials that hindered the integration of the ICS into your national framework? If so, what changed – or should have changed – to enhance and speed up the integration process? Who first noticed the issues, and who made the appropriate changes?

3b. What changes should be made to enhance ICS implementation?

***Primary Question 4*: What factors contribute to sustainability of the ICS? Will existing investments remain viable without external donor support?**

4a. Have ICS initiative been funded by organizations other than USAID/OFDA? If so, have these trainings helped or hindered the integration and standardization of ICS in your country?

4b. What funding have the national or local governments provided?

4b. Do you believe that the ICS program in your country would remain viable and sustainable without external donor (i.e.: USAID) funding or training? Why or why not?

4c. Has the government established a committee responsible for advocating for and guiding the adoption of ICS practices at national and local levels?

4d. Have you heard of any issues with cascaded training related to cost and/or accessibility? Are local responder organizations able to access training, and is this access sustainable in the long-term?

4e. Do the in-country trainers provide high quality training that is comparable to that offered by the USFS cadre? What differences have you noticed or been told about between local trainers and USFS trainers? What can be done to ensure quality?

4f. Is ICS training standardized across the nation? Is implementation standardized?

4g. Are programs in place to capture and share lessons learned nationally and internationally? Who (what government branch/agency or individual) spearheaded the development of these programs?

DevTech Systems, Inc.
Independent Evaluation of the
USAID/OFDA Incident Command Systems (ICS) Training Program
Focus Group Discussion Questions
TRAINER CADRES

You have received this request to join us for this group discussion because of your participation or involvement as a trainer in the Incident Command System (ICS) training program funded by the United States Agency for International Development Office of Foreign Disaster Assistance (USAID/OFDA). DevTech Systems, Inc. has been commissioned by OFDA to conduct an external evaluation of the ICS program and we are conducting this survey as part of the evaluation tasks.

We would like to get your thoughts and opinions on the effectiveness and sustainability of the ICS program in building the capacity of local first responder teams to events. The information you will share will be kept strictly confidential and there will be no disclosure of any individual response. The only information that will be used for disclosure to third parties will be aggregates and summaries of the information from all participants, and a selection of comments made, without attribution to any individual who made them.

We are grateful for your participation in this evaluation. The information you provide will contribute significantly to the evaluation and the work of the ICS program as a whole.

Thank you very much.

Sincerely,
The DevTech Evaluation Team

Objective 1: Effectiveness

The FGD moderator should attempt to elicit responses to all of the Primary Questions using Primary Questions or secondary/probe questions to elicit perception- and experience-based responses from the ***focus group participants****. Indirect responses that come up in discussions that follow any of the moderator's prompts should be recorded. If, in the course of the FGD, participants do not answer a Primary Question, use the secondary or probe questions to ensure that all relevant indicators have been addressed. If, in answering one Primary Question, an interviewee provides an answer for another, the interviewer may alter the original order of Primary Questions to best maintain a natural conversational flow. The moderator should use the Primary Questions as a guide and select appropriate secondary or probe questions to ask that align with the focus group's particular set of experiences or expertise.*

Primary Question 1: Have you noticed a difference in the effectiveness of disaster response(s) in your country since the OFDA/USFS ICS program began?

1a. If so, what changes that have occurred? Can you give an example of these changes? At what level – national, provincial, organizational, etc. – have these changes been the most profound?

1b. Would you say that the national disaster response effectiveness has improved, worsened, or remained the same as before? Can you provide specific examples?

1c. Do you believe that your country could effectively respond to a disaster without foreign assistance? Why or why not?

1d. If you could use foreign assistance for one aspect of a disaster response, which aspect would that be? Why?

1e. Has the ICS program changed the capacity of your country to respond to a disaster?

Note for moderator: Probe to find out at what level – national, provincial, organizational, or other – the focus group participants have noticed the changes being the most profound. Make sure to note in which level(s) of ICS training participants have had *direct* experience.

Note for moderator: Find out at what point along the post-disaster timeline (i.e.: immediately following a disaster or later) the participants view their countries' response strengths and weaknesses.

Primary Question 2: Which aspect(s) of the ICS training program have you found to be the most effective? Which aspect(s) have you found to be the least effective?

2a. In your experience, how did the ICS training programs change the way in which your country's disaster response functioned?

2b. Have you found that any of the uses of ICS/NIMS have been unsuccessful, ineffective or unnecessary? Can you please provide an example?

Probe: Other than the USFS ICS training, have you received similar training? If so, when, and who provided it? In what ways was the training similar? In what ways was the training different?

2c. What aspect of ICS training has been the most useful at improving national organizational capacity and performance?

2d. What aspect of ICS training has been the least useful?

Primary Question 3: Which actors (agencies, individuals, offices) work or have worked with the ICS programmers? Why do you believe these actors were targeted?

3a. Is there a more appropriate actor or set of actors that should have been targeted instead?

Probe: Where (geographically, provincially) is the ICS program lacking?

3b. Has the national government supported the implementation of ICS? If yes, was this support given quickly, or did it take time for a strong relationship between USFS/OFDA and the national government to form?

3c. Has there been a person or agency that has been particularly supportive of ICS (in other words: has there been a champion who has worked very hard to ensure that ICS programming is incorporated into the national system)?

Primary Question 4: What factors have influenced the effectiveness of the ICS program, in the country overall and in your province/organization/agency specifically?

4a. How well is ICS accepted at the National level?

4b. How well is ICS accepted at the local level?

4c. Do you think that your country has incorporated ICS effectively? Why or why not?

4d. Compared to other countries in the region, how well do you believe your country has incorporated and utilized ICS? What factors have contributed to your country's relative success or slower pace? What challenges have you notices or experienced in the process of integrating ICS into your country's national framework?

Objective 2: Sustainability

Primary Question 1: To what extent has your country integrated ICS into its national framework (or other relevant institutional models)? What barriers to the full utilization of ICS exist?

1a. Are you aware of any times officials have tried to integrate ICS concepts into their frameworks, but were not successful?

1b. What challenges have been overcome since ICS implementation and training began? What challenges still exist, at both the national and regional levels?

Probe: What needs to take place for ICS to be fully integrated and utilized? What changes need to occur, and who should be in charge?

1c. When you were first trained in ICS, were there any aspects of the training that you found to be especially challenging?

Probe: Could the training have been changed to provide a more fluid, intuitive explanation of ICS? Did the concepts (terminology, principles, and country-specific examples of usage) seem relevant to local users or did they seem foreign?

Primary Question 2: Is further adaptation (translation of core concepts and revision of key elements to better reflect local conditions) of the ICS is required before the materials can be utilized at the local government-level?

2a. What changes have been made to standard ICS forms, structures, and protocols to meet country requirements?

2b. What changes should be made to enhance ICS implementation?

2c. What are the main challenges you encounter when delivering training?

Primary Question 3*: *Do you think that ICS will continue to grow and become central in your country's disaster response system? Do you foresee ICS remaining sustainable in the long-term without external donor support?

3a. Have you been trained – or heard of trainings – in ICS by organizations other than USAID/OFDA (USFS)?

3b. Has your local or national government provided funding for ICS training that you know of?

3b. Is the country's ICS programming currently sustainable? i.e. if OFDA no longer sponsored it, would the country still use ICS? If not, what would need to change to make it sustainable?

3c. Has the partner nation established a committee responsible for advocating for and guiding the adoption of ICS practices at national and local levels? Has your local region/province/town had a voice in steering ICS practices?

3d. Did your training end up costing you money, or was it supported? Who (if anyone) supported it? As far as you know, is the cost of cascaded training reasonable for local responders and organizations, or is it cost-prohibitive? Is it geographically accessible? What obstacles to giving and receiving training exist?

3e. Is the cascaded training of comparable quality as the training offered by the USFS cadre? Do you believe the training has changed in any way without the USFS cadre? If so, are these changes improvements or impediments to the full utilization of ICS?

3f. Is ICS training standardized across the nation? Is implementation standardized?

3g. Are programs in place to capture and share lessons learned nationally and internationally? Have you participated in these programs?

DevTech Systems, Inc.
Independent Evaluation of the
USAID/OFDA Incident Command Systems (ICS) Training Program
Retained Knowledge Survey

You have received this request to complete this survey because of your participation or involvement in the Incident Command System (ICS) training program funded by the United States Agency for International Development Office of Foreign Disaster Assistance (USAID/OFDA). DevTech Systems, Inc. has been commissioned by OFDA to conduct an external evaluation of the ICS program and we are conducting this survey as part of the evaluation tasks.

You may access the survey by clicking on the link provided below. This link is uniquely tied to this survey and your email address. Please do not forward this message. The survey is estimated to take approximately 10-15 minutes to complete. You may also save your responses at any point of the survey and continue answering it at a later time if you wish. We would appreciate it if you could complete the survey by July 11.

The survey results will be kept strictly confidential and there will be no disclosure of any individual survey response. The only information that will be used for disclosure to third parties will be aggregates and summaries of the survey results from all participants, and a selection of comments made, without attribution to any individual who made them.

We are grateful for your participation in this survey. The information you provide will contribute significantly to the evaluation and the work of the ICS program as a whole.

Thank you very much.

Sincerely,
The DevTech Evaluation Team

Respondent Information:

Name:

Age:

Occupation:

[_] 1 Manager
[_] 2 Doctor/Nurse
[_] 3 Teacher
[_] 4 Lawyer/
[_] 5 Engineer
[_] 6 Other (professional) _____
[_] 7 Technician
[_] 8 Office worker (e.g. secretary)
[_] 9 Service worker (e.g. mechanic)
[_] 10 Care worker
[_] 11 Religious / Community leader
[_] 12 Police / security
[_] 13 Military
[_] 14 Other (skilled)
[_] 98 *Refusal*
[_] 99 *Do not know*

Organization/Professional affiliation:

Organization/Professional title or position:

Country”

District or region

City:

Years in organization:

Email address:

Education (highest degree completed):

[_] 1 Elementary/grade school
[_] 2 High school
[_] 3 Technical/Vocational
[_] 4 College/Bachelors
[_] 5 Graduate degree (MA, MS, Ph.D.)
[_] 6 MD/Medical degree
[_] 7 JD/Law degree
[_] 98 *Refusal*
[_] 99 *Do not know*

ICS training(s) received
Please check (√) and provide the month and year the course was taken and instructor.

√	**Training course name**	**Month**	**Year**	**Instructor**	
				USFS	In-country Master Trainer
	Basic:				
	ICS For Senior Officials/Executives				
	Introduction to NIMS				
	Introduction to ICS				
	Intermediate:				
	Emergency Operations Center (EOC)				
	Multi-Agency Coordination (MAC)				
	ICS Position Courses:				
	Integrated Planning Section				
	Operations				
	Logistics				
	Finance/Admin				
	Operations				
	Command				
	Advanced:				
	Train-the-Trainer				
	Developing Emergency Plans				
	Exercise Design and Evaluation				
	All-Hazards Incident Management Team (AHIMT)				
	Incident Commander Training (ICT)				

Section I: ICS Effectiveness.

"Effectiveness" is defined to mean that project activities met stated goals. For ICS, the program is considered effective if trainings and other activities met the stated goal of increasing the country's capacity to efficiently respond to disasters using the ICS model.

1. Which aspects of the ICS training program(s) you participated in are **most** effective?

2. Which aspects of the ICS training program are **least** effective?

3. Have you used the knowledge you gained from ICS training in **an exercise**?

    a. No ____. If no, skip to the next question.
    b. Yes ___. If yes, please explain below

_____
_____
_____

4. Have you used the knowledge you gained from ICS training in a **real-world event**?

    a. No ____. If no, skip to the next question.
    b. Yes ___. If yes, please explain below

_____
_____
_____

5. Do you see the use of ICS/NIMS concepts and procedures within your organization?

    a. Not at all
    b. Only at a minimum
    c. Occasionally
    d. Frequently
    e. Regularly

    Please explain.

_____

_____
_____

6. Did you see any challenges in **<u>your organization's</u>** use of ICS/NIMS concepts and procedures?

    a. Not at all
    b. Only at a minimum
    c. Occasionally
    d. Frequently
    e. Regularly

    Please explain.

_____
_____
_____

7. Did you see any challenges in **<u>your</u>** use of ICS/NIMS concepts and procedures within your organization?

    a. Not at all
    b. Only at a minimum
    c. Occasionally
    d. Frequently
    e. Regularly

    Please explain.

_____
_____
_____

8. What suggestions do you have to improve the effectiveness of ICS Programming in your country?

    Please explain.

_____
_____
_____

Section II: Retained knowledge

Please select an answer for each question below. This section is a not a test and is designed to determine which parts of ICS training needs to be strengthened for future courses. As mentioned previously, answers in this section will remain confidential.

9. Which Section Chief is responsible for ensuring that assigned incident personnel are fed and have communications, medical support, and transportation as needed to meet the operational objectives?

    a. Operations
    b. Planning
    c. Command Staff
    d. Finance/Admin
    e. Logistics
    f. Liaison Officer

10. Command is:

    a. Directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.
    b. The ability to control information exchange within and across organizations involved in an incident.
    c. Based on the number of individuals or resources that one supervisor can manage effectively during an incident.
    d. Assumed by the individual who is the highest ranking person on the scene regardless of experience or training level.

11. Interoperability means:

    a. Surrounding jurisdictions all purchase the same type of communications hardware and software.
    b. Personnel from different jurisdictions can all perform the same tasks using the same protocols.
    c. Communication equipment, procedures, and systems can operate together during a response.
    d. A single plan is used to direct the tactical assignments with the Operations Section.

12. ICS defines a manageable span of control as:

    a. No more than 8 individuals reporting to a single manager
    b. 5 to 9 resources, with 7 being optimum
    c. No fewer than 4 direct reports, or the structure is inefficient
    d. 3 to 7 resources, with 5 being optimum

13. During initial response actions, the person currently in charge (Incident Commander) must:

1 _____*(Select from the list below.)*
2 Determine if life is at immediate risk.
3 Ensure that personnel safety factors are taken into account.
4 Determine if there are any environmental issues that need to be addressed.

a. Assert authority when assuming command.
b. Help execute critical tactical activities.
c. Gather input from stakeholders.
d. Size up the situation.

14. Which of the statements is correct regarding the use of ICS in expanding incidents?

    a. An Incident Commander always directly manages the incident.
    b. ICS Supervisors should delegate a task only when they cannot perform the task effectively themselves.
    c. When a Unified Command is in place, there is still a single Incident Commander in charge.
    d. Designated Agency Incident Commanders must have the authority to act on behalf of their agency in order to perform as part of a Unified Command.

15. Which of the following is an example of an objective that follows the SMART characteristics?

    a. As needed, provide assistance to those who might have damage from the fire.
    b. Enable public works teams to locate downed power lines or set up generators for 48 hours.
    c. Clear all debris and reopen roadways no later than 0700 tomorrow morning.
    d. Facilitate the provision of assistance to the victims of the airplane crash.

16. Which of the following is a true statement?

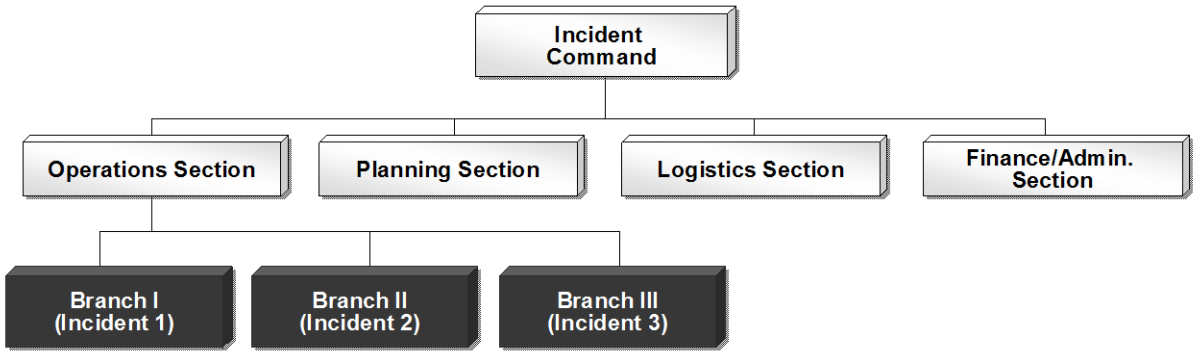
    a. Area Command replaces the incident-level ICS organizations or functions.
    b. Area Command should be collocated with one of the Incident Command Posts.
    c. When Area Command is established, the Incident Commander(s) report to the Area Commander.
    d. Area Command establishes the Incident Action Plan for the individual Incident Commanders.

17. An incident is geographically dispersed, and the incident base cannot support the incident logistical needs. Assuming that you do not want to divide the incident in two separate incidents, what is another option for managing this incident?

    a. Collocate the logistics base with the staging areas, with the Staging Area Manager assuming responsibility.
    b. Divide the Logistics Section into Divisions that represent each geographic area reporting to a Supervisor.
    c. Establish a second Logistics Section reporting to a Deputy Incident Commander (Logistics).
    d. Have the Emergency Operations Center establish a Logistics Section and assume command responsibility for that function.

18. What type of ICS structure is illustrated below?

Figure 1: ICS organization with Incident Command, Operations Section, Planning Section, Logistics Section, and Finance/Admin Sections. Reporting to the Operations Section are Branch I (Incident 1), Branch II (Incident 2), and Branch III (Incident 3).



a. Area Command
b. Incident Complex
c. Unified Command
d. Incident Command Post

Thank you very much for your participation.

END OF SURVEY

Annex IV. Sources of Information

Table 2: List of Program Documents Reviewed

Program Documents
4th Quarter FY10 Report - OFDA Philippines Planning
1st Quarter FY11 Report - OFDA ASEAN ICS
2nd Quarter FY11 Report - OFDA ASEAN ICS
3rd Quarter FY11 Report - OFDA ASEAN ICS
4th Quarter FY11 Report - OFDA ASEAN ICS
1st Quarter FY12 Report - OFDA ASEAN ICS
2nd Quarter FY12 Report - OFDA ASEAN ICS
3rd Quarter FY12 Report - OFDA EAP ICS Activities
4th Quarter FY12 Report - OFDA EAP ICS Activities
1st Quarter FY13 Report - OFDA EAP ICS Activities
2nd Quarter FY13 Report - OFDA EAP ICS Activities
3rd Quarter FY13 Report - OFDA EAP ICS Activities
4th Quarter FY13 Report - OFDA EAP ICS Activities
1st Quarter FY14 Report - OFDA EAP ICS Activities
2nd Quarter FY14 Report - OFDA EAP Activities
3rd Quarter FY14 Report - OFDA EAP Activities
4th Quarter FY14 Report - OFDA EAP ICS Activities
1st Quarter FY15 Report - OFDA EAP Activities
2nd Quarter FY15 Report - OFDA EAP Activities
3rd Quarter FY15 Report - State ASEAN ICS 2012 Funds
1st Quarter FY16 Report - OFDA EAP Activities
2nd Quarter FY16 Report - OFDA EAP Activities
3rd Quarter FY16 Report - OFDA EAP Activities

Table 3: List of Country Documents Reviewed

Filename	Document Title
2011_03 Philippine LSC FSC OSC IC Course Report	Finance/Administration Section Chief, Logistics Section Chief, Operations Section Chief, and Incident Commander Courses Course Report and Next Steps
201106 Philippines Pilot Project ICS Training Report	Philippines Pilot Project Basic/Intermediate ICS Course Report
201111 Philippines AHIMT Course Report	All-Hazards Incident Management Team Course Report and ICS Workshop Outcomes
201405 USFS Typhoon Yolanda_AAR_Trip_Report	Typhoon Yolanda After-Action Review Incident Command System Workshop Trip Report
20140504 FOG Workshop Trip Report	Philippine Field Operations Guide (FOG) Workshop Trip Report April 28 – May 2, 2014
20141215 Philippines Trip Report	Trip Report Philippines – Exercise and National IMT Technical Assistance December 9-12, 2014
Phi-ICS Accomplishment Report 2012	21st ACDM Meeting January 7-11, 2013 Chang-mai, Thailand ICS MILESTONES AND ACHIEVEMENTS IN THE PHILIPPINES
Philippines USFS Disaster Management - FY 2012 DASP	US Forest Service – International Programs Program to Strengthen Capacity for Disaster Management in the Philippines FY2012 Program
Philippines USFS Disaster Management - FY 2013 DASP	US Forest Service – International Programs Program to Strengthen Capacity for Disaster Management in the Philippines FY2015 Program
Philippines USFS Disaster Management - FY 2014 DASP	US Forest Service – International Programs Program to Strengthen Capacity for Disaster Management in the Philippines FY2014 Program
Philippines USFS Disaster Management SOW- FY 2015	US Forest Service – International Programs Program to Strengthen Capacity for Disaster Management in the Philippines FY2015 Program
2010 Philippines Planning - OFDA SOW	Enhancing Capacity for Disaster Management within the Republic of the Philippines: Response Planning
2011 Philippines ICS - OFDA SOW	Enhancing Capacity for Disaster Management in the Republic of the Philippines FY 2011 USAID/OFDA SOW
201010 Philippines Plans Course Report	Philippines ICS Integrated Planning Section Course Report October 11-21, 2010
Final Report - May 2012 ICS Courses - WFP Provinces	Final Report Philippines Basic/Intermediate ICS Pilot Programs May 9-30, 2012
OCD Pilot Program Proposal - Negros Occidental Region	Training Proposal: PILOT BASIC/INTERMEDIATE ICS COURSE FOR THE PROVINCIAL DISASTER RISK REDUCTION AND MANAGEMENT COUNCIL OF THE PROVINCE OF NEGROS OCCIDENTAL
OCD Pilot Program Proposal - Olongapo PDMO	OLONGAPO CITY DRRMC TRAINING ON INCIDENT COMMAND SYSTEM PROPOSED BUDGETARY REQUIREMENT
OCD Pilot Program Proposal - Surallah Municipality Mindanao	Training Proposal: PILOT BASIC/INTERMEDIATE ICS COURSE FOR THE MUNICIPAL DISASTER RISK REDUCTION AND MANAGEMENT COUNCIL OF SURALLAH

Table 4: List of Interview and Group Discussion Participants

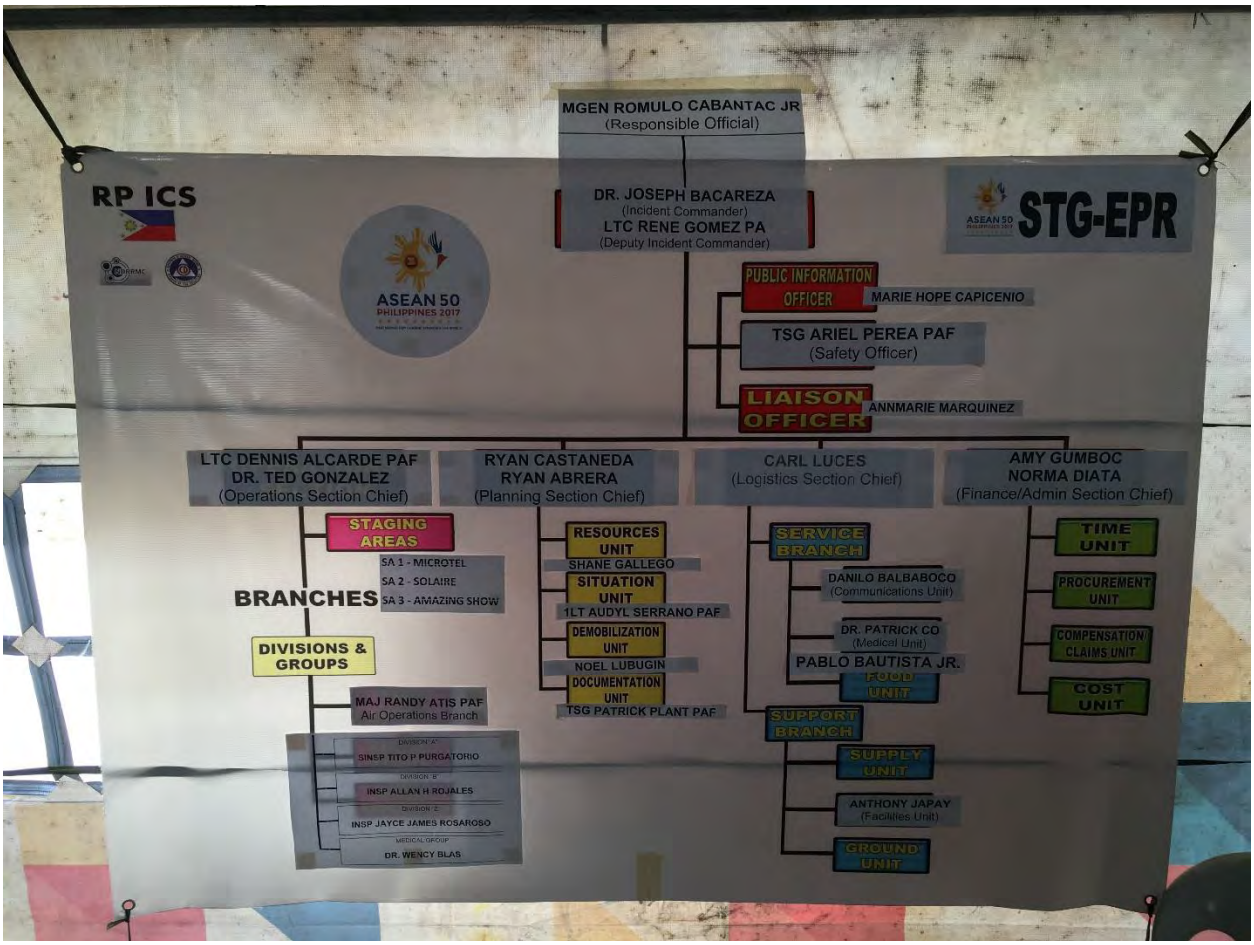
Name	Organization (and designation)
Dr. Joseph Bacareza	Department of Interior and Local Government (DILG) Original MT Cadre
Aubrey Bautista	Department of Social Welfare and Development (DSWD) Disaster Response Assistance & Management Bureau (DREAMB), Development Officer ICS Level 3 trained
Wenceslao Blas, MD	DOH, Assistant Regional DRRMH
Rodel Cabaddu	DSWD DREAMB Office, ICS Level 3 trained
Maj. Gen. Romulo H. Cabantac (Ret.)	Regional Director, OCD NCR Senior Vice-Chairperson, MMDRRMC
Ryan Castaneda	Metro Manila Development Authority (MMDA) Public Safety Division Planning Section Chief
Patrick C. Co, MD	DOH, Epidemiology and Health Emergency Cluster
Raden D. Dimaano, C.E., PDGH	Sorsogon Province DRRMO
Bim Dineiros	Sorsogon City DRRMO
Glenn Diwa	OCD, Region 3 Capacity Building and Training Service (CBTS)
Carlo Elepongga	Olongapo DRRMO Research and Planning
Ivanhoe Escardin, MD	DOH
Cindy Garcia, PSC,	Administration and Training Chief, Quezon City DRRMO
Esther Geraltoy	DSWD DREAMB Office, Division Chief IMT 1st Batch
Juan Blenn Huelgas	National Programs Officer, UN World Food Programme
Jeff Lapid	Olongapo City DRRM Official; MT Cadre Instructor
Ronald Law, MD	DOH, Chief of Preparedness Division
Angelito Layug	DRRM Officer, Olongapo City; original MT Cadre
Mayor Sally Lee	Sorsogon City
Mike Marasigan	Acting Disaster Control Division Chief/Head, QCDRRMO
Glenly Monje	ADRRMO – Olongapo City
Julia Nebrija	MMDA, Operations
John Palmo	Sorsogon City DRRMO
Joe-Mar Perez	OCD NCR, CBTS
Susan Quiambao	OCD, OIC-Logistics

Artel Rivera, MD	DOH, Chief of Response Division; original MT Cadre
Ramon Santiago	MMDA Consultant and DRRM Advisor
Director Vicente F. Tomazar	OCD, Operations Service

GoP partner agencies presenters at Bangladesh study tour	
ASEAN National IMT:	
Col. PJ Bondoc	Philippine Army
Lt. Joven Aclan	ASEAN IMT Operations Section Chief
Lt. Esther Cirunay	Philippine Navy
1st Lt. Gillbert Bengao	Philippine Army
Jello Mangaoang	OCD
Fred Vargas	OCD Ops Division
Joe-Mar Perez	OCD CBTS Liaison Officer
Darius Vallejos	ASEAN IMT Asst Liaison Officer
Monique Jacob	OCD
Sr Supt Randolph Bides	Bureau of Fire Prevention
Capt. Lyndon del Rosario	AFP: Chief, HADR Brigade, ISOP OJ3
Robin Lim	DILG
Ivanhoe Escardin, MD	DOH

Annex V. Field Photos

1 IMT Staff attends briefing at Microtel Incident Command Post for ASEAN50 Meetings

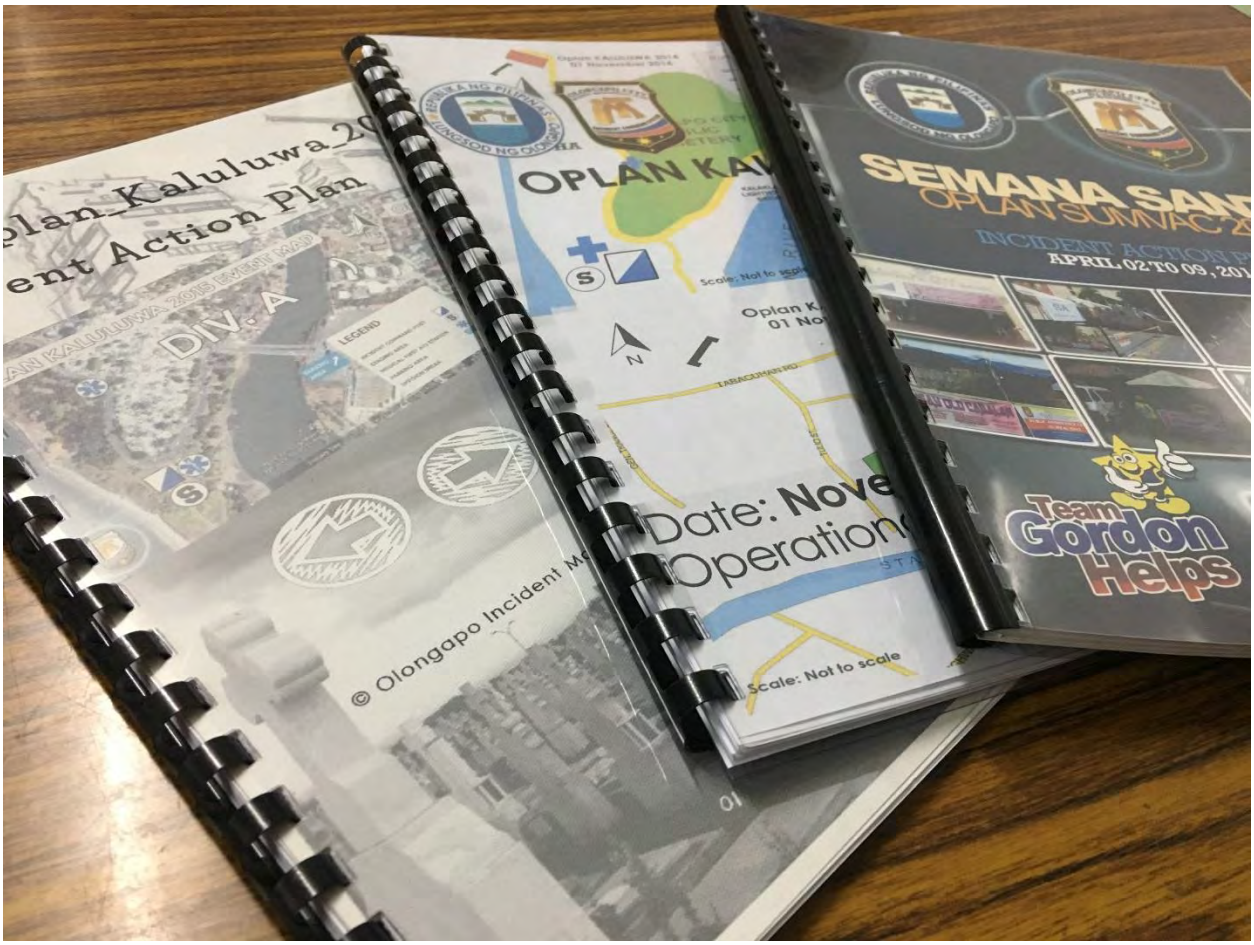


2 Incident Command Structure and assignments at Microtel Incident Command Post for ASEAN50 Meetings

3 Microtel Incident Command Post for ASEAN50 Meetings

4 Response Partners attend Briefing at Microtel ISP for ASEAN50 Meetings

5 Participants in Integrated Planning Course in Bacolor



5 Incident Action Plans and Operations Plans (OPLANS) for Planned events in Olongapo City